Analytical Problems of

Aesthetics, Genre, and Large-Scale Form

in Germanic Music, 1905–15

by

Sam Reenan

# DEDICATION

*For Kari, Bailey, and Oscar—our little family.*

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# Biographical Sketch

Sam Reenan was born in Wisconsin and raised in Connecticut. He attended the University of Connecticut, graduating in 2014 with a Bachelor of Music degree in Music Theory and a Bachelor of Science degree in Biological Sciences. He began his doctoral studies at the Eastman School of Music in 2015, where he received a Master of Arts in Music Theory in 2018. He has pursued an interest in methodologies of large-scale formal analysis at Eastman under the direction of Professor Jonathan Dunsby. Sam was appointed to the faculty of Hamilton College for the Fall 2020 semester.

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# ABSTRACT

In the first decades of the twentieth century, a flurry of composers in the German-speaking world were engaged in an arms race of sorts, creating musical monuments of extreme size and overt philosophical circumstance. As a discipline, music theory has struggled to address the large-scale formal dimension of these "maximalist" works, despite the persistent attention paid to formal theory in recent years. I adopt a pluralist approach to form-functional methodology in order to describe the maximalizing techniques these composers employed—techniques that inevitably warp the received models of large-scale form and challenge the very notion of long-range musical coherence.

The corpus of works under scrutiny includes Gustav Mahler's late symphonies, the tone poems of Richard Strauss, and Arnold Schoenberg's First String Quartet. In the first chapter, I focus on the aesthetic and structural consequences of "maximalist" music, exploring issues of genre, symphonic and sonata forms, and coherence. I present a notion of musical form-as-genre, which enables formally meaningful moments to summon the full rhetorical weight of their constitutive large-scale form. Each of the next three chapters addresses a single approach to maximalist composition. Chapter 2 considers Mahler's generic mixture in the sonata-dialogic movements of his last three symphonic works. The chapter culminates with an analysis of the Rondo-Burleske from the Ninth symphony, adapting Mikhail Bakhtin's theory of the carnivalesque to understand the movement as a parodic rondo-sonata hybrid. Chapter 3 centers around a detailed study of Strauss's *Eine Alpensinfonie*, investigating issues of narrative, program, and especially drama. I view the movement as a unique manifestation

of sonata form, which I address by borrowing Gustav Freytag's theory of dramatic structure. Chapter 4 critiques the notion of cyclic form, and in particular Steven Vande Moortele's model of "two-dimensional sonata form." I draw on the work of Mieke Bal in the realm of embedded narrative and mise en abyme to present Schoenberg's First Quartet as a large-scale process of conversion from sonata to rondo. The final chapter zooms out to address issues of maximalism outside of the Germanic world, while also speculating on the challenges posed by detailed analyses of maximalist works.

# CONTRIBUTORS AND FUNDING SOURCES

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CHAPTER 1.
MAXIMALISM, GENRE, AND FORM:
THREE METHODOLOGICAL CONCERNS

Germanic music of early modernism poses unique problems for the music analyst.[1] While drawing attention to the challenges presented by early modernist music, in this dissertation I propose a flexible analytical application of recent theories of musical form combined with influential ideas drawn from literary theory, rather than offering a new theoretical apparatus. The "analytical problems" that form the subject of this study will persist as long as scholars grapple with music that defies genres, warps traditional norms, and arises in the historical interstices. In fact, for the principal figures of this dissertation (Gustav Mahler, Richard Strauss, and Arnold Schoenberg), their works were solutions in their own right. By responding to intersecting aesthetic and practical problems—a waning common practice, a high-water mark for public engagement and criticism, and a spiraling expansion of the size of the orchestra and the orchestral work—many Germanic pieces of the period from 1905–15

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[1] "Early modernism" as an artistic movement roughly refers to the activity in the period from 1889–1914, according to Carl Dahlhaus ([1980] 1989). The term suggests a linkage between turn-of-the-century European musical composition and the "high modernism" that preceded World War II (which, for Arnold Whittall [2009, 9], continued after the war until about 1970). Jim Samson (1977) describes the fin-de-siècle period in the terms of "transition"—a useful expression, but one that lacks the aesthetic connotations of modernism.

create novel challenges for the music analyst.[2] These very same figures conceived of the aesthetic problems in front of them in thoroughly ambitious terms: symphonies were encapsulations of the world, the composers themselves were alpine peaks, and the lineage of Western music featured an "aim for monumentalism" exemplified by some of the most significant works of the Germanic canon.[3] If early modernists publicly or privately

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[2] As Arved Ashby does, one could describe the compositional activity of the early modernists as a *Problemgeschichte*, or "historical problematic," to borrow his translation (2001, 585). With the desire to innovate, early modernist composers recognized structural problems latent in the procedures of the common practice (e.g., how to integrate a four-movement work into a thematically coherent unity) as wellsprings for expression. In his classic account of the history of science, Thomas Kuhn offers a pertinent point of comparison. As he describes, some inquiry involves extrapolating facts from a paradigm to solve new problems, some involves making and subsequently evaluating predictions established by a paradigm, and some involves the foundational empirical work needed to establish a paradigm that can subsequently be employed in problem-solving ([1962] 1996, 25–27). Whereas the compositional problem-solving of the early modernists might be understood as extrapolating from the common practice to solve new aesthetic problems, the present dissertation aims to institute a novel analytical paradigm in order to draw attention to and begin to address the many analytical problems entailed by early modernist solutions.

[3] Jean Sibelius recalls the following remark by Mahler: "the symphony must be like the world. It must embrace everything" (Tawastsjerna 1986, 76). Dika Newlin describes Mahler's symphonies as each defining "a separate world with a law and order all its own which must be built up afresh with every new symphonic composition," a claim that she buttresses with Mahler's own words cited in her translation: "Imagine a work so great that the whole world is actually reflected therein" ([1947] 1978, 142). Strauss characterized himself as "the last mountain of a large mountain range" (cited in Youmans 2016, 35). In notes for a lecture on his First String

understood their projects to comprise vast responses to musical and aesthetic challenges, the present dissertation finds in those solutions new analytical problems.

This first chapter lays a foundation by addressing three methodological issues of central significance to the dissertation as a whole: the "maximalist" aesthetic, genre and the notion of coherence, and large-scale formal interpretation. The remainder of the study will then explore three principal analytical problems. Chapter 2 examines the procedure of generic hybridity that plays out in the sonata-dialogic movements of Mahler's last three symphonic works: *Das Lied von der Erde* and the Ninth and Tenth Symphonies. The chapter culminates with a hybrid analysis of the "Rondo-Burleske" from the Ninth Symphony, in which I consider the rhetorical effects of counterpoint and formal loosening on the rondo formal design. Chapter 3, centering on a detailed study of Strauss's tone poem *Eine Alpensinfonie*, investigates structural issues of narrative, program, and especially drama. I view the work as a unique manifestation of sonata form, one that productively interacts with Gustav Freytag's (1816–95) theory of dramatic structure. Chapter 4 concerns the notion of cyclic form, and in particular Steven Vande Moortele's model of "two-dimensional sonata form," which he developed initially from studies of Franz Liszt's B-minor Sonata and tone poem *Tasso*. Vande Moortele analyzes Schoenberg's First Quartet, op. 7, and Alexander von Zemlinsky's Second Quartet, op. 15. I argue that these works represent a cyclic form distinct from the Lisztian

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Quartet, Schoenberg associated the work with other earlier pieces that strove for monumentalism, including J. S. Bach's *Matthäus-Passion* and *Die Kunst der Fuge*, and Ludwig van Beethoven's Ninth Symphony ([1935] 2016, 157).

two-dimensional paradigm, and I propose an alternative model adapted from literary theories of embedded narrative and mise en abyme. In the concluding chapter, I summarize the role of these techniques in advancing the maximalist aesthetic, and I widen the perspective to consider approaches to maximalism beyond the Germanic canon. The dissertation's restriction to Germanic music essentially serves as a control for variables: Mahler, Strauss, and Schoenberg moved in the same intellectual and artistic circles, were exalted and pilloried by the same critics, and contemplated the same aesthetic issues. However, the maximalist enterprise extends beyond these three figures, and well beyond the German-speaking world, and the final chapter thus points to some of its alternative manifestations.

## §1.1. The Maximalist Aesthetic and the Modernist Novel

"Modern," "modernity," and "modernism" are famously elusive words, with varying connotations, inviting such enigmatic definitions as Charles Baudelaire's for modernity: "the ephemeral, the fugitive, the contingent, the half of art whose other half is the eternal and the immutable" (1863 [1970], 13). Modernity, defined here as the trait which makes an artwork modern, arises as that conspicuous element of every artistic era that contravenes, risks opprobrium, but in doing so transforms and ultimately colonizes the status quo. Following Walter Frisch (2005) on the other hand, modernism is not a trait of music but an artistic stance that inspired a movement: "I tend to understand 'modernity' more as the condition or state of being modern. . . . Modernism is a more ideologically charged and 'voluntary' phenomenon; it is in most cases an actual *movement*, propelled by a group of like-minded

thinkers, artists, or critics" (3–4; emphasis added). In his recent monograph exploring the

*Zeitgeist* shaped by Richard Wagner, Alex Ross (2020) captures the basic functions of

modernist art: the term signifies "a body of work that cuts against prevailing modes of

representation, broaches transgressive themes, threatens zones of bourgeois comfort" (356).

Broad definitions like those of Baudelaire and Ross invite interpretations of any anti-

traditionalist art (in any historical period, for that matter) as modern. To prioritize the

analytical issues associated with large-scale symphonic works that problematize tradition, the

modernist period of the early twentieth century is the principal focus of this study.

Composers of the early modernist period accomplished the transgressive functions of

modernism by evincing a will toward dimensional extremes. Arnold Whittall (2009),

perhaps overstating the extent to which diatonicism persisted across Europe, situates early

modernist practice squarely in a transitional ethos, "formally innovative, but still faithful to

the basic principles of diatonic tonality" (8). The music of the period explores the limits of

expression and abstraction, often through technical innovations related to genre and form.

Richard Taruskin (2005) summarizes such extremism in a transnational, decades-long

narrative of what he terms "maximalism," a movement whose origins he locates in fin-de-

siècle Vienna. For Taruskin, maximalism advances traditionally Romantic ideals—

subjectivity, sublimity, and sensuality—by way of "radically intensified" means (5). His

neologism can be productively critiqued, as we will see momentarily, but it reflects an

aesthetic at work in the musical monuments of early modernism.[4]

It was the symphonic repertoire at the turn of the century that served as the principal

scene in which maximalism developed, according to Taruskin; most especially, the

"maximalized, philosophical" symphonies composed by Mahler inflated the dimensions of

time and orchestration to their practical limits. Taruskin deems Mahler the "quintessential

representative of *Weltanschauungsmusik* and the man whose work most justifies the coining

of the term" (2005, 6).[5] The "hugely ambitious dimensions" of Mahler's symphonies probe

the metaphysical issues that he contemplated through composition. The monumental size of

maximalist music spurred some contemporaneous critics to denunciation. August Spanuth, a

German-born American music critic writing in 1912, describes the expanded size of early-

twentieth-century music in the terms of a "contagious" disease, *Mammutismus* (243), which

began to spread in the generations after Wagner's music dramas.[6] *Mammutismus*, like

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[4] Taruskin's *Oxford History*, too, reflects a maximalist aesthetic. Reviewers of the *Oxford History* have, in nearly

every case, remarked on its size. The six volumes, containing more than four thousand pages, have inspired

descriptors from "monumental" (Tomlinson 2007, 374), "massive," and "epic" (McClary 2006, 409), to

"mind-boggling" and "Brobdingnagian" (Kügle 2008, 69), "encyclopedic" (Seaton 2006, 699) and

"monstrous" (Everist 2009, 719).

[5] See the remarks by Mahler cited in footnote 3 above.

[6] A handful of composers and critics adopted Spanuth's neologism: Felix Weingartner is quoted in the *Neue

Musik Zeitung* ("Ein Vortrag Weingartners" 1912, 387) as applying the "polemical" term to works that he

deemed nothing more than "sensational successes" (notably, Mahler's Eighth Symphony is spared the

maximalism, concerns above all the dimensional "gigantism" of early modernist music, but Spanuth also sarcastically critiques the extreme complexity of the time: "the concepts of clarity, simplicity, proportionality, brevity, roundness can be recognized as the real deadly sins against the spirit of modern instrumental music" (244). The main target for Spanuth's condemnation is Siegmund von Hausegger's *Natursymphonie* (1911), "a colossal work—in terms of both content and form," but one that he argues applies the "stretching" characteristic of musical *Mammutismus* in service of an overly ambitious program. Notably, Spanuth laments the extensiveness of musical works written by those who possessed, for him, "significantly less compositional power" (245). He names only Hausegger, presumably absolving figures like Mahler, Strauss, and Schoenberg of wrongdoing, which might suggest that he deemed their attempts at expansive works of *Weltanschauungsmusik* more musically or expressively successful.

The concept of *Weltanschauungsmusik*, or "music expressive of a world outlook" (Taruskin 2005, 6), has its origin in the writing of Rudolf Stephan,[7] but Hermann Danuser

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characterization); Walter Niemann describes *Mammutismus* as a feature "of all areas of life and art not worth emulating" (1913, 56); and Max Unger associates *Mammutismus* with the "slimy chromaticism" of the time (1914, 112).

[7] Stephan applies the term *Weltanschauungsmusik* in a 1969 article on musical and extramusical content and issues associated with expression. In Stephan's ([1969] 1985, 316) usage, the term refers to a sort of hybrid oratorio-symphony, whereby the religious aspect of the oratorio is attenuated, but the expression of content is achieved especially by voices and text. Works that Stephan cites as members of the *Weltanschauungsmusik* genre overlap to some degree with those identified by Taruskin and Danuser (Schoenberg's *Gurre-lieder* and

(2009) gives its most significant exegesis. Danuser insists that defining the term would be impractical, in part because any instance of *Weltanschauungsmusik* grapples with intersecting issues of authorial intent and reception. Drawing on his own theoretical conception of musical signification, he views *Weltanschauungsmusik* as fundamentally "ambiguous," for "it encompasses reference to, on the one hand, the inner-musical world of an autonomy aesthetic [*Autonomieästhetik*] and, on the other hand, the extra-musical world of a heteronomy aesthetic [*Heteronomieästhetik*]" (33).[8] Danuser's binary between autonomy and heteronomy is roughly analogous to absolute and programmatic music. *Weltanschauungsmusik*, then, "must be written by the composer in a dual aesthetic sense" (33); in other words, an "inner" purely musical world must endure while the work simultaneously refers to external lived reality and culture. Perhaps most germane to the present study of genre and large-scale form, Danuser acknowledges the hybridity inherent to *Weltanschauungsmusik*, portraying it as "a hybrid art form that crosses boundaries toward the impure and combines elements of different genres in a *single* work" (37; emphasis original).[9]

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*Jakobsleiter*, Mahler's Eighth Symphony and *Das Lied von der Erde*, Zemlinsky's *Lyrische Symphonie*), but he also includes less canonical pieces: Frederick Delius's *A Mass of Life* (1904–5), Oskar Fried's *Das trunkene Lied*, op. 11 (1904)*,* Friedrich Klose's *Der Sonne-Geist* (1918), Hans Pfitzner's *Das dunkle Reich*, op. 38 (1929), and Jean Louis Nicodé's *Gloria*, op. 34 (1904).

[8] All translations are my own unless indicated otherwise. For more on Danuser's autonomy/heteronomy distinction, see Chapter 3, §3.1.2.

[9] "Weltanschauungsmusik aber ist eine hybride Kunst, die grenzsprengend ins Unreine ausschweift und Elemente verschiedener Genera in *einem* Werk verbindet."

The category tends to include "broad, large structures," and although "monumentality" is a common aesthetic feature, it is not a necessary component (36). Its earliest instantiations, for Danuser, are J. S. Bach's *Matthäus-Passion* and Ludwig van Beethoven's Ninth Symphony, but the category expanded rapidly with and after Wagner's music dramas. The formal freedom of *Weltanschauungsmusik* makes possible a degree of expressive immediacy that, writes Danuser, motivated many composers to present their "personal outlook on the world and art" (37), even engaging in musical autobiography.

Despite Danuser including in the category of *Weltanschauungsmusik* Johannes Brahms's relatively short *Schicksalslied*, op. 54, and Schoenberg's string sextet *Verklärte Nacht*, op. 4, most exemplars of the genre and the broader trend toward maximalism tend to manifest as especially long, orchestrationally large, and philosophically oriented works.[10] But a competing claim to dimensional extremism inhabited a place and time not far from Mahler's Vienna home: atonal and serial miniatures such as Schoenberg's *Sechs kleine Klavierstücke*, op. 19, and Anton Webern's Symphony, op. 21, which *minimize* the domains of timespan, texture, and instrumentation to the utmost degree. There is something surprisingly congruous between the otherwise competing wills toward the very expansive and the very concentrated. Frederic Jameson (2015) mediates these opposite extremes. Maximalism and minimalism have the same origins—"Mallarmé's blank page, on which one can write nothing" (99)—and they problematize the same artistic issue, the cultural satiation with the

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[10] Some of Danuser's examples include Liszt's *Faust-Symphonie*, S. 108, Wagner's *Parsifal* and *Ring* cycle, Max Reger's *Psalm 100*, op. 106, Strauss's *Tod und Verklärung*, op. 24, and Mahler's Eighth Symphony.

"masterpieces" of the nineteenth century: "Length is obviously one way of refuting such complacency about the need for new production" (82–83). This abstract kinship between minimalism and maximalism, while recognizable in early modernist music, oversimplifies the aesthetic differences between the two enterprises. Minimalism was in many ways a response to post-Wagnerian decadence, whereas maximalism enacted its perpetuation.

Christopher Butler offers an alternative frame in which to view early modernist extremism: the period is marked, he claims, by an "emphasis on individual style which leads to a common feature in all the works [that are seen] as canonical for modernism: their experimentalism of technique" (1994, 14). Building on the tribalism of nineteenth-century Romanticism—the quarrels over *what* music can express—fin-de-siècle composers further explored *how* music can express, convinced as they were of the near-infinitely subjective capacity of music. To a certain extent (and one particularly relevant to the study of musical form), the notion of a composer-specific practice has utility in the modernist period. Taruskin (2005) overemphasizes this point, though. In order to chart a history of maximalism, his descriptions of the various manifestations of maximalism across the twentieth century constitute generalized extremisms that he associates somewhat arbitrarily with particular composers. For example, he writes that Strauss's maximalism manifested as expression through post-Wagnerian narrative, yielding a unique symphonic and operatic decadence (43). The same could be said of Schoenberg and Mahler, at least. Moreover, Schoenberg, Zemlinsky, and Alban Berg are grouped as figures who constructed webs of what Taruskin terms "introversive reference" within the music itself, by extending techniques

of developing variation drawn from the works of Brahms (5, 717–18). The notion of extreme thematic development and introversive reference is not unique to the Second Viennese School, though, and introversive reference is hardly a modernist invention.

Other characterizations further expand (and thus weaken) the purview of maximalism. Alexander Scriabin ostensibly expanded the possibilities for functional harmony, employing "maximally prolonged 'Wagnerian' dominants" (208–11); Taruskin is here equating a lack of tonal resolution (a feature hardly novel to Scriabin) with extremes in other dimensions. Likewise, Taruskin writes that Charles Ives developed polystylism, where "all styles coexist . . . each with its own expressive and symbolic tasks to perform" (261). While Webern explored maximal economy of means through minimalism (347), Mahler had undertaken a thoroughly maximalist project: a musical synecdoche for his outlook on the external world (8–9). These characterizations—which follow Taruskin—purport that each composer delineated a space in which to express inner sensibilities, differentiated from past and contemporaneous practice. While composer-specific proclivities do obtain in the early twentieth century, they tend to involve more specific procedures than, e.g., "expanded size," "motivic saturation," or "polystylism," features that are by and large shared by several of the figures identified by Taruskin. One such example is the unique hybrid of rondo and sonata forms that appears in Mahler's late symphonies (as discussed in Chapter 2). Still, the need to grapple with the problematic relationship between traditional musical procedures and the aesthetic world of the fin de siècle did lead composers across the first half of the twentieth century toward a notion of progress. Butler outlines the dialectics of such modernist

innovation, distinguishing between "a 'necessary' progress within the language of an art form, and the 'necessity' of the inner processes of the visionary artist, who therefore sees himself as the medium of change within an evolutionary history, rather than as its inventor or discoverer" (1994, 56).

Taruskin's account of maximalism consequently encompasses more than extreme largeness. Indeed, if size were all that mattered, the cadre of maximalist composers would surely have to include Hector Berlioz (for his op. 5 *Requiem*) and Wagner. The latter's influence in particular can hardly be overstated. Mahler, Strauss, and Schoenberg all drew upon his techniques of "endless melody" and leitmotif for large-scale organization. Yet as it happens, Taruskin's maximalist music seems to encompass extremism in several, possibly contradictory, domains: extremes of length, orchestration, volume, contrapuntal intricacy, "tonal navigation,"[11] amount of dissonance and/or the delay of its resolution, motivic saturation, and internal reference. Minimalism and maximalism exist as two sides of the same coin, two versions of structural extremism. Maximalism and *Weltanschauungsmusik* call upon metaphysical issues akin to Romantic fragments: while the maximalist work might be said to encapsulate the infinite in a nominally "complete" work of art, the fragment alludes to that same infinitude by its incompleteness.

The liberal application of the term maximalism in the *Oxford History* has unnerved some writers. Douglass Seaton (2006) critiques the term "maximalism" as "not really appropriate"

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[11] By "tonal navigation," Taruskin means "the range of key relationships," which would suggest increasing the possible modulatory paths one might traverse, allowing for more direct moves to distantly related keys.

(691) in that Taruskin allows it to encompass what would seem to be an oxymoron: Seaton's example is Leoš Janáček's "stripped down, barren" (Taruskin 2005, 440) harmonic language, which represents an extreme harmonic minimalism for Taruskin. Also taking issue with Taruskin's loose usage of the term "maximalism" is J. P. E. Harper-Scott (2012), who deems the word "an empty signifier into which Taruskin packs a range of musical features . . . that he takes to be typical of modernism" (22).[12] Harper-Scott critiques Taruskin's linkage of maximalist music to Romanticism (4–5), his anti-European essentialism (8–9), his tendency to devalue the "emancipatory potential" of music (17), and the banality of the notion that "composers create new music out of the possibilities they find interesting and attractive in their cultural milieu, the intention being to generate something distinctive that might even return a profit from a public conditioned to be interested in novelty" (24). These critiques of the notion of maximalism and its exposition in the *Oxford History* are undoubtedly fair, and Taruskin does tend toward excessive inclusion under the umbrella term of maximalism. Nevertheless, I find the aesthetic conception of maximalism useful in turn-of-the-century Germanic music, on the condition that a narrower definition will be useful for the present study.

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[12] Gary Tomlinson (2007) suggests that Taruskin's entire *Oxford History* enterprise, with its "high pretensions to exhaustiveness" (374), is bound to create inordinate connections in service of historiography. Regarding Volume 4, for instance, Tomlinson writes that Taruskin "moves almost indiscriminately across the territory he maps" and "finds authoritarian structures everywhere" (370).

I distinguish maximalism from extremism. Whereas musical extremism permits extension of any musical parameter to either a positive or negative limit, regardless of historical position, the aesthetic of maximalism is best expressed by a culturally situated practice: early modernist works of, in particular, great size. The emblems of Taruskin's many-faceted narrative—Mahler's Third and Tenth Symphonies, Strauss's *Elektra*, Igor Stravinsky's *The Rite of Spring*, Scriabin's *Mysterium*, Ives's "Universe" symphony, and Schoenberg's *Gurre-Lieder* and *Die Jakobsleiter*—all represent large, complex works that, in their dialogue with symphonic procedure and use of the (often expanded) symphony orchestra, challenge standard models of large-scale composition. One might consider these maximalist projects as the offspring of the nineteenth-century works by Wagner, Liszt, Brahms, and Bruckner that Alexander Rehding (2009) groups in the category of "musical monumentality." Notably, maximalist music of the early twentieth century seems to strive for a degree of subjective philosophizing that is not a central feature of Rehding's monumentality, which prioritizes "historical greatness" and "dramatic proportions" (27).

The focus on size, on the prodigiousness of many works of music at the turn of the twentieth century, naturally brings to mind the sublime. In his authoritative history of the subject, Robert Doran (2015) articulates two through lines in its aesthetic usage: "what unites the key theories of sublimity, such as they were understood and articulated during the early modern period (1674–1790), is a common structure—the paradoxical experience of being at once *overwhelmed* and *exalted*—and a common concern: the preservation of a notion of transcendence in the face of the secularization of modern culture" (4; emphasis original).

Thus, to associate maximalist works of the early twentieth century with the sublime is to interpret the works through what Doran terms the "dual structure" (8) of sublimity, its paradoxical ability to instill a sense of violent domination and heroic elevation in the receiving mind.

James Webster (1997) traces the musical sublime to the Classical period in the context of a novel pre-Romantic concentration on particularly psychological effects in line with Immanuel Kant's theories of the sublime. Webster finds musical parallels for the Kantian sublime in early-nineteenth-century writings by, among others, Christian Friedrich Michaelis. Chief among them is the notion of "incommensurability": "An art work is finite in aims, extent, and resources, yet boundless, inexhaustible, perpetually suggesting new interpretations. By the same token, it is through the use of incommensurable or apparently incommensurable categories that art works, notwithstanding their finitude, can suggest unimaginable vastness or depth" (63). Furthermore, Webster situates the musically sublime above all within the realm of temporality, e.g. in moments that seem to "reverberate" across many layers of a work. With an eye toward early works by Beethoven and late works by Franz Joseph Haydn and Wolfgang Amadeus Mozart, Webster's account of the musically sublime is rather narrow, but we can usefully adapt the concept of the incommensurable to the maximalist enterprise. Monumental, expansive musical works become incommensurable with their boundaries, their extreme length and complexity rendering coherence fundamentally uncertain. In maximalist works, formal structures transcend their genres.

Across the arts, extremes of length and internal complexity demand formal innovation. Throughout this dissertation, I draw on analytical approaches to the modernist novel, a literary genre that incorporates issues of coherence and design similar to early modernist music. As a literary object, the novel resists standardization as a single generic category. Because I draw heavily on Mikhail Bakhtin's approach to genre theory later in this chapter, his perspective on the novel is especially germane. Bakhtin proposes that the novel is distinct from other genres, which he describes as "more or less fixed pre-existing forms into which one may then pour artistic experience" ([1964] 1983, 3). Novels should not be perceived as "one genre among many" (8), but rather as a "genre-in-the-making, one on the vanguard of all modern literary development" (11). The novel's relationship to other genres, as we will see, involves incorporating and manipulating those other genres, a feature Michael Holquist terms the "rule of genre inclusiveness" (1983, xxxii). Bakhtin considers the prominence of the novel (as a "peculiar," typically parodic phenomenon) to have ebbed and flowed since Ancient Greece, which offers further reason to focus the present discussion particularly on the modernist period of literature.

Modernist novels confront tradition by developing original formal procedures to maintain unresolved tension, balance conflicting voices in a discursive "polyphony,"[13] and

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[13] Bakhtin describes the novels of Fyodor Dostoevsky as "polyphonic"—in contrast to what he terms "monologic" novels that feature a clear narrative and authorial intent—because they feature "*a plurality of independent and unmerged voices and consciousnesses*," "*with equal rights and each with its own world*" ([1963] 1984, 6; emphasis original).

explore the notion of a limitless tale told within the delimited covers of a book. The range of

literary formal procedures in the modernist novel (which manipulate the principal elements

of a novel, namely character, plot, narration, and temporality) include, but are not limited

to, stream of consciousness, multi-strand plots, and non-linear narrative development. The

authors of modernist novels, whom literary historian Gerald Gillespie has colorfully

described as "cosmic builders" (2003, 21), construct detailed and convoluted worlds,

presenting numerous, contradictory, and autonomous strands of narrative development. For

example, Gillespie describes Joris-Karl Huysmans's story of Des Esseintes, the protagonist of

*À rebours* (1884), as "told through an interconnection of fragments of greater length and

complexity" than one might expect from a straightforward teleological narrative model (54).

A large-scale, discursive structure such as *À rebours* or Marcel Proust's *À la recherche du temps*

*perdu* (1913) employs rhetorical organizing principles including parallel intersecting

narratives as well as internally independent structures, such as flashbacks that narrate entire

tales having taken place before the primary narrative.[14] Gillespie articulates one such mode of

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[14] Proust's novel represents a remarkable case of long-range coherence in literary maximalism. As Jean-Jacques

Nattiez ([1984] 1989) points out, the genesis of *À la recherche du temps perdu* involves an early "pre-

Recherche," *Contre Sainte-Beuve* (1908–9), which includes iterations of many of the episodes that appear

disparately throughout the final novel. Nattiez associates this fact with early sketches of Wagner's *Ring*,

identifying correspondences between both grand works including the following:

> We have seen how the episodes of the madeleine and of the paving-stones, which are
> separated by almost three thousand pages in the final version, appear next to one another in
> *Contre Sainte-Beuve*. . . . Similarly, Wagner scrawled a musical sketch for the beginning of
> *Siegfrieds Tod*, which was the first version of *Götterdämmerung*, in August 1850. In that same
> sketch we find the wave-like figures that open *Das Rheingold*, with its obsession with E flat

rhetorical organization that involves the many strands of discourse in the modernist novel:
what he terms "epiphanic breakthrough" is an "instantaneous, intuitive illumination," a
climax that is "elaborately synthesized out of elements, which, taken in more obvious,
smaller constellations, have the character of postromantic prose poems, essaylike meditations,
or dramatic fragments" (51). This sort of epiphany appears in music discussed in Chapter 4
of this dissertation, and I adapt the analytical perspectives and procedures applied to the
modernist novel by literary theorists throughout this study.

Other scholars also associate contemporaneous novelistic writing more generally with
post-Romantic music. Hugh Ridley's (2012) monograph draws direct connections between
Wagner's music dramas and novels of the period from the 1850s to the turn of the century,
especially as they relate to psychological aspects of drama and development. Dispensing with
superficial parallels related to overall layout and dimension, Ridley considers to be generally
"underdeveloped" (43) previous discussions that center analogies to the novel around the
length, formal patterns, and complexity of the music dramas. He instead finds abundant
novelistic features in Wagner's music dramas, emphasizing an "openness" that follows from
the notion that "the unity of the work is fundamentally challenged" (50). This results in a
discussion of more local formal and rhetorical processes, revealing the Wagnerian music
drama as a fragmented set of parts rather than a concrete whole. Ridley draws from the
writings of Theodor W. Adorno ([1960] 1992) for the other novelistic characteristics he

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(the very start of *The Ring*), [and] the motif of Wotan's spear (*Das Rheingold*, Scene 2). (19–
22)

identifies in Wagner's post-1848 music dramas. Adorno, in comparing Mahler's symphonies to Gustave Flaubert's *Madame Bovary* (1856), itemizes several features that, in "historical-philosophical terms" ([1960] 1992, 61), approximate the form of the novel. These include an "aversion to knowing in advance how music continues," thus repudiating a top-down "ontology of forms" (62) by "always proceeding differently than expected" (69). Likewise, not only is the formal structure free of rigid expectation, but the musical content is open to unanticipated intrusions: his music maintains an "inclination to introduce new themes, or at least to disguise thematic material so that in the course of the movements it appears quite new" (71). The modernist novel—contemporary with Mahler, Strauss, and Schoenberg— further exaggerated the extensibility of form, the subjectivity and caprice of content, and the potential reach of expression.

While Ridley contends that the proposed influence of the novel on Wagner may be apocryphal and anachronistic,[15] Ross (2020) notes that the obverse is true. Early modernist novelists including Thomas Mann, Willa Cather, and Joseph Conrad adapted Wagner's "archetypal heroic roles," developed ideas that "recur and evolve in motivic fashion," and even made explicit reference to his music (373–75). With Wagnerism comes a host of related philosophical allegiances (to Friedrich Nietzsche, Sigmund Freud, Carl Jung, the Impressionists, etc.) and a number of modes of innovation: "Three legacies stand out: the Gesamtkunstwerk; the stream of consciousness; and the juxtaposition of myth and

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[15] As Ridley claims, the genre of the novel held low cultural standing in nineteenth-century Germany: "Only Wagner's enemies would have thought of disparaging him by comparing his works to novels" (2012, 44).

modernity" (358). As artifacts of Wagnerian innovation, these three techniques became central to modernist maximalism. The *Gesamtkunstwerk* strives for a complete (and immediately expressive) dramatic-artistic endeavor; it blossoms in Proust's *À la recherche du temps perdu*, which in writing alone aims to summon all the senses. Stream of consciousness, as in Virginia Woolf's *The Voyage Out* (1915), can provoke a sublime image of endlessness, an infinite progression between emotional states. The mythic archetypes of Wagner's music dramas (and the leitmotivic technique that structures them) provide a basic framework for constructing a discursive plot by way of a "half-concealed network of correspondences," to borrow Ross's words (358).

Several literary scholars have explicitly theorized aesthetic ideas synonymous with maximalism. The terms that have appeared vary considerably: they include "encyclopedic" (or, striving for extreme detail; see Mendelson 1976), "pandictic" (or, attempting to say everything; see Kellman 1989, 1), and "macrologic" (or, aiming to incorporate all voices; see Kellman 1989, 3). Daniel Albright (2015) describes as "totalizing art" any art that "seeks to encompass the entire curriculum of human thought and feeling" (233).[16] Totalizing art bears some kinship with the aesthetic background of the *Gesamtkunstwerk*, which Wagner

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[16] James Buhler (2017) has examined the notion of the "total symphony" in relation to Mahler's music and his famous remark to Sibelius cited in footnote 3 above. Comparing the concept to André Bazin's "total cinema," which concerns (in Bazin's words) "a total and complete representation of reality," Buhler argues that Mahler's total symphony, as a mythic representation of "the world in its own image" (152), is enacted most especially in the realm of temporality.

theorizes as the combination of distinct art forms (music, dance, theatre) in service of a common dramatic purpose. Studying mostly American literature of more recent vintage, Stefano Ercolino (2014) has identified paradigms of maximalist literature, summarizing categories including the "systems novel," the "Mega-Novel," and the "modern epic."[17] In individual cases, these genres can be recognized in maximalist music: the Mega-Novel, for instance, shares characteristics with Mahler's symphonies, especially on the axes of chaos vs. order and tradition vs. experimentation. Finally, Jeremy Colangelo (2014) expounds a "theory of the very big" in literature, highlighting the juxtaposition of several voices and narrative strands representing the possibility for "numerous contradictory world systems" (73). He characterizes maximalist texts as engaged in a "deliberate pursuit of completeness" (65), and he links the maximalist novel with the grotesque and with Martin Heidegger's theory of the "gigantic."[18] A maximalist novel, Colangelo argues, is "created through its

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[17] Ercolino borrows the term "systems novel" from Tom LeClair (1989), who describes the genre as one of mastering the world, the narrative method, or the reader by way of a paradigm shift toward a systems-theory narrative method (Ercolino 2014, 2–7). The "Mega-Novel," coined by Frederick Karl (2001), expresses seven characteristics: "(1) length; (2) openness; (3) incompleteness; (4) chaos; (5) order; (6) traditionalism; and (7) experimentalism" (Ercolino 2014, 7–10). The "modern epic" is a genre established by Franco Moretti ([1994] 1996), featuring structural allusions to a distant past as well as a modern global reach (Ercolino 2014, 10–16).

[18] Heidegger ([1938] 1977) presents his notion of the "gigantic" in his essay "The Age of the World Picture." As a manifestation of scientific progress, the gigantic reflects the ability of human culture through progress to shape one's vision of the world and likewise to cause conflict between world views. When information becomes so voluminous as to become sublimely inconceivable, the gigantic takes on a "special quality" of greatness

engagement with the limits built into its physical form of the printed volume" (66). One could relate a parallel situation in maximalist music, whereby the maximalist work confronts the abstract boundaries of traditional forms as well as the literal restrictions of performance time and venue.

As the volume of an artwork balloons, its container warps. Proust's magnum opus demands not two but fourteen covers. Pablo Picasso's *Guernica* depicts the terror of war in a sublimely huge and symbolically complex mural. The symphonic works of early modernism, whether in dialogue with traditional formal procedures or not, strain the formal boundaries of genre. Their rhetorical allusions to erstwhile forms are by and large psychological ploys designed to evoke a revelation about the overall formal scheme within the listener. These methods serve (not unlike epiphany in the modernist novel) to superficially organize the otherwise intricate, fragmentary, and at times opaque structures of symphonic pieces that extend far beyond traditional means. As Gillespie remarks, the large literary works of the early twentieth century, like their smaller counterparts, still "exhibit fragmentariness, indeterminacy, rupture, and so forth" (2003, 18) and therefore exist in a problematic state of conflict on multiple dimensions.

Mark Evan Bonds (1991) notes further analogies of disciplinary discourse between the new *Formenlehre* and literary criticism:

> Scholars in other fields, most notably in literary criticism, have long
> recognized the analytical value of a rhetorical approach to large-scale formal

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(135). For Colangelo (2014), it is this "deluge of information" (68) that relates the "gigantic" to the maximalist novel.

conventions. Recent reinterpretations of genre theory, in particular, have opened new perspectives on the analysis of structural stereotypes. Genre is now seen more as a convention than a category, as a pigeon rather than as a pigeonhole. (8)

An accounting of genre will aid in the analysis of maximalist works. Historical literary genre theory in particular shares much in common with theories of musical form, especially in establishing categorical conventions, "groups of norms and expectations which help the reader to assign functions to various elements in the work" (Culler 1981, 123). Approaches to literary genre theory in the last three decades have, however, largely moved beyond the model of conventions and expectations, as we will see momentarily. Eric Drott (2013) proposes a corresponding reconception of musical genre as something "enacted" by a work and offers an expansion of the scope of musical genre to a "dynamic ensemble of correlations, linking together a variety of material, institutional, social, and symbolic resources" (9). Genres accrete through a social, historical process even when that process yields individual works (like those analyzed in the present study) that problematize the very notion of genre. Drott theorizes numerous criteria for generic groupings—perhaps most radically, the genre of non-membership, in which works that overtly reject genre (principally by an individualistic title) form a group themselves. Genre, for Drott, becomes a frame, encapsulating a work and orienting an interpretive perspective. By providing a conceptual and interpretive template, genre theory offers a theoretical avenue by which we can enter into the interpretation of maximalist works, which inevitably defy generic standards.

Alongside analytical interpretation, Jim Samson (2001) suggests that genre is capable of supplying the essential unity of an artwork itself: "the underlying tendency of genre is not

just to organize, but also to close or finalize, our experience. This implies a closed, homogeneous concept of the artwork, where it is assumed to be determinate and to represent a conceptual unity" (1). By collapsing a work into a singular entity, genre provides a mechanism for examining coherence in non-normative works. In other words, conceiving of a complex musical work as a unity, finalized by its constructive engagement with genre, offers the conceptual foundation for examining how such works achieve large-scale coherence. Samson's words resonate with theories of genre expounded in the next section, especially the writings of Bakhtin. In the analysis of maximalist music, unity and coherence pose fundamental questions because of the discursive nature and extended length of the work. However, the very notion of the "artwork," following Samson, provides the conceptual framework for examining such discursiveness, while theories of genre have established the methodological means for addressing maximalist challenges to the singularity of the work.

## §1.2. Theories of Genre and Generic Mixture

Scholars of music and literature have made significant contributions to the study of genre in the last century, contributions that influence the approach to formal analysis described in this chapter. Offering summaries of some of the most relevant approaches, this section launches with an account of Carl Dahlhaus's role in establishing the metaphor of genre as an institution. I subsequently examine other models of genre. The "theoretical" and "historical" approaches to genre, terms borrowed from the literary critic Tzvetan Todorov (1975), both feature the classical mode of genre analysis, which is based primarily on textual classification. Benedetto Croce

([1902] 1922) rejects such a taxonomic approach, preferring analysis that foregrounds the unique components of a text. Focusing on the novel, Bakhtin and Claudio Guillén provide useful frameworks for considering generic mixture and the systems that genres combine to create. In §1.3 that follows, I outline adaptations of these genre theories (as well as the dynamic, integrated concept of genre that has developed in their wake) that will prove central to the analytical chapters of the dissertation.

Genre is central to Dahlhaus's aesthetic and historiographic projects and serves as the primary topic of several writings ([1968] 1987, [1969] 1987, 1973), especially "Was ist eine muiskalische Gattung?" (1974: "What is a musical genre?"). In that essay, Dahlhaus asks a fundamental question: how should analysts or critics define and conceive of genre in music? To differentiate genre from "process," he contends that fugue, as but one example, is "underdetermined [*unterdeterminiert*]" as a genre: "fugue is exclusively defined by compositional technique [*satztechnisch bestimmt*]—via rules for the distribution of subjects and for counterpoint—and is neither tied to a formal scheme nor to instrumentation or function" (1974, 621).[19] On the other hand, the trio sonata is without question a genre since it is characterized by several criteria: "technical procedures," "stylistic tendencies," "the dialectic of themes," and a limitation on instrumentation and character. Thus, "a musical genre is not a 'natural form' by which an individual structure is inescapably shaped from the origin," writes Dahlhaus, "but a tradition with which it is more clearly or weakly connected

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[19] Dahlhaus's argument about fugue corresponds to that of Manfred Bukofzer (1947, 361–62).

and from which it can emancipate itself" (1973, 840). While no clear definition of genre emerges from Dahlhaus's exegeses, a crucial metaphor does: rather than conceiving of a genre as an "organism" that "emerges, grows and differentiates, . . . and finally dies," one might conceptualize genres as "institutions [*Institutionen*]—as norms for connections between functions, texts and compositional procedures or between formal types, instrumentations and aesthetic-social characters" (1974, 624).

The institution model proposed by Dahlhaus respects the historical continuity of genre while also accommodating a paradigm shift during the nineteenth century in the conception of genre. Jeffrey Kallberg (1988) summarizes Dahlhaus's position: "Around 1830, musical genres started losing their factual and historical relevance because functional music began giving way to individual works and the idea of aesthetic autonomy. . . . [Genre] 'became a secondary distinguishing characteristic of works of art conceived primarily as self-sufficient entities and not as exemplary instances'" (239–40). The reality and interpretive utility of genres in the nineteenth century is, of course, no less assured than the particularity of works of the Baroque and Classical period; Dahlhaus's argument tends toward hyperbole. But his institution model dovetails with trends in literary theory in the mid-to-late twentieth century, epitomized in the writings of Bakhtin, Guillén, Alastair Fowler, and the ensuing subfield of Rhetorical Genre Studies.

Theoretical models of genre as a classification system generally use inductive or deductive methods that can be traced to studies of logic as early as antiquity. The dichotomy between inductive and deductive logic represents a precursor of similar binaries propounded in

theories of music analysis, like the "generative" and "conformational" approaches to form discussed in §1.4. In a critique of Northrop Frye's (1957) structuralist approach to genre classification, Todorov describes two prominent models: "historical genres" and "theoretical genres" (1975, 13). The historical approach (preferred by Todorov) is empirical and inductive, drawing from "an observation of literary reality," relating patterns in texts to similar patterns in other texts. On the other hand, the theoretical approach (in which Todorov considers Frye to be engaged) practices deduction, starting from an abstract Platonic postulate and assigning works to a group whose prototype is that ideal. To engage in criticism, structuralist literary theorists—whether employing the historical or theoretical method—make a basic assumption that meaning can be constructed by relating individual works to the genres that they exemplify.

For Romantic and post-Romantic aestheticians, value and group membership began to decouple. This reconceptualization of genre was in part spurred by the work of Croce. As David Duff points out, Croce's *Aesthetic* represents "the most extreme statement of the anti-generic position" (2000, 5), rejecting abstraction in part because no ideal type can ever be identified (an argument that places Croce in dialogue with Todorov). In his treatise, Croce decries the tendency toward reason over expression:

> Error begins when we try to deduce the expression from the concept, and to find in what takes its place the laws of the thing whose place is taken. . . . This error is known as the *theory of artistic and literary kinds*. . . . Artists have, however, really always disregarded these *laws of the kinds*. Every true work of art has violated some established kind and upset the ideas of the critics, who have thus been obliged to broaden the kinds, until finally even the broadened kind has proved too narrow, owing to the appearance of new works of art,

naturally followed by new scandals, new upsettings and—new broadenings.
([1902] 1922, 36–37; emphasis original)

It would appear that Croce understands critics of his era to view genres as aesthetic rule systems (rather than evolving as organisms or interactive as institutions). He would contend that analyzing a work based on its adherence to a preconceived set of rules necessarily misses the source of artistic expression, namely intuition: "Croce argues that classifying any aesthetic work according to genre is a denial of its true nature, which is based in intuition, not logic" (Bawarshi and Reiff 2010, 20). Responding directly to Croce, Dahlhaus points out two sides of his stance: "It was the aesthetician Croce who rejected the relevance of genres, the existence of which the historian Croce could not deny" (1968, 840). Dahlhaus draws upon the historical reality of genres, and their "continuity of development" (1974, 624), to contend that, like institutions, genres comprise sets of connections between works that bear similar elements of design or function in the society in which they were produced. Moreover, like institutions, genres are formed and re-formed by their individual members, by their interaction with other genres, and by artistic, philosophical, and sociocultural movements.

Croce's anti-generic approach thus seems to reject the historical reality of genres, preferring criticism of a work as a singular entity. Nevertheless, post-War theories of genre (and likewise of musical form) include recognition of the role of historical continuity. Bakhtin's influential contributions to genre theory and the novel are one example, and his ideas are fruitful for adaptation to musical form and genre. Bakhtin views any linguistic act as an "utterance," as "a link in the chain of speech communion of a particular sphere" ([1952–53] 1986, 91). Utterances are defined by two criteria: a change of speaking subject—

enacted by either the entry of a new speaker, or by "silent responsive understanding" (69)—and the "finalization" of the utterance, a signal that a complete idea has been stated. They are also devised with a particular addressee in mind. A musical work can be conceived as an utterance along similar lines. A change in musical subject could be as straightforward as a shift in texture or instrumentation, or it may involve structural features that evoke a "responsive understanding" in the listener and are finalized, such as a motive, phrase, or larger musical unit. Because of the complex web of interactions of an utterance, an act of music, speech, or literature marked by a relation to "both those to which it responds and those that respond to it" (91), the historical continuity of genres is ensured a place in Bakhtin's theory (Anis S. Bawarshi and Mary Jo Reiff term this continuity Bakhtin's "horizontal" axis of genre [2010, 25]).

Crucially, for Bakhtin, genre is broadly conceived. Take for example the following statement: "Where there is style there is genre. The transfer of style from one genre to another not only alters the way a style sounds, under conditions of a genre unnatural to it, but also violates or renews the given genre" ([1952–53] 1986, 66). Style is constitutive of genre; style is sufficient to categorically situate an utterance as a group member, or to contest a generic classification when applied in unexpected circumstances, and the traits of shared membership and norms of expectation of the genre are those tendencies socially ascribed to the given style. Utterances themselves, as socially inscribed interactions, enact genre. They are finalized wholes, guaranteeing their communicative response, and their finalization involves casting speech in "definite and relatively stable typical forms of construction of the

whole," in other words genres (76–79). Bakhtin's generic flexibility transfers readily to the study of maximalist genres precisely because the similar taxonomical objects (relatively stable forms and norms of expectation) constitute a pool of meaningful historical artifacts from which a modernist composer might draw multiple, contradictory elements in order to create.

Central to Bakhtin's theory of speech-acts-as-utterances is the exercise of grouping them into "certain relatively stable thematic, compositional, and stylistic types of utterances," or "speech genres" ([1952–53] 1986, 64). Bakhtin insists that these genres are able to account for the "extreme heterogeneity" of human language (e.g., he writes, short rejoinders, everyday narration, writing in all its forms, etc.). He organizes them hierarchically, categorizing speech genres as either primary (simple) or secondary (complex):

> Secondary (complex) speech genres—novels, dramas, all kinds of scientific research, major genres of commentary, and so forth—arise in more complex and comparatively highly developed and organized cultural communication (primarily written) that is artistic, scientific, sociopolitical, and so on. During the process of their formation, they absorb and digest various primary (simple) genres that have taken form in unmediated speech communion. These primary genres are altered and assume a special character when they enter into complex ones. . . . The novel as a whole is an utterance just as rejoinders in everyday dialogue or private letters are (they do have a common nature), but unlike these, the novel is a secondary (complex) utterance. (61)

For secondary genres to "absorb" primary (as well as other secondary) genres, they inevitably incorporate the thematic, writerly, and stylistic norms of that primary genre (this is Bawarshi and Reiff's "vertical" axis of genre [2010, 26]). As in the quote above, Bakhtin situates the novel as the quintessential secondary genre, an amalgam of multiple, subjective utterances—in his words, an archetype of "heteroglossia [*raznorechie*]." Through heteroglossia, the novel is dialogized, made into a "structured artistic system" in which multiple genres interrelate

and "are subordinated to the higher stylistic unity of the work as a whole" (1964 [1983], 262). Bakhtin's novel-as-utterance is therefore driven by two forces: first, a common language of linguistic norms, a "centripetal force" that strives to "unite and centralize verbal-ideological thought"; and second, a disunification achieved by heteroglossia, a "centrifugal force" that advances sociohistorical speech diversity and allows for the dialogic mode of expression of the novel (270–71).

Theorizing genre in the novel, Bakhtin provides the basic structure for the study of genre as an institution, as a set of socially inscribed relations that are, to quote Guillén, "repetitive, established, and enduring" (1971, 389). Because even single, simple utterances or characteristics of those utterances are constitutive of genre, we can conceive of genre as more than a set of rules, or even a set of norms—genre is a set of interactions. Jameson defines the role of genre as communicating, through its internal components, "how it is properly to be used" (1975, 135). Thus, music-specific features such as form, instrumentation, style, and topic can constitute representatives, or signals, of a genre, as can single musical events. These individual signals can all be understood as absorbed into the broad secondary genre that is the musical-work-as-utterance. Furthermore, the interaction between genres and the mode of absorption of secondary genres models how works of music might express multiple, contradictory, or hierarchically related genres. The flexibility and mixture of genres, as well as their hierarchical absorption, allow for analysis of individual maximalist works along the lines of the modernist novel, as a complex of generic interactions that allow for structural innovation and immediate expression.

In a monograph study on historical metaphors of genre—as biological species, families, institutions, and speech acts—David Fishelov (1993) further investigates the metaphor of genres as institutions. While his perspective on genre is somewhat conservative,[20] Fishelov centers productively on the notions of "convention" and "role." Conventions perform several social functions. By compliance to conventions, new texts are inscribed into a given genre. By artistic manipulation of conventions, new texts go beyond mere redundancy. Moreover, conventions have a "dual descriptive and prescriptive nature"; outside of the social system, norms describe systemic acts, but within the system, acts are prescribed by those same norms (89–90). Within a genre-as-institution model, Fishelov argues that there exists an overriding generic (narrative) goal, and actors play particular roles to advance that agenda. Different players in a work complement or confront each other, their interactions spurring the overall narrative onward (100–103). Attending to conventions and roles, we become aware of the interrelations within and among works, those that "connect each [work] to the tradition and that make it a particular and innovative work of art" (117). Recognizing the interpretive use of a musical work's interaction with social conventions is especially useful with works that combine multiple genres, even when a clear overriding goal is less easily articulated, as in the

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[20] Fishelov defines genre, in part, as "a combination of prototypical, representative members, and a flexible set of constitutive rules" (1993, 8). The "rules"-based, classificatory definition of genre favors compliance with the norm in a structuralist manner contrary to more recent views of genre as dynamic, "stabilized-for-now," or, in the words of Amy Devitt "never really stabilized": "If each text always participates in multiple genres, then even in that text a genre is moving, shifting, and becoming destabilized" (2000, 713).

case of some maximalist music. Locally, musical events that suggest the active participation

of a particular genre create large-scale expectations that comport with the conventions of that

genre. Globally, the network of multiple implied genres then becomes a collage of

contradictory possible trajectories, with each generic signifier taking on the role of an

independent subjectivity and thus muddying the teleological waters.

Guillén (1971) provides perhaps the most thoroughgoing account of genre interaction

and mixture, related especially to attendant considerations of genre as a system. Trafficking

in metaphor as well, he likens genres to institutions and literary systems to great cities,

"ancient yet living, persistent yet profoundly changing," successful by "assembling not only a

variety of styles and ways of life but series of historical moments, layers of historical time"

(12–13). In a system, genres manifest over historical time, function as strictly "intellectual"

ordering mechanisms, circumscribe possibilities, are "open, loose, [and] disjointed," and

comprise a set of functionally dependent parts whose interrelationships define the whole

(375–78). The musical genre system comprises the set of all genres by which one can

categorize musical works; as Guillén suggests, it is principally an "intellectual" approach to

classifying individual works, but it is dynamic because the system manifests as the relations

between genres themselves. Guillén defines these interdependent relations between genres

within a system as "structures" (12). As will be demonstrated in each of the analytical

chapters of this dissertation, maximalist works create complex generic structures, e.g., the

rondo-sonata hybrid genre, the tone-poem-as-music-drama, and the single-movement/multi-

movement structure. The genre-as-institution model implies a singular, permeable entity (for

example, the string quartet)—membership defines and is defined by the shared

characteristics of the genre. A metaphor of genre-system-as-metropolis considers the web of

interactions between genre institutions, the overriding product of which is that genres and

genre systems reify, reinforce, and perpetuate one another.

Genre systems, on account of their durability, support their member genres by limiting

possible interpretations via assimilation of differences. When faced with an entirely new

work, "systems will tend . . . to absorb change and assimilate innovation. On the other

hand," Guillén continues, "assimilation becomes a small step in a larger process of change"

(385). In music, this assimilation process can be explicit or analytically inferred. The system

of musical genres attenuates aberrant aspects of a work (those elements that do not comport

with the standard genre) when it is labeled, for example, a "symphony" or analyzed as such.

It does so by privileging similarities of the individual work with other works having the same

label. Simultaneously, the symphony genre is remade, incorporating those anomalies into the

comprehensive set of musical events that exist in works known to be symphonies. Just as

institutions can evolve, enact new policies and procedures, merge and form conglomerates,

or send envoys to engage in dealings with peer institutions, genres within an "intellectual"

system interact extensively. Amy Devitt (2004) has identified four categories of genre

interactions,[21] and her notion of genre systems is of a piece with Guillén's: a genre system

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[21] For Devitt, the categories include "the *context of genres,*" which is "the set of all existing genres in a society or

culture"; the "genre set," "the set of genres that exists within a particular 'sphere of activity' or group"; the

"*genre system,*" defined in the main text above; and the "*genre repertoire,*" "the set of genres that a group owns,

comprises a "set of genres interacting to achieve an overarching function within an activity system," "identifiable by those who use it" and made of "clearly linked genres with a common purpose" (56).[22] Indeed, Devitt elsewhere argues that a genre exists "to be understood in relation to other genres, so that its aims and purposes at a particular time are defined by its interrelation with and differentiation from other genres" (2000, 700). The fundamental difference is that the "overarching function" in Devitt's model is practical, a socially inscribed end goal, whereas for Guillén genre systems strive primarily to perpetuate themselves.

If genres within an organized system are capable of interaction, it follows that they might integrate and fuse. Generic mixture is the logical fallout not only of Bakhtin's theory of absorption, but also both of Guillén's contention that genre systems permit large-scale change and of Jacques Derrida's claim that "every text participates in one *or several* genres"

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acting through which a group achieves all of its purposes, not just those connected to a particular activity" (2004, 54–57; emphasis original).

[22] Devitt (2004) discusses David R. Russell's (1997) summary of activity theory, which dates to the 1930s Soviet theories of Sergei Rubinstein and Lev Vygotsky and was further developed by the Scandinavian theorist Yrjö Engeström. For Russell, an "activity system" is any human interaction that involves a subject ("the agent(s) whose behavior . . . the analyst is focusing on" [510]), tools for mediation ("material objects in use by some individual or group to accomplish some action with some outcome" [511]), and an object/motive ("the *raw material* or problem space on which the subject(s) brings to bear various tools in ongoing interaction with another person(s)" [511; emphasis original]). Therefore, genres can be understood within an activity system as tools "clearly linked . . . with a common purpose" (Devitt 2004, 56).

(1980, 65; emphasis added). Fowler (1982) explores generic mixture in the context of transformations of genre, a broader discussion that touches on numerous generic interactions, such as "aggregation" (the combination of several short works into a single ordered collection), "counterstatement" (antithetic relations within and between genres), and especially "inclusion" (roughly equivalent to Bakhtin's absorption). But Fowler emphasizes the diversity of freedom afforded by generic mixture: "With generic mixture, there opens a much wider field of possibility; this is the point at which the theoretical interest of genre abruptly increases. It is like the transition in mathematics from natural to real numbers" (181). Fowler traces historical trends in literary genre mixture, highlighting the potential challenge it poses to the stable genres that undergo the transformation.

Following Fowler, I view musical genres as fundamentally capable of mixture or fusion, allowing for rhetorical allusions to multiple genres simultaneously. His notion of generic hybridity is especially useful, as it involves a situation when two or more large-scale genres are potentially active for the entirety of a work (181).[23] Because component parts of a work

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[23] A related notion of generic hybridity appears throughout Bruno Alcalde's (2017) PhD dissertation. Drawing on theories of hybridity in biology, sociology, and postcolonialism, Alcalde operationalizes the notion of hybridity and offers a brief but trenchant account of hybrid genres throughout musical history (32–56). Despite the different sources, the epistemic result is not altogether different from Fowler and the literary theorists: "Hybridity in music results from combinations of identity categories, or from crossing idealized boundaries" (71). Likewise, the effect of hybridity on the generic system itself is similarly problematic: "When an object, place, person, or process combines two or more identities, it disrupts the contextually constructed boundaries and—by making them permeable—questions their assigned hierarchy" (21).

of art are capable of generic signification (as they have been transformed through inclusion within an aesthetic whole), that work can be in dialogue with any number of genres. In music, one can reference genres by idiomatic progressions, stylistic flourishes, formally marked events, even individual chords (the *Elektra* chord is, by itself, a generic-semantic token, signifying not only the character Elektra but also the broad genre of works in the harmonic tradition of Strauss and his contemporaries). Interpretation of these generic signals involves acknowledging their possible meanings, exploring the web of interactions between implied genres, and understanding, as Devitt argues, that genres are always undergoing change and interaction: "Rhetorical genre theorists have come to speak of genres as stabilized-for-now . . . but I would argue that genres are never really stabilized. If each text always participates in multiple genres, then even in that text a genre is moving, shifting, and becoming destabilized. Even temporary stability is an illusion of genre theory rather than a reality of genre-in-action" (2000, 713). Thus, genres are historically contingent, and as taxonomies, genre systems should be understood in relation to broader trends of change over time.

### §1.3. Adapting Literary Genre Theory to the Study of Musical Form

Let us now return to Dahlhaus's historical account of genre. In his view, the eighteenth-century purposiveness of music yields to a nineteenth-century expressiveness, before a twentieth-century autonomy by which the concept of the musical genre is "hollowed out" (1974, 622). To be more precise, though, Dahlhaus's claim about the fall of genre—that the

individualism of musical works in the twentieth century had "a tendency to abolish genre" (1968 [1987], 33)—is directed squarely at works he terms "New Music" of the epoch. This is a distinct "historical category" of works from after 1910 that eschew traditional generic labels and formal layouts. The principal agent of such newness after the turn of the century was, for Dahlhaus, not Schoenberg the reluctant revolutionary but Webern, who (in Dahlhaus's account) brandished compositional, thematic-motivic logic as a cudgel to dismantle clear formal structures and paradigms of instrumentation, movement layout, and lyricism (40–41). Subsequent post-War works of autonomous music, bearing evocative titles like "Constellations," were therefore devoid of the amalgam of generic expectations, intertexts, stylistics, and formal conventions that often underpin analytical interpretations. Drott (2013) rejects Dahlhaus's notion that genre had become obsolete with the rise of the extreme individualism that Butler traces to early modernism. Instead, Drott argues that genres need to be viewed dynamically: "A genre . . . is not to be construed as a stable class of objects, defined by possession of some discrete set of fixed characteristics. Rather, it is to be understood as a dynamic ensemble of correlations, linking together a variety of material, institutional, social, and symbolic resources" (9).[24] The dynamic view of genres allows

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[24] Kathleen Hall Jamieson and Karlyn Kohrs Campbell (1982) advance a similar argument regarding genres in rhetoric: "Genres are not only dynamic responses to circumstances; each is a *dynamis*—a potential fusion of elements that may be energized or actualized as a strategic response to a situation" (146; emphasis original).

grouping and comparison of works beyond simply shared titles,[25] offering a more flexible

model of genre than the rigid one Dahlhaus espouses. Most germane to this dissertation is

the ability to associate works with genres principally by shared formal procedures, regardless

of titles or positions within a multi-movement work. Nevertheless, if composers were at least

in part rejecting older titles in favor of illustrative labels after the advent of serialism, the

proliferation of genres that Dahlhaus describes (which might be said to diminish their

explanatory power) is a recognizable fact of post-War music that makes generic classification

depend on more than the title alone.

Following the models laid out in literary criticism in the late twentieth century, a flexible,

integrative, and historically situated conception of genre allows for interpretation of early

modernist works in context. The particular situation of large-scale form is not immune to

such concerns. Writes Julian Horton, musical forms "are never ahistorical; and neither are

the theories that explain them" (2019, 367). Since maximalist works incorporate forms,

styles, topics, or texts with prodigious freedom, the analytical lenses of generic mixture, genre

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[25] Andrew Aziz (2013) has explored semiotic issues related to titles in sonata-form works of Debussy and Ravel,

demonstrating the flaws of a one-to-one mapping of title to genre. A fluid interpretation of the sonata genre, he

argues, accounts for both "named" sonatas that deviate from sonata-form expectation and works that Aziz labels

"subjective" that are otherwise labeled but still call to mind sonata components in the mind of the listener. If

genre deals with "taxonomy" and "rhetoric" to Drott as well as "esthesics," following Aziz, any interpretation of

genre might draw upon titles, formal or structural grouping elements, instrumentation, stylistic characteristics,

as well as secondary parameters that are characteristic of particular expressive ends.

interactions within broader systems, and Bakhtinian absorption reveal connections within a

singular work to related modes of musical discourse. In this way, individual components of a

musical work perform "indexicality" in the Peircean sense by referring to external musical

objects (forms and/or genres) that could be expected to contain them. The signifying

capacity of these objects means that they are musically rhetorical.[26] Vera Micznik, discussing

genre and topic in Mahler, summarizes the interaction of rhetoric and genre that I advocate

here:

> A minimal set of stable musical features is necessary for the identification of a
> genre. These morphological configurations (thematic, tonal, rhythmic,
> scoring, or form) constitute the most palpable dimensions of these units of
> meaning. . . . Generic affiliation relies in part on these stable features and on
> their primary denotative meanings, but its most interesting attributes are
> inferred at the connotative level; that is, on the basis of learned conventions.
> (1994, 122)

In other words, a single musical event can function as representative of a genre, as can a

musical topic, a formal procedure, an ensemble of instruments, or an abstract process. These

component generic indices each enact roles in the development of musical communication.

They suggest conventional predicates that follow the procedures of the indexed genre, but

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[26] For Charles Sanders Peirce, signs that are indexical point to the context in which they exist, to the "actual

modification of it by the Object" in his words (Peirce [1940] 1955, 102). I borrow this notion principally to

suggest that components of a work are, by dint of their correspondence with a particular aspect of a formal

procedure, able to summon the full weight of that formal procedure as well as the rhetorical significance of their

position and function within it.

they need not reproduce those procedures in their entirety—rather, it is the suggestion of multiple, conflicting genres that creates expression in maximalist music.

The interactions of generic signifiers with conventions thus yield complex relationships including hierarchy, conflict, resolution, development, disruption, and the like, which represent some of the principal drivers of musical expression. The hierarchical interaction between secondary genres and the primary genres they incorporate is distinct from the standard recursive notion of formal hierarchy, because those primary (simple) genres (e.g., an internal, sectional episode absorbed into a sonata) often contradict the prevailing structure. Conflicts between possible formal interpretations of a section can be exacerbated by contrary generic signifiers. Thematic transformation and destabilization can be accomplished by adopting the generic processes that typically appear in transitions and developments, which allows an analyst to interpret as resolution the return to a more stable thematic state. Moreover, conflicting generic possibilities can be resolved by a musically expressive event that clarifies an overarching complex process. In these ways, the ability to interpret forms in the terms of genres, to recognize their mixture and the rhetorical effects that result, affords the analyst a perspective that is attentive to the relevance of historical conventions while molding taxonomic theories to the complex task of analyzing maximalist music.

## §1.4. Formal Methodology and Forms-as-Genres

The notion that a formal procedure or musical event can summon the rhetorical weight of an entire genre has at least two corollaries. First, musical forms are thus constitutive of musical

genres.[27] Forms—like institutions, as genres—construct traditions, carry rhetorical

expectations, persist through change, and exist in systems with structural interactions (in the

sense of Guillén's genre structures) among other forms. Second, a musical work "in" one

particular form-as-genre can incorporate formal-generic icons of other forms. For this reason,

it can be reductive to refer to works as "in" a particular form. A freer understanding of

formal hybridity allows the analyst to respect the rhetorical aspects of formal function, which

I will address shortly. In the context of the Germanic music of early modernism, my

approach to form requires sensitivity to the flexibility of forms-as-genres, especially in light of

the maximalist agenda. It also necessitates a working definition of form, something of a fool's

errand in even the most straightforward of cases.[28] For this dissertation, the term musical

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[27] This does not ignore that forms and genres are distinct entities. A form like sonata form and a genre like the

piano sonata signify different concepts; however, many piano sonatas include sonata forms, and the association

between the form and the genre is historically resilient. The argument that forms are constitutive of genres,

though, implies new generic categories—all works that are in dialogue with sonata form represent a generic

group.

[28] In a prologue to a set of essays on form by William Caplin, James Hepokoski, and James Webster, Pieter

Bergé (2009) describes as "precarious" (11) any attempts at defining form in music. Bergé critiques how

Caplin, Hepokoski, and Webster all evade the academic exercise of asserting a genuine definition of the term.

He suggests that the collective obfuscation is, however, a sign of self-awareness. Instead of offering an all-

encompassing definition of form, they choose to consider those aspects of form that their theory best describes:

"Apart from strongly indicating the complexity of the phenomenon itself, this definitional omission represents a

general intention to grasp musical form within a theory or method that reveals only aspects of form; these

"form" will signify the structural, stylistic, and historically contingent elements that contribute to the generic interpretation and distribution of sections in a work.[29] This characterization of form, in keeping with the maximalist enterprise, directly associates the term with genre (and the institution metaphor) and prioritizes the large-scale perspective. As will be discussed shortly, I will bring to bear a plurality of methodologies (rather than a single theoretical apparatus) when analyzing those elements that contribute to musical form.

In the last quarter century, debates over music-analytical methods have centered on the role of theories and taxonomies of form in the analysis of individual works. This discourse has in part been spurred by what Bonds (1991) terms "the semantic paradox" (1) of form, namely a philosophical opposition between "generative" and "conformational" approaches to structure. Bonds's dichotomy is roughly analogous, as Kevin Korsyn (1994, 124) notes, to the Schenkerian notions of "inner" and "outer" form coined by Felix Salzer. Horton (2017) suggests a subtle, empirically-minded variant: a distinction between "*taxonomic* and *systemic* theories: that is, between theories of the formal designs observable in the repertoire and those

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aspects are then considered to be crucial for its identity, as well as relevant for the concrete praxis of musical analysis" (12). As I will argue in the remainder of this chapter, a pluralist approach to formal methodology will allow analysts to play different theories off of each other, thus creating an opportunity for a less circular definition of form.

[29] Parts of this definition may call to mind Whittall's (2001) entry on "Form" in *Oxford Music Online*. He initially defines form as "the constructive or organizing element in music," cautioning that "composers oblige writers on music to confront the infinite flexibility of the relation between 'form' as a generic category . . . and the musical work as the unique result of the deployment of particular materials and processes."

of the systems from which forms are constructed" (150; emphasis original).[30] Whereas

analysts of the generative camp purport to reveal what is unique within a musical work, those

belonging to the conformational school of formal analysis ostensibly seek "shared structural

patterns" or "lowest common denominators" between generically correspondent works,

begetting an inadequate, "jelly-mould idea of form" (Bonds 1991, 13–16). The

conformational camp would likely include the contributions of William Caplin (1998) and

James Hepokoski and Warren Darcy (2006), whose theories relies heavily on taxonomic

categories, standard practices, and formal deviations therefrom.

Significant contributions to the generative model of musical organization and the study

of long-range coherence in early-twentieth-century music appear in the adaptations of

Schenkerian theory performed especially by Salzer (1952), Roy Travis (1970), Peter

Bergquist (1980), and Christopher Orlo Lewis (1984), although explicit theorizing about

form is not their primary concern. Heinrich Schenker himself avoided establishing a stand-

alone theory of musical form,[31] and he mostly eschewed studies of contemporaneous music,

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[30] Here, Horton is concerned primarily with the ontology of formal designs, whereas one might describe

Bonds's generative/conformational dichotomy as reflective of analytical attitudes. The

generative/conformational distinction refers to how analysts approach individual works—for example, by a

bottom-up or top-down approach. Horton's taxonomic/systemic distinction, on the other hand, concerns how

analysts theorize forms—that is, whether they empirically draw from the literature or deduce from a priori

axioms of a theory.

[31] Ernst Oster adds an editorial commentary on Schenker's contribution to form in *Free Composition* ([1935]

1977, 139–40), describing the overall discussion of form as intentionally brief, but noting that his discussion of

considering Brahms the last "master" composer (see Botstein 2002, 241–42). In Volume 2 of *The Masterwork in Music* ([1926] 2014), he does entertain an analysis of Max Reger's op. 81 variations, primarily to demonstrate his view of the music's inadequacies. Although the final chapters of *Free Composition* ([1935] 1977) explore issues of form, Schenker's own argument is dogmatic: form is but one more product of the fundamental structure ("always creating, always present and active" [18]) and the processes of prolongation and diminution (128). The connection between coherence and form is, for Schenker, an emergent property of the coherence created by methodical derivation from the background: "The phenomenon of form in the foreground can be described in an almost physical-mechanical sense as an energy transformation—a transformation of the forces which flow from the background to the foreground through the structural levels" (162). Moreover, Schenker rejects an analytical focus on thematic identification, which would fail to address the question of how the background generates the foreground. Salzer (1952) expounds a theory of coherence that directly coordinates tonal structure, outer form, and "design" ("the organization of the composition's motivic, thematic, and rhythmic material through which the functions of form and structure are made clear" [224]), thus providing a less extreme position than Schenker's own.

Mediating the generative/conformational binary is a tricky task, one that I do not claim to accomplish in this dissertation. The controversy surrounding theories of form persists, and

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sonata form—"this highly developed and most varied form"—is "sketchy and in a number of ways incomplete."

the arguments against conformational approaches to form can tend, on occasion, toward the

overblown. Kofi Agawu's (2009) stance is representative of recent diatribes against the new

*Formenlehre*:

> Scholars have sought to distribute the reality of musical compositions into
> various categories, explaining adherence as well as anomaly in reference to
> constructed norms. . . . From a listener's point of view, such forms are often
> overdetermined, inscribed too rigidly; as such, they often block access to the
> rich experience of musical meaning. The complex and often contradictory
> tendencies of musical materials are undervalued when we consign them to
> boxes marked "first theme," "second theme," and "recapitulation." The
> ability to distribute the elements of a Brahms symphony into sonata form
> categories is an ability of doubtful utility or relevance, and it is a profound
> shame that musicology has devoted pages upon pages to erecting these
> schemes as important mediators of musical meaning. At best, they possess
> low-level value; at worst, they are distractions. (2009, 8)

Ponder the terms used in the above excerpt: form scholars "consign" music to

"overdetermined, rigid categories" that index "constructed norms" to demonstrate some sort

of analytical "ability." Agawu's argument emanates from a principled position regarding

analytical discourse: namely, the feeling that an analysis should aim to articulate that which

makes a work particular. He thus expresses discomfort with analytical methodologies that

follow Todorov's "theoretical" approach, starting from a Platonic ideal and thus prioritizing

features external to individual works.[32] His alternative methodology privileges the

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[32] One might immediately recall David Lewin's remarks on analysis—clearly influential on Agawu's present

discussion—from 1969: "ANALYSIS. Here one is interested not in a general mode of hearing, but in the

individuality of the specific piece of music under study. In this sense, analysis is really antithetic to theory"

(1969, 62). Of course, were one to continue but a few paragraphs later in the same article, one would find

Lewin's mediation of the two "antithetic" modes of musical inquiry: "in analyzing certain pieces, it is at least

construction of meaning from musical elements that an analyst deems striking and "immediately perceptible" (41) or "readily understandable" (163), descriptions that Agawu associates with "salience." According to the argument, one can hardly uncover the generative individuality of a work if one starts from an abstraction.

Agawu's position represents the antithesis of what has become common in the new *Formenlehre*: the theoretical categorization of formal types and the comparison of individual works to sets of norms in order to interpret anomalies. His preference for a bottom-up approach, which yields perspicacious analyses of numerous works, bypasses the question of the interpretive usefulness of received conventions. But taxonomic formal theories share the goal of capturing particularity, for they are primarily catalogues of the *un*original, or at minimum the less original, the shared, gathered with the purpose of isolating unique structural and rhetorical features in individual works. Leonard Ratner makes a similar argument about the utility of formal taxonomies, years before the advent of the new *Formenlehre*: "classic forms are interpreted as countless options within a few working schemes, the schemes themselves arising from the idiomatic rhetoric of classic music. Each

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very helpful, and often practically indispensable, to make a presumption that the piece exists embedded in the context of a general sound-universe (set of 'pre-compositional assumptions' or 'stylistic assumptions')" (63). One of the foundational writers on phenomenology in music, then, endorses the significance of a highly theorized approach to analysis: theory can provide a framework and a code of analytical ethics for the interpretation of a singular work. Horton (2017) says much the same when he writes that "what the theorist derives [from empirical study], the analyst applies, but the research object remains the same" (2017, 152).

composer could work within the familiar and accepted framework and modify to express his unique personal message" (1980, 208). Agawu underappreciates the poststructuralist sense of the conformational agenda. While he commends the "singular achievement" of the poststructuralist enterprise—the "problematizing of such binary oppositions" as text and context (2009, 5)— he favors treating musical texts as singular composites of expressive events. Thus, Agawu elects to deemphasize the compositional lineage in which individual pieces are situated, a fundamental element of the "social trace" by which any musical work is marked.

On the other hand, reliance on a conformational theory of form can result in a discourse that predominantly evaluates the degree of adherence to regulated categories, with a tendency to frivol in taxonomic disputes. Several discussions in the 2009 colloquy between Hepokoski, Caplin, and Webster (see footnote 28 above) typify both the benefits of methodological pluralism as well as the flaws of partisan obstinacy. At times, the authors entrench themselves in terminological palavers,[33] often rooted in incompatible premises. Elsewhere, though, the fruitful capacity to synthesize the strengths of different theories becomes apparent. Webster's (2009b) exposition of multivalent analysis represents the clearest model for such pluralism. By considering form across various "domains" (e.g., "tonality, musical ideas, rhythm, dynamics, instrumentation, register, rhetoric, 'narrative' design, and so forth"; 128), multivalence constitutes "not a theory, but a *method*," which "erects no typologies or grand

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[33] See the back-and-forth between Hepokoski (2009b, 2009c) and Caplin (2009b) regarding the retransition of Mozart's *Idomeneo* overture (pp. 77–88, 92–93, and especially Hepokoski's response in pp. 102–3).

categorizations, makes no attempt to account for the entirety of any class of works or structures, entails no global claims regarding things that must or must not occur, or which domains are primary" (129; emphasis original). Hence, multivalent analysis is not a "theory" (in the sense of an explanatory apparatus that is "categorically prior to any one specific piece," in the words of David Lewin [1969], 61), but an analytical mindset. Webster's approach permits direct engagement with both Sonata Theory and formal function without admitting of the taxonomical prescriptions of either theory.

While not explicitly adopting Webster's multivalent technique, throughout this dissertation I practice a similar methodological pluralism and an attention to the multiple domains at work in any musical event. Methodological pluralism celebrates the advantages afforded by divergent theories without succumbing to questions of superiority. Sonata Theory offers a fertile method for responding to composers' compositional choices as selected from a set of socially defined options, within and across works. Formal function affords a critical attentiveness to multiple layers of structure, revealing internal structural contradictions within a work. As Mitchell Ohriner (2010) writes, the ideal of methodological pluralism may be rendered nonviable by the "intolerance" of theories and theorists; yet at the close of his review, Ohriner presents an optimistic sentiment, one that has spurred my own mode of discourse in this dissertation:

> In our engagement with other theories we can minimize (or ignore altogether) their claims for supremacy and qualify their ambitions without undermining the contributions of those theories toward understanding the repertoire. In other words, we can draw on methods we find useful without being burdened by the epistemology at their foundation. If we can take this further step, then the next project of this kind, of which I hope there are

> many, can aspire not toward methodological confrontation or even reflection,
> but toward cooperation in our shared attempts to understand the
> complexities of our rich repertoires. (155)

Particularly in light of the maximalist musical works at hand in this dissertation, I draw from theories designed for the Classical period, selectively borrowing relevant concepts while temporarily bracketing their philosophical differences. Throughout this dissertation, I will argue that the expressive ambitions of the early modernists were served by recourse to traditional formal and semantic means. Mahler, Strauss, and Schoenberg were trained in the Classical conventions; indeed, new theories of formal organization like Hans von Wolzogen's identification in 1888 of the leitmotif were the avant-garde during their upbringing, and some of their juvenile compositions (for example, Strauss's *Serenade*, op.7 [1881]) are decidedly traditional. The theories of Classical-period music mentioned above (which have, of course, been successfully adapted for Romantic and later periods as well) constitute a rhetorical vocabulary that was employed with vigor by these composers, even as they problematically stretched the various conceptions of formal and generic typology. The principle prototype of large-scale form in the symphonic works of these figures remains sonata form, but, as we will see, allusions to sonata form will often serve to engender individual moments of rhetorical significance, instead of serving as the single, overarching formal structure.

### §1.5. Music as Discourse and a Rhetorical Approach to Form

As an alternative to rigid formal analysis, Agawu (2009) advocates for a "material" approach to form: "Placing the emphasis on events promotes a processual and phenomenological view of the work; it recognizes moment-by-moment succession but worries not at all about an overall or resultant profile that can be named and held up as an archetype" (8). While maintaining a focus on large-scale form and its relation to traditional procedures, my approach to form has certain similarities. In particular, I afford explicit attention to the rhetorical effects of musical events, even when they might fundamentally contradict a large-scale formal logic. I concentrate on the order and kind of musical events in relation to other, similar musical events, drawing meaning from correspondences, contradictions, and their associations with generic norms—in other words, I construct dialogic meaning by examining what Hepokoski and Darcy (2006) term "rhetorical strategies" (19). As Bonds (1991) notes, the formal design of a work is a manifestation of its rhetorical organization: "Rhetoric, by this definition, is not a specific body of rules or devices, but rather the 'rationale,' as one modern writer [Donald C. Bryant] has described it, 'of the informative and suasory in discourse.' In this sense, form is the manner in which a work's content is made intelligible to its audience" (5).

Agawu defines a "beginning-middle-end" model of rhetorical event functions "based in part on convention and in part on logic." Furthermore, he invokes norms, associations, and custom: "A beginning in this understanding is an event (or set of events) that enacts the normative function of beginning. . . . A middle is an event (or set of events) that prolongs

the space between the end of the beginning and the beginning of the ending. . . . An ending is an event (or set of events) that performs the functions associated with closing off the structure" (2009, 53; emphasis added).[34] Particular technical processes—which might be considered analogous to Caplin's formal functions—are, for Agawu, normatively associated with beginnings, middles, and ends. Likewise, he describes thematic functions ("we might postulate the imperatives of a clear statement or definition at the beginning, fragmentation in the middle, and a restoration or statement at the ending") as well as composer-specific conventions (54). At its core, then, Agawu's model is akin to those of the new *Formenlehre* in how it addresses rhetoric.

The approach to form adopted in this project is motivated by a similar attention to order and musical signification. I draw upon the formal and generic associations and connotations of musical events—be they gestures, processes (e.g., growth or collapse), weighted formal moments (as at the onset of sonata recapitulation), motivic transformations and linkages, topics or tropes, or sudden shifts in narrative fortune—striving to juxtapose the expressive content of music with its broader cultural context. Similar to Vande Moortele's (2017) notion of "localized sonaticization" (see Chapter 2), I view these generically meaningful musical events as capable of suggesting either an absorbed genre within an overarching secondary genre (recalling Bakhtin's terminology), or a large-scale hybrid genre along the

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[34] Agawu's beginning-middle-end model shares clear resemblances with Ratner's rhetorical functions "opening, continuation, and completion" (1980, 39) as well as Caplin's (1998) formal functions, which include a model of "presentation, continuation, and cadence."

lines laid out by Fowler.[35] Thus, Sonata Theory, form-function theory, and narrative theory

are all useful tools from which I draw interpretive claims. Early modernist composers would

often allude to various components of several, potentially contradictory, formal prototypes.

My analyses will neither privilege any one theory nor rely on any single formal model.

Rather, I will identify the semantic content of musical events using whatever theoretical

system seems most pertinent for the context at hand.

By foregrounding the semantic implications of particular form-functional events, I thus

establish a rhetorical approach to form. In other words, I view the mark left on a piece by its

dialogue with, say, sonata form as inherently rhetorical—that is to say, there is a functional,

discursive difference between, e.g., a recapitulation, a reprise, a refrain, and a ritornello, all of

which express the more abstract concept of return. To ignore the culturally conditioned and

established norms (and common alternatives), as laid out in a taxonomic theory of form,

risks overlooking the rhetorical differences—those associated with the broad arrangement of

musically expressive events—between corresponding moments within a piece or between

pieces of music. As Bonds puts it, "the a priori categorization of specific forms remains

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[35] Benedict Taylor (2018) describes the merits of Vande Moortele's notion of sonaticization, including that, like

the approach described in this chapter, it affords the analyst a freer interpretive framework for relating

generically complex forms to sonata form: "'Sonaticization' hence offers a potential nuance to the wholesale

application of the concept of 'deformation' in describing a movement's inexact relationship to a sonata model.

Thus, depending on one's perspective, a work such as Wagner's overture to *Der fliegende Holländer* may be

approached as either a radically deformed sonata or a highly sonaticised potpourri" (417–18).

essential in the analysis of individual works. No matter how deprecated the idea of a stereotypical pattern may be, it must still be integrated into a broader theoretical concept of form if we are to understand any number of important works of music" (1991, 16).

Let us examine one instance where the rhetoric of return can be more acutely specified: recapitulation. The application of the label "recapitulation" to a particular section of music carries with it specific historical and theoretical connotations that should serve as a starting point of analysis, associating the section with its traditional formal situation and inviting interpretation. Adolf Bernhard Marx famously refers to the tripartite sonata as one developmental manifestation of the *Ruhe–Bewegung–Ruhe* musical structure, whereby the recapitulation is not merely a return, but a return to rest (Burnham 1989, 259). For Caplin (1998), the recapitulation achieves the "restoration of stability" (139), functioning to "resolve the principle tonal and melodic processes left incomplete in earlier sections and to provide symmetry and balance to the overall form by restating the melodic-motivic material of the exposition" (161). Hepokoski and Darcy (2006) employ similar terms: the recapitulation "resolves the tonal tension originally generated in the exposition . . . by restating all of the non-tonic modules from part 2 of the exposition (S and C material) in the tonic key" (19). It achieves "a generic conclusion of resolution and confirmation (the ESC and subsequent music)" (251), thus accomplishing the "central generic task" of the sonata form as a whole (17). The rhetoric of recapitulation thus calls upon such concepts as *summary*, *discharge*, *resolution of tension*, *accomplishment*, and *completion*. As will be seen in Chapter 2, a rondo refrain would carry different conceptual connotations, most notably

lacking the senses of *accomplishment* or *summary* that are embedded in the notion of recapitulation.

Of course, the Classical models are only useful because of the creative ways in which early modernist composers would playfully summon them: for example, manipulation of the rhetorical accomplishment expected at the recapitulation is the means by which Strauss portrays the catastrophic conclusion of *Eine Alpensinfonie* (see Chapter 3). The moment would not carry the same semantic message without the rhetoric of sonata form. Rather than seeking to tabulate and explain formal deviations from the norm, the rhetorical approach presented here strives to recognize form-functional musical events and associate them with their most likely generic provenance. In my analyses, musical events project particular formal functions or are in dialogue with component members of a taxonomic formal theory based on the historically contingent rhetoric of Classical and Romantic formal procedures. Yet in many cases, the resultant analyses will seem, at first blush, highly unconventional, perhaps even suspect when judged against those precedents. Since Sonata Theory and formal function were empirically designed with the study of Classical music in mind—indeed, Horton (2017) describes these theories as "at base *analytical*" (152; emphasis original)—the degree of remove to the early modernist period significantly problematizes their explanatory power. For their part, Hepokoski and Darcy (2006) have proposed a system of historical assimilation, whereby commonly used Romantic deformations become absorbed into a "larger network of sonata-deformation families" (11). But what of those maximalist works of early modernism that seem relatively dismissive of conventional formal norms? Hepokoski

(2006) offers a pragmatic stance as it pertains to post-Romantic dialogue with sonata form: "It is futile to pretend that sonata-form conceptual categories had been largely swept away by later nineteenth-century composers and their formal 'freedoms.' On the contrary, the structural power of any such freer forms lay precisely in their high-friction, dialogic relationships with preexisting conceptual categories" (30). Works of early modernism summon extant formal procedures for their rhetorical effects, often with the end goal of adapting them to create freer structures. They deploy conflicting formal functions and rhetorical strategies drawn from Classical and Romantic music, motivated not by the single teleological strategies typical of large-scale form (such as Hepokoski and Darcy's "structure of accomplishment" [2006, 17]), nor by strict adherence to a hierarchical logic, but rather by particular expressive properties, fueled by generic connotations, that a particular formal function might evoke.[36]

In order to analyze the maximalist works in the present dissertation effectively, my perspective foregrounds expressively charged moments that seem to act as beacons, illuminating the otherwise tenebrous, at times paradoxical course of particular movements.

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[36] Horton (2004) finds a similar formal abandon at work in Anton Bruckner's Third and Fourth Symphonies, which may be fruitfully understood as precursors to the works of interest to this dissertation: "Bruckner places an emphasis on spiritual revelation that separates his music from the essentially secular orientation of the symphonic mainstream. The teleological processes of the Beethovenian symphony could thus only impede Bruckner's works, because they rely on a concept of maintained structural ambiguity that was anathema to the eternal verities of Bruckner's faith" (7).

Examples abound in the chapters to follow: the A♭-minor chorale in the opening movement

of Mahler's Tenth Symphony, after which the course of the sonata fundamentally shifts; the

apotheotic horns at the summit of Strauss's *Eine Alpensinfonie*, which dominate the climactic

arrival and transcend the binary of nature and human; and the final segment of the rondo

finale in Schoenberg's First Quartet, in which divergent paths converge and elucidate the

formal procedure of the whole. These moments and others like them perform particular

rhetorical work by revealing an overarching formal procedure that may otherwise have been

inconspicuous. They also represent existential challenges to the prevailing formal logic of the

works, and thus demonstrate the formal and generic flexibility these works embody.

<div align="center">*        *        *</div>

One final note on methodology: in offering formal analyses throughout this dissertation, I

regularly rub up against the challenges that early modernist music poses to tonality.

Throughout the form charts and discussions in Chapters 2–4, I will refer to keys that are

implied in a given work. The criteria for designating the tonality of a particular moment are

variable from work to work and composer to composer. At times, as in much of the music of

Strauss's *Eine Alpensinfonie*, tonality is clear, regulated by cadences and key signatures.

Elsewhere, as in the challenging developments of Mahler's symphonies, I often rely on

transpositional schemes. For example, if a theme's melody or motive first appears to reflect

specific scale degrees in one key, I tend to assume that, when it reappears, it projects the

same scale degrees unless the accompanimental context clearly suggests otherwise. In my

form charts, I mark tonalities that I view as confirmed by one or more indicators: they

include cadences, overall collectional identity, melodic transpositional schemes, and clear bassline progressions. Often, tonality is too murky to pin down—Schoenberg ([1954] 1969, 3) described this phenomenon as "roving" harmony—and in these instances, I indicate no specific key.

<div align="center">*          *          *</div>

The impact of the maximalist aesthetic on the musical works of early modernism is predominantly concentrated on the dimensions of form and genre. To be sure, early modernist composers innovated in numerous other domains, but the aesthetic of maximalism—a radical intensification of means, an expansion of magnitude, an application of music in the spirit of philosophizing—manifests prominently in the large-scale organization of musical works. Because Mahler, Strauss, and Schoenberg sought to develop new strategies for long-range coherence and large-scale form, they inevitably abandoned some of the traditional teleological models of the Classical and Romantic period. Yet they did not dispense entirely with the past, and the rhetorical vocabulary of Romanticism was very much a part of the early modernist language. The rhetoric of thematic contrast, as in the exposition of a sonata form, still provided the fundamental opposition that underpinned narrative conflict. Large-scale form continued to pull on the thread of sonata-form dialectics, building expectations for events that would corral the disparate parts of a discursive work. A perspective that considers form to be constitutive of genre allows analysts to recognize components of various forms while acknowledging that formal mixture had become the norm by the early twentieth century. By way of analyzing long, complex, maximalist musical

works, this dissertation will demonstrate the organizing power of numerous rhetorically

significant moments, the ability to effectively reconcile seemingly antithetical approaches to

formal taxonomy, and the expressive methods Mahler, Strauss, and Schoenberg implemented

in order to propound through their music a particular attitude toward the world around

them.

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# Chapter 2.
## Generic Hybridity in Gustav Mahler's Late Symphonies

> Dissociation and decay, quotation and recollection form a paradoxical unity
> that, only through the striving of everything apart—as in Kleist's famous
> metaphor of the curved archway that stands because every stone threatens to
> fall—does it gain its constructive cohesion.
>
> [Dissoziation und Zerfall, Zitat und Erinnerung formieren sich darin zu
> paradoxer Einheit, die erst im Auseinanderstreben alles Einzelnen—gleichwie
> in Kleists berühmter Metaphor vom gewölbten Torbogen, der sich hält, weil
> jeder Stein zu stürzen droht—ihren konstruktiven Zusammenhalt gewinnt.]
>
> <div align="right">Bernd Sponheuer (1978, 403), on Mahler's late style.</div>

### §2.1. Mahler's Late Style in Context

"In late Mahler, counterpoint rebels."[37] So writes Theodor W. Adorno ([1960] 1992, 114)

in his monograph profile of Gustav Mahler, the Viennese composer known as a "born

melodist" (de la Grange 1999, 115). To be sure, melody was something of a driving force

throughout Mahler's output, spurring dramatic symphonic narratives through thematic

development. But in his late works, counterpoint arises as a principal antagonist to melody.

The conflict is never more pronounced than in the third movement "Rondo-Burleske" of his

Ninth Symphony. Mahler's late works demonstrate a renewed attention to counterpoint—

particularly Mahlerian counterpoint, that wanton co-incidence of melodies that brings to

mind street music, where sounds create a "musical pandemonium without the slightest

attention to each other," to borrow Natalie Bauer-Lechner's words. Bauer-Lechner recalls, as

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[37] "Beim späten Mahler rebelliert der Kontrapunkt" (Adorno 1960, 151).

early as Summer 1900 (the period of composition of the Fourth Symphony), Mahler's

fascination with the noise of a festival in the streets of Berlin:

> Not only were innumerable barrel organs blaring out from merry-go-rounds,
> swings, shooting galleries and puppet shows, but a military band and a men's
> choral society had established themselves as well. . . . Mahler exclaimed: "You
> hear? That's polyphony, and that's where I get it from! . . . Just in this way—
> *from quite different directions*—must the themes appear; and they must be just
> as different from each other in rhythm and melodic character. . . . The only
> difference is that the artist orders and unites them all into one concordant
> and harmonious whole."[38] ([1923] 2013, 155, emphasis original)

Yet Adorno sees the middle-aged composer's return to counterpoint not as a mere

enchantment. Rather, he considers it of a piece with late Mahler's broader neoclassical

critique of the symphonic genre.

Consider the Ninth Symphony (1909), in which Mahler returns to a four-movement

structure. The *Andante comodo* is no doubt in dialogue with the standard first-movement

sonata form (despite Seth Monahan's [2015, 29] nebulous, but not unreasonable, contention

that neither it nor the first movement of the Tenth Symphony "*feels* much like a sonata").

The second movement calls upon the dance suite genre, while the third invokes fugal

technique and the rondo. The *Adagio* finale is surely out of place in common symphonic

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[38] Bauer-Lechner reports further evidence of Mahler's association of this sort of happenstance metropolitan

polyphony (again featuring the barrel organ!) with his symphonies:

> Mahler told us at table that, on the woodland path to Klagenfurt with [Hubert Wondra],
> . . . he was much disturbed by a barrel-organ, whose noise seemed not to bother [Wondra]
> in the least. "But when a second one began to play, [Wondra] expressed horror at the
> caterwauling . . . And when, into the bargain, a military band struck up in the distance, he
> covered up his ears, protesting vigorously—whereas I [Mahler] was listening with such
> delight that I wouldn't move from the spot." . . . Mahler said, "If you like my symphonies,
> you must like that too!" ([1923] 2013, 155)

procedure—the only obvious pre-Mahlerian precursors are the concluding movements of Franz Joseph Haydn's "Farewell" Symphony and Pyotr Ilyich Tchaikovsky's "Pathétique,"[39] although the slow middle movements of Anton Bruckner's Sixth and Ninth Symphonies,[40] as well as Ludwig van Beethoven's op. 111 Piano Sonata, are likely pertinent to a fuller account of the genre. Nevertheless, the slow finale comports with Mahler's own practice, appearing in the Third Symphony, the chorale that closes the Sixth, *Das Lied von der Erde*, and in the draft score of the Tenth. Carl Niekerk argues that, from the Seventh Symphony onward, slow movements "start to play a more prominent role in Mahler's symphonic

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[39] Timothy Jackson (1999) cites the special influence that the "Pathétique" would have had on Mahler, citing reviews of his 1910 performances of the work in *The New York Times*. Mahler's New York Philharmonic and Metropolitan Opera seasons saw him conduct Tchaikovsky's *The Queen of Spades* as well as the "Pathétique" on multiple occasions. Jackson offers a broader argument about the ubiquitous influence of the Sixth Symphony on Sergei Rachmaninoff, Jean Sibelius, Mahler, and Richard Strauss. He argues that the failed *ad astra* narrative of the "Pathétique" is "profoundly integrated" and overcome in the finales of Mahler's Ninth and Tenth Symphonies (93). Vera Micznik (1996, 164–65) also links the reception history of the finale of the "Pathétique" with that of Mahler's Ninth. To throw a wrench in Jackson's argument, Henry-Louis de la Grange notes a performance from early 1910 in which Mahler "conducted the piece with all too obvious distaste" (2008, 694). Mahler's performances of the same work in 1911 were, however, met with some negative press for his *over*-emotive realizations of the work (2008, 1133–34), and Inna Barsova notes that "in his last concert seasons in New York he chose to perform it six times . . . which may suggest a kind of kinship between the two composers" (1999, 519).

[40] Gabriel Ignacio Venegas Carro (2017) delves into some of the compositional idiosyncrasies—including syntheses of rondo and sonata rhetoric—that are prevalent in especially Bruckner's slow-movement rondos.

landscape. . . . Starting with the Seventh, the first and last movements of Mahler's symphonies in particular tend to develop as slow movements" (2010, 148). It is true that historical precedents exist for Mahler's broader generic mixture and formal individuality. The finale of Beethoven's Ninth Symphony overlays sonata form with a march, double fugue, solo voices, and chorus, representing an instance of genre bending that presages the modernist tendency toward generic freedom.[41] But in each movement of his own Ninth, Mahler elects to warp Classical technique, revealing a critique of tradition generated from problems of formal and generic hybridity. Exploring form in late Mahler involves articulating "the form-problem the work attempts to solve," to borrow Frederic Jameson's words (2015, 68).

In terms of aesthetics, Mahler's late works offer a convoluted world outlook that parallels their formal and generic complexity. Death is surely a principal subject, and Mahler's own death has largely preoccupied prior studies of the late works.[42] *Das Lied von der Erde* ends with a "Farewell" ("Der Abschied")—to several scholars, notably Stephen Hefling (1992, 2000), Donald Mitchell (1985), Hermann Danuser (1986), Dika Newlin ([1947] 1978),

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[41] Analysis of the finale of the Ninth Symphony has involved a number of hybrid interpretations. James Webster (1992) views the movement as a large-scale sonata form, accounting for the different styles and textures directly within a sonata-form reading. David Levy (1995) has parsed the finale into a four-movement structure.

[42] Micznik (1996) cites numerous early-twentieth-century accounts of the Ninth Symphony as Mahler's autobiographical recognition of death.

and Jameson (2015), this was the composer's swan song to life and a premonition of his death. These scholars have support for their interpretation, especially concerning the biographical events of 1907. Mahler lost his eldest daughter that July, and shortly thereafter he learned of a worrisome heart condition. It was described to him at the time as "potentially fatal," forcing him to leave a post at the Vienna Opera (Hefling 1992, 294). Moreover, he grappled extensively with superstition surrounding the so-called "curse of the Ninth," going so far as to eschew labeling *Das Lied* as a symphony, arguably in an effort to evade the inevitable.[43] Yet as Henry-Louis de la Grange (2008) notes, the narrative that Mahler was "composing out" his own demise may be apocryphal: by Mahler's eight-week burst of compositional activity on *Das Lied* in the summer of 1908, the composer's health was markedly improved, his outlook that of rejuvenated vitality: "It would be an injustice to Mahler, and would distort the meaning and restrict the scope of his last works, to interpret

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[43] The "curse of the Ninth" has been described by Arnold Schoenberg (1975) in his essay on Mahler in *Style and Idea*: "It seems that the Ninth is a limit. He who wants to go beyond it must pass away. . . . Those who have written a Ninth stood too near to the hereafter. Perhaps the riddles of this world would be solved, if one of those who knew them were to write a Tenth. And that probably is not to take place" (470). Schoenberg and Mahler were both famously superstitious, and the specter of Beethoven could not be ignored. Perhaps for this reason, or perhaps (as Hefling [1992, 294] notes) because of the work's "unique interfusion of genres," Mahler was reluctant to label the symphonic work that followed his Eighth Symphony his Ninth. Instead, as Hefling explains, Mahler applied several subtitles to that work that came to be titled *Das Lied von der Erde*, including "Eine Symphonie für eine Tenor- und eine Alt- (oder Bariton-) Stimme und Orchester" and "9. Symphonie von 4 Sätzen."

them as personal dirges when in fact they are spiritual meditations on human mortality in general" (217). The finale of *Das Lied* might be better construed as a musical essay on the human condition: "'Der Abschied' is more concerned with the very epistemology of death than it is with enacting the death of the protagonist of its story line or expressing any individual's struggle with and triumph over an imminent demise" (Deruchie 2009, 76).[44] In our exploration of the web of signification spun by Mahler in his final works, human mortality meets ironic neoclassicism as a dark premonition of postmodernism.

Dialectic conflict thus abounds in late Mahler. His counterpoint creates for one melody a counterpart "that is no less a melody yet neither too closely resembles nor obliterates the first" (Adorno [1960] 1992, 114).[45] Sounds play out as if indifferent to each other. Images of death meet spirited humor. Tradition confronts futurism. It should come as no surprise that Mahler's late technique involves negation rather than assertion—following Adorno, "dissonance is the truth about harmony."[46] Formal procedures operate only under

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[44] Christian Utz (2011) makes a similar claim concerning the Ninth Symphony, namely that one need not assume Mahler was writing the Ninth with his own impending death in mind, but rather that his late style can be construed as, borrowing Mahler's words, a "confrontation 'vis-à-vis de rien,'": an expressive endeavor to explore death in general (299).

[45] "Ihm war kontrapunktieren: zu einer Melodie eine zweite hinzuerfinden, die es nicht weniger ist, ohne doch jener gar zu sehr zu ähneln oder sie zu überwuchern" (Adorno 1960, 151).

[46] Adorno's *Aesthetic Theory* (1970), which reflects ideas from his *Negative Dialektik* (1966), identifies the assertion of nonidentity as a feature of the late style across artistic media:

> From the perspective of the philosophy of history, it is hardly an improper generalization of what is all too divergent if one derives the antiharmonic gestures of Michelangelo, of the late

paradoxical contradiction, reflecting the sentiment of Bernd Sponheuer's words in the epigraph to this chapter. By maintaining multiple, contradictory musical procedures at once, the variegated chaos of Mahler's *Welt* appears in microcosm.

Situated in this fragmentary and conflicted context, Mahler's late maximalism appears in domains both musical and extramusical, artistic and philosophical. As Richard Taruskin's "quintessential representative of *Weltanschauungsmusik*" (2009, 7–8), Mahler exploits the "hugely ambitious dimensions" of his symphonies to probe the metaphysics of human life, death, and transcendence. Just as his music reflects a world outlook, Mahler leverages the political power of symphonic representation: "the symphony orchestra stands as a figure of the social totality itself, a social world in which the state and its functions also figure symbolically, and whose debates . . . are then, in musical and orchestral theory as well, in and of themselves political" (Jameson 2015, 70). An interpretive posture that relates musical events symbolically to the social world affords the analyst the ability to read in Mahler's symphonies the political dynamics that undergird his philosophy, dynamics that Morten

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Rembrandt, and of Beethoven's last works not from the subjective suffering of their development as artists but from the dynamic of the concept of harmony itself and ultimately from its insufficiency. Dissonance is the truth about harmony. If the ideal of harmony is taken strictly, it proves to be unreachable according to its own concept. Its desiderata are satisfied only when such unreachableness appears as essence, which is how it appears in the late style of important artists. ([1970] 1997, 110)

Kaum generalisiert man unziemlich geschichtsphilosophisch allzu Divergentes, wenn man die antiharmonischen Gesten Michelangelos, des späten Rembrandt, des letzten Beethoven, anstatt aus subjektiv leidvoller Entwicklung, aus der Dynamik des Harmoniebegriffs selber, schließlich seiner Insuffizienz ableitet. Dissonanz ist die Wahrheit über Harmonie. Wird diese streng genommen, so erweist sie nach dem Kriterium ihrer selbst sich als unerreichbar. Ihren Desideraten wird erst dann genügt, wenn solche Unerreichbarkeit als ein Stück Wesen erscheint; wie im sogenannten Spätstil bedeutender Künstler. (1970, 167)

Solvik (2007) deems at turns reactionary, idealist, and subversive of the dominant liberal elite. As essays on human sociology and mortality, Mahler's late works are possibly the most outwardly philosophical of his output. In order to accommodate such ambitious content, Mahler's genres (and in particular, forms-*as*-genres) are dynamic, multiply conceived, and hybridized. His is a maximalism not only of size but of thematic variation, formal novelty, generic mixture, and contrapuntal intricacy.

## §2.2. Theorizing Generic Hybridity

Mahler's maximalization of symphonic genres relates to a fundamental friction between form and content. If the composer (or the interpretive analyst, for that matter) privileges adherence to outward stylistic tendencies and norms as they relate to large-scale form, then they overlook the particularity of content, and vice versa. Yet as we have already seen, genre in early modernism involves the artistic-expressive deployment of style in service of content, in effect an aesthetic agenda that prioritizes subjectivity at the detriment of tradition. Form and genre are thus corrupted in order to project meaning. Following Jacques Derrida, the particular iteration of a genre (the work) always and inevitably problematizes the set of all works in that genre: his "law of the law of genre" contends that genre identity is based on "a principle of contamination, a law of impurity, a parasitical economy. . . . A taking part in without being part of, without having membership in a set" (Derrida 1980, 59). In other words, Mahler's contributions to the genres of symphony, sonata, and rondo (especially in his late works) represent members within those genres while simultaneously transforming the

genre sets themselves. This is no more explicit than in the Rondo-Burleske, where Mahler's rondo takes part in the set of works labeled "rondo" while fundamentally contaminating that genre set. Mahler's willingness to warp, fuse, and hybridize genres draws on the critical lens of modernism, which features a freedom to consume, digest, and repurpose the rhetoric of genre systems in order to communicate immediately and ironically.

The primary formal procedures of Mahler's maximalism relate to hierarchy. His symphonies borrow from multiple genres at a local level, employing rhetorical references to topics, intertexts, and formal events with regularity. But at a large-scale level, and particularly in the late symphonies, this generic freedom manifests as what Alastair Fowler (1982) terms "hybridity," defined as any situation "where two or more complete repertoires [i.e., sets of attributes shared within a genre] are present in such proportions that no one of them dominates." Fowler continues, "the component genres of a hybrid will necessarily be of the same scale: they are indeed neighboring or contrasting kinds that have some external forms in common" (181). The last line is critical: in Mahler's late symphonies, the largest-scale generic membership of especially the outer movements (as well as the Rondo-Burleske) involves a hybrid of two or more formal prototypes. In order to accomplish the maximalist enterprise—expansion of size and intensification of subjectivity—Mahler invokes components of multiple large-scale forms within single movements. Hybridity, as Kathleen Hall Jamieson and Karlyn Kohrs Campbell (1982) argue, represents both a recognition of structural features that hail from multiple genres and a response to a cultural circumstance wherein prior models would not suffice: "On the one hand, a generic critic recognizes the

combination of recurrent elements that forms a hybrid, but, on the other hand, such a critic

can perceive the unique fusion that is a response to the idiosyncratic needs of a particular

situation, institution, and rhetor" (157).

Mahler's "Der Abschied" is as good an example as any. It is the finale of a novel

*Orchesterlied*-symphony, *Das Lied von der Erde*, and therefore demands a hybrid

interpretation. *Das Lied* exists as an outlier in Mahler's own prior practice: previously, the

voice had been imported into the symphony in strategic moments for dramatic expressive

effect, while in *Das Lied* the expressive situation demanded the total incorporation of the

voice throughout. One resulting analytical challenge involves how the alto voice in "Der

Abschied" is deployed as an instrument, integrated into the fabric of the symphony, while

still a soloist. As we shall see later, some have read the movement as a cross between strophic

song form and sonata, others as sonatina with a slow orchestral interlude. I argue that,

beyond the above genres at play, the movement is furthermore reflective of Mahler's late

"rondo-sonata," a formal and generic hybrid that manipulates rotational form as the

common "external form."

### §2.3. Rotational Form and the Rondo-Sonata Hybrid in Late Mahler: A Theory of Functional Rotations

James Hepokoski and Warren Darcy (2006) contend that the common external form of the

rondo and sonata-rondo (as well as the Baroque rondeau) is the rotational principle, which

holds that "each successive appearance of the refrain ('A' in the usual schematic letters

appropriate for rondeaux and rondos) begins a new rotation" (390). Conceiving of rondos as

the "repetition of one or more themes, separated by intervening contrasts" (Schoenberg

1967, 190) is of course nothing new, and Hepokoski and Darcy (2006, 389) cite several

authors who have made similar assertions. But the abstraction of the rondo form allows for

direct comparison (and hybrid fusion) with sonata form. Their Table 18.1, reproduced here

as Figure 2.1, construes the abstract homology between the various rondo genres as a

continuum—with "sonata" curiously in brackets at one pole, seemingly an abstract extension

of the rotational principle beyond explicitly rondo-like forms. *Elements of Sonata Theory*

develops the rotational principle in relation to other sonata types, principally Type 3, and

numerous other scholars have followed suit. In particular recent adaptations of rotational

form to deformational sonata-form movements of the late-Romantic and modernist periods

serve as models for my own application of rotational form in this chapter. Hepokoski

associates the thematic repetitions of strophic form and the dynamics of sonata form in his

1993 monograph on Sibelius's Fifth Symphony. Darcy (1997, 2001, 2005) applies

rotational form to Richard Wagner's *Parsifal*, Mahler's Sixth Symphony, and several

Bruckner symphonic movements. Julian Horton (2005) expands on the discussion of sonata

deformations in Bruckner's first movements, arguing that deformations can be grouped into

processes of expansion, teleology, negation, and discontinuity. Charity Lofthouse (2014)

extends the approach to Dmitri Shostakovich's Fourth Symphony, which expresses a hybrid

of Type-2 and Type-3 sonatas by way of blurred cadential delineations between sections.

Steven Vande Moortele applies the rotational principles of Sonata Theory in both his 2009

monograph on "two-dimensional" sonata form and his 2017 study of the Romantic

overture. Finally, Seth Monahan's 2015 book adapts Sonata Theory to Mahler's early- and

middle-period symphonies; it will figure prominently in this chapter.

In Mahler's late works, the rhetorical components of both sonata form and rondo form

function in a manner distinct from standard sonata-rondo formal layouts.[47] Mahler leverages

the rotational procedures common to sonata and rondo forms in order to expand both a

movement's size and its expressive gamut. The resulting hybrid involves several norms as well

as numerous "default" options—Hepokoski and Darcy's term for the most common

alternatives to the standard formal procedures. Although the corpus of Mahler's late sonata-

rondos is fairly small (comprising the outer movements of *Das Lied von der Erde* and the

Ninth Symphony, the Rondo-Burleske, and the first movement of the Tenth Symphony),

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[47] Joan Huguet (2015, 16–27) summarizes the models for sonata-rondo form put forward by William Caplin

(1998) and Hepokoski and Darcy (2006). Caplin argues that all sections of a sonata-rondo are independent and

employs the sectional rondo labels A and B alongside form-functional terms that are, per Huguet, "more

typically associated with sonata forms" (18). For Hepokoski and Darcy, sonata-rondos (the "Type-4" sonata)

are hybrids in dialogue with sonata form, exhibiting less clearly defined sections than the rondo. Both Sonata

Theory and Caplin's model argue that sonata-rondos must contain a sonata exposition as the first rotation that

later returns as a recapitulation, but a development is not required. In the analyses that follow later in this

chapter, I propose a hybrid of the rondo and sonata that is particular to Mahler's compositional practice. The

model is distinct from those described above, and it does not presuppose the presence of an exposition,

development, or recapitulation, but rather considers these as functional rotations that can be employed in non-

sonata movements.

the norms and deformations I present are generally drawn from their relation to Mahler's lifelong symphonic practice. Constructing a system of form-functional expectations from within a composer's own oeuvre is not a novel idea. Janet Schmalfeldt (2011, 15) describes an approach that "will be composer- and piece-specific, rather than typological or taxonomic"; Vande Moortele (2013 and 2017, 3–4) extends that approach by citing Carl Dahlhaus, allowing for intrageneric system building across multiple composers' oeuvres; and Monahan (2015) builds a relevant preference rule regarding composer-specific practice into his analytical methodology on Mahler. Alongside the sonata-form conventions launched in the Beethovenian tradition, Monahan declares that he is "equally concerned with the intertexts that link Mahler's sonata forms to one another." He continues, "we shall always prefer the reading that brings a movement into the closest alignment with Mahler's broader practice" (4).[48] For the purposes of studying formal interpretation in Mahler's late works, proximity is key—the local corpus of the late works that follow the Eighth Symphony will serve as the principal set of objects from which I extrapolate generic norms, and procedures

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[48] Monahan's preference rule is in the spirit of Jean Molino's principle of "seriation." By associating a complex art form with a series of works that share some isolated property, the analyst can contextualize a component of a work for appropriate interpretation: "The term seriation process, inspired by classical philology, implies that in order to be able to give a reasonable explanation of the meaning [*signification*] of a phenomenon, one must interpret it within the context of a *series* of comparable phenomena" (emphasis original). Seriation allows interpretation at the "poietic" level. It can be both an "external" process (e.g., placing Mahler's symphonic sonata forms in their historical lineage dating back to Beethoven) and an "internal" process (e.g., relating those same sonata forms to Mahler's own isolated practice) (Nattiez 1985, 110–15).

from earlier works by Mahler will figure more significantly into norm-defining than will symphonic music external to his own output. Fortunately, Mahlerian sonata-form norms are abundant: both Monahan and Constantin Floros have demonstrated that many early- and middle-period symphonic movements are in dialogue with sonata form. I argue that the late works continue to suggest sonata form without enacting the teleological progress of the form in a comprehensive sense—"sonata-form outlines without the original purposeful drive of the sonata," to borrow Kelly Dean Hansen's words (2012, 10).

It is within the corpus of movements from *Das Lied von der Erde* and the Ninth and Tenth Symphonies that the notion of Mahler's rondo-sonata hybrid is most persistent. Niall O'Loughlin (1999) has previously noted a striking prevalence of "rondo-like" forms in Mahler's earlier symphonies, the criteria for inclusion being that the composer "constantly returns to his principal thematic materials" (132). Through the lens of maximalism, we can perceive Mahler's insistent restatements of the primary theme as signals, guideposts for the listener to recognize the (potential or actual) launch of a new rotation. That is, thematic repetition can function as a prompt for segmenting the otherwise sublimely long and expressively overwhelming movements of Mahler's symphonies. For William Caplin (2009, 23), thematic repetitions are the beginnings of a basic mental "grouping structure" for a movement. O'Loughlin suggests that—beyond the two "explicit" rondos (those labeled as such) of the middle period, the finales of the Fifth and Seventh Symphonies—there are numerous movements that are "implicit" rondos, or at least related to the rondo genre:

> Of all the fourteen movements of the Fifth, Sixth and Seventh Symphonies,
> we can exclude, at least for the moment, the first movement of the Sixth with

its masterly but relatively straightforward sonata structure and the *Adagietto* of the Fifth with its ternary plan. The remaining twelve movements fall into different categories that all have a bearing on the rondo.[49] (1999, 134)

Edward W. Murphy (1975) performs a similar corpus study of Mahler's symphonic movements, identifying a sonata-rondo design (ABACABA) in seven of the eleven first movements of the composer's output (including the first movements of both the Eighth and Ninth Symphonies). Murphy points to Mahler's consistent "device of returning to the A section each time in the tonic key" (54) as a factor in considering these movements a hybrid sonata-rondo.

Based on his corpus, O'Loughlin itemizes some useful generic tendencies in Mahler's rondo-like works. The identity of themes in Mahler's rondos may be compromised, as "there are very few instances in which a theme returns without some fundamental modification, for example, melodic variation, harmonisation[,] scoring, or even tonality." Both the rondo theme and episodic contrasting themes "can consist of a number of constituent sections, with interleaving and reordering between different episodes" (133). Additionally, one should

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[49] Several critiques can be levied at O'Loughlin's methodology. For one, he may err on the side of inclusion. The unreflective typological approach, as Schmalfeldt warns us, says little about any individual movement. Moreover, he employs a view of the rondo as comprising seven overly general "standard features," such as "at least three appearances of a distinctive thematic section" and "intervening episodes [that] have contrasting key and thematic material" (132–33). In practice, his project treats thematic identity rather liberally, which results in many movements labeled as "rondo-like" that may not warrant direct association with the term. Indeed, my subsequent corpus account of Mahler's symphonies yields a more nuanced catalogue of those procedures particular to Mahler's rondos, as distinct from, for example, his scherzi, songs, or sonatas.

expect the rondo theme to undergo a process of "contraction" over the course of the movement, and common Mahlerian procedures such as *Durchbruch* are to be anticipated. Writes O'Loughlin, "[the] biggest problem in this discussion is the ability to make a distinction between the development of any given material and a reprise. To what extent is any thematic material similar and to what extent is it different?" (133). Evaluating Mahler's forms more generally, Jameson couches the issue in terms of a "theme-and-variations problem": namely,

> how to prevent the perpetual transformation of this or that theme into an identity which is perceived as simply repeating itself over and over again; in other words, how to preserve metamorphosis as an event, rather than a simple reiteration. But if the transformation of a given theme is too definitive and too successful, how to prevent the musical succession (formerly a musical "development") from breaking down into a series of ever new presents of time that have nothing to do with each other? (2015, 88)

Jameson's terms recall the aesthetic issues of developing variation, as well as Adorno's "variant technique" as applied to Mahler's themes.[50] Above all, these are questions of *formal function*, to be addressed shortly.

Two rondo-sonata hybrids appear within the corpus of early- and middle-period symphonies. The finales of the Third and Fifth Symphonies represent distinct models. Floros discusses the "Rondo-Finale" of the Fifth, implying generic fusion:

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[50] The variant technique appears in Adorno's monograph on Mahler, where he establishes a distinction between it and the standard model of thematic variation. Mahler's variants constitute related thematic ideas, all sharing a similar overall *Gestalt*, but without an ontologically original theme. For a thorough explanation of the variant technique, see Monahan 2015, 40–43.

> [W]e are looking at a Rondo that has sonata traits and contains numerous fugal sections. . . . Elements resembling a rondo in this structure are the triple appearance of the main section (Rondo theme), which serves as a refrain in D major, and the development of formally and tonally self-contained sections, serving as couplets. . . . Elements resembling a sonata are the existence of numerous development passages, the [techniques employed for elaboration], and above all the tonal disposition. While the main section and the secondary section are tonally stable . . . , the development brings bold modulation.[51]
> ([1985] 1993, 156–57)

Floros's first remark calls into question the movement's status as a generic hybrid. The movement "is a Rondo" that happens to express sonata-form traits. But the Rondo-Finale is too distinct from the Classical, seven-part sonata-rondo to sustain this characterization (primarily because the rondo theme's second appearance does not launch the development).[52]

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[51] "Genauer besehen handelt es sich um ein sonatisiertes Rondo, das zahlreiche fugierte Abschnitte enthält. . . . Rondohaft an dieser Anlage muten das dreimalige Auftreten des als Refrain dienenden Hauptsatzes (Rondothema) in D-dur und die Herausbildung von formal und tonartlich in sich geschlossen Abschnitten an, die als Couplets fungieren. . . . Als sonatenhaft darf man aber die Existenz vieler durchführungsartiger Partien, die Verarbeitungstechnik und vor allem die tonartliche Disposition bezeichnen. Während der Hauptsatz und der Seitensatz tonartlich stabil sind . . . , ist die Durchführung durch kühne Modulatorik gekennzeichnet" (Floros 1985, 150–51). Note that Vernon and Jutta Wickler translate "die Verarbeitungstechnik" as "the manner of treatment," which I have replaced with "the techniques employed for elaboration."

[52] Caplin (1998) articulates the hybrid by defining those elements that either reflect sonata or rondo rhetoric: "Because of their complex organization, sonata-rondos are used almost exclusively for fast finale movements, rarely for slow movements. As its label suggests, the sonata-rondo combines features of the five-part rondo form (with its regular alternation of refrains and couplets) and the sonata form (with its tripartite organization of exposition, development, and recapitulation)" (235). Monahan (2011) cautions against haphazard application of the historically conceived term "sonata-rondo" in relation to Mahler's hybrid forms. He argues that too often

In fact, it seems that Floros's main impetus to invoke sonata form relates to the passage of music he identifies as a development, which begins with an extended period of circle-of-fifths sequencing and involves lengthy fugato sections.

As Figure 2.2a shows, the Rondo-Finale's "exposition" is rather idiosyncratic from a Mahlerian sonata-dialogic perspective: the main theme is a tight-knit parallel period, and both expositions lack clear transitions as well as Mahler's typical modal contrast between primary and secondary themes. The development (marked Rotation 3 in Figure 2.2a) omits any restatement of the rondo theme, instead referring almost exclusively to the fugato and contrasting B themes. Additionally, the recapitulation (Rotation 4) lacks a standard Mahlerian reintroduction. That the Rondo-Finale may be unique among Mahler's finales— its ending, a boisterously joyful stretto chorale, also invokes uncharacteristic notes of the ecclesiastical—is especially clear when one considers the more common Mahlerian trope of the "farewell finale." Mitchell (1995) characterizes all those pieces influenced by the "very long shadow" cast by "Die zwei blauen Augen"—namely the "dissolution" that brings several of his song cycles to a conclusion—as farewell finales. Danuser also notes the significance of such an ending, in particular by referencing Adorno's notion of the "fulfillment" genre

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analysts ignore the possibility of an exposition repeat, a stance with which I agree. Instead writers often see the return of the primary theme in the middle of the movement as reflective of rondo practice:

> While this tonic-key recurrence [in the first movement of Mahler's Fourth Symphony] might strike us as informally "rondolike," there are reasons to be wary of aligning this movement with the sonata-rondo as a historical genre. First, the ostensibly rondolike section (mm. 77–101) occurs within the exposition, rather than at the onset of the development as it would in virtually all traditional specimens. Further, this tonic-key P-return is arguably no more or less "rondolike" than similar returns in the expositions of 2/I, 7/I, 8/I, 9/I, and 10/I. (50n88)

(*Erfüllung*) of formal material: "Through this double character, specifically of an open ending, for which performance directions read 'completely dying away,' the boundary between sound and silence blurs, so that . . . the aesthetic experience of a more fulfilling period of time spreads out over the end of the work" (1986, 110). A spiritually celebratory conclusion is only elsewhere to be found in the "Resurrection" finale of Mahler's Second Symphony. While the Rondo-Finale projects both rondo and sonata formal practices, the layout of the movement is essentially unique in Mahler's oeuvre.

The finale of the Third Symphony is a more apt model for the rondo-sonata hybrid that blossoms in Mahler's final works. Floros notes the precedent: "The Adagio of the Third is the first typical Mahler Adagio. The seeds it contains were later to bear fruit in several slow movements" ([1985] 1993, 107).[53] As shown in Figure 2.2b, my interpretation of the movement includes three rotations, marked as an exposition, development, and recapitulation. However, within each rotation, I acknowledge the rondo-like features: the persistent return of the rondo theme in the tonic D major, the absent contrasting theme reprise in the final rotation, and the lack of an introduction. The expositional nature of Rotation 1 in Figure 2.2b is ensured by the modal contrast of themes that are separated by a clear transition. The developmental rotation (Rotation 2) is especially idiosyncratic from a rondo perspective, because it recalls the fourth movement's "Midnight Song" as well as the first movement. Such outward references are standard practice in Mahlerian sonata-form

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[53] "Das Adagio der Dritten ist das erste 'typische' Mahler-Adagio überhaupt. Die Keime, die es enthält, sollten in mehreren späteren langsamen Sätzen zum Tragen kommen" (Floros 1985, 101).

developments. Additionally, the preparatory reintroduction to the final rotation—a *crescendo* from *pianissimo* leading into the affirmational recapitulatory rotation—is of a piece with many pre-recapitulatory zones of Mahler's sonata forms (and is decidedly uncharacteristic of his rondos).

With these models in mind, defining Mahler's rotations from a form-functional perspective will be useful. Although Hepokoski and Darcy propose a framework with which to compare individual works against conventions of type, Caplin's theory of formal functions affords additional advantages. To borrow his words, focusing "more on function than on type" allows the analyst to recognize formal hybrids, incomplete procedures, and common constituents of disparate movement-types (2009, 31–32). This large-scale formal freedom may underpin James Webster's view that form-function theory is "too general to serve [its] theory-building purpose" (2009, 47).[54] The abstract model at the heart of Caplin's theory is akin to the trifold beginning-middle-end functions that serve as the rhetorical foundation of Kofi Agawu's (1991, 2009) semiotic-analytic theories, cited in Chapter 1. Beginnings, middles, and ends are "locational or ordinal functions" as well as structural attributes, but

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[54] In relation to Webster's criticism, Hepokoski offers an essentially opposite critique, arguing that the theory can be "overly restrictive and inflexible" (Hepokoski 2009, 41). Elsewhere, he adds that the theory is comprised of "a web of classificatory labeling without any larger explanatory purpose," (Hepokoski and Darcy 2006, 229). These critiques of formal functions tend to focus on inconsistencies between theories, perhaps the result of a dogmatic insistence on the superiority of one's own theory; as a whole, it can hardly be argued that form-function theory is inherently "inflexible."

occasionally these features misalign in rhetorically meaningful ways (Agawu 2009, 53).

When examining the form-functional role of rotations in Mahler's late works, I

simultaneously draw upon Caplin's attention to function, Agawu's attention to rhetoric, and

Hepokoski and Darcy's attention to the expectations of a coherent formal practice.

In order to refine the theory of formal functions, Matthew Arndt (2018) distinguishes

between "parts," "components," and "functions" within Caplin's theory. Whereas parts and

components are formal types,[55] functions are "*what the content is doing*, especially logically

and biologically" (210, emphasis original). Arndt remains intentionally nonspecific here, but

the functional categories that he ultimately arrives at ("establishment, confrontation,

connection, dissolution, delimitation, elaboration, preparation, and stabilization" [211],

based on Schoenberg by way of Christian Raff, Erwin Ratz, and Adorno[56]) can be fulfilled by

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[55] E.g., a primary theme is a "part," because its temporal location is implied by its category, whereas a motive is

a "component," because temporal context is not encoded in the label (210–11).

[56] The influence of Adorno is particularly evident. For Adorno, formal function refers to "what each individual

part contributes to the form" ([1960] 1992, 48). Robert Witkin (1998, 30) argues that the relationship

between part and whole is the basic structure of Adorno's music-sociology: "music itself is seen as capable, in its

internal relations—its structural relations—of truthfully reflecting the human condition of the individual in

society." Like Arndt, Adorno itemizes eight formal functions: "statement [Setzung], continuation [Fortsetzung],

contrast [Kontrast], dissolution [Auflösung], succession [Reihung], development [Entwicklung], recurrence

[Wiederkehr], [and] modified recurrence [modifizierter Wiederkehr]." These reflect the "Universality"

necessary in analysis, a feature that can be uncovered in exploring the individuality of the work itself ([1969]

1982, 185).

parts "of all sizes." Akin to Wallace Berry's (1987) "structural functions," or Agawu's (2009)

succession of musical "sentences," Arndt analyzes a work as a conglomerate of its enumerated

functions. Formal functions, in these theories, are therefore hierarchical and extend over any

time span. The tension inherent in hierarchy is, for Arndt, ubiquitous across *Formenlehren*,

variously juxtaposing part and whole, content and form, work and genre, process and

structure. At the broadest time span, a sonata form can be parsed, as Caplin does, into the

large-scale beginning-middle-end functions of exposition-development-recapitulation, each

of which is itself further segmentable (see for example Caplin's [2009] Figure 1.4). The

functional rotations that I present below will make those functions explicit.

Combining the flexibility of theories of formal function with a Sonata Theory approach

attuned to the norms and defaults of Mahler's symphonies, I argue that Mahler employs

rotations as formal functions themselves, with the functions defined by the rotational

expectations of sonata form. "Expositional," "developmental," or "recapitulatory" rotations

appear in both sonata-form movements and in hybrid forms throughout his mature output.

This may call to mind Vande Moortele's (2017) notion of "localized sonaticization," in

which "significant portions of [a] form do adopt local sonata-form procedures, even though

they appear outside of the framework of a complete sonata form" (73). Ariana Jeßulat (2019)

summarizes some of the various sonata-form signals as "modulations, reprise-like pedal

points, cadence formations, standard instrumentations or other recognizable elements of

sonata-like composition that can be made available and integrated into other formal

processes" (201). Vande Moortele introduces the concept in a discussion of Vincenzo

Bellini's Overture to *I Capuleti e i Montecchi*, proposing that the movement borrows

exposition rhetoric for the sake of compositional "convenience." Sonaticization involves

various rhetorical adaptations of sonata-form procedure in non-sonata movements, and

therefore relates to Bakhtin's notion of generic absorption—the overall overture genre, in

Vande Moortele's case, absorbs component generic signifiers of sonata form. In this chapter,

the sonata-form components that appear in hybrid movements are inferable from sonata

movements of Mahler's own oeuvre, and I contend that they appear not for the sake of

convenience but for strategic expressive or dramatic connotations. Additionally, although

they may occur outside of a complete sonata-form framework (as they do in Vande

Moortele's overture analyses), by summoning the rhetorical weight of sonata form they

propose large-scale sonata-form listening strategies as options that may or may not play out

in the remainder of the movement (see especially the analysis of "Der Abschied" below).

    As Figure 2.3 shows, expositional rotations involve two contrasting themes in opposite

modes, separated by a clear transition.[57] Often, the expositional themes lack tonal contrast,

which may render the common modal contrast even more significant.[58] Typically, the

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[57] The presence of a transition is a genre-defining feature for sonata-rondos in *Elements of Sonata Theory* and
Caplin 1998 as well (see Huguet [2015, 36]).

[58] It is important to note the apparent shift in the late symphonies to a general lack of tonal contrast. As
Monahan writes, regarding 9/i and 10/i, the two first-movement sonata forms of the late period, neither one
"strays from the tonic long enough to establish a long-range tonal tension" (2015, 29). Monahan acknowledges

primary theme is in minor and suggests funeral march, *ombra*, or *Sturm und Drang* topics;

the secondary theme then contrasts with lyrical, song-like, or *Ländler* rhetoric, often as

multiple strophic statements of a single theme.[59] The vast majority of Mahler's sonata-

dialogic movements[60] follow this model: all but the first movements of the Third and Ninth

Symphonies have clear transitions between their contrasting themes, and modal and

rhetorical contrast between themes occurs in all but the opening movements of the Fourth

and Eighth Symphonies and the two sonata-form movements of the Fifth.

In the language of Arndt's (2018) theory of formal function, the primary theme

*establishes* an initial thematic character that is *confronted* by modal, textural, and rhetorical

contrast in the secondary theme. The transition typically enacts a *dissolution* of the primary

theme as well as a (sometimes tonal, but more fundamentally rhetorical) *connection* to the

secondary theme. Furthermore, introductory modules, serving a *preparatory* function, are

ubiquitous in Mahler's sonata-form expositions. They are often short and motivically

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that tonal contrast actually does obtain in both movements, but not until an S theme in the second exposition;

before that, modal contrast reigns, as the tonic is unchanged in the first rotation of each movement.

[59] Hepokoski (1994) and Monahan (2015) trace this minor–major modal contrast and assertive–lyrical affectual

contrast back to Wagner's 1841 Overture to *Der fliegende Holländer*.

[60] For the present study, these include 1/i (an outlier because of its continuous exposition), 1/iv, 2/i, 2/v, 3/i,

3/vi (a hybrid), 4/i, 5/ii, 5/v (a hybrid), 6/i, 6/iv, 7/i, 8/i, the outer movements of *Das Lied von der Erde*, 9/i,

9/iii (a hybrid), and 10/i. This set of sonata-dialogic movements is my own, but it draws on analyses by Floros

([1985], 1993), Monahan (2015), Paul Bekker ([1921] 2012), and Danuser (1986).

fragmented, although several lengthy slow introductions occur.[61] Across Mahler's sonata-form output, where the introduction is conspicuously lacking (e.g. 2/i, 3/vi, and 8/i), the form is in each case marked as a hybrid throughout, inviting sonata-expositional rhetoric by other means.

Whereas Mahler's *expositions* employ introductory and transitional zones, which *delineate* primary and secondary themes that contrast in mode and affect, his *rondo refrains* lack introductions and transitions and often involve refrains and couplets that need not define explicit modal, tonal, or affectual contrasts with each other. Consider the corpus of rondo-like middle movements and adagios—Floros ([1985] 1993, e.g. 142) terms some of these "five-part structures."[62] Ignoring what I consider to be hybrid movements, none has a transition between the contrasting (A and B) themes, only the scherzo of the Second Symphony has a true introduction, and roughly half of the movements lack modal contrast. Additionally, although in Mahler's sonata-dialogic movements, minor-to-major mode expositions vastly predominate, the rondo-dialogic movements often see main themes in the

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[61] Agawu's paradigmatic formal analysis of the first movement of Mahler's Ninth Symphony demonstrates the role of "preludial" material well. The return of a short introductory segment marks a beginning that signals an expected return of the main theme. When that main theme is delayed, absent, or when the introductory material is missing, the music is "in the manner of a development or working through" (2009, 271–72).

[62] Floros uses the term "fünfteilige Anlage" or a close variant in reference to 5/i, 6/ii, and 6/iii. The full corpus of rondo-dialogic movements in this study includes 2/ii, 2/iii, 3/iii, 3/vi (a hybrid), 4/iii, 5/i, 5/iii, 5/v (a hybrid "rondo-finale"), 6/ii, 6/iii, 7/iv, 7/v (a "rondo-finale"), 9/ii, 9/iii (a hybrid), and 9/iv. This set of rondo-dialogic movements is my own, but it draws on analyses by Floros ([1985] 1993) and O'Loughlin (1999).

major mode. In articulating a form-functional dichotomy à la Caplin between *sonata exposition* and *rondo rotation*—one that is attentive foremost to Mahler's own practice—we can view the two formal functions as presenting binary sets of features.

Further form-functional detail distinguishes the *primary themes* and *secondary themes* in Mahler's sonata forms from the *main themes* and *interior themes* he uses in other formal types. *Primary themes* in Mahler's sonata forms tend to appear as loose complexes of several thematic entities. The *main themes* in his middle movements, rondos, adagios, and "five-part structures" tend to be tight-knit, in Caplin's (1998) terms: either a single thematic entity (such as a sentence) or a small form (e.g., a small ternary or rondo).[63] We should understand the tight-knit/loose distinction, which Caplin borrows from Schoenberg, not as a binary but as a spectrum based on a set of features as depicted in Figure 2.4, a reproduction of Caplin's (2009) Figure 1.5. The various contributing factors (particularly grouping structure, motivic material, and thematic conventionality) reveal that loosening techniques are multidimensional. We can thus examine formal functions on the basis of their degree of looseness in particular parameters.

Caplin distinguishes Classical theme-types by comparing thematic functions along that spectrum: primary-theme function defines "the most tight-knit unit" in a sonata-form movement (2009, 37), with transitions and secondary themes looser, but rondo main themes

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[63] These *main theme* features track with Huguet's (2015) characteristics for the A1 refrain of a Classical period sonata-rondo: they are usually periodic or in small ternary form, have regular four-measure units, are rhythmically predictable, and are "almost always a tightly-knit formal unit" (26–28).

"are more tightly knit than those in sonata form" (1998, 231). His catalogue of intrathematic characteristics draws upon conventions from the Classical period, though, and the Mahler of fin-de-siècle Vienna would straddle a more convoluted tight-knit/loose boundary. Tight-knit themes do appear in Mahler's sonata forms, but most often as *secondary themes* that contrast the looseness of the primary-theme complex with an ironic lyrical antithesis. For Mahler, it appears that the naïveté of their conventional structure highlights that the genre of the "tight-knit main theme," which he otherwise tends to reserve for the lighter dance movements of his symphonies, had become simply untenable after Wagner. Most of Mahler's themes include some degree of loosening techniques; however, his *rondo themes* still tend to employ symmetrical groupings and conventional phrase structures, features often lacking in his *primary themes*.

Developmental and recapitulatory rotations are, for Mahler, more varied. Late-nineteenth- and early-twentieth-century symphonic sonata forms generally afforded more large-scale deformational procedures in later rotations than in the referential expositional rotation. Hepokoski (1993) implies a similar point when cataloguing the principal deformational techniques of the symphonic modernists. *Durchbrüche*, which involve "an unforeseen inbreaking of a seemingly new (although normally motivically related) event in or at the close of the 'developmental space,'" tend to problematize recapitulations entirely by "render[ing] a normative, largely symmetrical recapitulation invalid" (6). The development is often episodic in nature and frequently introduces new themes, and reversed recapitulations or recapitulatory half-rotations become more prevalent post-Wagner (6–7). Vande Moortele

identifies numerous recompositional techniques typical of the developments and recapitulations of sonata-form Romantic overtures. These include omission or compression of themes, fusion of expositional ideas, reordering, rewriting, expansion, and interpolation (2017, 228). Mahler maintains some consistent tendencies in his developmental and recapitulatory rotations, features unique to his sonata-form movements.

Especially in the late symphonies, recapitulatory procedure becomes somewhat standardized; the norm is presented in Figure 2.3. Mahler's recapitulatory rotations are announced by a radical intensification of some element of the movement's introduction. This reintroduction draws on the exposition's introductory material, as an *elaboration* that dramatically *prepares* the (potentially *stabilizing*) return of the primary theme. For example, in the finale of the Ninth Symphony, the retransition borrows and expands upon the two-measure lead-in to the expositional rotation in order to triumphantly announce the recapitulation of the main theme. In comparison, of the earlier rondo-like or adagio movements, only the middle movements of the Sixth Symphony involve main-theme reprises that are prepared by significant reintroductions. Moreover, nearly all of Mahler's recapitulations include some P-theme return (generally either celebratory or tragic), but in the late symphonies they fail to convincingly restate the original secondary theme from the exposition. In the late symphonies, the sonata-form movements have absorbed a feature of the final rotation of Mahler's "five-part structures," as a *stabilizing* return of the main theme is expected and sufficient for recapitulatory success, while a successful restatement of the

initial contrasting theme is apparently unnecessary.[64] In earlier Mahlerian sonata forms, the

tonal and thematic plot of the movement hinged on a reprise of S in tonic, the "central

generic task" of the form since the Classical period (see Figure 2.1b in Hepokoski and Darcy

2006, 17).[65] The rhetorical weight of sonata-dialogic movements has been displaced in late

Mahler—the "essential" sonata trajectory points not at a cadence in tonic at the close of the

movement (the "end-of-the-end"), but rather at the (highly) anticipated tonic return of the

primary theme at the start of the recapitulation (the "beginning-of-the-end").[66] Options for

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[64] As Monahan (2011) notes, the tonal/dramatic plot of sonata-form success or failure, predicated on the tonal

resolution of S up until the Sixth Symphony, may no longer be determinative in the following works.

Monahan's primary example, the first movement of the Seventh Symphony, "fails" to achieve an ESC;

however, "this transgression does not, as it might once have, precipitate a broader expressive failure" (54).

[65] Monahan's (2015) narratives of recapitulatory "success" and "failure" are founded upon the notion that, as he

articulates, "recapitulatory resolution—and with it, sonata form in general—was a central narrative/dramatic

concern for Mahler from the very start" (20).

[66] In contradistinction to Hepokoski and Darcy, and in line with the argument presented here, Webster refers

to the "simultaneous" return of tonic and the primary theme as "the central structural event" of sonata form

(2001, ¶1.1). Webster's conception of sonata form, though, is a two-part form partly indebted to Charles

Rosen (1988), in which the development "delays and prepares" the recapitulation in a large second part after

the expositional first part. The distinction between a two- and three-part conception of sonata form can explain

why Webster differs from Hepokoski and Darcy as to the main structural event of sonata form. By reading the

exposition and recapitulation as parallel rotational entities, Hepokoski and Darcy focus the sonata-form

trajectory around a narrative of tonal accomplishment in which the recapitulation achieves the ESC in the tonic

key. Webster, by following Rosen and conceiving of sonatas as two-part structures, instead connects the sonata

the de-emphasized secondary theme include a drastically compressed return of S (as occurs in the finale of *Das Lied* and the first movement of the Ninth Symphony), a return of the new theme from the expositional repeat or the development (as in the finale of *Das Lied*), a recapitulatory half-rotation that simply excludes a contrasting theme (as in the third and fourth movements of the Ninth), or a *Durchbruch* that problematizes the recapitulation itself (as in the first movement of the Tenth).

The developments of Mahler's sonata forms employ more variable rotational procedures than his expositions or recapitulations. There are, however, key signals of developmental rotations—events that seem only to happen in developments or development-like zones. Most prominent among these is what Adorno terms the *Suspension*. A passage of musical *Suspension* is "a section in which musical processes are put on hold" and "the conventional formal path of logical progression is left behind" (Scheinbaum 2006, 43 & 60). Adorno ([1960] 1992, 41) associates *Suspensionen* most prominently with the first-movement development sections in Mahler's Sixth and Seventh Symphonies and the orchestral interludes in the outer movements of *Das Lied von der Erde*.[67] The term is drawn from

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back to the rounded binary, thereby considering the return of P as the most structurally significant event, not the return of S in the tonic.

[67] He also identifies *Suspensionen* in the posthorn episodes of the Third Symphony's scherzo, the "great caesura" ([1960] 1992, 111) in the second trio of the Fifth's scherzo, and the bird calls that serve as a reintroduction to the *Aufersteh'n* choral recapitulation in the finale of the Second. Like the other formal categories in his material theory of form, the *Suspension* can appear in any genre of movement.

Adorno's "material theory of form [*material Formenlehre*]," central to his 1960 monograph

on Mahler's music:

> In Mahler the usual abstract formal categories are overlaid with material ones;
> sometimes the former become specifically the bearer of meaning; sometimes
> material formal principles are constituted beside or below the abstract ones,
> which, while continuing to provide the framework and to support the unity,
> no longer themselves supply a connection in terms of musical meaning.[68]
> ([1960] 1992, 44–45)

For Adorno, the *Suspension* function may occur at any location within a movement's form. A

*Suspension* might halt the sonata-form process, or it might take part in that process by

performing a dual formal function, perhaps as a new developmental theme, in the sonata

form. Taken as a whole, all instantiations of the *Suspension* procedure involve an "episode

that interrupts the expected course of a form" (Vande Moortele 2014, 430n35), usually

preceding the expected recapitulation of the primary theme—they offer a vision of an

external world before a return to the realm of the sonata form proper. But the external world

is only illusory: *Suspensionen* "function as destabilizing moments from the outside,

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[68] "Bei Mahler überlagern sich die üblichen abstrakten Formkategorien mit dem materialen; zuweilen werden

jene spezifisch zu Trägern des Sinnes; zuweilen auch konstituieren sich materiale Formprinzipien neben oder

inter den abstrakten, die war weiterhin das Gerüst beistellen und die Einheit stützen, selber aber keinen

musikalischen Sinnzusammenhang mehr hergeben" (Adorno 1960, 65). While Adorno's *Suspension* is a

procedure unique to Mahler's output, Andrew Aziz (2013) articulates a broader category, "resetting the formal

compass," a rhetorical paradigm that, in his terms, "results from the music 'losing its formal bearings,' veering

away from any predictable backdrop; as a result, the music suddenly changes course, offering a blanket of sound

that serves as a 'memoryless' buffer" (250–51).

questioning the 'immanence' of form, even as they largely consist of aspects derived from within the movement itself" (Scheinbaum 2006, 60). They fulfill the *confrontational* function in "roundabout ways that turn out retrospectively to be the direct ones," to borrow Adorno's phrasing ([1960] 1992, 41); in other words, the very fact that they present a starkly contrasting thematic texture reveals the coherence of the movement as a whole.[69] In Mahler's sonata forms, *Suspensionen* always appear prior to a recapitulation, more often than not forming an isolable section within the development.

Two models for Mahler's developments, drawn from the finale of *Das Lied* and the first movement of the Seventh Symphony, are given in Figure 2.3. I conceive of Mahler's development sections as modular rotations—they still generally abide by the rotational principle, usually presenting material following the referential order of appearance, but they often introduce other independent events such as *Suspensionen,* fugato sections, sequences, new themes, and collapses,[70] while cycling through several keys. For example, in the first movement of the Seventh Symphony, a series of sequential main-theme statements leads to a

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[69] Schoenberg (1967, 178) employs similar terms regarding how large forms depend upon contrast: "Large forms develop through the generating power of contrasts. There are innumerable kinds of contrast; the larger the piece, the more types of contrast should be present to illuminate the main idea."

[70] In the spirit of Adorno's material theory (see especially [1960] 1992, 44–46), I consider the "collapse" to be a genuine formal function in Mahler's symphonic compositions. Mahler enacts a musical collapse whenever he rapidly concludes a theme, often with a literal downward contour and dynamic *decrescendo*, usually serving an ending function in a larger formal unit.

*Durchbruch-Suspension* sequence before a period of musical re-creation concludes the development. Episodes, especially those involving new themes (as in "Der Abschied"[71]) or thematic allusions to other movements, are especially common in Mahler's sonata developments. Additionally, his developments typically follow rotational procedure by beginning with primary-theme material. However, especially in the late symphonies, the developmental rotation omits or weakens the introduction from the exposition, and it often presents P material in sequential liquidation, enacting the functions of *dissolution* and *elaboration* typical of developments. The contrast with the recapitulatory rotation is crucial— by preparing the recapitulatory P with a reintroduction that was attenuated in the development, a clear rhetorical distinction is established between the initial P's of the developmental and recapitulatory rotations. Finally, a distinguishing feature of Mahler's developments is what I term a large-scale process of "re-creation": the motives of the primary theme begin to return, but they are usually heavily fragmented, as if they are being pieced together (or gradually recalled) in preparation for the recapitulation. Often, this re-creation process draws from the movement's introduction by repurposing and expanding its harmonic or textural traits. *Suspension* and re-creation involve the abandonment and subsequent resurrection of the musical universe constituted by the symphonic movement. Because these events serve to dramatize the Self/Other dynamic of Mahler's psychological

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[71] New themes in the development are also featured in the first movements of his First, Second, and Third Symphonies, as well as arguably the finale of the Sixth.

symphonic narratives, they further prepare the listener for the rhetorical weight of primary-theme recapitulation, now the essential arrival point in the trajectory of the sonata form.

## §2.4. Two Model Analyses: The *Adagio* from the Tenth Symphony and the Finale of *Das Lied von der Erde*

A form-functional perspective on rotations, rooted in Mahler's own practice, reveals telling correspondences in the late symphonies. In particular, the rondo-sonata hybrid becomes ubiquitous throughout *Das Lied von der Erde* and the Ninth and Tenth Symphonies: this hybrid can explain formal deformations in the outer movements of *Das Lied*, all movements but the scherzo of the Ninth, and at least the completed first movement of the Tenth.[72] Those movements that one might generically expect to be "in sonata form"—first movements, for example—draw equally on Mahler's rondo procedures, importing varied reprises of the main theme, occasionally eschewing a transition between themes in the exposition, and shunning the initial contrasting theme in the recapitulation. Likewise, adagio and rondo-like movements adopt sonata rhetoric, including clear expositional rotations and the rhetoric of development and recapitulation. In all cases, one might find a precursor in the hybrid finale of the Third Symphony. Two brief analytical detours will demonstrate the interpretive nuance afforded by the notion of functional rotations espoused above.

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[72] Because of the unfinished nature of the Tenth Symphony, I have elected not to address the remainder of the Tenth and its subsequent performing editions in this study.

*§2.4.1 Symphony No. 10, i:* Adagio

The adagio genre of the first movement of Mahler's Tenth Symphony would typically suggest a rondo formal scheme following Mahler's prior practice. The movement has, nevertheless, been analyzed on numerous occasions in dialogue with sonata form, although it has invited alternative hybrid interpretations as well.[73] Analysts have paid less attention to the correspondences the movement shares with Mahler's own adagios, which themselves often follow the rondo-sonata hybrid model. Only Mitchell (1985) directly associates the first movement of the Tenth with its hybrid formal-generic ancestors:

> The two adagios with which this slow movement shares something in common may be found in Mahler's third and ninth symphonies; in both works the slow movements function as finales. The tenth exactly reverses that position, and the Adagio is placed first. But the movement is more than just a slow movement appearing, so to speak, "out of order." It bears, it is true, an intimate relationship to the Adagio of the ninth symphony, but it is also partly based on the highly original model of the *first* movement, the Andante comodo, of the ninth symphony. We meet the same subtle combination of sonata and rondo. (657; emphasis original)

The rondo-sonata hybrid is outlined in Figure 2.5. The principal rondo-like characteristics are threefold: (i) the tight-knit structure of the initial **P** theme, an eight-measure phrase with a clear melody-accompaniment texture; (ii) the numerous tonic-key restatements of the initial theme, here marked "**P** refrain" to suggest the hybrid sonata and rondo rhetoric; and

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[73] Sonata-form readings of the movement include Coburn 2002, Rothkamm 2003, de la Grange 2008, and Hogrefe 2019. Hybrid interpretations tend to view the movement as either a combination of sonata form and theme and variations (Zenck 1975, Filler 1977, Floros [1985] 1993) or of sonata and rondo forms (Specht 1924, Mitchell 1955).

(iii) the "post-recapitulatory" final statement of **P**, in which no secondary theme materializes. Examining the large-scale functional rotations, my hybrid interpretation views the movement as divided into relatively standard proportions for a sonata form: the exposition lasts 104 measures and spans two rotations, the development likewise includes two rotations in mm. 105–202, and the recapitulation and coda conclude the movement in mm. 213–75.[74] Most scholars agree that the movement begins with a double exposition, a feature especially common in Mahler's late sonata forms (Hogrefe [2019] and Coburn [2002] are representative). The two expositional rotations are launched by an introductory viola solo. Each time, the solo concludes with a preludial semitonal ascent, A–A♯, eliding with the onset of the primary theme. Set in F♯ major, the primary theme is periodic and leads into a shift in texture in m. 28, a short transition. The secondary theme begins with modal, not tonal, contrast, in the key of F♯ minor.[75] In its initial statement, **S** is hardly a theme, sputtering at the start before a return to the viola solo initiates the introduction to the second rotation. In the second exposition, the key of the secondary theme returns in F♯ minor before it shifts to

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[74] Steven Craig Cannon (2016) has conducted a corpus study of nineteenth-century sonata forms, demonstrating that, in the second half of the century, expositions shrank to roughly a third of the total movement length, whereas developments expanded from 20 to 25%. Monahan (2015) calculates that Mahler's typical dimensions saw a shorter exposition: "Mahler's average pre-developmental space is roughly 24 percent of the whole" (100n15), although movements with expositional repeats alter these proportions.

[75] Hogrefe (2019), Diether de la Motte (1985), and Coburn (2002) all note this distinction, but none associates it with Mahler's other late symphonies or with his consistent earlier practice of using modal contrast to distinguish the primary and secondary themes.

B♭ minor and blossoms into a more substantial counterpart to the primary theme. The brief initial secondary theme and insistent, rondo-like repetitions of the primary theme—mostly in tonic—are likely what have led some analysts to view the movement as a hybrid of a sonata form and a theme and variations (see footnote 73). Likewise, the selection of a "recapitulatory" return of the primary theme becomes especially problematic in light of the eightfold restatement of the theme.

Although there is consensus about the movement's double exposition, the developmental and recapitulatory formal functions that I indicate in Figure 2.5 significantly deviate from prior analyses. Eric Hogrefe (2019), de la Grange (2008), and Steven Coburn (2002) all argue that the development section is strikingly brief, lasting thirty-five measures and preparing a three-stage recapitulation that begins in m. 141. Such a reading, though, places squarely in the heart of the recapitulation (in Hogrefe's "second subrotation") the most problematic moment of the entire structure: the *tutti* A♭-minor chorale and subsequent nine-note chord in mm. 194–212. There is no immediate precedent for this moment (although Agawu [1986] charts a process of gradual climax that culminates there). Jörg Rothkamm (2003) and Coburn (2002) suggest that the chorale originated elsewhere, as a part of the symphony's finale.[76] The shift in texture, chorale theme, and A♭-minor key of mm. 194–202 point unequivocally to *Durchbruch*, "an unforeseen event, a sudden turn toward transcendence from an expected formal trajectory of tragedy" (Buhler 1996, 129).

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[76] De la Grange (2008, 1502n231) notes that the timing of the insertion likely followed Mahler's revelation of his wife's affair with Walter Gropius in the summer of 1910.

For Hepokoski, the *Durchbruch* deformation "involves abandoning or profoundly correcting the originally proposed sonata (the one proposed in the exposition) through the inbreaking of an emphatic, unforeseen idea at some post-expositional point, usually during the space customarily given over to development" (1992, 149). With the knowledge that the *Durchbruch* material was likely imported late in the compositional process, one can imagine its excision. The A♭-minor passage is preceded by motivic fragments of the primary theme that lead directly into a fourth solo introduction—no longer in the *soli* viola, but rather as a duet between the two groups of violins. Approaching the lead-in A♮ from its two neighbors, G♯ and B, the violins are interrupted in m. 194 by the cacophonous *Durchbruch* of the chorale. In m. 202, the chorale ends on an A5 held in the violins, reminiscent of the C♭6 sustained by the violins in the finale of the Ninth. The sustained A♮ and pulsating nine-note chords of mm. 203–12 serve as a period of *Suspension*. The *Durchbruch-Suspension* paradigm is a recognizable symbol of Mahlerian developmental procedure. Subsequently, in Hogrefe's words, there appears "an intact and coherent sonata recapitulation, complete with the expected conformational cadence" (2019, 335). The primary theme returns in m. 213. The lead-in repurposes the sustained A, transferred to the trumpets during the nine-note chords, to re-create the viola's earlier A–A♯ semitone lead-in, now paired with D–C♯ in contrary motion. The secondary theme also reappears, and for the first time in F♯ *major*.

Mahler has resurrected the sonata form's tonal plot within the now-compromised rondo-sonata hybrid. Moreover, he has infused it with a modal element, as the secondary theme returns in the tonic key *and mode* for the first time since the opening movement of the

"Classical-type"[77] Fourth Symphony. The ESC in mm. 229–30 confirms the ironic

neoclassicism. Recall, the late symphonic sonata form's "central generic task" had shifted,

prominently in the Ninth Symphony and as a response to the cross-pollination of sonata and

rondo forms, toward the successful onset of primary-theme recapitulation. As a result, the

"conformational cadence," at this stage in Mahler's oeuvre, is anything but "expected."

Because of the *Durchbruch* of the A♭-minor chorale—a moment of "deflection or 'turning-

aside' (*Ablenkung*) from the expected formal course" of the movement (Buhler 1996, 129)—

the *un*expected return of the secondary theme becomes an expressive option, not

"correcting" but serving as a transcendent and ironic commentary on the sonata form itself.

The Classical sonata form (with its double-return, tonal plot, and ESC) was, for Mahler,

incapable of underpinning the modernist sonata—but it could intrude upon and usurp it.


*§2.4.2* Das Lied von der Erde*, vi: "Der Abschied"*

Despite its prominence as the massive finale to a creation that Mahler described as "the most

personal work I have ever written" (de la Grange 2008, 219), "Der Abschied" has been the

recipient of little recent structural and interpretive analysis. Hefling (1992, 106) cites Robert

Bailey (1978) in viewing the movement as a broad "binary structure," within each half of

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[77] Monahan (2015) identifies three sonata-form plot-types in Mahler's early- and middle-period symphonies,

treating earlier symphonies as intertexts for "recomposition" later on. "Classical type" sonata forms are "strongly

shaped by their engagement with the traditional sonata prototype" (31). The other types are referred to as

"Epic" and "Incursive."

which "three large musical sections or strophes are deployed" (Hefling's Figure 4 is reproduced as Figure 2.6). "Der Abschied" draws text from two poems by Hans Bethge; text from the first poem occurs in Hefling's first strophe, while text from the second poem spans the second strophe. Each strophe begins with an introduction, the latter (mm. 303–73) "broadly 'developmental'" (Hefling 1992, 113). These authors' reference to strophic form is understandable—the majority of the music is, after all, led by the alto voice, and given its appearance in an orchestral song cycle, the strophic song genre would seem appropriate. The dialogue with strophic form might also invite a rondo-form reading. The three recitatives indicated in Hefling's Figure 4 could serve as three statements of a rondo main theme, and the movement's genre (an adagio finale) suggests the finale of the Third Symphony as a hybrid precursor.

As Mitchell (1985, 341) writes, while the strophic principle is employed with "emphatically 'strict'" adherence in the previous five movements of *Das Lied*, the finale "virtually reject[s] the method that generates the first part of the symphony" in favor of a freer, more improvisatory and subjective structure. Mitchell instead advocates for a four-part form, based on a notion that resonates with the rotational principle: there are "three recitatives, each of which introduces a unit. Each unit . . . comprises a prelude, recitative and sequence of arias" (363). Alongside these three corresponding units, Mitchell includes a fourth, the "independent event" that is the central funeral march just before the third rotation. Mitchell explicitly avoids the (uncited) "litter of sonata-form terminology that has been heaped on 'Der Abschied' in the past," only to unabashedly acknowledge that the first

rotation is "inevitably, an exposition" (363–64). Floros ([1985] 1993, 263) asserts a sonata-form reading, but he only makes a brief allusion to a formal development: "It . . . seems logical that Mahler structured ['Der Abschied'] according to the model of sonata form which, however, here is basically in two parts. The exposition is followed by the recapitulation, which contains aspects of a development."[78] Floros's development-like material is the same problematic funeral march that was Mitchell's "independent" fourth unit. Danuser (1986) launches a multi-layered dialectic interpretation of the movement, largely investigating two conflicts: the first, that of the strophic principle in conflict with sonata-form procedure; the second, that of the recitatives (symbolic of death) contrasted with the "cantilena" and major-key themes (symbolic of life). Danuser's Hegelian synthesis merges sonata form and the *Großstrophe* (his term for the sections that result from a symphonic enlargement of the principle of strophic repetition), once again interpreting the funeral march interlude as a quasi-development.

Each of the analysts above views the movement in dialogue with a traditional model of sonata form, interpreting the funeral march at the heart of the movement as a development. As shown in Figure 2.7, I instead directly link "Der Abschied" with Mahler's rondo-sonata hybrids. Not only does this interpretation better explain the *Durchbruch* in the recapitulation, but it views the seventy-measure funeral march apotheosis as a large-scale

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[78] "Auch deshalb erscheint es folgerichtig, daß Mahler ihn nach dem Modell der Sonatensatzform anlegte, einer Sonatensatzform allerdings, die im Grunde zweiteilig ist; auf die Exposition folgt die mit durchführungsartigen Zügen ausgestattete Reprise" (Floros 1985, 259).

reintroduction to the primary theme. A fundamental feature of Mahler's recapitulatory rotations, the expanded reintroduction furnishes more evidence for a hybrid sonata-form reading. The funeral march is a poor candidate for a sonata development because it fails to articulate any distinct developmental keys (a fundamental feature of both the Classical sonata form and Mahler's developments). The music adheres to the tonic, churning into a frenzy in a matter of fifteen measures. Furthermore, after the recitative returns in m. 374, the funeral march music (drawn from the movement's introduction and sharing motivic correspondences with the recitative) cuts back in to drown out the primary theme. The unexpected continuation of the reintroduction carries narrative significance: initially a funeral hymn "before-the-beginning," the expanded funeral march overwhelms the recapitulation's primary theme, announcing the tragic "beginning-of-the-end."

The rotational function of the recitative, noted by Mitchell, serves as the linchpin in this reading: three times over the course of "Der Abschied"—at mm. 19, 158, and 374—the vocalist enters a realm of suspended temporality to begin a rotation. The first such situation, reproduced in short score as Figure 2.8a, follows a funeral-hymn slow introduction. The "sun sinks behind the mountains" and "cool shadows" settle in the valley. The tam-tam, a pedal C in the cellos, and a flute countermelody accompany the suspended voice, and the recitative ends with a rapid, chromatic collapse into a fermata. The metrical indications are little more than suggested groupings. The motivic content and tonic of the recitative persist into the arioso that follows, so that the recitative-arioso unit coheres as a primary-theme complex. Subsequently, the orchestra establishes a starkly contrasting texture at m. 55, before

the voice joins in with the F-major secondary theme. $S_1$ provides the requisite modal contrast to the primary theme and persists until the mood shifts once more in a tonal and temporal collapse after m. 117. This first rotation is of the "expositional" type: an introduction prepares two themes in opposite modes, separated by a transition. The recitative launches the formal beginning of the rotation, while the funeral hymn serves as a frame, "before-the-beginning."

When during mm. 133–37 the bass clarinet drives the tonal center downward to A minor, the low strings and harp announce the new tonality. The horn and oboe trade funeral hymn motives, but imitations of nature substitute for the funereal introduction. The voice enters once more at m. 147 and sets the words "Die Welt schläft ein!" What follows is the second recitative, shown in Figure 2.8b; after images of the mountains, the brook, the flowers, the birds, and the earth from $S_1$, the poem turns inward. The recitative music now projects the subjectivity of the protagonist preparing to bid a friend farewell. The vocal line of the recitative is largely unchanged, despite its transposition to A minor. The flute countermelody persists, while the tam-tam is missing from the ensemble. Time has come to a more profound halt, as the low strings no longer articulate phrase groupings but instead sustain for the entire declamation. This second rotation suddenly shifts after the collapse that ends the recitative. A new B♭-major secondary theme appears, replacing both $P_2$ and the initial secondary theme. $S_2$ offers the "striking" contrasts of mode, texture, accompanimental

figuration (heavily pentatonic here), and motivic material of an interior theme.[79] In particular, the three strophic repetitions of **S₂** suggest a Mahlerian take on the interior theme, which is usually cast in a closed small form. Following the third strophe of the B♭-major theme, a period of fulfillment and collapse leads to a clear *tonal* retransition, a sequential downshift from A to G, the global dominant, at mm. 288–302. Weakening the original introduction, launching with a contracted version of the primary theme, introducing a new theme, and leading to Adorno's "material" formal processes of fulfillment and collapse—this middle section is reminiscent of Mahler's developmental rotations.

The launch of the third rotation, the final recitative, is delayed until m. 374. However, tonal return happens well ahead of the recitative, "before-the-beginning" at m. 303. The ensuing seventy-measure funeral-march apotheosis plummets the music into darkness. Our first sign of a recapitulatory rotation—an expanded reintroduction—suggests that, out of this darkness, a stable reprise of the primary theme should emerge. Yet the march apotheosis has been deployed to overwhelm the recitative, delaying its return and replacing its functional zone with an extended, radical, last-ditch effort to compel the music to a

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[79] As Caplin writes, interior themes establish "a striking source of contrast . . . from an immediate change in modality" (1998, 213). Typical interior themes, however, are cast in a small ternary form and usually contrast the major key of the main theme with its parallel minor (see Caplin 1998, 212–14). Here and elsewhere in late Mahler, one could reasonably associate developmental new themes or *Suspensionen* with the Classical interior theme, though the analogy will generally founder because of Mahler's tendency toward strophic repetition in these passages.

calamitous close. The horns have earned a new role, joining the bassoon and cello in articulating a three-note appoggiatura motive that drives the march into a frenzy. The final thirteen measures of the funeral march see the liquidation of the entire topic; bell motives slow, the pedal C is abandoned, and all that remains are thirds in the clarinet, outlining the C-minor triad. The late arrival of the final recitative, shown as Figure 2.8c, is corrupted beyond restoration, stripped of its characteristic flute partner and failing to achieve the temporal rift that closed the first two iterations. The music is now temporally rigid; it fits within and flows into a subsequent resurgence of the funeral march.

A formal reading at this point might question whether the final rotation can be understood as "recapitulatory"; after all, compared with the first rotation, this final **P**-theme recitative is quite weak. Furthermore, a narrative reading that stopped here might consider the movement deeply tragic—perhaps Mahler has composed out his own untimely death. But this tale has something of a surprise ending. Borrowing rondo rhetoric, Mahler follows his own formal logic, suppressing the initial secondary theme. Barely half its original length, its return is quickly dispensed with mid-phrase, and time subsequently slows. The double exposition's second **S** theme—in the until-now-elusive C *major*—breaks through the sparkling whole-tone landscape and supplants the F-major theme.[80] "The dear earth

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[80] Rudolf Louis's critique in the *Rheinische Musik- und Theaterzeitung*, from 2 December 1911, offers a colorful alternative interpretation of the moment: "in the final piece, 'Der Abschied' . . . monotony rises to a marked boredom. Its resolution to C major (which is moreover, woeful in the bad sense) comes too late at the end to save anything" (cited in translation in Painter, ed., 2002, 341).

everywhere blooms in spring and grows green again! Everywhere and forever the distant

horizons shine blue! Forever . . ." Having made several changes to the original text, all of

these closing words are Mahler's own, and they are words of spiritual rejuvenation. Faced

with the darkness of the recapitulation's primary theme, Mahler resorts to the other basic

feature of his late recapitulations: the repudiation of the original secondary theme. Instead of

flooding the scene with tragic remnants of the primary theme, $S_2$ converts C minor to C

major in an aspirational *Durchbruch* before itself disintegrating. Mahler molds his standard

recapitulatory rotation to fit the expressive needs of the text. The music transcends tragedy

not with the vanquishing of death but with the promise of eternal renewal, cast in the

pentatonic and extending endlessly as a farewell finale on the repeated "ewig." For Danuser,

the ending is itself a dialectic, an open end that closes a symphonic whole: "This passage

answers the question of whether it is possible to shape an end that brings the symphonic

process to its inevitable conclusion, while at the same time lending it a necessary degree of

that unending quality inherent in the *Weltanschauung* model of a love/death dialectic"

(1994, 81). The movement's formal plot is one of subversion—not merely of the F-major

secondary theme, nor of symphonic form or the song-cycle genres more generally, but of the

specter of an all-ceasing demise.

## §2.5. Generic Analysis of the "Rondo" and "Burlesque" in Mahler's Rondo-Burleske

We have seen two outer movements that fuse sonata and rondo rhetoric. As a final analytical

demonstration, we will now undertake a thorough account of a middle movement, a "rondo"

by name that is nonetheless in convincing dialogue with sonata form. As the apotheosis of

contrapuntal composition in Mahler's output,[81] the third movement "Rondo-Burleske" from

his Ninth Symphony poses several analytical challenges. The question of generic identity is

perhaps thorniest of all, as the rondo form is thrown into disarray by a rampant parade of

contrapuntal excess. The Rondo-Burleske thus enacts Derrida's "law of the law of genre" by

paradoxically contaminating the rondo genre itself. As a late work, the movement likewise

problematizes the very notion of "lateness"; for as serious a subject as human mortality, the

defiant,[82] "riotously sardonic" "tour de force of negativity" (Hefling 1999, 483) that is the

Rondo-Burleske would seem out of place in almost any era other than fin-de-siècle Vienna.

Even the genre "middle movement" becomes distorted, as Erwin Stein has deemed the

movement the "true counterpoise," a "wildly defiant antithesis," to the first movement,

despite being followed by a slow finale ([1924] 1953, 24). In order to address the resultant

generic hybridity of Mahler's Rondo-Burleske, I return to Bakhtin's theories of genre and the

novel. I interpret the Rondo-Burleske within the frame of Bakhtin's ([1963] 1984) notion of

the "carnivalesque" work, which enacts the subversion of the dominant stylistic paradigm

through a radical stance toward tradition and a polyphonic multitude of perspectives.

   As discussed in Chapter 1, in relation to both speech genres and the novel, Bakhtin

([1952–53] 1986) articulates a model of generic "absorption," in which a single, discursive

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[81] Anthony Newcomb (2009, 127) links the movement to the finale of W. A. Mozart's "Jupiter" Symphony,

no. 41, which includes a five-part fugato coda.

[82] Mahler labels the outset of the movement with the performance marking "Sehr trotzig."

literary object can incorporate representatives of other genres. Such generic mixture is at the core of the carnivalesque literary mode, which foregrounds parody, polyphony, and excess. It is the product of the "carnivalization of literature," in which the novel adopts the clamorous, mutually indifferent noises of the street carnival to create a dialogic, novelistic form ([1963] 1984, 106–9, 122ff). Reflecting the influence of the carnival on daily life, carnivalesque literature is "serio-comic"; it fuses drama and satire to "present a challenge, open or covert, to literary and intellectual orthodoxy, a challenge that is reflected not only in [its] philosophic content but also in [its] structure and language." Whereas Bakhtin's serious genres are "monological," the serio-comic genres are "dialogical": "they deny the possibility, or more precisely, the experience" of an "integrated, stable universe of discourse" (Holland 1979, 36–37). Bakhtin articulates several features of serio-comic genres. They are realist and contemporary, "presented without any epic or tragic distance, presented not in the absolute past of myth and legend but on the plane of the present day, in a zone of immediate and even crudely familiar contact with living contemporaries." Instead of repurposing received legend, "they rely on experience . . . and on free invention." Serio-comic genres are multi-stylistic and heterogeneous: "They reject the stylistic unity (or better, the single-styled nature) of the epic, the tragedy, high rhetoric, the lyric. Characteristic of these genres are a multi-toned narration, the mixing of high and low, serious and comic; they make wide use of inserted genres" (Bakhtin [1963] 1984, 108).

In Bakhtin's conception, the "carnivalization of literature" involves a serio-comic transfer of the pageantry, sensuousness, cacophony, and participatory democratization of street

carnival into the epic-rhetorical realm of the novel. The primary carnival plot involves the "mock crowning and subsequent decrowning of the carnival king," usually enacted upon a fool ([1963] 1984, 122–24). The process of crowning and decrowning a false monarch reflects the "all-annihilating and all-renewing" nature of time. The carnivalesque is therefore subversive. It challenges hierarchy, power structures, and received norms, prioritizing noise, pandemonium, and chaos. For Bakhtin, this is "polyphony": no one voice reigns, the mass of dialogic noise replaces the singular subject, yielding in his words "a plurality of independent and unmerged voices and consciousnesses, . . . with equal rights and each with its own world" (6–7). The carnivalization of literature tracks rather serendipitously with Mahler's own words on the polyphony of street music, cited at the start of this chapter. As an interpretive metaphor, I will argue that, in the Rondo-Burleske, the rondo theme and the generic category itself are subjected to the carnival act of crowning and decrowning.

The title "Rondo-Burleske" invites several expectations. Floros argues that Mahler referenced literature with the second part of his label: "As a literary genre, burlesque (from *burla,* meaning 'joke') is inseparably tied to parody, travesty, and the grotesque"[83] ([1985]

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[83] "Als literarische Gattung ist die Burleske (von *burla* = Scherz) untrennbar mit der Parodie, der Travestie und der Groteske verknüpft" (Flores 1985, 283). The question of humor in the Rondo-Burleske may be addressed in part by what Floros deems Mahler's "theory of style," namely that the composer "distinguished between four kinds of artistic style: the beautifully sublime, the sentimental, the tragic, and the humoristic-ironic" ([1998] 2012, 134). Bauer-Lechner ([1923] 2013, 95) recalls that the last, surely the only stylistic category fit for the

1993, 286). Richmond P. Bond, writing on English poetry, gives a more radical definition: "Burlesque consists in the use or imitation of serious matter, made amusing by the creation of an incongruity between style and subject" (1932, 3). Describing the Burleske modifier in terms reminiscent of Derrida, Utz (2011, 343) reads the movement as not merely sarcasm or comedy but also an instance of "formal deconstruction," which he associates with two other works that feature irony related to form: Schoenberg's *Serenade*, op. 24, and Strauss's *Burleske*.[84]

As for the rondo ascription, the movement is, in many ways, unlike any rondo before it. Classical rondos tend to appear in two guises: as slow middle movements or as finales with a lively tempo and a light character, "the conventional happy-ending finale" to cite Anthony Newcomb (2009, 126). Joel Galand (1995) contends that the eighteenth-century rondo genre welcomed rather divergent formal schemata but retained those same stylistic characteristics and associations. Claiming that the Rondo-Burleske "conforms well enough" to the typical rondo model, Christopher Lewis (1984, 65) associates rondo form with a single "invariant characteristic": the periodic return of the main theme after contrasting

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Burlesque, involves a relationship to Nature in which the artist "seeks to deal with her from a superior vantage point with humor or irony."

[84] The connection to Strauss's *Burleske in d-Moll für Klavier und Orchester* (premiered in 1890 in Eisenach) is also suggested by Alfred Stenger, who argues that, aside from superficial correspondences, the young Strauss and late Mahler express quite opposite aesthetics: "was für Strauss Raffinement, wird für Mahler rohe Negation" (1995, 277).

episodes. In the present analysis, the most challenging interpretive issue involves the Burleske's "rondo theme" itself. Rondo themes are usually the "principal thematic idea . . . almost always a conventional, tight-knit theme closing in the home key with a perfect authentic cadence" (Caplin 1998, 231). Caplin interprets each rondo-theme return as a beginning (Hepokoski and Darcy [2006, 390] agree, linking the refrain's return to the start of a rotation). Later refrains "usually [bring] back the theme's complete structure" in the tonic, although "incomplete refrains" can occur (Caplin 1988, 233). The rondo strategy hinges on divergence and return, where contrasting episodes prepare periodic reprises of a stable, tonic-key rondo theme. It is in part the unconventional nature of the rondo theme in the Rondo-Burleske that places it in dialogue with sonata form.

In the Rondo-Burleske, the rondo theme's identity is the primary source of drama and parody. The most logical candidate for a rondo theme is far from typical. Its texture is loose rather than tight-knit and features dense motivic polyphony. The theme is "crowned as a king" despite its flawed status, in the carnival sense of crowning a defective king that will be decrowned later on. In this case, the increased intrusion of polyphony over the course of the movement performs the decrowning act. Form-functionally, the rondo-theme candidate better represents a component of an internally conflicted primary-theme complex. Figure 2.9 outlines the broad thematic and tonal events in the Rondo-Burleske, following my hybrid rondo-sonata interpretation. The **A** complex (including the rondo theme candidate, $A_1$) contains multiple, distinct thematic characters—recalling the words of Bakhtin, "a plurality of independent and unmerged voices and consciousnesses." In Figure 2.9, I have marked

thematic variants as $A_1$, $A_{TR}$, $A_2$, etc., all variants of $A$ because they shuffle the same motivic

subcomponents. Contributing to the fractured identity of the $A$-theme complex, fugato

segments appear in each of the refrains of the movement. In the introductory $A_0$,[85] a unique

cadence establishes tonic. I will refer to this as the "carnival cadence," because of its

intriguing harmonic role in unlocking the carnival world of the $A$ theme: D♭ major (♭IV)

leads to a B♭ augmented sixth, resolving as a dominant substitution to the A minor tonic.[86]

As shown in Figure 2.10 a "subject-countersubject" relationship, realized in register as

well as time, exists between the violins and the remainder of the orchestra in the first

phrase.[87] I view the **subject-countersubject** relationship as one of leading and following,

where **S** leads.[88] The violins' **subject** theme comprises three primary motives. $S_a$ is a semitone

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[85] In *Elements*, zero-modules open a zone yet "seem preparatory to a more decisive (or more fully launched)

module that follows" (Hepokoski and Darcy 2006, 72). They typically remain tonally destabilized and share

thematic-motivic relationships with the subsequent module that they prepare.

[86] Lewis analyzes the opening six-measures as a "transitory progression" centered on D♭ (1984, 66–67), which

functions both as the mediant of A and the leading-tone of D. Claudia Maurer Zenck notes that the A-minor

tonality is associative for Mahler, referencing the tragic and appearing most prominently in the Sixth

Symphony (2010, 371).

[87] Richard Atkinson (2016) discusses some aspects of invertible counterpoint in the Rondo-Burleske. His

principle observations concern the combination of thematic components in the first iteration of the main

theme and the sequential fugato section that begins the development.

[88] The boldface **S** figure in the present analysis refers to the subject theme and should not be confused with the

secondary theme, S, of a sonata form.

ascent followed by a leap down, $S_b$ an unfolding third, and $S_c$ a longer passage comprising an arpeggiated ascent followed by a descent in parallel thirds.[89] The **countersubject** similarly combines several comparable subcomponents: $CS_a$, an ascending tonic arpeggio, $CS_b$, a stepwise descent (usually spanning a sixth or seventh), and a chorale (**CH**) in the horns and lower strings that has its origins in the carnival cadence. The initial $A_1$ presentation adheres to rigid two-measure metric units, which marks the theme as highly tight-knit, even while the internal polyphony realizes a loose texture with voices competing for primacy.[90] Already in the continuation phrase, motivic subcomponents undergo significant recombination. While the violins still present components of the subject, they are now shared with the rest of the orchestra. The initial $S_a$ figure appears in the upper winds in mm. 19–22, now serving a cadential function. The half cadence that ends $A_1$ is signaled by the liquidation of the subject theme and by the outer-voice counterpoint.

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[89] Alfred Stenger (1995, 277) points out the striking motivic similarity between the start of the Burleske and the opening of the second movement of Mahler's Fifth Symphony. This observation comes during an argument that the sardonic character of the Burleske is prepared by *Das Lied von der Erde*, the scherzo of the Ninth, as well as the earlier model in the Fifth.

[90] Although the connection is tenuous, Stenger (1995, 277) and Utz (2011, 343n3) note an intriguing link to J. S. Bach's third keyboard Partita, the fifth movement of which is labeled "Burlesca." Bach's burlesque also implements a dogged adherence to two-measure units for its basic idea and is likewise in A minor. The similarities seem to end there, although one could potentially draw intertextual associations between a handful of motives. Pulling gently on this thread, the **subject** theme of the Rondo-Burleske might be said to be a motivic reshuffling of the initial two measure basic idea of the Burlesca.

Over the course of the first refrain, $A_1$ reappears twice. Crowned as the first, best option for a rondo theme, it undergoes loosening, motivic development, and polyphonic antagonism uncharacteristic of Mahler's earlier rondo themes. Before its first return, a transition theme emerges in m. 24.[91] The transition theme is cast as two parallel sentential phrases constructed from recycled fragments of **A**, while the G pedal destabilizes the global tonic and suggests an expected secondary-theme key of C major.[92] The transition fails to achieve a new key, abandoning the G pedal in m. 35 and rerouting back to A minor for the second $A_1$ theme in mm. 44–64 (Figure 2.11). The first four measures of this restatement mostly duplicate $A_1$. However, in the continuation, **subject** theme motives are treated in fragmentation against a chromatic sequencing passage, and the bassline is contaminated by an augmentation of the contrasting theme, **B**. The product is a discursive and elliptical continuation and collapse, as the music fails to cadence. Instead, it runs headlong into a new $A_2$ theme at m. 64 that is drawn from the carnival cadence and the **A** theme's chorale motives.[93] $A_2$ is a stable, sentential theme, but its motivic dependency on $A_1$ and adherence to the tonic key suggest it is a member of the complex of **A** themes, rather than a contrasting

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[91] Utz (2011, 345) identifies the passage as *Fortspinnung* and generally agrees about the disposition of the **A**-theme complex (although he refers to my $A_2$ theme as an interpolation of a new **B** theme).

[92] The harmony of this passage serves as reinforcement for Lewis's view that the movement expresses a weak A/C double-tonic complex at the outset.

[93] Lewis (1984, 67) reads the passage spanning mm. 64–108 as the *Abgesang* of a bar-form first refrain, seeming to overlook the motivic relationship of the initial **A** theme to the themes beginning at mm. 64 and 79.

theme. A third statement of $A_1$ interrupts, this time a fugato section in which the theme undergoes an inversion of leader and follower. As shown in Figure 2.12, the trombones introduce $CS_a$ at m. 79 in advance of the return of $S_a$ in the violins. Furthermore, the $A_1$' theme is now firmly in the key of the subdominant, D minor, with a touch on G minor as a real answer eight measures later. A second collapse ends this section with a frenzied stretto of subject motives beginning in m. 100 that eludes any convincing cadence. The outcome of such recombination, tonal deviation, contrapuntal maneuvering, and cadential avoidance in the first refrain is rhetorical in nature: the rondo theme, $A_1$, and its complex of associated themes are presented and then rapidly problematized, crowned and rebelled against in a matter of minutes.

I interpret the rondo-theme complex as the first theme and transition within a Mahlerian expositional rotation. The **A** complex is prepared by a short introduction and functions as a set of motivically related thematic characters that await a modally contrasting counterpart. The transition theme strives to generate the secondary key, only to succumb to the A minor tonic in short order. In m. 109, a true secondary theme, in the contrasting key of F major, arrives. The **B** theme is a classic Mahlerian secondary theme: a clear sentential structure, the Ländler theme has been variously described as "leisurely, trifling" (Bekker [1921] 2012, 808), "sauntering" to the tune of the "Women" song in Lehár's *The Merry Widow* (Adorno [1960] 1992, 162), and reminiscent of a "popular song idiom" (Floros [1985] 1993, 288). Strophic repetition of the secondary theme reinforces the contrast with the loose, disturbed **A**-theme complex, and it never deviates from the tonic F major.

In typical rondo form,[94] subsequent iterations of the rondo theme would follow rotational precedent: the later refrains would therefore express mostly complete restatements of Refrain I, and they would do so in the tonic. As Figure 2.13 demonstrates, Refrain II instead barges in on the **B** theme in m. 180, before the theme achieves any rhetorical or harmonic closure and without the preparatory carnival cadence for the return to **A**. Refrain II lacks the original transitional theme and is initially in A♭ minor. The two-measure metric units are now interrupted by early statements of the **CS**, and although the original ordering of the **S** theme is present, it founders after only four measures, undercut by fragmented chorale-theme motives and the registrally higher **CS**. At m. 209, the subsequent fugato section in D minor follows precedent, but its function has changed. Previously, it served as the "end-of-the-beginning," leading by collapse into the Ländler contrasting theme **B**. In Refrain II, the fugato intrudes early, interrupting **A₂** and preparing a new member of the **A**-theme complex, **A₃**, which draws on the **countersubject** theme of the initial rondo theme.[95]

The third and fourth rotations reveal the contrapuntal dethroning of the rondo theme. Rotation 3 launches not with the expected **A₁** theme, but with a novel fugato section. Commandeering **A₁**'s space is a circle-of-fifths patterning of **A₃**, the new theme from the second refrain, accompanied by splintered remnants of the initial **subject** theme. As a drawn-

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[94] Utz (2011, 344) does not associate the movement in any strict way with rondo form. Rejecting the label, he instead refers to it as "clearly tending toward strophic form [eine deutliche Tendenz zur Strophenform]."

[95] Lewis (1984, 89–90) suggests a thematic association of **A₃** to mm. 8–9 of the first movement of the Ninth Symphony as well (presumably, the horn inner voice that leaps a sixth before descending two steps).

out, sequential reference to the **A**-theme complex, the initial period of the development

involves a process of liquidation. Just as **A**-theme motives are fragmented, a novel turn figure

is introduced. In m. 347, at the key change to D major, the violins stop time and a

*Durchbruch-Suspension* takes place.[96] John Scheinbaum's words on the *Suspension* in the

Third Symphony are appropriate here as well: "The stillness and solemnity of the suspension

passages is wholly different from the affect of the rest of the movement, which is constantly

restless and chattering" (2006, 61). Lewis refers to this passage as a third episode, which

imposes anomalies on the overall rondo form because it is "set off so strikingly from the rest

of the movement by texture, melodic content, rhythm, harmonic rhythm, tonal plan—in

short, by virtually every stylistic characteristic" (1984, 66). The nearly one-hundred measures

of suspended music look beyond the Rondo-Burleske: this is an incongruously optimistic

vision, a "phantasmagoric episode" in Floros's words ([1985] 1993, 287).[97] The orchestra

alternates between the turn figure—which foreshadows the Symphony's finale—and the **A₃**

theme, which can be linked to the first movement. As Newcomb has it, "the metaphor is of a

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[96] Peter Revers (1985, 146) refers to the section as a *Durchburch* as well, one initiated by the turn figure:

"Wesentlicher ist aber der Tatsache, daß der mit dem Beginn der Episode scheinbar verbundene Durchbruch

gerade durch das Doppelschlagmotiv, das ein konstitutives Moment dieses Durchburchs zu sein schein, ad

absurdum geführt wird."

[97] I agree with Micznik's view of the passage, in D major, as a reference to the first movement: "the insertion of

the ethereal world of the first movement as a sudden reminiscence interrupt[s] the tumult of the burlesque in

the third movement" (1996, 161).

vision—a revelation that these same thematic and stylistic elements can lead somewhere radically different; this same network of characteristics, this same musical protagonist, can be reformed as something quite different" (2009, 127). Indeed, Lewis goes further, indicating six tonal-harmonic links between this passage and the first movement: these include the tonic D and tonicization of B, and tonal associations to B♭ and F♯.

In order to reanimate the world of the rondo-theme complex, a process of Mahlerian musical re-creation follows the *Suspension*. Here, a return to the carnival world of the rondo theme is achieved by reactivating **A**-theme motives while also reigniting and intensifying a harmonic event from the movement's introduction. In measures 1–4, the music quickly outlines a major-third cycle of chords: G major–E♭ major–B major. After m. 444, the pattern is transposed by a perfect fifth and expanded into key areas: D major–B♭ major–F♯ major (as the dominant of B). This amplification of the expositional introduction to announce the recapitulation is a common rhetorical strategy in Mahler's late symphonic movements. The third rotation can therefore be understood as a protracted development, including the Mahlerian tropes of sequential liquidation, *Suspension*, and a re-creation and reintroduction. The hybrid reading acknowledges the dialogue of the *Suspension* section with a Caplinian interior theme: the music is highly contrasting both with its immediate surroundings and with the **B** theme, and it involves several strophic repetitions. This reading is, however, less than ideal, in part because of the reminiscences of the **A₃** theme within this passage. Moreover, viewing Rotation 3 as a development recognizes the significant precedents for such material in Mahler's developments.

Following the suspended *Durchbruch* and re-creation of Rotation 3, the final refrain

begins Rotation 4 with a return of **A₁**. However, the key is initially Dm, that of the earlier

fugato sections. Floros deems this a "varied recapitulation [variierte Reprise] of the first

section" ([1985] 1993, 287). And there is ample reason to consider m. 522 "recapitulatory"

(in the sonata-form sense) rather than "refrain-like" (as in rondo form). Most especially,

refrains within a rondo tend to be undifferentiated, relatively stable repetitions of the rondo

theme. On the other hand, the sonata-form recapitulation, especially in Mahler's

symphonies, represents an opportunity to resurrect the P theme after its distortion in the

development. The recapitulatory return in the Rondo-Burleske, shown in Figure 2.14, brings

back several components of Refrain I. The initial transition theme returns at pitch, as does

the fugato from the first refrain. The two-measure metric units are back in strict adherence.

The motivic disposition in time is nearly identical to the original; while the **CS** theme begins

in a registrally higher position, the **S** theme regains the upper voice at the point of cadence.

Additionally, the **subject** theme is doubled in both winds and strings for the first time. If m.

522 is the onset of recapitulation, it is clearly a case of off-tonic return. Like other late

Mahlerian recapitulatory rotations, a confirmation of the tonic key is delayed until the coda,

and a reprise of the original secondary theme is lacking. In m. 639, the final reprise of **A₁** is

announced by a belligerent restatement of the harmonic progression that prepared its first

occurrence: the carnival cadence.[98] What follows in the *Presto* in Figure 2.15 is the most

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[98] This fourth refrain—prepared by an expanded lead-in, restating the rondo theme in tonic, and following

with a closing function—follows the schematic of Huguet's (2015, 88) "post-recapitulatory space."

addled and frenetic of passages. The **subject** theme no longer unfolds its three subcomponents in series. Instead, it takes on the fragmented character of its fugato variants, stumbling over repetitive motives, transposing portions of the theme in sequential copies. The polyphonic crowd has staged a successful coup and celebrates accordingly. Accompanying the fugato is a devilish fanfare. The scene explodes in sundry fragments, simulating the calamitous noise of the street fair and closing with a bombastic, final carnival cadence.

In the analysis above, I have accounted for some of the formal and generic markers that place the Rondo-Burleske in dialogue with both rondo- and sonata-form prototypes. Not only has the rondo genre been significantly contaminated, but its formal paradigm has been subverted, the characteristic main theme satirically "decrowned." Hardly a clear-cut rondo, it absorbs sonata-form elements in a manner fundamentally destructive to the rondo genre. More chaos than order, it thumbs its nose at the formulaic rondos of the Classical period. By directly summoning and then rejecting the basic tenets of the rondo genre, Mahler creates a musical manifestation of the complex, at times paradoxical, relationship between genre, title, and form. Furthermore, the Burleske satirizes contrapuntal topics, as several tumultuous fugato segments occur, ultimately running roughshod over any attempt at main-theme stability at the close.

In truth, the movement stands in paradoxical relation to the symphony as a whole. As shown in Figure 2.16, its formal layout closely resembles that of the finale. The main theme of the *Adagio* shares striking motivic correspondences with the development of the Rondo-

Burleske. The turn figure from the Burleske's development foreshadows the zero-module of the *Adagio*—a jarring opening octave in the violins leads directly to a comparable turn. The main theme also employs the same major-third cycle of chords as a defining feature of its harmonic structure, the first measures of the main theme moving from D♭ major through A major and, a few measures later, ultimately to F major. Micznik identifies this progression in the Symphony's second movement, too, and associates it with a Baroque bassline model, "exploited often enough throughout various periods in music history to have reached by Mahler's time the status of a recognizable reference to a 'ready-made' generic formula." This semantic detail is informed by the way in which Mahler chromatically and polyphonically distorts the progression: "both the model and its denial are thus thrown into drastic re-evaluations. One may call this Stravinskian neoclassicism before its time" (1994, 135–36). Despite the intertextual references, the *Adagio* involves markedly less dramatic development than its immediate predecessor. The contrasting theme is a mosaic of disconnected motives rather than a true antithesis to the main theme. Rather than presenting a central opposition between two themes, the finale reserves all of its dramatic energy to rebuff an unwelcome return to the carnival world of the Burleske—a contrapuntal outburst ending the second rotation. Just as the music reaches its peak calamity, the violins recover the octave leap of the introduction in m. 122, stop time on the aforementioned C♭6, and announce the sparklingly triumphant recapitulation shown in short score in Figure 2.17. This is, for Hogrefe (2016), a pivotal moment in a Romantic thematic narrative: the main theme imposes its dialogic will in a victorious rebuttal to the transgressive resurgence of polyphony. Jameson identifies the

moment as "affirmative and officially optimistic" (2015, 119). For Adorno, such *ad astra*

optimism would typically constitute an unsuccessful finale ([1960] 1992, 138)—the closing

dissolution into fragments, though, parallels the movement with the first and offers an

ultimate sense of uncertainty that problematizes the affirmational recapitulation (164–65).

Nevertheless, lacking the dramatic development and forceful negation that a finale would

typically undergo, I follow Erwin Stein in viewing the *Adagio* as insufficient as a bookend to

the animated first movement. The Rondo-Burleske enacts the thematic development typical

of a functional finale. But its motley disposition ultimately leaves it aesthetically

unsatisfactory. To cite Newcomb, it ends in "burn-out" (2009, 129). The *Adagio* follows,

"out of the ashes" (129) of the Burleske, as something of a transcendent postlude, rectifying

the false logic of the preceding movement. While neither movement is unequivocally in

rondo or sonata form, each is (explicitly or implicitly) in dialogue with both models. And

while the Rondo-Burleske fails as a finale and as a titular rondo, the *Adagio* ends the work as

a whole with a textbook *ad astra* recapitulation, in a major key that transcends the parodic

chaos of the Burleske.

## §2.6. Problems of Maximalism and the "New"

When articulating newness as an element of modernist music, critics have often regarded as

the highest art those forms that reflect total innovation. Jameson, for one, describes the

product of modernism in these terms: "It is only with the development of modernism as an

individual resistance to all kinds of fixed conventions that the production of a unique style

comes to be valorized as the distinctive sign of 'genius' and moves to the center of the

modernist telos and the coordinates of radical innovation" (2015, 71–72). Ezra Pound's

slogan "Make it New" resounds with the received narrative of modernism, even that early

modernism of the first decades of the twentieth century. Rejecting the past is seemingly the

only path toward Christopher Butler's (1994) "extremes of individuation." And rejecting the

past meant rejecting that most "ready-made" of formal layouts: sonata form, "thwarted" and

"negated," (Dahlhaus [1980] 1989, 14) "exhausted" by Beethoven and then repeated by a

"generation of epigones" (Jameson 2015, 78) until by the end of the nineteenth century

composers came to "abandon the sonata altogether for tone poems and various forms of

descriptive or program music" (78). To borrow an oft-repeated biblical phrase (cited by

Adorno [1968, 54], no less), modernist composers could not simply "fill old skins with new

wine." The erstwhile vision of a historical lineage paled in comparison to the futurist new. In

an excerpt from *Der Zauberberg*, Thomas Mann recounts the garb "from a vanished century"

worn by Hans Castorp's town-councilor grandfather in a portrait in the protagonist's

childhood home: it would be worn "on pompous occasions in order ceremoniously to make

the past present, the present past, and to proclaim the permanent continuity of all things"

(Mann [1924] 1995, 28).[99] Even Taruskin presents the maximalist enterprise along these

lines: "each work," he writes "must show 'progress'" (2005, 44).

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[99] Newcomb (2009, 135) uses almost identical terms in charting a narrative of the *Adagio* of the Ninth

Symphony: "incorporation of the past as past within the present through the play of repetition is an essential

element in Mahler's last movement."

The common sentiment in all of these accounts—that nothing is new unless everything is new—would make for a convenient modernist narrative, and we might be tempted to assume Mahler and other early modernist composers subscribed to it as well. Yet Mahler's own words on the subject of tradition must carry some weight: "at present, I'm quite happy if I can somehow only pour my content into the usual formal mould, and I avoid all innovations unless they're absolutely *necessary*" (Bauer-Lechner [1923] 2013, 131; emphasis original). As Carl E. Schorske has it, Mahler was more *renovator* than innovator with a baton as well: "In his last years at the Opera, Mahler knew how to make of the ancient art the carrier of the new spirit, offering a living example of the regenerative virtue of modernity as well as the contemporary value of a traditional inheritance" (1982, 49). Still, he *did* enact substantial innovations—of size, length, philosophical weight, and generic mixture. The last of these is more a means than an end. Writes Julian Johnson, paraphrasing Rudolf Stephan, "in Mahler's music the self-critique of the symphonic form, already explicit in Beethoven, 'fulfils' itself and, in doing so, 'liquidates' itself" (2009, 194). In order to accommodate the immediacy of expression, the extent of symphonic expansion, and the urge to communicate a worldview through music, the traditional forms were instrumental, but they required manipulation and fusion.

The goal of this chapter has been to demonstrate the rhetorical borrowing and mixture inherent in Mahler's formal technique, particularly in the late symphonies. First-movement sonata forms, middle-movement rondo forms, adagios, and finales of the earlier symphonies were all fodder from which the composer could draw expressive musical material. The result:

Mahler's late symphonies include several hybrid forms, most commonly the rondo-sonata hybrid that I have identified above. The fusion of sonata- and rondo-form movements into a hybrid—expressed by the outer movements of *Das Lied von der Erde*, the first, third, and fourth movements of the Ninth Symphony, and at least the opening *Adagio* of the Tenth— exhibits a trend in Mahler's symphonies. Those works employ rotational form, with rotations that are themselves functionally differentiable. Expositional, developmental, and recapitulatory rotation-types appear in all manner of movements throughout Mahler's oeuvre. Indeed, hybrid forms are common. But they become dominant in the late style, as Mahler's expressive, dimensional, and philosophical ends place overwhelming demands on received formal tradition. Generic hybridity, captured in Mahler's late style, represents one technique to accomplish the maximalization of musical form in service of expression.

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# CHAPTER 3.
## *EINE ALPENSINFONIE*: TONE POEM AS MUSIC DRAMA

But now the light of dawn unveils the world:
the woods resound with myriads of living voices;
everywhere valleys are filled with streaks of fog.
but still the heavens' brightness penetrates their depths,
and from the misty chasm where they slept
fresh-quickened boughs and branches have burst forth;
muted no more, color on color emerges in the dell
where trembling pearls drench every leaf and flower—
all that surrounds me forms a paradise!

Look now, above! The mountains' mighty peaks
herald the hour of full solemnity,
by right partaking of the everlasting light
before it veers towards us below;
new radiant clarity extends its boon
to alpine meadows sloping green beneath them
and stage by stage completes its downward journey; —
now it appears!—and, to my sorrow blinded,
I turn my gaze away suffused with pain.

Goethe ([1829] 1984), *Faust* Part II, lines 4686–703 (translation by Stuart Atkins)

In Faustian spirit, let us begin our examination of Richard Strauss's *Eine Alpensinfonie*, op.

64 (1915), at the summit.[100] Figure 3.1 reproduces the music of six unison horns in C major

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[100] Charles Youmans cites Johann Wolfgang von Goethe as perhaps the single most influential figure (possibly

surpassing Friedrich Nietzsche) on Strauss's *Bildung*: "Strauss looked to Goethe as the shining example of a

modern humanist. Goethe was the only poet Strauss set in every decade of his life from the 1870s to the

1940s." Strauss's admiration for Goethe likely transferred to the realm of mountain exploration as well. Goethe

was famous as an alpine hiker, and, as Youmans points out, the conception of mountains as monuments was

held by Strauss: "when he called himself 'the last mountain of a large mountain range,' Strauss thought not only

at mm. 602–12 (R80.4[101]). *Fortissimo*, mid-range, the lockstep horns resound a glorious lilt

that elides with the PAC in the "key of nature" (Youmans 2005, 102). The sighing major-

third gesture, descending to rest on the downbeat of m. 603, is thematized by its foreground

prominence and immediate motivic repetition and development.[102] The gesture repeats

twice, expanding to outline the perfect fifth [G4–C4]. The melody remains restrained

through the first two beats of m. 605—diatonic in origin, powerful, natural, and lucid.

Interrupting the inertia of these first three gestures, the horns relax into a lower register,

preparing a rhetorical break from the flowing lilt that had dominated the first two measures.

The subsequent gesture further plums the depths of register, reaching E3 at its nadir; in

Robert S. Hatten's (2004) terms, this represents a "dialogical play" between gestures that

stand for "oppositional ideas" (136). In this instance, the dramatic opposition inheres in the

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of the German musical tradition from Bach to Wagner, but of the German intellectual tradition, which

included music as an important element but had reached its apex in the relatively unmusical Goethe" (2003,

68–69).

[101] Throughout this chapter, I refer to measure numbers in the 1993 Dover edition of the orchestral score.

Rehearsal numbers are added in parentheses, where R80.4 means four measures after rehearsal number 80 in

that score edition. The rehearsal number designations will typically refer to the first measure only of an

indicated span of music.

[102] In this initial vignette, I borrow terms introduced by Robert S. Hatten (2004, 134–37), who refers to

gestures as "spontaneous," "thematic," "dialogical," "rhetorical," or "troping": "A gesture becomes thematic

when it is (a) foregrounded as significant, thereby gaining identity as a potential thematic entity, and then when

it is (b) used consistently, typically as the subject of a musical discourse" (Hatten 2004, 135).

horn melody, which embodies competing emanations of a single, glowing C major representing the qualities of the individual hiker and the natural world. The change in tessitura and dotted-eighth–sixteenth rhythm suggests the human voice has entered, although what is spoken is hardly antithetical. The stepwise descent in the lower register [G3–F3–E3] parallels the [E4–D4–C4], effectively "thematizing" it. Thus, we encounter call-and-response rather than dispute. Cogent discourse begets dialogical strife when, in m. 605, a spontaneous outburst in the horns reverses course, launching rapidly back into (and shortly, beyond) the middle register. The methodical, mostly stepwise motion is replaced by an image of audacity—though note the motivic, stepwise third [E4–D4–C4], which springs anacrustically to the theme's starting point, G4, in m. 607. If we infer a conversation of sorts, it would seem that the interlocutors—one reasoned, the other brash—have co-opted each other's terms. The product is the final gesture: a deceptively simple C-major arpeggio, soaring up to C5 before descending, once more, to restate the [G3–F3–E3] stepwise third. The horns sustain the final note into m. 611, when, two by two, they disappear from the texture, unraveling the illusion of unity.

The drama that unfolds among the horns at the summit of *Eine Alpensinfonie* represents a microcosm of the drama that spans the entire work. Indeed, the main characters of this passage are those of the symphony as a whole. On the one hand, the role of nature is reflected by stepwise motion and the outlining of the tonic triad; see, for instance, the opening scalar themes of the "Night" and "Sunrise" sections (e.g., mm. 1–8 and 46–53 [R7.1], respectively). On the other, we have the subjective impulsivity of a single person,

entering into and experiencing the landscape; its most direct instantiation is the "Ascent"

theme (first occurring at mm. 74–85 [R11.6]).[103] The troping of the two theme families at

the summit represents a point of interpretive significance, to which we will return. The

exchange at the summit is also characteristic of the broader dialectics at play in the work.

Thematic confrontation, interaction, and borrowing between nature and the individual

underpin a dramatic structure that, in its musical manifestation, acts out a sublime, quasi-

spiritual narrative: the ascent and descent of an alpine peak over the course of a single day.

*Eine Alpensinfonie* is particularly fertile ground for interrogating the relationship between

dramatic actions and events, narrative chronology, large-scale dramatic structure, and sonata-

form rhetoric.

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[103] A fascinating web of thematic reference exists surrounding the two thematic identities of this passage.

Youmans (citing Gabriele Strauss, the composer's granddaughter-in-law) has connected the lilt in the horns to

the *Adagio* from Max Bruch's Violin Concerto No. 1 in G minor, op. 26: "Strauss's playful acknowledgement

of the connection in rehearsal—'once again from the Bruch concerto, gentlemen'—apparently produced no

confusion whatsoever" (2005, 228). But the lilt theme also has a more direct symbolic antecedent in Strauss's

sketchbooks. Rainer Bayreuther (1994, 225) reproduces sketches from the 1902 "Artist's Tragedy" version of

what would become *Eine Alpensinfonie*, and the theme marked "Weib" begins with a rhythmic and melodic

precursor of the lilt. The "wife" gesture contrasts with a "man" theme that exhibits the same spontaneity and

aplomb of the "Ascent" theme. Thus, what was in the *Künstlertragödie* of 1902 a conflict between man and wife

became, in *Eine Alpensinfonie* of 1915, a struggle between human and nature.

## §3.1. On Genre, Program, and Narrative

### §3.1.1. Genre and compositional genesis in Eine Alpensinfonie

Charles Youmans suggests that the title of Strauss's final tone poem, "Eine Alpensinfonie,"

ought to be met with skepticism. After all, was *Salome* a typical "music drama"? Was *Till*

*Eulenspiegel* a standard "rondo"? Their complete titles—*Salome, music drama in one act, after*

*Oscar Wilde's tragedy*, and *Till Eulenspiegel's Merry Pranks, after an old rogue's tale, in rondo*

*form* [*Rondeauform*]—suggest genres (and in the case of *Till*, a form) of which they are hardly

prototypes. For Youmans (2005, 216), neither *Symphonia Domestica* nor *Eine Alpensinfonie*

had anything in common with symphonic tradition.[104] As to form, Walter Werbeck (2003)

argues that neither work expresses "a simple return to the symphony" (126). That Strauss

labeled his two last tone poems as "symphonies," ostensibly linking them as "companion

pieces,"[105] should also be taken with a grain of salt. While *Domestica* includes all the

components of a symphonic cycle—with labels for each "movement" in the score—the long

gestation of what would become *Eine Alpensinfonie* saw its initial conception as a four-

movement structure progressively dismantled. Yet from its earliest stages, the ascent-summit-

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[104] Youmans suggests that the two pieces that end Strauss's tone-poem oeuvre were labeled "symphonies" in

part to mirror the first two large works the composer wrote for orchestra: Symphony No. 1 in D minor and

Symphony No. 2 in F major (2005, 216).

[105] Strauss used the term *Pendant* to refer to pairs of companion works (*Ein Heldenleben* and *Don Juan*;

*Feuersnot* and *Salome*). As his last two symphonic poems, both labeled as symphonies, *Eine Alpensinfonie* and

*Symphonia Domestica* might be construed as similarly linked.

descent paradigm of *Eine Alpensinfonie* was planned as a single-movement affair—it was always the first movement of the various multi-movement plans that Strauss considered.

Rainer Bayreuther (1994, 1997) has traced the compositional origins of *Eine Alpensinfonie* through fastidious study of Strauss's sketchbooks.[106] *Eine Alpensinfonie* began as a "Musical sketch of an artist's tragedy," as indicated in Strauss's personal writing calendar on 3 July 1900. A four-part symphonic poem, the 1900 *Künstlertragödie* included an introduction, followed by an andante, allegro, and finale that corresponded to programmatic labels associated with the life of the painter Karl Stauffer-Bern (1857–91). Bayreuther describes the introduction: "If you take a closer look, this is already (in 1900!) nothing more than a concise, nearly complete version of the introduction to the published final version of *Eine Alpensinfonie*, namely the parts 'Night' and 'Sunrise'; only the 'Mountain' motif [mm. 9–16] of the final version is missing" (1994, 221).[107] Christopher Morris (2012) situates this early conception squarely in a Nietzschean aesthetic period: "the long genesis of the work . . . connects it to the decade of the Nietzschean tone poems, while the alpine setting of the project—at first the background to a biographical program, but later itself the focus of the work—is bound to evoke Zarathustra's domain and the vantage-point privileged again and

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[106] Werbeck (1996, 183–209; 1999), Youmans (2005, 2014), and (to a lesser extent) Norman Del Mar ([1969] 1986) have largely corroborated Bayreuther's account. Werbeck does take some issue with Bayreuther's interpretation regarding the dating of sketchbooks.

[107] The introduction bore the label "Sunrise in the mountains and the first impressions of nature." All translations are my own unless otherwise indicated.

again by the philosopher of the heights" (51).[108] Over the following fifteen years, the

programmatic, symphonic, and thematic conceptions of the work morphed. Sketches for a

1902 version trail off after the introductory music, but several modifications to the

introduction go unchanged in later versions.[109] Subsequently, sketches for two versions of a

four-movement symphonic cycle appear, now labeled "Die Alpen." Each places the entire

climb and descent sequence in the first movement (Bayreuther 1994, 234), adding evocative

location descriptors (e.g. "Wald," "Gletscher," etc) that also appear in the final version.[110]

Following Gustav Mahler's death in May 1911, Strauss returned to his sketches for "Die

Alpen," adjusting the title and program in apparent reaction to the demise of his composer-

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[108] Morten Kristiansen (2002) contends that Strauss's Nietzschean proclivities also manifested in the form of a

general skepticism of metaphysics: "Strauss's selection of subjects based on an objective interest in a given topic

or problem contrasted starkly with the Wagnerian and post-Wagnerian obligation to create works that express a

(metaphysical) *Weltanschauung* and reveal the deepest secrets of the world, as Schopenhauer insisted" (697).

[109] Bayreuther notes at least three significant modifications: (i) the B♭-minor opening now shifts by the end of

the introduction to B♭ major (ending, as a slow introduction, on the dominant of E♭); (ii) the "Nacht" and

"Sonnenaufgang" sections are expanded to a near approximation of their final, 1915 form; and (iii) Strauss

introduces the motive of the ascending perfect fifth, a horn call that figures prominently in the final

introduction (1994, 224–25).

[110] The latter version, appearing in sketches after 1910, also includes a novel return to nature imagery in the

finale, "Befreiung in der Natur," replacing the earlier "Befreiung durch die Arbeit."

conductor counterpart.[111] The 1911 sketches carry the Nietzschean title "Der Antichrist," and Werbeck believes that Strauss now conceived of the piece in two movements: "The program of the first movement would then have been that of climbing a mountain. . . . The three statements from the writing calendar entry matched this perfectly: the pictures of nature in the first movement correspond to the 'adoration of nature', [while] the 'harmony in creating' with the 'purification under one's own power' and the 'liberation through work'" apply to the second (1996, 199). Ultimately, the "Antichrist" label and all but the mountain journey were excised in revisions during 1913, according to Bayreuther. As Werbeck points out, "the program of [*Eine Alpensinfonie*], as far as the pictures of nature are concerned, was fixed from the beginning to the end" (1996, 206); while the number of movements shrank from four to one, Strauss did not retain the overarching artist's tragedy program in the resulting single movement. Instead, while the poetic ideal of Stauffer-Bern's tragic life story is likely still relevant to the single-movement *Eine Alpensinfonie*, the programmatic consistency through the compositional process of the mountain tale suggests that it was always, and should remain, conceived of as a first-movement form.

If the ascent-summit-descent program of *Eine Alpensinfonie* was only ever intended as a first movement, Strauss's decision to label the work a "symphony" might well have served to

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[111] Strauss marked Mahler's death in his writing calendar, and Werbeck suggests that the impulse to add the "Antichrist" label to earlier sketches was a direct reaction to Mahler's passing (1996, 198). Mahler, having appropriated Christianity in his Eighth Symphony, represented an idol of Strauss's finding meaningful fodder from religious spirituality, when the latter was an advocate for an areligious spirituality of nature.

situate the single-movement work in an aesthetically privileged lineage, associating it with

the vaulted Germanic symphonies of Ludwig van Beethoven, Franz Schubert, or Johannes

Brahms.[112] Morris suggests that the symphonic aesthetic had, however, transformed by the

turn of the century:

> If the late eighteenth and early nineteenth-century discourse of the musical
> sublime had focused on the sheer scale and force of symphonic music—
> dynamics, repetition, accent, expansive forms—the sublime of the late
> nineteenth-century symphony gravitated toward something much more
> elusive. In this aesthetic it is precisely the resistance to the worldly and
> material that becomes the marker of the sublime. (2012, 54)

For Strauss to join the Beethovenian-Wagnerian aesthetic of sublime transcendence with the

otherwordliness of Schumann and the Romantics was for him to "confront the sublime

legacy at its most potent and evocative." The sublimity of the musical apparatus constitutes a

symphonic behemoth that paradoxically reveals the simplicity of Strauss's maximalist

enterprise: as a "materially oriented" symphony concerned with straightforward depictions of

the natural world (Youmans 2005, 230), *Eine Alpensinfonie* is reactionary and

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[112] Single-movement orchestral works labeled as "Symphony" were quite rare before 1915. Alexander Scriabin

had occasionally referred to his *Poem of Ecstasy*, op. 54 (1908), and *Prometheus, the Poem of Fire*, op. 60 (1910),

as his Fourth and Fifth symphonies, respectively. In both cases, it is rather unlikely that Strauss encountered

these works before completing *Eine Alpensinfonie*. The former premiered in 1908 and early on it was primarily

successful in America, England, and Russia (Ballard, Bengston, and Young 2017, 97). The first edition of the

latter was only published in Paris in 1913 and performed rarely outside of Russia (Gawboy and Townsend

2012, [5–9]). Closer to home for Strauss was Arnold Schoenberg's First Chamber Symphony, op. 9 (1906), but

its sparse instrumentation makes it a fairly unlikely precedent.

antimetaphysical; but its formal and symphonic novelties make the work radical. By encompassing both the sublime alterity of the Romantic at moments like the mountain summit with the extreme realism of illustrative music, Strauss created a symphonic work that would communicate to the listener instantly and transport them onto the mountainside with the virtual hiker. The simplicity and realism of the programmatic idea is a feature shared in both of Strauss's final tone poems. Writes Youmans, *Eine Alpensinfonie* and its companion *Symphonia Domestica* "say little with enormous means, but in the process compensate the listener with unprecedented feats of sheer technical brilliance" (2005, 243).[113] Strauss's *Eine Alpensinfonie* imagines a maximally simple message—conveyed with deliberately dramatic excess.

### *§3.1.2. Program—narrative—story—drama*

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[113] Theodor W. Adorno (1965) intensely critiques Strauss's "technical brilliance," arguing that what was protest in Wagner becomes superficial "spectacle" in Strauss: "Music wants to 'live it up.' It talks as though the totality, the whole wide world, spoke directly through its subjectivity, whereas the truth is that the world can speak only through the mediation of interiority, however questionable the latter may be" (16). The excess of spectacle that Adorno recognizes in Strauss is a major contributing factor in the maximalism of *Eine Alpensinfonie*. Orchestral effects that mimic nature at its most dramatic, combined with the great size of the orchestra and extended length of the work, position the symphony as a maximalist work even while its overriding message is fairly simple.

The challenging interpretive question, in striking a balance between the published programmatic labels shown in Figure 3.2 and the enormous single-movement form of *Eine Alpensinfonie*, lies in addressing the role of program.[114] It is not my intention to wade into or rehearse the decades-old debates on the ontological status of program music. For now, let us briefly review some of the attendant aesthetic problems and compositional solutions as they relate to the particular situation of Strauss.

The principal flashpoint in debates surrounding program music prior to Strauss is the confrontation between Wagner and Eduard Hanslick in the 1840s–50s. Carl Dahlhaus defines the camps that grew out of this debate as the "New Germans" and the "formalists," respectively ([1978] 1989, 129). Whereas the New German School promoted the extramusical expressivity of music, the formalists argued that the essence of music inhered in musical forms themselves. For Wagner, music drama alone could combine the limited dramatic potentials of each art form to allow for a total expressive unity,[115] but program

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[114] In Figure 3.2 and elsewhere, I have elected to leave "Ausklang" untranslated. The label has been variously translated as "Conclusion (of the journey)" (Hurwitz 2014, 73), "epilogic" and a "conclusion" that is "resigned" (Youmans 2005, 224), "Fading away" (Morris 2012, 53), and "Ending (of the day)" (1993 Dover edition of the score).

[115] In his "On the Application of Music to the Drama," Wagner ([1879] 1897) makes the point rather explicitly: "certain vividly-gifted instrumentalists nursed the irrepressible desire to enlarge the bounds of musical form and expression by superscribing their pieces with a dramatic incident, and endeavoring to present it to the imagination through purely musical means. The reasons why a pure artistic style could never be attained on this path, have doubtless been discerned in course of the manifold attempts thereon" (8).

music, with its suggestions of drama, was a step in the right direction. As for Hanslick, translation into a program or poetic criticism bastardizes the content and form of the musical work and fails to express the purely musical content.[116] Upon the foundation set by the antipodal views of Wagner and Hanslick, Dahlhaus writes of the aesthetic volition of the listener when confronted with a composer's program: "Anyone who finds it burdensome to have to read the literary program of a symphonic poem by Franz Liszt or Richard Strauss before a concert . . . whoever treats the verbal component of the music at a concert or opera with casual disdain is making a music-esthetic decision" ([1978] 1989, 1). Dahlhaus thus problematizes programmaticism, inviting several inquiries: Whom does the program serve?

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[116] When Wagner defines absolute music—in contrast to Franz Liszt's programmatic music—his charge against absolute music is its failure to express concrete aesthetic ideals. In *On the Musically Beautiful* ([1854] 1986), Hanslick propounds a complete rejection of any non-musical expressive role for music. Not only can no text or program capture the musically beautiful, Hanslick insists that when we perceive the beautiful in music, we comprehend something that is itself musical. There is no abstract notion of beauty in Hanslick's theory— musically beautiful entities are only musical. Yet as Mark Evan Bonds articulates, the mid-nineteenth-century debate was not entirely as contentious as it might seem: "Wagner, Liszt, and Hanslick did agree on one point, however. All three aligned the essence of music with its purest manifestation, and they agreed that its purest manifestation was to be found in a very specific repertory: nonprogrammatic instrumental music" (2014, 128). While Hanslick's response to that "purest manifestation" of musical essence was to preserve its virtue unstained by extramusical influence, Wagner, Liszt, and later Strauss would choose an alternative path—combining music in a multimedia art form to leverage the expressive capacity of instrumental music in service of a broader message.

How necessary is it to the experience? Does the music exist without it? Does the program determine the musical form, or is the relationship more complex?

To address the paradigms of absolute and programmatic music, Dahlhaus refines the binary by identifying shades of the latter within the former, including direct imitation, abstract representation, and illustrative labels. He provides useful historical context for the program-music category, pointing to a common, erroneous association with musical "formlessness." Theodor W. Adorno, for one, makes this argument: "The program is meant to compensate for the deficiencies of composition, its 'no longer' and 'not yet,' and also to determine the details so as to enable their life to become one with that of the whole, a no less extra-musical 'plot'" (1965, 20). This connotation would frustrate Strauss, as evidenced in the comments that Dahlhaus quotes and explicates below:

> "A poetical program may indeed suggest the creation of new forms; however, when music does not develop logically out of itself"—i.e., when the program is supposed to replace something—"it becomes '*literature music*.'" (Dahlhaus [1978] 1989, 138; emphasis added)

The debate also centered around individuality, and Susan McClary has noted the particular critical lens, beginning in the nineteenth century, that viewed "reliance on convention as betraying a lack of imagination or a blind acceptance of social formula" (2000, 3). When Liszt coined the term *Programmmusik*, the distinction with absolute music actually had little to do with form—rather, according to Mark Evan Bonds, the central concern was content:

> [Liszt] distinguishes between the "specifically musical composer," who places value only on "using material," and the composer driven by an overarching poetic image or narrative. He dismisses the first of these as a "formalist," a "mere musician" (*bloßer Musiker*). . . . The composer of program music, by

contrast, is a "tone-poet" (*Tondichter*) who draws on ever-new sources of inspiration. (2014, 210)

The historical sense of the term is instructive, as the influences of both Liszt and Wagner on Strauss's symphonic and dramatic compositions can hardly be overstated.

Exploring program music in the specific context of Strauss's tone poems, Werbeck (1996) summarizes previous discussions of the interpretive problematics by referring to a dichotomy between the *Heteronomieästhetik* and the *Autonomieästhetik* (15). Those who adhere to the heteronomy aesthetic contend that "a poetic idea or program is the conceptually prior element, determining the resulting flow and form of the music" (as translated in Hepokoski 1998, 606). On the other hand, proponents of the autonomy aesthetic were typically hesitant to accept the aesthetic significance of the program—Werbeck suggests that Dahlhaus, following the lineage of Schopenhauer and Wagner, only acknowledged a formal motivation (*Formmotiv*) on the part of the program, an "initial scaffolding" in Hepokoski's words. Yet for Strauss (who evidently avoided the term *Programmmusik*), composition must follow the musical "ingenuity" and "creativity" of a true composer, thus positioning himself on the side of autonomy rather than heteronomy. Werbeck moreover points out the composer's belief in "the necessity for musical logic" (1996, 22). Eventually, Werbeck concludes that the two sides are irreconcilable, that both influence Strauss's tone poems, and that the program does not determine the form but is

nevertheless fundamentally entangled with it.[117] In the analysis of *Eine Alpensinfonie* that follows in §3.4, I attempt to navigate this entanglement by regularly shifting back and forth between musical analysis and programmatic detail and by acknowledging the direct role of formal functions in expression of the narrative, even when they result in an idiosyncratic form.

With the historical concerns of program music in mind, it will be useful to articulate the relationship between a musical program and the literary categories of story, plot, narrative, and drama. For the present purposes, I will consider three defining characteristics in distinguishing these concepts: temporal continuity, expressive immediacy, and determinacy of the characters. Story/plot is a fundamental dichotomy typically defined in terms of agency and/or causality: "story" concerns the abstract temporal order of actions or events, whereas "plot" organizes them by causal relationships. That is, story constitutes the chronological presentation of a sequence of actions or events with particular characters inherent to the story, whereas plot involves an author's unique presentation of the story, which may be abstracted and modified. The binary has been rehearsed repeatedly, including by the Russian formalists, French literary structuralists, and drama scholars. Gérard Genette, whose

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[117] From a compositional perspective, neither the program nor the music is necessarily prior, as Strauss explained in conversation with a reporter in 1902: "sometimes it is the theme that first occurs to me, and I find the corresponding poetic idea for it later. But sometimes I have the poetic idea first, which then takes on a musical shape." This interview is reproduced in Werbeck 1996, 531; the translation appears in Hepokoski 1998, 607.

*Narrative Discourse* ([1972] 1980) is widely considered a foundational work in narratology,

addresses the potentially more complex delineation of "story" (*histoire*) and "narrative"

(*récit*). The dichotomy includes a third component, "narrating" (*narration*):

> I propose . . . to use the word *story* for the signified or narrative content (even
> if this content turns out, in a given case, to be low in dramatic intensity or
> fullness of incident), to use the word *narrative* for the signifier, statement,
> discourse or narrative text itself, and to use the word *narrating* for the
> producing narrative action and, by extension, the whole of the real or
> fictional situation in which that action takes place.[118] (27; emphasis original)

Temporality and agency are both heavily implicated in this typology; Genette cites the post-

War German terms "*erzählte Zeit*" (story time) and "*Erzählzeit*" (narrative time) in exploring

the temporal relationship between, respectively, the actual time of the story's events and time

implied by the narrative text. His project hinges on this distinction: organized by the topics

of "order," "duration," "speed," and "frequency," *Narrative Discourse* charts corollaries

whereby a series of (actual or fictional) story events is converted into narrative. While plot

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[118] In the realm of musical analysis, Jean-Jacques Nattiez has addressed issues of plot primarily within the

construction of music-analytical discourse. By marshaling facts and "lend[ing] them coherence" (Nattiez 1985,

111), analysts construct a plot argument about a musical work. It would seem that Nattiez's "plot" equates to a

version of Genette's "narrating" in which the analyst is the narrator. That is to say, analytical plot involves the

esthesic process of constructing a web of signifying causalities from musical ("neutral level") facts (see Nattiez

[1987] 1990 for more on the poietic, esthesic, and neutral levels of musical semiology). Analytical plots as

instances of narrating should be understood as products of an analytical agent, and are therefore interpretive,

generating new meaning. But they are distinct from a musical narrative discourse that involves a fictional,

internal narrator.

prioritizes the arrangement of a string of causality into a dramatic and comprehensible sequence, narrative privileges basic changes to the temporality of the story in order to construct more complex networks of meaning.

Genette defines any modifications in the narrative to the order of events of a story as "achronies" of various types; they are defined by their effect on the story sequence itself. "Anachronies" are changes in the ordering of events; they contrast with foreshadowing and flashback (prolepsis and analepsis) occurring within a linear story. Building on Genette's work, I propose musical analogues for achronies that can be summoned by referential themes that are "out of order," appearing perhaps in the context of programmatic labels that would suggest their absence. Additionally, adjustments to timespans are to be expected in the conversion of story into narrative. An idealized "isochronous" narrative would see narrative time reproduce story time, but usually certain "anisochronies," such as pauses, iterations, and summaries, result in divergences between the two timescales. In the context of a musical work like *Eine Alpensinfonie*, the broadest durational anisochrony should be clear: a complete day, from dawn to dusk, "narrated" by the symphony over the course of less than an hour. The musical representation of a story thus involves modifications to the story's temporal ordering like those Genette articulates, even while the music itself creates an unbroken stream in time. Summary and temporal gaps will thus inevitably be a feature of the musical discourse. In order to address issues of order and duration, we require a sense of musical narrative that infers agency in the symphony. Theories of agency like those developed by Byron Almén (2008), Seth Monahan (2013), and most recently Hatten (2018) will be

critical in addressing the layers of action, agency, program, interpretation, and discourse at play.

In his theory of musical narrative, Almén (2008) surveys and critiques the various metaphorical relationships authors have explored in comparing music to narrative, plot, drama, and story. Considering musical and literary narratives to be "siblings" (12), Almén articulates shared fundamental components between the two modes of narrative.[119] Both literature and music depend on hierarchies of meaning, interpretive multiplicity, temporal succession, conflict, resolution, and action. After addressing several flawed arguments against the notion that music might be a narrative art form, Almén concludes that "the most sensible, effective, and accurate theory of musical narrative is one that recognizes both its commonalities . . . and its potential differences with respect to literature and drama" (37). The "central focus on hierarchy and conflict" (39) at the heart of narrative musical analysis serves as the foundation for Almén's general definition of narrative, which borrows heavily from the theories of James Jakób Liszka:

> All narratives, then, involve *the transvaluation of changing hierarchical relationships and oppositions into culturally meaningful differences.* They function as a subset of meaning, coordinating the successive and simultaneous organization of content. A piece's initial musical events, configured in various hierarchical relationships, establish a network of cultural values, and the asymmetries of the initial condition and/or any subsequent changes in these relationships place these values in conflict,

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[119] Almén's distinction here is between a "sibling" model and a "descendant" model. The former sees "all narrative media," including music and literature, as drawing from a common set of abstract narrative principles. The latter, on the other hand, would view musical narrative as secondary to and derivative of literary narrative.

leading to resolution in a manner significant to the culturally informed
listener. (Almén 2008, 41; emphasis original)

The hierarchical relationships in a music-narrative analysis are organized at the broadest level into two binaries—order/transgression and victory/defeat—which yield four narrative "strategies":

> Romance: the victory of an order-imposing hierarchy over its transgression (victory + order)
> Tragedy: the defeat of a transgression by an order-imposing hierarchy (defeat + transgression)
> Irony: the defeat of an order-imposing hierarchy by a transgression (defeat + order)
> Comedy: the victory of a transgression over an order-imposing hierarchy (victory + transgression). (65–66)

These narrative strategies are the linchpin of Almén's system. In his account, musical narratives cannot independently signify concrete events or personae. But they can metaphorically suggest broad narrative archetypes by their relationship to the categorical binaries above. Of Almén's four narrative strategies, *Eine Alpensinfonie* best fits the category of tragedy, as the subsequent analysis will show.

An earlier instance of musical narratology appears in Fred Maus's (1988) article "Music as Drama." Central to the essay is a parallel analysis-commentary on Beethoven's *Serioso* quartet, op. 95, which Maus ultimately deems a "conspicuously *dramatic* composition" (65; emphasis original).[120] Simply put, he describes his analytical work as "narrating a succession

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[120] Vera Micznik (1999, 218–19; emphasis original) pursues a similar methodology to Maus's, incorporating three levels of analysis: (i) a purely musical level, "free from the authoritarian intrusion of the composer's

of dramatic *actions*" (66). Yet for Maus, not all analytically narrated events are "actions": "it is a necessary condition for an action that it can be explained by citing the agent's reasons, by ascribing an appropriate configuration of psychological states" (66). Actions are explained by the thoughts, beliefs, and desires of agents. But who are these agents?

Instrumental to Maus's account is the notion of "indeterminate agency." Actions in a musical work, Maus argues, can be considered analogous to actions in a "normal stage play," but they involve "specifically musical" actions, which can be performed by a shifting set of musical agents (1988, 71–72). Monahan summarizes the hermeneutic implications: "the parsing of a work *into* musical agents is inherently 'indeterminate'; it is an interpretive act, one that varies from listener to listener and even from listening to listening. What is more— and this is crucial—many musical events or objects can be regarded either as agents *or as the actions of other agents*" (2013, 323; emphases original). Indeterminate agents are the *dramatis personae* of a musical "stage play," a fictionalized scenario that Maus generalizes with four "idealized" traits:

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programme"; (ii) one that "should identify and differentiate among the compositional means of representation used by the composer *in connection with the programme* (topics, isosonorous imitations, process, form, etc)"; and (iii) a "constant movement back and forth between those two readings," which should "reintegrate the first two in a dialogic relationship, thus ensuring an appreciation of both the programmatic and non-programmatic richness of the work, and the tension resulting from that interaction." The approach that I will adopt in the analytical portion of this chapter approximates Micznik's third level of analysis from the beginning. Rather than pursue a purely musical analysis, I have sought to integrate music-analytical observations with representational concerns throughout.

(1) a play presents a series of actions;
(2) the actions are performed by fictional characters (or fictionalized
representations of mythical or historical figures);
(3) for the audience, it is as though the actions are performed at the same
time as the audience's perception of the actions; and
(4) the series of actions forms a plot that holds the actions together in a
unified structure. (71)

Understanding musical structure as dramatic structure requires a conception of plot that engages both with musical events (interpreted as agents or the actions of agents) and with the "humanistic" or "emotive" aspects that result from anthropomorphic narration: "humanistic aspects, more precisely the drama and anthropomorphism that I have discussed, are already present as aspects of the plot" (72).[121] Music that is "dramatic" by nature involves fictionalized plot and can be better understood by analytical intersections between purely musical detail, interpretive agency, and extramusical imagery.

Almén considers indeterminate agency to be a primary factor in Maus's distinction between music as drama and musical narrative. Drama requires, at minimum, a determinate set of actors: characters. Almén implies that Maus views music as "like drama without characters" (2008, 13). The former prefers an independent, musically devised theory of narrative, and he critiques Maus's approach as "a theory of musical narrative that piggybacks on the dramatic medium" (37). The indeterminacy of characters that Maus proposes for a

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[121] The mediated nature of emotion in Strauss's music was another source of frustration for Adorno. In Beethoven, Adorno (1965) contends that the emotions suggested by music had their source in "ego itself," whereas in Strauss, by the dramatic imitation of emotions through "psychological figures," "these emotions are weakened, like a light source which is reflected in a mirror" (18).

musical drama is, however, distinct from a non-existence of characters. Consider a staged drama: the characters inhere in the play itself, are determined by the playwright, and are presented immediately and unambiguously to the viewer. In music, the ontological status of characters—as indeterminate agents—is altogether different, but Maus demonstrates that characters can still be posited. Imagined musical characters may inhere in an interpretation and can be presented through analysis as plot in the way Jean-Jacques Nattiez (1985) defines it (see footnote 118 above). The dramatic narrative that Maus promotes is thus created through engagement with the work, by the listener attributing imagined human actions to actual musical actions. Musical characters are therefore not exclusively musical, as their anthropomorphic disposition lends them a necessary emotive or humanistic aspect.

Building on the gesture and affect theories of his prior work, Hatten's (2018) theory of "virtual agency" strives to overcome the indeterminacy that Maus, Almén, and Monahan articulate when interpreting drama in music. Hatten defines as "virtual" "any actant or human agent (or actor or subjectivity) that can be inferred as producing intentional musical actions (gestures and the like), reacting to implied forces or other agents, revealing intentions, and experiencing thoughts and emotions" (34). Hatten establishes a hierarchy for virtual agent types: unspecified virtual actants, virtual human agents, actorial roles in a dramatic/narrative trajectory, and transformation into a singular subjectivity (17).[122] The

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[122] Hatten's hierarchy is in part beholden to Monahan's (2013) fourfold typology of agent types in music-theory literature. Monahan's four levels are the analyst, the fictional composer, the work-persona, and the individuated element (327–33). Hatten recognizes the theoretical lineage: "My theory is primarily concerned

virtual situation involves four stages—virtualizing, embodying, fictionalizing, and interiorizing (18)—all of which are to varying degrees relevant to the present study. A brief summary: to infer a virtual action (which is an interpretive act) entails a virtual *actant* that performs some dramatic action; once understood as enacted by a virtual actant, a virtual action can be embodied in a virtual *agent* if some humanistic tendencies are recognizable (these include independence, intention, gesture, affect, identity, growth, and importantly "willful" and "reactive" agency);[123] virtual agents can be placed in dramatic conflict, a fictionalizing act accomplished by, e.g., contrast, interaction, conflict, and willful or reactive actions; and interiorizing the actions of one or more agencies involves integrating their

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with the fourth level [individuated elements], subdividing it into a set of inferences that lead to virtual actants, agents, actors, and ultimately, subjectivity—the latter only loosely corresponding to Monahan's level 3 [the work-persona]" (2018, 27n3). Manfred Pfister ([1977] 1988) establishes a strikingly similar hierarchy in his "communicative model" for narrative texts, in which S stands for sender, R for receiver:

> S4 stands for the actual author in [their] socio-literary role as the producer of the work, S3 for the "ideal" author implied in the text as the subject of the whole work, S2 for the fictional narrator whose role in the work is formulated as the narrative medium, S/Rl for the fictional characters communicating with each other through dialogue, R2 for the fictional addressee of S2, R3 for the implied 'ideal' receiver of the whole work, and R4 for the actual reader—that is, not only the reader envisaged by the author, but also other, later ones.

Importantly, for Pfister, dramatic texts ignore S2 and R2, "thereby eliminating the mediating communication system" (3–4).

[123] Precedent for the role of markedness and spontaneity in embodiment can be found in the work of Carolyn Abbate, whose notion of the narrating voice involves a gesture that is "marked by multiple disjunctions with the music surrounding it" (1996, 19). Abbate considers narrating voices to be rare moments of fantasy, rather than singular entities that span an entire work. In this way, Abbate might quibble with Hatten's "interiorizing" level.

actions as the work of a single subjectivity with "currents of thought and feeling" (18–23). I will adopt Hatten's fourfold process while avoiding some assertions I find contentious. By associating virtual actions with their physical, real-world sonic origins, Hatten seems to suggest that certain interpretive readings—those that comport with sonic reality—are to be considered more plausible than others.[124] Additionally, Hatten combines information about gesture, emotion, and agency to triangulate interpretation. Examining each of these characteristics of a sound, Hatten seems to suggest that the analyst can "compensate for any less-than-determinate members of the triad" (39). The process is still interpretation, though, so any agential inference will always carry indeterminacy in instrumental music, no matter how "sonically grounded" it may seem or how well triangulated it might appear. Hatten's model of virtual agency is useful in the analysis of *Eine Alpensinfonie*, as gesture, agency, and emotion all contribute to the coordination between musical events and the depicted story of the mountain hike.

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[124] Hatten makes an explicit link between agency and an inferred physical source at the outset of his discussion of virtual agency: "The primary locus of agency for human perception and cognition is the reconstructed source of a perceived expenditure of energy. Agency is most relevant for humans and other sentient beings when that source can be understood as concentrated in an individual or entity responsible for a motivated expenditure of energy" (2018, 32). His Table 1.1 summarizes the process of inference: when we hear a (musical) sound, we infer its physical origin and—depending on the characteristics of the inferred source—we ascribe agency. That agency is "even more compelling," writes Hatten, when they are gestures that we "know to have been produced by other humans, their producer" (32).

In addressing the musical drama enacted through *Eine Alpensinfonie*, I adopt a distinction outlined by Manfred Pfister ([1977] 1988) between action (*Handlung*) and event (*Ereignis*).[125] Pfister defines a hierarchical series of terms associated with actions: (i) action, "a single action by a particular figure in a particular situation," involving three components: a situation, an intention to change that situation, and the transition to a new situation; (ii) action phase, the structural segmentations of the action into passages, typically delineated by interrupting spatial or temporal continuity; and (iii) action sequence, "the overall action of the whole text" (199, 230). Events, on the other hand, involve similar spatiotemporal changes of situation that occur without intentionality. Events can be grouped into phases and sequence as well, and "every dramatic text presents a story which is either a sequence of actions, a series of events or a combination of the two" (201). In *Eine Alpensinfonie*, musical moments can be grouped according to the presence or absence of determinate intentionality: those themes that are associated with the hiker persona reflect a virtual agent intentionally performing "actions," while those associated with nature involve nonintentional "events" that present themselves to the protagonist. This distinction will prove useful in analyzing thematic interactions across the symphony as a whole, enabling both sonata-form and hermeneutic interpretation.

We can summarize the conceptual relationship between idealized versions of story, plot, narrative, drama, and "music" (here, an idealized non-programmatic, instrumental music) as

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[125] Pfister borrows this terminology from the German dramatist Axel Hübler (1973), but he himself refines the dichotomy between action and event as described below.

points plotted on the corners of a cube, as in Figure 3.3. On the horizontal x-axis, expressive

immediacy refers to the degree of transliteration required.[126] The vertical y-axis charts

temporality, the degree to which the art form adheres to a strictly continuous or strictly

discontinuous presentation of events and actions.[127] I have replicated the axis of temporal

continuity beneath the cube in order to make clear that the diagram is a composite of several

binaries. The y-axis thus represents an abstraction of Genette's distinction between *histoire*

and *récit*, a dichotomy primarily determined by the presence or absence of complete

temporal continuity. Finally, the z-axis charts the identity of the actors in the work, where

determinate actors are defined characters as in a story or drama, while indeterminate actors

include the agents implicated in the theories of Maus and Almén. I have plotted the idealized

notion of music near that of plot because they share similar characteristics: they both are

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[126] Drama or film might be considered the art forms with the highest degree of expressive immediacy, because

the visual presentation of real-time events and actions results in almost mimetic expressive delivery to the

audience. In literary narrative, on the other hand, the narrating process necessarily obfuscates the content of the

story because of achronies. Furthermore, the reading process itself is a discontinuous cognitive undertaking that

includes variable attention and comprehension.

[127] According to Pfister, drama is unlike narrative because flashbacks and other interruptions to linear

continuity are restricted. The dramatic presentation of events, involving characters actually acting those events

out on stage, must be temporally continuous: "a dramatic presentation of a story is associated much more

closely with the unambiguous element of succession than a narrative presentation would be, because the latter

can switch around whole sections and divide the story into a number of parallel phases of action" ([1977] 1988,

201–2).

highly expressive, temporally continuous, and are abstracted from a particular set of determinate characters.

Let us examine the position of *Eine Alpensinfonie* in relation to each of the cube's axes and in relation to the more general sense of music. For an idealized absolute music, the medium is maximally expressive, similar to plot, because it can evoke strong emotions. But expression, in the context of narrative and drama, typically refers to *specific* content, rather than vague affects or emotions. With *Eine Alpensinfonie*'s twenty-two programmatic labels, some expressive specificity exists (as in those passages where the music is overtly mimetic). There is a veil of interpretation that nevertheless interrupts direct expression; while less disruptive than narration, the x-axis coordinate for *Eine Alpensinfonie* must be somewhere between the two poles, closer to immediacy than non-immediacy. As to temporality, the linear continuity of the symphonic program and musical medium are, by their very nature, highly determined. Yet a careful interpretation of the program reveals temporal instances of non-linearity, all while the continuity of the musical structure necessarily persists (see §3.4 below). Thus, *Eine Alpensinfonie* has a y-axis coordinate near, but not at, total linear continuity. Finally, the determinacy of characters in *Eine Alpensinfonie* is once again nuanced. As instrumental music, agents must necessarily be indeterminate. But as program music, with a lucid, comprehensive, and penetrating set of programmatic labels, we can isolate a virtual agent in fictionalized dialogue with its surroundings: namely, the hiker and the natural environment. These are highly differentiable in the symphony. The hiker's music embodies the spontaneity and subjectivity of the Ascent theme, whereas the music of nature

is elemental, mimetic, and illustrative. Thus, *Eine Alpensinfonie* represents a case where musically indeterminate agents, through virtual hermeneutics, become reasonably determinate. We might then plot *Eine Alpensinfonie* at a point in the three-dimensional space nearest to drama.

In the analysis of *Eine Alpensinfonie* that follows, the concerns of compositional genesis, narrative, drama, and virtual agency are of central importance. Because the tone poem was always planned as a symphonic first-movement, dialogue with sonata form is expected. My analysis concords with Werbeck's notion that the program is intimately intertwined with, but not determinative of, the musical structure. The interactions between program and musical structure result in an unusual sonata form as well as significant narrative achronies associated with the underlying implied story. Almén's tragic narrative strategy underpins the dramatic and formal structure—to the point that, by the end of the symphony, we are left uncertain of the hiker's survival. I construct a dramatic structure in section §3.2 that parallels and intersects with symphonic structure and further advances the tragic reading. After summarizing prior analyses in §3.3, the formal analysis of §3.4 demonstrates an approach to programmatic sonata form that draws on Hatten's notion of virtual agency and Pfister's distinction between action and event. Then, in §3.5, I return to the question of genre in order to interpret *Eine Alpensinfonie* as an areligious music drama promoting a worldview

common in Germanic aesthetics at the turn of the twentieth century: the eternal (*unendlich),*

sublime (*erhaben*), and dark (*finster*) sense of the natural world.[128]

## §3.2. *Eine Alpensinfonie* as Drama

### §3.2.1 Strauss's one-act operas as a context for Eine Alpensinfonie

As a drama, *Eine Alpensinfonie* is more associated with Strauss's operas than with his prior

symphonic poems. Strauss had almost completely abandoned purely orchestral music by

1915. After the publication and premiere of *Symphonia Domestica* in 1903–4, the only

orchestral compositions in the decade preceding *Eine Alpensinfonie* were a handful of

commissioned marches and the *Festliches Präludium*, op. 61, for orchestra and organ,

composed for the consecration of the Konzerthaus in Vienna in 1913 (Del Mar [1969]

1986, 271). But over the same span, dramatic works dominate Strauss's creative landscape,

especially those conceived in one act. *Feuersnot*, op. 50 (1901), *Salome*, op. 54 (1905),

*Elektra*, op. 58 (1909), *Ariadne auf Naxos*, op. 60 (1912), and the ballet *Josephslegende*, op.

63 (1914), are all one-act works; the only other larger-scale work of the period, *Der*

*Rosenkavalier*, op. 59 (1911), is the sole three-act opera Strauss wrote in these years. The one-

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[128] Daniel M. Grimley (2016, 21–22) calls upon similar themes in a discussion of the landscape music of
Edvard Grieg and Frederick Delius: "The experience of being in the Norwegian landscape, for both Delius and
Grieg, is associated with rapture and epiphany, but frequently also with the threat of loss and of formal or
expressive collapse: it is precisely the tension between these feelings of immersion and physical strain that best
captures the scale and texture of the Norwegian environment."

act dramatic works are instructive, because they invariably prioritize dramatic symmetry.[129]

In particular, when analyzing *Eine Alpenisnfonie* below, I will adapt the notion of dramatic

arch symmetry that appears in *Feuersnot*, *Salome*, and *Elektra*. There have likewise been

numerous attempts to describe a corresponding tonal symmetry in these operas—while these

attempts vary in their degree of persuasiveness, elements of a tonal symmetrical organization

obtain in *Eine Alpensinfonie* as well.

Bryan Gilliam's (2014) work on Strauss's operas posits structures of dramatic

symmetry—as well as an antimetaphysical theme, to which we will return—through the

operas of the first decade and a half of the twentieth century. In *Feuersnot*, Gilliam segments

the single act of drama into seven sections: "Although these sections are not of equal length,

the dramaturgical symmetries are clear: the bookend effect of the opening and closing

choruses, the initiation of Kunrad's passionate advance and its culmination in Sections 2 and

7, and, of course, midway through the opera, the extinguishing of Munich's fire" (53).[130]

Dramatic symmetry is thus recognizable over the entire span of *Feuersnot*. Strauss's later

operas feature symmetrical dramatic organization at both overarching and more local levels.

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[129] Adorno also associates Strauss's later symphonic poems with operatic drama: "The later ones strove in turn
to surpass the Lisztian short-form and tend toward a symphonic architecture from which the path to grand
opera was as short as the inner way from the *Sinfonia Domestica* to *Intermezzo*" (1965, 19).

[130] Gilliam suggests that tonal symmetry was also originally planned (the opera was to begin and end in D
major, with D minor appearing at the central scene), but associational tonalities ultimately drove a shift to B♭ at
the close.

When adapting Oscar Wilde's *Salome*, Strauss imposed a four-scene structure on the one-act play; however, "Scene 4 is nearly the length of Scenes 1–3 combined; in fact, Scene 4 contains three subdivisions not articulated in Strauss's copy of the translation" (Gilliam 2014, 80). Character focus and tonality are symmetrically defined across the six sections: in particular, the first and last scenes feature the "double-tonic" C♯/C,[131] and the second and penultimate center around A and are scenes dominated by Salome's persona (81–82).[132] Jean-Michel Boulay (1992) had previously offered a more detailed accounting of both the dramatic symmetry and the competing tonics of C♯ and C across *Salome*. Regarding the dramatic action, Boulay notes an overarching two-part structure, separating the two halves with the orchestral interlude after Narraboth's death (and thus matching the overall division that Gilliam notes above). Each large part reflects Aristotle's symmetrical notion of an arch of dramatic structure (see Gustav Freytag's adaptation in §3.2.2 below), in which an exposition leads through intensification to a peripeteia—a sudden, "total reversal of the situation" in Boulay's words (26)—before a catastrophic close.

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[131] Note that Gilliam (2014, 123) later makes explicit reference to Robert Bailey's (1985) notion of the "double-tonic complex." In referring to half-step related keys as "double-tonics," Gilliam is abstracting (or worse, misapplying) Bailey's "double-tonic complex," which the latter author reserves for third-related keys. A term like "tonal pairing" may be more appropriate.

[132] Further, Strauss outright referred to *Salome* as a "symphony in the medium of drama," reinforcing both the hybrid sense of the work and its large-scale coherence and relation to the orchestral domain (Gilliam 1986, 184).

As for the tonal structure, Boulay follows Tethys Carpenter (1991) and Edward R. Murphy (1991) in viewing the conflict between C♯ and C as central to an overall symmetrical organization. Providing middleground bassline graphs for the entire opera, Boulay defines a notion of chromatic "surrounding": a situation when "an important tonal event"—in the case of *Salome*, the large-scale tonally stable points of C♯ and C—"is decorated by both its chromatic neighbors" (8). Take for example the first half of the opera. Following Boulay, C♯ is initially prolonged by moves to its chromatic neighbors, C and D, before returning to C♯ preceding the arrival of Salome. The second scene features chromatic surrounding patterns around C before returning to C♯ with Salome's aria, whereas the third scene accomplishes the reverse by surrounding C♯ before concluding in C. Within the first half, we can speak of a tonal symmetry about C♯, reflected in an initial exposition of both neighbors in the first scene before a shift to C and a return to C♯.

In *Elektra*, Gilliam (2014) contends that symmetry can be similarly observed in the dimensions of drama and tonality. Strauss reworked Hugo van Hofmannsthal's already concise libretto with a domineering hand; Gilliam writes that he "cut nearly 40 percent of the dialogue and eliminated extraneous characters" in order to centralize the work around Elektra, Chrysothemis, and Klytämnestra (93). Hofmannsthal imbued the work with "a monumental dramaturgical arch structure spanning the introduction to the finale in a series of psychological vignettes," which Strauss then pared back to refine and simplify the dramatic action, focusing on direct contrasts between the main personae. Gilliam views the work in seven symmetrical scenes:

> The keystone of this arch is the confrontation in Scene 4 between Elektra and Klytämnestra—the moment of greatest psychological conflict in the opera. It is flanked by dialogues between Elektra and Chrysothemis. . . . Elektra's opening monologue (Scene 2) and the Recognition Scene (Scene 6), where Orest arrives and reveals his identity to his sister, are just as strongly connected. (93)

Derrick Puffett (1989) sees in this arch two "mutually reflecting halves" (35)—similar in design to Boulay's two-part analysis of *Salome*—which he pairs with a notion of "continuous *crescendo*" (38) that extends as a single process over the whole one-act opera.

Gilliam also contends that *Elektra* is "Strauss's most tonally symmetrical score" (2014, 100), a claim which he expounds in his 1991 monograph on the opera. Centered on the climactic confrontation scene, which progresses from B minor to B major, Gilliam views the two flanking scenes as in E♭, whereas scenes 1–2 and 6–7 engage in parallel progressions from D minor to C major. Overall, the reading that Gilliam proposes (which articulates a tonal plan similar to that espoused by Carpenter [1989, 74–78]) represents a possible reading of tonal symmetry to mirror the more convincing dramatic symmetry, albeit one that reduces out much of the characteristic chromaticism of the opera.[133] Arnold Whittall (1989) engages with such efforts to describe the opera's tonal plan, suggesting that the combined influence of the late-Romantic symphony and the Wagnerian music drama may have made "some

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[133] At various points in his analysis, Gilliam (1991) acknowledges the challenge of presenting straightforward tonal plans in *Elektra*. For example, in the opening scene, the initial gesture is "the only solidly-affirmed D-minor chord in the scene" (79). Similarly, he writes that the confrontation scene is "harmonically the most obscure scene in the opera," in part because "Strauss constructs a thick, dissonant, chromatic surface that obscures an orderly arrangement of tonal points of articulation" (88–89).

degree of broad tonal planning" a foregone conclusion. Nevertheless, he contends that any analysis of *Elektra* should view symphonic references as "ultimately of secondary importance," because the coherence of the work depends on the "subjugation" of any "single, unifying harmonic process" to the drama itself (57–58). Yet the large-scale dramatic arch symmetry cannot be ignored, and in truth Whittall's target is not such abstract structural architecture but the more problematic attempts of scholars such as Del Mar ([1969] 1986) to seek sonata-form or symphonic-cycle models in the operatic drama.

The prevalence in the one-act operas of dramatic symmetry is especially applicable to *Eine Alpensinfonie*, although we may be inclined to explore the possibility of symmetry in the tonal dimension as well.[134] The large-scale arch structures that appear in *Feuersnot*, *Salome*, and *Elektra*, which can be partitioned into two, quasi-rotational halves, recall the theory of dramatic structure proposed by Gustav Freytag in the mid-nineteenth century. In light of the prominence of opera and dramatic symmetrical macrostructures—and the near abandonment of program music—in the fifteen years of Strauss's output after the turn of the century, I consider it fruitful to associate *Eine Alpensinfonie* with the composer's dramatic works that appeared closer in time to it.

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[134] After all, the tone poem begins and ends with a frame in B♭ minor, the key of the first and last sonata-form sections is E♭ major, and the central summit sequence features C major. As will be demonstrated below, though, the tonal details of the sonata-form proper make a more thoroughgoing account of tonal symmetry in *Eine Alpensinfonie* unsatisfactory.

*§3.2.2 Gustav Freytag's theory of the dramatic*

Drama penetrates the entirety of *Eine Alpensinfonie*, bringing to mind Wagner's words on

the relationship between music and drama:

> To be an artwork again *qua* music, the new form of dramatic music must have the unity of the symphonic movement; and this it attains by spreading itself over the whole drama, in the most intimate cohesion therewith, not merely over single smaller, arbitrarily selected parts. So that this Unity consists in a tissue of root-themes pervading all the drama, themes which contrast, complete, re-shape, divorce and intertwine with one another as in the symphonic movement; only that here the needs of the dramatic action dictate the laws of parting and combining. ([1879] 1897, 11)

Thus, it will be instructive to directly confront the influence of Strauss's dramatic technique

on his last symphony. The symmetrical structures that inhere in *Feuersnot*, *Salome*, and

*Elektra*, along with the polystylism of, above all, *Der Rosenkavalier*, figure prominently in my

discussion of *Eine Alpensinfonie*. To begin with, though, it will be useful to formalize our

sense of dramatic structure—and to do so with an eye toward historicism.

   In the study of dramatic structure in fin-de-siècle Germanic art, Gustav Freytag's (1816–

95) contributions on the subject provide useful insights. A novelist, Freytag's most successful

works include *Soll und Haben* (1857), a realist *Bildungsroman* about the German middle

class,[135] and *Bilder aus der deutschen Vergangenheit* (1859–67), a five-volume work of German

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[135] It should be noted that rather disturbing anti-Polish and anti-Semitic themes were prevalent in Freytag's

novels and historiography (for a summary of Freytag's racist ideology, see Lieskounig 1999). The nationalistic

streak in Freytag's writings is paralleled by a similar German exceptionalism on the part of Strauss, who

infamously failed to disavow Nazism (even accepting a brief appointment at the Reichsmusikkammer), perhaps

history.[136] For the present purposes, the most pertinent of his works is *Die Technik des Dramas* (1863), a manual of sorts that theorizes dramatic structure through empirical study of Greek tragedy, William Shakespeare's plays, and contemporaneous German literature.[137] Freytag conceives of dramatic structure in Aristotelian terms,[138] resulting in an abstract, idealized presentation that has invited justifiable critique in drama scholarship.[139] Yet

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because of aspirations for continued commercial success (discussions of Strauss's interactions with the Nazi regime can be found in Franklin 2003 and Kater 2000).

[136] Willi Schuh ([1976] 1982, 218) notes that, at Cosima Wagner's urging, Strauss read the *Bilder* in October of 1890.

[137] We might note similar interests on the part of Strauss, as evidenced through the subject matter of his tone poems and operas, including *Macbeth*, *Elektra*, *Salome*, and *Also Sprach Zarathustra*.

[138] In his *Poetics*, Aristotle articulates a two-part dramatic structure, the "complication" followed by the "unravelling": "By the Complication I mean all that extends from the beginning of the action to the part which marks the turning-point to good or bad fortune. The Unravelling is that which extends from the beginning of the change to the end" (1907, 65).

[139] Bonds summarizes the common critiques of Freytag's dramatic structure, which include that the theory is "overly simplistic and too narrow in the range of dramas to which it can be applied" (2010, 300–302). Pfister views Freytag's model as an idealized type, "a completely self-contained story in which there are no background events to influence the beginning, in which the ending is absolutely final and the presentation of which—the fable or plot—conforms to the Aristotelian demands of unity and totality" ([1977] 1988, 240–41). Although Pfister admits that Freytag overgeneralized and constrained his corpus to only those dramatic works that fit the model, he nevertheless acknowledges the deductive rigor and hierarchical detail of Freytag's pyramid.

precisely because of its abstractness, Freytag's dramatic structure is particularly amenable to transferal into the realm of music drama.

Freytag's notion of tragic dramatic structure, summarized in graphic form in Figure 3.4, is predicated on a fundamental conflict between "*Spiel und Gegenspiel*," play and counter-play.[140] At every stage, conflict pervades drama; in essence, the protagonist (the play, or what I will refer to later in §3.4, following Pfister, as the "action sequence") works against external antagonists (the counter-play, which will be driven in *Eine Alpensinfonie* by an "event sequence"). The conflict reaches a point of climax, a unifying moment joining play and counter-play. The climax "lies directly in the middle. . . . [and] is the most important part of the structure; the action rises to it and falls away from it" ([1863] 1900, 105). Freytag's dramatic structure is thus intrinsically an arch: rise–climax–fall.

At first blush, it would seem that dramatic structure in Freytag's theory depends on symmetry. However, important asymmetries arise with a more thoroughgoing account. Figure 3.4 charts Freytag's ([1863] 1900) model as a five-part structure, with three "scenic effects" or "dramatic forces." The five parts are: introduction (*Einleitung*), rise (*Steigerung*),

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[140] Freytag's dramatic structure provides a model for both tragic and comic dramatic narratives. In the case of tragedy, the play dominates the first half before succumbing to the counter-play (a hero succeeds in reaching a climactic event before descending to defeat). In comic drama, on the other hand, the counter-play controls the first half only to give way to the play in the second half (a hero struggles and is brought to a humiliating nadir before rising in victory at the close).

climax (*Höhenpunkt*), fall or return (*Fall oder Umkehr*), and catastrophe (*Katastrophe*).[141] The

three dramatic forces serve to propel the drama forward, delineating but uniting component

sections. Between the introduction and the rise is the "exciting force" (*das erregende*

*Moment*), enacted in one of two ways: "in the soul of the hero, there arises a feeling or

volition which becomes the occasion of what follows; or . . . the counter-play resolves to use

its lever to set the hero in motion" (121). Importantly, the exciting force may be rather weak,

as in Shakespeare's *Romeo and Juliet* where it is merely "the determination to be present at

the masked ball" (122). The rising action that follows sees the hero encounter and overcome

progressively more perilous situations, although the hero "is assured its success" in the first

half (109). At the corresponding point at the end of the drama, as the fall transitions to the

catastrophe, "the force of the last suspense" (*das Moment der Letzten Spannung*) reproduces a

weak, subject-oriented last gasp: "it is an old, unpretentious poetic device, to give the

audience for a few moments a prospect of relief. This is done by means of a new, slight

suspense; a slight hindrance, a distant possibility of a happy release, is thrown in the way of

the already indicated direction of the end" (136). This description reveals a fundamental

asymmetry in the arch of dramatic (primarily tragic) structure: whereas the play seems to

dominate the first half, the counter-play governs the second half: "first the inception and

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[141] The pyramid structure shown in Figure 3.4 also makes for a serendipitous metaphor with the idealized shape
of a mountain. As an arch shape, the central experiential goal of a mountain hike is the scenery only available at
the summit, whereas the overall *telos* remains surviving the descent and returning to ordinary life. Each half of
the journey invites a teleological interpretation.

progress of the action are seen, then the effects of the reaction; the character of the first part is determined by the depth of the hero's exacting claims; the second by the counter-claims which the violently disturbed surroundings put forward" (107).

The fall, in which the counter-play exerts itself, features the most violent and overt challenges to the principal subject—the force of the last suspense represents a final blip, a fruitless striving in which "the spectator must always perceive the downward compelling force of what has preceded" (137). At the boundary between the climax (the play's apotheosis) and the fall (the dominion of the counter-play), the "tragic force" (*das tragische Moment*) represents the final stage of the climax and points toward the fall to come. Freytag's description of the tragic force in Shakespeare's *Coriolanus* is typical:

> In this piece, the action rises from the exciting force (the news that war with the Volscians is inevitable) through the first ascent (fight between Coriolanus and Aufidius) to the climax, the nomination of Coriolanus as consul. The tragic force, the banishment, begins here; what seems about to become the highest elevation of the hero, becomes by his untamable pride just the opposite; he is overthrown. This overthrow does not occur suddenly; it is seen to perfect itself gradually on the stage—as Shakespeare loves to have it— and what is overwhelming in the result is first perceived at the close of the scene. (131)

The tragic force is the Icarian initiation of the hero's inevitable descent, enacted by the inversion of play and counter-play, motivated by the overreaching hubris of the hero, and finalized by the catastrophe: "The more profound the strife which has gone forward in the hero's soul, the more noble its purpose has been, so much more logical will the destruction of the succumbing hero be" (137). It should be clear that Freytag's dramatic arch is hardly a simple symmetry. Indeed, the first half does not merely reflect onto the second—rather,

through the inversion of protagonist and antagonist, the drama drives teleologically to a tragic conclusion in which the hero was always and ineluctably bound to succumb to the natural surroundings.

Without enacting undue strain on metaphor, we might entertain imagining Freytag's structure not as an arch, but rather as two large-scale, proto-functional rotations. In the first, a force (the exciting force) launches a period in which the play dominates (rise), before the counter-play makes a failed attempt to intervene. The success of the hero is celebrated at the climax. In the second rotation, a force (the tragic force) launches a period in which the counter-play dominates (fall), before the play makes a failed attempt to reassert itself (force of the last suspense). The success of the antagonist(s) is celebrated at the catastrophe. This rotational structure will be instructive in how we explore a form-theoretical analysis in §3.4. Freytag's dramatic structure will serve as a model for analysis of the programmatic plot and single-movement formal structure of *Eine Alpensinfonie*.

### §3.3. Prior Analyses of *Eine Alpensinfonie*

Typically, previous analysts have described the structure of *Eine Alpensinfonie* as either a failed and highly deformational sonata form, a cyclic Lisztian symphonic sonata, or a "formless" novelty. My approach aims to prioritize the relationship between form and content, a departure from these prior analyses which largely do not interweave the programmatic labels into an interpretation of the work's form.

The motivation to summon sonata form relies heavily on the precedent set by Hepokoski, whose influential analyses of *Don Juan* (1992a), *Macbeth* (1992b), and *Till Eulenspiegel* (2006) function as case studies in the hermeneutic investigation of the intersection of program, sonata-form deformation, and genre.[142] *Don Juan* exemplifies generic hybridity in service of program—a rondo interpretation, reflecting the protagonist's numerous adventures, gives way through *Durchbruch* to a sonata-form reading. *Macbeth* features a *Dutchman*-style exposition with some uncertainty about secondary key, as well as a distorted, psychologically dissociated recapitulation. And *Till*, labeled a "Rondeau," presents a rotational form in a manner that summons sonata form by the use of a recapitulatory rotation.[143]

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[142] Hepokoski summarizes the relevance of sonata form in "Framing Till." It is worth citing in full here, because it provides support for the approach I take in the analysis of *Eine Alpensinfonie* to follow:

> Seeking to come to terms with *Till* through many of the expectations of at least the most consistently encountered elements of the sonata-form concept would have been appropriate not only in light of the several crucially placed signals of it provided in the work but also because the normative format of the single-movement symphonic poem or tone poem had derived historically from the opera and concert overture and because symphonic poems, *qua* genre, had been on offer for decades to the European institution of art music as the progressive alternative to the obsolete abstract symphony—itself grounded most fundamentally in manipulated deformations of sonata form. It is futile to pretend that sonata-form conceptual categories had been largely swept away by later nineteenth-century composers and their formal "freedoms." On the contrary, the structural power of any such freer forms lay precisely in their high-friction, dialogic relationships with preexisting conceptual categories. There can be no question that Strauss regarded "sonata form," broadly construed, as a still-potent field of conceptual organization, graspable in a moderately stable and sufficiently codified manner (with its historically venerable earmarks even subject to being simplistically abstracted, conservatory fashion, in rule-of-thumb formulas, conveniently well known to composers and audiences alike) even while he distorted many of its most traditional conventions in his own works. (2006, 30)

[143] In the *Macbeth* study, Hepokoski explains the hermeneutic import of the recapitulation:

Youmans (2005) and Werbeck (1996) have both attempted to extend the sonata-form

principle to *Eine Alpensinfonie*—the former sees the movement as highly unusual, while the

latter suggests that the enumerated sonata-form sections "only play a very limited role" and

are thus "insufficient to understand the musical progress" (1996, 436 & 438). Youmans's

analysis sets out from an ideological position: "Strauss returned in the *Alpensinfonie* and

*Domestica* to the formal approach applied in the tone poems up to and including

*Zarathustra*: a species of sonata form that emphasized its functional inadequacies" (2005,

223). That is, the form of *Eine Alpensinfonie* is a direct descendent of its tone poem

predecessors and is fundamentally "inadequate" from a sonata-form functional perspective.

Youmans identifies a sonata-form exposition, with the "Ascent" theme in E♭ major

contrasted by a secondary-theme complex rooted initially on A♭ ("A Walk along the Brook")

before the "authentic second key" of D major appears during the "Apparition" section. The

sonata form features a "defective recapitulation" that connects the work to *Zarathustra*: "In

the *Alpensinfonie*, the entire recapitulation ('Tempest and Storm. Descent') is controlled by

the dominant, B-flat minor. . . . The 'Abstieg,' then, which recalls the themes of the

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> Within modernist works whose architecture is idiosyncratic, as it is here, the presence or
> absence of a quasi-symmetrical recapitulation is *the key factor* that serves retroactively to
> define the genre, deformational structure, and poetic content of the whole. . . . The
> recapitulatory space thus bears the heaviest structural and expressive burden, that of
> conceptually binding a loosely episodic piece together. (1992b, 80; emphasis added)

Werbeck makes a similar argument regarding *Ein Heldenleben*: "the traditional reprise with the recapitulation of

the music from the exposition determines the entire form; its dominance permits no further concepts based on

new form categories" (1996, 451–52).

exposition in reverse order, presents the strange phenomenon of a dominant-based recapitulation, a recapitulation gone wrong" (223–24).[144] Likely as a result of sonata-form doctrine, Youmans seems obliged to label the descent a "recapitulation." That is, since he has already identified the second half of the ascent as a development, surely the subsequent descent—in which some themes do return—is the logical place to identify a recapitulation. However, Youmans notes an important deviation from sonata-form procedure in something of a glib aside: the "Ausklang" passage that follows the descent "does act as an abbreviated second recapitulation by presenting the second subject in the tonic, but it does so too late and too briefly" (224).

Werbeck's (1996) sonata-form interpretation of the symphony as a "weakened" sonata treats the first half in greater detail than Youmans, and his findings are influential on my analysis. Werbeck notes that the exposition is not as straightforward as Youmans makes it out to be. Following the E♭-major "Ascent" theme, several secondary-theme candidates appear: (i) in "Entry into the Woods," a "singing theme" occurs, but subsequently it "takes on the features of a veritable harmonic and motivic transition"; (ii) a "cantabile, self-contained" theme in A♭, which "even has an epilogue," arrives at m. 230 (R31.1), but it is nothing more than a "variant of the ascent theme"; (iii) the "A Walk along the Brook" section, primarily in A♭, could serve as the second half of the exposition, or "it would also be conceivable to speak only of the end of a large three-part main theme complex"; (iv) after an

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[144] Richard Specht interprets the descent sequence as a reversed recapitulation as well (1921, 333).

intensification and tonal transition to D major, "the main vocal theme of the whole work,"

or more precisely the "actual 'secondary theme' of the symphonic movement" arrives in m.

325 (R45.5), but "a longer working-out of this theme is lacking for the time being"; (v) and

finally, in "On Flowering Meadows", B major ("the key furthest from E-flat") is newly

established, although the thematic content is "a varied repetition of the main theme" once

more (437–38). Such wavering between ostensibly insufficient secondary themes and dogged

returns of the Ascent theme leads Werbeck to contend that "the impression of a sonata-form

exposition is less transparent than that of a rondo-like alternation between the ascent theme

and individual episodes" (438). Werbeck also encounters difficulty addressing the sonata-

form requirement of a single development section. Finding the beginnings of a development

section at the "Perilous Moments" of mm. 521ff (R71.8), the Summit music that follows

leads Werbeck to reject that interpretation, delaying the development to the "Vision"

beginning at m. 653 (R87.5). As for a recapitulation, Werbeck is in general agreement with

Youmans that the "Thunder and Rainstorm, The Descent" passage amounts to something

like a recapitulation because of the return of Ascent-theme gestures. In the end, though,

Werbeck prefers an alternative reading of the symphony, one that articulates a variation form

with several form-defining intensifications (*Steigerungen*). The *Steigerung* model is useful, as

the moments in which Strauss corrals the multitudes of the orchestra to mark structurally

significant points are relevant to a large-scale formal interpretation. Werbeck identifies

*Steigerungen* leading into the "At the Waterfall" and "Perilous Moments" sections, but these

intensifications occur numerously, and they serve as signals that articulate many sections throughout the symphony.[145]

Other analysts have sought to extract a symphonic cycle out of *Eine Alpensinfonie* by striving to identify the four-movement substructure typical of the Lisztian symphonic poem. Benedict Taylor (2011) includes *Eine Alpensinfonie* in two such categories. As a work that includes a "multi-movement introduction–coda frame," the music returns to its initial state at the close, enacting "the most perfectly circular design" (11–12). As a tone poem with a "multi-functional four-in-one design," *Eine Alpensinfonie* follows a model reminiscent of Steven Vande Moortele's (2009) "two-dimensional sonata form": "the separate movements of the sonata/symphony cycle [are] heard as simultaneously forming parts of a single-movement (typically sonata) form, with the 'finale' section featuring the recapitulation of opening 'exposition' material" (Taylor 2011, 16). Taylor does not extend the analysis beyond such categorization; similarly, Del Mar's ([1969] 1986) attempt to pinpoint the movements of a symphonic cycle is, despite an "effort of ingenuity" (106), lacking in detail. In Del Mar's estimation, *Eine Alpensinfonie* begins with an introduction and opening allegro, but he delineates no explicit boundaries for the remaining movements. Del Mar and Taylor both confront a fundamental problem in analyzing the work—its thematic integration imbues it

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[145] Hepokoski summarizes the various "types" of *Steigerungen* that appear in Werbeck's theory:

> The first category is *Thema-Steigerungen*, in which a span of textural intensification is set off by an initial theme. The second is its opposite, *Steigerung-Thema*, in which the intensification begins in a thematically unmarked or merely motivic manner but grows into a climactic theme. A third type is the *Steigerung* "*an sich*" or "general intensification," a catchall developmental alternative not explicitly proceeding from or toward a clearly defined thematic block. (1998, 617)

with a continuity that challenges interpreting it as a symphonic cycle. Werbeck suggests that the Summit music could function something like an andante movement or a calm finale; he also argues that the Waterfall episode could imply a scherzo, but I contend that it is far too short to do so successfully. In contrast, Kelvin Lee (2019) reads the work in a collapsing two-dimensional sonata form, with the start of a scherzo at the beginning of the "Apparition" section. In this reading, the Summit episode functions as a "positive breakthrough" that collapses the symphonic cycle shortly thereafter.

The points of difference between my approach and these prior analyses can be summarized in six comparisons. First, prior analysts have tended to associate *Eine Alpensinfonie* with the earlier tone poems (principally with *Symphonia Domestica*), whereas I consider the one-act operas of the 1900s to be more appropriate precursors. Second, Youmans and Werbeck pursue a sonata-dialogic perspective that interprets deformations in the rhetoric of failure, which leads them to view the long descent paradigm as a failed recapitulation. I instead find that the descent sequence constitutes a second development, drawing on Freytag's notion of the counter-play dominating the second half of a tragic drama. Third, I go beyond casual relationships between compositional technique and dramatic structure, arguing that particular musical agents engage in a virtual drama that simultaneously generates a large-scale sonata-form structure. Fourth, Taylor, Del Mar, and Lee strive to explain the generic label "symphony" by identifying the movements of a sonata cycle, whereas I argue for a single-movement structure. Fifth, prior analysts like Youmans have been unwilling to recognize rhetorical allusions to sonata-form functional rotations

when they defy standard sonata-form procedure; this is particularly true in the "Ausklang" section, which I view as the true recapitulation of the movement. Finally, all but Werbeck have been hesitant to directly and unabashedly address the program and compositional history of *Eine Alpensinfonie*, but I read the movement as a single-movement dramatic tragedy in two parts, modeled on Freytag's dramatic structure and incorporating the fact that the piece was always planned as a single-movement form.

## §3.4. *Eine Alpensinfonie* as a Double-Developmental Sonata Form with Dramatic Climax

My approach to a generic analysis of *Eine Alpensinfonie* seeks to take the poetic/dramatic vision of the work as the aesthetic yardstick against which structural musical events are measured. I articulate those features of *Eine Alpensinfonie* that represent its dramatic action, while also acknowledging that much of the drama is contingent upon dialogic associations with sonata-form procedures. The twenty-two programmatic labels of the score indicate much of the dramatic structure, whereas thematic interactions act out a virtual series of events and actions. The large-scale macrorotational form, shown in Figure 3.5, involves a coarticulation of dramatic structure—the narrative outlined by the twenty-two labels only paints part of the picture.

If we imagine *Eine Alpensinfonie* as a large-scale two-part structure, we can speak of two large macrorotations that are isomorphic with the two halves of Freytag's dramatic structure. In the first part, the macrorotation involves sonata-form functions of a slow introduction,

strong exposition, and weak development, leading to a climactic episode. By describing functional rotations as "strong" or "weak," I intend to associate them with Freytag's play and counter-play. The exposition of the first half is "strong" because it effectively depicts the success of the protagonist, whereas the development of the first half is "weak" because it portrays the failure of the counter-play to impede the hiker. The second part parallels the rotational structure of the first half with a preparatory reentry into sonata space, a strong second development (in which the counter-play prevails), a weak recapitulation (in which the protagonist is unable to reassert its dominance), and a tragic (catastrophic) coda. Thus, the overall sonata-form structure involves two developments and is interrupted by a climactic, spiritual episode at the summit, in which, as we have already seen, the themes of the hiker and nature seem to converge. In the detailed discussion below, the dramatic interpretive potential of *Eine Alpensinfonie* will depend upon four key attributes: (i) a loose, expressive role for sonata formal functions; (ii) the continuous interaction of theme families, exemplified at the start of this chapter; (iii) a recognition of the dramatic structure, in particular the asymmetries therein; and (iv) a generic expectation for symphonic closure.

The programmatic labels of *Eine Alpensinfonie* can be grouped as in Figure 3.5 to map onto Freytag's model of dramatic structure. Some apparent misalignments exist between the five-part dramatic structure and the twenty-two-part programmatic sequence. The first is the apparent foreshortening of the introduction, with the onset of the exciting force during the section marked "Sunrise." As a transitional dramatic moment, the exciting force involves the first direct hints of the Ascent theme to come; the end of the slow introduction on the

intensified dominant of E♭ in mm. 70–73 (R11.2) signals the arrival of the primary theme. The climax represents another point where the programmatic labels seem to misalign with the dramatic structure: although the label "At the Summit" appears in m. 565 (R76.6), the actual dramatic climax—the "crowning point" of the drama, an "outburst of deed from the soul of the hero" (Freytag [1863] 1900, 128–30)—does not appear until the arrival of C major in m. 599 (R80.1). Any recreational alpinist could explain the psychology of the moment: one is not always certain of arrival at the summit, or alternatively one must catch one's breath upon arrival. Once the transcendent, panoramic views only available at the summit reveal themselves, a dual sense of accomplishment and relief rushes in. Finally, the relationship between the introduction and the catastrophe is worth some discussion. It would seem that the catastrophe was problematically brief in comparison to the introduction. Furthermore, the "Sunset" section does not parallel the "Sunrise" of the introduction—to symmetrically correspond with the introduction, we might expect it to make up part of the catastrophe. Yet this actually aligns with Freytag's advice regarding the catastrophe: "First, avoid every unnecessary word, and leave no word unspoken whereby the idea of the piece can, without effort, be made clear from the nature of the characters. Further, the poet must deny himself broad elaboration of scenes [and] must keep what he presents dramatically, brief, simple, free from ornament" (139). In short, while the introduction establishes place, period, and circumstance, the catastrophe has but a single task: round off the drama as succinctly as possible. The necessity for a force of last suspense, accomplished by *Eine*

*Alpensinfonie*'s "Ausklang" sequence, leaves only "Night," a cyclic return to the opening measures of the symphony, as a candidate for the catastrophe.

A full account of the various thematic figures of *Eine Alpensinfonie* is provided in Appendix 1. The thematic catalogue is organized by presenting each theme in its first iteration. I categorize the themes into two families, identified most fundamentally by a distinction between elemental music (nature) and spontaneous, actorial music (the hiker persona). In so doing, I draw on Hatten's (2018) notion of virtual embodiment, which I return to below. Most of these themes are members of the nature-theme family and employ scalar passages and outlines of triads. The hiker-theme family, consisting of the Ascent-theme complex and Storm 1, features more ascending motion, sharp changes of contour, and wider registral shifts and leaps—factors that endow a sense of spontaneity, unpredictability, and thus subjectivity.[146] Several of the nature themes include isolated spontaneous gestures, which indicate the influence of the hiker through interactions with the natural surroundings.

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[146] Drawing on information theory, Ben Duane (2012) models a listener's perception of predictability—summarized in the terms of the music's "information content"—in order to examine the characteristics of melodies, countermelodies, and accompaniments in relation to perceived virtual agency. Duane distinguishes between "leading" and "subordinate" musical lines, the former more likely to be anthropomorphized by the listener because intelligent beings will recognize less predictability as the signal of a subjectivity: "lines with higher information content are more likely both to create the effect of virtual agency and to assume leading status" (112).

*§3.4.1 Introduction–Coda frame*

The Introduction (charted in Figure 3.6) features three principal thematic ideas, all of which

establish the character of the nature-theme family. At the very start, the Night theme

involves a descending B♭-minor scale in the strings and low winds. As the scale proceeds,

higher instruments each sustain a pitch, resulting in a scalar cluster by the end of the descent.

The inertia of the Night theme has it slowly but inexorably descend three octaves. The Night

theme is immediately followed by the Mountain theme, in two parts.[147] In the first, the low

brass moves through a deceptive resolution to G♭ major, including a melodic sixteenth-note

leap by fifths and fourths. The second half begins on a far-flung D-minor triad—G♭ major's

hexatonic pole, evoking for Richard Cohn (2004) the uncanny, the supernatural, even

death[148]—before a sequential progression of chromatic fifth-related pairs: D minor–G minor,

followed by F major–B♭ minor. Here, the top voice is crucial: in mm. 14–15, the bassoon

and trombone ascend $\hat{1}$–$\hat{2}$–$\hat{3}$ in B♭ minor, reversing the chromatic D♮ of m. 13. Additionally,

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[147] Youmans (2005, 228) notes that the Mountain theme is a quotation both of the "Grail" leitmotif from

Wagner's *Parsifal* as well as the "Streiter der Liebe" leitmotif from Strauss's *Guntram*. One can also hear

allusions to "Valhalla" from the *Ring* in the brass instrumentation, dotted rhythm, and ascending leaps.

[148] Cohn (2004, 293–95) presents several precedents for the hexatonic pole progression, including in the

"Death" motive from Wagner's *Tristan und Isolde* and further signals of death from the *Ring*. Two examples

from the end of Strauss's *Salome* are also associated with death, as they occur after the decapitation of

Jochanaan: "One polar progression, F major to C♯ minor, underlies 'is greater than the secret'; a second,

framing progression, G major to E♭ minor, sets the parallel texts 'of love . . . of death.' Over this progression,

Salome sings all twelve pitch classes" (299).

all voices return by wide leaps to their original register. The first fifteen measures offer an initial state of nature, a powerful image of the mountain translated into music. The ominous B♭ minor, as a minor-mode frame (and inversion about B♭) to the E♭ major that dominates the mountain ascent, offers a premonition of the tragic story that will unfold across the symphony.

Throughout the Night section, the accompaniment remains in B♭ minor; bassoons arpeggiate through arches, and in m. 29 the brass begins a series of ascending fifth leaps borrowed from m. 10. The accompaniment grows in intensity and volume during mm. 34–45, introducing pitches of the tonic major, with the final four measures serving as a *Steigerung* into the section marked "Sunrise." The Sun 1 theme that begins in m. 46 (R7.1) is the first transformation of the Night theme: a scalar descent in A major spans mm. 46–53. Instead of descending relentlessly into the darkness of night, the descent slows. Every two measures, the music descends a third, backtracking one note up the scale in each two-measure unit. Having begun on a *fortissimo* "arrival-$^6_4$"[149] in m. 46, the majority of the orchestra shimmers in high registers. Reinterpreting the scalar descent motif of the Night theme to depict the process of sunrise, the music now has a markedly end-accented drive.

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[149] Hatten identifies the "marked" sonority of the "arrival-$^6_4$" in his 1994 monograph on Beethoven, defining it as follows: an "expressively focal cadential six-four serving as a resolution of thematic or tonal instabilities, often with a Picardy-third effect. Need not resolve to V; its rhetorical function may displace its syntactic function, at least locally" (288). Arrival-$^6_4$'s are quite common in Strauss's music.

The ii–V–I cadence in A major in mm. 52–53 resolves to a sense of calm stasis, the sun having risen over the valley.

The *Steigerung* over B♭-major harmony at the close of the Sunrise section clinches the opening sequence as a slow introduction preceding the sonata form proper. *Steigerungen* typically appear immediately before or after the establishment of a theme (see footnote 145 above); here, the build, occurring on the dominant of the sonata's tonic key, heralds the beginning of the exposition (and the arrival of the hiker persona at the base of the mountain). Hepokoski's description of the introduction–coda frame deformation is apt for the present analysis:

> This procedure gives the effect of subordinating "sonata-activity" to the overriding contents of an encasing introduction and coda. . . . A common result is the furnishing of two levels of aesthetic presence, . . . that of a fuller, more emphatic framing-reality—or even that of a metaphorically "present" narrator—which unfolds a subordinate sonata-process that is eventually absorbed back into the original, fuller presence at its end. (1993, 6)

It is thus worth comparing the coda to the slow introduction at this early stage of analysis—the asymmetries are instructive as we examine the internal sonata form momentarily, and they demonstrate the aesthetic level implied by the nature-theme family as well as the absorption of sonata process into the coda. Beginning after the "Ausklang" section, the coda returns to the key of B♭ minor in m. 1131 (R144.7, see Figure 3.7). Commencing with the Night theme once more, the passage replicates the three-octave descent of the symphony's opening measures. The ensuing Mountain theme now includes trumpets, which were entirely absent from the first thirty measures of the introduction. In m. 1145 (R145.7), the B♭-minor triad sounds in the brass and winds, but it does not lead to a *Steigerung* into Sun

music, as the Sunset section has already passed. In the coda, the ringing B♭-minor *Klangs* lead

to an integration of the Ascent theme and the B♭-minor arpeggiation. Beginning in m. 1149,

the first gesture of the Ascent theme occurs, not in the sonata form's tonic, E♭ major, but in

that of the cyclic external world, B♭ minor. Its jagged, warped triadic arpeggiation is replaced

in m. 1150 by a steadier ascent through F major, recalling the launching leaps of the

Mountain theme. The sudden, *espressivo* ascent is quickly reversed in the final three measures

through the B♭-minor triad once more, ending on the scale cluster of the Night theme.[150]

Existing outside of the sonata form proper, the introduction–coda frame presents the

eternality of nature and proposes a possible tonal symmetry for the work. Both sections

feature the B♭-minor tonality (the key of despair and solitude in *Elektra*, for Carpenter

[1989, 76]) and the descending scalar thematic ideas that establish the nature-theme family.

But in the introduction, the music includes only nature themes, whereas in the coda, the

music absorbs and weakens the Ascent theme to depict the dominance of nature over the

hiker at the close. Over the course of the sonata itself, Strauss will leverage sonata formal

functions to depict the initial success of the hiker's climb and the subsequent peril of the

descent. The work thus enacts a tragic drama, epitomized not only by Freytag's tragic

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[150] Paul Bekker, in a colorful account of *Eine Alpensinfonie*'s Berlin premiere, describes this section aptly: "a

violent minor echo of the ascent theme rises again in the violins, to sink to the depths, unfinished, as if with a

sigh—and the scene flows into the mysterious B-flat-minor fog of Creation" (1921, 111–12). Morris (2012)

reads the moment as a signal of the hiker's demise: the Ascent theme, he writes, "becomes a shadow of itself,

robbed of all its momentum and seemingly weary, as though on the verge of death" (71).

asymmetry between the rise and the fall, but also by Almén's tragic narrative strategy. The best evidence for the latter comes in the coda. At the close, with the return to the order-imposing hierarchy of the framing B♭ minor, the music expresses the omnipresence of nature and its ability to overwhelm the individual, the hiker (and the sonata) a transgression against the serene mountain scene—one is led to wonder whether the hiker has even survived the day's journey.

*§3.4.2 Exposition (strong)*

At the arrival of E♭ major in m. 74 (R11.6), the thick texture of the end of the slow intro is replaced by a single, assertive voice. The low strings and harp begin the "Ascent" theme, commanding the foreground in *fortissimo* octaves. The inertial scalar processes of the slow introduction are replaced by a "lively and energetic" gesture of spontaneity, a quality communicated by the melody's leaps and jagged contour. In the course of three beats, the theme covers the distance of an octave. *Marcato*, the theme asserts itself as an *un*natural arpeggiation of the tonic, leaping down to B♭2 before rapidly ascending another octave by the downbeat of m. 75. As the register rises into treble clef, the violas join in and the dotted-eighth–sixteenth rhythmic motive becomes thematized. The Ascent theme (Ascent 1) continues up to G4—two octaves climbed in a matter of four measures.[151] The directional

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[151] Youmans (2014, 436) and Gilliam (2014, 250) both associate the Ascent 1 theme with the bassoon and horn theme in mm. 318–21 of the finale of Beethoven's Fifth Symphony. Youmans also relates it to the main theme of *Ein Heldenleben*, because of the registral ascent and E♭-major key. The association with *Ein*

implications are significant and immediately audible. Whereas the themes of nature have,

until now, all fallen in register (slowly, deliberately), the Ascent theme rises (energetically,

haughtily). The opening four measures function as the presentation of a sentential phrase,

whose continuation extends the vertical ascent, adding the violins. Reacting to its steep

launch, gravity seems to deter the Ascent theme,[152] slowing the climbing rate from one octave

per measure at the start of the theme to the meager distance of a third spanning the

downbeats of mm. 78–80. Yet in response to the pull of gravity, the Ascent theme breaks

away in the second half of m. 80, delaying the cadential function of the sentential phrase.

Overshooting the tonic E♭5, the winds join the violins on F5 in m. 81, reaching beyond to

B♭5—more than three octaves above the Ascent theme's initial G2. Finally, joined by the

remainder of the orchestra, the theme reverses course, descending by step to a half cadence in

m. 85, three measures delayed by the outburst of mm. 80–81.[153]

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*Heldenleben* is convincing and carries with it heroic connotations. Adorno describes the main theme from *Ein Heldenleben* as "beyond all danger," "[stretching] over four octaves, past every obstacle, without stumbling" (Adorno 1965, 15). In Adorno's account, the theme, reflecting the career of the composer himself, is a product of the market, successful by dint of its acquiescence to audience desires to be dazzled—and the spectacle of *Ein Heldenleben* is perhaps only surpassed by that of *Eine Alpensinfonie*.

[152] For an account of the metaphor of gravity as a musical force, see Larson 2012, especially his notion of "melodic gravity" (83ff).

[153] Bekker describes the dynamics of the dialogue inherent in the Ascent theme in similar terms: "An E-flat-major theme, sculpted from simple triad intervals, emerges from the bass with heroic gestures, is taken up by the violins, supplemented by woodwinds and horns with a singing consequent and, as if hesitantly, bent

Contrasting with the granitic, processual themes of the slow introduction, the subjective, embodied Ascent theme represents markedly human virtual agency. Several of Hatten's (2018) cues for virtual embodiment—transforming an actant into a virtual human agent—apply well to the Ascent theme. Paraphrasing Hatten, the relevant characteristics include: (i) miming human physicality and motion within an environment of virtual forces; (ii) the ability to interpret a musical line as a human voice; (iii) inferred intentionality through goal-directed motion; (iv) the ability to ascribe will, ability, or belief to the agent; (v) foregrounding textures; and (vi) dramatic conflict and dialogue (69–70). By suggesting embodiment, the Ascent theme prompts an interpretation as a human agent. In this case, it is the manifestation of a hiker encountering the alpine environment.

The degree of embodied virtual agency implied by the Ascent theme matches the generic expectations for the primary theme of a sonata-form exposition. The full exposition of *Eine Alpensinfonie*, incorporating this reading of Ascent, is shown in Figure 3.8. Primary themes as assertive subjects are a hallmark of Romantic sonata form,[154] and the dialogue between

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downwards—with renewed energy immediately thereafter pushing up and developing into unstoppable motivational life" (1921, 109). Werbeck notes Strauss's remarks in a letter of 9 November 1915 to the conductor Willem Mengelberg, in which he describes the theme as depicting "someone who climbed too quickly, having to catch their breath after a few steps" (1996, 278).

[154] Hepokoski (1994) describes the historical distinction between *Hauptsatz* and *Seitensatz*, which carried gendered stereotypes (following A. B. Marx) of a masculine primary theme and a feminine secondary theme. William Caplin (1998, 98) notes the general rejection of the gendered metaphor, while nevertheless maintaining terminology (main theme, subordinate theme) that is tinged with a dynamic of dominance.

primary-theme motives and transitional or secondary-theme elements allows for the contrast, interaction, conflict, and inferred actions that are typical of Hatten's fictionalized drama. Throughout the exposition, the Ascent theme encounters several environmental themes-as-events, interacting with and acting upon them and ultimately overcoming obstacles on the mountain climb.[155] Across the changing musical-mountainous terrain, the Ascent theme transforms while maintaining its *Gestalt* and motivic identity. My interpretation of the sonata-form exposition spans mm. 74–435 (R11.6–58.10) and includes the programmatic labels "The Ascent–Entry into the Woods–A Walk along the Brook–At the Waterfall–Apparition–On Flowery Meadows–At the Pasture."

The Ascent section involves not just a primary theme (the Ascent theme) but a fully developed primary-theme complex. The Ascent theme itself, a sentential theme with extended continuation, leads to a consequent in m. 86 (R13.1) that repeats in sequence, before arriving at m. 91 in G♭ major.[156] A march topic (Ascent 2) then commences in the horns, bassoons, and low brass, only to combine in m. 95 with the initial Ascent theme in

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[155] An alternative reading might view the exposition described so far as the beginning stages of a rondo (Werbeck [1996, 443] invites such an assertion). Hepokoski (1992a) engages a similar analysis of *Don Juan*, in which the program—centering on Don Juan's dalliances—functions as an abstract metaphor for the several departures and returns of the rondo form.

[156] At first blush, this repetition might suggest a dependent transition, especially with the shift in tonality and abandonment of the tonic. Thematizing cues, especially the return to E♭ major and the main Ascent theme, would then require retrospective recognition that no tonal or thematic transition has been accomplished.

the tonic. A potential cadence in E♭ is signaled by the B♭ pedal in mm. 99–102, only to be deferred as the Ascent-theme motives shift to F minor in m. 105 (R16.1). The winds adopt the Ascent theme's extended continuation and cadential phrases, leading by m. 112 to an arrival and Ascent-theme statement in G minor. Short-lived, the G-minor statement is imitated in the upper strings and clarinets two measures later, which leads quickly into the same continuation–cadential functional series beginning in m. 116. The phrase extends an extra two measures over a dominant pedal to a *fortissimo*, accented arrival on a PAC in E♭ major in m. 122 (R18.1). Having sufficiently confirmed the tonic E♭ with several statements of the primary theme, a post-cadential horn call (Ascent 3) in mm. 122–26 concludes the primary-theme complex, while also recalling the fifth-leaps and arch shape of the Mountain theme. The existence of an Ascent-theme complex reinforces the contrast between nature themes and hiker themes: during the sonata proper, we will see that the nature themes typically exist as single-dimensional objects witnessed along the hike, independent units that do not often combine, whereas the hiker persona embodies a complex of interrelated themes. Nature is reflected in simplicity, humanity in psychological complexity.

As for the remaining expositional functions, recall the challenges Werbeck (1996) identifies regarding secondary-theme candidates. First, the exposition of *Eine Alpensinfonie* does not present a clear-cut, solitary secondary key. Second, the candidates for the secondary theme are too weak and short-lived to serve as veritable antagonists to the primary theme.[157]

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[157] Lee's (2019) interpretation of the movement as a two-dimensional sonata form suggests that the ambiguity of the secondary-theme candidates allows for double functionality. For example, Lee reads the Woods 1 theme

Rather than restricting the interpretation to a single secondary theme, the exposition can be understood dramatically as a robust analogy for the first part of the rising segment of Freytag's dramatic structure: several attempts to deflect the protagonist (the Ascent theme as virtual hiker), progressively more daunting (the weak development causes the most consternation), are nevertheless unable to prevent the inevitable success of the first half of the drama. The expected antagonism of a typical secondary theme is thus distributed across several sections, each unable to fend off the primary theme on its own.

To explore the expositional sequence, I adopt Pfister's distinction between event and action and, at the agential level, Hatten's categories of willful and reactive actions. The series of virtual actions performed by the hiking agent function as an intentional action phase, enacted by the embodied Ascent theme. The encounters with nature then imply an event phase, a series of natural phenomena with the potential to disrupt the protagonist's action, requiring reactive responses by the virtual hiker. Figure 3.9 summarizes the events of the exposition in the terms of action and event. Each of the initial nature themes (Woods 1, Brook 1 and 2, Apparition, Meadow, Pasture, and Summit 1) enters at the outset of its programmatic section as a stage along the hiker's climb.

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as a transition at the overall sonata level that functions as a transition retrospectively reinterpreted as a secondary theme at the local sonata level. Ultimately, Lee projects no true secondary theme candidate at the overall sonata level—the summit theme seems to be the only true candidate. At the local sonata level, Lee projects several secondary-theme "substitutes," functional stand-ins for the secondary theme that do not enact its form-functional effect in full.

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Initially, these nature-themes-as-events tend to descend overall by step, and as a result can be considered linked by thematic transformation. Figure 3.10 charts the relationships among the nature themes across the exposition, including the two main Summit themes. Woods 1 and Brook 1 develop the deliberate, stepwise descents of the Night and Sun themes. Since regular stepwise descending motion is associated with nature, any irregular, leaping, or ascending motions signal the presence of the hiker. While climbing higher, the hiker engages in impactful dialogue with nature themes in three ways: (i) the themes are compelled to rise in defiance of the typical falling contour of earlier themes (see Sun 2, Apparition, Pasture, and Summit 1); (ii) the hiker's spontaneous leaps of register become infused into statements of the nature themes (see Woods 2, Brook 2, Meadow, and Summit 2); and (iii) the Ascent theme continues to preside over the exposition, rearing its head at intervals against the natural event phase (e.g., mm. 159 [R22.1], 174 [R24.1], 230 [R31.1], 274 [R38.1], 333 [R47.1], 362 [R50.5]). The Ascent theme also undergoes transformation throughout the exposition, while maintaining its identity. A metrically shifted version of the theme (m. 274) replaces the original, and motivic segments of the original Ascent-theme complex appear regularly.

The exposition begins with the Ascent-theme complex as primary theme. Next, a quasi-dependent transition features alternation between Woods themes and the Ascent theme in mm. 147–229 (R21.1–30.12). Traversing C minor, F minor, and A major, the transition reverts to the persistent E♭ major, which now functions as the dominant of the first attempt at a secondary key, A♭ major. What I term the "Wanderer" theme prepares the new key along

with the following passage (mm. 230–72), which is form-functionally consistent with a second, more successful phase of transition because of its loose, tonally unstable, motivically fragmented character. TR₂ concludes with a IV:PAC MC in m. 262, which repeats with ever wider registral leaps in the ten-measure post-cadential extension that leads to the Brookwalk. After cycling through various possible secondary keys already in the two transitions, the convincing arrival of the key of A♭ major suggests that a strong thematic antagonist to the Ascent-theme complex should arrive. Following the dramatic strategy set forth by Freytag, however, we might expect any obstacle to the Ascent theme's dominance to be futile at this stage, and here such a dramatic interpretation holds.

Throughout the exposition, dramatic structure overrides sonata-form expectations; the Brookwalk section is representative, as the potential for thematic stability falls through. The Brook 1 theme of mm. 272–77 (R37.6), having established A♭ major, lacks thematic rhetoric. Further, it is paired with Brook 2 in the horns, a rising line that counterpoints the descending contour of Brook 1. Shortly, the Ascent theme interrupts both Brook themes in m. 274 and precludes their potential thematization, relegating them to pictorial background music. As a result, we can view the remainder of the Brookwalk section, in which the tonic shifts to C minor by m. 283, as a third transition, involving fragments of the metrically shifted Ascent theme and introducing the D-major illustrative music of the Waterfall section at m. 292 (R40.5).[158] As the second candidate for a contrasting tonal area, D major appears

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[158] As Youmans (2014, 436) points out, the music of the Waterfall section is a reference to Wagner's "Magic Fire" music from the end of Act III of *Die Walküre*. The allusion is as much one of spectacle as of substance,

to lack a preparatory MC. However, examine the rhetoric of the Waterfall section: by m. 295 the texture becomes saturated with falling scalar passages—diminutions of the Night and Sun themes that imitate the cascades of a waterfall—over pedal D-major harmony. The invigorated energy and descending scales are reminiscent of the lead-in to MCs of much Classical tradition (Monahan 2015, 154n28), such that we can hear the moment as effecting a rhetorical break comparable to an MC.[159]

If mm. 295–300 (R41.1) end with an implied VII:PAC MC, we might expect a new secondary theme to arrive in m. 301, at the onset of the Apparition section. Indeed, such a reading might imply either of two expositional deformations: the trimodular block (TMB) or the three-key exposition. But we should consider the role of programmatic drama in either interpretation—for example, a TMB presupposes that, following the second MC, we view the new secondary theme as "a differing S-theme, starting its own, renewed journey toward

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recalling the fire that Wotan summons during Brünnhilde's slumber. The famous events of the Munich premiere make the intertextual significance of "Magic Fire" even greater, as it represents one of the most well-known instances of music-dramatic spectacle. Gundula Kreuzer (2011) writes that, by the time of the Bayreuth premiere, the musical pyrotechnics were paired with various cutting-edge staging effects including "red illuminated vapors" of steam, an attempt to eschew the panic that had struck the Munich premiere of the opera and its use of chemicals to create real flames (193).

[159] Lee (2019) views the Waterfall and Apparition sections as a scherzo in the symphonic cycle, which Werbeck (1996) has rejected on account of its short length and its lack of independence.

the EEC" (Hepokoski and Darcy 2006, 171).[160] In the programmatic drama sketched so far, secondary thematic candidates do not represent oppositional characters but instead serve as natural features and obstacles that the hiker encounters on the climb to the summit. To interpret a trimodular exposition would require at least some expectation that either the A♭-major or D-major theme be a formidable antagonist in a stable PAC-confirmed contrasting key. But the purpose of this exposition is to foreground the Ascent theme's subjectivity itself. The somewhat lyrical D-major theme of the oboes, clarinet, English horn, and solo viola at m. 301 is obscured by foreground orchestral color. Horn calls destabilize the putative secondary key, implying A minor and F minor in mm. 313ff. Additionally, the Apparition theme is the most lifeless and circumspect of any nature theme so far, its sinusoid contour lacking the impulse of subjectivity. A lilting eight-measure phrase takes over though in m. 325 (R45.5), beginning in the violas and horns before transferring to the violins and oboes. This is an instance of prolepsis—a first glimpse of the Summit 2 theme, the climactic music that dominates at the apex of the symphony. Here, the hiker sees their goal; reinvigorated, the protagonist's willful response is a defiant, complete restatement of the (metrically shifted) Ascent theme (mm. 333–50) in yet a *fourth* stable tonal area: B major. The theme includes a cadential extension beginning in m. 342 (R48.2), in which the entire orchestral

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[160] According to Aaron Grant (2018), this expectation is not necessarily the case for the Schubertian three-stage expositional model, the Romantic *locus classicus* for double-MC expositions. Schubert's three-key expositions always involve S-like rhetoric in the initial secondary theme, but the two putative S themes need not be thematically distinct.

accompaniment rises in a *Steigerung* leading to the half cadence that concludes the Ascent theme.

A brief return to the elemental family of nature themes, the Meadow theme follows. But it is interrupted by another foreshadowing of Summit 2 paired with the head motive of the Ascent theme; it lasts merely seven measures (mm. 351–57). The B-major tonal area, dominated primarily by action-sequence themes, is the last contrasting tonality of the exposition—by m. 366 (R50.9), the beginning of the "Pasture" section, the strings reestablish E♭-major as tonic. Borrowing the Sun 2 theme from the introduction, the Pasture section otherwise *foregrounds* nature sounds reminiscent of the finale of Mahler's Sixth Symphony:[161] bird calls in the woodwinds (mm. 366ff), as well as open fifths, a stepwise $\hat{5}$–$\hat{6}$–$\hat{7}$–$\hat{1}$, and triadic arpeggiation in the harps (373ff). A confirmational E♭-major cadence in

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[161] Bekker hears "herd bells and instrumental 'Duliohs'," or yodels, in this section (1921, 109). Looking beyond the use of cowbells and birdcalls, Puffett regards *Eine Alpensinfonie* as even more fundamentally beholden to Mahler: "Indeed the Alpensinfonie can be heard as a gigantic recomposition of Mahler's Sixth, whose finale provides the general form (beginning in darkness, rising to the heights and then sinking into darkness again) as well as countless details (e.g. the sunrise theme)" (1981, 392). Youmans (2014, 436) insists that, at least, the Pasture section is a direct quote of Mahler's *Herdengeläute* from the Sixth. Mahler's Sixth symphony is often referred to as his "Tragic" symphony, not least because of the private program concerning his domestic life, but also due to the dark finale, its spectacularly unsuccessful recapitulation (see Monahan 2011a and 2011b), and the persistent march topic that, for Peter J. Rabinowitz (1981), emphasizes formal incongruities and engages in distorted parody. Having Mahler's Sixth as an intertext feeds further into the view that *Eine Alpensinfonie* depicts a fundamentally tragic story.

m. 415 (R56.4) includes a quotation of the storm from Beethoven's "Pastorale" symphony and the texture of the Night theme. This moment is probably the best candidate for an EEC—although the arrival is in the tonic, this tonal expositional "nonattainment"[162] is apt when considering the dramatic program. The hiker has dominated the entire exposition, despite the sonata-form expectation for a shift of power to the secondary theme. Instead, the final nature theme, the Pasture theme beginning in m. 420, is the most heavily influenced by the hiker's actions—its contour predominantly rises, it is sentential in structure, its continuation phrase involves numerous registral leaps, and it ultimately leads to a half cadence in the tonic. Over the course of the exposition, the hiker has progressively encountered natural phenomena, each of which lacked the capacity to obstruct the ascent. The B-major Meadow section constitutes the last in a sequence of attempted contrasting tonal areas, but the return at the Pasture section to E♭—the heroic key of the hiker— reinforces the hiker's success up to this stage.

The fact that the overarching exposition fails to establish an EEC in a contrasting key is of central importance to the large-scale dramatic arch. However, in the dynamics of sonata expectation, one might argue that the lack of tonal progression away from E♭ by m. 420

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[162] Hepokoski and Darcy (2006) define the "generically essential tonal purpose" of the exposition as ultimately moving to a secondary key confirmed by a cadence (18). They write, "were that PAC/EEC left unaccomplished . . . the exposition would be an illustration of frustration, nonattainment, or failure. Such a situation is countergeneric. . . . Failure to attain the EEC within the exposition suggests that the entire sonata is threatened with nonclosure in the recapitulation (sonata failure)" (177).

negates the possibility of interpreting a sonata exposition at all. Two principal

counterarguments can help to explain the sonata-dialogic deviations in the Ascent sequence.

First, the rhetorical allusions to a sonata exposition in mm. 74–435 are strategic because they

allow the dramatic interpretation of multiple, potential antagonists that are deflected by the

hiker protagonist. It is precisely the expectation for a shift in tonal and thematic weight to a

secondary theme that Strauss manipulates. In order to construct a dramatic tragedy along the

lines of Freytag's structure, the flouted expectation of a secondary theme and contrasting

tonal area creates the musical environment for the interpretation of a virtual agent—the

hiker—engaged in actions that overcome the ever-greater event obstacles. This triumphant

ascent will ultimately lead toward peripeteia after the summit arrival. Second, there actually

already *has* been a tonal antagonist in *Eine Alpensinfonie*. The B♭ minor of the introduction–

coda frame, which will come back in extraordinary force on the descent, represents the

sublime power of nature and its ability to dominate the hiker persona, whose E♭ major all

but disappears in the stormy descent.

*§3.4.3 First development (weak)*

In Figure 3.5, I label the passage spanning mm. 436–564 (R59.1–76.5) as a "weak

development."[163] Programmatically, this development serves as the primary source of contrast

on the ascent; it includes the section sequence "Wrong Turns through Thickets and Brush–

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[163] Werbeck (1996) initially identifies a development at this stage as well, only to retract the interpretation at

the arrival of the transitional music of mm. 521ff (438).

On the Glacier–Perilous Moments." The introduction of more rapid changes of key as well as fugato treatments of themes represents the volatility of the moments before the arrival at the summit; this follows Freytag's dictate for progressively greater challenges in advance of the climax. The principal functional evidence for a development (see Figure 3.11) at this stage comes at the start of the Wrong Turns section: the Pasture theme begins in *stretto* in m. 436, and moves through a circle-of-fifths progression of keys, E♭–B♭–F. This *stretto* occurs once more after m. 445, importing motives from the Ascent-theme complex ten measures later, thus transferring thematic control from the nature-theme family to the hiker. The key scheme reverses once more, moving by fifths back through A♭–E♭–B♭ until, at m. 471, the metrically shifted head motive of the Ascent theme combines with the Pasture theme in F major. A *Steigerung* involving the Pasture theme leads through a B♭ pedal in m. 480 and a diminished seventh chord in m. 485. The B♭ pedal suggests a return to the key of the hiker, perhaps signaling the successful arrival at the summit is imminent.

At m. 488 (R67.4), the first half of the Mountain theme returns, interpreting the $^{\circ}7$ as a common-tone harmony to shift to B♭ minor, the key of the Night section—the combined references to the nature-dominated introduction–coda frame signal a particularly perilous situation for the hiker. The Mountain theme falters after arriving at G♭ major, when the head motive of the Ascent theme strives to launch in m. 489. Instead, the Woods 1 theme interrupts over D-minor harmony, joined by horn calls as we enter the Glacier section. The constant grappling between hiker themes and nature themes constitutes a virtual representation of the hiker struggling to conquer the mountain terrain. The Woods 1 theme

here is more spontaneous than its initial presentation, sharing similarities with Summit 2 and embodying the influence of the hiker's presence. The metrically shifted Ascent theme arrives in D minor (m. 511 [R70.6]), supported by a °7 harmony, leading to a delayed half cadence in D minor at the onset of the Perilous Moments.

The following section advances the form-functional signals of development: there are no new themes or stable phrase structures, fragmented motives of the primary-theme complex dominate the scene, and the harmony reaches its most unstable point. In particular, the horn-call motive from the Ascent-theme complex reflects developmental tendencies by occurring in several keys, leading through various iterations that collapse into statements of the Ascent theme. The manipulation of numerous fragmented references to the virtual hiker persona (in the form of Ascent-theme complex motives) leverages the rhetoric of sonata-form development in order to present the dramatic intensification at the end of Freytag's rise. When Ascent 3 finally appears in full, it announces the end of the development and the victorious transition into the Summit episode.

*§3.4.4 "At the Summit"*

Summarized in Figure 3.12, the Summit episode involves four important characteristics. First, it heightens the dramatic climax of the moment by attenuating the initial texture and dynamics, saving the apotheosis of the Summit 2 theme for the arrival of C major in m. 603 (R80.5). Second, as described in the opening of this chapter, it enacts the fundamental synthesis of the nature- and hiker-theme families through fictional gestural dialogue. Third,

in my analysis, the Summit episode extends beyond the "At the Summit" section identified in the score, spanning the sections labeled "At the Summit–Vision–Fog Rises–The Sun is Gradually Obscured–Elegy–Calm Before the Storm." And fourth, the entire Summit sequence can be understood in three large parts interrupting the sonata-form process itself: a spiritual thematic apotheosis, a sublime fantasia, and a tragic reentry into sonata space.

In the first stage of the Summit episode, the climactic achievement of arrival "at the summit" might seem deferred. F major enters with grandeur, but the Summit 1 theme is hardly celebratory. Paul Bekker (1921) describes the hesitance of the moment: "The feeling of height does not immediately trigger uninhibited delight. Under the flickering violin tremolo, a softly quivering oboe theme appears; anxiously, it is only able to swing upwards after several attempts" (110).[164] Summit 1 summarizes the transformations of the nature themes throughout the rise sequence: it ascends, but only methodically outlining the tonic triad; its primary motion remains stepwise descent; and it is sentential, combining the "Pastorale" citation in its continuation phase with the cadential phase of the Ascent theme. Having achieved a G pedal in m. 593, the *Steigerung* from *pianissimo* to *fortissimo* reveals the true splendor of the summit: C major, a restatement of the horn perfect fifths and the

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[164] Del Mar interprets not anxiousness but supernatural sublimity: "The effect is weird and unearthly; the climber seems transfixed by the spectacle which greets him on the actual summit. Indeed it is at first scarcely possible to take in the grandeur of the scene for the utter—even appalling—desolation" ([1969] 1986, 115). In the same letter cited in footnote 153 above, Strauss describes this moment as "delighted exhaustion after arrival at the summit" (reproduced in Werbeck 1996, 278).

Mountain theme, and the epiphany of the troping Summit 2 theme in mm. 603ff. Summit 2 appears in *stretto*; rather than *fugato* polyphony signaling the learned style, though, it represents unbridled, vainglorious ecstasy. The Summit 2 theme combines with elements of the Pasture theme in mm. 607–15, executing extreme registral shifts that defy the forces of nature. Awash with a sense of joyful accomplishment, the hiker surveys the natural phenomena that now appear from all directions in a sublime, temporally infinite experience. Despite the musical continuity, narrative time suspends its forward motion at this stage. The apotheosis sequence reaches its height at the glorious PAC in C major at m. 633 (R84.1), after which a combination of the Sun themes and horn calls of the Ascent complex repeats the cadential confirmation of the key of nature. Moreover, the Ascent theme—the principal manifestation of the hiker's subjectivity—is completely absent from the summit sequence. Of course, it stands to reason that music of the Ascent would cease once the protagonist attains the summit, to be replaced by nature themes. But it is of crucial dramatic significance that the expression of individual subjectivity (as represented by the gestures of spontaneity that prevail within the Ascent theme) fades at the summit as the surrounding sublimity of nature enthralls the hiker.

The Vision section that follows At the Summit can appear problematic—tonally as well as formally. The tritonal shift to F♯ minor at its outset (m. 653 [87.5]) has led some analysts (Del Mar [1969] 1986, 116–17; Lee 2019) to identify the start of a formal development. However, a close examination of the thematic structure of the Vision reveals two important features: first, the thematic content of the section exclusively draws on Sun and Summit

material and the open fifths motive, yielding three variants (Vision 1, 2, and 3); and second,

the tonal plan includes keys (C♯ minor throughout, E major in m. 689ff [92.1]) that are

untouched elsewhere in the symphony. The section adheres to Summit themes that are

largely intact and enters a tonal world that highlights the semitonal neighbors to the two

most important keys of the hike so far (E♭–E, C–C♯). These characteristics hardly suggest the

formal functions of development—instead, the strophic disposition of thematic statements

and the otherworldly keys imply a sublime yet playful fantasia. The awe of witnessing natural

beauty, mixed with the joyful experience of accomplishment, manifests in the Vision

sequence as an exuberant dance.

Bekker describes the Vision sequence as "the spiritual fulcrum of the work" (1921, 110).

Del Mar envisions a virtual Strauss, who "has been trying to scan downwards into the far-off

green valleys with his binoculars, but now raises them to the gaunt scenery at eye level"

([1969] 1986, 116). Perhaps most revealing are George Gräner's words, supposedly

sanctioned by the composer:

> The wanderer gets into a frenzy of delight, he is overwhelmed by a dazzling
> vision of the beauty and glory of creation. A tremendously blazing,
> contrapuntally intermingled dervish dance of the most powerful themes of
> the work. . . . This whole part . . . forms the climax, the musically most
> important and most captivating episode of the symphony.[165] (188)

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[165] Gräner wrote the *Erläuterungschrift* for *Eine Alpensinfonie*; these documents are generally considered to be at

least tacitly endorsed by the composer himself. Gräner's suggests that the climax extends from the period when

the climber is "overwhelmed by beauty"—which may well be the short passage at the start of the At the

The subjective climax comes with the entry of the trumpets in m. 682 (see Figure 3.13).

Vision 3 tropes elements of earlier themes while adopting a rhythmic motif that is unique in

the entire symphony, but which clearly relates to the dotted-eighth–sixteenth motif of the

Ascent theme. The principal tonal goal of the Vision sequence is the arrival of the key that

will announce the start of the descent, B♭ minor—the signal of nature's eternal power and

the dark tonality of the introduction–coda frame. After several attempts to relaunch the

Mountain theme in other keys, B♭ minor returns first in m. 702 with the trombone's fifths,

only to succumb to a final statement of the Sun–Summit thematic sequence, returning to C♯

minor and E major. Finally, a complete statement of the Mountain theme in B♭ minor

appears in m. 723 (R96.1), paired with a thoroughly chromatic, *fortississimo* ascending

*Steigerung*. This moment channels Freytag's tragic force, announcing the final phase of the

summit sequence: a tragic retransition in which fog rises, clouds blot out the sun, and a brief

lament signals the inevitable downfall of the protagonist.

The reentry into sonata space primarily employs pictorial music. Ascending flourishes

depict rising fog, recalling the Waterfall music. Short fragments of the Sun theme imitate the

clouds blotting out the sun. Beginning in B♭ minor, the music shifts to the parallel major

before hinting at C♯ minor. The Elegy theme in F♯ minor (mm. 755–65 [R100.1]) is a

reworking of Woods 1, incorporating the dotted-eighth–sixteenth rhythm typical of the

hiker's themes. A string of two-measure units, the theme is structurally troubled, unable to

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Summit section—through the Vision sequence. Recall the discussion above regarding the alignment of the

dramatic and musical events.

achieve a cadence and instead acting like a repetitive dirge that dissolves into illustrative images of the clouds rising further. An attempt to reclaim the F♯ minor of the Vision, this section sees the hiker succumbing to the reality that descent must ensue. The Elegy repeats in D minor, spanning half the distance from F♯ to the target B♭—the major-third tonal move, replicated by the shift to B♭ minor at the close of Calm section, suggests that the nature key of B♭ determines the entirety of the retransition via a large-scale octave division. The Calm section (mm. 790–846 [R103.5]) pairs the Summit 1 theme with elements of the Elegy, bird calls, and the earliest articulations of raindrops. By m. 820 (R106.2), B♭ minor officially returns, established by an accelerated statement of the Night theme. The wind and rain commence—in the form of, respectively, a wind machine as well as *staccato* droplets in the woodwinds and *pizzicato* strings. The rainstorm starts over an F dominant pedal, and the fifteen-measure *Steigerung* drives the music headlong into the Storm sequence signaling the official start of the descent. The entire summit sequence thus concludes; after the hiker's spiritual experience at the summit and the joyful expression of subjectivity in the Vision sequence, the resurgence of the B♭-minor Mountain theme (as a reference to the framing nature music) signals the imminent descent and presages tragic consequences.

*§3.4.5 Second development (strong)*

Beginning in m. 847 (R109.7), the strong second development performs the dramatic task of Freytag's fall: the counter-play (here, performed by nature) governs the descent, representing the most profound antithesis to the protagonist's agency. This development is summarized in

Figure 3.14 and spans the "Thunder and Rainstorm, The Descent" section. Alongside its great length (140 measures, the longest programmatic section) and tonal instability, this development is "strong" because of the simplicity of its message: the counter-play completely obscures any sign of the protagonist, and it does so with the most direct form of musical mimesis. Illustrative storm music—the flutter-tongue winds, arpeggiating rain, rushing strings, wind machine, and full organ—churns throughout the section, not relenting until the PAC in B♭ minor in m. 974 (R127.5). Storm 1 is the principal thematic figure, an inversion of the Ascent theme around $\hat{3}$ that collapses the original form of that theme from a sentential presentation and continuation into a violent, obstreperous downward thrust, as shown in Figure 3.15.[166] That nature has co-opted the central theme associated with the hiker may seem counterintuitive, since Storm 1 features much of the same spontaneity as the original Ascent theme. The effect is a structural and dramatic parallel to the relationship established in the sonata exposition. Just as nature themes arrived and were modified by their interaction with the hiker in the first half, during the strong development nature appropriates and alters the hiker's main theme. Two main modifications appear in Storm 1: first the contour inversion, and second the fact that the calculated, sentential phrase structure of the Ascent theme has been replaced by wild, breathless motion. Moreover, a similar phrase-structural collapse applies to another hiker theme: the Ascent 3 statement in E♭ in mm. 862–66 (R112.1), where the horn calls dissolve into fragments before the stormy

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[166] Ascent 1 employs the scale-degree sequence $\hat{3}$–$\hat{1}$–$\hat{3}$–$\hat{5}$–$\hat{4}$–$\hat{2}$–$\hat{5}$–$\hat{6}$–$\hat{7}$–$\hat{1}$. Storm 1 inverts these scale degrees about $\hat{3}$: $\hat{3}$–$\hat{5}$–$\hat{3}$–$\hat{1}$–$\hat{2}$–$\hat{4}$–$\hat{1}$–$\hat{7}$–$\hat{6}$–$\hat{5}$.

descent returns. Shifting to D minor, the trumpets announce a new version of the Woods 1 theme (Storm 2) in mm. 871–74 (R113a.1), once again sped up and lacking differentiated phrase functions. Variants of the Woods 1 theme persist, a new version appearing in D major in m. 878 against mostly scalar chromatic commotion. Storm effects take over after four measures until a diminution of the Ascent theme's head motive occurs twice in mm. 889–94, implying a shift to C minor. The alternation between Ascent-related themes and Woods-related themes persists, and the undifferentiated phrase structures of both foreground a lack of subjective, human logic.

The descent begins to rehearse some of the narrative of the first half: we reencounter the Pasture theme in E♭ major (mm. 918ff [R119.2]), as well as the original Woods 1 theme in our first secondary key, A♭ major (mm. 930ff [R121.1]). If on the ascent these represented depictions of natural landmarks (namely, a pasture and the entrance into the woods), it stands to reason that their reappearance in the descent suggests the hiker is retracing their steps. But narrative achronies abound, as the protagonist focuses on surviving the stormy descent—although the hiker likely returns on the same mountain path, we do not reencounter all themes of the ascent. The continued dominance of storm effects explains the absence of several of the other expositional nature themes (e.g., Brook, Apparition, Meadow, and Summit themes). Instead we follow the no-longer-meditative psychological state of the hiker, descending rapidly and in distress.[167] The storm effects command the foreground once

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[167] The descent sequence lasts, in performance, roughly half the time of the complete ascent sequence, and it is often even shorter than the events at the summit. The phenomenon known as "foreshortening," in which

more in mm. 944–74 (R123.1), silencing any allusions to the hiker. The tonality returns to

B♭ minor with a massive *fff* arrival-$^6_4$ in m. 950, followed by an augmented statement of

Storm 1. The raindrops slow, the wind stops, and the cadence in m. 974 leads to a *maestoso*

statement of the first half of the Mountain theme, closing the storm in G♭ major. The

mountain hike is over, but the dramatic ending of the descent—with the loudest dynamics

and the most intimidating application of the symphony orchestra in the entire work—leaves

the condition of the hiker a mystery.

The ensuing "Sunset" section functions as a retransition, mimicking the tonal strategy of

that of the summit. Alternating between allusions to the Sun and Elegy themes, the tonality

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musical temporality seems to be compressed for formal or expressive means, is relevant. Martin Geck ([2015]

2017) describes a rhetorical application in the *Adagio* of Beethoven's Ninth Symphony, shortening tonal

transitions to shift "as if by magic" between the keys of the variations (54–55). Temporal manipulations like

compression are, for Jonathan D. Kramer (1988, 166–67), signals of modern art and are especially common in

the film medium. In postmodern music, the technique of foreshortening manifests as structural processes.

Harrison Birtwistle employs foreshortening in his 1986 opera *The Mask of Orpheus*, where, according to David

Beard (2012, 103), the progressive and systematic shortening of dramatic arches "contributes to a sense of

direction towards the musical and dramatic climaxes." Dramatic quickening, and thus intensification, is also at

work in *Eine Alpensinfonie*, as the compressed descent only amplifies the expectation for a triumphant arrival at

flat ground expressed through a jubilant tonic recapitulation. It is further evidenced by the reappearance of

some—but not all—of the subsidiary themes from the ascent, for the hiker's psychological situation during the

perilous descent is squarely trained on surviving the descent and therefore fails to perceive some of the natural

phenomena that offered leisurely scenery on the ascent.

shifts by thirds, from G♭ major through E♭ minor in m. 999 (R131.1) to C♭ major in m. 1012 (R132.1). Throughout the section, the brass propels forward with augmented motives from the Ascent theme's continuation. The fragmented nature of thematic allusions imbues the section with a sense of anxiety—as day transitions to night, the dramatic narrative brims with uncertainty as to the state of the hiker following the harrowing descent.

*§3.4.6 Recapitulation (weak)*

The recapitulation of the symphonic sonata form, charted in Figure 3.16, is reserved for the "Ausklang" section of mm. 1036–130 (R134.1). Signals of recapitulation are fairly conventional: an unequivocal return to the sonata form's tonic, E♭ major; a restatement of important themes; and a PAC functioning as the sonata form's ESC. Yet as Lee (2019) and Youmans (2005) have previously recognized, this recapitulation is nevertheless weak, a last gasp of subjectivity in the face of an overwhelmingly tragic descent. The "Ausklang" section functions as Freytag's force of the last suspense, the hiker's final striving via the sonata's dramatic arrival point. The launch of the recapitulation is already enervated—arriving on a $^6_4$ chord, the solo organ combines elements of the Night, Sun, and Mountain themes, descending in dynamics from *forte* to *pianissimo* over four measures. The brass enters, continuing the descending Sun/Night *Gestalt*, leading to the dominant seventh chord of mm. 1044ff. Finally, E♭ major materializes "in soft ecstasy," as the winds begin a *stretto*

alternation of Summit 2 variants.[168] Here, the ordering is reversed from the Summit

sequence: first, the variant in the winds that includes components of the Pasture theme

occurs in mm. 1047–55, only to be interrupted by the horns stating the original Summit 2

theme. A dominant pedal leads to a PAC in m. 1074 (R138.1). Remaining in E♭, a novel

version of the Ascent/Storm 1 theme in the winds[169] combines with an inverted and

registrally expanded version of the Pasture theme.

Although there are clear hints of the hiker's subjectivity—components of the Ascent

theme, as well as the wide registral leaps of the Summit 2 and Pasture themes—the best

signal of survival would be a victorious complete restatement of the Ascent theme, the

musical embodiment of the hiker's persona and the symbol in the first half of human feats of

dominance over nature. When the head motive of the Ascent theme finally returns in its

original register in m. 1089 (R140.1), it is overridden by an early arrival of its continuation

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[168] One might be inclined retrospectively to reinterpret Summit 2, with its initial statement in D major during

the exposition, as *the* secondary theme because of its initial arrival in tonic at this stage. Lee (2019) and

Hepokoski (1996) at least approach such an interpretation. Although this would, perhaps, rectify the sonata

form on the grounds of the "sonata principle," I find that interpretation wanting for several reasons. As

mentioned momentarily, the Summit 2 theme is not the only theme to return at the recapitulation—the

Pasture theme, which was initially stated in E♭, returns as well and is as prominent as Summit 2. Additionally,

the reprise of the Ascent theme is fragmented and illusory. An interpretation that sees the strength of the

primary theme (as subject) in the first-half exposition—never relinquishing control to a secondary theme or

tonal area—is antithetically paralleled by the weakness of the primary theme and recapitulation at the close.

[169] Compare the scale degrees of this theme to those indicated in footnote 166 above: $\hat{5}$–$\hat{3}$–$\hat{5}$–$\hat{4}$–$\hat{2}$–$\hat{7}$–$\hat{4}$.

along with nature-theme allusions. A second Ascent-theme head motive in the cellos over a dominant pedal leads to the sonata form's ESC in m. 1105 (R142.1). The subsequent twenty-five measures involve reiterations of motives from the same themes, ultimately reverting from the E♭ tonic to the dominant of B♭ in preparation for the coda. Clearly, faults of this recapitulation go beyond its reversed ordering of themes. The sonata form's primary theme returns only in fits, whereas the Summit 2 and Pasture themes abound in the scene. The Summit and Pasture themes represent the strongest nature themes over the first half of the hike, and they arrive prior to the reprise of any themes associated with the hiker. In the case of Summit 2, it constitutes the musical representation of the sublime merging of the hiker and nature at the summit, during which time the natural landscape completely overwhelms the hiker's psychological experience. The dominance of these same themes in the recapitulation, coupled with the sputtering Ascent theme and the coda's co-opting of that same theme, suggest once more that the descent leaves human subjectivity in a state of tragic collapse. The strong tonal reprise that ends the "Ausklang" section represents the best chance for symphonic closure, only itself to yield to the eternal, dark B♭ minor of the introduction–coda frame.

### §3.5. A Sublime, Areligious Music Drama

The central drama of *Eine Alpensinfonie* revolves around the hiker's actions in opposition to the natural phenomena and meteorological events of the day. Pitting the spontaneous gestures of the Ascent theme against the stepwise and triadic music of nature, the two

overarching theme families create a virtual instantiation of this conflict. Broadly, the rise and fall sequences enact the same metaphor on a large-scale formal level: the subjectivity of the sonata form confronts its extrinsic frame and the climactic summit sequence, failing to usurp them. By the close of the symphony, the theme families have converged twice: first, at the summit, when the Summit 2 theme tropes elements of the Ascent and nature themes; and second, during the coda, when the Ascent theme peters out in a B♭-minor denouement. Each case represents an instance of transfiguration. The hiker thus undergoes fundamental metamorphoses through the encounters with nature—the intrepid initial ascent, the sublime summit episode, the fierce stormy descent, the ominous darkness of night, each transforms the hiker's theme while spurring deformations that effect the subjectivity of the sonata form.[170]

The label "drama" is insufficient to account for the overall genre of *Eine Alpensinfonie*. Tragedy may serve as a useful interpretive model. Almén's tragic narrative strategy—the defeat of a transgression by an order-imposing hierarchy—maps onto *Eine Alpensinfonie* well, as the hiker's transgressive ascent ultimately succumbs to the ordered cyclic renewal of nature through the stormy descent and "Ausklang." On the other hand, the drama's climactic Summit sequence foregrounds the immediacy of lived experience. Form and time dissolve at

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[170] Hepokoski describes the conversion within the program of *Eine Alpensinfonie* (as well as that of *Zarathustra*) in sociological terms: "the issue is the shaping of human beings through changing societal forces and the attendant conflicts without which individuality cannot be won" (2003, 115). Of course, in *Eine Alpensinfonie* the forces that shape the human protagonist are principally natural, rather than societal.

the summit. One might be inclined to read *Eine Alpensinfonie* as what Joseph Kerman terms

a "religious drama," described thus: "the nature of the experience is properly religious; the

experience is the main matter of the drama" (2005, 160).[171] Strauss's own remarks in his

diary entry on the date of Mahler's death imply a spiritual conception of nature and

individual evolution: his "Alpine Symphony" would involve "moral purification by means of

one's own strength, liberation through work, [and the] worship of glorious eternal nature."[172]

Wagner's *Tristan und Isolde* is the model—Kerman characterizes *Tristan* as an "opera as

symphonic poem," and in particular a religious drama for its "progress towards a state of

illumination which transcends yearning and pain." Furthermore, the music drama "centers

about the act of conversion" (160–61), namely *Isolde*'s transfiguration. *Eine Alpensinfonie* can

best be understood as a "tone poem as music drama," inverting Kerman's neologism.[173]

As an antimetaphysical, areligious music drama, the determinacy of the hiker persona

and its natural antagonists allow for direct, immediate dramatic conflict. The analogy to

*Tristan* goes beyond the act of conversion. Kerman understands Tristan's progress as a "large

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[171] Werbeck (1996, 184) cites an epilogue to *Eine Alpensinfonie* written by Specht in 1916, in which the latter

argues against the detractors of the symphony, who wanted for more metaphysical "abstract spiritualization."

Specht contends that it was Strauss's intent to focus on the "sensual, vivid realities" that could be experienced

only by solitude at the alpine summit.

[172] The diary entry appears in translation in Kennedy 1999, 175.

[173] Abbate effectively performs the same inversion on Mahler's *Todtenfeier*, inferring operatic narrative voices

and plot by way of march topics in the movement (1996, 119–55).

symmetrical double cycle" (165), mirroring the symmetrical two-part model of *Eine Alpensinfonie* outlined above. Just as "opera must be regarded not as a purely musical form, but as a dramatic one in which music has an articulating function" (171), so too might we view Strauss's tone poem as a dramatic work, one whose musical function certainly involves more than articulation in its adoption of sonata rhetoric and contrasting theme families that enact the drama in music itself. Just as in Act III of Wagner's opera, wherein "the whole dramatic point of the opera depends on Tristan seeing his prior experience in a new mystic light" (174), the "Ausklang" section of *Eine Alpensinfonie* summarizes the dramatic arch of the symphony as a whole: the unending renewal of nature—its beauty, violence, and monumentality—transforms and ultimately quashes the subjective individual.

Of course, Strauss was famously a religious skeptic. His Faustian adventures reflect a reverence for the sublime power of nature that spurred him to apostasy. To craft in music the awesome might of an alpine summit was to write a fundamentally natural, rather than metaphysical, artistic-spiritual text. By considering such a text "sublime," I interpret the fundamental conflict between play and counter-play in Freytag's dramatic structure, a dialectic that only bears fruit because the conflict is inherently asymmetrical. More often than not, nature forces reactions—the hiker rarely acts. Nature and the individual do not, for Strauss, represent equals. Instead, the ever-renewing ubiquity of nature overpowers the subjective metaphysics of the individual. The work itself extends beyond the bounds of a single-movement form. In this case, it productively stretches the definition of sonata form in order to create a symmetrical metaphor for the peak itself. More than a religious drama,

Strauss's *Eine Alpensinfonie* is a dramatic representation of the monumental might he

appreciated in the natural world around him, a world in which he could himself take part.

CHAPTER 4.
INTEGRATION AND MULTI-DIMENSIONALITY IN
SCHOENBERG'S FIRST QUARTET

*Civitas verbi:* artistic wholes and literary systems are, like great cities, complex
environments and areas of integration.

<div align="right">Claudio Guillén (1971, 13)</div>

## §4.1. Circles and Cities: Metaphors of Form and Historical Progression

In his (2013) article, "In Search of Romantic Form," Steven Vande Moortele proposes a

graphic depiction of the lineage of Romantic form as a series of concentric circles,

reminiscent of Carl Dahlhaus's ([1980] 1989) "circumpolar" history of the symphonic genre:

> This multidimensional model [of musical form] might be conceptualized as a
> set of concentric circles, at the centre of which stand the Classical norms and
> conventions casting, as a kind of *prima prattica*, a long shadow across the
> nineteenth century. The outer circles stand for a multifarious *seconda prattica*,
> with every circle representing the normative practice of a different period
> (including a composer's personal practice). With each new generation of
> composers, the canon grows, and a new layer is added to the stack of available
> formal options. For any specific piece, a composer may choose to activate—
> or, perhaps more accurately, the analyst may choose to emphasize—certain
> sets of conventions while ignoring others.[174] (Vande Moortele 2013, 411)

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[174] Vande Moortele cites Seth Monahan (2011a) as well as Dahlhaus ([1980] 1989) in describing this approach

to the history of form. Dahlhaus had previously offered a "circumpolar" model: "the major works cluster about

a midpoint to which they are directly related, with no more than cursory connections to one another" (152–

53). Eric Hogrefe (2019, 325–26) reifies the graphic in his Example 2, recontextualizing Vande Moortele's

model for Gustav Mahler's oeuvre.

The most interior circle in Vande Moortele's conception represents music of the eighteenth century, and the larger circles that surround it stand for various generations of nineteenth-century music followed by the extreme individualism of late-Romantic and post-Romantic music. Vande Moortele suggests that concentric circles model a functional extension and expansion of the genres of Classical music, transcending the boundaries of the eighteenth century into and through Romanticism. The concentric circle model presupposes the resilience of a formal practice, a resilience also proclaimed in the author's 2009 monograph on "two-dimensional sonata form." There, Vande Moortele (2009) touts the "remarkable continuity that spans more than half a century and connects the works of Liszt and Strauss to those of Schoenberg and Zemlinsky" (6). Following his own model, Figure 4.1a summarizes this continuity. Crucially, the concept of two-dimensional sonata form rests upon a basic assumption that is likewise embedded in Vande Moortele's concentric model of historiography: "Musical form is hierarchically organized" (11). It is a goal of this chapter to propose an alternative approach to musical form, one that considers hierarchy a contributing but not determining factor in the construction of large-scale form.

Perhaps unsurprisingly, the concentric circle metaphor is a common one, and it has implied a variety of conceptual entailments. Concepts like inclusion and recursion are implied in the very notion of concentric circles. To demonstrate, let us indulge the concept of the city as a metaphor: a city has a structured government, which also incorporates neighborhoods with structured homeowners' associations, which themselves contain families with heads of household. Likewise, cities exist within states or provinces, within nations,

within cohorts of nations, within a global society. Vande Moortele's imagined representation of Romantic form, like the metaphor of the city, implies a variety of assumptions about the hierarchical and recursive relationships between formal structure and tradition.

In his "Ethical Fragments," the second-century stoic philosopher Hierocles describes relations of the self to society in similar terms (see Figure 4.1b). At the focal point, "the first, indeed, and most proximate circle is that which every one describes about his own mind." It is circumscribed by the body, which is itself inscribed in a circle in which "parents, brothers, wife, and children are arranged" (Hierocles 1822, 106). Wider circles encompass ever broader groups of society, extending outward to all humankind. A person's conduct toward others should reflect an urge "to collect, in a certain respect, the circles, as it were, to one centre, and always to endeavour earnestly to transfer [oneself] from the comprehending circles to the several particulars which they comprehend" (109). Thus, for Hierocles, the concentric model features a pull toward the center as well as an exercise in reaching outward, in community building. Hierocles's metaphor of the centrality of the self implies similar consequences to the conception of Romantic form as radiating out from a central, Classical practice. But his notion of the gravitation of outer rings toward the center,[175] if adapted to

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[175] Brian Hyer (2002, 732) notes a similar gravitational metaphor in Jérôme-Joseph de Momigny's concentric-circle theory of scale degrees: "when Momigny likens the arrangement of scale degrees around the tonic to the orbits of planets around the sun, he equates the tonic with the gravitational center of the solar system but also conceptualizes the entire arrangement as a series of concentric circles."

Vande Moortele's model, would imply a potent organizing influence for Classical form over its Romantic counterpart, not unlike that of Ludwig van Beethoven's Ninth Symphony.

Nearly two millennia later, the North American sociologist Ernest W. Burgess ([1925] 1967) merges the metaphors of circles and cities described above, writing that the expansion of American cities "can best be illustrated, perhaps, by a series of concentric circles, which may be numbered to designate both the successive zones of urban extension and the types of areas differentiated in the process of expansion" (50). As indicated in Figure 4.1c, Burgess notes two tendencies: first, that of "each inner zone to extend its area by the invasion of the next outer zone"; and second, that of the competing forces of concentration at the downtown and decentralization to the suburbs (52). The concentric zone model of urban development thus carries notions of extension and expansion but also of delimitation, centralization, and dissociation.[176]

Although devised in relation to Chicago, New York, and Philadelphia, Burgess's scheme can also approximate the impact of the Ringstrasse in Vienna during the Austro-Hungarian Empire. Spurred by a surging city population (Schorske 1980, 25), the sixty-meter-wide boulevard, the construction of which was completed in 1870, effectively defined an internal

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[176] In articulating the history of common-practice tonality, Daniel Harrison (2016, 8–11, 40ff) has employed a similar metaphor, in which city walls delimit boundaries, walls are torn down for expansion, and suburbs depend on the central city for services.

old city while also increasing transit between the center and the suburbs.[177] It also stood as an

icon of the capitalism, secularism, and liberalism that dominated the Empire at the time

(26–27, 45). In the fin-de-siècle years that followed, however, the Ringstrasse would be

interrogated along multiple lines: Camillo Sitte critiqued it as emblematic of a "heartless

utilitarian rationalism" that lacked ties to spirituality (62–72), whereas Otto Wagner

(anticipating Adolf Loos's concern for functionality) lamented its overly ornate buildings

that impeded a more efficient flow of transportation (72–74).

Applying the city metaphor as well in notes to a lecture on his First String Quartet, op.

7, Arnold Schoenberg ([1935] 2016) directly associates the historical development that

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[177] Allan Janik and Stephen Toulmin (1973, 41–42) articulate the effect of the construction of the Ringstrasse

during Emperor Francis Joseph's reign. The boulevard itself became a monument, lined by the construction of

new museums and palaces. The monumentality of the Ringstrasse was, for Carl Schorske (1980, 31), of a

different variety than that of the city center:

> The inner city was dominated architecturally by the symbols of the first and second estates:
> the Baroque Hofburg, residence of the emperor; the elegant palais of the aristocracy. . . . In
> the new Ringstrasse development, the third estate celebrated in architecture the triumph of
> constitutional *Recht* over imperial *Macht*, of secular culture over religious faith. Not palaces,
> garrisons, and churches, but centers of constitutional government and higher culture
> dominated the Ring. The art of building, used in the old city to express aristocratic grandeur
> and ecclesiastical pomp, now became the communal property of the citizenry, expressing the
> various aspects of the bourgeois cultural ideal in a series of so-called *Prachtbauten* (buildings
> of splendor).

The city population and city limits were quickly expanding, and Joseph Leo Koerner (2016, 27) describes the

impact on commuting: "However one understood it, the boulevard—dubbed the Ringstrasse or the Ring—

became central to how the city would be lived. Going 'to town' meant travelling from one of the outer districts

across the Ring's ceaseless flow to Vienna's centre."

preceded his early compositions with the contemporaneous evolution of cities like his own home, Vienna. Schoenberg planned to begin the lecture with a discussion of "development," principally that of large cities and their populations, a byproduct of which was "large concert halls" and "high fees." Indeed, the Musikverein was built near the Ringstrasse just a few years before the composer was born and has a capacity of over two thousand audience members, making it the largest concert hall in the Austro-Hungarian Empire at the time of its construction. Schoenberg notes a byproduct of this physical urban development: an "aim for monumentalism." He compares this to monumentalism in music, including J. S. Bach's *Matthäus-Passion* and *Die Kunst der Fuge*, Beethoven's Ninth Symphony and the op. 131 String Quartet, as well as more recent works by Anton Bruckner, Franz Liszt, Gustav Mahler, and Richard Strauss, many of which were cast in a single movement (Schoenberg [1935] 2016, 157). What might have motivated Schoenberg to connect development, urbanity, and musical "monumentalism"?

Perhaps Schoenberg had in mind the hustle and bustle of the artistic and intellectual hub that Vienna had become by the early twentieth century. Holly Watkins (2011) describes the fin-de-siècle urbanization of Vienna alongside the psychological effects, as articulated by Georg Simmel, that it had on its citizenry. For Simmel ([1903] 2013), the cityscape featured an "*intensification of nervous stimulation* that results from the swift and uninterrupted change of outer and inner stimuli" (25; emphasis original), forcing inhabitants to exist at a "heightened level of consciousness in order to keep up with constant sensory bombardment and an accelerated pace of movement" (Watkins 2011, 197). Watkins cites Ernst Décsey to

argue that the effect on Schoenberg was provocative: "far from retreating to a protected inner sphere, Schoenberg composed in a 'virtual frenzy of confession'" (200). Schoenberg's early atonal works reflect Viennese urban development in part by their "unrelenting flux," their shifting tempi and nervousness. He connects his own maximalist compositions to those of Bruckner, Mahler, and Strauss along these very lines: "much of [the] extension in my own works was the result of a desire, common to all my predecessors and contemporaries, to express every character and mood in a broad manner" ([1949a] 2016, 165). This trait of early modern Vienna resulted in the *Nervenkunst* artistic movement, an inscription in craft of the heightened consciousness of daily life.[178] But Schoenberg also associated some of his early works, including his First Quartet, with prior and contemporaneous maximalist music, which he linked with the broader trends of the development of the city, its population, and its monumental infrastructure. While describing the Chamber Symphony no. 1, op. 9 (1906), and later works in 1949, Schoenberg ([1949a] 2016) would demonstrate an about-face along the lines of Loos's anti-ornamentalism:

> Students of my works will recognize how in my career the tendency to condense has gradually changed my entire style of composition; how, by renouncing repetitions, sequences, and elaboration, I finally arrived at a style of concision and brevity, in which every technical or structural necessity was carried out without unnecessary extension, in which every single unit is

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[178] For a discussion of the contemporaneous sense of *Nervenkunst* in turn-of-the-century Vienna, see Kristiansen 2002, especially 693–94.

supposed to be functional.[179] (166)

Yet fifteen years earlier, Schoenberg was still connecting the First Quartet to the expanding city and the maximalist works of his peers. Furthermore, the emotionally volatile private program that he drafted in 1904 offers evidence from the period of the work's composition for Schoenberg's interest in the experience of Viennese life at the dawn of the twentieth century. The influences of the *Nervenkunst*, the growing metropolis, and the trend to write musical works of great length all remained important factors in Schoenberg's composition of the op. 7 Quartet.

In articulating a theory of literature and genre, Claudio Guillén (1971) too makes use of the city metaphor. The epigraph to this chapter demonstrates a markedly different model of urbanity from that of Burgess, one dependent upon "complex environments" and especially "integration." Guillén's literary theory builds on the metaphor of genres as institutions articulated in Chapter 1. Literary systems (represented as cities in this analogy) involve complex interactions between literary genres (as institutions). The historical development of genres, like institutions, reflects identity through change, whereby the institution replicates and reifies its norms and principles while simultaneously adapting to its environment. The historical development of systems, featuring a limited number of institutionally resilient genres, involves assimilation and the absorption of change and innovation over time. Like a

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[179] Schoenberg expresses his views of the Chamber Symphony in somewhat conflicting terms, as both "the beginning of [the] slowly growing process" that would lead to his mature, concise style, and simultaneously "a real turning-point of my career in this respect" ([1949a] 2016, 166).

city, the system undergoes constant compromise between the (institutional) norms and principles of multiple genres. Integration of genres is not expansive, recursive, or gravitational—genres exist at the same level within the system. This flattened model, resisting hierarchy as a necessary component (at least at the system level), foregrounds interactions themselves in a manner that looks ahead to Bruno Latour's Actor-Network Theory and its effort to "dissolve the micro- macro- distinction that has plagued social theory from its inception" (1996, 5).[180] Following Guillén, we might retain Vande Moortele's concentric circle model for the historical development of a single form-as-genre, but it would be overly simplistic as regards "musical form" as a whole. Especially in the late-nineteenth and early-twentieth centuries, generic interactions problematize forms-as-genres. Multiple network-like interactions are possible within a system of genres. They create what Guillén terms "structures," "the interrelations (of significant dependence) between constituent units," where the units are genres (1971, 12). Because form is constitutive of genre, a form has the capacity to integrate several genres that co-exist within a system, creating new structures.

Two-dimensional sonata form is one manifestation of a generic structure (in the sense Guillén establishes) based on the fusion of a single-movement form and a multi-movement form. Instead of a theory of expanding concentric circles that depends upon hierarchy, recursion, and historical continuity, the metaphor of an integrated network of systemic interactions proves more appropriate for discussing Romantic and post-Romantic form,

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[180] Adaptations of Actor-Network Theory in the context of music history can be found in Piekut 2011 and 2014, and Drott 2013.

because it allows for a variety of complex interactions between many genres and forms. This chapter addresses the network of forms at play in Schoenberg's op. 7. First, I problematize the link between musical form and hierarchy upon which Vande Moortele insists, drawing instead on notions of embedded forms from literary theory. In order to focus the discussion on op. 7, I offer a summary of the program and prior analyses, highlighting the central points of contention between analysts. I conclude the chapter with an analysis of the large-scale form of the Quartet, offering a novel reading inspired by the writings of Hans Keller. The system/city metaphor is central to the interpretive conclusions from that analysis and in modeling the *Nervenkunst* mentality as well as the monumentalism that features in the development of Schoenberg's maximalist music. As Hans Keller quips: "all good works are in more than one form; a single form is always boring" ([1974a] 1999, 15).

### §4.2. 2D Sonata Form and the Concept of Embedded Forms

In order to demonstrate the utility of a system-network approach to form and genre in maximalist music, let us begin with a theoretical discussion of Vande Moortele's (2009) model of two-dimensional sonata form, focusing on the assumption that "musical form is hierarchically organized." Two-dimensional sonata form (hereafter, 2D sonata form), as defined by Vande Moortele, involves "the combination of the movements of a sonata cycle and the sections of a sonata form at the same hierarchical level of a single-movement

composition" (23).[181] The prototype is Liszt's B-minor Sonata, S. 178 (1854). As shown in the diagram reproduced in Figure 4.2, Vande Moortele argues that "the first movement of the sonata cycle (the local sonata form) coincides with the introduction and the exposition of the overarching sonata form. The recapitulation and the coda of the overarching sonata form coincide with the scherzo and the finale in the dimension of the cycle" (24). These are "double-functional" components of the 2D sonata form, to borrow William Newman's ([1969] 1983, 131) term—they have roles in both the "dimension of the form" and the "dimension of the cycle." The development of the overarching sonata form and the slow movement of the sonata cycle evidently only function in their own dimensions, as indicated by the slashes in the corresponding parts of the diagram; Vande Moortele terms the former an "exocyclic unit," the latter an "interpolated movement" (2009, 25–26).

The interaction between the dimension of the cycle and the dimension of the form is hierarchically complex. There is a "high frequency of complex interactions between different levels of formal hierarchy" in 2D sonata form: "elements of a single-movement sonata form and elements of a multi-movement sonata cycle, which normally operate at different hierarchical levels, reside at one and the same hierarchical level" (14). Yet since each dimension presupposes its own hierarchy—a "complete" cyclic hierarchy and an "incomplete" overarching sonata-form hierarchy—Vande Moortele asserts that there is an

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[181] Vande Moortele provides a careful account of his choice of terminology (2009, 28–31). Benedict Taylor has written extensively on the conceptual problems associated with the terms "cyclic form" and "sonata cycle." See especially Taylor 2011, 6–18.

oblique relationship between the two dimensions: "A cycle in the complete hierarchy is a form in the incomplete hierarchy, while a form in the complete hierarchy is a section in the incomplete one," and so on (21). This process of "identification," which corresponds to Newman's "double function," necessitates a hierarchical relationship between three components: the overarching sonata form, which provides the large-scale organization for the sonata cycle, which includes the local sonata form.

In place of this hierarchical conception, the interactions between single-movement form and sonata cycle can be modeled as generic mixture. Especially in the late-nineteenth and early-twentieth centuries, large-scale form in symphonic works had various generically available options: the sonata cycle was indeed one of them, but so were the single-movement forms of symphonic poems (which were as often sonata-dialogic as they were rondo-dialogic). As presented by Vande Moortele, 2D sonata form (as a formal model) suffers from three principal shortcomings. First, the model depends too heavily on the Lisztian prototype, ascribing to it what Monahan, speaking more generally, terms a "direct, disproportionate, and undiminished influence" (2011a, 40n30). It therefore privileges Liszt's approach in the B-minor sonata over other precursors (especially Franz Schubert's "Wanderer" Fantasy, D. 760, and Robert Schumann's Fourth Symphony, op. 120).[182] Second, the model is needlessly

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[182] Walter Frisch contrasts these works (along with Beethoven's opp. 27 and 131) with Liszt's B-minor Sonata: in them, "the traditional movement types, although readily distinguishable, are run together without pause or are connected by transitional passages" (1988, 289). Schoenberg describes the op. 7 Quartet in comparable

specific, insisting that the single-movement form that mirrors the overarching form must be a sonata. Third, the 2D sonata form model is simultaneously too general, associating within the same formal category works that are completely "double functional" with those that (almost) entirely lack multi-dimensional identification.

Vande Moortele's classification of all these works as 2D sonata form interprets the works through the lens of organicist recursion. Consider, for example, Vande Moortele's discussion of analogies between different hierarchical levels (2009, 17–20). Drawing on A. B. Marx and Hugo Riemann, he suggests that abstract homologies exist between, at the macro level, the three-section sonata (exposition–development–recapitulation) and the three-or-four-movement sonata cycle (first movement–interior movement[s]–finale). Vande Moortele then zooms in, articulating a cognate relationship that he terms "self-evident" between the (now) four-section sonata (exposition–development–recapitulation–coda) and the four-part sonata exposition (main theme group–transition–subordinate theme group–closing group). This discussion, in which Vande Moortele does offer some counterarguments to Marx and Riemann,[183] nevertheless demonstrates his interest in the possible recursive relationships that one might articulate between the local sonata form, its component parts, and the overarching

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terms: "The four parts that are treated separately in the following analysis are not in fact four movements separated by pauses, but, rather, sections that overlap with each other" ([1907] 2016, 154).

[183] For instance, he acknowledges the risk of "over-reduction" when one extrapolates analogous relationships between various levels of hierarchy (19), and he recognizes that analogies between, e.g., the exposition and the main theme tend to be vague and often rely primarily on "their position within the larger formal unit" (20).

sonata cycle. While these recursive possibilities do exist, the two quartets of interest in this chapter—Schoenberg's op. 7 and Alexander von Zemlinsky's op.15—are better interpreted along the lines of a network of generic interactions, because the double functionality of the sonata in each work does not materialize (as discussed later in this chapter).

Michael Cherlin (2007) takes the recursive model to an extreme dimension in his formal analysis of Schoenberg's First Quartet. Noting that the work can be considered in four movements which he groups in two halves, Cherlin concentrates on the relationships internal to each movement. All four movements are divisible into three-part forms, the units of which themselves comprise three parts: "in each case the resultant is a miniature version of the larger three-part form."[184] Cherlin even identifies the opening twenty-nine measures of the Quartet as "a miniature sonata exposition," (168) thus realizing the possible recursive relation between the three-part main theme, the three-part exposition, and the three-part forms that define each of the four movements of the Quartet. The recursion is tenuous, though; the fact that these various hierarchically related formal units are all divisible into three parts (calling to mind Caplin's abstract beginning-middle-end paradigm) remains the

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[184] Carl Dahlhaus (1988, 209–10) also attempts to read extreme recursion into the op. 7 Quartet, viewing the large-scale sonata exposition as itself not a sonata form but in fact a four-movement cycle. The local sonata spans the first 96 measures, in Dahlhaus's account. Dika Newlin ([1947] 1978, 227–28), Jim Samson (1977, 96–97), and Heinrich Helge Hattesen (1990, 221–22) also view the primary-theme complex as a sonata-form in miniature.

principal motivation to relate them in an analogy that is far too abstract to bear much significance on an interpretation of the piece.

I propose an alternative framework for envisioning the relationship at the macroformal level between single-movement form and cycle. This framework draws on literary scholarship regarding narrative levels and hierarchy. I consider the interactions between form and cycle to engage in recursive hierarchy as one option among several. The single-movement/multi-movement generic structure might imply a single-movement form that is hierarchically subordinate to a multi-movement cycle or overarching form. But, akin to the notions of generic hybridity and Bakhtinian absorption, there is a host of other options: the single-movement form and multi-movement cycle might combine to create a large-scale formal hybrid; the single-movement form might act like a primary genre, embedded within a secondary genre but not necessarily in a recursive relationship to the overall form; or parts of the cycle and/or parts of the single-movement form might be engaged in double functionality across multiple dimensions while others are not. Rather than assuming that 2D sonata form explains the single-movement/multi-movement generic structures that followed after Liszt, we can consider 2D sonata form one possible hierarchically dependent way of organizing the interaction between multiple dimensions. At the level of large-scale form, this hierarchical dependence is not, however, entailed by such interactions.

To begin to explore the variety of relationships between single-movement form and multi-movement cycle, first consider the concept of "mise en abyme," the representation of an artwork within the same or similar artwork. Traditionally, mise en abyme has referred to

recursive structures: for example, the tantalizingly recursive literary hall of mirrors proposed

by Miguel de Cervantes in *Don Quixote*, in which the character, Don Quixote, becomes a

reader himself of the text in which he takes part, thus initiating an infinite series of Dons

reading *Dons* about Dons. André Gide ([1893] 1947, 30–31) coined the term, defining it

through self-reflexivity: "In a work of art I rather like to find transposed, on the scale of the

characters, the very subject of that work. Nothing throws a clearer light upon it or more

surely establishes the proportions of the whole."[185] In a monograph dedicated to mise en

abyme, Lucien Dällenbach ([1977] 1989) distinguishes between the "simple" reflection

described by Gide and the "infinite" reflection of *Don Quixote* (24). One could conceivably

view the relationship between local and overarching form in 2D sonata form along the lines

of simple reflection: the local sonata reflects and projects itself onto the overarching sonata.

For Gérard Genette ([1972] 1980), mise en abyme in literature is a question of

"narrative levels." Genette first delineates a relationship between "narration" and the

"narrated": "*any event a narrative recounts is at a diegetic level immediately higher than the level

at which the narrating act producing this narrative is placed*" (228; emphasis original).[186] Any

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[185] Translated by Justin O'Brien from the original French: "J'aime assez qu'en une oeuvre d'art, on retrouve

ainsi transposé, à l'échelle des personnages, le sujet même de cette oeuvre. Rien ne l'éclaire mieux et n'établit

plus sûrement toutes les proportions de l'ensemble."

[186] Genette proposes and expounds upon his various levels: the "intradiegetic" level of the primary narrative

itself and the "extradiegetic" level of the narrating instance of that primary narrative, the "diegetic" level. If a

secondary, embedded narrative exists, it does so at a "metadiegetic level" (228). Note that, for Genette, "higher"

interactions between these levels can be grouped, according to Genette, by their function; relationships may be "explanatory," whereby a "direct causality" exists between, e.g., the main narrative and an embedded narrative; "thematic," whereby a contrast or analogy exists between components of different levels; or "narrational," whereby an act of narrating itself functions in the main narrative, usually by obstruction or distraction (232–33).

Genette situates mise en abyme as an "extreme form" of the thematic functional relationship. Dällenbach's account of the technique accords with Genette's: he argues that a basic property of the phenomenon is "an analogy between an utterance and an aspect of the narrative" ([1977] 1989, 46). The analogy need not be literal—Dällenbach allows for abstract relationships including "resemblance, comparison, parallel, relation, and coincidence," as well as words with double meaning, and repetition of characters or text. As Patricia M. Lawlor puts it, "what is reflected [in mise en abyme] is not images or even words, but *language in process*" (1985, 144; emphasis original). The concept of mise en abyme represents a theoretical metaphor that can be applied to the situation of an artwork containing a miniature of itself, where the relationship between the overall form and the miniature is construed in terms of abstract similarity.

The notion of mise en abyme and the theory of functional relationships between narrative levels yield a fresh perspective on the interactions between hierarchical levels in

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narrative levels are those that are more embedded, which reverses the usual musical metaphor for higher and lower levels—his hierarchy extends from the highest level, the metadiegetic, to the lowest level, the extradiegetic.

musical form. We can understand the recursive nature of mise en abyme as analogous to that

of formal function, while also acknowledging that mise en abyme represents only one of

several functional possibilities. Standard models of musical recursion identify abstract

similarities between different levels, which often serves as evidence of a work's organic

nature. In Cherlin's model of Schoenberg's op. 7, for example, we might reinterpret the

tripartite recursion paradigm as an instance of form-functional mise en abyme across several

levels. The isomorphic relationships between sonata cycle, sonata form, exposition, and

primary theme embody the same reflexive property, evoking for Cherlin notions of

"symmetry, hierarchy, and stability" (2007, 170). The notion of simple mise en abyme

similarly features a single, isolated structure (in essence, Bakhtin's primary genre) subsumed

within a larger structure (Bakhtin's secondary genre) that it mirrors, while one can infer

further correspondences between the component parts of each structure. Likewise, the theory

of narrative levels outlined by Genette prioritizes the numerous possible functional

relationships between distinct components of different levels, expressing some resemblances

to efforts in music theory to explore recursion.

Responding primarily to the work of Dällenbach and Genette, Mieke Bal generalizes the

notion of mise en abyme as "any *sign*, having as its *signified* a relevant and continuous aspect

of the text, narrative, or story that it *signifies* by means of similarity, once or multiple times"

(1978, 123).[187] Her important contribution is to acknowledge that, while mise en abyme "must form an isolable whole, constituting an interruption, or at least a temporal shift, in the story,"[188] a relationship of "iconicity" (in the Peircian sense[189]) need not depend upon an interruption of the overall narrative by an "isolable whole." In other words, interactions between narrative levels come in a variety of types, not merely the recursive relations between a large-scale form and its embedded miniature.

Bal develops a theory of embedded narratives that differs from Dällenbach and Genette in other important ways. For embedding to occur, three characteristics are necessary: "insertion," whereby the embedded narrative is distinguished by some perceptible transition from the primary narrative into the embedded one; "subordination," a hierarchical distinction between narrative levels; and "homogeneity," whereby "the embedded units must be members of the same class" as the primary narrative (1981, 43–44). However, she makes an important concession on the concept of subordination. Narratives at different levels can

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[187] "[E]st mise en abyme tout *signe* ayant pour *référent* un aspect pertinent et continu du texte, du récit ou de l'histoire qu'il *signifie*, au moyen d'une ressemblance, une fois ou plusieurs fois." All translations are my own unless otherwise specified.

[188] "Si la mise en abyme a en commun avec l'icône son statut de *signe qui signifie par ressemblance*, elle en diffère peut-être par sa forme. La mise en abyme doit former un tout isolable, constituant une interruption, ou, pour le mois, un changement temporaire dans le récit" (Bal 1978, 124).

[189] For Charles Sanders Peirce, "an *icon* is a sign which refers to the Object that it denotes merely by virtue of characters of its own, and which it possesses, just the same, whether any such Object actually exists or not" (Peirce [1940] 1955, 102; emphasis original).

be related by "juxtaposition," in which no subordinate relationship exists between parallel phenomena of the same class. While an embedded narrative requires that a "narrative object" become "the subject of the following level" (45), no such double function is required of juxtaposed narratives.

Elsewhere, Bal contends that embedded narratives are only capable of two functional relationships to the primary narrative, or "fabula": either they explain them, or they resemble them ([1985] 2017, 53). As it does for Genette, the degree of resemblance exists on a spectrum, whereby the two narratives "can be paraphrased in such a way that the summaries have one or more striking elements in common" (55). A subcategory of embedded narratives is the "mirror-text": "An embedded text that presents a story that . . . resembles the primary fabula may be taken as a sign of the primary fabula. This phenomenon is comparable to infinite regress. I use the term 'mirror-text' for this" (55). This sign-signified relationship between embedded and primary narrative is not dependent upon the completeness or discreteness of the embedded narrative. Furthermore, how the embedded narrative is situated within the primary narrative can influence its function:

> When the mirror-text occurs near the beginning, the reader may, on the basis of the mirror-text, predict the end of the primary fabula. . . . When a mirror-text has been added more towards the end of the primary text, suspense presents itself less emphatically. The course of the fabula is then largely familiar, and the function of the mirror-text is no longer predictive, but retrospective. A simple repetition of the primary fabula in a mirror-text would not be as interesting. Its function is mostly to enhance or inflect significance. (57)

Clearly, the possible signifying relationships between primary and embedded narratives—and analogously between single-movement and cyclic forms—are numerous.

Functional relationships between embedded and primary narratives, as well as the principles that permit embedding or juxtaposition, are useful tools in accounting for the formal and generic complexity of a modernist musical work. In Vande Moortele's theory, the preference for a hierarchical model of form prevents one from acknowledging the possibility of two juxtaposed forms, the single-movement sonata and the multi-movement cycle, working in parallel at the level of large-scale generic interactions. This is because Vande Moortele defines his theory around a corpus of works espousing a similar structural principle: "every two-dimensional sonata form discussed in this book begins as if it were a one-dimensional sonata form" (2009, 27). In other words, all of the works cast in 2D sonata form include some degree of identification between the exposition of the sonata form and the opening of the sonata cycle. To account for a situation in which the sonata form does not participate in identification with part of the sonata cycle, Vande Moortele would have to consider the local sonata form an "exocyclic unit," even while it is the movement that launches the cycle. Judith Ofcarcik (2020) has offered a preliminary approach to parallel musical event sequences in the context of musical narrative. In her account, moments of disjunction are particularly important, as they prime the listener to imagine a narrative shuttling from one strand to another. Her foray into multi-strand narrative in music also accounts for associative interactions between distinct narratives as well as embedded strands. As she writes, "the hermeneutic point of this structure is the multiplicity itself, the idea that the meaning cannot be contained in a single plot" ([1.4]). Ofcarcik's work in narrative is

motivated by a pluralist mindset not unlike the one I bring to bear in accounting for large-scale generic interactions.

My approach to cyclic form draws from Bal, Genette, and Dällenbach, and the competing notions of mise en abyme, narrative levels, and generic juxtaposition. By way of deconstructing Vande Moortele's 2D sonata form, I argue that the circumpolar model privileges embedding, continuity, and mirroring, but only for the local sonata form, at the expense of alternative intralevel possibilities. In nearly every case, Vande Moortele's 2D sonata form involves the identification of a local sonata form in the overarching sonata form (usually as an exposition and development, where the local recapitulation is often interpreted as a false recapitulation in the overarching development).[190] This presupposes that the local sonata necessarily serves a double function—a requirement that Vande Moortele universally expects in his monograph (perhaps indicating an over-reliance on Liszt's B-minor Sonata as the generic prototype, as noted above). It also requires that the local sonata form be an isolable whole, for the complete sequence of the local sonata is understood to proceed uninterrupted.

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[190] The one true exception is Vande Moortele's interpretation of Liszt's symphonic poem, *Tasso*. That work, he writes, "lacks a local sonata form" (2009, 69). Yet that assertion actually reveals further evidence of Vande Moortele's narrow view of the 2D sonata form genre, since he goes on to imply that, were there a local sonata form, it would have only been possible "in the portion of the overarching sonata form that precedes the first interior movement."

Of course, one could imagine a two-dimensional large-scale form wherein the overarching form is ternary, rondo, or another large-scale form, or where that form is itself interrupted by interpolation. Alongside the alternative options for overarching forms, the possibilities for recursion and double functionality are likewise generic options, rather than explicit requirements, in devising a single-movement/multi-movement generic structure. Figure 4.3 demonstrates a hypothetical 2D rondo form, in which the rondo finale serves a double function as the final refrain of an overarching seven-part rondo. The local rondo serves as the mirror-text, arriving at the close to provide something of a summary and recontextualization of past events. The first-movement sonata could—but need not—serve a double function at the level of the form. In this hypothetical, it functions as the first refrain–episode–refrain paradigm in the large-scale rondo dimension. Moreover, one can imagine a two-dimensional form in which the local sonata form, the first movement, is "interpolated" after, e.g., a slow introduction and before the dimension of the form officially launches. This construct, offered in Figure 4.4, is possible because of the leniency with which Vande Moortele defines interpolation. A comparable situation arises in Mahler's Eighth Symphony. A complete first movement—indicated as such and separated from the remainder of the work—occurs in Part 1 of the Symphony. Subsequently, Part 2 comprises candidates for the remaining three movements of the sonata cycle and has also been analyzed (de la Grange 1999) as an overarching sonata form.

There is thus no logical support for the contention that two-dimensional, cyclic forms are dependent upon a mirroring relationship between the local sonata form and the

overarching form. Moreover, the empirical support for a sustained practice of mirroring between a local and overarching sonata form (as offered in Vande Moortele's analytical demonstrations) is suspect because of the stark differences between, e.g., the Lisztian 2D sonata forms and those by Schoenberg and Zemlinsky. If we abandon the assumption that the local sonata must necessarily serve as the first part of the overarching sonata, then we can entirely do away with the notion of first-movement form, viewing the exposition of the overarching sonata as just that: an exposition. Then, it becomes possible to imagine a large-scale form that employs not two hierarchical dimensions but two *parallel* dimensions in juxtaposition: that of the overarching form and that of the cycle. Figure 4.5 offers a model for such a form. The hypothetical movement is, at its most abstract, a large-scale sonata form, and the slow movement, scherzo, and rondo finale are all interpolated between sonata formal functions, never entering into a double functional relationship of identification.

An example of the formal situation in Figure 4.5 occurs in Zemlinsky's Second String Quartet, op. 15 (1915), which Vande Moortele considers to be in the lineage of 2D sonata form. As he acknowledges, the piece is quite unlike the 2D sonata form model exemplified in the B-minor Sonata. Aside from the exposition, Vande Moortele contends that no other component of the overarching form engages in a double-functional relationship across the hierarchical levels of the form and the cycle. Following Horst Weber and Werner Loll, Vande Moortele views the exposition of the overarching sonata form as a local sonata form. The explanation is, however, unsatisfactory: although "arguments abound for an interpretation of mm. 1–179 as a local sonata form" (183), he provides only two. First,

Vande Moortele claims that the main theme group (mm. 11–39) of the exposition at the

level of the cycle presents "the outlines of a complete sonata-form exposition" at the level of

the form, in effect suggesting a simple mise en abyme relationship. Second, he argues that,

although the overarching sonata form's exposition presents a "highly unusual" tonal contrast

between the main theme (D minor) and the subordinate theme (D major), it "becomes less

idiosyncratic if it is not regarded exclusively as that between a main and subordinate theme,

but also as that between a recapitulation and exposition" (184).[191]

Thus, the relationship between mm. 1–49 (R0.1–6.2[192]) and 105–60 (R14.1–19.5) is

central to Vande Moortele's claim of identification between the overarching sonata form's

exposition and a putative local sonata form. Interestingly, Vande Moortele backtracks here:

"to be sure, the subordinate theme itself (mm. 123–160) cannot possibly be regarded as a

thematic recapitulation" (184). Indeed, mm. 123–60 (R16.1) constitute essentially new

music, sharing no thematic content with the main theme of the local sonata. His explanation

depends on what he terms the "motto theme," an introductory module that spans mm. 1–10

of the Quartet, shown in Figure 4.6a: "The effect of a thematic return in the dimension of

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[191] As argued in Chapter 2 of this dissertation, a tendency toward modal contrast and away from tonal contrast

became an ever more present feature of early modernist sonata forms, especially those of Mahler.

[192] For the Zemlinsky Quartet, I refer to measure numbers in the 1943 Universal Edition of the score.

Rehearsal numbers are added in parentheses, where R6.2 means the second measure after rehearsal number 6 in

that score edition. The rehearsal number designations will typically refer to the first measure only of an

indicated span of music.

the cycle is, however, realized not by the subordinate theme itself, but by a restatement of the motto theme at pitch that immediately precedes it" (184). Compare mm. 105–22 in Figure 4.6b. Note especially his claim for the "effect of thematic return"— a fundamentally rhetorical argument, because Vande Moortele contends that, despite the lack of primary theme restatement, the motto theme itself is sufficient to evoke a sense of recapitulation. He goes on to identify a "quasi-identical" relationship between mm. 105–9 and 3–4 but fails to note their contrasting textures.[193] No doubt, these sections are related, but the argument for the rhetoric of sonata recapitulation at this stage seems to strain credulity. In order to associate Zemlinsky's Quartet with the other works described in the monograph, the local sonata form needs to be interpreted along the lines described above: as a first-movement form that, in every case, is complete, closed, and double-functional (along the lines of Bal's isolable mirror-text). Furthermore, Vande Moortele notes that no identification occurs with any of the subsequent cyclic movements. The slow movement and scherzo are interpolated between the overarching sonata's development and recapitulation, and the finale separates

[193] In a footnote (2009, 193n7), Vande Moortele does comment on the augmented note values. The striking difference in texture is not, however, mentioned. While the music certainly "refers back" to the opening motto theme, is that reference alone sufficient for rhetorical recapitulation? Hepokoski and Darcy (2006, 482) describe a sort of "wild card" motto figure "an often rotationally inert card that may be placed onto the sonata-table at any number of later occasions, turning up, so to speak, at nearly every available opportunity," which functions in the Type-5 sonata. A similar role might obtain here: the motto theme could be said to serve an initiatory function in an abstract sense, rather than serving as an anacrustic $P^{1.0}$ that is necessarily linked to primary-theme function.

the overarching sonata's recapitulation from its coda (185). Thus, following Vande Moortele's stipulations, op. 15 is only an example of 2D sonata form because its exposition at the dimension of the form also functions as a first movement at the dimension of the cycle.

An alternative interpretation of the exposition that spans mm. 1–179 of op. 15 would view it as just that, an exposition. Rather than understanding mm. 105–60 as both the secondary theme of a large-scale exposition and the recapitulation of a local sonata form, we can simply recognize that the lack of thematic reprise is a product of the music having not yet reached what Vande Moortele terms the "point of dimensional disconnection" (47), when the cyclic form becomes apparent. Vande Moortele even privileges a double-functional reading in that very term, for the "point of dimensional disconnection" is the moment after which the two dimensions no longer "entirely coincide." The dimension of the cycle—the realm which unfolds the complete hierarchy of four symphonic movements—is not yet activated, though, and indeed will not be until the onset of the slow movement in m. 264 (R32.1). Since the slow movement and scherzo are interpolated between the overarching sonata's development and recapitulation, the only indication of the dimension of the cycle would come from a clear, local sonata-form first movement—hardly the case in op. 15. Therefore, rather than viewing the exposition as an embedded sonata form "en abyme," a more apt conceptualization of the form recognizes the juxtaposed hierarchies of the overarching sonata and the interpolated cycle. In this case, the cycle seems incomplete: it lacks a true first-movement sonata, although in reality the sonata that spans the work can be

considered a juxtaposed first-movement form. The overarching sonata, however, is complete, with a clear recapitulatory rotation that includes the motto, main theme, and subordinate theme all in the tonic.[194]

The alternative interpretation proposed above depends on the recognition that multiple relationships are possible between forms at different levels. The embedded sonata form that exists in the prototypical 2D sonata form is complete, double functional, and concludes before the remaining cyclic movements. Zemlinsky's Second Quartet does not feature the same kind of isolable embedded sonata, and therefore requires an interpretation along the lines of Bal's juxtaposed levels that do not feature any hierarchical subordination. This reading demands generic flexibility across multiple dimensions. The sonata cycle is complete, if one acknowledges that the sonata form occurs in parallel with its subsequent cyclic movements. The overarching sonata and the sonata-form first movement are coextensive (unlike the two different sonatas of 2D sonata form). In fact, this piece features no obvious double functionality. Rather, the Quartet is a single sonata form with interpolated parallel movements. As we will see shortly, Schoenberg's op.7 Quartet begins in a strikingly similar manner: an exposition and development of a sonata form lead to interpolated, juxtaposed cyclic movements, such that the music shuttles back and forth between the hierarchically equivalent levels of the sonata and the cycle.

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[194] Of course, as Vande Moortele indicates in his chart of the form, the overarching sonata includes a reversed recapitulation.

## §4.3. Schoenberg's First Quartet, Op. 7—Its Program and Prior Analyses

As a means of demonstrating a system-network approach to form as genre, one that draws on the theories of narrative embedding described above, the remainder of this chapter focuses on Schoenberg's First String Quartet, op. 7. The work has been analyzed numerous times, with the vast majority of prior analysts offering an interpretation that aligns to some degree with Vande Moortele's 2D sonata form. The network of interacting genres in Schoenberg's op. 7 Quartet involves, at minimum, those charted in Figure 4.7. It includes single-movement forms (in gray), multi-movement forms (in black), single-movement genres (in white, with a single circular outline), and multi-movement genres (in white, with two circular outlines). A legend is provided, which encodes various interactions between genres and forms-as-genres. Note that formal procedures (like sonata form) should be understood as genre-defining but as distinct from generic categories in which they might appear (like a first movement.) The forms-as-genres of 2D sonata form, sonata, rondo, and sonata rondo, while capable of manifesting as coextensive with a particular genre, function in this network as formal procedures distinct from those genres. As an example, the arrow connecting the sonata form to the first-movement genre represents the notion that Schoenberg's Quartet, by invoking the sonata cycle, draws on the standard procedure for a first-movement genre to appear in sonata form.

The network in Figure 4.7 is designed to reflect the situation of op. 7 and its various formal and generic allusions. By imagining the String Quartet as "the future of symphonic thought," in Keller's (1974b) words, the network highlights the influences of symphonic

forms and genres on the early modernist string quartet genre.[195] The network represents a characteristic that Alban Berg ([1924] 2013) identifies with Schoenberg's compositional practice more generally: "the drawing together of all existing compositional resources from the music of past centuries" (193). As Dika Newlin writes, Schoenberg had already accomplished in *Verklärte* Nacht, op. 4 (1899), the composition of "a piece of chamber music in the style of a symphonic poem" ([1947] 1978, 211), thus making the symphonic poem genre appropriate in the present generic analysis. Note that 2D sonata form is a contributing form-as-genre within the network, and the role of 2D sonata form is in part intertextual. Schoenberg himself leaves some evidence to suggest a correspondence between the formal organization of op. 7 and the single-movement cyclic forms of Liszt and Strauss; shortly after summoning these earlier composers' work, though he remarks that his Quartet will represent "a new attempt to organize such a form" (Schoenberg [1935] 2016, 158).

The generic system presented here incorporates other single-movement objects—sonata, rondo, sonata-rondo, scherzo, and slow movement—as well as the competing multi-movement genres of string quartet, symphony, and symphonic poem. Each genre should be

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[195] There is ample evidence to suggest that symphonic thought infuses the String Quartet. Schoenberg himself describes the work as a symphonic poem, cites Bruckner, Mahler, and Strauss (presumably referring to their symphonic compositions), and links the work's development to that of Beethoven's "Eroica." Additionally, Keller argues that Schoenberg's Quartets should be appreciated as the "purest examples" of his symphonic structures (1974b, 9).

understood to constitute its own historically continuous development.[196] The various

manifestations of the single-movement/multi-movement generic structure are of particular

interest, as they demonstrate that a work like op. 7 has the potential to engage in several

multi-dimensional relationships. Intersections between historically developed genres are

indicated by arrows, which imitate the processes of interaction, commingling, absorption,

and hybridity that are encountered by institutions within a city ecosystem. The overall

network in Figure 4.7 represents an incomplete generic system—not all genres of early

modernist classical music are represented. Working within the genre system that comprises

forms and types of musical compositions at the turn of the twentieth century, the network

does account for many of the stated or implied large-scale genres at play in op. 7.

Among the first to analyze op. 7 was the composer himself. Schoenberg drafted several

documents concerning the Quartet, including an analysis published in *Die Musik* ahead of

the 1907 Dresden premiere, private notes for a 1935 lecture to the general public at the

University of Southern California, and 1949 program notes for the Juilliard String Quartet's

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[196] As elsewhere in Schoenberg's output, traditional formal procedures remain recognizable in the Quartet despite its innovations. Arnold Whittall describes the preservation of formal tradition in Schoenberg's Quartet as something of a palliative to the "exhaustion" of tonality that would typify much of the composer's later output: "As far as is known, no one ever asked Schoenberg if he considered it illogical to reject one aspect of tradition while preserving others. But the answer given by his later music is clear. Tonality was exhausted, as the result of natural, evolutionary forces present in its own constitution. The forms hitherto associated with it but not inseparable from it . . . were not exhausted" (1972, 15).

performance of all four of his Quartets. In the latter, Schoenberg describes the "achievements" of the op. 7 Quartet, first among them "the construction of extremely large forms" ([1949b] 2016, 358). Themes were manipulated in such a way as to "produce one integrated, continuous composition" ([1935] 2016, 154). Although in 1949 Schoenberg sought to dispel the notion that the work might be considered program music,[197] in her memoir of the composer, Newlin notes a class discussion from 1940 in which Schoenberg claimed that "the extravagances of the form were because the piece was really a sort of 'symphonic poem'" with a "very definite—but private!" program (1980, 193). Christian Schmidt (1986) uncovered the only known iteration of the op. 7 program, and Mark Benson (1993) gives the first comprehensive account of its potential structural import.

The program, drafted in 1904, is reproduced from its translation by J. Daniel Jenkins (Schoenberg [1904] 2016, 151–53) in Figure 4.8, and Benson argues convincingly that the program was written after Schoenberg had already completed several months of composition. Featuring a series of mental states, the program is emblematic of the *Nervenkunst* tradition, the artistic manifestation of Simmel's notion that the mental state of the fin de siècle was stimulated by heightened sensuousness. Keller makes a similar point, noting that Schoenberg's compositional agenda was to integrate "the widest possible range of expression" ([1974a] 1999, 11). Schoenberg's program recalls the stream-of-consciousness technique of

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[197] In the 1949 program notes, Schoenberg wrote that, after *Pelleas und Melisande*, Op. 5 (1903), "I abandoned program music and turned in the direction that was much more my own than all the preceding" ([1949b] 2016, 358), referring here to the op. 7 Quartet.

modernist literature, and the corresponding music accordingly shifts abruptly between various musical textures and styles. Overall, the narrative projects a Romantic premise: "anxiety over a love relationship," as Benson describes it (1993, 378). The program is grouped into three large segments, marked with Roman numerals, and Schoenberg indicates two development sections—one parenthetical, the other seemingly more substantial. Importantly, although the work is devised as a single movement, "not in fact four movements separated by pauses" (Schoenberg [1907] 2016, 154), a large division should be understood before the section marked III, as the score includes a Grand Pause at the corresponding moment.[198]

The structural cues in the program come in three guises: (i) overt references to musical form; (ii) explicit repetition of terms; and (iii) abstract beginning-middle-end paradigms. In the first category are the two developments identified by Schoenberg himself, and to a lesser extent terms like "transition," "return," and "repetition." For the remaining two categories, a

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[198] By comparing Schoenberg's 1904 program and the 1907 analytical notes, correspondences between the II section of the program and the "Second Part" of the notes make clear that the Grand Pause before the adagio corresponds with the end of the II section. In particular, the text that reads "the return of the first mood I. 1. A" ([1904] 2016, 153) in the program corresponds with the "Reprise of the main theme group A (truncated)" ([1907] 2016, 155) that closes Part 2 of the notes. Preceding the Grand Pause is a period of transition and liquidation that corresponds with the "transition to a gentler mood" of the program.

paradigmatic analysis (following Kofi Agawu[199]) will prove useful. Figure 4.9 offers such an account of the program, grouping various terms into seven expressive categories: *Assertion*, *Longing*, *Joy*, *Despair*, *Calm*, *Transition*, and *Struggle*. These seven categories appear in order in Section I of the program. In Sections II and III, all of the moods reappear, except for the *Struggle* category. Section II launches with the description "Aggressively joyful energy," which seems to combine the *Assertion* and *Joy* expressive categories. It is also labeled with the words "Feeling New Life," an optimistic outlook that is reinforced in the subsequent "New love" unit. Section III seems to lack the *Assertion* expressive category, presenting a trajectory from negatively valenced emotions of *Longing* and *Despair* toward positive emotions in the categories of *Joy* and *Calm*. The fact that the first section of the program serves as presentation in miniature of all of the expressive states to appear in the entirety of the program suggests a mirror-text relationship between Section I and the entire program. However, the expository nature of the emotional states in the first part of the program does not result in a sort of programmatic mise en abyme. Instead, the program seems to build toward the Grand Pause of the score, after which it somewhat reverses course. Sections I and II of the program are organized around the two development sections, leading finally to a reprise of the first mood and a gentler close, whereas Section III seems to imply a second, independent part, presenting a clear teleology toward the joyful and contemplative ending.

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[199] According to Agawu, paradigmatic analysis privileges "repetition and its associations," by aligning "the signifying units of a work into groups, columns, or paradigms and arrang[ing] each according to an explicit criterion" (2009, 166–67).

The programmatic information provides some cues for how we might interpret structural musical events. Alongside the two developments, we might expect a recapitulation of the "defiant" theme from the very opening near the close of Section II, as well as some thematic integration between the various *Longing* and *Despair* thematic states.

Despite the existence of the private program, most scholars have focused on the music itself when studying op. 7.[200] Besides the three analyses by the composer himself (1907, 1935, 1949b), important published discussions of the Quartet have been written by Anton Webern (1912; cited in translation in Rauchhaupt 1971), Paul Stefan (1924), Egon Wellesz ([1925] 1985), Arnold Whittall (1972), Jim Samson (1977), Severine Neff (1984), Dahlhaus (1988), and Frisch (1988, 1993), beyond the previously discussed writings by Benson (1993), Cherlin (2007), and Vande Moortele (2009). Rather than rehearse each of these analyses in detail, I focus here on the main differences that arise among these analysts' readings of the work's large-scale form, which are summarized in Figure 4.10. As noted in the diagram, four formal questions garner particular attention. First, the analysts all grapple with the problem of the local sonata form, and in particular its recapitulation. Second, the challenge of articulating the relationship between the scherzo movement and the

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[200] An important exception is Benson (1993), whose analysis is motivated by source study and thus takes the program and compositional process into account. Vande Moortele, in contrast, expresses skepticism about the utility of the program since it was drafted four-and-a-half months after Schoenberg began composing and because, he argues, the attribution of certain programmatic cues to moments in the musical score would be "hypothetical or problematic" (2009, 128).

development of the overarching sonata form causes divergent interpretations of either one or two development sections.[201] Third, as Schoenberg ([1935] 2016, 158) himself writes that the parts of the Quartet are "in such a manner linked together that everyone fulfills not only its own task but also one of the whole work," the double-functional potential and independence of the internal movements is of central dispute.[202] And finally, the question of coda space leads to controversy—analysts disagree over whether there is a single coda, or two, or a coda-to-the-coda.

Among all the discourse surrounding Schoenberg's First String Quartet, one veritable outlier remains. Keller propounds a tantalizing alternative reading, the theretofore unrealized "basic structural feature" of op. 7: "a macrocosmic sonata rondo reflecting, mirroring, the microcosmic rondo that is the finale section of the continuous movement." This is, in effect,

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[201] This conflict is perhaps best typified by Frisch's ambiguous interpretation. In both his 1988 article and his analysis of op. 7 in his 1993 monograph, *The Early Works of Arnold Schoenberg, 1893–1908*, we learn that the first development does lead to a recapitulation, which would seem to imply that the development had accomplished its function. Indeed, the form chart in both accounts indicates two developments, labeled "Development 1" and "Development 2." Yet in the text of each, he refers to the function of the developmental reprise of the scherzo ("Development 2") as "a continuation or resumption of the development" (1988, 291; 1993, 189).

[202] Sketch material adds support to the argument that Schoenberg had double functionality in mind. Frisch interprets an abandoned sketch as a version of the slow movement which "is based entirely on material from the second group of the exposition" (1988, 304). He concludes that, at least initially, "the passage was to serve a dual function, as both slow movement and recapitulation of the second group" (305).

a "two-dimensional sonata-rondo," the role of interior icon played by the rondo finale. Keller

continues: "It is a feature of outstanding importance for the future of symphonism"—a

future that comprises the very subject of his article—"this promotion of the sonata rondo, a

structural upgrading of what used to be a last-movement, lighter-movement form. The

inventor or promoter was not Schoenberg, but Mahler, who thus reacted, functionally, to the

beginning disintegration of tonality and its unifying power: the power of the theme itself had

to be reinforced" (1974b, 10).[203] A more thoroughgoing account appears in the transcription

of a radio lecture Keller gave for the BBC on 1 September 1974.[204] Keller's description of the

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[203] Recall that the role of main-theme repetition became more pronounced over the course of Mahler's

symphonic oeuvre, as evidenced by movements like the finale of the Seventh Symphony, the opening of *Das

Lied von der Erde*, and the rondo-sonata hybrid in Mahler's late output, laid out in Chapter 2 of the present

dissertation. In the latter, the rondolike procedure of main-theme repetition appears in movements that would

typically be described as sonatas, such as the first movements of the Ninth and Tenth Symphonies.

[204] I am grateful to Alison Garnham for sharing her transcriptions of Keller's radio talks concerning the four

Schoenberg Quartets. She describes the context for Keller's remarks:

> In 1974, to mark the centenary of Schoenberg's birth, Keller gave a series of four public
> lectures on Schoenberg's four string quartets. The series was promoted by the BBC, in
> association with the Manchester Chamber Concerts Society, and took place in the Concert
> Hall of the Royal Northern College of Music in Manchester on 3, 4, 10 and 11 May 1974.
> The lectures were broadcast on Radio 3 on 1, 8, 15 and 22 September 1974, then repeated
> on 7, 14, 21 and 28 January 1977. . . . None of these four lectures is preserved by the BBC,
> either as recordings or transcripts, although the Written Archive Centre has, somewhat
> bizarrely, kept the opening and closing continuity announcements, while deleting the text in
> between. The BBC Telediphone Unit made transcriptions of all four talks, which were
> preserved by Keller. These may have been made at his request, as he did have plans to
> publish them as a "specifying sequel" to the article published shortly afterwards in which he
> condensed their essence. (Garnham 1999, 1)

form involves not two but three dimensions, namely, the sonata, the rondo, and the four-

movement cycle:[205]

> On the one hand we are confronted with a four-movement structure which
> is compressed into a single movement. On the other hand we are confronted
> with a large-scale sonata movement which at various stages is interrupted,
> and meaningfully interrupted, in order to make way for the contrasting
> elements of a four-movement work. On the third hand, however, we are
> confronted—and this is what the coda tells us, or rather confirms—with a
> rondo structure, or rather with two rondo structures. . . . There is, in short,
> the little sonata form and the large sonata form, that is to say the first
> movement and the entire movement (because, as I have reminded you, the
> first movement is interrupted at a stage where all the important sonata
> events have happened); and there is the little rondo form—that's the last
> movement—and the large rondo form—which is again the entire work—on
> top of or at the bottom of which all is the four-movement scheme. ([1974a]
> 1999, 14–15)

In the analysis to follow, I reimagine Keller's three-dimensional form, viewing the piece as a

large-scale process rather then, as Keller suggests, a straightforward case of retrospective

reinterpretation as an overarching rondo. The work is generically complex: a symphonic

string quartet, a three-dimensional sonata-rondo, and a single-movement form that

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[205] Although Vande Moortele identifies his model as "two-dimensional," Dahlhaus (1988, 203–6) describes the

Liszt B-minor Sonata and Schoenberg's Quartet as in three dimensions of form, namely the dimensions of the

sonata cycle, the sonata form, and the parts of the sonata form. These are hierarchically organized in a recursive

manner whereby "the main theme is an exposition section and a movement, the transition is an exposition and

a movement, the second theme in turn an exposition and a movement." This three-dimensionality is of course

implicit in Vande Moortele's theory, and he discusses more local levels of form as described earlier in this

chapter. Keller's three dimensions are distinct from Dahlhaus's, though, as the former proposes two overarching

forms that combine with the four movements of the sonata cycle.

unequivocally incorporates distinct internal movements. Over the course of the work, interpolations weaken the large-scale sonata form. The rondo finale is comparatively intact. My analysis below presents a formal process involving the gradual transfer of organizing power from the discontinuous and proleptic sonata form to the embedded, analeptic, and epiphanic rondo finale.[206] The integrated sonata-rondo at the level of the cycle is reflected by the two internal forms of the sonata and the rondo.

### §4.4. The Large-Scale Form of Schoenberg's First Quartet: A Transfer of Power

The form charts in Figure 4.11 outline my large-scale interpretation of Schoenberg's First Quartet. Figure 4.11a is a view of the form at the broadest scale, while Figures 4.11b and 4.11c zoom in on the "outer" movements of the symphonic cycle. Note that Figure 4.11b presents the sonata-form "movement" as if it were continuous; this is of course not the case. The interpolations whereby the scherzo and slow movement interrupt the sonata-form movement are indicated by the wavy lines in the form chart. The influence of the analyses

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[206] The kind of large-scale process that takes place in op. 7 may call to mind the work of Janet Schmalfeldt (2011), whose theoretical concepts of musical "form-as-process" and musical "becoming" are certainly relevant. As demonstrated in the analysis to follow, though, the sorts of retrospective form-functional reinterpretations that Schmalfeldt presents in her monograph are of a different variety than the epiphany that is provoked by the rondo finale of Schoenberg's Quartet. I make no claims to form-functional ambiguity in the overarching sonata form, nor to incomplete formal functions that retrospectively adopt alternative functional interpretations. Rather, I contend that the overarching rondo form of the movement only becomes recognizable when compared with the local rondo finale's form.

Schoenberg (ca. 1907, 1935, 1949b) himself wrote will be felt throughout the discussion below. I will focus on the sonata and the rondo, as the thematic characters of the scherzo and the slow movement can be deduced by their relationship to those two outer movements. As the piece progresses, the initial stages present the exposition and development of a sonata form with no signals of multi-dimensionality. The exposition previews the thematic material for nearly the entire quartet and establishes, primarily via texture, the emotional states of the private program's first section. Once the scherzo arrives and interrupts the sonata, a second layer (that of the sonata cycle) becomes juxtaposed with that of the sonata. The disjunct recapitulation that follows reflects the program's repeated phrases of text. Not until the arrival of the local rondo is the overarching five-part rondo revealed, as a process of epiphany and summary plays out in the local form.

### §4.4.1 The discontinuous, proleptic sonata

The exposition of the sonata form serves to launch the Quartet as a whole and provides the thematic content for every major section save for the new theme introduced in the slow movement. The exposition can thus be considered a proleptic microcosm of the Quartet, engaged to a certain degree in the kind of foreshadowing that Bal associates with mirror-texts at the beginning of a narrative. Yet as we will see, several factors preclude an interpretation of the movement as an example of sonata-form mise en abyme and likewise as a 2D sonata form. Following Bal, the sonata's discontinuous (and thus non-isolable) presentation disqualifies a mise-en-abyme reading. The local exposition and development are best

understood as the beginning of a sonata-form movement that plays out in juxtaposition with the interpolated movements of the cycle, rather than a complete double-functional sonata en abyme.

In my analysis of the exposition, I follow Schoenberg's ([1907] 2016, 154) thematic labeling, in which the primary-theme complex comprises three parts: **P$_a$**, **P$_b$**, and **P$_c$**. The beginnings of these components are reproduced in Figure 4.12a–c. Each of the three primary theme components involves a theme and a countertheme (labeled, e.g., **P$_{a.1}$** and **P$_{a.2}$**). The combination of themes and counterthemes in the manner of the opening represents for Berg ([1924] 2013, 188–89) part of the psychological complexity of the work, as **P$_{a.1}$** and **P$_{a.2}$** are not metrically coordinated. Launching the piece, the **P$_a$** theme represents the first emotional state of the music: "Rebellion; defiance." Initially in D minor, the **P$_a$** theme reappears in E♭ minor at m. 30 and in C♯ minor at m. 54 before a "varied reprise" (Benson 1993, 377) in the original D minor at m. 65. Having traversed the keys of the overall tonic's chromatic upper and lower neighbor, the return to D minor at this juncture implies the end of the primary-theme complex and expresses the "rapture" of the program, the main theme now doubled in the violin 1 and viola. Beginning in m. 72, a process of liquidation ensues to prepare the "depression" and "despair" of the coming transition section.[207] During this

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[207] Severine Neff (1984, 13–16) draws on Schoenberg's "Chart of the Regions" (from his 1954 treatise *Structural Functions of Harmony*) in order to argue that he picked "regions lying at a greater distance from the tonic" for the transpositional levels of the **P$_a$** theme. The dialectic of tonal distance across the opening thematic complex—in which the D–E♭–C♯–D tonal trajectory simultaneously presents keys that are minimally distant

liquidation and against a *fortissimo* cacophony of the "X" motive in diminution, an augmented version of the opening of $P_a$ occurs once more in the cello at m. 79. Subsequently, all voices of the Quartet unravel into intervallic motives: perfect fourths and fifths and tritones dominate the scene, serving as a thematic connection to the transition theme, which features these intervals prominently.

Schoenberg ([1907] 2016) identifies a single transition theme, which I divide into two motives in Figure 4.12d. Later on, he notes the theme's proleptic role as an "anticipation of the Scherzo-theme" (Schoenberg [1935] 2016, 159); as Benson argues, the scherzo theme was composed first, and the transition and secondary-theme complex were conceived

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from a pitch-space perspective but maximally distant from a key-relation perspective—gives further credence to the suggestion that the entire complex is itself a single unit, achieving unity by the return to tonic at m. 65. It is worth noting the poietic evidence for this reading: Neff cites sketches for the opening that include an early repetition of the *Grundgestalt* in B♭ minor (at m. 19), which has been excised in the final score, presumably after the composer settled on the tonal-thematic scheme (1984, 32–33). David Lewin (1968) also cites Schoenberg's "Chart of the Regions" to argue that inversional balance about a single pitch serves in the composer's harmonic language as a way of articulating a tonal center. He describes the D–E♭–C♯–D tonal motion in op. 7 as a "a strongly tonicizing progression" in part because "one is strongly aware of the inversional balance about tonic" (4).

purposefully to simulate a process of thematic development.[208] Beginning in m. 99 (A.3[209]),

the transition involves a churning fugato combination of $Tr_1$ and $Tr_2$, with systematic

transposition of the motives.[210] The dramatic change in texture from the primary-theme

complex reflects the shift in mood toward *Despair*. If the transition theme was designed with

forward compatibility to the scherzo in mind, one might expect a corresponding mental state

in the latter part of the program. Yet the scherzo is the section marked as "Feeling New

Life,"[211] and its first mental state is described as "aggressively joyful energy." Instead of

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[208] Benson arrives at this conclusion by the order of compositional events in the sketches. After a spell of writer's

block following the completion of the primary-theme complex, Schoenberg first wrote the main theme of the

scherzo. Then, he worked his way backwards, writing transformations of the theme that fulfill the formal

functions of transition and secondary theme (1993, 383–85). Frisch (1988) puts forward a similar account..

[209] Throughout the discussion of Schoenberg's First Quartet, I will refer to measure numbers as well as rehearsal

letters as appear in the 1997 Dover reprint score which includes measure numbers for each lettered section.

Here, A.3 refers to the third measure after rehearsal A. The rehearsal number designations will typically refer to

the first measure only of an indicated span of music. Measures indicated before rehearsal A are identified by

their measure number alone.

[210] Following Schoenberg ([1907] 2016, 155), I have marked these thematic components in such a way that, at

the outset of the transition section, $Tr_2$ precedes $Tr_1$. In indicating the transition theme, Schoenberg marks the

first statement of $Tr_1$ in the violin 2 at m. 99, constituting the true thematic main idea of the transition. It

seems that the two early statements of $Tr_2$ are then overlapping motives that connect the end of the primary-

theme complex to the transition proper.

[211] In comparing the 1904 program with the 1907 analysis, it is clear that the section identified as "II" in the

program corresponds with the section labeled "Second Part" in the analysis.

mirrored mental states, Schoenberg reconstructs the aforementioned thematic continuity between the transition and the scherzo all while presenting diametrically opposed dynamics and textures. The *piano* fugato polyphony of the *Despair* transition contrasts with the *forte* coordinated homophony in the *Joyful* scherzo to signal these different emotions.

After the initial **Tr₂** motive sounds in the cello and repeats in the violin 1, the complete transition theme is transposed four times at $T_9$ to outline a minor-third cycle of implied keys. The tonal volatility at the opening of the transition, coupled with subsequent *Fortspinnung* of the two transition-theme motives, accomplishes rhetorical work by identifying the music as transitional in the form-functional sense. But this section also creates crucial thematic links between the primary-theme complex and the secondary-theme complex. Consider the motivic transformations indicated in Figure 4.12. By manipulating motives and *Gestalten* from the main components of the primary-theme complex, the transition simultaneously abandons the thematic forms of **P** and prepares the lyrical themes of **S**. For example, compare the opening motive of **Pₐ** with the second half of **Tr₂**, as presented in m. 100 (A.4) in the violin 1, and in the violin 2 in mm. 127–31 (A.31; not shown). The original lower neighbor first transforms into a twice-repeating neighbor motion, before becoming a long, chromatically ascending line of repeated neighbor tones. This longer chromatic line then transfers to each of the voices of the Quartet, imitating the fugato treatment of the earlier transition motives after m. 140 (A.44).

The secondary-theme complex presents yet another dramatic shift in texture, as the mental state expressed by the music changes from agitated *Despair* to lyrical *Calm* (the

program indicates "Solace, assuagement [she and he]"). Reinforcing the change, Schoenberg

adds for the first time the marking *ausdrucksvoll* ("expressive"). The near homophony at m.

153 (A.57) is so far unprecedented, contrasting unmistakably with the polyphonic primary

theme and fugato transition. Reproduced in Figure 4.12e, Schoenberg identifies three

components of the secondary-theme complex: $S_a$, $S_b$, and $S_c$, the last of which is a variant

that combines $S_a$ and $S_b$. Extending merely thirty-five measures, the secondary-theme

complex performs its rhetorical function quickly. The textural and thematic contrast to the

primary themes is paired with a tonal (and modal) contrast with the D-minor tonic,

established not only by the E♭ major at the outset of $S$, but also by the return to E♭ major at

the start of the transition to the development in m. 188 (A.92). There are, however, some

motivic correspondences with earlier music: reappearances of the $Tr_2$ theme, rhythmic

variants of the $P_{a.2}$ theme, and the primary theme's "X" motive. Even within the sonata

exposition, thematic integration was at the forefront of Schoenberg's mind. The exposition

as a whole thus maintains thematic continuity and provides the musical content for the

sections that follow while also employing dramatic shifts in texture that represent a

progression of mental states reflective of the *Nervenkunst* artistic stance.

   As outlined above, analysts have handled the "interrupted" development that ensues after

m. 213 (B.14) in primarily three ways: either (i) the developmental process genuinely pauses,

to resume after the scherzo; (ii) the development continues unabated through the scherzo,

supported by the thematic integration of the scherzo and the transition theme; or (iii) the

sonata involves two developments, the first concluding before the scherzo, the second

beginning thereafter. The status of the sonata form's development also figures in the private

program, where Schoenberg expressly indicates two developmental sections. The first is

aimed toward the emotional state of the scherzo, as the development involves a "struggle

among all the motives with the resolve to begin a new life," which evidently begins with the

scherzo (labeled "Feeling New Life"). We might then describe the function of the

development in double-functional terms: simultaneously it forms the development of the

sonata form and creates a programmatic transition to the scherzo.

Schoenberg's own description of sonata-form developments provides useful insight into

an interpretation of the two development sections of the Quartet. In *Fundamental of Musical*

*Composition*, he establishes several functional events unique to development sections. Note

that Schoenberg uses "elaboration" here to signify what is commonly called the development

of a sonata form ("Durchführung," the standard German term for a sonata form's

development, appears in the section's heading):

> Because the exposition is basically stable, the elaboration tends to be
> modulatory. Because the exposition uses closely related keys, the elaboration
> usually includes more remote regions. Because the exposition "develops" a
> wealth of differing themes from a basic motive, the elaboration normally
> makes use of variants of previously "exposed" themes, seldom evolving new
> musical ideas.
>  . . .
> It consists of a number of segments, passing systematically through a number
> of contrasting keys or regions. It ends with the establishment of an
> appropriate upbeat chord or retransition, preparing for the recapitulation.
> . . .
> The thematic material may be drawn from the themes of the exposition in
> any order.
> . . .
> In many elaborations the earlier segments are the longer and more stable
> ones. In approaching the retransition, shorter and shorter segments, often

accompanied by more rapid change of region, provide both a climactic
condensation and a partial liquidation. (1967, 206)

Schoenberg's analytical comments about op. 7 are remarkably consistent on this point. The 1904 program includes two distinct developments, as do each of the analyses of 1907, 1935, and 1949. Additionally, the composer distinguishes the single-movement/multi-movement paradigm employed in op. 7 from that of the op. 9 Chamber Symphony: the latter "has a certain similarity with my First String Quartet op. 7, which also combines the four types of movements of the sonata form. . . . While in the First String Quartet there are two large sections of *Durchführung*, that is, elaboration (or development), here is only one, and it is much shorter" (Schoenberg [1949a] 2016, 164–66). The development section that precedes the scherzo executes the principal roles that Schoenberg outlines above while also creating a tonal and rhetorical transition to the scherzo. It should thus be considered independent from the second development. Whereas a development would normally conclude with a retransition to prepare a tonic recapitulation, the juxtaposed design of this piece repurposes the retransition at the end of the development as a transition out of sonata space. The scherzo, then, interrupts the large-scale sonata form, but not the development itself.

Since the scherzo begins in the key of G♭ major, it is not surprising that the first development launches and concludes with the dominant of G♭. The transition into the development outlines D♭7, especially in mm. 208–11 (B.9), before a common-tone shift to begin the development's pre-core in E minor. Featuring counterpoint between $Tr_2$ and the dotted-eighth–sixteenth accompaniment motive from $P_a$, the first developmental unit involves a large-scale whole-step ascent, from B major in m. 236 up to D♭ major in m. 245

(B.46). Instead of converting the D♭ major into the dominant of G♭ at this stage, the music

lands on C major on the downbeat of m. 252, launching a second, longer unit. It includes

remnants of $Tr_2$, $P_{a.2}$, and the $S_a$ theme, cycling through several tonal centers. Subsequently,

a large passage of arpeggiated chromaticism moves systematically through a chromatic ascent

from C♯ to E in mm. 275–91 (B.76), which then reverts by a fifth relation to A major in m.

292 (B.93). As ♭VI in the key of D♭, the A prepares the dominant and enharmonic leading

tone, B♯, which arrives in m. 299 (B.100).

The dominant of the subsequent G♭ tonic, D♭, is therefore expected—however, the

subsequent arrival is in fact in C♯ minor at m. 301 (C.1), and the initial primary theme is

stated for the first time in the development, as shown in Figure 4.13. At this stage, Vande

Moortele—in accordance with Neff, Frisch, and Benson—identifies a recapitulation of the

primary theme. In fact, for Vande Moortele, this is precisely the "point of dimensional

disconnection" for the Quartet as a whole:

> It is not until m. 301 that dimensions are really disconnected, since mm.
> 301–398 are the first formal unit to fulfill two completely different functions
> simultaneously. While in the dimension of the form they are yet another unit
> in the development section, they function as a recapitulation of the first
> movement in the dimension of the cycle. This conflict between non-identical
> functions sheds new light on the preceding portion of the composition,
> revealing that there were two different dimensions at work all along. Only
> here is the listener urged to reconsider what he or she has heard before and to
> interpret it not only as the exposition and the beginning of the development
> in one sonata form, but also as the exposition and the entire development in
> another, smaller-scale sonata form. (2009, 138–39)

Vande Moortele continues by suggesting that "the opposing functions the same formal unit

has to fulfill in the different dimensions can no longer be easily reconciled." Moreover, he

argues that the double functionality of the primary-theme statement at m. 301 is a prime example of how the "tension between [the demands of both dimensions] can be kept under control at a point at which it threatens to become most problematic" (139). In the terms of mise en abyme, Vande Moortele's attempt to describe a recapitulation at this stage serves to establish a mirroring relationship between a complete, local sonata form that spans the first 398 measures and an overarching sonata form that spans the entire work. If Vande Moortele's interpretation were to hold, the local sonata form would meet the terms of Bal's embedded text: it would be complete and isolable with clear delineation from the subsequent scherzo (Bal's "insertion"), would be hierarchically "subordinate" to the large-scale form, and would be "homogeneous" with the overarching sonata form.

A simpler explanation exists, though, based on the notion of the juxtaposition of two different and complete hierarchies. Put simply, the music in mm. 301–99 reflects a developmental rotation of some of the exposition's themes, without performing double function as a recapitulation. Instead, the sonata-form first movement of the quartet is yet to be completed, existing in a discontinuous form because of the interpolations of the second and third movements of the cycle. To be sure, the primary theme does return at m. 301. But the rhetorical cues hardly signal a moment of recapitulation. The restatement is restricted to the $P_{a.1}$ motive, and even then, only through its first five measures. It appears in the lower strings in C♯ minor and is in counterpoint not with the $P_{a.2}$ motive but instead with the continually churning dotted-eighth–sixteenth accompaniment that played a prominent role in the previous developmental unit. Moreover, the Quartet's texture at this stage does not

return to anything like the opening, an observation that is reinforced by the private program's sole description of this section as "mild dispute." The primary theme then undergoes liquidation after m. 306, reinstating an accelerating cycle of minor thirds that recalls procedures from the fugato transition section in mm. 312–19 (C.12).

As a recapitulation, these various main-theme returns are insufficient. But as transposed statements of a large-scale passage of prior thematic material, they accomplish the rhetorical task of the development as described by Schoenberg above. Indeed, they launch a rotation of parts of the entire exposition as a third unit of the development, treating in order the $P_{a.1}$ motive (301–34), the transition theme (335–48; C.35), and the $S_a$ and $S_b$ themes (349–63; C.49) as sources for elaboration. Each component theme complex is significantly attenuated and treated to substantial elaboration, and therefore they do not fulfill the form-functional requirements of a recapitulation. The transition theme is highly chromatic and in *stretto*, unraveling into Z motives after only seven measures. Moreover, the $S_a$ theme is only hinted at by the initial motive of the theme, repeated five times in the violin 1 and viola, with an agitated accompaniment that ignores the original texture. The retransition that follows in mm. 366–98 (D.1) incorporates motives from the primary-theme complex and concludes with a circle-of-fifths progression, E♭⁺–A♭7–D♭7, that prepares the G♭-major scherzo.

After the 340-measure interpolated scherzo, the second development follows a similar script to the first, although it is thematically cumulative and thus draws both on themes from the sonata exposition as well as the scherzo. The fact that this development looks backward to themes primarily featured in the trio suggests the beginnings of a transfer of power from

proleptic to analeptic musical integration. As shown in Figure 4.14, the scherzo recalls the sonata, reaching back to repurpose its $Tr_1$ motive as the principal thematic material of the scherzo and, in inversion, the trio. The second development then begins with a fugato treatment of the scherzo theme, where subject entries outline a minor-third cycle. Texturally and thematically, this material returns to the *Despair* of the exposition's transition section (as indicated in the program at II.3.a). The transpositional scheme breaks off at m. 761 (G.89), and the subsequent arrival at a D-minor harmony—which could signal an imminent recapitulation—is short-lived, as the D tonic is repurposed as the dominant of G minor. In m. 804 (H.21), a new developmental unit ensues, lasting more than sixty measures and involving a theme that was prominent in the trio (compare mm. 593–96 [F.62] to mm. 804–21 [H.21]). The pattern seems to launch once more in m. 846, but a rush of ascending gestures leads into the arrival of the retransition in m. 872 (I.1), corresponding to the terms "transition to" in the program. Beginning in C major, the retransition employs a large-scale circle-of-fifths progression to land on B♭ minor in m. 889 (I.18), after which two sudden whole-tone ascents lead to a downbeat D major in m. 893. The music intensifies, primary-theme motives arrive in earnest, and the *sforzando* $A^6$ harmony in m. 901 (I.30) announces the dominant that ends the second development.

At m. 909 (I.38), the sonata's recapitulation begins in D minor. Following the program, the initial mental state of "rebellion" and "defiance" returns, reflected in a re-enactment of the texture and thematic counterpoint of the exposition. *Fortissimo*, $P_{a.1}$ is doubled in the violin 2 and viola and counterpointed by two versions of $P_{a.2}$: an elaborated version with

octave leaps in the violin 1 and an inverted diminution in the cello (see Figure 4.15). The doubling of the $P_{a.1}$ idea repurposes a textural choice from the exposition—the moment of "rapture"—to reinforce the recapitulatory effect of the moment. The $P_a$ theme now extends all the way through its original continuation, incorporating an augmented version of itself on the dominant that recalls m. 79 of the exposition. The primary-theme complex continues, reintroducing the $P_b$ theme in m. 927 (I.56) before a passage of liquidation. A short transitional solo in the cello leads ultimately to a Grand Pause, the end of the first half of the composition and likewise the end of Section II of the private program. The subsequent slow movement interrupts the process of the recapitulation, giving way at m. 1082 (L.52) to the secondary-theme complex. A complete restatement in rotational order of $S_a$, $S_b$ (1100; L.70), and $S_c$ (1108; L.78) occurs, and the stability of the global tonic, D, is confirmed by the return to D minor at the start of $S_c$.

The sonata form is therefore complete, if discontinuous. Its exposition is proleptic because it offers the thematic and motivic material for nearly the entire Quartet, serving as a source for thematic development in the scherzo as well as all but the initial theme of the slow movement. The sonata is not, however, an embedded form, because it involves two interpolated movements: the scherzo and slow movement. Instead, the sonata form charts a parallel path, juxtaposing its form with the middle movements of the sonata cycle. The music shifts back and forth between parallel dimensions of the sonata movement and the sonata cycle. If this sonata form is indeed a discontinuous but "single-functional" form, what

of Schoenberg's contention that the parts of the Quartet are "in such a manner linked together that everyone fulfills not only its own task but also one of the whole work"?

At this juncture, Keller's intriguing interpretation of the rondo finale becomes relevant. By the time the rondo finale begins, the sonata form is complete, its rhetorical work accomplished by the tonic return of $S_c$. The subsequent rondo is a true embedded form, meeting all of Bal's criteria. As an "inserted" form, the rondo is prepared and left by a transition out of sonata space and into coda space. The "subordination" of the local rondo relates to its completeness, isolability, and its role in analeptic summary of previous music. Finally, the local rondo mirrors a large-scale five-part rondo that encompasses the entire work, thus representing a "homogeneous" relationship between part and whole. As shown in Figure 4.11a, the overarching rondo is in five parts, with transitions between each part.[212] The opening sonata exposition serves as the large-scale rondo refrain, while the first development functions doubly as a transition to Episode 1, the scherzo. The scherzo's reprise shuttles back to the second development which serves a double function as a retransition at the level of the large-scale rondo. The short refrain that follows—the primary-theme

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[212] It is worth noting Siglind Bruhn's (2015, 99) skepticism of a rondo interpretation of the Quartet. Bruhn suggests that the interpretation is only "implicit," and presents a view of the work as a seven-part rondo that includes the main-theme restatement in C♯ minor at m. 301 as a refrain. Along similar lines to the argument above, the interpretation of m. 301ff as a refrain overlooks significant divergences from the initial main theme. The changes in key, texture, and programmatic content of the C♯-minor statement, along with its short-lived disposition, all stand as evidence against an interpretation as a rondo refrain.

recapitulation of the local sonata—is followed by a Grand Pause after which the second, developmental episode arrives. This second episode is in two parts, encompassing both the slow movement and the local rondo finale, and it incorporates the only theme that seems to lack obvious antecedents in the sonata's exposition. After a short retransition, the large-scale final refrain arrives in the major tonic at m. 1270 (O.1), serving a double function as a coda at the level of the sonata cycle. Contrasting with the large-scale rondo refrain (in the form of the primary-theme complex) are two theme groups: the scherzo themes and the slow movement and rondo themes. The two episodes are prepared in different ways—the scherzo is preceded by the first development as a large-scale transition, whereas the slow movement arrives after the articulating Grand Pause. However, each ultimately leads back to a tonic-key restatement of the overarching main theme, in standard rondo fashion.

### §4.4.2 The embedded, analeptic rondo

The local rondo mirrors the overarching form by itself existing in five parts, as charted in Figure 4.11c. At this stage, the specifics of the private program become difficult to interpret, because the program seems to combine the slow movement, rondo, and coda all under a single section III. It seems plausible that the euphoric coda represents the "Homecoming," which might then suggest that the rondo involves the "*dream image*" leading to the "decision to return home." Likewise, since the exposition's secondary-theme complex represented "Solace," it would make sense for the recapitulation of the secondary theme to constitute the "Falling into sleep" that precedes the dream. Because the local rondo form engages in

epiphany—because it reveals, for the first time, the contrapuntal combination of all of the themes that have occurred—interpreting it along the lines of a "*dream image*" that recalls "the deserted ones, each grieving in his own way for the distant one" seems conceivable but not certain. The epiphany of the rondo does, however, reveal the transfer of power that has taken place across the entire piece. Whittall suggests that the rondo's analeptic role is presaged by the developments that precede it:

> The dynamism of the developments, by making themes from different expositions compatible, renders any large-scale separate recapitulation unnecessary and, indeed, impossible. The potentialities of the material are fully utilized in development, and so the rondo "finale" section introduces no new main themes but concentrates instead on further discussion of material from all three areas of exposition. (1972, 14)

Across the entire rondo, thematic ideas from earlier in the piece are recast in a new light and treated in combination, thus revealing the overall thematic integration of the entire work.

The rondo's first refrain, spanning mm. 1122–49 (M.1), deputizes a rhythmically energized variant (at pitch) of the slow movement's main theme **c** (see Figure 4.16) as the rondo theme, **c"**, in A major. The theme is a series of disjointed, three-beat descending gestures leading toward a cadence, the last portion of which borrows the sonata primary-theme's X motive. Then, the violin 1 recalls $S_a$ motives in a sequential passage that is mimicked by the cello in mm. 1133–36 (M.12). The viola immediately follows with the $P_{a.1}$ motive in E minor, which repeats in transposition twice. To borrow the evocative words of Adele Katz (1945, 373), the opening theme of the sonata "insinuates itself" even here in the rondo refrain, as it has in each of the preceding "movements." The rondo theme's presentation reappears in the violin 1 at m. 1143 (M.22), back in A major to conclude the

refrain. A short, three-measure transition follows, which foreshadows the first episode's

borrowed **d'** theme in the viola, counterpointed by a reference to $P_{a.1}$ in the cello.

In the first half of the first episode (mm. 1150–68; M.29), the thematic content is

restricted to a version of the adagio's contrasting theme, **d** (see mm. 1003ff; K.52). The pitch

center, having launched in E major, descends through a minor-third cycle of keys before

returning to E on the downbeat of m. 1158 (M.37). Subsequently, the **b** theme from the trio

is referenced in the violins, before a rhythmic allusion to $P_b$ drives the music to the

punctuated C-major harmony at m. 1165 (M.44). The short burst of energy that ensues is a

retransition preparing the second refrain. Serving as an embedded mirror, the **d'** episode of

the local rondo employs markedly similar techniques to the scherzo and second development

that function as the large-scale Episode I and retransition. Both of these passages are largely

developmental in nature, employing cyclic transposition, rhythmic intensification, and

similar thematic content. The second refrain that follows is brief, arguably a formality,

reflective of the short refrain of the overarching rondo that appears at m. 909: here, the

rondo theme recurs in the A-major tonic of the local rondo, is truncated to eschew much of

the thematic counterpoint of the initial refrain, and leads after twelve measures to the

second, more developmental episode.

The rondo's **e** episode, spanning mm. 1181–247 (N.1–67), functions akin to a

development, combining components of themes from across the entire Quartet. The section

begins with the $Tr_1$ theme in counterpoint with $S_a$ in the cello and motives from $P_{a.1}$ in the

violin 2. The trio's main theme, **b**, appears in m. 1189 before a return to the episode's initial

combination of themes at m. 1195 (N.15). The counterpoint persists until m. 1208 (N.28), when the $P_{a.1}$ theme occurs first in A♭ major and subsequently in C major. The second statement is interrupted by the rondo theme c'' in F minor, which is then followed by a restatement of d', before repeating in C major. At m. 1226 (N.46), the combination of d' and the $S_b$ and $S_c$ themes leads through two statements of the latter until an arrival at m. 1245 (N.65) on a D-minor harmony. Three measures later, the tonality returns to A major and the final refrain of the local rondo occurs. The rondo theme is now in direct counterpoint with d' and proceeds to an extended continuation. Thus, even within the context of the local rondo itself, the final refrain enacts a reconciliation of prior themes, in this case its own main and contrasting themes. Overall, by placing both theme complexes from the sonata exposition in direct dialogue with themes from each of the three movements of the cycle, the development and final refrain of the local rondo provide the most assertive instance of thematic integration in the entire work. The analeptic epiphany of the embedded rondo finale is twofold: it reveals not only the thematic interrelatedness of all of the movements, but also the overarching five-part form of the piece, with which it creates an instance of form-functional mise en abyme. Having made the "decision to return home," its A-major tonic is the final element awaiting resolution.

To close the Quartet, a large coda follows the rondo finale. In D major, the coda continues the counterpoint of themes from across the piece, beginning with references to the slow movement in the cello, to the scherzo in the viola, and to the trio in the violin 2. The $P_{a.1}$ theme arrives in D at m. 1274 (O.5), with its $P_{a.2}$ contrapuntal partner in all lower

strings. A second iteration follows eight measures later, interrupted by the scherzo theme. The D–A pedal in the cello at m. 1288 (O.19) signals tonal stasis as a third statement of $P_{a.1}$ passes from viola to violin 2 to violin 1, before the music dissolves and the dynamics lower to the *pp* D-major harmony at m. 1308 (O.39). In the context of the large-scale coda, the arrival of the $P_{a.1}$ theme in the cello at this stage signals the end-of-the-end, the coda-to-the-coda in Keller's interpretation ([1974a] 1999, 14). In the dimension of the cycle, the large-scale coda is necessary after the rondo finale. It provides the final refrain, following the episode that included the slow movement and rondo. The coda-to-the-coda thus responds to this final refrain with a sense of stasis, the music progressing slowly and with minimal counterpoint. Following the program, this moment offers a sense of "quiet joy and the contemplation of rest and harmony." The piece closes with three statements of the D-major tonic, the violin 1 ascending two octaves on the F♯ that affirms a positive ending.

## §4.5. Schoenberg's Maximalism as an Integrated Network

Not unlike the Ringstrasse in Vienna, the Place de Charles de Gaulle in Paris is a monumental feat of urban planning. At the center lies the Arc de Triomphe. Twelve avenues and three arrondissements converge on a circle 240 meters in diameter. Prior to 1970, the location was known as the Place de l'Étoile, which may have inspired Marcel Proust's metaphor of "star-shaped crossroads" ("étoiles des carrefours"). Just as roads converge at and radiate from the Arc, for Proust, ideas form networks of the mind: "The fact is that from each of our ideas, as from a crossroads in a forest, so many paths branch off in different

directions that at the moment when I least expected it I found myself faced by a fresh memory."[213] Gerald Gillespie's (2010) account of epiphany in Proust finds its source in this same metaphor: "like persons and societies, artworks are 'real' intersections in time. . . . tendencies of 'superepiphanic' progression, which often work in tandem, are the convergence into nodular junctures (Proust's 'star-shaped crossroads') and the cumulative cross-referencing of consciousness and points of view" (61–62). In a discursive work like *À la recherche du temps perdu*, embedded and juxtaposed story lines provide fodder for epiphanic convergence and long-range coherence at multiple narrative levels.

The epiphany in Schoenberg's First Quartet can be similarly traced to an integrated network of themes as well as a network of intersecting genres. Berg ([1924] 2013) saw the coordination of thematic voices throughout the Quartet as the source of its problems of intelligibility, where even reprises appear in a "variety of manifestations" that obfuscate the expressive immediacy of repetition (191). The "total thematicism" of the Quartet, to borrow Samson's term, functions like a complex urban ecosystem, "in which every thread of the music's texture, including accompaniment details, has a thematic basis" (1977, 100). In the Quartet, Webern (Rauchhaupt 1971, 16; ca. 1912) exclaims, "everything is thematic!" This is the work's "symphonic" nature for both Keller and Berg ([1924] 2013, 192). Following Keller (1974b, 7–9) the development of a limited set of thematic materials into highly

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[213] Proust (1925) 2003, 731. "En effet, en nous de chaque idée, comme d'un carrefour dans une forêt, partent tant de routes différentes, qu'au moment où je m'y attendais le moins je me trouvais devant un nouveau souvenir."

contrasting, but nonetheless integrated, sections constitutes its symphonic nature. Shifting

between drastically different textures, the music also depicts a vast emotional range and an

abruptness reminiscent of stream of consciousness. The combination of the thematic

network and textural freedom creates a symphonic poem based on an intensely psychological

programmatic series of *Seelenzustände*, or soul states.[214] The Quartet is thus the result of the

"general *rapprochement* between chamber music and orchestral music [that] had already

begun in the post-Beethoven period" (Newlin [1947] 1978, 228). When in the second

episode and final refrain of the rondo finale we are presented with the confluence of themes

from the entire Quartet, we are forced into a state of retrospection. For Cherlin, the rondo

achieves a "comic reconciliation" (2007, 172) of the network of themes within the Quartet,

one predicated on a dual sense of memory. But simultaneously, the five-part rondo finale

reconciles the large-scale formal problem of the work. Only then does the overarching rondo

form become retrospectively apparent; only then do we appreciate that the sonata form that

spanned the first part of the work, although complete, was too fragmented, too often

interrupted to serve a large-scale organizational function.

In truth, the hierarchical relationship between the "first-movement" sonata and the

remaining cyclic movements never materializes. Instead, a web of carefully choreographed

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[214] Watkins (2011) identifies the notion of *Seelenzustände* with A. B. Marx, for whom they served as the

"subject matter of superior music" (72). The concept is also associated with Robert Schumann. John

MacAuslan addresses Schumann's writings on the subject, in which the composer would contrast it with

*Lebenszustände*, or "things or situations," in the context of music's ability to illustrate life (2016, 75).

thematic development spins out over the work, expanding until the diverging strands intersect, revealing the mirroring role of the rondo itself. The work represents the modernist impulse to express encyclopedically, by thematizing everything in total interrelation, and doing so with the rhetorical tools of tradition. As an inscription of the energetic, interdependent, and fragmented experience of fin-de-siècle Vienna, the Quartet combines extremes of length, generic complexity, and emotional representation. Rather than another attempted solution to the problems of 2D sonata form—one that, following Vande Moortele, "expresses reflexively an acknowledgement that full [thematic] integration is impossible"[215]—Schoenberg's First Quartet is an assertion of the idea that the integration of themes can beget the integration of genres.

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[215] This quote is a paraphrase of Vande Moortele's stance by Scott Burnham (2011, 246). In his review of Vande Moortele's monograph, Burnham defines the author's *modus intellegendi* as an instance of "the *Problemgeschichte* ('problem history'), through which mutations in formal conventions are understood as responses to problems" (242).

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# CHAPTER 5.
## CONCLUSIONS AND EXTENSIONS

Over the course of this dissertation, my principal objective has been to examine the formal strategies that Germanic composers employed in maximalist music, investigating the problems that arise for the analyst. As a first survey, the project concentrates on the most coherent maximalist practice: the interrelated works of the composers of Germanic early modernism, who moved in the same artistic and intellectual circles, conducting, arranging, and commenting on each other's works. I have adapted theoretical approaches to novelistic writing in order to offer a new perspective on formal analysis that can respond to the analytical problems associated with maximalist form.

Richard Taruskin's (2005) coinage of the term maximalism, as well as his exposition of its applicability to music across the twentieth century, represents at once an incisive demonstration of a through line in modernist music and a latent confirmation of the term's imprecision. The techniques of Germanic maximalism are particular; methods employed by Alexander Scriabin, Charles Ives, and Olivier Messiaen to generate massive works are by and large of a different variety. Likewise, maximalist music by Gustav Mahler, Richard Strauss, and Arnold Schoenberg was expressively distinct from maximalist music by, among others, Maurice Ravel, Dmitri Shostakovich, Amy Beach, and Samuel Coleridge-Taylor. Maximalism has furthermore extended into the late-twentieth-century world, in the work of

figures like Pierre Boulez, Karlheinz Stockhausen, and La Monte Young, once more with innovative expressive aims and unique characteristics of design.

One for fostering captivating narratives, Taruskin's semantic webs thus occasionally betray basic assumptions. For example, spanning the six volumes, the almost four-thousand pages of his *Oxford History*, Taruskin (overtly) privileges notated music. In Charles Rosen's ([2006] 2012) words, it is a history of "literate" music, especially in the early volumes, where Taruskin privileges a body of notated music that "existed alongside an important unwritten tradition of folk music and popular music, handed down orally and by demonstration" (211). By electing to prioritize notated works, Rosen suggests that Taruskin leaves out a great deal of music composed and shared free of notation. If notation was the organizing principle in Taruskin's account of early music, by Volume four of the *Oxford History*, notation was all but assured for the music under study. The idea of (especially German) maximalism serves to replace notation as the connective tissue in his discussion of the early twentieth century, yielding a rich nexus of relationships between works but overlooking their variety of methods and expressive aims. Volume four of the *Oxford History* brings the theme of maximalism back in multiple (at times, contradictory) guises—not just maximalized forms, but also maximalized dominant harmonies and maximalized dissonances, maximalized distances between keys, and maximally minimal textures. Yet a great proportion of the music that ultimately earns the label "maximalist" also reflects the characteristics at the heart of the present study: impressive size and profound expression.

This concluding chapter serves to summarize the applicability of the techniques presented in this dissertation and to survey the expressive and technical issues associated with maximalism in the domain of large-scale form more broadly. The formal hybridity at work in Mahler's late rondo-sonata movements, as described in Chapter 2, represents one composer's approach to genre mixture, but genre was one of the main targets of creative play across fin-de-siècle modernist music. The subject of Chapter 3, drama and the interplay between symphony and opera, is not exclusive to the narrating forms of the Straussian symphonic poem, as the influence of the Wagnerian music drama extends well beyond the domain of texted music. Although the symphony had become the primary vehicle for intellectualizing through music, symphonic writing percolated beyond the symphonic genre and throughout the art-music world, resulting in thoroughly symphonic non-symphonies that summon the sonata cycle in an integrated manner akin to that in Chapter 4. These techniques combine and interact throughout early modernist Germanic music, creating works that critically engage with the past while accomplishing the necessary innovation of modern art. Consider two works left unaddressed here but cited by Hermann Danuser (2009) and Rudolf Stephan ([1969] 1985) as archetypes of *Weltanschauungsmusik*: Schoenberg's *Gurre-Lieder* (1903–11) and Mahler's Symphony No. 8 (1906–7).

In *Gurre-Lieder*, the problems of generic mixture are even more pronounced than in Mahler's *Das Lied von der Erde*. Schoenberg's orchestral song cycle clearly evokes the

Wagnerian music drama,[216] but its extensive orchestral battery, large-scale formal organization, and polyphony suggest a symphonic conception. The composer's editor describes the work as requiring an "immense apparatus," namely "five singing soloists, a speaker, a chorus of 500, and an augmented orchestra" (Jenkins 2016, 198). Amplifying the work's integrated sense, and more typical of a music drama or symphonic poem than a symphony, the cycle incorporates a clear narrative trajectory: by the song "Tauben von Gurre!", Waldemar's beloved Tove is dead, after which Waldemar struggles through the night with grief, raising an undead army before dawn arrives at the close. In order to explore large-scale form in *Gurre-Lieder*, the analyst must therefore grapple with a confluence of issues associated with the grouping of the isolable songs, thematic integration, drama, and generic hybridity. The expressive agenda is also of a piece with contemporaneous Germanic works, probing the eminently modernist psychological subjects of death and grief.

The quintessential representative of Germanic maximalism is surely Part 2 of Mahler's Eighth Symphony. Dika Newlin ([1947] 1978) couples the Eighth with *Gurre-Lieder* as paradigms of a momentous historical position: "it represents, historically, the end of an era—a position which it may honorably share with that other great essay in monumentalization, Schoenberg's *Gurre-Lieder*" (192). The Eighth was, for Newlin, the final word on an entire symphonic era: "For how would it be possible to go any further in the monumentalization of

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[216] Michael Cherlin (2007) and Brian G. Campbell (2000) summarize some of the more direct parallels between *Gurre-Lieder* and Richard Wagner's music dramas, including that "the overall trajectory of the work inverts the sunrise to sunset organization of Wagner's Ring" (Cherlin 2007, 39).

the symphonic style than Mahler had gone in this work? He had exhausted all the possibilities; others, unless they wished to create a merely epigonous (and hence comparatively unprofitable) art, would have to strike out in new paths" (190). Prior to the symphony's premiere, the Austrian graphic designer Alfred Roller created the poster reprinted in Figure 5.1 for distribution through public transit (Johnson 2020, 25). The imagery is stark: Mahler's initials transformed into a sun suspended over two mountain peaks. Roller conveys in visual art the sublimity of Mahler's Eighth, and its subsequent moniker as the "Symphony of a Thousand" only heightens the mystique of the symphony's enormity. The Eighth Symphony is a picture of glorious transcendence rather than grotesque indulgence. Part 2 portrays the final scene from Goethe's *Faust*. For Charles Youmans (2016), the rendering of Goethe represents "a sort of ultimate allegory" at the end of which, in the final scene, "the *Mater gloriosa* brings us as close as humanly possible to knowledge of the absolute" (54). Its great success reaffirmed the composer's aesthetic conviction that "music could communicate truth about the human situation in the world" (18).

The architectonics at work in Part 2 of the Eighth Symphony comprise a rich network of interacting genres. Danuser (2009) describes the movement as a combination of three visions of large-scale form: the developmental form (*Entwicklungsform*) of the symphony, the sequential form (*Reihungsform*) of the oratorio, and the "mythical" circular form (*Kreisform*) of the post-Wagnerian music drama (381). Danuser does not address the nature of their generic intermingling—whether the work expresses triple-functional identification across generic dimensions, whether it shuttles back and forth between the distinct organizational

procedures, or whether it accomplishes generic mixture in a novel manner. Nevertheless, all the techniques presented in this dissertation are at work. The hybridity of genres is, as Danuser rightly suggests, achieved by a hybridity of forms, though much expanded from the rondo-sonata hybrids of Chapter 2. Part 2's depiction of the *Faustszene* draws on aspects of poetic structure for its design as well, fusing the epic narrative into the architectural foundation of the music even more explicitly than in *Eine Alpensinfonie*.

Preceded by a sonata-form first movement that, in its relatively formulaic design, gives a "strong impression of predetermination,"[217] the *Faustszene* contrasts with a formally innovative structure that nevertheless incorporates a significant amount of thematic material from the first movement. This integrated approach to the symphony is one of two reasons to consider the entirety of the Eighth in dialogue with 2D sonata form. Confirmation of the work's thematic integration appears in Henry-Louis de la Grange's (1999) painstaking account of thematic families and variants (934–38), and he suggests that the technique is significant to the success of the work: "one has the impression that Mahler wanted to compensate for the dissimilarity of the two texts (the medieval Latin hymn, and Goethe's

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[217] De la Grange (1999) points to a consensus among "all modern commentators" that the first movement is cast in sonata form (911). In his brief accounting, de la Grange notes the "considerably abridged" (917) recapitulation but does not associate it with the trend, articulated in Chapter 2 of this dissertation, of Mahler's late sonatas featuring a compressed recapitulatory secondary theme. Other idiosyncrasies of the form include the key scheme and numerous thematic characters of the exposition and the arrival of off-stage brass, introduced for the first time in the movement's coda as something of a link to Part II.

mystic and Romantic scene) through a thematic unity never before or since encountered in his music" (905–6). Part 2 dwarfs the first movement of the symphony, though, inspiring for some analysts (Specht 1912, Floros [1985] 1993) a single-movement/multi-movement structure on its own, a second reason to call upon 2D sonata form, although one that defies the standard for 2D sonata form to span an entire single-movement work. The multi-dimensionality of the *Faustszene* is thus unlike the 2D sonata forms of Chapter 4, since the first movement here reflects an unprecedented generic independence. To read Part 2 as a slow movement, scherzo, and finale, one must address the fundamental separability between the sonata-form first movement and the remainder, which represents an approach to the coordination of the sonata cycle that is distinct from 2D sonata form. Alternatively, according to de la Grange (1999), Part 2 may also suggest a large-scale sonata form. Mahler's Eighth thus achieves its expressive ends through a complex and ambiguous combination of generic mixture, dramatic rendering, and symphonic integration.

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Analyzing form in maximalist music requires a high degree of interpretive flexibility. The problems associated with the large-scale formal dimension, which include abrupt disruptions of formal logic and the mixture and interpenetration of seemingly incompatible genres, provide ample reason to question whether the notion of coherence remains useful in maximalist musical works. One associated methodological curiosity remains: why are there not more extensive voice-leading analyses—particularly of the neo-Schenkerian variety—studying complete works in the category of maximalist music? For certain theoretical schools

of thought, voice-leading analyses have offered some of the strongest support for notions of

coherence and unity in music analysis;[218] nevertheless, apart from the (now dated) work by

Felix Salzer (1952), Roy Travis (1970), Christoper Lewis (1985), and Peter Bergquist

(1980), hardly any comprehensive analyses of the numerous works of the maximalist

enterprise stand out. Neo-Schenkerian methods have even been adapted to Richard Wagner's

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[218] Such a conception of unity—as demonstrable by the analyst and desirable to the critic—was one of the

targets of Joseph Kerman's (1980) critique of formalist music analysis. Fred Maus (1999) describes the

dominant view: "Music analysis usually tries to display musical unity. . . . When music scholars want to

demonstrate unity, they typically draw upon analytical description" (171). Kerman associates unity especially

with organicism, as do Richard Cohn and Douglas Dempster (1992), who likewise note that the canon of

Western classical music has been established in part on the grounds of the value placed on works deemed

organically unified and coherent. The notion is fundamental to Heinrich Schenker's conception of voice-

leading structure, which Maus tacitly acknowledges. Significant challenges to the concepts of unity and

coherence have been presented by Maus, Joseph Dubiel (2004), and Alan Street (1989), among others.

Alongside valid concerns about the poor definitions of coherence and unity, the investigation of similarity and

resemblance in articulating an interpretation of unity, and thus the attention to those features of music analysis

at the expense of others, they invariably argue for a more pluralist approach. For example, Dubiel insists that

the key issue in his account of methodological issues related to unity is that music "need not" express unity,

offering unity as but one among many possibilities (2004, 382). As articulated in Chapter 1 of this dissertation,

I view the notions of coherence and unity as tied to genre—the singular entity that is a work of music, finalized

by its association with genre, can be considered a unity. In maximalist music, one finds that the notion of a

logical progression of musical events, which might be said to reflect "coherence," is challenged by the sorts of

abrupt shifts, interpolated genres, and large-scale generic mixture that are discussed throughout this project.

music dramas (Darcy 1990, 1993; Marvin 2002), though the applications tend to consider individual sections rather than complete operas.

The issues presented in the earlier chapters of this dissertation may provide some preliminary answers to the conundrum. First, the great length and inner complexity of maximalist works represent practical challenges for the voice-leading analyst. One might describe as monumental Heinrich Schenker's own 35-page graph of Ludwig van Beethoven's entire "Eroica" Symphony, or Travis's 56 pages of foreground graphs for the first movement of Béla Bartók's Fourth String Quartet. Neither work is on the scale of the maximalist works proposed in this dissertation. Second, theoretical endeavors to conceptualize large-scale form in monumental early-twentieth-century music remain inchoate. As Salzer eloquently suggests, a diachronic view of the overall organization of a musical work requires a coordination between inner and outer form: "From the point of view of the total composition, . . . the various forms of the detail or *inner form* will become organic offshoots of the form of the whole, the *outer form*" (223–24; emphasis original).[219] In the process of coordinating inner and outer form—a process that often involves, for example, articulating *Urlinie* parallelisms that span individual sections—some conception of the overall organization of the work enters into the equation at an early stage. That is, outer form

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[219] Kofi Agawu makes a similar admission in the discussion of his generative analysis and its antecedents in Schenkerian analysis: "Of course, one does not know which background to work from unless one already knows the foreground for which one is aiming, so the generative and reductive approaches entail each other by definition" (2009, 113).

influences the analyst's interpretation of inner form. Maximalist music, with its problematic

engagement with outer form paradigms, makes any such coordination all the more

challenging. Third, the issues associated with genre and the singularity of maximalist music

also presents obstacles for a neo-Schenkerian approach. Musical objects that display

novelistic characteristics, works that seem to shuttle between different musical dimensions or

combine multiple competing procedures, might imply multiple juxtaposed *Ursätze*, tonal

progressions that are fractured by cataclysmic events like a *Durchbruch*, or embedded voice-

leading structures that do not parallel the proposed overarching structure. For instance, in

*Gurre-Lieder*, would each song and orchestral interlude contribute a foreground descent

emblematic of a larger single *Urlinie*? Likewise, do the interjections in *Eine Alpensinfonie* or

the two-dimensional structures in Mahler's Eighth Symphony and Schoenberg's First

Quartet suggest multiple fundamental structures in conflict at the middleground that

somehow come to a compromise at the background? At issue is the very notion of unity. If

the Schenkerian project is at least in part an effort to demonstrate the underlying coherence

of tonal works, the fragmented disposition of maximalist music complicates any such

endeavor.

   The generative mindset that underpins Schenkerian analysis also appears in Jean-Jacques

Nattiez's ([1987] 1990) semiology of music and Kofi Agawu's theory of music as discourse.

Although the spirit of Agawu's (2009) method shares similarities with the rhetorical

approach to form outlined in Chapter 1 of the present study, the kinship is merely

superficial. Yet one wonders why more scholars have not adopted paradigmatic analysis as an

alternative means for exploring the possibility of sustained musical coherence,[220] especially in music that fights shy of standard unifying procedures. Agawu offers analyses from across the Romantic and modernist eras (including the first movement of Mahler's Ninth Symphony, a member of the maximalist enterprise), and his analyses are abundant with detail and creativity. Agawu (2004) also sought to rejuvenate formal analysis in response to Joseph Kerman (1980), championing the need to "get back in" to music analysis. By reinvigorating analysis and reconceiving it along the lines of performance—"a fresh engagement, a re-enactment, not an aggregation of facts" (274)—and composition—"a form of making, of doing, of construction" (277)—Agawu pointed to an approach by which formalism, creativity, and pleasure can coexist in music analysis.

Agawu's own method for generative analysis combines deep creativity and flexibility with technical rigor in a manner that may prove fruitful for maximalist music. Musical units are defined by a notion of "periodicity" (76) that remains loosely defined and can thus accommodate a variety of signifiers of closure. On the other hand, his neo-Schenkerian adaptation of the concept of tonal models in generative analysis involves a strict and methodical composing-out "from the abstract level to the concrete, from a prototype to a piece-specific manifestation" (113). Joseph Kraus (2013) notes the challenge of reliance on

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[220] Agawu (2009) positions his theory of music as discourse in the terms of coherence: "*Discourse* thus embraces events ordered in a coherent fashion" (8). He also associates his narrative approach to analysis with "a basic human need to understand succession coherently" (102).

tonal models when music that can still be appreciably described as "tonal" employs intense

chromaticism:

> Although much of the earlier music of the nineteenth century will "fit" fairly comfortably into the patterns offered here, a considerable amount of music from later in the century—particularly that of Richard Wagner—displays a level of chromaticism, reliance on third relations, and tonal ambiguity that would resist any easy reduction to simple models involving the tonic-dominant axis. One cannot help but notice the conspicuous absence of such highly ambiguous examples from most of [Agawu 2009]; the one exception is the music of Gustav Mahler, though one might argue that his idiom differs in kind from the extreme form of Wagnerian chromaticism under consideration here. This raises the question: Is such ultra-chromatic music simply to be ignored, or are different, more complicated models still to be worked out for this repertoire? And is the choice of conservative models that conform to "classical diatonic tonality" . . . the best way to address the more daring, "adventurous" aspects of nineteenth-century music? (142)

Kraus's question represents yet one more problem largely unaddressed in this dissertation.

Not only is the formal dimension of early modernist music engaged in complex interactions

between various approaches to prior models, but the tonal dimension likewise poses

harrowing challenges for the analyst. Although Agawu does base his methodology in part on

strictly tonal models, an adaptation of the theory's reliance on periodicity, repetition, and

motivic-thematic patterning would likely yield profitable results in early modernist music. As

to the question of coherence, one wonders if, without the tonal models, the notion may be

less convincing in his theory.

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The maximalist enterprise and analytical concerns associated with it can be summarized in a

few statements. In Vienna and the broader German-speaking world, maximalism relied on

*Weltanschauungsmusik* as an expressive foundation. Although that paradigm initiated with

the philosophical symphonies of Mahler and his contemporaries, the will to expand the symphonic medium often couples with an urge to express profound meanings, if not worldviews per se. The formal methods employed to create such meaning are, in this dissertation, described in rhetorical terms. Composers like Mahler, Strauss, and Schoenberg manipulated the expressive potential of the musical formal functions that were passed down to them, juxtaposing often contradictory generic signals. By thus problematizing formal and generic procedures in service of such expression, coherence and unity are often obscured as a result.

Not surprisingly, works that meet the aesthetic and structural criteria of maximalism appear throughout early modernism, spreading around Europe and even across the Atlantic. While music expressive of a world outlook appears outside Austro-Germany, another expressive agenda also figures prominently in works that otherwise fit the maximalist paradigm: the depiction of suffering in an oppressed community. Furthermore, maximalist music appears serving less obvious expressive agendas, and in the later part of the twentieth century the expressive goals of maximalist music become even more varied.

Aesthetic cousins of *Weltanschauungsmusik* manifest in music outside of Germany. Two unfinished examples cited by Taruskin will allow for a short comparative account: Scriabin's *Mysterium* and Ives's "Universe" Symphony. Taruskin describes Scriabin's life project in unabashedly maximalist terms: "The *Mysterium* was to have brought the Wagnerian concept of *Gesamtkunstwerk* to its unsurpassable maximum: indeed, as originally conceived, Scriabin's work was to have been the *opus ultimum* of all time, literally the last word in art"

(2005, 224). The work was to include not only music, dance, voice, and stage, but even "aromatic effects" (225), creating what Anna Gawboy (2017) deems a "massive multisensory ritual" (181). Gawboy articulates Scriabin's vaulted objective for the work in terms of theosophy: "a work of art," Scriabin came to believe, "could produce vibrations that would trigger the dematerialization of physical objects and the human body, ushering in a new epoch of heightened spirituality" (181).[221] Thus, the role music would play in Scriabin's *Mysterium* represents more than mere expression. Antony Copley (2010) writes that theosophy came nearly six years late in the composer's vision for *Mysterium*—earlier influences included Friedrich Nietzsche, Hindu philosophy, and the Indian mystic Aurobindo Ghose (218)—grafting itself onto a project "to which all his compositions were somehow directed" (220). Having absorbed these philosophies into his artistic purpose, Scriabin's motivation for the maximalist *Mysterium* was the transformation of the human experience (a task that, Taruskin admits, was too tall for Scriabin, and one that left him "disillusioned about the nature and value of art" [2005, 225]).

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[221] John Covach (1992, 1996) traces a similar influence of theosophical inquiry on Schoenberg, one that brings a comparable distinction between the material and the spiritual into the Viennese composer's theorizing:

> It is quite possible that Schoenberg thought of the *musikalischer Gedanke* as residing in a spiritual realm above the physical one, a higher realm closed off to rational-verbal thought and accessible only to intuitive perception. Through intuition, the composer is able to glimpse into this higher realm where time and space are radically transformed. A work of art as it ends up being composed out in the physical realm amounts to a kind of laying out in material time and space of something that is essentially non-physical. (1992, 111)

Gawboy (2017, 181n1) notes the broad attraction that theosophy had for artists across the early-twentieth-century world.

If Scriabin's unrealized maximalist agenda involves reconstructing humanity itself, Ives's might be considered more abstract and metaphysical: his hope was "to cast eternal history, the physical universe of all humanity past, present, and future, physical and spiritual—to cast them in a 'universe of Tones.'"[222] Ives's "Universe" Symphony would offer a musical rendering of time itself. Taruskin places Ives in the *Weltanschauungsmusik* lineage not only because of the encyclopedic vision of the work, but also because, like Scriabin, Ives "reached tonal saturation with aggregate chords" (283). Unlike Scriabin, Ives went beyond twelve-tone equal temperament, employing microtonal scales to create a "more natural and 'universal' music" that would permit the kind of transcendent experience Ives was after (284). The ambitious representational goals of the "Universe" Symphony saw the piece, like Scriabin's *Mysterium*, far from complete in Ives's lifetime, even as the latter envisioned nothing like the multisensory apparatus that Scriabin had planned.

A cosmopolitan candidate for maximalism in the near orbit of German modernism, Ravel composed his "symphonie choréographique," *Daphnis et Chloé* (1912), for the Ballets Russes on a commission from Sergei Diaghilev. A contemporary of Ravel's, Scott Goddard (1926) compares the ballet to Paul Dukas's symbolist opera *Ariane et Barbe-Bleue* (1906) on account of both works' "enlarged" schemes and "evident structural cohesion" (215). For Ravel, the composition was "on a scale infinitely more extended" (216) than most of his

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[222] The text appears in the margins of sketches for the "Universe" symphony and is cited in Lambert 1997, 187.

prior work,[223] and Goddard notes the use of thematic integration and leitmotifs throughout the ballet. The composer even described it in a letter to Ralph Vaughan Williams as "my most important work" and "one of the weightiest in my artistic career" (reproduced in Orenstein 1973, 316). Yet for all the maximalist aspects of *Daphnis*—a work that Simon Morrison notes was "by far the longest in [Ravel's] *oeuvre*" (2004, 51)—musicologists have not generally construed the ballet as the declamation of some concrete personal ideology. Rather, as Steven Huebner (2014) puts it, "Ravel's music has no moral preoccupations," a trait that places the composer in opposition to his contemporary, Vincent d'Indy: "Contemporaries could construe Ravel's language as what d'Indy's was not. As a counterpoise to a discourse where the underlying intent was more ideologically 'marked,' Ravel's music perforce became marked as well" (85). Ravel's translation of Michel Fokine's scenario into music lacks the sort of assertive worldview that maximalist music often encapsulates, instead reifying the essence of impressionism in music while evincing a common-at-the-time reverence for antiquity.[224]

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[223] Simon Morrison (2004, 51) points out Ravel's early vision of an off-stage mixed chorus that would supplement the orchestra, an "essential feature of the score" that nevertheless went omitted in the London premiere.

[224] Although Ravel dissociated himself from the painterly notion of impressionism, Deborah Mawer ([2006] 2016) notes several qualities associated with impressionism in the score of *Daphnis*, including the rich orchestrational colors, exoticism, a "dream-like atmosphere," and the use of various modes (95–99).

On the other hand, maximalizing techniques like those presented throughout this dissertation appear in modernist music that does have a particular expressive stance, but one that is not inherently philosophical. Works like Beach's "Gaelic" Symphony, op. 32 (1896), Coleridge-Taylor's cantata trilogy *The Song of Hiawatha*, op. 30 (1898–1900), and Shostakovich's "Leningrad" Symphony no. 7, op. 60 (1941), constitute each of the composers' most enterprising creations. Moreover, all of them share a Mahlerian desire to "communicate truth about the human situation"—truth, though, in the form of human suffering at the hands of oppression. Beach's "Gaelic" Symphony, her most ambitious symphonic work, incorporates Irish folk tunes (especially in its extended slow movement), cyclic thematic integration, and programmatic elements in order to depict at the turn of the century the oppression of immigrants in America (Gerk 2016). Moreover, citing George P. Upton, Adrienne Block (1998) writes that it was the very task of composing a symphony as a woman in America that situated the "Gaelic" in the aesthetic of maximalism:

> Composing a symphony means challenging the heights of art and taking a monumental risk. . . . Whereas a mass had been the traditional proving ground in earlier times, the symphony was the contemporary test for composers. Whether Beach felt the urgent need for such a test or was challenged by her husband, she had to face the prevailing assumption that women were not equipped to deal with the "theoretical intricacies, the logical sequences, and the mathematical problems which are the foundation principles of music" deemed necessary for the creation of high art. (86)

The finale constitutes the technical demonstration of maximalism. In sonata form, the development shrinks in order to massively expand the recapitulation and coda, the latter of which sees a string of climactic arrivals that suggest the overcoming of grief. Along similar lines, Coleridge-Taylor's *Hiawatha* depicts the plight of Indigenous Americans across its

three thematically interrelated cantatas, while also serving as an allegory for the Black

experience. The trilogy has been considered a large-scale symphonic work (Revill 1995, 258),

despite the cantatas existing as separate entities, calling to mind the grouping issues

associated with *Gurre-Lieder*.

As for Shostakovich's "Leningrad" Symphony, most germane to the notion of maximalist

illustrations of suffering is the first movement, in which the sonata-form development is

replaced by the so-called "Invasion" theme. Whether depicting the arrival of the occupying

*Wehrmacht* forces or the Stalinist regime's mass purges that preceded it, the theme's grim

presence in the first movement problematizes the sonata itself, as its fulcrum becomes not the

development of themes but the nauseating, seemingly interminable repetition of the

"Invasion" theme. Depictions of suffering like those described above, although different in

kind from the *Weltanschauungsmusik* model appearing in Germanic early modernism, share

with that model the paramount urge to express enormously, often at the expense of

traditional formal procedures. That expressive goal results in generic and formal novelties not

unlike the models presented throughout this dissertation.

To compose symphonic works of such enormous size was to summon more than a

century of orchestral tradition for the purpose of profound expression. It should come as no

surprise, then, that the maximalist institution did not die off in the post-war period—rather,

new members extended and problematized maximalism as a genre itself. Messiaen's

*Turangalîla-Symphonie* surpasses all the major symphonic works of the 1940s in scale.[225] According to Peter Hill and Nigel Simeone (2005), it was composed at a time when the devoutly religious composer's mind was focused on multiple massive projects, including an unrealized "Symphonie théologique" (196). The subject in this monumental work is not religious or spiritual passion—in contrast to other large-scale works of Messiaen's career like the *Vingt Regards sur l'enfant-Jésus* (1944) or the opera *Saint François d'Assise* (1983)—but "the joys of human love" (Hill and Simeone 2005, 133). *Turangalîla*'s unique movement structure and use of cyclic themes only deepens the sense of maximalist innovation. The ten movements were initially four (which would become movements I, IV, VI, and X). Messiaen then added the three "Turangalîla" movements (which he described as "rhythmic studies"). The remaining three movements came last, and Messiaen described movement VIII as a "large development" (160, 171), which would seem to suggest a transsymphonic procedure that unites the ten movements in a single teleology. Novel structural techniques paired with a uniquely material (at times, carnal) expressive agenda make *Turangalîla* altogether distinct from a maximalist perspective.

Some of the most recent entries into the annals of maximalism include Boulez's electroacoustic symphonic work, *Répons* (1981), Stockhausen's mammoth reimagination of the operatic cycle, *Licht* (1977–2003), and La Monte Young's study in improvisation, *The Well-Tuned Piano* (1964–73–81–Present). In idioms wholly distinct from any of the works

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[225] For a brief comparison of *Turangalîla* with contemporaneous symphonic works, see McNeill 2010.

described above, each of these works nevertheless contributes a new generic example of maximalism. Moreover, they all share features with the Germanic works discussed throughout this dissertation. They represent some of the most audacious works of their respective composers' outputs, and they project a deep sense of purpose, representing a critical and philosophical stance toward the musical world around them. Respectively, they explore the very notion of musical sound and the interactions between musicians and electronics, the musical representation of the universe itself as an eternal spiritual beyond, and the concept of finitude and musical reality through improvisation. Such deep questions about music provide necessary aesthetic fodder, and the musical innovations that result inevitably challenge the limits of a musical work and the listening experience.

<p style="text-align:center">*         *         *</p>

My efforts to explore the analytical problems posed by maximalist music stem from philosophical, structural, and expressive concerns that are relevant to scholars of music written since the Romantic period. I do not suggest that the techniques employed by early modernist composers are exclusive to the modernist era; rather, I contend that early modernist composers regularly made recourse to prior formal methods principally because of the expressive potential of those procedures. Mahler, Strauss, and Schoenberg—the central figures of this dissertation, but also the composers that largely inaugurated maximalism in Taruskin's historical account—manipulated traditional structural procedures in order to craft meaning.

The abandon with which these composers drew from prior practice leaves the analyst of maximalist music in need of a flexible theoretical apparatus. By adapting theories, analytical mindsets, and perspectives from literary theory, I attempt in this dissertation to demonstrate that the makings of such an apparatus are already available to scholars of music. Conceptualizing form in terms of genre creates a framework in which formal events can be understood as meaningful even—especially—when they contradict prevailing structural logic. Recognizing the fruitfulness of both conformational and generative approaches to form, drawing on the strengths of multiple theoretical methodologies, and striving to articulate the expressive import of particularly striking moments in a work, this dissertation aims to establish an analytical practice that can be applied outside of maximalist music to formal situations that blur large-scale genres, manipulate the components of a form in service of rhetorical aims, or combine formal procedures across multiple layers of structure.

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Analytical Problems of

Aesthetics, Genre, and Large-Scale Form

in Germanic Music, 1905–15

Volume 2: Figures

by

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FIGURES FOR CHAPTER 2

FIGURE 2.1. A reproduction of Table 18.1 from *Elements of Sonata Theory* (Hepokoski and Darcy 2006, 391).

TABLE 18.1    From Rondeau to Sonata-Rondo: A Continuum of Formal Categories

| Rondeau | Rondo | Sonata–rondo (Type 4) | [Sonata] |
|---|---|---|---|
| "Refrain" and "couplets" | "Refrain" and "episodes" | Sonata terminology is preferable: P TR ' S / C | |
| Alternation of simple melodic structures (period, hybrid, or group of phrases) | Alternation, but of somewhat more complex/expanded structures (esp. binary, rounded binary, sometimes with repeats) | TR-zone follows the initial "refrain" (refrain = P or P$^{rf}$) | |
| Few or no links or retransitions between the sections | More elaborate retransitions as the episodes return to the refrain, but no TR between A and B | First rotation is explicitly structured as the exposition of a sonata, with RT at its end | |
| Refrain usually returns literally | Returns of refrain are sometimes truncated | A later rotation recapitulates and resolves the expositional rotation | |
| | | May be in dialogue with the Type 1, the expanded Type 1, the Type 3, or the Type 5 sonata | |

FIGURE 2.2. Form charts of two hybrid precedents in Mahler's symphonic oeuvre: a) Symphony No. 5, v, "Rondo-Finale"; b) Symphony No. 3, vi, *Langsam. Ruhevoll. Empfunden.*
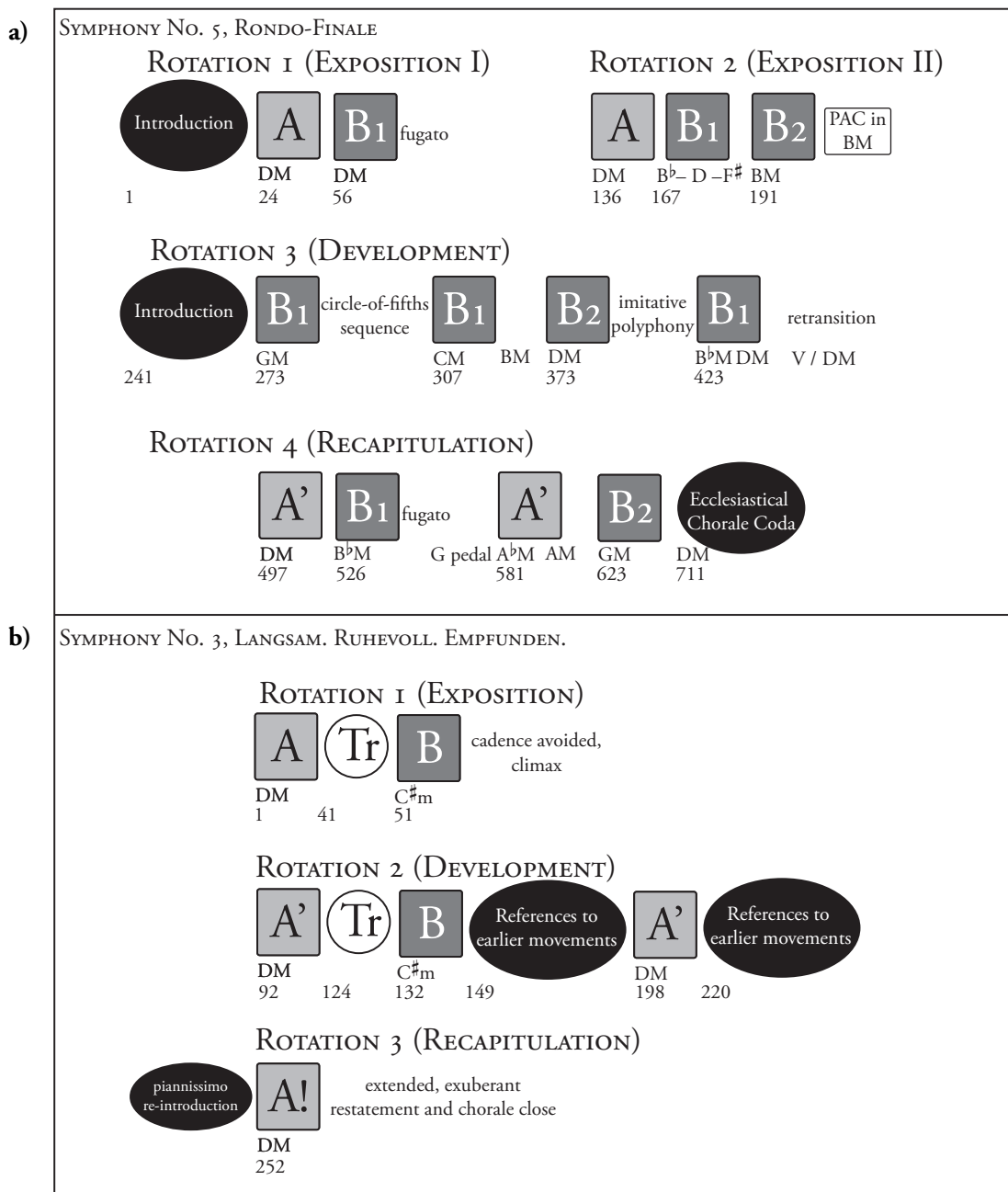
FIGURE 2.3. Models of functional rotations in Mahler's late symphonies. Movements that exemplify the model are cited.



e.g. Mahler 4, i

"EXPOSITIONAL" ROTATION

"serious" "loose"   "lyrical" "tight knit"

Intro   A   Tr   B

1   4   32   38

Contrasting Themes (often with opposite modes), linked by Tr

e.g. Mahler *DLVDE*, vi

MODULAR "DEVELOPMENTAL" ROTATION

Weak or No Intro   A   B₂   Fullfilment& Collapse

137   158   166

Varied restatement of Main Theme dissoves and gives way to **New** Contrasting Theme in Opposite Mode

e.g. Mahler 7, i

MODULAR "DEVELOPMENTAL" ROTATION

Weak or No Intro   AAAA   Suspension   Re-Creation

174   256   317

Sequential statements of Main Theme lead to Breakthrough-Suspension followed by **a** period of Re-creation

e.g. Mahler 9, iv

"RECAPITULATORY" ROTATION

Re-Intro   A!

107   126

Dramatic main theme reprise; **Original** Contrasting Theme Doesn't Materialize

FIGURE 2.4. A reproduction of Figure 1.5 from "What are Formal Functions?" (Caplin 2009a, 38).

| | TIGHT-KNIT ⟶ | | | LOOSE |
|---|---|---|---|---|
| tonality | home key (I) | subordinate key (V) | distant keys (iii, ♭VI) | modulating |
| harmony | prolongation of I | prolongation of I⁶ | prolongation of V | sequential |
| | diatonic | | modal mixture | chromatic |
| cadence | PAC | HC | cadential evasion | no cadence |
| grouping structure | symmetrical (4 + 4) | (6 + 6) | | asymmetrical (4 + 3 + 5) |
| motivic material | uniformity | | | diversity |
| thematic conventionality | period | sentence | | non-conventional types |

Figure 1.5   'Tight-knit' versus 'loose'

FIGURE 2.5. A hybrid interpretation of the first movement *Adagio* of Mahler's Tenth Symphony. Although the figure employs sonata-form labels, the movement should be understood as a hybrid because of the adagio genre, the numerous P refrains, and the post-recapitulatory space.
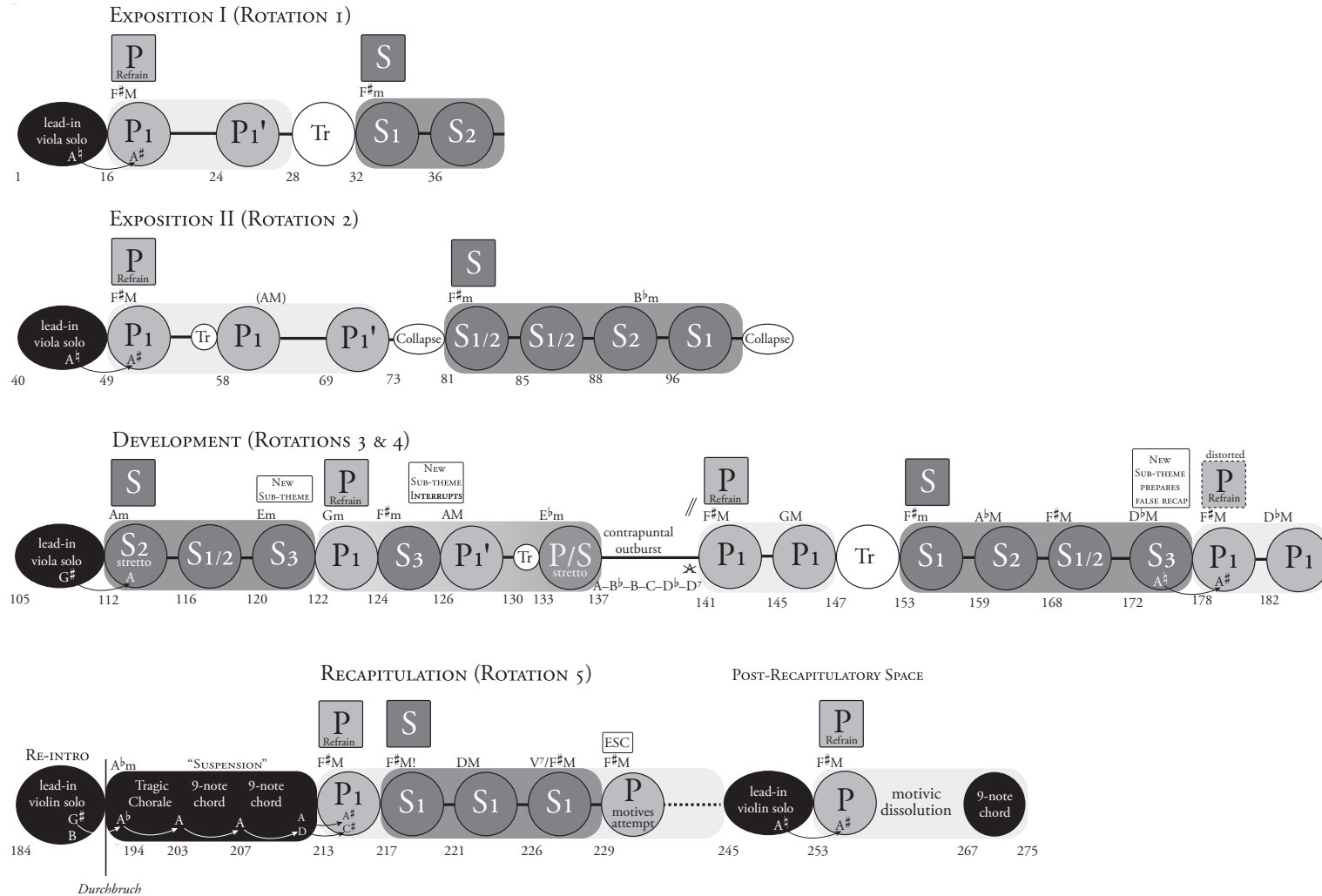
FIGURE 2.6. A reproduction of Stephen Hefling's form chart of "Der Abchied," Figure 4 (2000, 106).
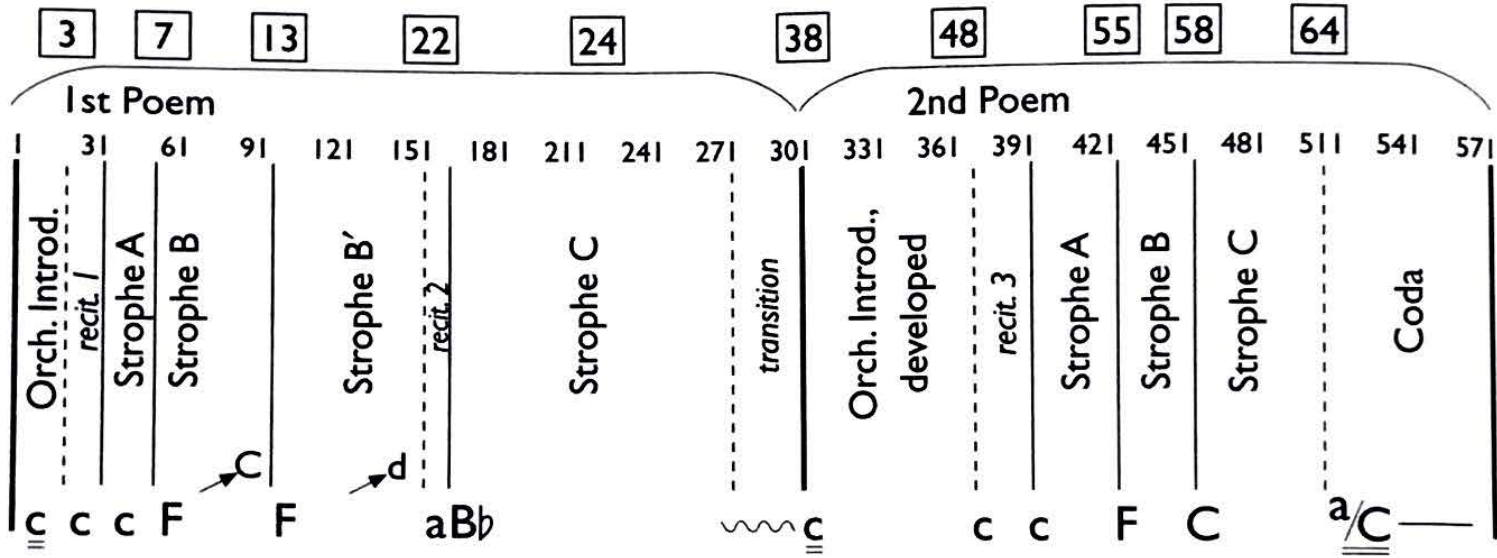
FIGURE 2.7. A hybrid form chart of "Der Abschied," the finale of Mahler's *Das Lied von der Erde*.
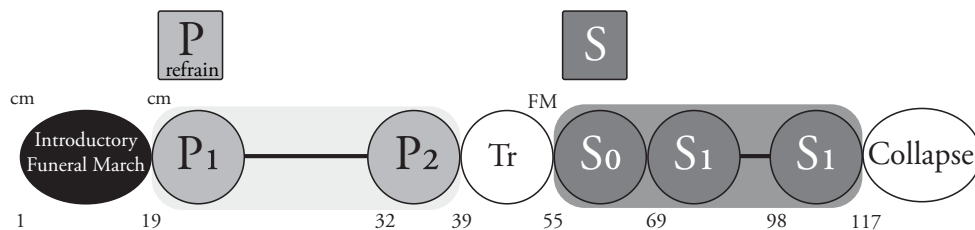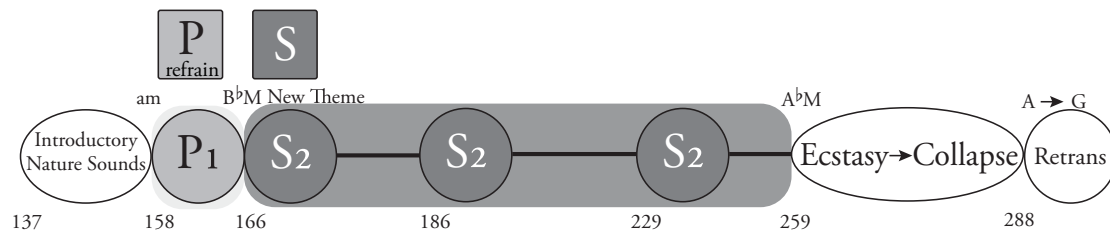
FIGURE 2.8. The three P₁ recitatives that begin rotations in "Der Abschied": a) mm. 19–26; b) mm. 158–66; c) mm. 370–84.

FIGURE 2.9. A hybrid formal interpretation of Mahler's Rondo-Burleske, the third movement of the Ninth Symphony. The functional rotations indicated with arrows designate that the rotations should be understood as hybrid rondo-sonata rotations. For example, $A_1$ and $A_{TR}$ should be understood in dialogue with a sonata-form primary theme and transition.
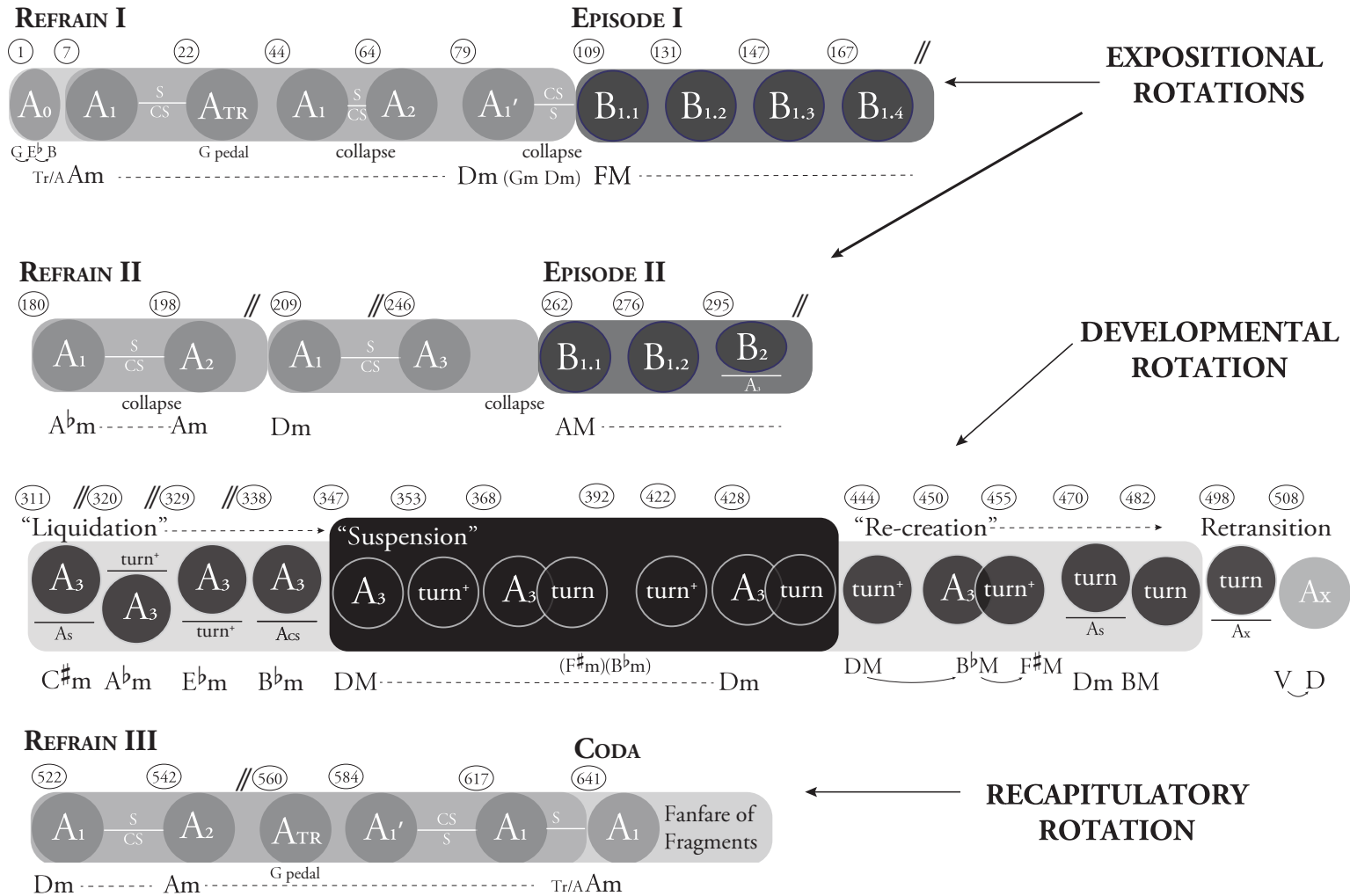
FIGURE 2.10. A motivic analysis of the first theme in the rondo-theme complex, A₁: (a) an account of the various motives, also highlighting the invertible counterpoint at play; (b) a short-score excerpt of mm. 7–22, with the first instance of motives marked.
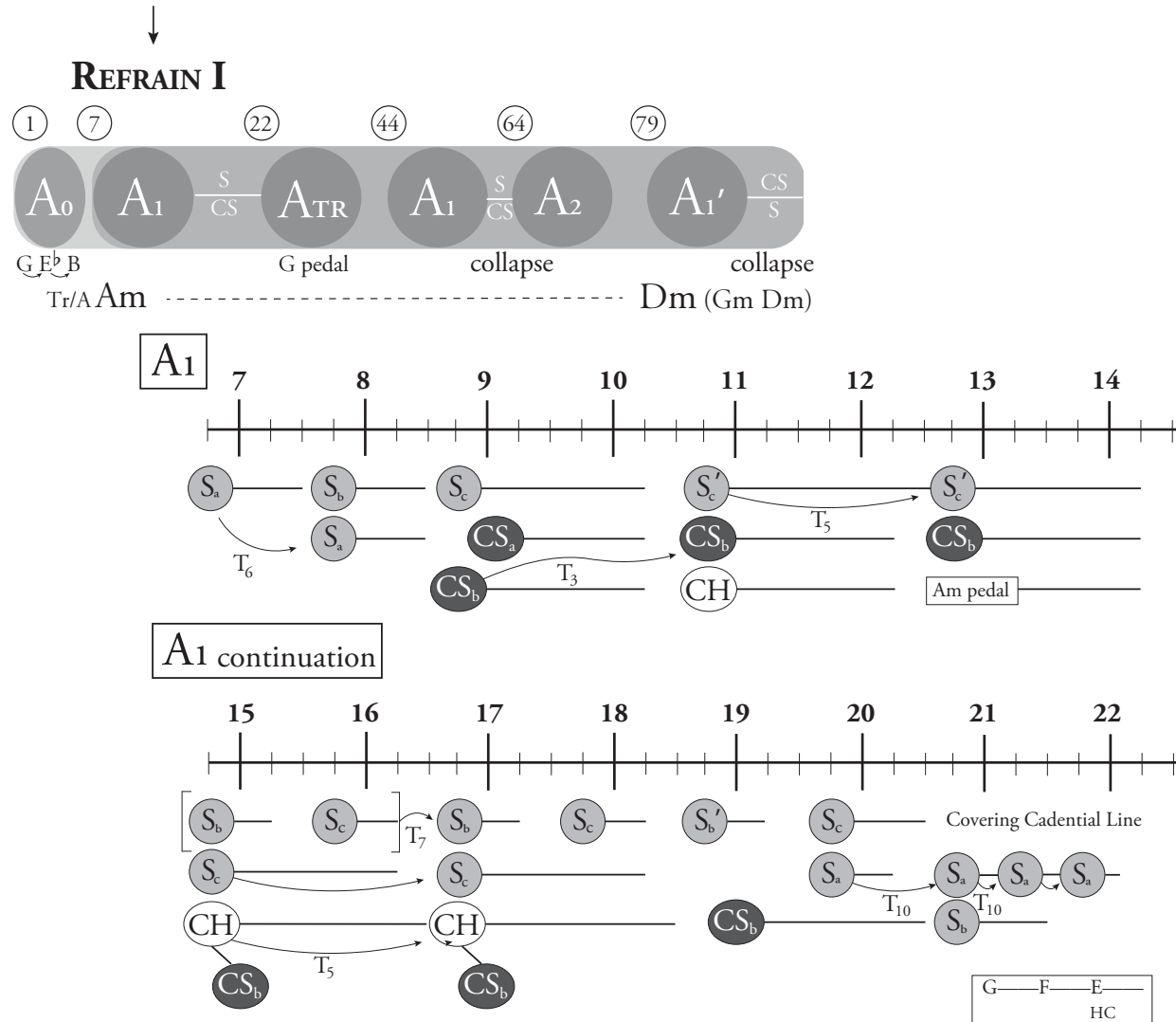
**b)**

FIGURE 2.11. A motivic analysis and short-score excerpt of the first return of A₁ in mm. 44–64: (a) a motivic analysis; (b) a short-score excerpt of mm. 44–64.

**b ctd.)**

FIGURE 2.12. A motivic analysis and short-score excerpt of the modified return of A₁' at mm. 79–86: (a) a motivic analysis; (b) a short-score excerpt of mm. 79–86.

FIGURE 2.13. A motivic analysis and short-score excerpt of the modified return of A₁ at mm. 180–96: (a) a motivic analysis; (b) a short-score excerpt of mm. 180–96.
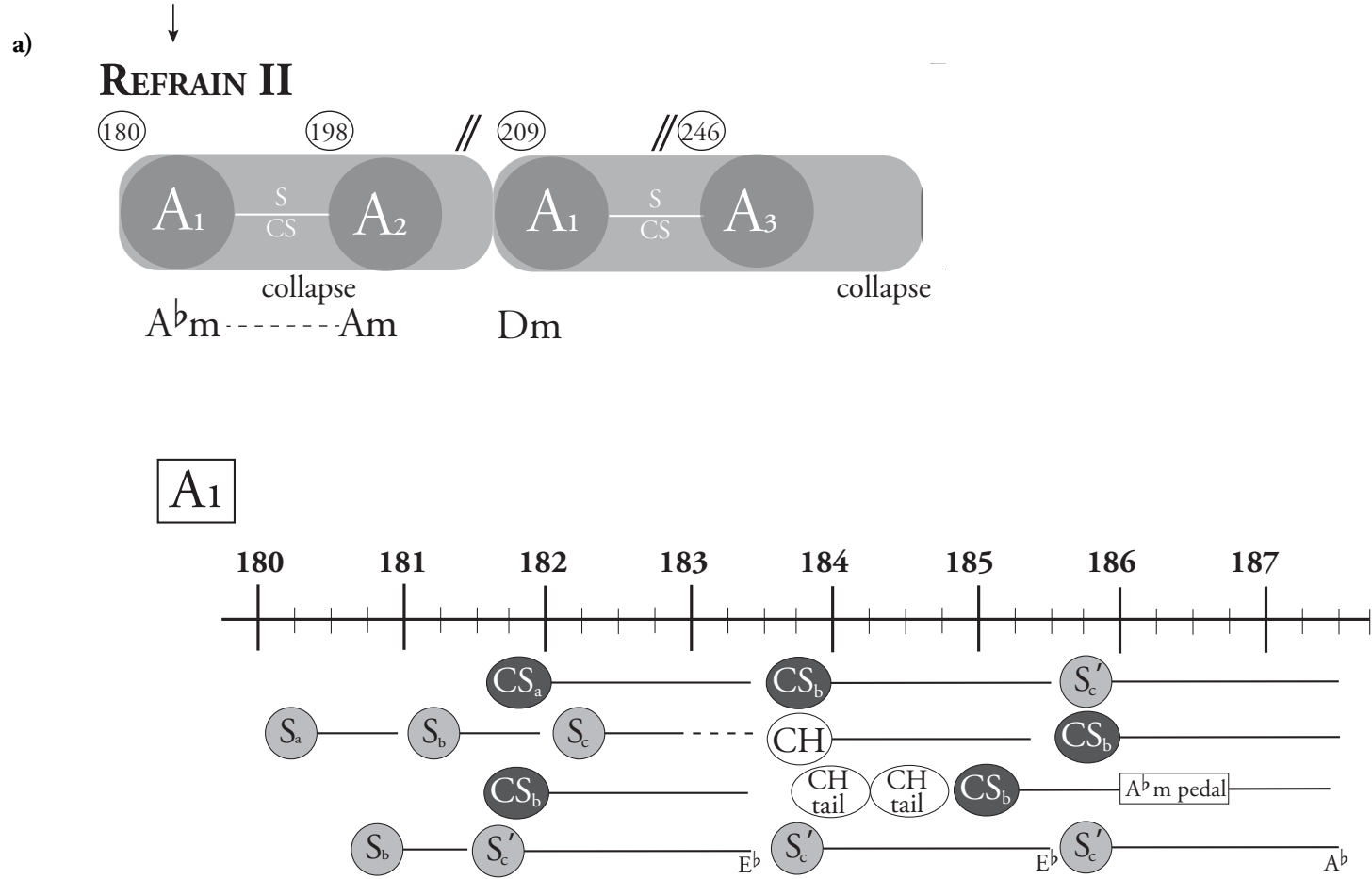
FIGURE 2.14. A motivic analysis and short-score excerpt of the recapitulatory A$_1$ at mm. 522–29: (a) a motivic analysis; (b) a short-score excerpt of mm. 507–29, including the end of the retransition to show the A-theme motives that have been reactivated.
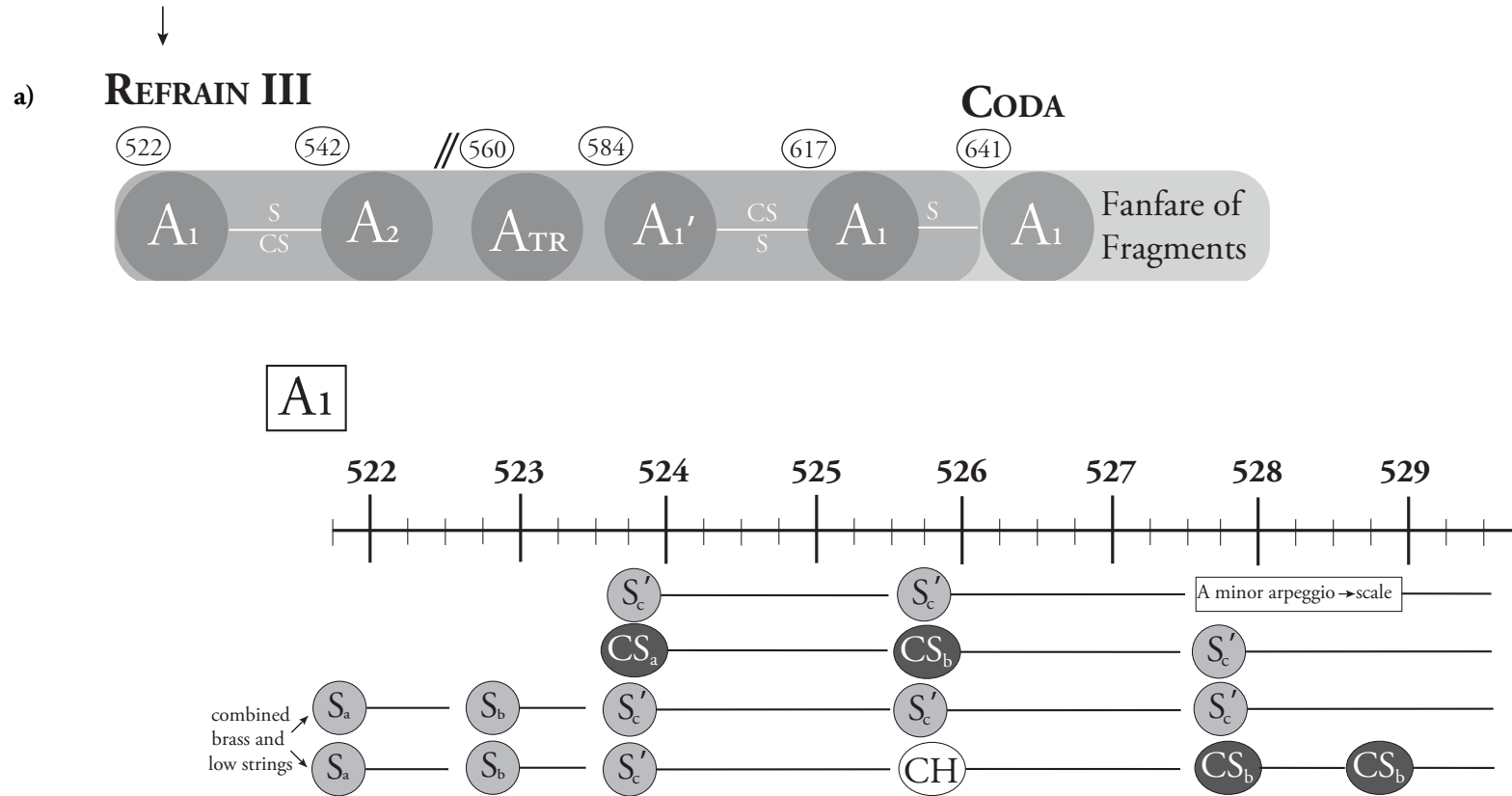


a)

REFRAIN III

CODA

**b ctd.)**

**Tempo I. subito.**

FIGURE 2.15. A short-score excerpt of the *Presto* ending of the Rondo-Burleske, mm. 638–end (continued on next page).

FIGURE 2.16. A hybrid formal account of the *Adagio* finale of Mahler's Ninth Symphony.
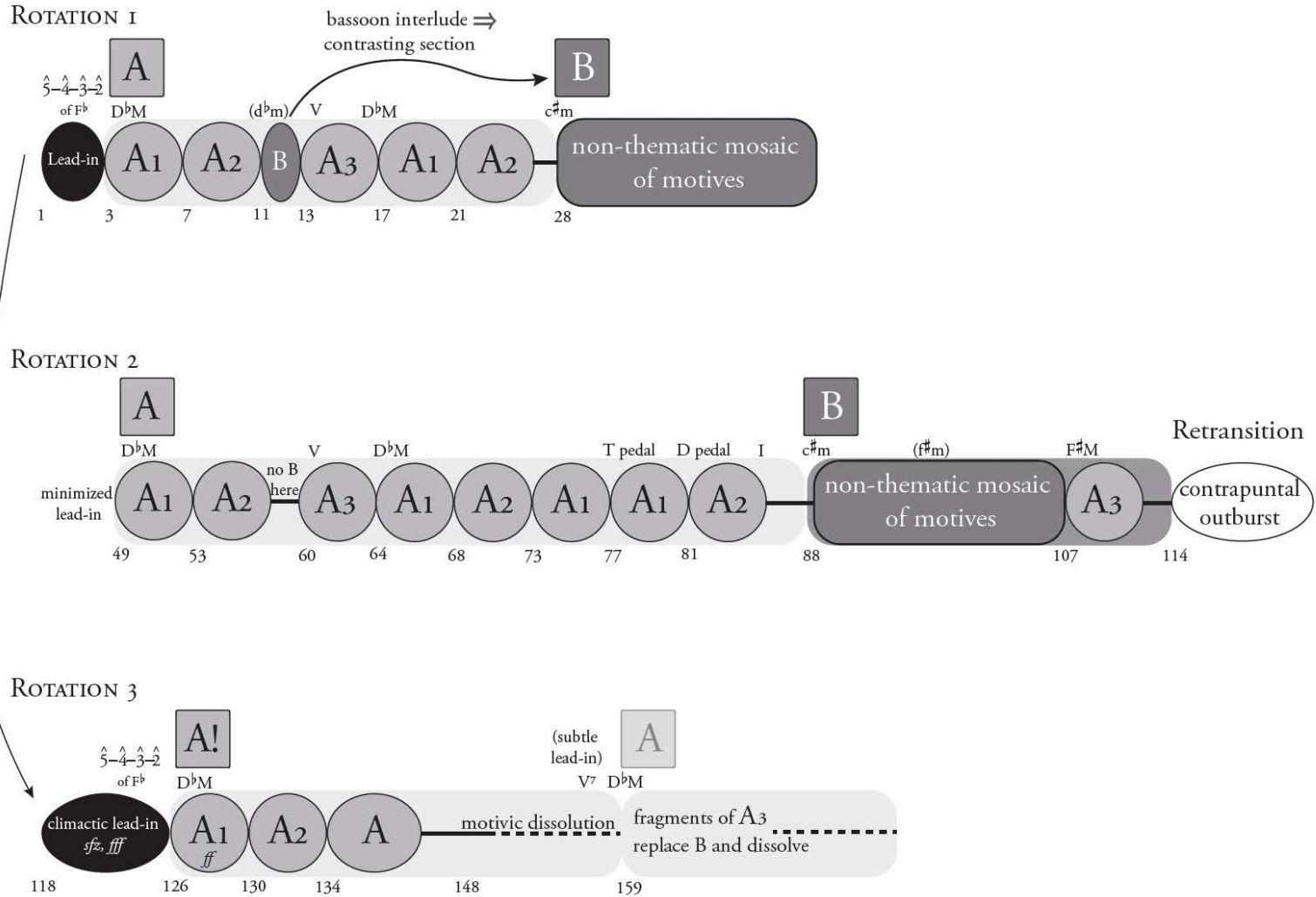
FIGURE 2.17. A short-score excerpt of the re-introduction from the *Adagio* of Mahler's Ninth Symphony, mm. 118–26, continued on the next page.

FIGURES FOR CHAPTER 3

FIGURE 3.1. A gestural analysis of the Summit 2 theme that appears in the horns at m. 602 of *Eine Alpensinfonie*. Features of the theme are identified by their relation to the symphony's two overarching theme families: the nature themes, and the subjective hiker themes.



FIGURE 3.2. The twenty-two programmatic labels that appear in *Eine Alpensinfonie*, in the original German and in English translation.

| | |
|---|---|
| Nacht | Night |
| Sonnenaufgang | Sunrise |
| Der Anstieg | The Ascent |
| Eintritt in den Wald | Entry into the Woods |
| Wanderung neben dem Bache | A Walk along the Brook |
| Am Wasserfall | At the Waterfall |
| Erscheinung | Apparition |
| Auf blumigen Wiesen | On Flowering Meadows |
| Auf der Alm | At the Pasture |
| Durch Dickicht und Gestrüpp auf Irrwegen | Wrong Turns through Thicket and Brush |
| Auf dem Gletscher | On the Glacier |
| Gefahrvolle Augenblicke | Perilous Moments |
| Auf dem Gipfel | At the Summit |
| Vision | Vision |
| Nebel steigen auf | Fog Rises |
| Die Sonne verdüstert sich allmählich | The Sun is Gradually Obstructed |
| Elegie | Elegy |
| Stille vor dem Sturm | Calm Before the Storm |
| Gewitter und Sturm, Abstieg | Thunder and Rainstorm, The Descent |
| Sonnenuntergang | Sunset |
| Ausklang | Ausklang |
| Nacht | Night |

FIGURE 3.3. A representation of narrative, story, drama, plot, and an idealized, non-programmatic music in relation to three factors: expressive immediacy, temporality, and character determinacy. *Eine Alpensinfonie* is plotted in the interior of the cube, in closest proximity to drama.
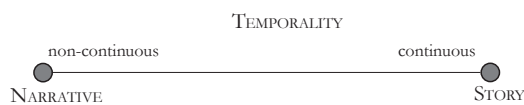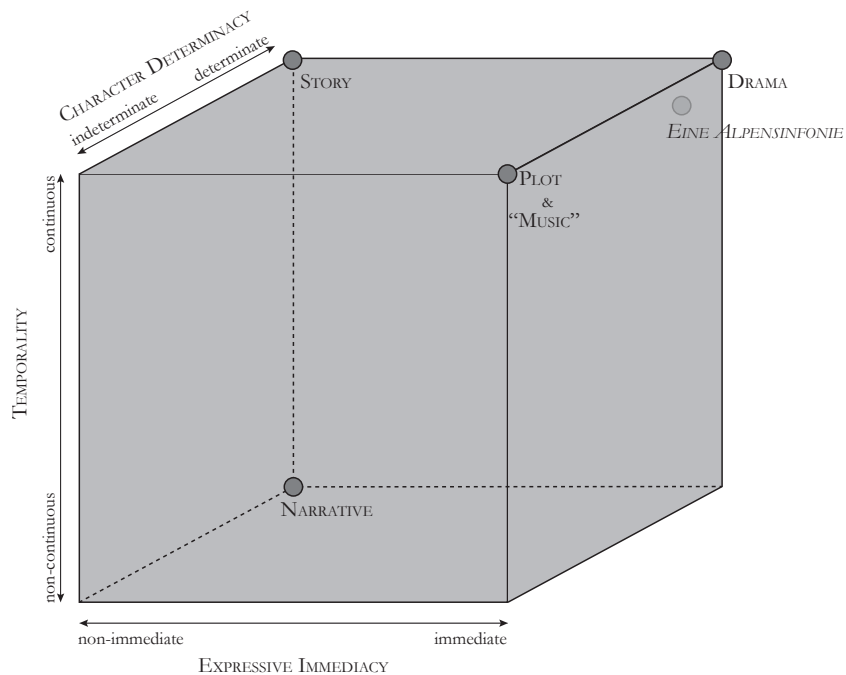


FIGURE 3.4. A reproduction of Gustav Freytag's model of dramatic structure.
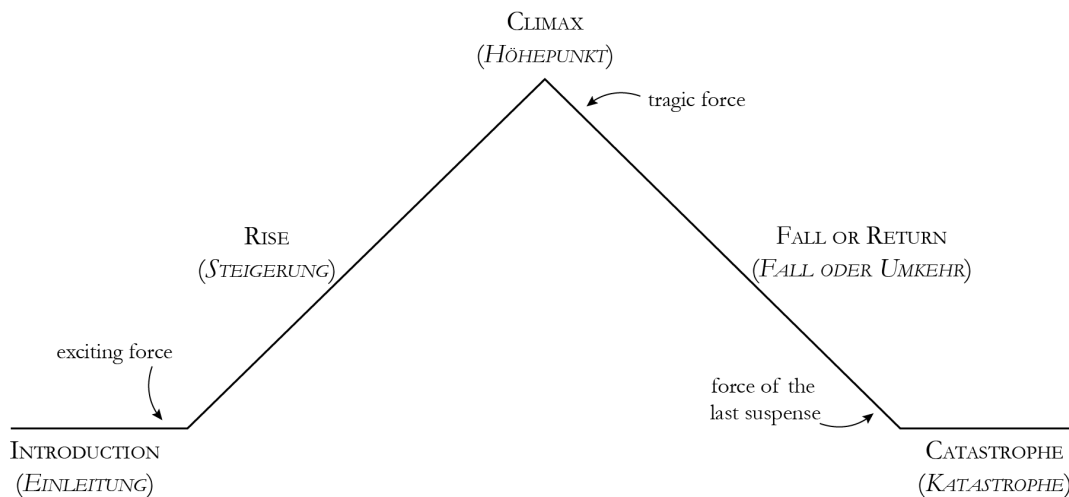
FIGURE 3.5. A chart of the interaction between dramatic structure and sonata-form structure in *Eine Alpensinfonie*. The dramatic structure draws on Gustav Freytag's model. The sonata form is unusual, featuring two developments and a non-sonata climactic episode. Note the macrorotational correspondence between the first and second halves, especially the move from a strong to a weak sonata functional rotation.

| | | | Exciting Force | | | | | | | | | | | Tragic Force | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| DRAMATIC STRUCTURE | INTRODUCTION | | RISE | | | | | | | | | | CLIMAX | | | | | |
| SONATA STRUCTURE | SLOW INTRODUCTION | | EXPOSITION (STRONG) | | | | | | DEVELOPMENT 1 (WEAK) | | | SUMMIT EPISODE | | overlapping "re-entry" into sonata space | | | | |
| PROGRAMMATIC LABELS | Night | Sunrise | Ascent | Entry into the Woods | Brookwalk | Waterfall | Apparition | Meadow Pasture | Wrong Turns | Glacier | Perilous Moments | At the Summit | | Vision | Fog Rises | Obscured Sun | Elegy | Calm Before the Storm |
| mm. | 1 | 46 | 74 | 147 | 272 | 292 | 301 | 333 366 | 436 | 490 | 521 | 565 | | 653 | 729 | 737 | 755 | 790 |

| | | | | Force of the Last Suspense | | | |
|---|---|---|---|---|---|---|---|
| | FALL OR RETURN | | | | CATASTROPHE | | |
| overlapping "re-entry" into sonata space | DEVELOPMENT 2 (STRONG) | | RECAPITULATION (WEAK) | | CODA | | |
| Fog Rises | Obscured Sun | Elegy | Calm Before the Storm | Storm/Descent | Sunset | Ausklang | Night |
| 729 | 737 | 755 | 790 | 847 | 987 | 1036 | 1131 |

FIGURE 3.6. A chart of the introduction of *Eine Alpensinfonie*.
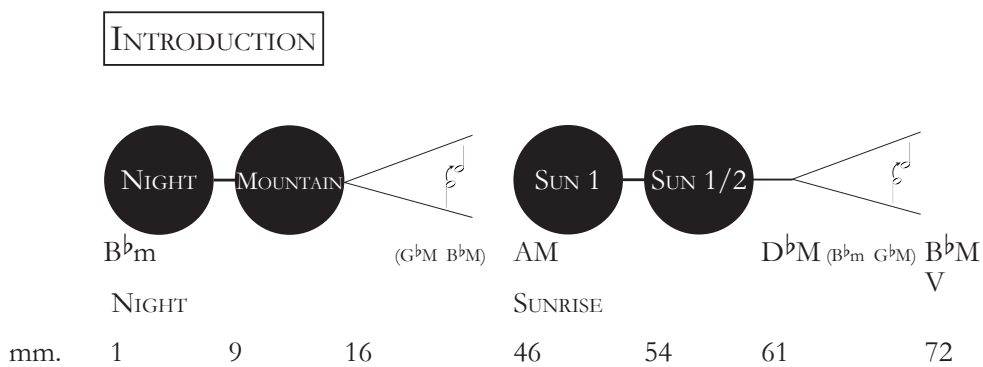


FIGURE 3.7. A chart of the coda of *Eine Alpensinfonie*.
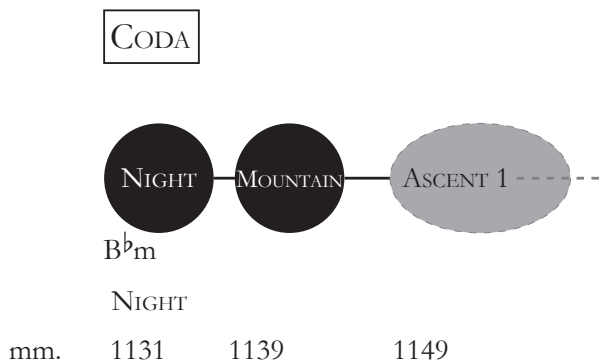
FIGURE 3.8. The exposition of *Eine Alpensinfonie*. Individual thematic ideas are represented by their labels and refer to the themes in Appendix 1. The formal overview demonstrates a sonata exposition involving a primary-theme complex, as well as transitions to various stable secondary keys that attempt to introduce secondary themes, none of which is sufficient form-functionally to serve as a full-fledged secondary theme.
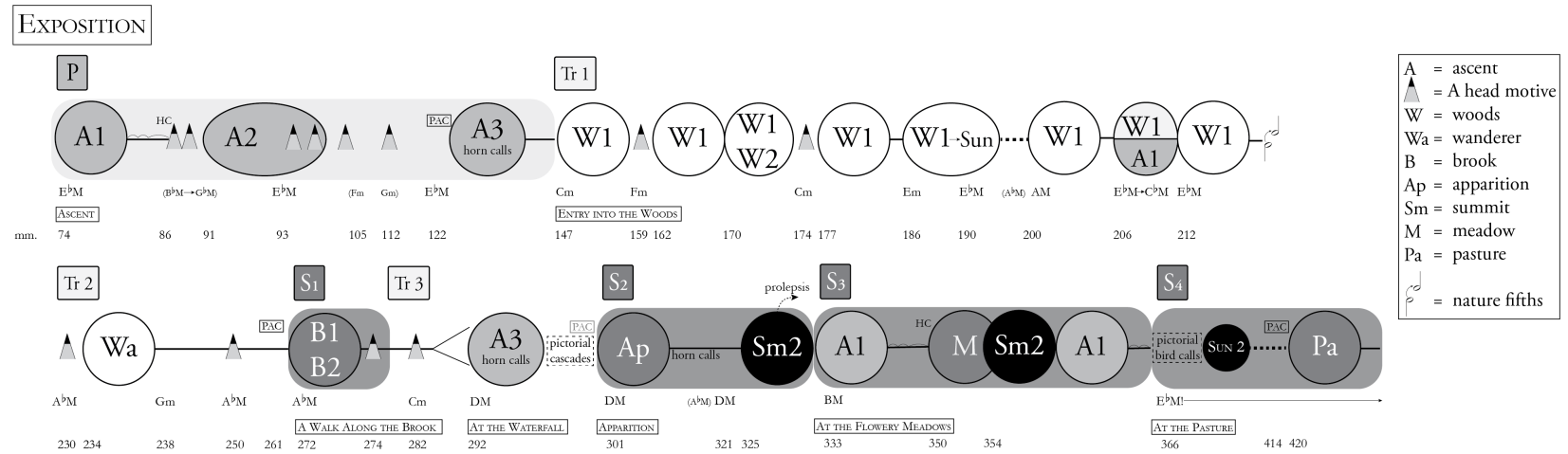
FIGURE 3.9. A chart of the action- and event-sequence programmatic labels, indicating the plot of the exposition of *Eine Alpensinfonie*. Solid arrows indicate willful actions. Dotted black arrows indicate reactive actions. Dotted gray arrows indicate the onset of events.
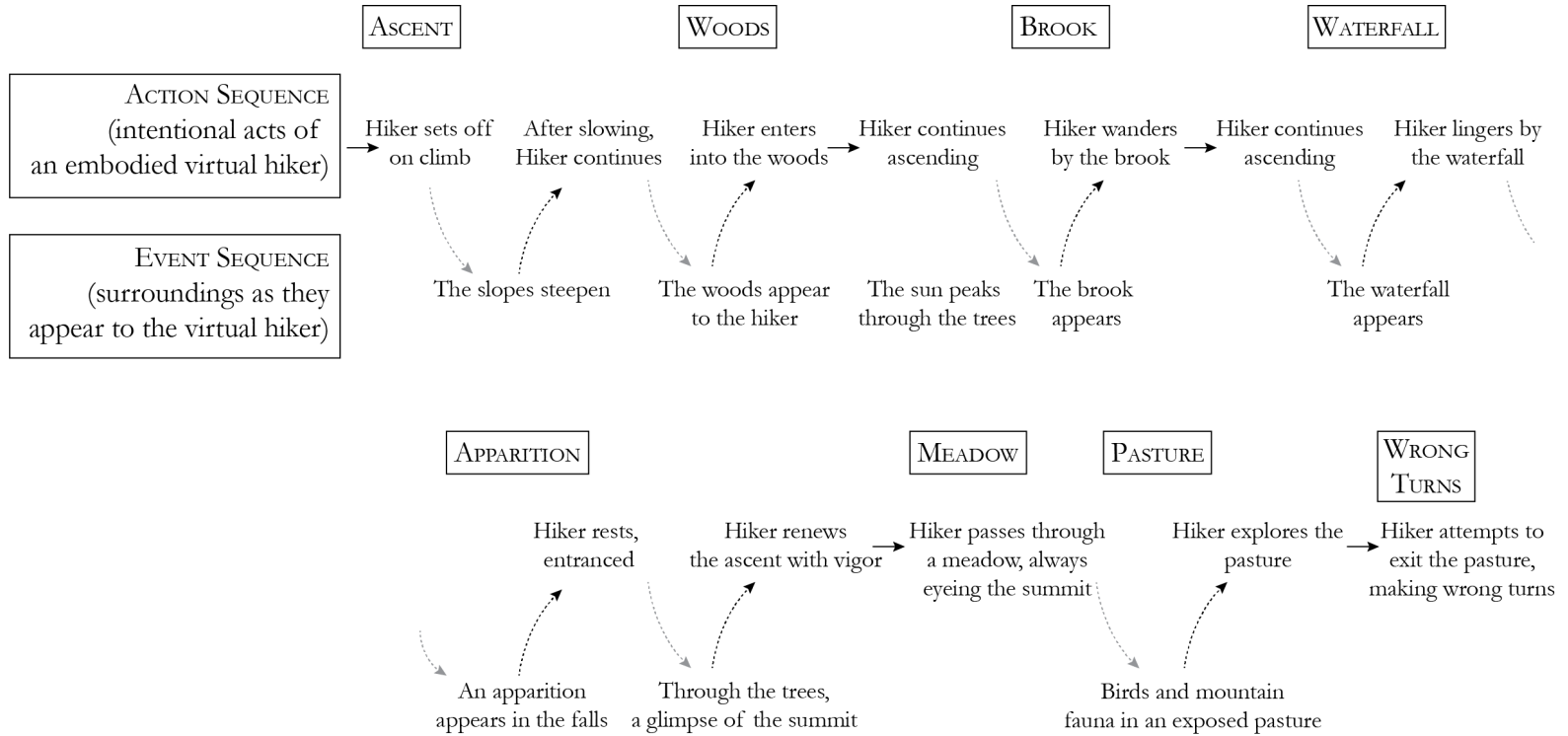
FIGURE 3.10. The themes of the exposition of *Eine Alpensinfonie* and the thematic transformations that relate them.

unfolding thirds

Apparition
m. 301

overall contour neither rises nor falls,
sinusoid, mixing arpeggiations and ascents

rhythmic motive
of Ascent theme

Ascending line
concludes with
rapid descent

global tonic arpeggiation

Meadow
m. 350

unfolding thirds

prioritiy descending
stepwise motion

Ascending line
concludes with
rapid descent

prioritiy descending
stepwise motion
and global tonic
arpeggiation

retain
unfolding thirds

Pasture
m. 420

prioritiy ascending
stepwise motion

overall sentential
structure

overall sentential structure

Ascending line
concludes with
rapid descent

global tonic arpeggiation

Summit 1
m. 571

unfolding thirds

Ascending line
concludes with
rapid descent

Summit 2
m. 603

FIGURE 3.11. The first development of *Eine Alpensinfonie*. Individual thematic ideas are represented by their labels and refer to the themes in Appendix 1. The formal overview of the first development involves an initial contrapuntal period focused on the Pasture theme, followed by a transition to reintroduce fragments of the Ascent-theme complex.
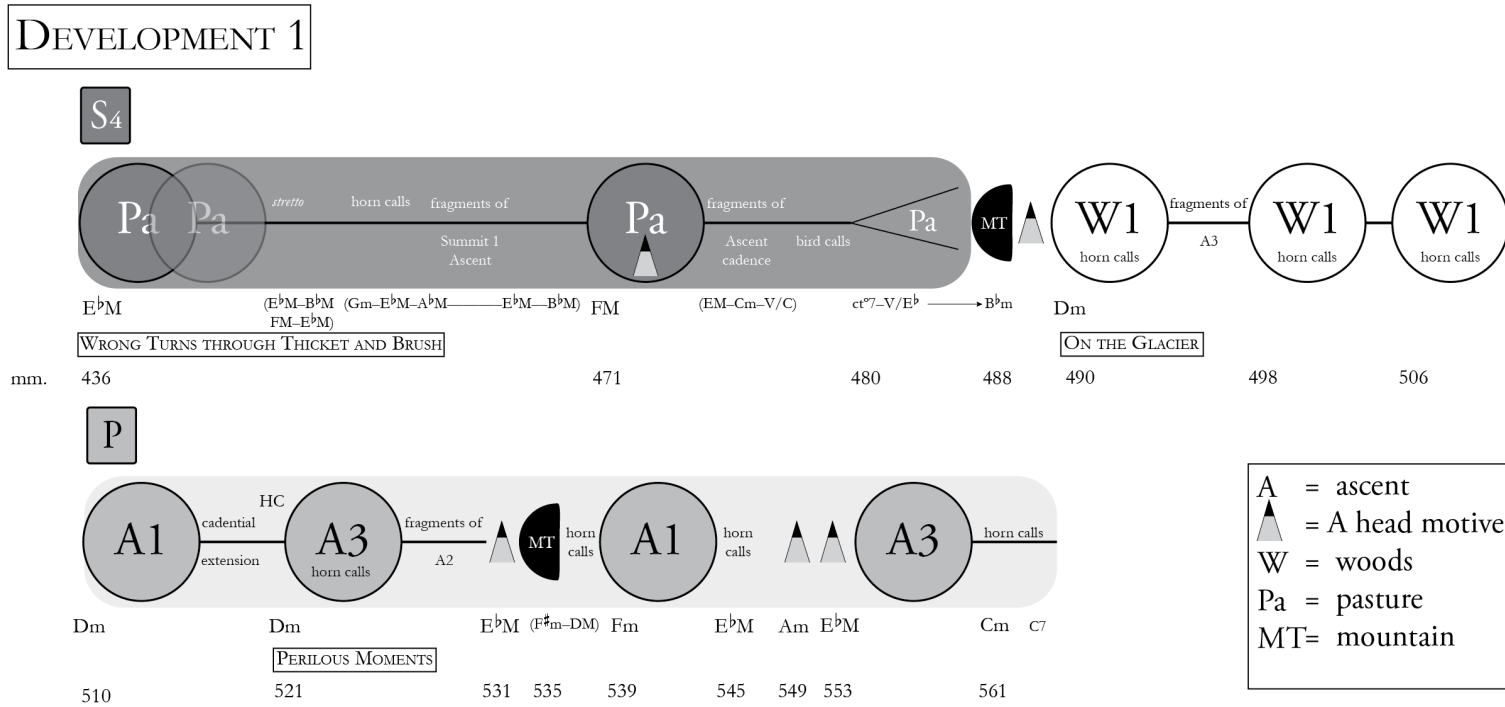
FIGURE 3.12. The Summit episode of *Eine Alpensinfonie*. Individual thematic ideas are represented by their labels and refer to the themes in Appendix 1. This section exists outside of the sonata-form process, instead involving a climactic apotheosis of the Summit 2 theme, a sublime fantasia, before a reentry and retransition into sonata space.
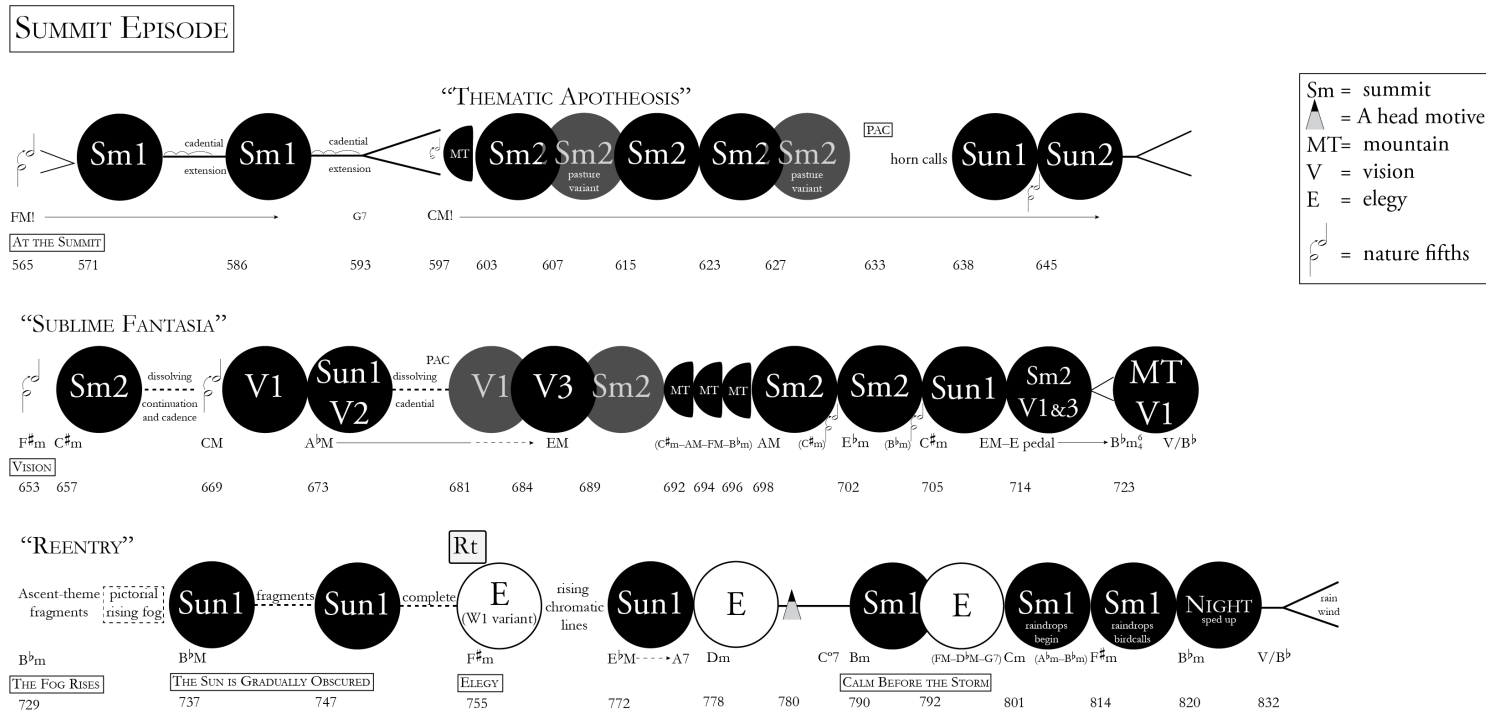
FIGURE 3.13. The Vision 3 theme from the Summit episode of *Eine Alpensinfonie*, with features reminiscent the troping of earlier themes indicated.

FIGURE 3.14. The second development of *Eine Alpensinfonie*. Individual thematic ideas are represented by their labels and refer to the themes in Appendix 1. The formal overview of the second development involves four subrotations, initially focusing on the Storm 1 theme, which is a transformation of the Ascent theme. The sub-rotations each begin with a stable theme before yielding to transitional material (typically some variant of the Woods themes). The second development concludes with a retransition preparing the recapitulation.
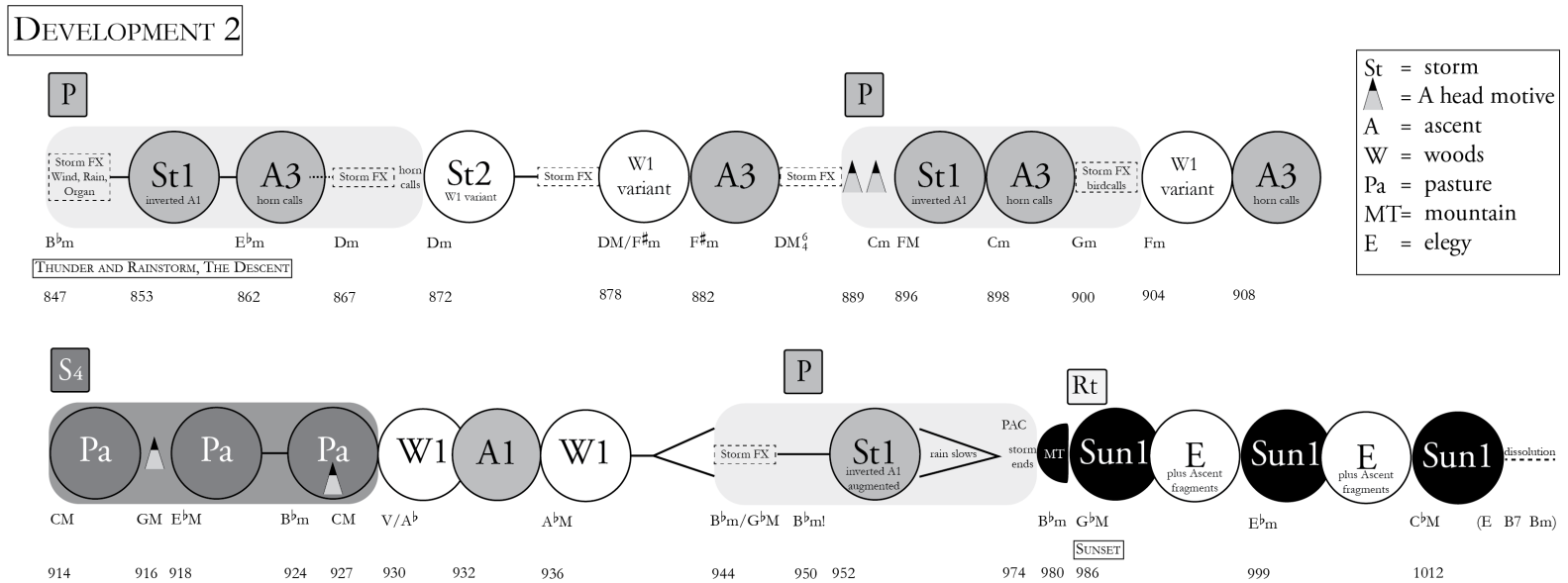
FIGURE 3.15. The inversional relationship between Storm 1 and Ascent 1. The overall contour is inverted, as are the specific scale degrees of the head motive.

FIGURE 3.16. The weak recapitulation of *Eine Alpensinfonie*. Individual thematic ideas are represented by their labels and refer to the themes in Appendix 1. The formal overview of the recapitulation involves a reversed order, in which the Summit 2 theme substitutes for the secondary theme, arriving before the return of the primary theme. The recapitulation remains in E♭ major throughout, and ultimately cadences successfully before leading out of sonata space to the B♭-minor Coda.
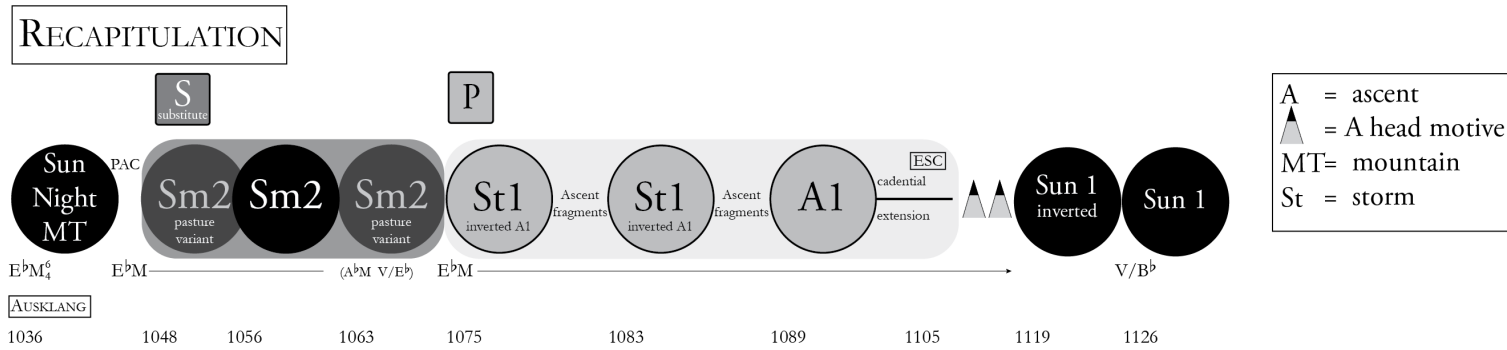
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FIGURES FOR CHAPTER 4

FIGURE 4.1. Concentric circles as metaphorical models: (a) Vande Moortele's concentric-circle model of the history of musical form; (b) Heirocles's concentric-circle model of society; (c) Burgess's concentric-circle model of the city.

a.

Schoenberg & Zemlinsky's
2D Sonata Forms

Strauss's 2D
Sonata Forms

Liszt's 2D
Sonata Forms

b.

Society

The family

The body

The
mind

c.

5. Commuter Zone

4. Residential Zone

3. Working Class Zone

2. Transition
Zone

1. Central
Business
District
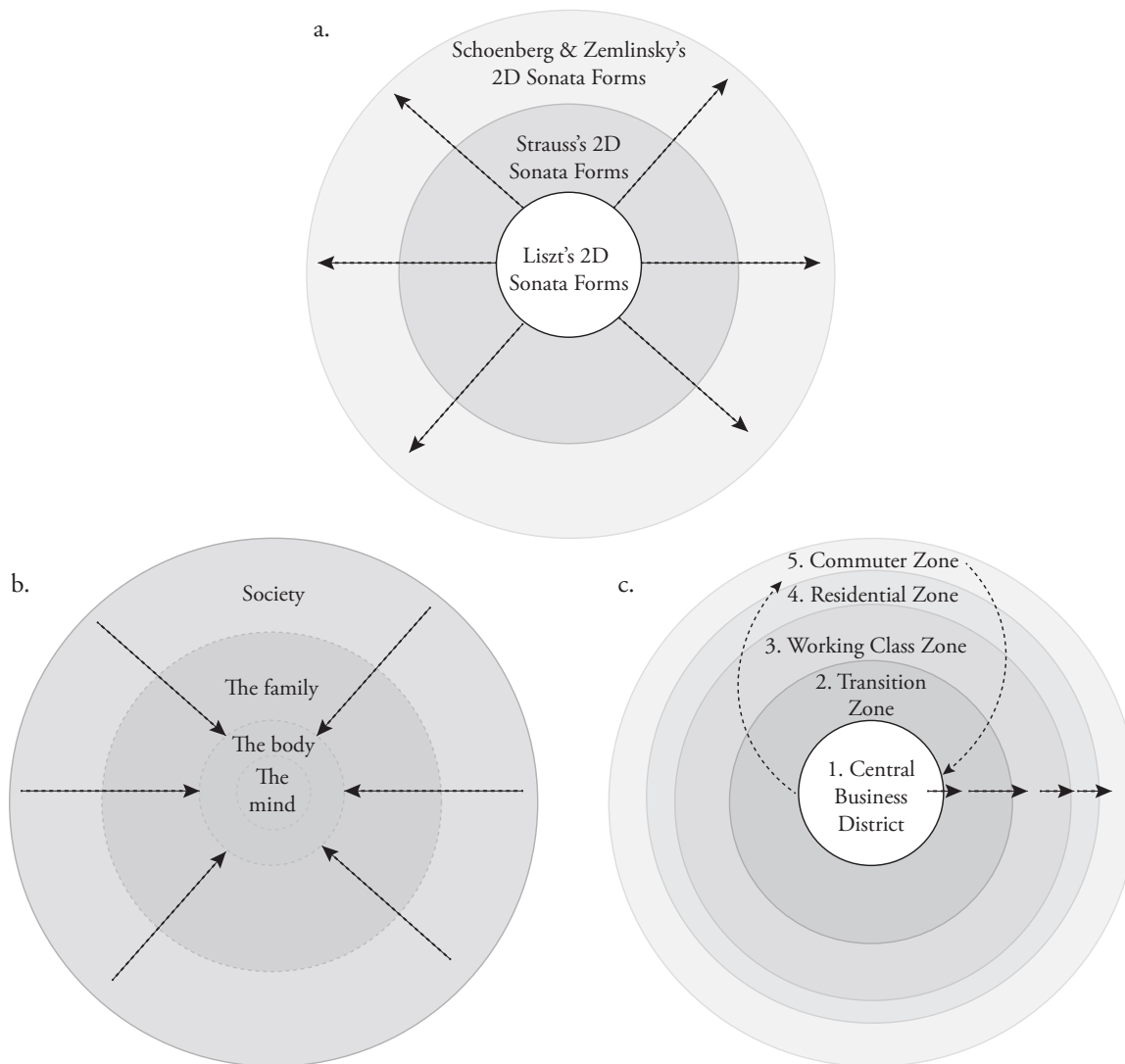
FIGURE 4.2. A reproduction of the form chart for Vande Moortele's (2009) 2D sonata form analysis of Liszt's B-minor Sonata.

| form | Introduction | Exposition | Development | | Intro return | Recapitulation | | Coda |
|---|---|---|---|---|---|---|---|---|
| cycle | Sonata-Form First Movement | | | Adagio | | Scherzo | Finale | |

FIGURE 4.3. A hypothetical form chart of a two-dimensional large rondo, in which the first-movement sonata is double-functional as the initial refrain-episode-refrain paradigm.

| form | Refrain 1 | Episode 1 | Refrain 2 | Episode 2 | Refrain 3 | Episode 3 | Refrain 4 |
|---|---|---|---|---|---|---|---|
| | A | B | A | C | A | B | A |
| cycle | exposition | development | recapitulation | | | | a b a c a b a |
| | First Movement | | | Adagio | | Scherzo | Rondo Finale |

FIGURE 4.4. A hypothetical form chart of a 2D sonata form that features an interpolated first-movement sonata.

| form | Introduction | | Exposition | Development<br>pre-<br>core      core | Recapitulation | Coda |
|---|---|---|---|---|---|---|
| cycle | | expo. dev. recap.<br>First Movement | Adagio | Scherzo | | Rondo Finale |

FIGURE 4.5. A form chart of a single-movement/multi-movement structure that involves shuttling between the dimension of the sonata form and the dimension of the cycle, involving no double-functional components.
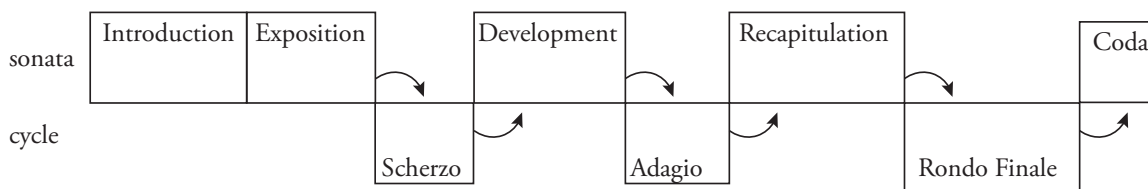
FIGURE 4.6. Excerpts of the "motto" theme from Zemlinsky's Second String Quartet, op. 15: (a) the initial motto theme, mm. 1–10; (b) the modified return of the motto theme, mm. 105–22.

FIGURE 4.7. A generic network for Schoenberg's First String Quartet, op. 7. Single-movement forms-as-genres are in gray, multi-movement forms-as-genres in black, single-movement genres in white, and multi-movement genres in white with a double outline.
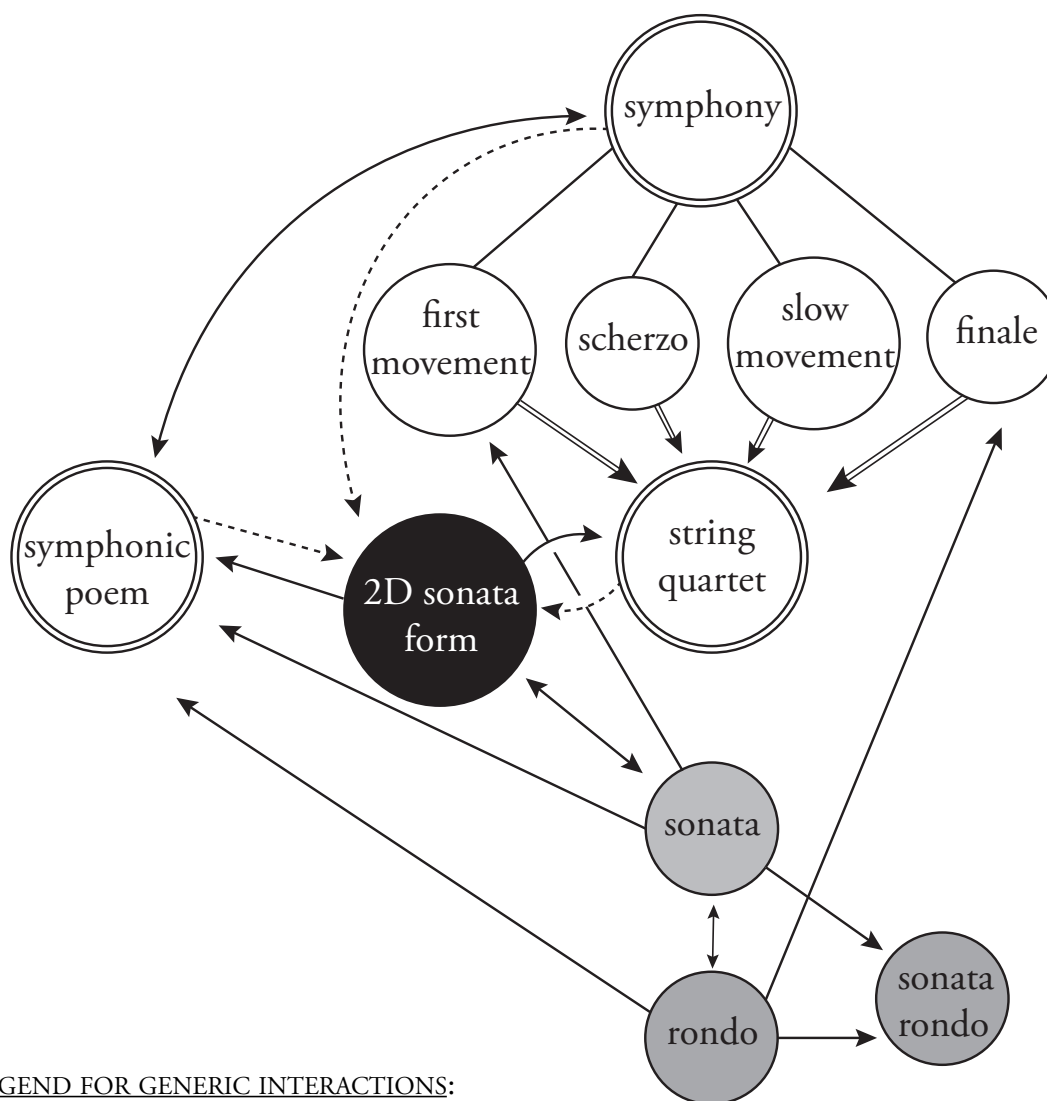


LEGEND FOR GENERIC INTERACTIONS:

———▸ = a form defining a work

══▸ = a form defining a section of a work

◂——▸ = interactions between two equivalent genres

┈┈┈▸ = a genre (re)defining a form

○——◎ = a genre as a component of a larger genre

FIGURE 4.8. The "very definite—but very private" program for Schoenberg's op. 7 Quartet, as translated by J. Daniel Jenkins (2016, 152–53).

I.   1. a) Rebellion; defiance; b) longing c) rapture
     2. a) Depression; despair; fear of engulfment, unaccustomed feelings of love, a need to be
           completely *absorbed*
        b) Solace, assuagement (she and he)
        c) A new eruption: depression, despair, and
        d) Transition to
     3. Struggle among all the motives with the resolve to begin a new life
        (Development I)
        e) mild dispute

II.  1. "Feeling New Life"
        a) Aggressively joyful energy, unfolding fantasy, momentum
        b) New love: intimacy, devotion, rapture, understanding, supreme sensual intoxication,
           (repetition or a part of II. 1. a)
     2. a) Disappointment, (hangover), brief.
     3. a) Return of depression, despair, transition to
        b) the return of the first mood I. 1. a      } Development II
        c) transition to a gentler mood

III. 1. a) Increasing longing for deserted loved ones, transition to despair over the pain it has
           caused them.
        b) Falling into sleep. A *dream image* shows the deserted ones, each grieving in his own way
           for the distant one, thinking of him, hoping for his return
        c) Transition to the decision to return home; increasing longing for peace and rest
        d) Homecoming; joyful reception, quiet joy and the contemplation of rest and harmony

FIGURE 4.9. A paradigmatic analysis of the program to Schoenberg's op. 7 Quartet. Programmatic labels are allocated to one of seven expressive categories. Lines with arrows indicate a programmatic entry that unites two expressive categories.
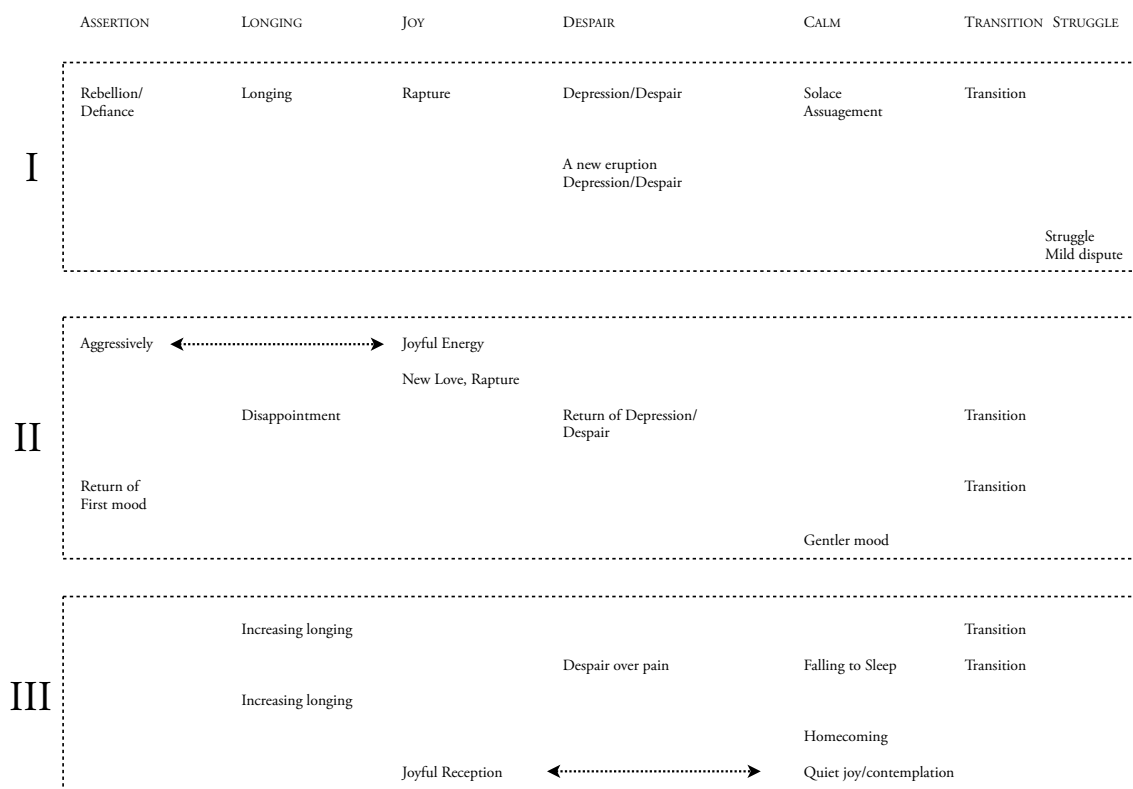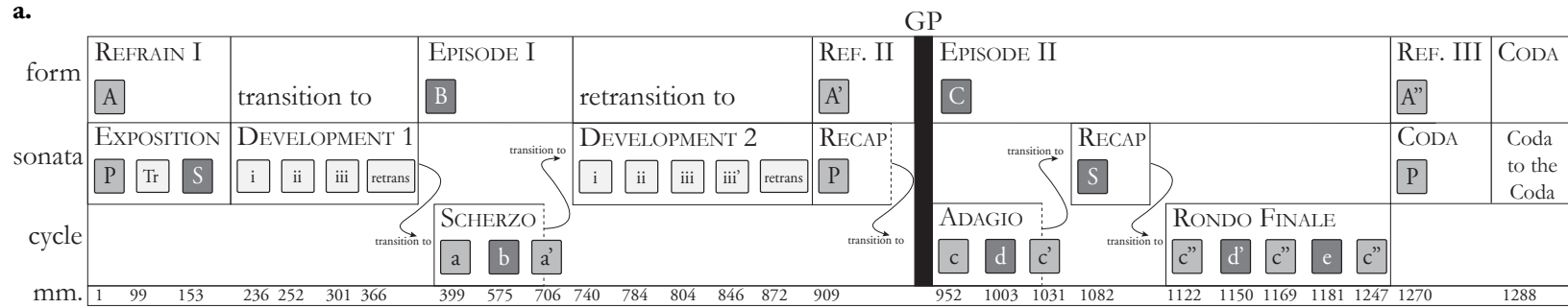
| | ASSERTION | LONGING | JOY | DESPAIR | CALM | TRANSITION | STRUGGLE |
|---|---|---|---|---|---|---|---|
| **I** | Rebellion/Defiance | Longing | Rapture | Depression/Despair | Solace Assuagement | Transition | |
| | | | | A new eruption Depression/Despair | | | |
| | | | | | | | Struggle Mild dispute |
| **II** | Aggressively ←·····→ | | Joyful Energy | | | | |
| | | | New Love, Rapture | | | | |
| | | Disappointment | | Return of Depression/Despair | | Transition | |
| | Return of First mood | | | | | Transition | |
| | | | | | Gentler mood | | |
| **III** | | Increasing longing | | | | Transition | |
| | | | | Despair over pain | Falling to Sleep | Transition | |
| | | Increasing longing | | | | | |
| | | | | | Homecoming | | |
| | | | Joyful Reception ←·····→ | | Quiet joy/contemplation | | |

FIGURE 4.10. A table highlighting the main differences among the most significant analyses of Schoenberg's op. 7 Quartet.

| ANALYSIS | LOCAL RECAPITULATION AT M. 301? | 1 OR 2 DEVELOPMENTS? | DOUBLE FUNCTIONALITY? | CODAS? |
|---|---|---|---|---|
| Schoenberg 1907 | No mention | 2 separate developments | "sections that overlap with each other" | 1, After Rondo |
| 1935 | No mention | 2 separate developments | "each part "fulfills not only its own task but also one of the whole work" | 1, After Rondo |
| 1949 | No mention | 2 separate developments | implies that the scherzo and development share a common "character" | 1, After Rondo |
| Webern 1912 | No explicit mention, but refers to a "main sonata movement" | 2 developments, making up one large-scale sonata development | cycle movements are "interpolated" | Rondo as coda |
| Stefan 1924 | No mention | 2 | cycle movements are "interpolated" | 1 |
| Wellesz 1925 | No mention | 2 | No direct mention | 1 |
| Whittall 1972 | No mention | 2 | cycle movements are "interpolated" | N/A |
| Keller 1974 | Not a Recap | 1 interrupted by scherzo | scherzo "intrudes," slow movement "interrupts" | 2, with coda to the coda |

| Samson 1977 | No mention | 2 separate developments | interprets P-complex as local sonata | 1 |
|---|---|---|---|---|
| Neff 1984 | "I prefer to consider it a recapitulation of the opening material in a different key" (33n38) | 2 separate developments | No direct mention | N/A |
| Dahlhaus 1988 | No mention | 2 separate developments, but the Scherzo is "interpolated within the Development" | cycle movements are "interpolated"; exposition is a cycle, P-complex a local sonata | 2 |
| Frisch 1988/93 | Cites Neff in interpreting the C♯-minor return as a recap | "The varied reprise of the scherzo functions also as a continuation or resumption of the development" (291) | Scherzo is double-functional; Adagio and Rondo are interpolated | 1 |
| Benson 1993 | "Brief reprise of P and S" (377) | 2 separate developments | No direct mention | N/A |
| Cherlin 2007 | Not a Recap | 2 separate developments, the second is a "Development of Scherzo" (167) | recursive model of the whole quartet | 1 |
| Vande Moortele 2009 | False recap that also functions as local recap of sonata | 1 interrupted development | double-function of the Expo-Development as local sonata form | 1 |

FIGURE 4.11. An account of the large-scale form of Schoenberg's op. 7 Quartet: (a) the overarching form, which features a large-scale five-part rondo in the dimension of the form, a discontinuous sonata form that is interrupted by cycle movements, and a local, epiphanic rondo "en abyme"; (b) a detailed account of the discontinuous sonata form; (c) a detailed account of the local rondo form.

**a.**

**b.**

EXPOSITION

P

Dm       E♭m     C#m     Dm

**P**<sub>**a**</sub> — **P**<sub>**b**</sub> — **P**<sub>**c**</sub> — **P**<sub>**a**</sub> — P<sub>a.2</sub> X motive — **P**<sub>**b**</sub> / **P**<sub>**a**</sub> — **P**<sub>**a**</sub>    liquidation

1     14     24     30      54     65

Tr

(C–A–F#–E♭–C) (B♭–G–E–C#)

                        S

                      E♭M                  E♭M

**transition to Development 1**

                                                D♭7

**Tr** — alternating **Tr₁** and **Tr₂** / 2 fugato minor third cycles    **Tr** — overlapping and alternating / **Tr₁** and **Tr₂**   liquidation   **S**<sub>**a**</sub> — **S**<sub>**b**</sub> — **S**<sub>**c**</sub>    **S**<sub>**a'**</sub> build liquidation

99                  117              140   153       167       178       188

DEVELOPMENT 1

i            ii                          iii                                            **Retransition** = trans to Scherzo

E7    (B — D♭ — )    CM (B♭–D–F–C#)         A–A♭   C#m   (E♭–C–A–   C7    B♭7         B♭m    DM      F   G   B♭        C7   D♭7

                                      (C#–D–E♭–E)   G#       F#–E♭–C)

**S**<sub>**a'**</sub>   **Tr₁**   with **P**<sub>a.2</sub> and P accompaniment   **P**<sub>a.2</sub> **Tr₁→S**<sub>a'</sub>   liquidation to chromatic ascent and P's accompaniment   **P**<sub>**a.1**</sub> — **x** ···· **P**<sub>**a.1**</sub>   **Tr₁**   **S**<sub>**a**</sub> — **S**<sub>**b**</sub>   **S**<sub>**b**</sub> **S**<sub>**a'**</sub>   **P**<sub>**b&c**</sub> **Tr₁**

213    236           252        275             301    312      330    335     349     360    366   375   380    383

DEVELOPMENT 2

i                      ii           iii                              iii'            **Retransition**

(B♭–G–E–D♭–G–E–B♭)C7–A7   Fm Dm    D Gm   F#m D   E          D♭         D    G           B+                    A$_4^6$   (C#m)

**a** of scherzo   accompaniment uses ♪ figure   **z z**   **z b** of trio   **b** based on X, ♫ accompanied by P<sub>c</sub>   **z**   liquidation   **a** fugato **b'** **P**<sub>**c**</sub>   build   **liquidated motives from P**<sub>c</sub>**, Tr**<sub>1</sub>**, and S**<sub>a</sub>   **x** build

740               761   771      784     804        828     841   846   854      872           892

RECAPITULATION

P                  GP    S

Dm               DM               DM

**P**<sub>**a**</sub> — **P**<sub>**b**</sub>   liquidation   **S**<sub>**a**</sub> — **S**<sub>**b**</sub> — **S**<sub>**c**</sub>

909     927               1082     1100     1108

**c.**

FIGURE 4.12. Excerpts from the sonata exposition of Schoenberg's op. 7 Quartet: (a) the **P$_a$** theme, mm. 1–10; (b) the **P$_b$** theme, mm.14–19 ; (c) the **P$_c$** theme, mm. 24–29; (d) the transition theme, mm. 97–103; (e) the secondary-theme complex, mm. 152–61, 167–70, 178–81.

**d.**

FIGURE 4.13. The false recapitulation during the first development of Schoenberg's op. 7 Quartet, mm. 301–9.



$\mathbf{P}_{a.1}$ fails to reach its original continuation, instead recycling the same motive several times

FIGURE 4.14. The scherzo theme of Schoenberg's op. 7 Quartet, m. 399–414, which is based on the transition theme.

FIGURE 4.15. The sonata recapitulation of Schoenberg's op. 7 Quartet: (a) the return of **P<sub>a</sub>**, mm. 909–17; (b) the return of **P<sub>b</sub>**, mm. 927–31.

**a.**

FIGURE 4.16. The first refrain of the local rondo of Schoenberg's op. 7 Quartet, mm. 1122–42.

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FIGURES FOR CHAPTER 5

FIGURE 5.1. Poster by Alfred Roller for the world premiere of Gustav Mahler's 8th Symphony in the Neue Musik Festhalle, Munich, Germany. 1910. Lithograph, 49 x 36" (124.5 x 91.4 cm). Committee on Architecture and Design Funds. The Museum of Modern Art, New York, NY, U.S.A. Digital Image © The Museum of Modern Art/Licensed by SCALA / Art Resource, NY.

APPENDIX 1

**APPENDIX 1**

A catalogue of themes in Richard Strauss's *Eine Alpensinfonie*, op. 64.

Themes are presented in their first appearance in score order. Members of the hiker theme family include the three Ascent themes of the Ascent-theme complex and the Storm 1 theme.

Night
m. 1

every note sustain

Mountain
m. 9

cf. *Parsifal* "Grail"
*Guntram* "Streiter der Liebe"

Sun 1
m. 46

Sun 2
m. 54
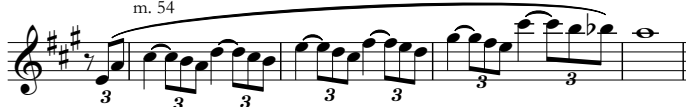
Sun Cadence Motive
m. 62
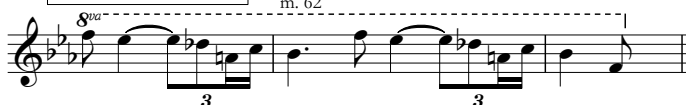
Ascent
m. 74

cf. Beethoven Symphony No. 5, iv
*Ein Heldenleben* main theme

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