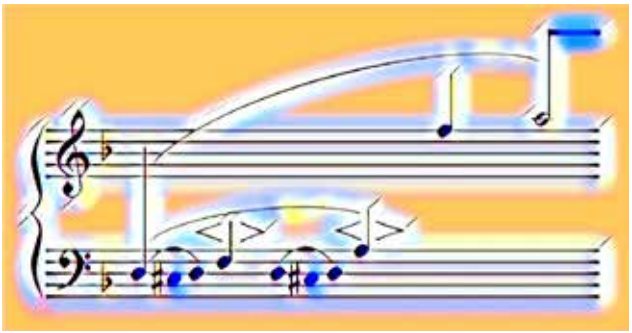
‘Magic points’ and evaded cadences

Analysis, performance, and their interaction in four opening piano trio movements of Felix Mendelssohn and Robert Schumann

CECILIA OINAS



73
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Cecilia Oinas

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‘Taikapisteitä’ ja vältettyjä kadensseja. Musiikkianalyysin ja esittämisen välinen vuorovaikutus neljässä Felix Mendelssohnin ja Robert Schumannin pianotrion avausosassa.

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For Marlo, my son

ABSTRACT

Oinas, Cecilia. 2017. *'Magic points' and evaded cadences. Analysis, performance, and their interaction in four opening piano trio movements of Felix Mendelssohn and Robert Schumann.* Sibelius Academy of the University of the Arts Helsinki. Studia Musica 73.

This study will examine the opening sonata-form movements of the piano trios by Felix Mendelssohn (1809–1847) and Robert Schumann (1810–1856) concentrating on the interaction between analysis and performance. The aim is to consider and explore musical motion from various analytical perspectives – such as formal, structural, metrical, and a more general dramatic aspect – and see how they interact with each other. In addition, these analytical insights are related to the issues of musical 'shaping' in performance, and the study examines both how the analytical findings might be reflected in performers' shaping and, vice versa, how the analytical interpretation might be influenced by the experience gained while rehearsing the works for performance.

The practicing process of the piano trio ensemble (with myself at the piano) is documented in an informal rehearsal diary. By capturing the ways in which performers themselves discuss the pieces fresh and new ideas are brought to the analysis and performance studies that traditionally have been dominated by the analysis-to-performance discussion, not the other way round. As a conclusion, the study includes both a more analytical, scholarly viewpoint and an introspective, performance-related viewpoint making the study a mixed method research.

ABSTRAKTI

Oinas, Cecilia. 2017. *'Taikapisteitä' ja vältettyjä kadensseja. Musiikkianalyysin ja esittämisen välinen vuorovaikutus neljässä Felix Mendelssohnin ja Robert Schumannin pianotrion avausosassa.* Taideyliopiston Sibelius-Akatemia. Studia Musica 73.

Tutkimus käsittelee neljää Felix Mendelssohnin (1809–1847) ja Robert Schumannin (1810–1856) sonaattimuotoista pianotrio-osaa musiikkianalyysin ja esittämisen välisen vuorovaikutuksen näkökulmasta. Tavoitteena on tarkastella, miten musiikkiteoksen sisäinen eteneminen ja liike ilmenee eri musiikkianalyyttisissa näkökulmissa, sekä miten nämä havainnot ovat vuorovaikutuksessa musiikkiesityksen 'muotoiluun' liittyvien kysymysten kanssa. Keskeinen tutkimuskysymys onkin, miten analyyttiset näkökulmat voivat vaikuttaa esittäjillä teoksen pientason muotoiluun ja toisaalta miten analyysitulkinta voi saada vaikutteita esittäjien harjoitusprosessin aikana kumpuavista teokseen liittyvistä havainnoista. Pianotrion harjoitusprosessi, jossa tutkielman tekijä on myös pianistina, on dokumentoitu harjoituspäiväkirjaan, jonka aiheita kirjoittaja nostaa esille analyysiluvuissa.

Tutkimuksen keskeinen käsite on musiikillinen eteneminen (*musical motion*), jota tarkastellaan kolmen eri tason kautta: näistä ensimmäinen on paikallinen liike (*local motion*), jossa fokuksena on lyhyet musiikilliset kokonaisuudet, kuten lopukkeille päättyvät fraasit tai jaksot. Seuraava taso on liike jaksosta toiseen (*in-between motion*), jossa huomio kiinnittyy pikemminkin muodollisiin ja sävellajillisiin siirtymiin kuin selkeisiin kadenssille päättyviin kokonaisuuksiin. Laajin taso, kokonaiskaarrosliike (*overarching motion*) tutkii, miten teosta voidaan kuvata esimerkiksi syvän tason äänenkuljetusrakenteen tai kokonaisdramaturgian kautta. Tutkimuksen viimeinen etenemisen näkökulma yhdistää kaikki edellä mainitut tasot pureutuen nk. toteutumattomaan liikkeeseen (*unfulfilled motion*). Tällöin musiikilliset tapahtumat vihjaavat jonkin tavoitteen saavuttamiseen, joka viime hetkellä syystä tai toisesta lykätään tuonnemmaksi – tai joka jää kokonaan toteutumatta.

Tutkimuksessa pyritään osoittamaan, että musiikkianalyysin ja teokseen esittämiseen liittyvien kysymysten välinen vuorovaikutus voi olla molemmansuuntaista, ei ainoastaan analyysista esitykseen, mikä on hallinnut erityisesti angloamerikkalaista analyysi-esittämistutkimusta (nk. analysis and performance studies) viime vuosikymmeniin asti. Musiikkiteoksen rakenteeseen, dramaturgiaan ja määränpäihin liittyvät kysymykset voivat tällöin yhtä lailla nousta esittäjien ei-musiikkianalyyttisesta, muotoiluun ja ajankäyttöön tähtäävästä käytännönläheisestä keskustelusta kuin perinteisemmästä musiikkianalyyttisesta diskurssista.

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Helsinki, August 2017

Cecilia Oinas

ABOUT THE COMPANION WEBSITE

https://coinas.wordpress.com/magic-points

The companion website to this book contains extracts from our trio's rehearsals as well as extracts from other discussed recordings. There are also two video clips for chapter 8. These are referenced as 'Media examples'. In some cases, I will also include a direct link to the example in the providing footnotes, which may be an easier way for online readers.

Contents

INTRODUCTION

OVERVIEW AND MAIN RESEARCH QUESTIONS

This study examines four minor-key piano trio opening movements by two German Romantic composers, Felix Mendelssohn (1809–1847) and Robert Schumann (1810–1856), from the point of view of music analysis and performance interaction. I approach the movements from various analytical perspectives and consider how these perspectives may interact with performers' rehearsal process, and vice versa. Hence, the research includes both a more analytical, scholarly viewpoint and an introspective, performance-related viewpoint: while analytical discussion gives a more precise methodological background for studying the works, examining and writing about the rehearsal process helps to consider how our trio shapes the works in accordance with our own interpretation. By capturing the ways in which we as performers discuss the pieces, this study brings fresh and new ideas towards the analysis and performance studies that traditionally have been dominated by the analysis-to-performance interaction, not the other way round. Thus, performers' viewpoints, tacit knowledge, and insights are treated as noteworthy and equal to the analytical discussion.

The central concept of this study is *musical motion* – how it can be examined via music-analytical methods, on the one hand, and from performers' more introspective, tacit viewpoints, on the other. In music analysis, musical motion is usually understood as motion towards anticipated goals, such as cadences. Moreover, especially the works of the Romantic era include continuous motion to and from dramatic highpoints. In this study, I will examine these two types of motion, and label them as *harmonic motion* and *dramatic motion*. While in harmonic motion, the tonic is both the point of departure and the final goal, in dramatic motion

musical highpoints are considered as *dramatic goals*.[1] I believe that examining the interaction between these two types of goals – especially since most of the time they are dispersed throughout musical works – provides a nuanced way to examine the piano trio opening movements of Mendelssohn and Schumann, firmly situated in the Romantic style.

In my analyses, I will mainly combine Schenkerian harmony and voice-leading analysis, Sonata Theory by James Hepokoski and Warren Darcy (2006), William Caplin's theory of formal functions (1998), and metrical analysis (especially Rothstein 1989; Samarotto 1999; and Temperley 2008). As for dramatic motion, Kofi Agawu's (1984; 2008) and John Rink's (1999; 2002) discussions on Romantic high points, intensity curves, and dramatic contours form the basis of my own discussion. It goes without saying that all methods are applied flexibly – in constant interaction with each other as well as with issues of performance.

Although keeping music 'in motion' is vital in performance, it is not necessarily something that performers concretely address in their rehearsal discussion. Instead, performers tend to approach musical works from the point of expressive 'shaping' in contrast to discussion on musical structure that often dominates analytical discourse (Rink 2002, 36). Indeed, performers rather talk about issues such as agogics, accents, tempo, texture, dynamics, tone colour, and balancing, to name a few. While these elements are not necessarily hierarchic or goal-oriented, they also affect the way musical structure is projected in performance (Schmalfeldt 2011, 116; Lester 1995, 208). To be able to consider musical motion from a more performer-oriented point of view, I will also approach it from a seemingly contradictory *here-and-now motion* viewpoint, which refers to a detailed score examination of expressive parameters such as agogics, dynamics, articulation, or *rubato* occurring at a certain moment, yet without the need to consider their relation to any overarching hierarchy with distant goals.[2]

[1] Of course, this does not mean that all music starts from the tonic, such as in auxiliary cadences from the perspective of Schenkerian analysis.

[2] 'Here-and-now' motion has been inspired by Rink's discussion on how performers are simultaneously aware of both the surface level and a more overarching, global level: 'While playing, the performer engages in a continual dialogue between the comprehensive architecture and the "here-and-now", between some sort of goal-directed impulse at the uppermost hierarchical level (the piece "in a nutshell") and subsidiary motions extending down to the beat or sub-beat

Finally, I would like to add that since the interaction in this study between analysis and performance mainly happens during the preparatory stage of both analysis and performance, my intention is not to find a best or most 'suitable' interpretation, to the exclusion of all others. Rather, the analytical insights have a suggestive role, without an authoritative tone over performance (see for example Burstein 2011, 120; or Cook 1999, 248). Moreover, the study will also discuss cases where issues of expressive shaping, drawn from our trio's rehearsals, will become the main reference point for analytical reading (see for example studies by McCreless 2009; and Dodson 2008). The shaping decisions are particularly noteworthy in analytically ambiguous situations, such as cases where form and voice leading or some other parameters such as meter are conflicting with each other. It is left for the reader to judge whether she finds my attempts rewarding.

THE STUDY MATERIAL

There are many reasons for choosing the piano trios of Mendelssohn and Schumann as the study material: First, as a pianist who plays mostly chamber music, I feel that it is natural for me to examine works that include a piano so that I can apply my ideas by playing and rehearsing the movements together with my fellow chamber musicians. I also wanted to examine works of the same genre and which would include more than two players, and from this perspective, the piano trio was a natural choice.

However, there is one piano trio that is not examined in this study: namely the only major-mode work, Schumann's F-major Piano trio Op. 80 (1847). Although the trio has often been regarded as a sister-work of Schumann's D-minor trio Op. 63 (1847), it does not present similar overarching tensions found in the other four minor-mode movements by Mendelssohn and Schumann. Because of this, I will not include the F-major trio as part of the examined works.

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level, with different parts of the hierarchy activated at different points within the performance' (Rink 1999a, 218). It is this beat or even sub-beat level that the 'here-and-now' viewpoint aspires to drill into.

Second, studying the interaction between analysis and performance with a chamber ensemble enables the rehearsal process to become more transparent than with solo repertoire. With an ensemble there is necessary verbal discussion (or at least there usually is) between the musicians and it also ensures that the musical interpretations are not solely dictated by one and the same person – myself. Indeed, most analysis and performance studies have been carried out by pianist-researchers who often choose the study material from the repertoire they know best: solo piano music.[3] While I certainly do not question the validity and insightfulness of these studies, I also believe there is an area that can be explored in this field: namely, the performer-researcher as a member of a chamber ensemble.

Third, despite the fact that historically informed performance practice (HIP) has come to encompass even the music of the 19th century, especially in recent years (see for example Hamilton 2008; Peres da Costa 2012; Kim 2012; Scott 2014), Romantic music presents many challenges for present-day performers especially in musical shaping and temporal flexibility. Indeed, only by looking at the numerous performance instructions – agogic and dynamic marks, accents, tempo instructions and so on – in a typical 19th-century score, it becomes evident that the music should not be played in a steady dynamic tempo from the beginning until the end. Yet the abundant amount of instructions may leave the performers uncertain how to integrate them with the on-going musical motion in an artistically satisfying way. I believe that analysis may offer relevant suggestions for specific performance decisions since, as Ryan McClelland argues, 'whereas historical sources give an idea of how performers executed a particular performance indication, analysis can suggest *why the composer notated that performance indication in the first place* [italics mine]' (McClelland 2007, 200). At the same time, the performers' careful consideration on shaping various details opens new avenues for approaching these works from the less-hierarchic 'here-and-now' viewpoint, suggested in the previous section.

[3] There are, of course, a few exceptions: see for example Ryan McClelland (2007), Joseph C. Kraus (2009), or even Wallace Berry (1989).

Fourth, all the examined movements are written in sonata form. This provides a fruitful framework for the formal and structural examination, since sonata form has been one of the most discussed formal schemes in the analytical literature from Carl Czerny's and A.B. Marx's writings until the more recent studies, such as the Sonata Theory presented by James Hepokoski and Warren Darcy (2006). Perhaps surprisingly, despite their interesting and original formal organisation, there has been no thorough research on the sonata form in the piano trios of Mendelssohn and Schumann.[4] Thus the little scholarly attention until more recently serves as one of the motivations for choosing these works as the study material.

Finally, although the primary goal of this study is to create dialogue between analysis and performance, the study of their interaction also aspires to give us novel views on the piano trio style of Mendelssohn and Schumann. Indeed, as the study proceeds, it becomes more and more evident that even though Mendelssohn and Schumann composed the works almost at the same time (the trios were composed between 1839 and 1853), they seem to have quite different approaches to sonata form – not only formally and structurally, but also dramatically. As a result, along with the question of analysis and performance interaction, my research aims to give insights into how Mendelssohn and Schumann combined the Classical sonata form with the early 19th-century Romantic style in their own, personal ways.

REHEARSAL DIARY AS A WAY OF BRINGING OUT THE PERFORMERS' VOICE

> Performers tend to think and talk about their work more in terms of shape, motion, intensification and relaxation, gesture, climax, and goal than they do in terms of music-theoretical concepts such as hypermeter, motive, linear-contrapuntal framework (as in

[4] Even though one finds literature on the chamber music of both composers, the sonata form is often handled quite briefly. There are few exceptions, such as Joel Lester's and Peter Smith's studies on Schumann's sonata forms (Lester 1995b; Smith, 2014) and Paul Wingfield and Julian Horton's study on 'deformational' aspects in Mendelssohn's sonata-form works (Wingfield and Horton 2012). As for specific analyses on the examined piano trio movements of this study, Mendelssohn's D-minor trio opening movement is by far the most popular (Schmalfeldt, 2011; Ron Regew, 2005; Markus Waldura, 2002). Analysis on the Schumann trios has been made for example by Bodo Bischoff (2005) and John Daverio (1997).

> Schenkerian analysis), harmonic progression, and formal classifications (McCreless 2009, 6).

As Patrick McCreless writes, one of the main difficulties of relating analysis to performance is to find a connection between analytical language and the so-called 'studio language', which 'is skewed, on the one hand, towards aspects of technique and tone, and on the other, toward metaphorical rather than analytically precise expression with respect to the sorts of things that music theorists like to talk about' (McCreless 2009, 7). In this study, I will aspire to make the 'studio language' more visible by keeping an informal rehearsal diary that documents our trio's thoughts on rehearsing the examined works for performance. Thus, the study focuses on still-evolving performance processes rather than discussing an already past performance or performances. One example of 'studio language' is the one that I use in my title: 'magic point'.[5] This metaphor refers to bars 38-40 in the opening movement of Mendelssohn's C-minor trio that prolongs a Neapolitan chord in soft dynamics, before continuing to a perfect authentic cadence bars 41-42. Initially invented by our cellist, the word became our trio's 'inside language' itself more vague than the analytically more objective Neapolitan chord, yet it beautifully summarised how this moment was both dramatically and structurally significant in the ongoing music.

By providing a rehearsal diary, the study will also connect itself with the autoethnographic research tradition – a qualitative method which seeks to describe and examine personal experience – that has gained popularity in recent years. For instance, according to Carolyn Ellis and Brydie-Leigh Bartleet, 'music and autoethnography have much in common. At the heart of both is the desire to communicate engaging and personal tales through music and words, which inspire audiences to react, reflect, and, in many cases, reciprocate' (Bartleet and Ellis 2009, 8). At the same time,

> [m]usicians and autoethnographers grapple with the challenges of communicating and writing about their lived experiences. As these experiences are always dynamic, relational, embodied and highly subjective, they are difficult to express, particularly from a musical

[5] In Finnish: 'taikapiste'.

> perspective where words are not the primary form of communication. […] As musicians and autoethnographers explore their sense of selves, they also face the potential darkness of vulnerability that comes with revealing their stories, lives, and creative decisions. This is no small challenge, particularly for musicians who have been so accustomed to keeping such personal characteristics and problems hidden from public view (Bartleet and Ellis 2009, 9–10).

While there are autoethnographic studies on Classical musicians' practicing process of a certain work (see for example Emmerson 2009), there have not been so many studies where the author's own practicing process has been put into interaction with music analysis.[6] More often than not, the work has already been performed some time ago, and the actual study can be seen as a 'reassessment of the performance in the light of the analysis', as John Rink describes it (Rink 1995, 255).

In my own study, the rehearsal diary aspires to capture our trio's various discussions on issues such as shaping, balance, phrasing, tempo, timbre, slurring, characterisation, and technical solutions. These thoughts (and doubts) are put into interaction with analytical remarks, such as harmony, form, voice leading, meter, and dramatic highpoints to name the most important ones.[7] To document this personal analytical as well as performative journey is primary in my study, rather than seeking definitive, ultimate answers.

CHAPTERS IN OUTLINE

The study divides into two parts: part one (chapters 1–3) presents my theoretical background and methodology, while part two (chapters 4–8) examines the four piano trio movements. Chapter 1 begins with initial considerations on the relationship between analysis and performance and proposes that the interaction may go both ways, especially during the rehearsal stage. I will discuss examples of

[6] Janet Schmalfeldt's imagined conversation between 'Analyst' and 'Performer' is perhaps closest to this type of interaction (Schmalfeldt 1985).

[7] However, I have generally avoided disclosing my analytical insights to the other performers while rehearsing together. This prevents the danger that analytical ideas would give too much direction over the rehearsals.

analysis and performance interaction as expounded by theorists such as Edward T. Cone (1968), Carl Schachter (2000), William Rothstein (2005), Janet Schmalfeldt (1985), Joel Lester (1995), Patrick McCreless (2009), and Alain Dodson (2008).

Chapter 2 focuses on the concept of musical motion and discusses how it is an essential foundational metaphor in musical discourse, associated with words such as change, process, and force – to name the most important ones. I will argue that it is not only harmonic and structural analysis, promoted especially in Schenkerian analysis, but also the *Formenlehre* analysis that essentially approaches musical works as processual and dynamic rather than stationary (see for example Burnham 1989; and Schmalfeldt 2011). I will also propose how musical works may be experienced and approached either from an *observer* or a *participant* viewpoint, as explained by Steve Larson (2012). Typically, music analysis tends to approach works from a bird's-eye, observer viewpoint while performers experience them from a participant point of view. Taking into account the latter approach enables us to examine motion from a moment-by-moment, performance-oriented viewpoint.

Before closing chapter 2, I will present three different levels of how motion will be approached in this study: the first level is *local motion* that primarily concentrates on brief musical units, such as phrases and sections. *In-between motion* examines the motion between two subsequent units, concentrating especially on formal boundaries that are somehow obscured or blurred. Finally, *overarching motion* discusses the more abstract, deep-level motion, which usually includes only one harmonic and dramatic goal – the piece 'in a nutshell', as described by Rink (1999, 218). In addition to these three levels, the study also examines motion where the expected goals are *not* reached – sometimes these goals are evaded temporarily, yet at other times they may not be reached at all. I call this *unfulfilled motion*, which will be especially addressed in the opening movement of Schumann's G-minor Piano trio (Op. 110).

Chapter 3 continues to build the methodological framework of this study by making a distinction between 'goal-oriented' and the more locally oriented 'here-and-now' viewpoints. After this, each analytical approach and its potential relation to issues of performance are discussed in more detail. The perspectives are, for example: Schenkerian harmony and voice-leading analysis, Hepokoski and Darcy's

Sonata Theory, and dramatic motion as explained for instance by Rink and Agawu. Furthermore, the examination on expressive parameters such as dynamics, agogics, and articulation – often called as 'secondary' parameters – as well as metrical analysis, will be discussed in a separate section before closing the chapter with some initial considerations on 'here-and-now' viewpoint in analysis and performance.

Chapter 4 presents the background of the trios with a brief overview of their opening movements. After this, chapters 5–8 discuss each motion level in relation to one of the examined movements: Chapter 5 examines the first movement of Mendelssohn D-minor trio Op. 49 (1839) concentrating on local motion. Chapter 6 turns to Mendelssohn's C-minor Piano trio Op. 66 (1845), focusing on the in-between motion – for instance, the motion from primary to the secondary key in the exposition and the motion between the development section and recapitulation. Chapter 7 examines the overarching motion in Schumann's D-minor trio Op. 63 (1847), trying to create common paths between participant and observer viewpoints. In addition, I will suggest that the dramatic and harmonic tensions share similar profiles in both overarching and more local levels. Chapter 8 examines Schumann's G-minor Piano trio Op. 110 (1853) from the viewpoint of unfulfilled motion in local, in-between, and overarching levels. Finally, I will end my research with brief conclusions and suggestions for further research.

PART I: THEORY

1 FROM ANALYSIS TO PERFORMANCE; FROM PERFORMANCE TO ANALYSIS

This chapter discusses some of the essential questions and challenges we encounter when examining the relationship and potential impact between analysis and performance. For example, an important issue is to recognise the direction – is analysis affecting performance, or vice versa? While most analysis and performance studies fall into the first category, there are also examples on how performance may affect analysis, especially in studies published in recent years. In the following sections, I will consider the differences between these two directions and then draw some initial conclusions on how to create bridges between analytical language and the more performance-oriented 'studio language', as described by Patrick McCreless (2009).

1.1 FROM ANALYSIS TO PERFORMANCE

To begin, one finds roughly two partly overlapping standpoints on the ways in which analysis may affect performance. Perhaps the most common is that certain analytical insights may have an impact on performance, yet others do not. This is the position Joel Lester takes when he notes: 'I do not believe that all analytical findings need be projectable or indeed projected […] Certain structural issues may be highlighted; others are clearly best left for quiet reflection' (Lester 1995a, 210). While Lester agrees that for performers it is worthwhile to be aware of analytical insights such as structure and form, one does not have to consider how each and all of these insights should be pointed out in performance. Moreover, as William Rothstein outlines: '[d]ramatic truth and analytical truth are not the same thing; a

performance is not an *explication du texte*. The performer's task is to provide the listener with a vivid experience of the work, not an analytical understanding of it. But experience – the more vivid the better – will give the listener an avenue towards understanding' (Rothstein 1995, 238). In other words, even though a certain analytical finding could be reflected in performance, the potential performance suggestions should not lead to 'bringing out' something that would violate performance instructions or other musical features found in the work.

While analysis to performance consideration is usually made *a posteriori* – after a completed analysis – the second standpoint rather interacts with the performers' practicing process.[1] Since the need for analysis often arises from the specific performance problems the work itself raises, the piece is rarely examined with one single analytical method from the beginning until the end. Indeed, in her ground breaking article on analysis and performance studies, Janet Schmalfeldt describes how 'deliberately eclectic' methods are applied to create dialogue between her two imaginative personae, the 'Analyst' and the 'Performer' (Schmalfeldt 1985, 2).

Along with Schmalfeldt, John Rink in particular has emphasised the problem-solving role of analysis in many of his analysis and performance -related studies. For example, in his article 'Analysis and (or) performance' (2002), Rink presents a way of examination he calls 'performer's analysis', which is: 'considered study of the score with particular attention to contextual functions and [the] means of projecting them' (Rink 2002, 36) [square brackets by Rink]. Rink suggests that 'performer's analysis' typically includes one or more of the following viewpoints:

(1) identifying formal divisions and basic tonal plan

(2) graphing tempo

(3) graphing dynamics

[1] In addition to these two viewpoints, there are scholars who regard – either by directly stating it, or implicitly – that even though analysis can help performers to pay attention to the outstanding features of the work, it cannot (and should not) lead to any concrete performance suggestions since they will depend on performers' own playing style and taste. Or, there may be even a more negative outlook where analysis is seen as harmful for performers since it destroys their intuitive playing. While I do not want to suggest that inspired and thoughtful performances cannot be created without analysing the music, the aim of this study is not to justify the need for analysis *per se,* but rather to consider the most fruitful approaches for the intended interaction.

(4) analysing melodic shape and constituent motifs/ideas

(5) preparing a rhythmic reduction

(6) renotating the music (Rink 2002, 41).

It is important to notice that while numbers 1, 4, and 5 may easily be included in more traditional music analysis, graphing tempo and dynamics (numbers 2 and 3) are much more performer-oriented, rarely taken into account in music analytical concentration. Visually graphing dynamic and temporal issues may greatly help the performer to perceive the overarching plan of these parameters, and consider how local expressive shaping merges into the whole. As for renotating the music (6), Rink offers an insightful example on writing rhythmic rebarring of a particularly problematic passage in Chopin's Nocturne in C♯ minor Op. 27 No. 1 (ibid., 53–55). Yet even more important is Rink's conclusion: 'one need not stay wedded to it in performance; in fact, I play the music much more freely than this new notation suggests, however enlightening it once proved to be' (ibid., 55). Rink's notion that a well-grounded analytical examination may, in fact, lead towards greater freedom in performance might be yet another justification that analysis and performance can interact with each other in a productive way rather than restricting performers' imaginations.

There are also scholars who have a more critical approach towards 'problem-solving' analysis. For example, Nicholas Cook warns us: 'expression', which is 'traditionally seen as the core of performers' individuality', may become 'itself an epiphenomenon of structure' (Cook 1999, 242). Cook parallels this view especially with Schenkerian analysis where 'compositional design "expresses" structure' (ibid., 243). As for the problem-solving role of analysis, Cook is somewhat sceptical on analyses where 'you complete the analysis, and then you decide on appropriate performance "interventions" on the basis of that analysis' (ibid., 248).[2]

In sum, although the goal of analysis and performance interaction undoubtedly has noble origins – to create inspiring, or simply 'better' performances

[2] In *Beyond the score: music as performance* (2013) Cook takes an even more critical stance on what he calls the 'structuralist' approach, dominating not only in analysis to performance studies, but in modern performances as well (Cook 2013, 4–5).

– there is a danger that the tone of voice of the analyst sounds authoritative over performance. If theorists want to avoid these accusations, it should be made clear that performance implications eventually remain suggestions, not instructions, thus echoing Schmalfeldt's conclusion over thirty years ago: '*there is no single, one-and-only performance decision that can be dictated by an analytic observation*' (Schmalfeldt 1985, 28) [italics by author]. Moreover, the potential performance suggestions derived from analytical insights will ideally be 'assimilated into the generalised body of knowledge that lies behind but does not dominate any given performance act' (Rink 2002, 39–40). What analysis *can* do is to reinforce, complement, or sometimes challenge the decisions that the performer has initially made. As a result, rather than giving specific (occasionally even sporadic) performance instructions, 'analysis should be seen as a means of posing articulate questions', as Cook proposes (1999, 248).

1.2 EXAMPLES OF ANALYSIS TO PERFORMANCE INTERACTION

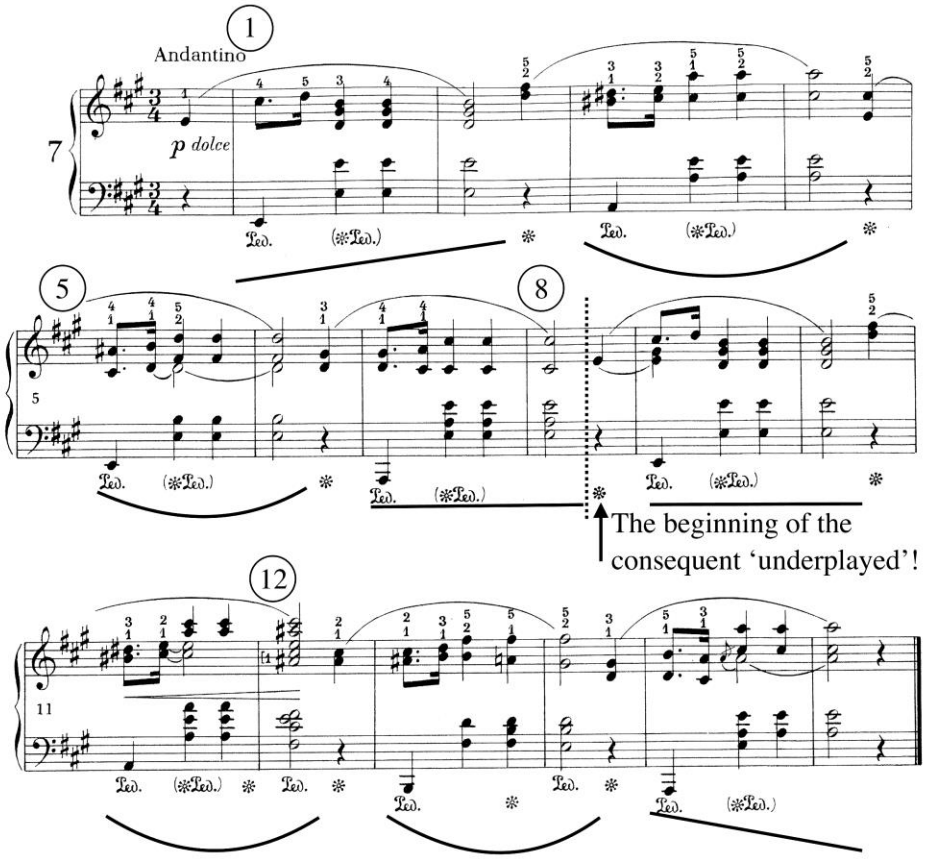
In the next section, I will present three examples of studies where the direction is from analysis to performance: Edward T. Cone's *Musical form and musical performance* (1968), Carl Schachter's 'Playing what the composer didn't write: analysis and rhythmic aspects of performance' (2000) and finally William Rothstein's 'Like falling off a log: rubato in Chopin's Prelude in A-flat major, Op. 28 No. 17' (2005). In these texts, the authors discuss how performers may shape the musical structure especially by temporal adjustments. While Cone favours a more overarching approach in order to maintain continuity (and thus suggests performers rush over less important boundaries), Schachter argues that the performers should take their time during moments that are structurally significant. Rothstein, on the other hand, suggests that rubato may not merely be a local agogic phenomenon, but something that can be applied in more overarching structural processes as well.

CONE: MAINTAINING CONTINUITY AND MOTION IN PERFORMANCE

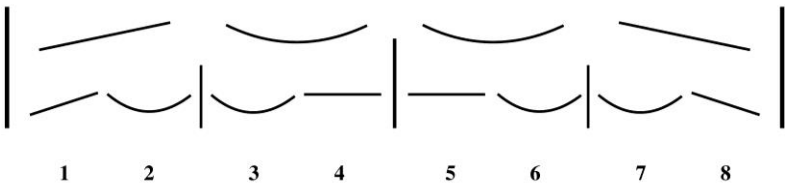
In his influential book *Musical form and musical performance* from 1968, Edward T. Cone proposes that a valid and effective musical performance is one that is able to discover and clarify 'the rhythmic life of a composition' (Cone 1968, 31). Cone argues that musical entities are filled with motional energy and that analysis should take this into account. Moreover, Cone proposes that motional energy is hierarchical, which enables maintaining the motion in performance:

> I have suggested that the same [rhythmic] principles, working on higher levels and more comprehensive formal sections, can ultimately be invoked to explain an entire composition as one all-embracing rhythmic impulse. Such a comprehensive form can be made clear in performance, however, only by virtue of another principle: that the whole is more important than any of its parts. Any conflict of interest must be resolved by suppressing the formal claims of the part in favor of those of the whole (Cone 1968, 39).

For example, in Chopin's 16-bar long A-major Prelude Op. 28 No. 7 Cone argues that the 2-bar subphrases, where the second bar tends to get a downbeat-like accent, easily cause the real musical goals to go unnoticed by the performer (ibid., 40). Example **1.1a** presents the entire Chopin Prelude where I have added Cone's comments together with four graphical symbols, which illustrate the energy to and from musical goals, using the analogy of throwing a ball: the (/) marks for the initial downbeat, the (∪) and (–) are middle points, and the (\ ) a cadential downbeat (ibid., 27). According to Cone, when performing the Chopin Prelude, both the cadence of the antecedent (bar 8) and the beginning of the consequent (bar 9) should be underplayed, and only the final cadence, marked with downward arrow, brought out (ibid., 42). This kind of 'lightening' in the first cadence (bar 8) can be made in various ways: Cone's own advice is to place 'the cadential accent on the measure preceding the final tonic', which would here mean bars 5–6 (ibid., 44). The reason for this is that: '[t]his kind of performance emphasizes the fact that the melodic descent to the tonic is, in such a position, only a local detail, and that the true line remains unresolved in order to make its definitive descent later on' (ibid., 44).



Example 1.1a Chopin, Prelude in A major Op. 28 No. 7, including Cone's graphical arrow illustration on the dynamic motion (Cone 1968, 42).



Example 1.1b Reproduction of Cone's original graph where each number counts for two bars (Cone 1968, 42).

Cone's discussion of the Chopin Prelude suggests that in addition to recognising and labelling formal segments and cadences, it is equally important to understand their

location and context from the more global point of view. Cone's advice in this example is to head for the final cadence and maintain motion between the boundary of bars 8–9.[3]

The fact that Cone favours the broader, bird's eye view on musical motion, rather than a more locally-oriented one is very much in line with some of his 20th-century predecessors, such as Donald Tovey, who already in the 1930s wrote how analysis should emphasise the ongoing motion in performance rather than labelling a work into segments.[4] On the other hand, in the final chapter, Cone does speculate at some length on analytical approaches where expressive local shaping becomes primary in performance:

> Most practical instruction in performance is directed toward the encouragement of immediate apprehension. […] As a counterbalance to this approach, the foregoing essays have been devoted primarily to what might be called the performance of form. But it is equally true that modern music theory tends to stress the unifying aspects of form to the extent that it seems to accept as valid only the mode of perception that "best appeases our lust for inventing structures" (ibid., 97).

Cone ends his book by noting that a 'healthily hedonistic attention to the musical surface should stand as a constant reminder that there are alternatives to the rapt admiration of bloodless formulas and jejune diagrams to which our lust for structures sometimes leads us today' (ibid., 98). In the next section, I will discuss how Carl Schachter examines expressive details by combining them with an analytical method whose 'lust for structures' is especially prominent: Schenkerian analysis.

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[3] In my view, the 'lightening' of the cadence between these measures also allows space for the dramatic high point, achieved in bars 11–12. Cone, however, warns that although 'the melodic climax and the harmonic complication at that point, might tempt us to make that pair of measures, or perhaps the next pair, strong, but we should resist. These measures are harmonically the most active of the entire piece; to make one of them a rhythmic goal through downbeat status would break the V–I–VI–II–V–I motion' (ibid., 40).

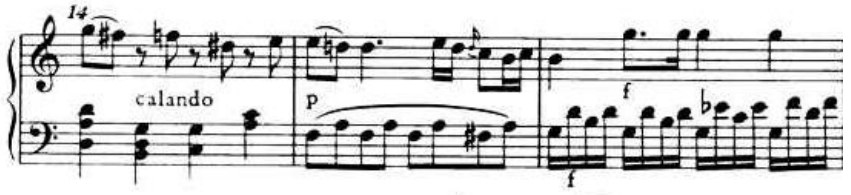
[4] 'It is usually supposed that an "analytical" performance will chop the music up into small sections with gaping joints. Anyone who tries to follow the contents of the present volume will soon discover that the only possible bad effect that an analytical view could have on the performance of Beethoven would be to hasten its tempo and to make it pour out the music in one breathless stream. […] the effect of a correct analysis can only be to inculcate a broader view' (Tovey 1931, iii).

> It is often by employing nuances that go beyond what the composer wrote (though of course inferred from the marks on the page) that performers can summon up a world beyond what the notes express directly (Schachter 2000, 48).

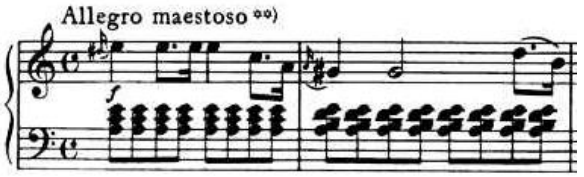
Carl Schachter demonstrates in his article 'Playing what the composer didn't write: analysis and rhythmic aspects of performance' (Schachter 2000) how bringing out expressive details may be justified by analysis, since 'an awareness of large-scale connections can help one in working out appropriate strategies for pacing, accentuation, and other rhythmic aspects of performance' (Schachter 2000, 48). In Mozart's A-minor Piano sonata (KV 310, I) Schachter discusses the expressive chromatic D♯–E melody in the third and fourth beats of bar 14 and the somewhat unusual *calando* instruction Mozart has written there (Example **1.2a**). Schachter argues that the extraordinary features and associations of this moment need more than maintaining a steady tempo (ibid. 50–51).[5] He gives analytical arguments for this view:

> The d♯^{2} after beat 3 [bar 14] is a chromatic sound, and one that dissonates against the C-major chord below it. In general, chromatic and dissonant notes are to be emphasized, and this one requires, if anything, more than the usual emphasis such a sound would attract. This is because it replicates the striking appoggiatura that begins the movement and, like it, resolves up to e^2 [Example **1.2b**] Indeed, the D♯ and E in m. 14 form one of the most expressive and specific of the countless indirect references throughout the movement to that germinal appoggiatura motive (Schachter 2000, 50).

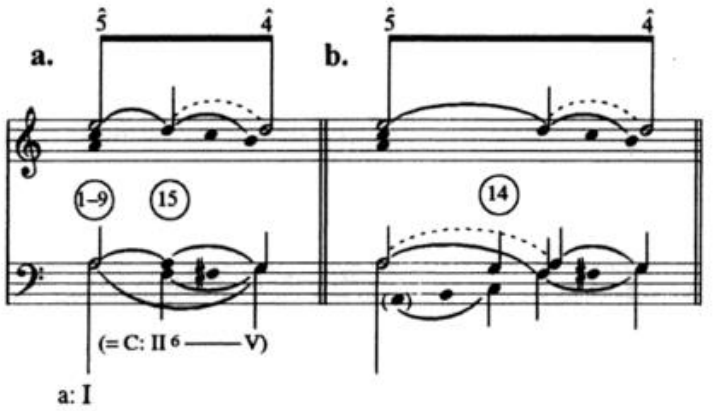
[5] Here Schachter disagrees with scholars such as Paul and Eva Badura-Skoda (1957) and Sandra Rosenblum (1991) who both agree that 'calando' in Mozart refers to getting softer but not getting slower (ibid., 50). Schachter states: 'I unquestioningly agree that the calando direction does not tell us to get slower, but neither does it tell us *not* to get slower' (ibid., 50).



Example 1.2a Mozart, Piano sonata in A minor, KV 310, I, bars 14–16.



Example 1.2b Mozart, KV 310, I, bars 1–2.

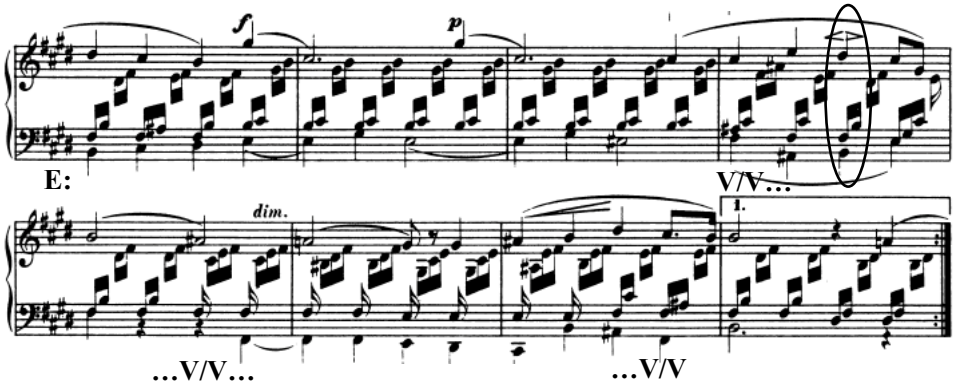


Example 1.2c Schachter's voice-leading reduction, bars 1–16 (Schachter 2000, 49).

From the viewpoint of voice leading, the C-major chord is, as Schachter describes, 'a kind of anticipatory C major, contrapuntal in origin' (ibid., 49). Its location, as Schachter voice-leading analyses (Example **1.2c**) suggest, is crucial, since the music turns towards the mediant key, C major, and introduces the pivot D-minor sixth

chord, II^6 in C major, IV^6 in A minor in the next bar. In the ongoing music, bar 14 hence serves as an important expressive juncture where the continuous eighth-note accompaniment is temporarily absent, not to mention that bar 14 falls in-between the dynamic change from the opening *forte* to *piano* dynamic (the *piano* begins in bar 15). As a conclusion, Schachter writes:

> Whether Mozart the pianist would have brought out this detail, I know as little as anyone else. Nor do I know whether he, who valued keeping to the tempo, would have countenanced the slight rhythmic nuance I am advocating. (Personally, I refuse to believe that his idea of a steady tempo was one of mechanical uniformity.) But that Mozart the composer made the D♯–E a crucial moment in the unfolding of this extraordinary tonal drama—of this I am quite sure (ibid., 51).

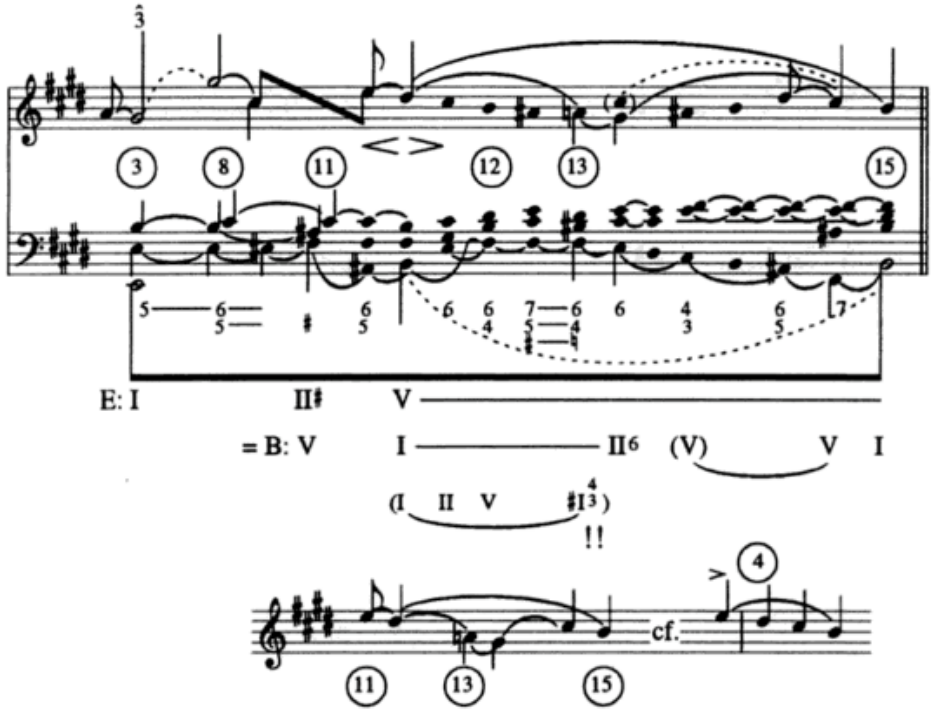


Example 1.3a Mendelssohn, *Lied ohne Worte*, Op 19 No. 1, bars 8–15.

The idea of taking time in dissonances continues in Schachter's discussion on Felix Mendelssohn's *Lied ohne Worte* in E major (Op. 19 No. 1). Here Schachter examines the last five bars (11–15) of the first reprise and the somewhat extraordinary tonicisation process of the dominant B-major harmony (Example **1.3a**). The crucial question is, from the perspective of voice leading, how to connect the three dominant chords (V of V) – one strong, one 'frustrated', and one successful – in bars 11, 12 and 14 (ibid., 54). If considered as a prolongation of the same harmony, as Schachter points out, then the B-major harmony in bar 11, which

Mendelssohn even emphasises with an agogic < > hairpin, would be difficult to bring out. According to Schachter,

> At first it seemed, and it still seems, reasonable to infer a connection among the three F♯ harmonies and to understand all the other chords, including the B-major triad in m. 11 as details within the prolonged F♯, the B-major goal appearing only in m. 15. Well, it may be reasonable, but it's wrong. Mendelssohn himself obligingly points the way to a better idea of the passage with his crescendo/decrescendo sign that tells us to place a highlight on the B chord at the third beat of m. 11. If such a sign graces an unusual chromatic or dissonant sound, it doesn't necessarily imply that the sound forms part of a deeper structure. But when the sign falls on a normal and expected diatonic and consonant sound, as it does here, it might well have important structural, as well as expressive, implications (Schachter 2000, 54).



Example 1.3b Schachter's voice-leading analyses of bars 1–15 (first reprise) (Schachter 2000, 55).

Aspiring to capture these qualities in the voice-leading analysis (Example **1.3b)**, Schachter proposes that the B-major chord in bar 11 is already the structural dominant, although first stated 'somewhat tentatively', which is prolonged until the final cadence of the first reprise, bar 15 (ibid., 54–56). Indeed, Schachter writes: '[c]ombining a dynamic swell with a slight ritenuto will call attention to the D♯ and its supporting B-major chord so that the listener can feel both the harmonic and the motivic importance of this event' (ibid., 56). However, Schachter also suggests that the performers slow down slightly when the second 'frustrated cadential dominant' to B major resolves to a diminished B♯^{7} chord (Schachter believes this chord represents the B-major triad, although in disguised form). According to Schachter,

> This would have a number of happy consequences, both expressive and structural. First of all the delay would intensify the surprising effect of what is clearly an important turning point in the song's musical discourse; everyone expects a cadential B-major tonic at the downbeat, and the diminished seventh not only withholds the expected goal, but it also expands the piece's time frame and suddenly makes the whole sequence of ideas much less predictable than it had seemed. In addition, the ritenuto will enhance the effect of the resolution into II, and it will also help to set off this first prolongation of the B chord from its continuation (ibid., 55–56).

Interestingly, the two moments where Schachter suggests the performer take her time are opposites from the viewpoint of successful harmonic motion: the B-major chord in bar 11 is the local goal of the first reprise – no matter how it is understood at first – while the diminished chord represents harmonically evaded motion, since the expected cadence to B major did not realise. The evasion is however dramatically significant, since it begins an expansion and pushes the resolution further, as Schachter notes.

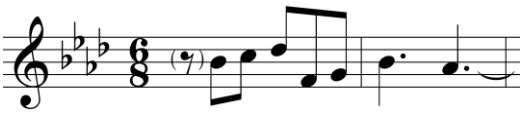
Schachter's study strongly supports the idea that expressiveness of a performance may be further motivated by structural issues. Schachter is very sensitive towards performance instructions, agogics, and slurs that – despite their original intention to help the performer shape the music in an appropriate way – sometimes become the very source of the problem, as I discussed in the Introduction chapter. Schachter's capacity to go back and forth with local and more overarching

aspects enables the performer to consider these issues from both structural and expressive viewpoints. Yet, at the same time, it invites the analyst to take into account the expressive agogic details that may challenge our initial analytical assumptions, such as the idea that the three dominant chords in the Mendelssohn example are prolonging the same harmony. The result may be a less obvious, yet at the same time much more exciting voice-leading analysis.

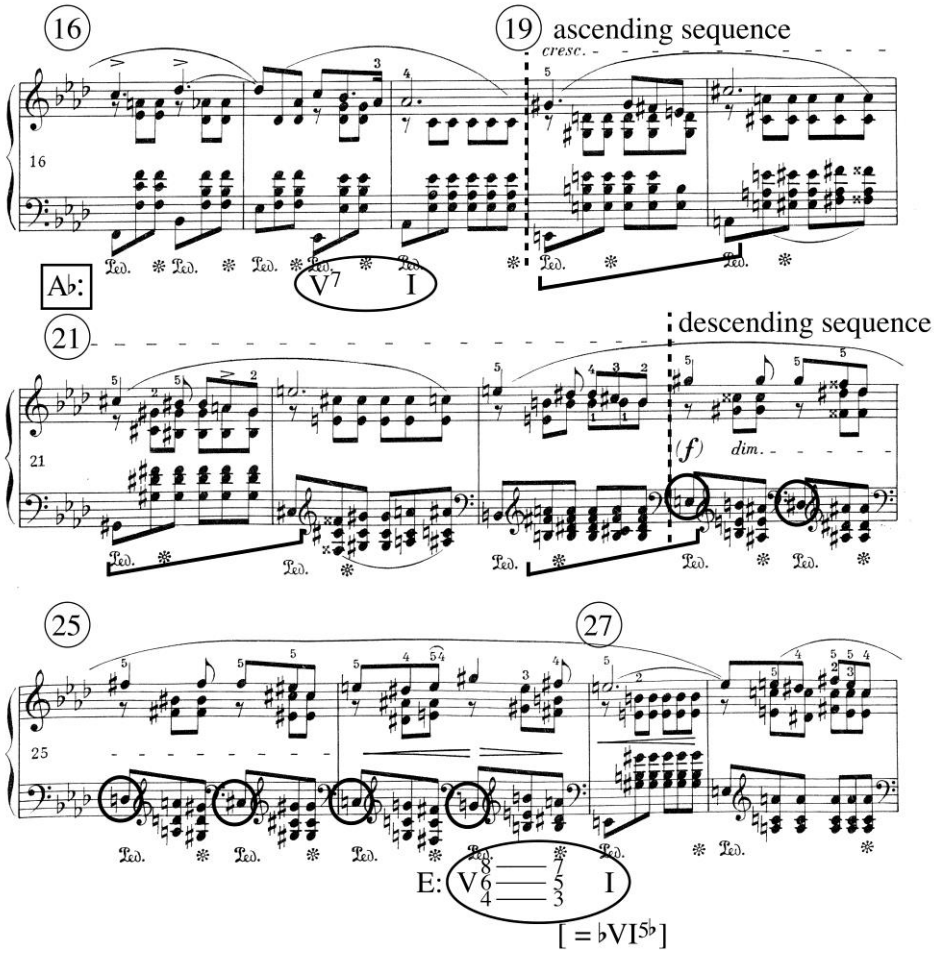
ROTHSTEIN: HIERARCHIC STRUCTURE VS. HIERARCHIC RUBATO PLAYING

The issues of temporal flexibility – rubato – is also the starting point for William Rothstein's fascinating study on Chopin's A-flat major Prelude, Op. 28, No. 17 (Rothstein 2005) where he introduces the idea of small, medium, and large-scale rubatos, which are justified both by analytical and performance considerations.

Rothstein begins with the small-scale rubato by commenting on the Prelude's special rhythmic feature, an upbeat consisting of five eighth-notes and the downbeat with either one or two dotted quarter notes (Example **1.4**). Rothstein calls it the *Ur*-rhythm of the piece, which requires rubato with a slight speeding up towards the second bar (Rothstein 2005, par 6). According to Rothstein, a tradition existed in the 19th century wherein motives with long upbeats accelerated towards their downbeat in performance (ibid., par 8); here Rothstein recalls Hugo Riemann's description of end-accented '*abbetonte*' motives that are 'associated with *crescendo* and a slight *accelerando*' (ibid., par 7). Rothstein also notes that Schenker takes a similar stance when discussing on the accelerando in repeated tones (Schenker 2000, 54–55).



Example 1.4 *Ur*-rhythm of the Chopin A-flat major Prelude, Op. 28, No. 17.

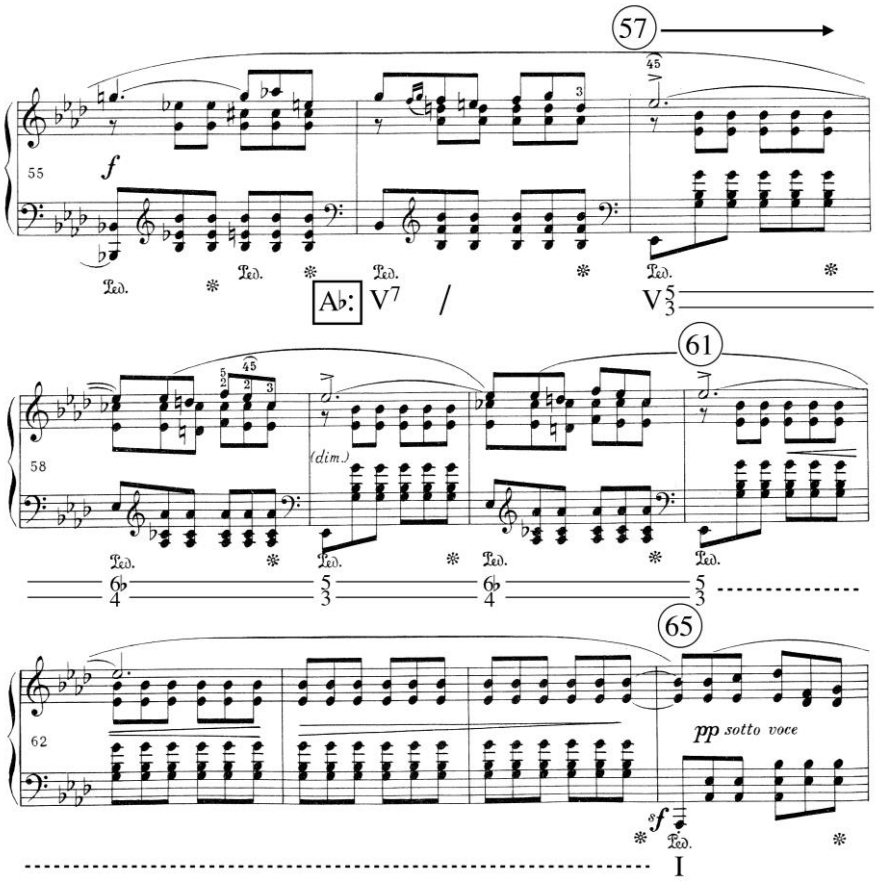


Example 1.5 Chopin, Op. 28 No. 17, bars 16–28, with ascending sequence in thirds (19–24), followed by a chromatically descending sequence (24–27).

Rothstein then proceeds to give examples of medium-scale rubatos. Such is the sequential passage between bars 19–27, beginning with an ascending sequence in thirds (bars 19–24) and continuing with a chromatically descending sequence (bars 24–27) (Example **1.5**). Beginning with the descending sequence, Rothstein explains that although Chopin writes a long diminuendo during the descending sequence, it does not necessarily have to mean slowing down, as pianists often do. Rather, the descending sequences, as Rothstein poetically describes them, are ‘extended

instances of falling-off-a-log' (ibid., par 22), here following the climax of the preceding ascending sequence, the E-major chord with the melodic high point $g\sharp^2$ on the downbeat of bar 24. The ascending sequence (bars 21–24 and also 49–50 later on), is likewise to be accelerated, however the climax itself in bar 24 includes musical friction and it is thus advised to play more slowly:

> I treat the final approach to the climax [bar 24] as effortful, hence slower--or, as I prefer to think of it, "thicker." In the experience of musical friction, time itself seems to thicken, whereas the act of falling and accelerating makes time seem thin. To express these sensations I am forced to change from a solid to a liquid metaphor. With apologies to Frank Samarotto's "temporal plasticity", I will term the phenomenon *temporal viscosity* (ibid., par 23) [italics by author].



Example 1.6 Chopin Op. 28 No. 17, bars 56–66, example of large-scale rubato (pedal point between bars 57–64), advised to play faster.

Finally, Rothstein proposes a large-scale rubato during two parallel passages in the Prelude with pedal points, E and E♭ in bars 27–32 and 57–64 (Example **1.6**). Since these bars act as codettas for the already achieved harmonic (local) goals, Rothstein suggests the performer make an accelerando over these bars (ibid., par 25). By making a similar accelerando in both instances, they will also associate with each other. As Rothstein writes: '[i]n the large-scale rubato of the Prelude, these for me are the twin peaks. Lacking significant pitch motion, the *Ur*-rhythm becomes the focus of attention' (ibid., par 30).

Rothstein concludes the article by noting that although wide generalisation is impossible, there are some principles that can be recognised, such as the end-accented motives that require acceleration. Importantly, the ways of rubato playing are not only justified by Rothstein's analytical insights and historical sources, but they are in accordance with his own performance style, as the following text shows:

> [I]n my own playing, I disregard the conventional correlation between *diminuendo* and *ritardando;* I accelerate during each descending sequence, because these seem to me like extended instances of falling-off-a-log. Having climbed to a peak in the preceding ascent, the music tumbles downward, accelerating as it goes (ibid., par 22). […] In this Prelude I rush happily, deliberately, and in good conscience (ibid., par 30).

As a result, while the narrative of the article is from analysis to performance, the performers' experience does not remain tacit, but is revisited throughout the study. Rothstein's choice of displaying his performer personality, combined with historically and theoretically informed knowledge, shows an indeed attractive direction for analysis and performance studies.

1.3 FROM PERFORMANCE TO ANALYSIS

In his often-cited article 'Performance and analysis: interaction and interpretation' (1995a), Joel Lester suggests that theorists should rely more profoundly on performances when they make analytical interpretations. He wishes that '[p]erformers could enter analytical dialogue *as performers* – as artistic/intellectual

equals, not as intellectual inferiors who needed to learn from theorists' (Lester 1995a, 214). One of the reasons why considering performances before analysing is important is because 'performance decisions, because they arise from so many different perspectives, likely reflect a much wider range of structural options than analyses, many of which tend to address a fairly limited agenda' (ibid., 214).

Admittedly, examining how performance might affect analytical reading is not that easy. The reason for this comes partly from the tradition of music analytical writing, where the potential influence of performance has usually remained tacit. In the article, Lester does present examples of existing performances that seem to contradict the analytical readings of such distinguished theorists as Rothstein and Schachter. However, rather than trying to prove that the analytical readings might somehow be wrong, Lester wishes to point out that even a seemingly unequivocal structure, such as regular 4-bar hypermeter in a dance work, 'is not a factor dictated by the score: it must be interpreted' (ibid., 207).

Since Lester, some notable studies have arisen where performance choices influence analytical reading in some way (e.g. Dodson 2008; McCreless 2009; Hood 2014). For instance, Alain Dodson has compared grouping strategies in various performances with Schenkerian readings of the same musical passage (Dodson, 2008). Dodson argues that while there were performances that correlated between voice-leading graphs – in this case, Schenker's three existing, yet different readings on the opening measures of Beethoven's Sonata Op. 81a, 'Das Lebewohl' – there were also performances that did not correlate with any of these readings (Dodson 2008, 115). Inspired by one of these 'neither/nor'[6] performances, Dodson constructs a fourth, entirely novel voice-leading rendition that presents the opening measures of Beethoven's Op. 81a from the viewpoint of one particular performance. Dodson's study strongly supports the idea that analysis and performance 'might in fact be a two-way street, even in the case of approaches which, like Schenkerian analysis, focus mainly on musical relationships we do not normally think of as being subject to the performer's influence' (ibid., 118).

[6] In the beginning of the article, Dodson discusses Schachter's well-known essay, 'Either/or' (Schachter 1990) where Schachter examines ambiguous situations found in musical structure (Dodson 2008, 109).

Another similar performer-based analytical study is Patrick McCreless's article 'Analysis and performance: a counterexample?' (2009) where he examines César Franck's Chorale No. 1 in E major, aspiring to justify analytically an 'unorthodox' interpretation, which reflects ideas of a performance he once heard of the chorale. In the article, McCreless convincingly converts the performers' 'studio language' (McCreless 2009, 7), as he describes it, into a more analytical context. Along with considerations on hypermeter, motives, and harmonically salient aspects, he presents two mutually exclusive harmony and voice-leading analyses side by side and argues how a more 'orthodox' performance can be associated with a more orthodox sketch and the unorthodox performance with a more exceptional voice-leading interpretation (ibid., 10–11). Thus the *raison d'être* of the entire analysis is the performance itself, not the other way round: 'In no sense, then, did analysis *determine* performance; if anything, performance determined my analysis' (ibid, 2).

1.4 SIMULTANEOUS INTERACTION?

Studies by Lester, Dodson, and McCreless are all examples where performance – either the author's own or somebody else's – becomes the starting point of analytical reading. However, there are not yet many studies where the still-evolving performance preparation affects the still-evolving analysis. Indeed, even the performers' studio language McCreless refers to in reality remains absent in his study, since the performer's verbalisation of the dramatic events at the end of the chorale is only an imagined one:

> From the outset, she would have been able to articulate the obvious: that mm. 233–259 constitute the triumph and ultimate climax of the piece; that at least the last half of the whole work, and probably more than that, is a successive building up of waves of energy that finally reach full fruition beginning with the restatement of the Chorale tune in the tonic key in canon at m. 233 (McCreless 2009, 7).

It seems that even those analysis and performance studies where performance is the motivation for analysis rarely include examples on the performer's own

verbalisation. This issue has been raised for example by Daphne Leong and David Korevaar in their article 'The performers' voice: performance and analysis in Ravel's *Concerto pour la main gauche*' (2005). According to Leong and Korevaar, the fact that most analysis and performance studies treat performers as objects, without having their own voices, has its consequences:

> Apart from the obvious issue of "who knows the most about performance, anyway?" music-theoretic literature on performance and analysis neglects […] performers' implicit analyses and the gloriously messy aspects of a work as an *activity,* involving score, aural, visual, and kinesthetic aspects. For good reason: music-theoretic discourse admits messiness grudgingly, if at all. And performers are culturally "outside" the music-theory community. Unless invited, they cannot participate in the discussion (nor may they wish to, particularly if the price of admission is "music-theory speak"!). But "analysis and performance" suffers as a result (Leong and Korevaar 2005, par 17–18) [italics in the original].

The authors propose that presenting the theorist's and performer's view side by side 'enrich[es] an "analysis and performance" discussion by granting "purely performance" issues a place at the analytic table' (ibid., par 19). In their own study of Ravel's concerto, Leong and Korevaar aspire to maintain the performers' voice by using non-theoretical words such as 'unusualness', 'up and down', 'awkwardness', 'white vs. black keys' that resonate with performers' studio language. The role of analysis in their study is then to refine the intuitive and initial feelings of the performer:

> This process has clarified some of our intuitive perceptions as performers, pointing the way to performance applications. The analysis of such intuitive considerations—the "feel" of a gesture, the direction of a progression, the rhythmic character of a theme—forces us to refine and articulate our interpretive approach. […] However, integrating such considerations with structural analytical observations proves a stronger and more relevant framework for performance interpretation (ibid., par 71).

A rare exception where the rehearsal process is also taken into discussion is in Janet Schmalfeldt's article from 1985 where she introduces her two imaginative personae, the 'Analyst' and the 'Performer' when discussing performance decisions on two

Beethoven Bagatelles (Schmalfeldt 1985). Particularly fascinating is the latter part of her article where the Analyst responds to the questions asked by the Performer; their collaboration gives justifiable options to specific performance issues that arise from the ambiguity between form and harmony. Schmalfeldt's dialogue presentation mode is able to bring out the performer's viewpoint in a productive way.

Over the years, Schmalfeldt has been criticised for prioritising analysis over performance (see for example Lester 1995a; Rink 2002; Cook 2013), yet her article is nevertheless one of the first attempts to recognise the problems that performers may encounter while pondering various interpretation possibilities during the practicing process, not only the issues that are initially pointed out by analysis. She returns to the critiques in her book *In the process of becoming* (2011) and states:

> Readers must surely have noticed that the Performer in my article is just as "verbal"—maybe even as "analytical"—as the Analyst. […] Most important, I had intended to give both characters equal authority within their exchange. But the Analyst fails to clarify that many of her analytic views had in fact been inspired by the Performer. Nor does the Performer grasp the opportunity to demonstrate that performances can, and usually do, influence and even determine analytic interpretations, just as much as analyses can, and often do, inform performances (Schmalfeldt 2011, 114).

But perhaps the problem does not lie here – whether the performer's insights are 'too analytical' or subsidiary to analysis. Rather, in many analysis and performance studies, only performance choices are problematised while the analysis remains quite solid. We are not offered differing analyses that would recognise the suggestive character of analysis. If we want to consider the potential relations between analysis and performance while simultaneously rehearsing the work and problematising our analytical considerations, Jeffrey Swinkin's 'performative analysis' suggests one possible approach, to which I will turn now.

1.5 SWINKIN'S 'PERFORMATIVE ANALYSIS'

Jeffrey Swinkin's recent book, *Performative analysis: reimagining music theory for performance* (2016) examines musical works from an approach he calls 'performative analysis'. Here issues of performance are considered right from the beginning, which means that the posed (analytical) questions are targeted to suit the questions a performer might raise. According to Swinkin, analytical interventions are like triggers that are able to affect performance (Swinkin 2016, 26). Yet at the same time he acknowledges that a performance played *after* analysis does not necessarily mean that each novel interpretation came from analysis.

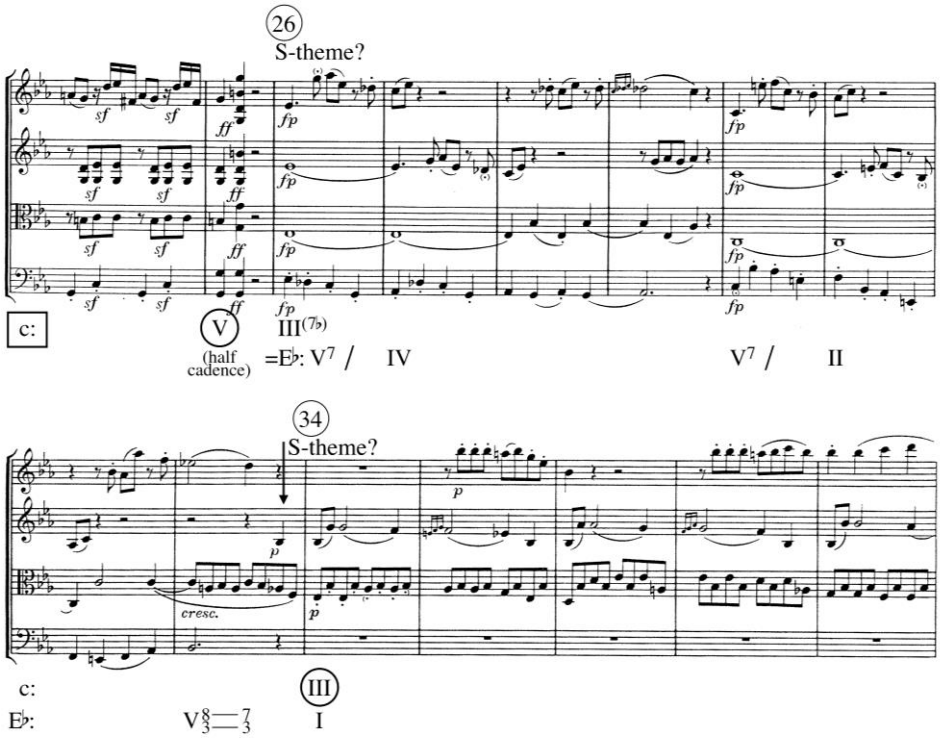
> I construe this last point thus: when a performer follows an analytical interpretation, either his own or someone else's, the performance outcomes do not and cannot discursively convey that prior interpretation. Rather, the interpretation contains fluctuations of dynamics, articulation, tempo, pedaling, vibrato, and so on, that—in some though not all cases—arise in response to that analysis, but that subsequently take on a life of their own; they become autonomous in relation to the analysis by which they were triggered (Swinkin 2016, 26).

Swinkin's outlook is very liberating, since it acknowledges that even when pursuing analysis-performance interaction, we need not consider whether a performer's nuanced playing is always related to the suggested analytical insights. Rather, by noting that a single performance is – quite naturally – autonomous of its initial analytical triggers, we also accept that there are numerous ways in which an individual performer may play the music just analysed and still agree that the analysis itself was not arbitrary.

In the chapter 'An analytical dialogue' (ibid., 96–166), Swinkin offers a fascinating imaginary scenario of 'performative analysis' where a music theory teacher/chamber music coach and a string quartet ensemble are meeting weekly and are examining Beethoven's C-minor String quartet Op. 18 No. 4, first movement. While the analytical ideas are often introduced by the teacher, there is also room for the students' considerations, doubts, and novel views that often arise from their own instrumental position. In the following example, the coach and the students discuss

bars 26–33 of the C-minor quartet (Example **1.7**). This is an ambiguous passage where after the half cadence in C minor (bar 25), the material first sounds like a secondary theme, yet it does not succeed in creating harmonic stability. Here is the imagined conversation between the teacher and the quartet members:

> *T* [teacher]: May I ask you to identify the *main* secondary theme of this movement?
> *Vla* [viola] *and C* [cello] *speak simultaneously.*
> *Vla:* Measure 26.
> *C*: Measure 34 (pickup)
> *T*: Okay, each state your case.
> *Vla*: The principal secondary theme begins in measure 26; a subsidiary secondary theme begins pickup to measure 34. I base this on the pregnant pause in measure 25, which by convention delineates the onset of the secondary theme.
> […]
> *C*: Well, you said [teacher's discussion is omitted here] that starting in measure 26 we get the relative major, but it seems that Beethoven uses the first E-flat chord as a springboard for A flat—the local tonic initially appears as $V^{(7)}$/IV. And then the passage is sequenced, further undermining the E-flat tonic. Not to mention that the theme itself is rather insubstantial and fragmentary—not what I would associate with a traditional secondary theme (ibid., 115–117).



Example 1.7 Beethoven, Quartet in C minor Op. 18 No. 4, I, bars 24–38**.**

After noticing that this passage does not appear at all in the recapitulation, the musicians begin to ponder whether the 'illusory' secondary theme should be played directly from the beginning as false, or should the performers take a naive approach and 'act' during the beginning of bar 26 as though this were a new secondary theme, and deceive the audience:

> *C*: Does that mean the theme at measure 26 was in a sense illusory to begin with? Or does that mean it begins as real and is *subsequently* exposed as illusory?
>
> *T*: That is the sixty-four-thousand-dollar question in cases like these. To state it broadly, does the subsequent resolution of an initial ambiguity indicate to the performer that the ambiguity is itself illusory—that she should apply her retrospective awareness to it and render it in light of what she knows will come later? Or does the subsequent clarification form an essential part of the narrative structure of the composition? In the first case, the performer would approach the initial ambiguity as synoptic, or second-time, listener, in the second case as naive, or first-time, listener, as one of you put it so well last class.
>
> *C*: So which approach should we take?
>
> *T*: Well, let's experiment with how we might play the passage *as if* it were a real secondary

theme (in which case, it would be the first of two) and how we might play it *as if* it were not (in which case, I guess it would be the second part of a two-part-transition).[7]

Quartet experiments. When treating the theme as real, they play it with more tone, more line, and less staccato than when treating it as illusory. In the "real" rendering, the players become acutely aware of tiny motivic cells passed off between the cello and the first violin as part of double voice exchanges.

T: So what do you think?
V2 (after a thoughtful pause): Well, to me, the initial secondary theme is so obviously loose and un-thematic to begin with that I think it would be convincing to telegraph its insubstantial nature from the start, rather than waiting for the recapitulation to tell us.
V1: I think it is more convincing to play it substantially so that its omission in the recap is all the more striking.
T: Let's put a pin in that. What's important for now is that you are asking all the right questions (ibid., 117).

Swinkin's book mirrors the more recent trends in analysis and performance studies where the role of the performer is not subsidiary, but the issues of shaping and analytical remarks go hand in hand. Also, the fact that there are no definitive answers when it comes to performer's shaping, advocates the idea of a more open-ended examination (analysis and performance as process), one that seeks to pose questions by using analytical tools, yet without narrowing the performer's role as the mere executor of analytical ideas. What we still miss, however, is a *genuine* 'studio language' by real – not imagined – performers.[8] Is this something that is unintentional, or are theorists insecure whether the performer's non-analytical conceptualisation is somehow 'ill-fitting' in the music theoretical discourse?

[7] More on two-part transitions: see Caplin 1998, 135–138.

[8] There are only a few studies where theorists have been co-operating with real performers from the perspective of analysis to performance interaction, such as Joseph Kraus' study 'Coaching Mozart's String quintet in E-flat major: finding the rhythmic shape' (2009). Yet even here performers' own verbalisation is absent and we only hear the recorded performances from the rehearsal meetings.

1.6 PERFORMER'S STUDIO LANGUAGE – HOW TO INCLUDE IT IN ANALYTICAL DISCOURSE?

While performers' genuine studio language may have been absent from analysis and performance studies, the performers' own voices emerge in publications for wider audiences, such as in pianist Susan Tomes' book *Beyond the notes* (2004).[9] In the introduction, Tomes acknowledges how verbalising personal music considerations is not natural for every musician:

> Although there are lots of autobiographies by musicians, there aren't many books written by performing musicians about the inner dynamics of a musical life. […] I've noticed that fellow musicians feel quite superstitious about putting into words things about music that they feel are better unsaid. […] Many performers dig deep into themselves to fulfil their wish to communicate with listeners; as a colleague one often sees the raw side of others (Tomes 2004, xii – xiv).

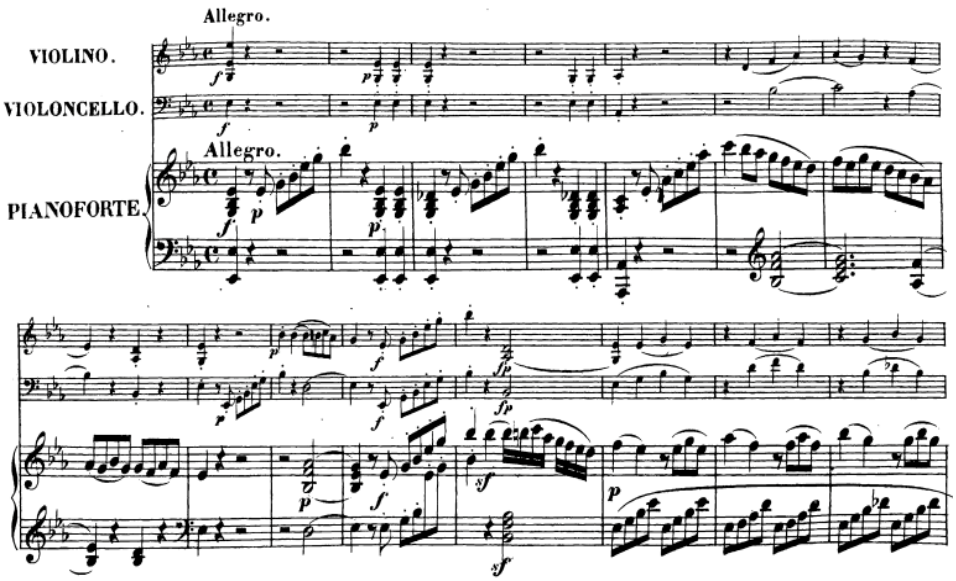
In her diary remarks, Tomes vividly describes the thoughts and doubts on performance preparation, sometimes quoting the conversations word-for-word:

> But surely the first chord should be "Woompf!", not "Waaah" or "Boom!"
> And surely the arpeggio should not be *melodic*, but short and abstract.
> And surely it shouldn't have an accent on the top note?
> The whole thing should be "Woompf! Pa-pa-pa-pa-pa-pa"! (Tomes 2004, 151)

The above discussion is from a rehearsal of Beethoven's Piano trio Op. 1 No. 1, concerning the beginning of the opening movement (Example **1.8**). Although it is a rather abrupt example of 'studio language', it raises issues that are crucial in performers' shaping. Can these notions interact with analytical insights as well? I believe they can. Take, for example, the question of continuity: one of the trio members wants the initial gesture (bars 1–2) to move forward instead of pausing ('not "Waah" or "Boom!"'). Creating continuity between bars 1–4 instead of

[9] Interesting considerations on performance, and performance preparation are also found for example in Gerald Moore's (1975) and Alfred Brendel's (1976; 1990) books.

chopping the measures into separate gestures may be considered from the point of view of phrase grouping (as in Dodson's study), voice leading, registers, or even meter.



Example 1.8 Beethoven, Piano trio in E♭ major Op. 1 No. 1, I, bars 1–15.

In music analysis, performers' concerns such as the ones presented above are rarely taken into account. Yet if we want to create a genuine, two-way interaction between analysis and performance, even these naive-sounding verbalisations should become part of the analytical discourse. This is not an easy task and needs a methodology that is flexible enough to encompass both the analytical and studio languages. In the following chapters, I will argue that this is best achieved through the metaphor of motion.

2 MUSICAL MOTION AS ANALYTICAL METAPHOR

2.1 HISTORICAL BACKGROUND

When discussing what musical motion is, one starting point is to consider what exactly moves in music. As Victor Zuckerkandl has argued, tones themselves do not 'move'; rather, it is the *change* from one note to another that creates our experience of musical motion – and, eventually, a musical work that 'moves' in time (Zuckerkandl 1956, 82–83). Indeed, according to Zuckerkandl, musical work as a moving object with a pre-destined path, is such a common metaphor in musical discourse that one can find it in almost any established music analytical method (ibid., 77–79; see also Spitzer 2004, 58–59), including the ones applied in this study: Schenkerian analysis and Sonata Theory.

Perceiving musical works as a constant dynamic process has its background in the great 19th-century *Formenlehre* theorists, such as Hugo Riemann (1849–1919) and Adolf Bernhard Marx (1795–1866), who both greatly influenced the way in which music analysis is understood today. I would especially like to raise Marx's idea of *Ruhe-Bewegung-Ruhe*, which was presented in his four-volume *Die Lehre von der musikalischen Komposition* (1837–47). In its simplest form, the tonic note of the melody represents the *Ruhe* (rest), while the following notes of the scale imply the *Bewegung* (motion), until the melody reaches the tonic note again, which is the final *Ruhe* (Burnham 1989, 249–50). For Marx, complete musical units such as phrases thus contain a process with various stages of motion: rising, intensification, high-point, return, and rest (ibid., 251). As a result, Marx's scheme defines formal concepts from a dynamic point of view rather than stagnant, pre-fixed abstraction. Indeed, as Scott Burnham writes:

> This process of establishing a musical structure, which then demands some sort of addition in order to attain completion is an essential aspect of Marx's notion of musical necessity. What is in evidence here is a conception of form based not on an externally determined, pre-set schema to be filled in but on a self-determining and evolving content (Burnham 1989, 251).

Musical form as a dynamic, processual event where each instant affects both previous and future events is something that very much captures the so-called 'Hegelian spirit' of the 19th century – the way in which the totality is the product of all previous moments (Schmalfeldt 2011, 24–25). The idea of form as process has also been reflected in more recent studies on music theory. For example, Janet Schmalfeldt argues in her book *In the process of becoming: analytical and philosophical perspectives on form in early nineteenth-century music* (2011) how the idea of 'becoming' is crucial in many 19th-century musical works:

> If indeed a "theory of early nineteenth-century form" can one day be produced, I only argue here that one of its principal tenets must be the idea of processual approaches to form; this is the idea that threads its way through my pages, serving as the central focal point (Schmalfeldt 2011, 15).

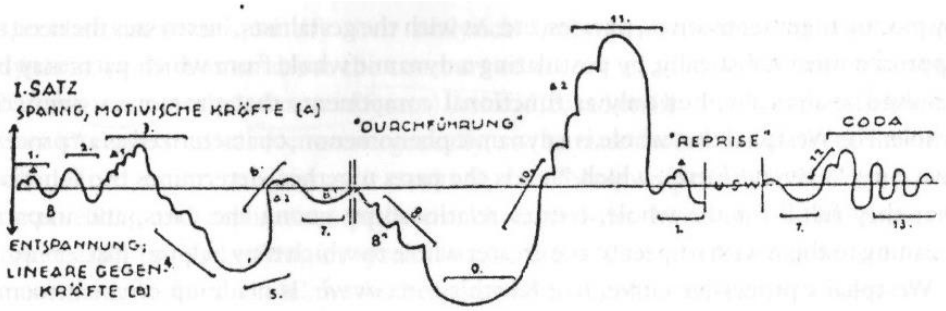
Schmalfeldt draws her formal ideas from the important German theorists and musicologists of the past two centuries – Marx, Carl Dahlhaus, Theodor Adorno and Arnold Schönberg to name the most important ones – and combines them with more recent theoretical approaches, including William Caplin's theory of formal functions (Caplin 1998) and current Schenkerian applications. As for the concept 'becoming', Schmalfeldt explains it as a situation in which '*formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context*' (Schmalfeldt 2011, 9) [italics by author]. As an example, Schmalfeldt discusses Beethoven's D-minor Piano sonata Op. 31 No. 2, 'Tempest'. According to Schmalfeldt, the introduction (bars 1–21) retrospectively *becomes* the main theme (INTRO ⇒ MAIN THEME), just like the initially main-theme sounding material (bars 21–41) *becomes* the transition (ibid., 38–40).[1] If we return to

[1] The double-lined arrow is the symbol for something to 'become' another formal function.

Zuckerkandl's initial hypothesis of *change* as the agent of motion, the idea of *becoming* helps us to approach formal processes that constantly evolve, rather than execute a pre-destined path.

At the turn of the 20th century, the idea of motion became associated with force especially by a group of theorists that have been sometimes called 'energeticists' (Rothfarb 2002, 936). A characteristic of the energetics school was the centrality of form in a holistic and dynamic way, as well as a certain anti-historical and absolutist view on music in general (ibid., 927). The most famous theorist who shared these 'energeticist' thoughts is undoubtedly Schenker, for whom motion and force were manifested in the *Ursatz* and its transformations. Yet there are also other notable figures, such as August Halm (1869–1929), Ernst Kurth (1886–1946), and Hans Mersmann (1891–1971).

While for Halm and Schenker motion and force are mainly associated with harmonic events, Kurth and Mersmann offer an important reference point for *dramatic motion* also applied in the present study. For example, for the Viennese-born Kurth the concept of form appeared as force-waves (*Kraftswellen*) where 'melodic, harmonic, rhythmic, tonal, and orchestrational activity signify forces that wax and wane in undulatory phases' (ibid., 943). Mersmann, on the other hand, is one of the first theorists to apply phenomenological analysis in his studies (ibid., 946). Mersmann developed a graphical presentation that he called 'contour-diagrams' to graphically illustrate the force-profile of a musical work. Example **2.1** presents his diagram on Haydn's E-flat major Piano sonata (Hob. xvi:49, I) from Mersmann's *Versuch einer Phänomenologie der Musik* (1922–23). Here the graph aspires to show how the entire movement is evolved from the two initial gestures: the ascending arpeggiated motive in bars 1–2 (A) and the descending motive (B) that rebounds at the end (ibid., 947). Notice how the most intense dramatic moment seems to be at the end of the development section (*Durchführung*) – probably in the *quasi cadenza* moment over V^4_2-chord (bar 131, in the example number 11.), before the recapitulation begins in the following bar (*Reprise*). When the music continues to the recapitulation section after the cadenza, the force profile becomes more balanced.



Example 2.1 Mersmann, Graph of Haydn's Piano sonata in E-flat major Hob. Xvi: 49, I (from Rothfarb 2002, 947).

Although Mersmann's contour diagram, at least without any verbal explanation, remains fairly abstract, these types of graphical illustrations have also proven to be an attractive option to illustrate dramatic motion by more recent theorists such as John Rink and Kofi Agawu (Rink 1999 and 2002; Agawu 1984). By depicting the dramatic highpoints (and lowpoints), these graphical illustrations directly communicate with issues of performance, where the level of intensity and dramatic tension are something that performers are constantly dealing with. This will be more thoroughly examined in the following chapter where dramatic motion is included as one of the goal-oriented viewpoints of this study.

We began this chapter by recognising change as a vital element of motion (Zuckerkandl). We proceeded by observing that motion has been combined both with the idea of *processuality* and internal *force* that motivates the music to strive for an overarching goal. In both cases, musical motion seems to include a fairly predestined path, which the performer (or the analyst) will metaphorically traverse. There are, however, differences whether we experience this path from a bird's or a worm's eye view, to which I will turn next.

2.2 EXPERIENCING MUSICAL MOTION: DISTANT OBSERVER OR ACTIVE PARTICIPATOR?

As already stated, in analysis musical events are examined primarily from the viewpoint of a more overarching process with predefined large-scale goals. Because of this, analysis very easily ignores the moment-to-moment, temporal aspect that is in the heart of every performance. In his posthumously published book *Musical forces: motion, metaphor and meaning in music* (2012) Steve Larson proposes that the same way we understand that time 'moves' (although it does not) we experience and discuss music as a moving object (Larson 2012, 68–69). He then makes a further distinction between two primary metaphors of musical motion, which are 1) the moving music metaphor and 2) the musical landscape metaphor. The first occurs when 'a musical event is conceptualized as an object that moves past the stationary hearer from front to back' (ibid., 67), while the latter refers to 'an extended three-dimensional landscape through which the hearer moves' (ibid., 70).

From the perspective of analysis and performance communication, Larson makes an interesting observation on the ways in which the landscape metaphor may be experienced as either *participant* or *observer*: In the first, we are (metaphorically) moving over the musical landscape, arising from the experience of the motion of our own bodies (ibid., 71). In the latter, we see how other objects move, which means one is able to 'see' the entire piece at once (ibid., 71–72). Larson argues that since the participant is only in one place a time, the participant perspective is more natural for the performer while the observer perspective is more natural to the listener – and an analyst (ibid., 72). While these two perspectives overlap to some extent, I agree that the participant perspective is more essential for performers since they need to concentrate on what is happening here and now when playing the work through.[2] Indeed, in the participant perspective the temporal aspect is evident – we cannot go back in performance – while the observer may concentrate on a certain moment or a certain feature of the work, just as we do in analysis.

[2] However, I suspect that a purely participant perspective only happens when we play the work *a prima vista*, without knowing the piece beforehand.

Similar ideas have been discussed by Nicholas Cook, who states: 'my claim is that performance […] is to a very large extent an art of transitioning—in other words, it is oriented to precisely the horizontal dimension of music that the spatialised, hierarchical models of theorist's analysis de-emphasise' (Cook 2013, 46). Cook makes a sharp distinction between what he calls 'theorist's analysis and 'performer's analysis' (inspired by Rink). While 'theorist's analysis' usually refers to the more traditional, structure-oriented analysis, in 'performer's analysis' issues of performance, such as various shaping possibilities, become the starting point of analytical consideration. According to Cook, the problem with the traditional 'theorist's analysis' viewpoint is that it 'assumes that meaning is concentrated in coherent wholes rather than the transitions between them, and that is one of the reasons it often seems irrelevant in performance' (ibid., 46).[3]

But where exactly does the music analytical process lead us? Is music analysis, as Cook sees it, really something that only observes events from a hierarchic point of view? Can we, after concentrating different parameters, synthesise these insights into one, motion-related event that we can experience *both* as participants *and* observers? In his essay 'Three ways of reading a detective story—or a Brahms Intermezzo' (1989) Edward T. Cone proposes that every analysis preferably includes three stages, or 'readings', as he puts it:

> The First Reading, then, is completely innocent of analysis, and the Second Reading is for the sake of analysis, explicit or implicit. That analysis is put to use in the service of yet another reading—the Third. Like the First, this one is temporally oriented: it accepts the story as narrated. Again like the First, it aims at enjoyment; but now, guided by the synoptic comprehension of the Second Reading, it can replace naive pleasure with intelligent and informed appreciation. Yet at the same time this reading requires an intentional "forgetting." For if one is really to appreciate a narrative as such, one must

[3] Cook's own approach in the book mostly belongs to a category he calls 'performance analysis' (Cook 2013, 49). Here the examination primarily concentrates on existing performances (usually recordings), rehearsals, or any other act that includes real performance in some form (ibid., 49). As Cook writes, 'performers now appear in the role of informants, consultants, or co-researchers' (ibid., 49), not subsidiary to analysis.

> concentrate on each event as it comes, trying to suppress from consciousness those elements meant to be concealed until some later point in the story (Cone 1989, 80).

In my view, Cone's description challenges both Cook's and Larson's arguments on the lack of understanding temporality in analysis. Rather, as Cone explains, ideally we can regain the pleasure of ongoing motion after 'solving' the plot of our detective story – or a musical work – with its turns and twists. Indeed, Cone's 'third reading' may be viewed as a fruitful combination of Larson's participant, informed by the observer. Moreover, Cone's definition of the third stage of analysis is, by and large, in accordance with Rink's notion of the performer's engagement with the 'here-and-now' level, while also being aware of the future event. And, indeed, Cone too explains how the third reading is related to performance:

> One point should certainly be clear: the close relationship between a Third Reading and a performance. Indeed, a performance is, or should be, the projection of a Third Reading. For the performer, as opposed to the mere sight-reader, is intimately familiar with the entire composition. Like the synoptic analyst, he puts to work his knowledge of the whole in order to shape his conception; but unlike the analyst he must then suppress that knowledge. He must relegate it to the background of his consciousness, where it continues to influence, even to determine, his interpretation; but he has internalized it to the point where he need no longer be aware of it. His attention is focused instead on the vivid reconstruction of the actual temporal flow of the music (Cone 1989, 90).

As a result, even though musical analysis often approaches motion from the observer's perspective, in this study the analytical examination aspires to take into account the so-called participant approach as well. In chapter three the distinction between participant and observer will be elaborated in analytical approaches that I will call *goal-oriented viewpoint* and *here-and-now viewpoint*. While the goal-oriented approach includes hierarchy-based methods such as Schenkerian analysis, Sonata Theory and examining dramatic motion, the here-and-now viewpoint will entail the more locally oriented events with no overarching goals. I believe that by flexibly navigating between these approaches we can acquire a holistic view on the piano trio works where everyone – both performers and theorists – wins.

2.4 THREE DIFFERENT LAYERS OF MOTION: LOCAL, IN-BETWEEN, AND OVERARCHING

Although in public performances the motion continues until the final bars of the work, the situation is very different in rehearsals. Indeed, in the same way that the work is temporarily 'chopped' during the analytical examination in music analysis, performers do the same when they shape the musical details more carefully. Quite often these segments correspond with units of formal structure, especially in cases where the formal distribution is fairly unproblematic. On the other hand, the motion from one unit to the next often raises questions in performance: how can continuity be maintained while still characterising new events when they occur?

For the present study, I have made a distinction between three layers of musical motion; 1) *local motion*; 2) *in-between motion*; and 3) *overarching motion*. I believe that these layers have their equivalent in both analysis and performers' rehearsal process and help us to focus on musical details at various levels. Here is a brief summary of what each level comprises in this study:

Local motion examines brief units that end with a cadential closure. It is mostly concerned with individual phrases, their beginning, middle, and end, yet without trying to connect subsequent units to each other. Local motion not only ensures a very detailed study on voice leading, formal functions and dramatic motion, but also takes into account various performance markings – accents, dynamics, and agogics – and considers how they may be realised in performance.

In-between motion examines how the music moves from one unit to the next, thus concentrating on the boundary events rather than on complete musical units. The in-between motion may be purely local, such as the boundary between two successive phrases, but it may also be more overarching, such as the exposition's motion from the primary to the secondary key, especially in complex cases. The main idea is Cook and Zuckerkandl's idea of change and the notion that it is precisely these transitory moments that are the most challenging ones in performance. From the point of view of analysis, a presentation of in-between motion may very well be formally incomplete (i.e. not examining complete phrases),

since we are focusing on the boundary, not a complete unit such as in the local motion.

The *overarching motion* comprises the examination of a work's broadest outline, such as the Schenkerian deep-level voice-leading structure that ends when the *Ursatz* closure has been reached. Overarching motion invites performers to consider the *grande ligne* – the piece 'in a nutshell', as John Rink describes it (Rink 1999, 218) – of the work they are performing. In the piano trios of Mendelssohn and Schumann, there is a tendency towards global climaxes that are situated near the end of each movement, usually in their formal codas. To 'plan' in advance how to build up to this memorable moment in performance is one potential issue we can access when addressing overarching motion.

2.5 DECEIVING EXPECTATIONS: 'UNFULFILLED' MOTION

There is also a fourth, slightly different viewpoint on musical motion that I will discuss in this study: namely, the motion that somehow evades its initially expected goal. I call the phenomenon *unfulfilled motion*, which can be present in all of the aforementioned layers: local, in-between and overarching. In its simplest form, unfulfilled motion occurs in evaded (or deceptive) cadences that postpone the formal and harmonic closure for a while. On the other hand, there may be unfulfilments that are less obvious, such as cases where we experience that the work as a whole does not reach its fulfilment – something that is especially symptomatic in Romantic music. In this study, I will examine both types of unfulfilments – direct and less direct – and their potential relation in performance.

In the case of unfulfilled motion, we are drawing ever closer to the idea of musical performance as acting, discussed for example by William Rothstein (1995, 237–38) and more recently by Jeffrey Swinkin (2016, 117). Indeed, these moments where something unexpected happens – be it a harmonic evasion, surprising dynamics, or an unexpected key – are precisely those where the performers' role is crucial. For example, should the performers take a syntactic, naive approach, or should they plan the deception well in advance? As Cone writes:

> Should the pianist anticipate such deceptive resolutions, or should he try so far as possible to let them take him unawares? Is his dramatic role that of a Dr. Watson, who is surprised by every new turn of events, or of a Dr. Roylott, who engineers them? […] Or is he perhaps playing a subtler part—that of a Sherlock Holmes, who deduces the course that events must take and is hence prepared for whatever happens (Cone 1989, 91)?

In this study, I will address the question of unfulfilled motion especially in chapter 8 where I examine Schumann's G-minor trio Op. 110. This work, as it turns out, is an epitomic example of surprising evasions, loss, and giving up. However, rather than finding ways how performers can articulate these moments in performance, I will try to find interaction and overlaps with our trio's 'studio language' and consider them in the context of music analysis.

3 SEARCHING FOR A COMMON FRAMEWORK

3.1 INTRODUCTION

> I have quite a few colleagues who actually prefer the rehearsal process to the performance, because it's then that they can interact with the work in various ways and explore how best to bring it to life (Tomes 2004, xv).

> [T]he significance of an analysis lies not so much in the *product*—that is to say, the published graph or table—as in the actual *process* of writing or reading it (Cook 1989, 129).

As I already suggested in the previous chapters, I believe that analysis and performance interact most efficiently *before* the final realisation – a completed analysis or a performance that has already taken place. This means that in general, I am more interested in examining the process that leads to performance or an analytical interpretation, rather than discussing the interaction with an already past performance and its relation to analytical remarks. Furthermore, both analysis and performance typically include various stages, from initial mapping to considering various interpretation possibilities, until more final decisions are made. While the process usually aims towards a completed performance or an analysis, the process itself may be regarded as intrinsically valuable, as Susan Tomes writes in the above quote. Indeed, while it is more typical in rehearsals that the work is tried out in various ways, in performance this exploration is partly deprived.[1] For instance, according to Joel Lester:

[1] I am not suggesting, however, that in performance performers merely play what they have planned. On the contrary, there are many things performers, in fact, often become aware of only when performing the piece in live concert. For further reading, there is an interesting study on how performers continue to learn on stage by Mine Doğantan Dack (Doğantan Dack 2012), with Schubert's E-flat major Piano trio (slow movement) as a case study.

> Performances are one sort of realisation of a piece (in most cases the sort intended by the composer), and are at once richer and more limited than scores. […] Yet each nuance limits the piece by excluding other options for that element. In this sense, a performance is necessarily only a single option for that piece, delineating some aspects while excluding others – just like a single analysis (Lester 1995a, 199).

Lester's view is also echoed in Jeffrey Swinkin's book, who writes about performers' obligation of choosing one interpretation from the many possibilities:

> In my view, the fundamental task of the interpreter, in formulating a conception of a particular piece, is to choose from among its several inherent structural and expressive possibilities and present a single, definitive way to hear the piece on a given occasion. It is the performer's job to guide the listener through the work's relations as she conceives them rather than to present a "neutral" version onto which the listener imposes his own interpretation—that would be more a conceptual exercise than an aesthetic experience (Swinkin 2016, 45).

I agree with Lester and Swinkin that in a single performance we need to choose which interpretation to follow (what happens in the next performance is an entirely different question, as Swinkin notes). But what about analysis – does it really exclude other views when delineating something, as Lester suggests? Kofi Agawu, for example, claims 'the case against analysis has been made in part by people who failed to recognise that analysis is ideally permanently open, that it is dynamic and on-going, and that it is subject only to provisional closure. In an ideal world, analysis would go on always and forever' (Agawu 2004, 270). While my intention is not to debate what exactly may be considered a finished analysis (or a finished performance for that matter), I propose that it is precisely the processual quality of both analysis and performance where we find the common ground between the two. In my own study, it means that when our trio's rehearsal discussion concerns interacting analytical insights, they may still remain open for any other justifiable views. Rather than thinking an 'analytical intervention' will narrow our performance towards one direction, ideally we should consider it as yet another new viewpoint that may or may not work out in our performance.

'GOAL-ORIENTED' VS. 'HERE-AND-NOW' VIEWPOINTS: INITIAL REMARKS

I closed the previous chapter by presenting three layers of motion – local, in-between, and overarching – as well as unfulfilled motion, which may operate in all three aforementioned layers. In the following sections, I will clarify the way in which I approach motion from what I call either a 'goal-oriented' viewpoint or a 'here-and-now' viewpoint. While the goal-oriented viewpoint entails the three most important analytical methods of this study – Schenkerian analysis, Sonata Theory, and the examination of dramatic motion – the 'here-and-now' viewpoint is especially applicable when considering motion from the viewpoint of the 'participant', as was explained by Steve Larson (2012), and also by Nicholas Cook (2013). According to both authors, we should also approach the ongoing music from the standpoint of moment-by-moment succession, without considering distant structural goals all the time.

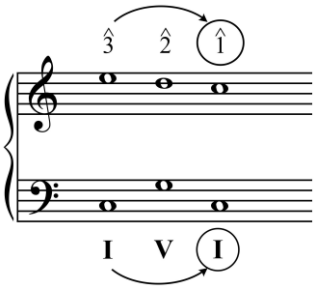
It goes without saying that both viewpoints – goal-oriented and here-and-now – have advantages and disadvantages. For example, one often encounters critiques claiming that goal-oriented analytical methods easily become too predictive – that the work is presented as an example of the analytical method, not the other way round (see for example Rink 2002, 37; Cook 1999, 252; or Hatten 2010, 46). On the other hand, because of the lack of any well-formulated methods, there is a danger that the here-and-now viewpoint may become too 'descriptive' – that each insight is treated as an individual event, without contextualising it (see for example Hatten 2010, 50). However, rather than trying to argue which viewpoint is more relevant in analysis and performance interaction, in this study the insights will reinforce and complement each other, and are not presented as opposing poles. The aim is, after all, to gain a holistic view of musical motion and its various manifestations. This, I believe, is only possible if we provide viewpoints where motion is examined both from goal-oriented and here-and-now perspectives.

3.2 GOAL-ORIENTED METHOD, NO. 1: SCHENKERIAN HARMONY AND VOICE-LEADING ANALYSIS

> The *goal* and the course to the goal are primary. Content comes afterward: without a goal there can be no content (Schenker 1979, 5).

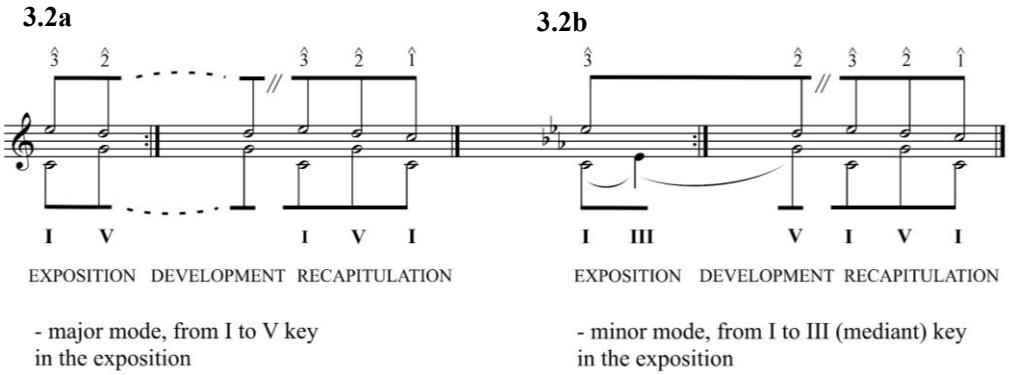
Heinrich Schenker is undoubtedly one of the most influential music theorists of the twentieth century, whose devoted studies in the music of tonal repertory led him to the conclusion that organic coherence in music has its roots in the principles of counterpoint. In this section, I will explain some of the basic ideas, which clarify the goal-oriented quality of Schenkerian analysis. I will also briefly discuss the critiques on Schenker's apparent positivism, which, in my view, can be avoided by recognising the interpretative, ultimately suggestive nature of Schenkerian analysis. Finally, I will comment on Schenker's own approach and considerations on the relationship between analysis and performance, discussed especially in the articles of *Der Tonwille* (1921–1924/2004), *Das Meisterwerk in der Musik* (1925–26) and in the posthumous *The art of performance* (2000).

In Schenkerian analysis, the organisation of the harmonic and linear motion, which is hierarchical in nature, is revealed though reductions: After different, work-specific foreground (*Vordergrund*) and middleground levels (*Mittelgrund*), the final background level (*Hintergrund*) shows the fundamental structure (*Ursatz*), an I–V–I-motion in the bass together with a descending line (*Urlinie*) in the top voice. Thus the ultimate goal in a musical work according to Schenkerian analysis is to attain $\hat{1}$ in the fundamental structure together with the structural tonic in the bass (Example **3.1**). However, a more detailed graph always includes many kinds of local goals (with local $\hat{1}$ and tonic) that usually correspond with the phrase structure. Indeed, the most productive way is to compare the differences between various structural levels rather than only aim towards the deep level, without any interaction with foreground and middleground levels.



Example 3.1 Schenkerian *Ursatz* model.

The expansions of structural harmonies are called prolongations (*Auskomponierung*) in Schenkerian analysis; while the fundamental structure shows the deep-level motion, the next levels unveil the deep-level *Stufen*, which may entail an entire section, such as a contrasting B section in ternary forms. Indeed, Schenker himself called the middle- and foreground levels 'dramatic', since they more concretely illustrate how the 'motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds' (Schenker 1979, 5).



Example 3.2 Schenkerian sonata-form model in major (**3.2a**) and minor (**3.2b**) modes.

For Schenker the most important feature in sonata form is the structural division, which creates an interruption in the next structural level after the deep level (ibid., 134) (Example **3.2**). Thus, instead of dividing a sonata-form movement traditionally into three sections – exposition, development, and recapitulation – the exposition and development sections form one single motion from I to V: in major-mode sonatas (Example **3.2a**), the structural dominant is typically prolonged from exposition to the development; in those minor-mode sonatas where the secondary key is the mediant key (III), the structural V of the first branch is usually only reached at the end of the development section (Example **3.2b**). Since Schenker regards the arrival at V as primary, III is explained as a midpoint between the motion from I to V. In both examples, the task of the recapitulation is then to complete the interrupted motion so that the structural closure is attained.

The interruption in the deep-middleground level perfectly fits in Schenker's view of how 'the goal encounters obstacles': when it occurs in the first branch, one is only a step away from the final goal (structural $\hat{1}$ over I). In addition, since the goal is usually not achieved before the recapitulation, each sonata-form work encloses – regardless of its performance character – a very dramatic story in its harmony and voice-leading events.

Over the years, Schenkerian analysis has been criticised for its positivistic, prescriptive foundation, which seeks to find out the ultimate truth, which is manifested in the *Ursatz* (see for example Narmour 1977; Kerman 1980). Admittedly, this view is promoted even in Schenker's own writings together with the idea that there is only one ideal analytical interpretation instead of having many. Nowadays, perhaps the most fruitful way to avoid the critique on positivism in Schenkerian analysis is simply to accept that there may be various, equally compelling voice-leading interpretations instead of holding to one. Indeed, as Poundie Burstein writes, '[t]his calls into question whether it is possible to arrive at a definitive interpretation of the passage as printed on the page. If the score itself allows for more than one viable performance interpretation, would this not suggest that more than one analytic interpretation might be possible as well' (Burstein 2011, 115)? Burstein advocates the idea that instead of suggesting that harmony and voice-leading graph must be empirically and objectively proved,

> Schenkerian analysis is essentially a hermeneutic process, one that seeks to propose persuasive and effective ways of how a composition *may* be heard. […] For those who can "hear" the work in a manner proposed by a Schenkerian reading (that is, for those who can perceive a direct analogy between the analytic model and the piece at hand) and who find this proposed hearing to be a gratifying one, the analysis will prove successful (Burstein 2011, 113).

One thing should be clear, however: although a finished voice-leading graph may look like something where only linear voices and harmonic progressions of the examined work have been taken into account, Schenkerian analysis is never isolated from other musical parameters. Indeed, many of the analyst's choices that consider voice leading stem from rhythm, meter, form, or any other parameter that is relevant to the musical material at hand. Ideally, this interaction between 'inner form' – basically the voice-leading structure, and 'outer form' – sections, themes, phrases and so on – should be somehow clarified in the provided text rather than merely presenting a graph with no other explanations.[2]

Finally, while it is usually stated that first levels of reduction – foreground and the next middleground levels – are the ones that are most interesting for the performer (see for example Leong and Korevaar 2005, par 11–12), in this study I will argue that even the deepest level – *Ursatz* – may interact with issues of performance. Carl Schachter for example remarks that '[a]t times, the elements that represent the background – far from constituting a mere framework – participate in the most striking events of the foreground and are integral to its tonal conflicts, its unexpected twists, and its climaxes' (Schachter 1999, 298).

Schenker himself did believe that understanding the deep level is important for performers as well, as the following poetic description of the relationship between *Urlinie* and performance illustrates:

> To the performer, the Urlinie is above all a means of orientation, much the same as a trail-map to the mountain climber; no more than the trail-map spares the climber the necessity

[2] For more information on 'inner form' and 'outer form', or structure vs. design, see for example Beach 1993, or Rothstein 1989, 104.

> of negotiating every path, stone and morass does the Urlinie excuse the performer from traversing every diminution of the foreground (Schenker 1994 [1925], 109).[3]

We have already seen in Chapter One how more recent theorists apply Schenkerian analysis to issues of performance (Schachter 2000; Rothstein 2005).[4] However, I feel that it also is necessary to bring out Schenker's own ideas on analysis and performance, especially the ways in which issues of harmony and voice leading offer justifications for shaping and temporal flexibility in performance – something that is very relevant when considering the application of *rubato* in Romantic music, such as the trios of Mendelssohn and Schumann.

SCHENKER AND PERFORMANCE

The most important source of Schenker's own ideas on performance is the posthumously published collection of writings entitled *The art of performance* (2000). The book begins with Schenker's famous statement, '[w]hat is essential is a thorough knowledge of all laws of composition. Having enabled the composer to create, these laws, in a different way, will enable the performer to recreate the composition' (Schenker 2000, 3). Schenker did not consider this 'recreation', as many have noted, as something that would allow choices for the interpretation, since for him a performance 'is the means of making audible that which is already objectively there in the work' (Rothstein 1984, 10). On the other hand, Schenker argues that the score does not literally represent the music, since 'the author's mode of notation does not indicate his directions for the performance but, in a far more profound sense, represents the effect he wishes to attain' (Schenker 2000, 5).

After briefly presenting Schenker's considerations on musical composition and performance (chapter 1) and on modes of notation and performance (chapter 2), chapters 3–7 of *The art of performance* examine performance topics from the point view of piano playing – different types of pedalling, legato vs. non legato, staccato,

[3] To be sure, here Schenker is not addressing only the deepest level, but any reduced scale descent, such as the ones found in local phrases. Nevertheless, the quote offers important insights on how motion towards a goal was also extremely relevant for performers in Schenker's view.

[4] Another notable Schenkerian theorist who has addressed issues of performance is Charles Burkhart (Burkhart 1983).

and fingering. Each discussed topic typically includes musical examples that elucidate the effect Schenker wishes the performer to make. For the present study, the most interesting chapters are the ones where we find Schenker's writings on dynamics (chapter 8) and tempo modifications (chapter 9), since these topics are not solely restricted to piano performance. For example, in chapter 8 Schenker first discusses the relativity of dynamics (ibid., 39), and then continues that the more nuanced dynamics 'must be read between the lines' (ibid., 42). As for tempo markings, Schenker notes how it is both 'the point of departure and the goal' (ibid., 53). On the one hand, finding the right tempo is an essential starting point for any performance; on the other hand, after this the tempo will be modified by speeding up and slowing down in suitable places. Indeed, Schenker describes how 'tension must be maintained throughout' when performing musical works, yet this does not mean mechanical playing (ibid., 53). On the contrary, it is precisely the 'pushing ahead, holding back' (➔🡐) that helps to maintain the balance in the work which, as Schenker writes, 'is the meaning of true *rubato*' (ibid., 53–54).

From this and many other examples from *The art of performance* we can clearly see that nuanced shaping of the foreground were of uttermost importance for Schenker. While *The art of performance* includes only brief examples on musical works, during the 1920s Schenker published several analyses that include specific instructions for performing entire works, both in the ten volumes of *Der Tonwille* (1921–24) and in *Das Meisterwerk in der Musik I* and *II* (1925–26). The essays in these publications consist of analyses of canonical works of late Baroque, Classical, and Romantic eras, often ending with sections concerning performance (always only after the analysis has been made, however). The works with performance instructions are listed in tables **1a, 1b**, and **1c.**

Table 1a: solo piano works with instructions on performance.

Ludwig van Beethoven:	Piano sonata in F minor, Op. 2, No. 1	*Der Tonwille, Heft 2* (1922)
L. van Beethoven:	Piano sonata in F minor Op. 57, all movements	*Der Tonwille, Heft 7 (Jahrgang 4, Heft 1)* (1924)

Johannes Brahms:	Variations and Fugue on a theme by Händel, Op. 25	*Der Tonwille, Heft 8/9 (Jahrgang IV, Heft 2–3)* (1924)
Franz Schubert:	Impromptu D.899 (Op. 90), No. 3	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
F. Schubert:	*Moment musical* in F minor, D. 780 (Op. 94), No. 3	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
Felix Mendelssohn:	'Venetian Gondola Song' Op. 30, No. 6	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
F. Mendelssohn:	*Song without words*, Op, 67, No. 6	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
Robert Schumann:	*Kinderszenen*, 'Von fremden Ländern und Menschen', Op. 15, No. 1	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
R. Schumann:	*Kinderszenen*, 'Träumerei' Op. 15, No. 7	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
Frédéric Chopin:	Etude in E-flat minor, Op. 10 No. 6	*Das Meisterwerk in der Musik I* (1925)
F. Chopin:	Etude in G-flat major, Op. 10 No. 5	*Das Meisterwerk in der Musik I* (1925)

Table 1b: orchestral and choral works with instructions on performance.

L. van Beethoven:	Symphony No. 5, I and II movements	*Der Tonwille, Heft 5* (1923)
L. van Beethoven:	Symphoy No. 5, II and IV	*Der Tonwille, Heft 6* (1923)
Johann Sebastian Bach:	The recitative "Erbarm es Gott" from *St. Matthew Passion*	*Der Tonwille, Heft 7,* (1924)

J.S. Bach:	The opening chorus from *St. Matthew Passion*	*Der Tonwille, Heft 10 (Jahrgang IV, Heft 4)* (1924)
Wolfgang Amadeus Mozart:	Symphony in G minor No. 40 K.550, all movements	*Das Meisterwerk in der Musik II* (1926)

Table 1c: solo string works with instructions on performance.

J.S. Bach:	Sonata No. 3 for Solo Violin (BWV 1005), Largo	*Das Meisterwerk in der Musik I* (1925)
J.S. Bach:	Partita No. 3 for solo violin (BWV 1006), Prelude	*Das Meisterwerk in der Musik I* (1925)
J.S. Bach:	Suite No. 3 for violoncello (BWV 1009), Sarabande	*Das Meisterwerk in der Musik II* (1926)

Schenker's performance instructions vary between brief suggestions on tempo (the opening chorale of Bach's *St. Matthew Passion*) to extended, sometimes bar-to-bar directions on phrasing, dynamics, tempo, accelerations and retardations, fingerings (in the case of piano work), and the longer-range structural goals (Beethoven's Piano sonatas Opp. 2, and 57, Brahms' Händel variations, Mozart's opening movement of G-minor Symphony, and so on). It is interesting to note that all the above pieces are basically solo works from the point of view of performance decisions – be it a solo pianist, solo string player or a conductor. In other words, there are no chamber music works included where negotiation between performers is required.

What are the types of more accurate advice Schenker gives to the performer, then? Let us examine the following passage by Schenker on Schumann's 'Träumerei' from *Kinderszenen*:

> The first concern of performance is that, in bar 1, the first beat exactly maintain the rhythmic value of the upbeat. A definite, properly rigid touch belongs to the chord on the second beat; a tender beginning would just be puzzling; it would sound as though one wanted to conceal something, the sense of which is not understood. One should accelerate

through the eighth notes in the first beat, hesitating however at the first two eighth notes of the first beat of bar 2, enough so that between the two f^2s the new root of IV, the grace-note sixteenth B♭ can be inserted without haste. The pedal should be applied just to this root, and then the half note f^2 should coincide with the half note d_1 in the left hand. Beginning with the second beat of bar 3 the pace should be quickened slightly, and the tempo given back only at the fourth beat of bar 4. In bar 8, the second eighth note in the left hand, g^1, is to be played fully, and allowed to linger somewhat beyond the prescribed duration; from it a shadow falls on the remaining eight notes, with the effect of a *diminuendo*, which essentially takes the pressure off of the anticipation in the right hand; one can aim for the most tender touch for the little note of anticipation, provided that the shadow is clearly established.

Bar 11 should proceed as in bar 7, with no hesitation until the second eighth note in the third beat of bar 12. The last eighth notes in bar 22 should still have a hesitant step, looking back to the preceding fermata; in bar 23 the second and third beats should proceed in tempo, the fourth beat of bar 23 and the first beat of bar 24 being presented with their own shading, as if for their own sake; and only beginning with the second beat of bar 24 should the *ritenuto* really take over completely (Schenker 2005 [1924], 158).

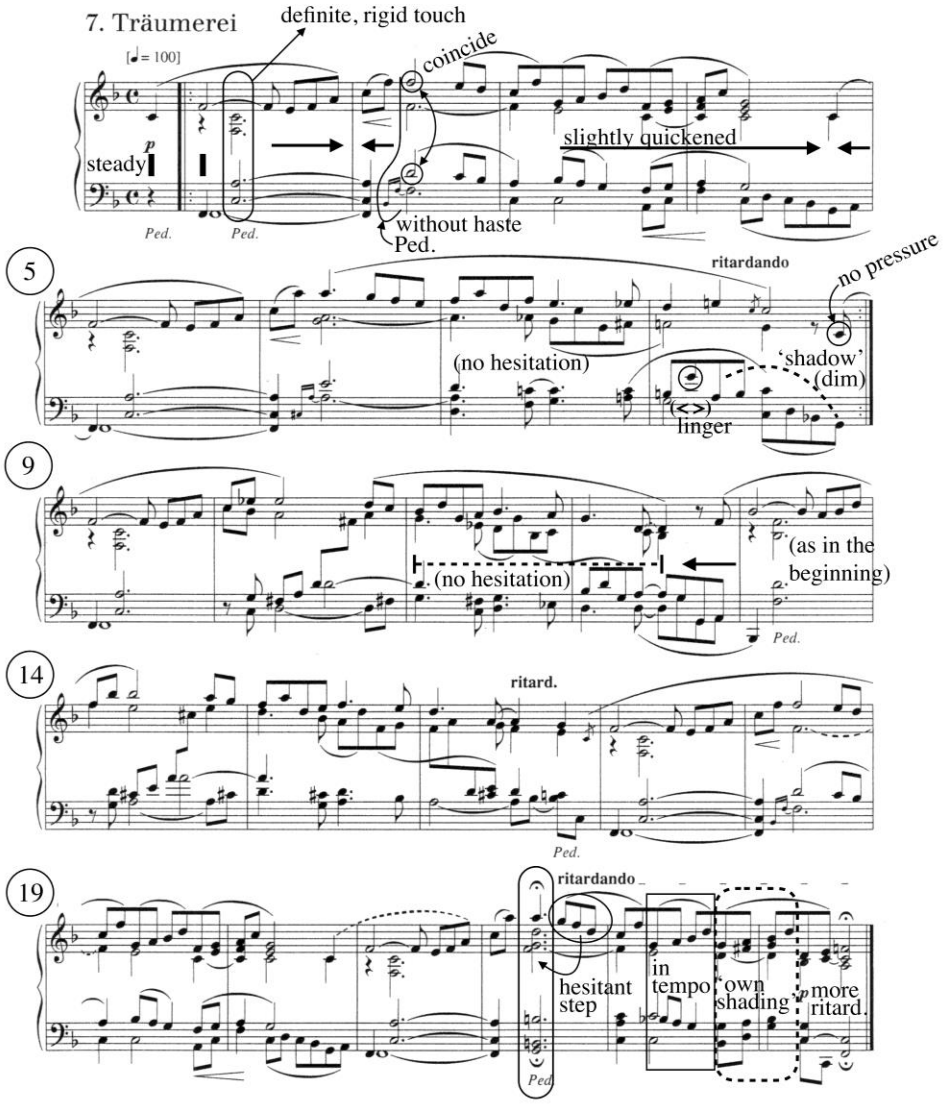
Example **3.3** presents the entire score where I have marked Schenker's instructions on shaping as accurately as possible. We do not know whether Schenker ever taught anyone to perform the Schumann piece – or any other piece for that matter – in such a meticulous way.[5] Schenker's instructions may, however, be mirrored with existing performances by pianists whose playing style had their roots in the Romantic era. For instance, in Alfred Cortot's (1877–1962) version from 1935 (Media example **1**) Cortot indeed plays a slight accelerando in bar 1 and then slows down at the beginning of bar 2. Cortot also pushes slightly ahead in bar 3, but he does not continue until the last beat of bar 4, instead beginning the ritardando earlier. The G in the tenor of bar 8 is also nicely articulated, and the slight slowing down before the reprise ends is clearly audible.

Another interesting recording is by Adelina de Lara (1872–1961), pupil of Clara Schumann and a close friend of Brahms, who recorded the entire

[5] Personally, I suspect that for Schenker the performance instructions combine his analytical insights with his previous experience of how to play the piece in a nuanced way.

Kinderszenen as late as in 1951 (Media example **2**). On average, de Lara plays the eighth notes in a steadier manner than Cortot and she does not make such an audible rubato in those places that were requested by Schenker. On the other hand, at the end, in bar 24 the G-minor chord is clearly played as its 'own shading', which makes the ending more magical.

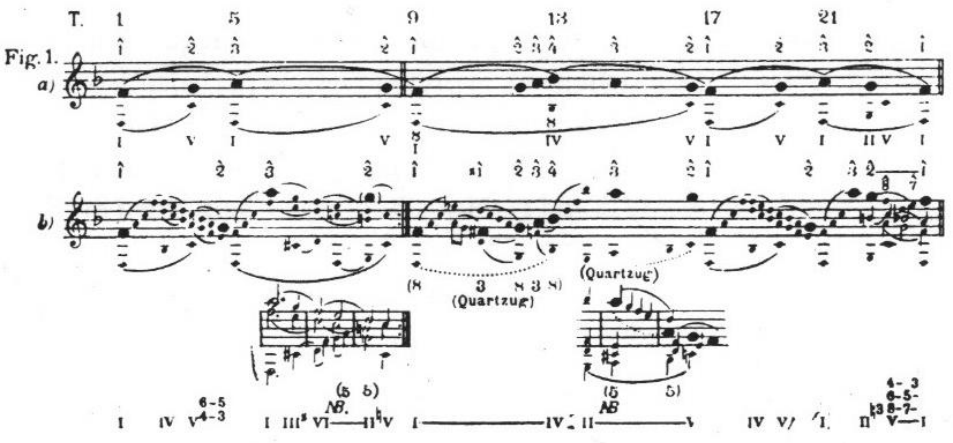
What has still not been discussed is how Schenker's suggestions are related with his own analysis of the work. First of all, Schenker comments on a kind of 'arch', which is shown in the more foreground voice leading in example **3.4**, and notes: 'through ascending arpeggiation and descending passing motion it describes a high-arching bow at each succession of two notes of the Urlinie' (Schenker 2005 [1924], 156). This wave-like motion is something Schenker wants the performer to be sensitive to.



Example 3.3 Schumann, 'Träumerei' from *Kinderszenen* Op. 15 No. 7 (1838), with Schenker's performance instructions (➔ for speeding up, ← for slowing down).

For instance, the motion from IV in bar 2 ($\hat{1}$ in the top voice) to the arrival of top voice $\hat{2}$ in bar 4 was advised to be played in a faster tempo (the V in the bass arrives earlier, in bar 3). While this is understandable, because of the faster eighth-note

rhythm, it may also stem from the idea that the voices between $\hat{1}$ and $\hat{2}$ are structurally less important passing tones, as Schenker notes (ibid., 156).



Example 3.4 Schenker's voice-leading examples on Schumann's 'Träumerei' (*Der Tonwille 10*, Schenker 2005 [1924], 156).

Schenker also invokes the metaphor of climbing up: 'the path of the Urlinie in itself stretches calmly and patiently upward' (ibid., 156), which would support the gravitational idea of slowing down when moving up and accelerating when going down.[6]

What about Schenker's advice to linger on the left hand g^1 in bar 8? While B–G is a relatively big sixth leap in a middle voice and naturally needs some time if we want to imitate the vocal style, Schenker also may want to emphasise this G because it is precisely the $\hat{2}$ that was only implied in the top voice. This is thus an example where structural issues also motivate the expressive shaping, although they need to be in accordance with performance instructions as well.

However, there are also instances where Schenker's instructions depart from performance instructions: for example, Schenker wants the dominant in bar 23

[6] Here, as I already commented in the previous section, Schenker does not use *Urlinie* the same way as in his later writings (especially in *Free Composition*), but it can refer to any lower-level stepwise progression in the top voice.

to be played in tempo, even though Schumann writes a long ritardando after the fermata chord in bar 22; the reason for not slowing down yet is probably the unexpected II^6 chord, which is prolonged between bars 23–24 and understood by Schenker as a neighbour chord between two dominant chords. This supertonic harmony should be somewhat enigmatically 'presented with their own shading' (ibid., 158). According to Schenker, the ritenuto should only start when we are back in V in the second beat of bar 24. On the other hand, we may speculate whether the requested 'in tempo' between bars 23–24 means the original tempo or rather the idea that the ritardando should not be a straightforward, gradual slowing down.

One must admit that the analysis by Schenker does not give unequivocal justification for some of the agogic and temporal deviations he asks the performer to do. Because of this, it is tempting to think that it may be possible to look at the performance instructions without even exploring Schenker's preceding analysis. I do not find this to be a weakness, though. Rather, to me it is proof that many of Schenker's instructions are musically sensitive *as such*, and the performer who reads them can benefit from them – just like she would benefit by listening to old recordings from the early 20th century with no explanation of the performance decisions whatsoever.[7]

To conclude, although Schenker's rather authoritative tone over performance may occasionally be seen as arbitrary from the present-day perspective, Schenker's writings give us a glimpse of his views on many issues that are, in fact, essential to performance. As a student of Carl Mikuli (1819–1897), one of the most famous of Chopin's pupils, Schenker undoubtedly was deeply familiar with the 19th-century tradition of piano playing, including rubato and temporal flexibility. Yet perhaps more importantly, the performance instructions likewise present Schenker's view on how musical works are in constant motion, which performers should shape in a sensitive, nuanced way. Schenker's instructions offer one

[7] Cook arrives at a similar conclusion when arguing that there are disconnections between Schenker's analysis on Schubert's Impromptu Op. 90 No. 3 (published in *Tonwille 10* from 1924) and his instructions for performance (Cook 2013, 87). One of the reasons, according to Cook, is that 'even as Schenker perfected his analytical method, shaving off the filigree detail of Classical music in order to reveal the streamlined forms underneath, he continued to think of music in terms of the mobility of tempo and "speaking" quality that characterised an increasingly anachronistic, rhetorical style of playing' (ibid., 87).

possibility how to approach issues of shaping, but they are by no means the only ones a performer should explore.

3.3 Goal-oriented method, No. 2: Hepokoski and Darcy's Sonata Theory

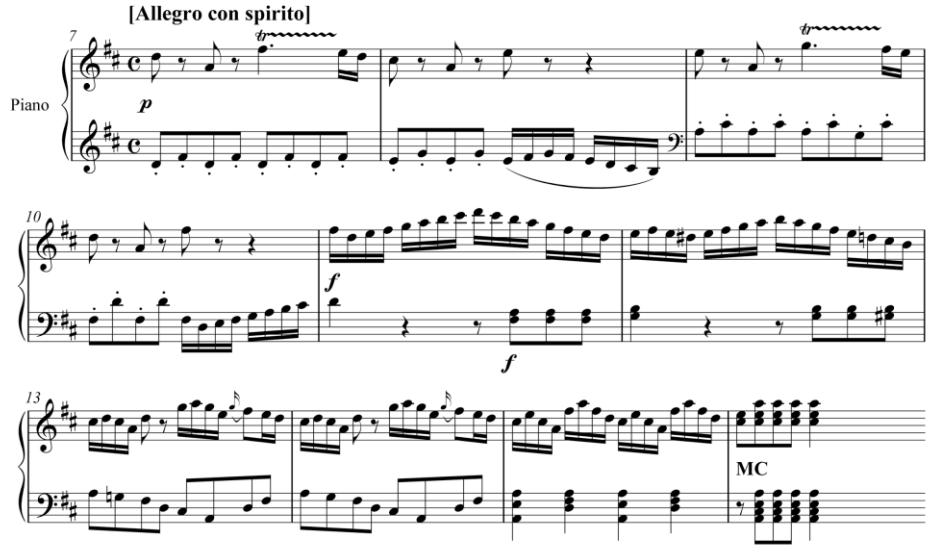
James Hepokoski and Warren Darcy first presented their views on the important events that shape the classical sonata exposition in the article 'The medial caesura and its role in the eighteenth-century sonata exposition' (1997). In the subsequent *Elements of Sonata Theory* (2006), they widen the approach to the whole sonata-form movement, thereby creating an approach that they call 'Sonata Theory'. This theory begins with the premise that 'an individual composition is a musical utterance that is set (by the composer) into a dialogue with implied norms' (Hepokoski and Darcy 2006, 11). Yet these norms can be treated flexibly, as the following passage emphasises:

> [A]t any point within sonata construction, a composer may choose either to realize a standard option […] or to treat that option more flamboyantly—perhaps even submitting it to a *deformation* (stretching it to or even beyond its limits) […]. It is precisely in such a personalized treatment of otherwise conventional features that the distinctive style and brilliance of a Haydn, a Mozart, or a Beethoven lies (Hepokoski and Darcy 1997, 116).

According to Hepokoski and Darcy, the sonata exposition typically divides into two larger segments, Part I and Part II. The first includes the *primary-theme zone* (P) and the *transitional zone* (TR). Furthermore, if the P includes more than one phrase with a concluding cadence, it may be further divided into P^1, P^2, and so on.[8] The transitional zone often ends with a clearly marked cadence, most commonly a half cadence either in the primary key or in the secondary key (I:HC or V:HC) and followed by a rhetoric break. This break, which Hepokoski and Darcy call as the

[8] When defining phrase, I (like Hepokoski and Darcy) will follow William Rothstein's definition: a phrase is understood as a unit that ends either with a half cadence or with a perfect authentic cadence ('*If there is no tonal motion, there is no phrase*') (Rothstein 1989, 5).

medial caesura, is an important, rhetoric sign both that the dynamic transitional zone has ended and that the new secondary-theme zone is about to begin (Hepokoski and Darcy 2006, 23–26) (Example **3.5**).



Example 3.5 Mozart, Piano sonata in D major, K. 311, I, bars 7–16 (transitional zone), with a medial caesura (I:HC) in bar 16, preceded by a dominant pedal from bar 13.

Part II of the exposition is devoted to the secondary key, including the *secondary-theme zone* (S) and an optional *closing zone* (C). Particular attention is given to the location of the first satisfactory perfect authentic cadence in the secondary key. This cadence, which Hepokoski and Darcy call the 'essential expositional closure' (EEC), is the most important goal in the whole exposition and ends the exposition's tonal work. If there is any following material after the EEC that still belongs to the exposition, it belongs to the post-cadential closing zone, which may introduce new

authentic cadences – sometimes rhetorically stronger than the first perfect authentic cadence.[9]

If the EEC was the most important goal in the exposition, the most crucial moment of the sonata form work is found in the recapitulation: the perfect authentic cadence at the end of the secondary-theme section, which most of the times corresponds with the EEC of the exposition. Hepokoski and Darcy call the cadence the 'essential structural closure' (ESC) which completes the generically obligatory musical process that secures the movement's tonality (ibid., 250). Indeed, Hepokoski and Darcy's view of the sonata form – both in small and larger structural levels – is highly goal-oriented, since 'everything that occurs before the cadence defines itself not as a secured tonality *per se* but as tonal potential' (ibid., 250) [emphasis by authors].

On Sonata Theory deformations and Romantic sonata-form works

As with Schenkerian analysis, in Sonata Theory the work may be viewed as including both local and more overarching goals. According to Hepokoski and Darcy, sonata form is an example of a 'dialogic form' (ibid., 10), where at each instance the composer may or may not choose the normative option. In cases when a standard option is not chosen – where the event is acting against previous conventions in the generative background of sonata form – we may have an example of *deformation*, which is one of the central concepts in Sonata Theory (see especially Hepokoski and Darcy 2006, 614–18). As Hepokoski and Darcy write:

> [d]eformations are compositional surprises, engaging forays into the unanticipated. But the paradox of art is that the nature of the game at hand also and always includes the idea that we are to expect the unexpected. If deviations from the merely expected never happen within an individual work, that is no sign of aesthetic health or integrity. On the contrary, if expressively charged stretchings or transgressions of standardized shapes and procedures

[9] Indeed, according to Hepokoski and Darcy the aspiration to reach the EEC often becomes an important part of the musical drama, including evasions, false clues and reinterpretations that push this expositional goal further. In the following analysis chapters, the question of whether a PAC in the secondary key qualifies as an EEC, will be discussed in greater detail.

> are not present at all, the work is more likely to be sidelined by historical consensus as unimaginative, composition-by-the-numbers, a boiler-plate product (ibid., 617).

In the present study, deformation is an important aspect from the viewpoint of arriving at a predestined goal, especially when this goal is somehow evaded, as is the case in unfulfilled motion, examined more thoroughly in chapter 8 where I discuss the opening movement of Schumann's G-minor trio. In this movement, important sonata-form arrival points, such as the medial caesura, the EEC as well as the ESC are not treated in a standard way but in a highly original manner by Schumann.

However, while deformation is an applicable concept when discussing works of the Viennese Classical repertoire, it becomes somewhat more problematic when we are dealing with sonata-form works of the Romantic generation, such as the Piano trios of Mendelssohn and Schumann. In their article 'Norm and deformation in Mendelssohn's sonata forms' (2012) Paul Wingfield and Julian Horton have investigated Mendelssohn's sonata-type movements (altogether 154 works between years 1825 and 1847) with an aspiration to consider what exactly might be regarded as normative for his music (Wingfield and Horton 2012, 93). Their key argument is that '[i]f Mozart and Haydn employ non-normative procedures, they "deform" a generic convention; if Brahms and Bruckner do the same, they "deform" the "standard-textbook" model' (ibid., 84). As a result of their investigation, Wingfield and Horton identify altogether twelve strategies that Mendelssohn employs in his sonata-form works, which may be viewed as 'deformative' from the standpoint of Sonata Theory (ibid., 99):

Example 3.6 List of 'deformational' strategies found in Mendelssohn's sonata-form works (Wingfield and Horton 2012, 99).

1. Introduction-coda frames
2. Three-key expositions
3. Tonal regions outside the I–V and i–III/i–v tonal opposition
4. Theme groups presented as harmonic fields rather than prolongations of a single key

5. Second groups occurring substantially over dominant pedals or first-inversion triads
6. Elisions of exposition and development
7. The appearance in development space of ostensibly new non-tonic (often fugal) material that is often resolved in coda space
8. Elisions of development and recapitulation, including themes returning over dominant pedals, or harmonic progressions, or first-inversion tonic triads
9. Truncated recapitulations
10. Reversed or partly reversed recapitulations
11. Non-resolving recapitulations
12. The return of themes from earlier movements in finales

Wingfield and Horton note that numbers 1, 10, and 11 have been identified as deformations by Hepokoski and Darcy as well. It is noteworthy that Wingfield and Horton's listing bears resemblance to the works in this study (both in Mendelssohn and Schumann): for instance, Mendelssohn's Piano trio in C minor (Op. 66) has a three-key exposition strategy where the first suggested secondary key does not reach a concluding EEC. In fact, only number 1 (introduction-coda frames), 10 (reversed or partly reversed recapitulations) and, quite naturally 12 (the return of themes from earlier movements in finales) are not found.

In addition, although published over ten years before *Elements of Sonata Theory*, Joel Lester's article on Schumann's sonata forms (Lester 1995b) is worthy of mention here. Among other things, Lester gives an overview on typical Schumann-specific 'deformations' (he does not use this term, naturally) against the more normative Classical sonata-form background (ibid., 203–208). Especially interesting is his notion that many Schumann sonata-form movements fail to establish the polarity between the primary and secondary keys of the exposition, as well as failing to 'establish the second key strongly' (ibid., 207).

As a result, although in this study I will apply the idea of deformation, I am also aware that many aspects that may be labelled deformative were no longer uncommon procedures in the examined sonata-form movements of Mendelssohn

and Schumann.[10] Nevertheless, these instances usually still maintain their surprising status that performers may want to take into account in musical shaping. Thus deformation will remain a flexible general term whenever we want to point out a procedure where we are at least willing to recognise its unusualness in the more general sonata-form context.

Sonata Theory and performance

Although in *Elements of Sonata Theory* Hepokoski and Darcy do not address issues of performance, at least not directly, Hepokoski briefly discusses the relationship between Sonata Theory and performance in his study on the opening movement of Beethoven's Piano sonata Op. 31 No. 2 ('Tempest') (Hepokoski 2009). According to Hepokoski, the goal-orientedness, combined with an awareness of the potential norms and conventions is a good starting point in performance as well:

> Sonata Theory encourages us to keep in mind the larger purpose of each moment. From a different vantage-point, it helps to keep our understandings of what we perform from lapsing into the habitual, the imitative, or the commonplace (ibid., 206).

Hepokoski also writes that the motion towards 'generically expected or obligatory' cadences should serve as a guideline also for performance (ibid., 208). Thus it is no surprise that when discussing the exposition of the *Tempest* sonata, Hepokoski advices the performer not to let go until the EEC, which occurs here only at the end of the exposition, bar 87: 'While all of this is written vividly into the notation, the performer should take care not to allow any slackening of tension until the icy death-drop into the v:PAC at bar 87' (ibid., 208). In general, however, Hepokoski withholds giving too many practical performance suggestions based solely on Sonata Theory:

[10] As Wingfield and Horton suggest: '[I]t seems more realistic to abandon the distinction between norm and deformation, and instead understand Mendelssohn's sonata forms empirically, as a body of works revealing more-or-less common strategies which can be named and assessed in terms of context and prevalence. […] The above analytical evidence could therefore be reconstrued simply as a taxonomy of sonata practices rather than of sonata deformations' (Wingfield and Horton 2012, 107).

> But the larger point of the Sonata Theory analytical method is not to draw up a list of practical suggestions for the execution of this or that bar. Nor is its aim to assess existing performances by a supposedly inflexible norm (for listening, too, is a performance). Rather, it tries to make a case for the desirability of undertaking a preparatory procedure of thoughtful investigation, historically and analytically informed, as one approaches any given piece (ibid., 209).

To conclude, while Hepokoski and Darcy do not consider the relationship between their theory and performance in detail, there are many aspects that a performer may hold on to, such as the idea of a dialogic rather than a conformational viewpoint regarding sonata form (Hepokoski and Darcy 2006, 615). In addition, the deformational aspect – no matter that it is to some extent problematic in Romantic sonata-form works as discussed by Wingfield and Horton – invites performers to consider whether surprising events that affect the narrative unfolding of the work are also reflected in performance.

3.4 Goal-oriented method, No. 3: examining dramatic motion and its high points

> [A]n element of more direct relevance to the performer but often ignored in the literature on performance: *contour*, of both individual musical lines and the broader expressive gestures traced by different parameters at various hierarchical levels within the music—in other words, the "goal-directed impulses" mentioned above, which together define the performance's topography (Rink 1999a, 230).

As already discussed, an important motion layer I will examine in this study is dramatic motion, which reveals the works' ebbs and flows. Following Kofi Agawu's (2008) vocabulary, the goals in dramatic motion will be labelled as 'high points' in my own study as well.[11] As Agawu writes '[a] high point is a superlative moment. It may be a moment of greatest intensity, a point of extreme tension, or the site of a

[11] In Agawu's earlier studies, high points are written as 'highpoints', without a space (Agawu 1984). In this study, I will however follow Agawu's more recent spelling.

decisive release of tension. It usually marks a turning point in the form' (Agawu 2008, 61).

Even though a more thorough discussion of high points is often omitted from analysis, for performers to bring out the high point(s) is one of the key points in musical shaping, especially in 19th-century music. Indeed, as composer Sergei Rachmaninoff suggests:

> This culmination, depending on the actual piece, may be at the end or in the middle, it may be loud or soft; but the performer must know how to approach it with *absolute calculation*, absolute precision, because if it slips by, the whole construction crumbles, the piece becomes disjointed and scrappy and does not convey to the listener what must be conveyed (quoted in Dunsby 2002, 232).

Importantly, both Rachmaninoff and Agawu emphasise that the high point (or, as in the Rachmaninoff quote, 'culmination') is not necessarily the loudest moment in the piece. For instance, in the opening movement of Schumann's D-minor trio (Op. 63), a highly original new episode in the development section (bar 84 ff.) is no doubt one of the dramatic high points of that section, yet it is played in subtle *pp* dynamics and *sul ponticello* playing by the cello.

Moreover, while Agawu writes that 'a single high point typically dominates a single composition', he also notes that 'given the fact that a larger whole is often constituted by smaller parts, each of which might have its own intensity curve, the global high point may be understood as a product of successive local high points' (Agawu 2008, 61). This kind of hierarchy between local and more global dramatic culminations has also been discussed by Jürgen Uhde and Renate Wieland in their work *Denken und Spielen. Studien zu einer Theorie der musikalischen Darstellung* (1988). For example, when examining Chopin's A♭-major Etude Op. 25 No. 1, they argue that the work carries three agogic levels; the first is the most local one (measure-level), the second entails phrases and the third shows the work's overarching level (Uhde and Wieland 1988, 212–218).[12] Example **3.7a** and **b**

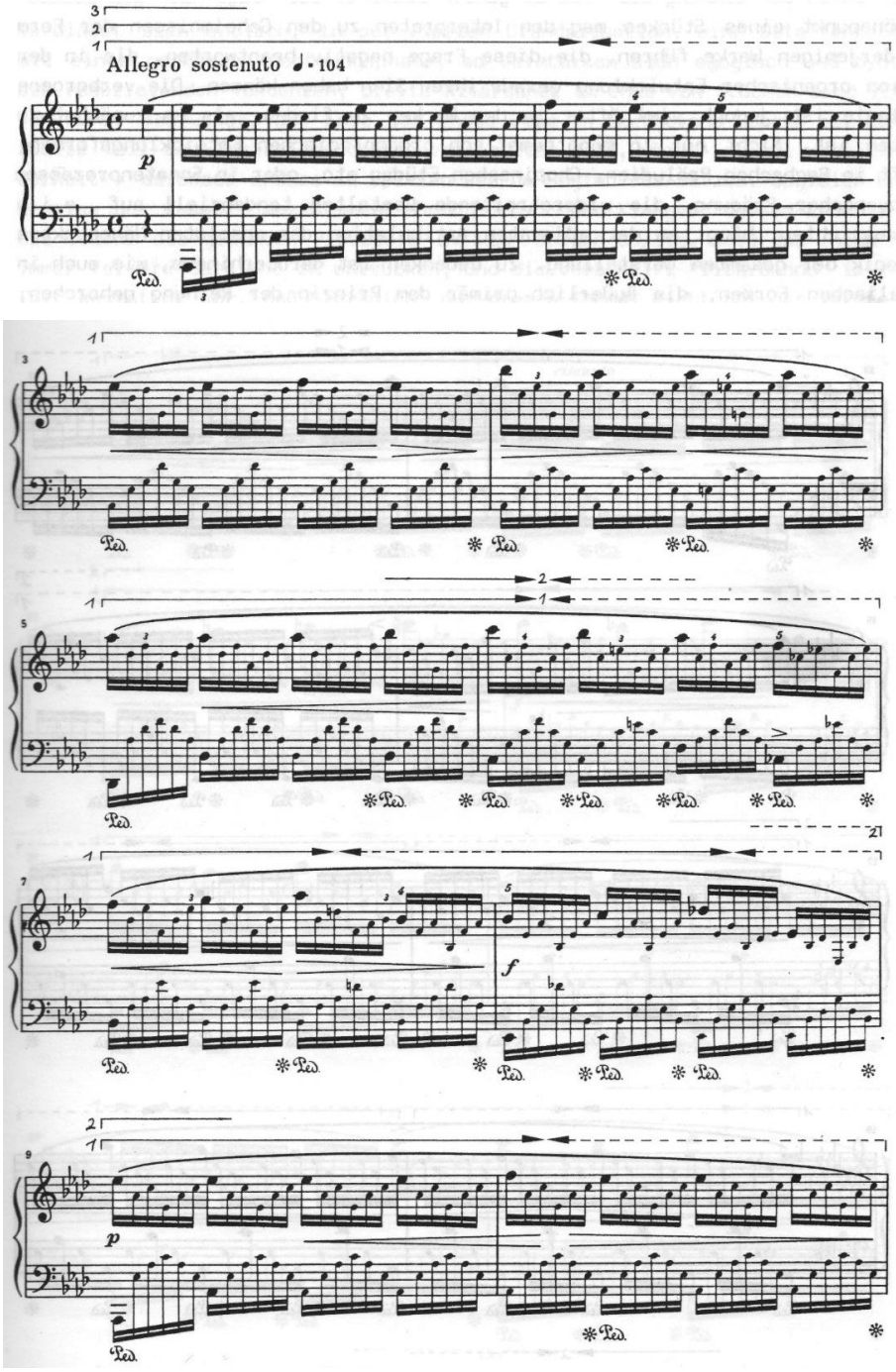
[12] In this sense, Uhde and Wieland's approach is close to Rothstein's study on rubatos in three levels, discussed in section 1.2 (Rothstein 2005). Interestingly, both examples are by Chopin.

present Uhde and Wieland's analysis of bars 1–8 and 32–36 of the Chopin Etude.[13] The forward-pointing arrow symbol ➔ describes the growing tension and the backward-pointing ← the release of tension in music (ibid., 163). In bars 1–8 there are five first-level high points, which basically follow the melodic contour of the piano's right hand. The second level, however, locates only one high point between bars 1–8, situated at the beginning of bar 6 where the first phrase reaches its highest note (c^3) and introduces the V^{8-7}/VI harmony that offers new colour to the previous prolonged tonic (bars 1–4) and subdominant chords (bar 5).

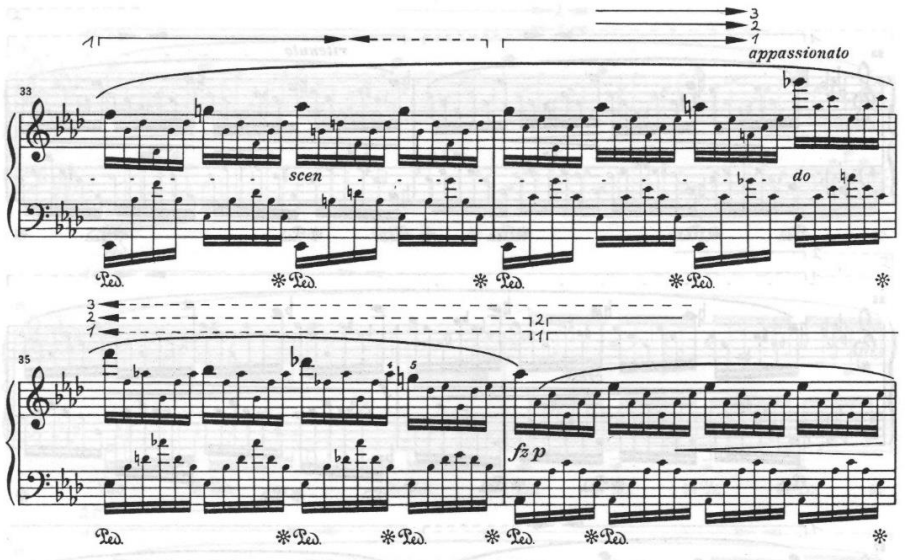
In the third level, which spans the entire etude, there is only one high point, which in this particular work begins in the last beat of bar 34 (marked with *appassionato* and the high $g♭^3$ – the highest note of the work so far) and lasts until the beginning of bar 36 where the work reaches its structural closure. After this, a 14-bar release of tension, 'Auslösung', follows. As Uhde and Wieland write, to locate the most important culmination of this particular work is not itself difficult since it is 'visible at first glance' (ibid., 217). Rather, it is the understanding of the entire structure and the range of its dynamics and agogics, varying from work to work, where the interpretation may go 'astray' (ibid., 212). In the Chopin Etude, Wieland and Uhde advise the performer not to make too 'wide' culminations before the overarching culmination, such as the more local yet powerful climaxes in bars 26 or 30 (ibid., 218). They also point out that the ***fz*** accent in the structural tonic chord of bar 36 is not really an accent but rather marks the end of the high-point field (ibid., 218).

[13] Uhde and Wieland also examine Chopin's A-major Prelude (as was examined by Cone [Cone 1968, 42]) from the viewpoint of three agogic levels (Uhde and Wieland 1988, 182–183).

3.7a bars 1–10:



3.7b bars 33–36:



Example 3.7a–b Uhde and Wieland's three agogic levels in Chopin's Etude Op. 25 No. 1 (Uhde and Wieland 1988, 212–217).

The overarching dramatic motion with its global high point has also been discussed by John Rink in his examination on Franz Liszt's *Vallée d'Obermann* (Rink 1999a). After examining different sections with an emphasis on themes and motives, he presents the works' intensity curve, which is a 'graphic representation of the music's ebb and flow, its "contour" in time, determined by all active elements (harmony, melody, rhythm, dynamics, etc.) working either independently, in sync, or out of phase with one another to create the changing degrees of energy and thus the overall shape' (Rink 1999a, 234). Indeed, according to Rink, when constructing the intensity curve it is important to consider all the elements in the ongoing music and their relation to each other. This kind of 'grande ligne', as Rink describes it, is summarised in the following sentence:

> By "reading" the score and attending to those elements that bear meaning (themes, motives, rhythms, etc.), and then by constructing a temporal framework for their projection, the performer assumes the role of narrator, tracing a *grande ligne* to mediate

between the poetic and the structural, to recount the drama within the notes (ibid., 237–238).

What is more interesting is that Rink argues that the overarching, global intensity curve of Liszt's *Vallée* 'closely corresponds in its incessant fluctuations to the "iconic" thematic and temporal contours of bars 1–8', as well as other passages Rink has examined (ibid., 235). This would suggest that the shape of local dramatic motion potentially correlates with the larger, overarching dramatic shape. While any pre-fixed consideration is best avoided, we can be at least open to the idea that various levels of dramatic shape may correspond with each other. Whether this serves as a source of inspiration for the performers or even some concrete performance decisions is up to the performer. I will discuss this more thoroughly in chapter 7 when I focus on the overarching motion and its potential resemblance with local motion in Schumann's Op. 63 trio.

Global high point vs. structural goal? Rink's 'structural momentum'

While there are some rare examples where both dramatic and harmonic motion reach their overarching goals at corresponding moments, more often than not these goals are dispersed to create multifaceted motion layers in the ongoing music.[14] For example, global high points may be such crucial turning points in the music that they can affect the interpretation of the overarching voice-leading structure towards a reading that more closely relates to the work's dramatic profile.

Rink discusses precisely such an instance in his article on Chopin's Nocturne in E♭ major Op. 9 No. 2 (Rink 1999b). At the outset, he argues that the structure of nineteenth-century music is generally end-weighted, and often includes an apotheosis-like conclusion (Rink 1999b, 117). In the Chopin Nocturne, Rink claims that although bar 24 ends the A' section with a perfect authentic cadence it lacks so-called 'structural momentum', which Rink explains as 'a forward impulse

[14] Jean Sibelius' song 'Svarta rosor' (Black roses) Op. 36 No. 1 is an extreme example where both the structural closure and the global high point are only reached in the final measure. For more information, see Anna Pulkkis's academic dissertation *Alternatives to monotonality in Jean Sibelius' solo songs* (Pulkkis 2014, 79–86).

or dynamic shape at a fundamental level' (ibid., 113). As a result, he believes that the structural closure is not reached until within the formal coda, in bar 33:

> [A]lthough the section [bars 25–34] *starts* like a coda, it by no means *finishes* in the way one is initially led to expect. Chopin as it were "deceives" us into hearing the beginning of a structural coda, but then thwarts the anticipation of imminent closure when the music suddenly takes a new direction, in what retrospectively is perceived as no more – and no less – than a *formal* coda (ibid., 114.).

Even though one might disagree with Rink's interpretation of the structural closure's location in the Chopin Nocturne, he deals with an aesthetic issue that is significant to Romantic music: a tendency towards a culmination, which raises the work to new heights.[15] Thus it is no surprise that also in this study the aforementioned goal-oriented views, Schenkerian, Sonata Theory and dramatic motion, are constantly interacting with each other rather than examined as separate issues.

3.5 In-between goal-oriented and here-and-now motion: secondary parameters and metrical analysis

On secondary parameters

Although the formal functions and harmonic structure are still evident in the piano trios of Schumann and Mendelssohn, the works also include a vast variety of performance instructions that the performers recreate through subtle temporal and agogic adjustments. Indeed, accents, hairpins, dynamics, tone colour, texture, register, and balancing are such an essential part of performers' rehearsal discussion (rather than form and structure for example) that I feel their status should be more independent, not merely additional material that supports (or unsupports) structurally oriented, hierarchic analysis. These parameters are sometimes called 'secondary' in music analytical literature, which I will now turn to.

[15] Rink's analysis actually differs from Schenker's, who regards the structural closure as taking place in bar 25. (See for example Schenker 1996 [1926], 5.)

The analytic discussion of secondary musical parameters is mostly emblematised by the assumption that while secondary parameters are non-syntactic, they are, on the other hand, more easily perceivable. For example, Leonard B. Meyer argues that secondary parameters 'seem able to shape experience with minimal dependence on learned rules and conventions' (Meyer 1989, 209). Furthermore, 'gradually rising pitches, increasingly loud dynamics, faster rates of motion, and a growth in the number of textural strands heighten excitement and intensity; while descending pitches, softer dynamics, slower rates of motion, and so on, lead toward relaxation, repose, and cessation' (ibid., 209). For Meyer, secondary parameters are thus somehow more easily apprehensible for the inexperienced listener. They are also important for our sense of growing dramatic tension – or relaxation. As it turns out, these elements are also something that performers very deliberately consider when they are shaping musical units from the point of view of their dramatic goals – a topic that was already discussed in chapter 3.4.

In their article 'Primary versus secondary musical parameters and the classification of melodic motives' (2009) Zohar Eitan and Roni Y. Granot question the adequacy of such analyses where 'a motive played louder, faster, or transferred to a higher octave, would remain "the same" motive, provided that its pitch/time structure […] remains unaltered' (ibid., 140–141). As one example, they discuss Liszt's B-minor Piano sonata and argue that registral and dynamic alterations of the same motive may eventually associate the material to an entirely different motive that has a similar secondary parameter profile (ibid., 141). Zohar and Granot believe that any similarity (or difference) between two compared passages should be extended to cover not only melodic, thematic and rhythmic profiles, but also secondary parameters such as texture, timbre, dynamics or register.

While the rendering of secondary parameters in performance is inseparable when shaping local motion, such as complete phrases, it is also noticeable that secondary parameters often take part in *gradual changes* – where the composer for instance moves from one unit to the next without any noticeable change. This kind of 'smoothing over' often requires primary and secondary parameters to work in tandem to enhance the feeling of continuity between subsequent units. Yet controlling these gradual changes often requires nuanced and delicate ears on the

performers' part, who as active 'participators' need to bring out this shifting somehow. To conclude, in this work the examination of secondary parameters is an integral part of approaching musical motion where various layers constantly interact with each other.

METRICAL ANALYSIS

> The meter of anything that you play, and particularly of any conflicted passage that you play, is to a large extent *in your hands*. The placement of weight or stress, and the amount of stress that you allot to individual notes or chords in such passages, will to a large extent determine how the listener perceives the meter. You must decide, then, which layer or layers you need to "bring out" by stress (Krebs 1999, 179).

Metrical analysis is at the very heart of analysis and performance interaction, since it directly relates to temporal issues that keep the work in motion (see for example Rothstein 1989 and 1995; Lester 1995a; Cone 1968; Rink 1995). Moreover, as Harald Krebs proposes, metrical structure, especially in ambiguous cases, is highly dependent on performers' shaping decisions (see also Lester 1995a, 207).[16]

While in some notable studies of meter, such as in Fred Lerdahl and Ray Jackendoff's influential *A generative theory of tonal music* (1983), metrical levels can be reduced into ever larger levels that span the entire piece, in this study meter will be approached primarily from the point of view of local events.[17] Thus the discussion of metrical patterns, such as examining hypermeter ultimately remains at the phrase level – either when examining complete phrases or motion from one phrase to the next.[18]

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[16] Krebs' writing mode in this particular citation is a fictional letter by Clara Schumann to Robert Schumann's former student and friend, Martha von Sabin (1831–1892), where Clara instructs Martha on how to play 'metrical dissonances'. According to Krebs, interpretive metrical layers either interact in accordance with each other (in which case they are considered 'metrical consonances'), or not (in which case they are considered 'metrical dissonances') (see especially Krebs 1999, 22–39).

[17] Lerdahl and Jackendoff call this a 'time-span reduction' (Lerdahl and Jackendoff 1983, 8).

[18] Hypermeter – originally derived from Edward T. Cone's idea of 'hypermeasure' (Cone 1968) – refers to meter at levels above the notated measures. It is a combination of measures according to a metrical scheme and includes 'both the recurrence of equal-sized measure groups and a definite pattern of alternation between strong and weak measures' (Rothstein 1989, 12). Moreover, Rothstein writes that '[h]ypermeter and phrase structure may coincide or they may not;

In the analysis chapters meter will be brought into the discussion, especially in metrically ambiguous structures that often create instability in the ongoing music for a considerable amount of time. To clarify what kind of ambiguity I am referring to, in the following section I will present three scholars who, among others, have discussed these issues: William Rothstein (1989; 1995) Frank Samarotto (1999) and David Temperley (2008). While Rothstein and Samarotto combine metrical analysis with Schenkerian harmony and voice-leading analysis, Temperley discusses metrical ambiguity from the standpoint of 'hypermetrical transitions', a metrical process where a new, challenging meter establishes its primary status gradually.

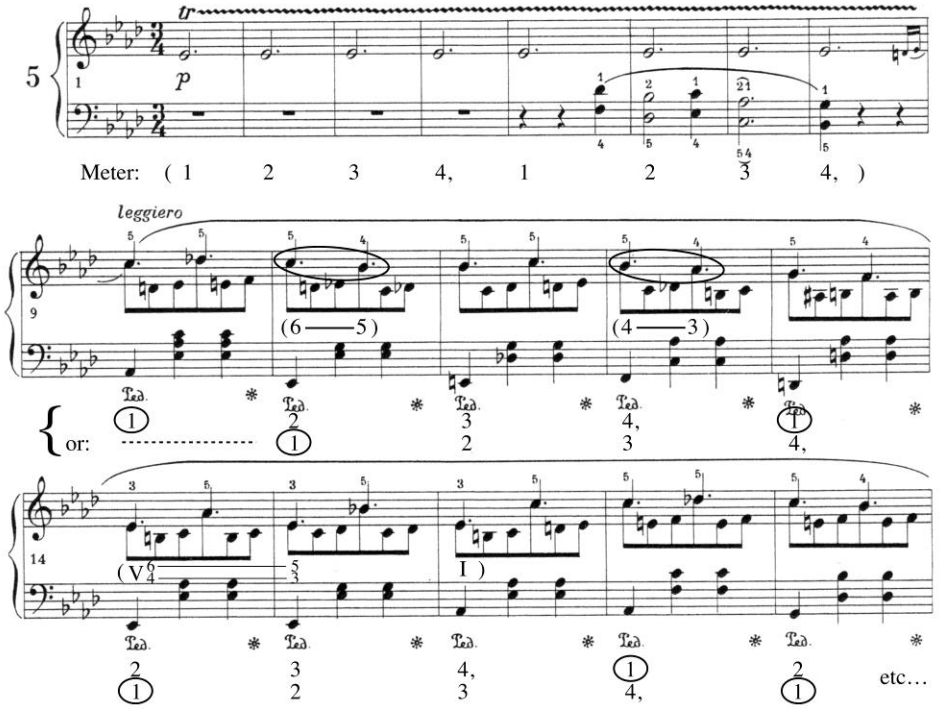
METRICAL AMBIGUITY

> Where hypermeter exists, it need not be all-pervasive. Just as the agreement or conflict of hypermeter and phrase structure is a compositional resource, so is the contrast between metrical regularity (hypermeter) and irregularity (absence or modification of hypermeter) (Rothstein 1989, 13).

In *Phrase rhythm in tonal music* Rothstein discusses a metrical phenomenon that he calls conflicting downbeats, regarding them as an essential part of Mendelssohn's composition style (Rothstein 1989, 199–200). In the case of conflicting downbeats, two equally perceivable metrical patterns appear simultaneously in the ongoing music for some time (ibid., 199). In his later article 'Analysis and the act of performance' (1995) Rothstein also discusses conflicting downbeats and their relation to performance by examining Chopin's Waltz in A♭ major (Op. 42). Rothstein argues that even in seemingly clear hypermetrical structures, there may be alternative views regarding where exactly the hypermetrical downbeat may be. In the case of Chopin's Waltz (Example **3.8**), it may first seem that the hypermetrical downbeat unequivocally falls in bar 9 (as in bars 1 and 5) where the waltz theme begins. However, there is some friction between the harmonic and melodic organisation that challenges our initial views. Rothstein points out the cadential six-

their agreement or conflict represents a basic compositional resource' (ibid., 13). After the hypermeter has been stabilised in music (most often duple meter, such as 2 or 4), it may undergo several alterations without losing feeling of initial hypermeter.

four chord in bar 14 which should normally be metrically stronger than its resolution, the dominant-$\frac{5}{3}$ chord in bar 15. Moreover, in bars 10 and 12 we already have melodic suspensions over the bass (6–5 in bar 10 and 4–3 in bar 12) that suggest that, in reality, a conflicting downbeat structure exists right from the beginning of bar 9.



Example 3.8 Chopin Waltz in A♭ major Op. 42, bars 1–24, with conflicting downbeats.

Rothstein offers some consideration of the potential impact of conflicting downbeats on performance:[19]

> Which hypermetre (if any) should be "brought out" when each has a certain validity – one operating locally, the other defining the pattern of the whole? […] It is impossible to prescribe a single solution, but some version of the second option is surely necessary. It is vital that, to some degree, the pianist keep both hypermetres alive in the first and second themes [Chopin, Op. 42], for to surrender completely to either one would be to slight the complexity of the music. […] One must make it possible, somehow, for the listener to entertain both possibilities. What will probably work best is for the pianist to keep the main hypermetre firmly in mind but to play against it in certain passages (Rothstein 1995, 236–237).

Metrical ambiguity is also the centre of analytical attention in Samarotto's article 'Strange dimensions: regularity and irregularity in deep levels of rhythmic reduction' (1999). In the article, he presents an attractive term, 'shadow' meter, where one hears another meter that is not together/in sync with the main meter (Samarotto 1999, 235). The shadow meter can prevail until the phrase (or some other) unit dissolves, usually in the final bars (ibid., 235). While 'shadow meter' and Rothstein's 'conflicting downbeats' basically mean the same thing, in the article Samarotto makes an important remark about how rhythmic irregularities can be seen as quasi-improvisatory departures 'that most strongly impress on us the sense of music as dramatic action' (ibid., 229). Moreover, Samarotto points out that while in Schenkerian analysis the rapport among the levels (*Fühlungnahme*) usually goes from background to foreground, in rhythmic analysis, however, it goes the opposite way, since 'immediate gestures penetrate to deeper levels and disturb their stability' (ibid,. 238).[20] Samarotto's study reminds us that in metrical analysis we do not have

[19] Most performances I am aware of follow the odd-accented metrical structure and, despite the fact that Chopin writes a long slur over bars 9–24, performers even make a slight ritardando at bar 16 so that bar 17 clearly sounds like a metrical downbeat as well. The only two pianists who, in my view 'entertain both possibilities' are Murray Perahia (1994) and Dinu Lipatti (1950) by agogically shaping bars 9–24 such a way that we cannot hear a clear 4-bar hypermeter, but rather one large phrase with occasional emphasis on either odd or even-numbered bars.

[20] In the analyses, Samarotto for example shows how in seemingly regular foreground hypermetrical patterns the expansion or contraction of certain harmonies creates irregular metrical structures when making further reductions.

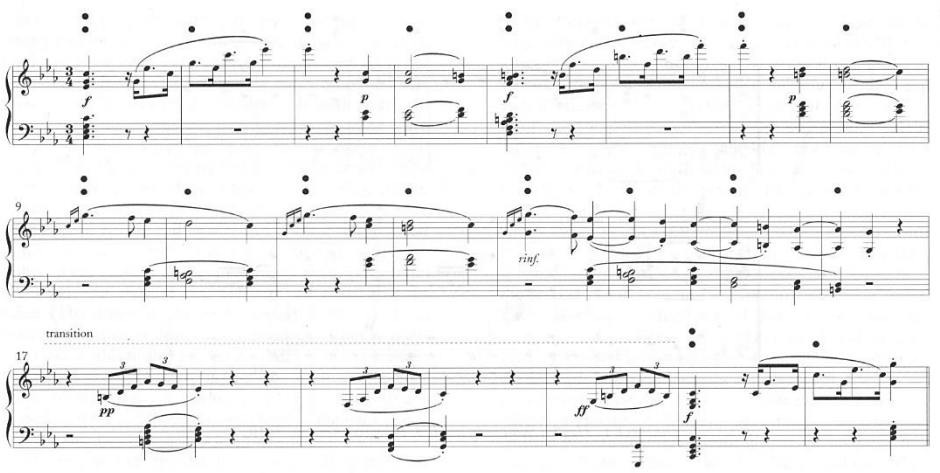
any *a priori* deep-level structure with overarching hierarchy, but the bar-level hypermeter is the main starting point for further ramifications.

Finally, in his article 'Hypermetrical transitions' (2008) David Temperley discusses the important phenomenon where the meter gradually shifts from one to the other. In the beginning, Temperley emphasises the differences between two ways in which meter can change, called 'sudden' and 'gradual' (Temperley 2008, 306). While sudden shifts are mostly related to metrical reinterpretation and phrase overlaps, gradual shifts wherein the metrical structure is ambiguous for some time are less discussed in music theory literature (ibid., 306). In the article, Temperley calls these gradual shifts 'hypermetrical transitions' and gives a vast amount of examples where they occur, including the opening movement of Mozart's G-minor Symphony (bars 10–14), the Overture of Mozart's *Le Nozze di Figaro* (bars 7–10), or the opening movement of Beethoven's Symphony No. 5 (bars 196–209).

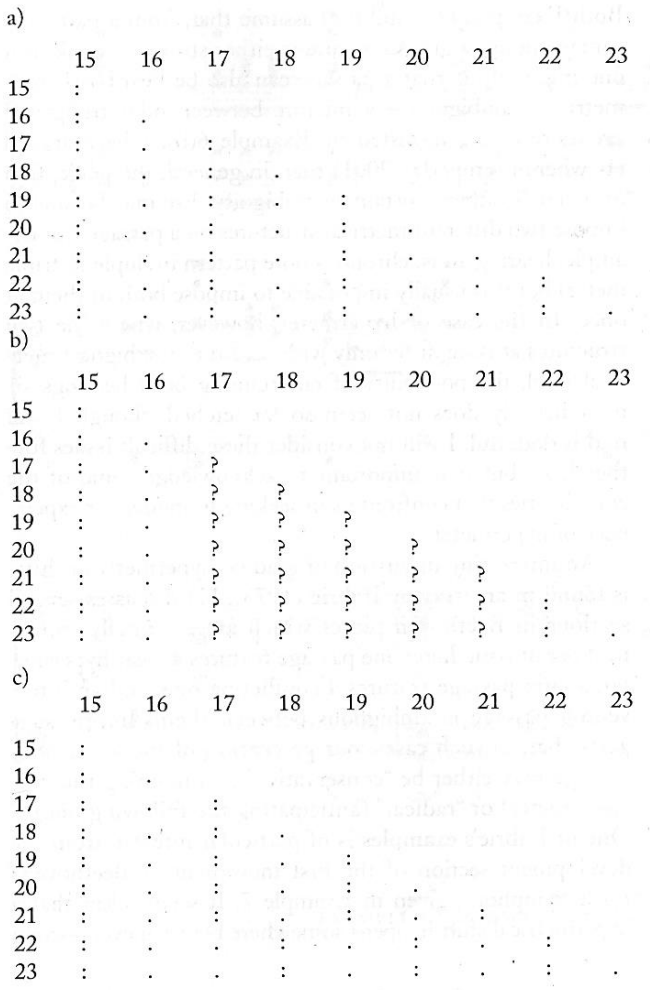
What are the differences between these three concepts – conflicting downbeats, shadow meter and hypermetrical transition? In my view, while both 'conflicting downbeats' and 'shadow meter' often correspond with hypermetrical transitions, the difference is the *directionality* hypermetrical transitions manifest: the new meter is challenging the old one, which must eventually withdraw. Furthermore, in conflicting downbeats the two meters are equal, while the shadow meter is rather subordinate to the main meter, such as cases where the melodic grouping does not go hand in hand with harmonic changes and downbeats. When analysing metrical ambiguities, one must thus decide which of the aforementioned expressions best describes the moment at hand – and what precisely are the features we want to examine as analysts.

Before closing this section, I would like to raise Temperley's meritorious attempt to present hypermetrical transitions in real-time, from the viewpoint of a potential listener. After discussing Beethoven's C-minor Piano sonata (Op. 10 No. 3, I) where a hypermetrical transition occurs between bars 17–21, Temperley presents a chart on different 'vantage points' between bars 1–22 (Examples **3.9 a** and **b**) where he aspires to open up the ways in which a listener might experience that the meter has changed. According to Temperley, '[r]egarding our perception of hypermeter in the passage, two simple possibilities suggest themselves. One is that,

at a certain point—let us say measure 21—our perception simply "flips" completely from odd-strong to even-strong. Another possibility is that a certain region of the piece is heard as ambiguous: perhaps up to measure 16 we hear odd-strong, then from measures 17–21 we are not sure, then from measure 22 onwards we hear even-strong' (Temperley 2008, 312). However, Temperley argues that experiencing hypermeter in real-time is a more complex, two-dimensional phenomenon where 'each measure in the piece is experienced from the vantage points of all subsequent measures' (ibid., 312).



Example 3.9a Beethoven, Piano sonata in C minor Op. 10 No. 2, I, bars 1–21, with Temperley's metrical analysis (Temperley 2008, 308).



3.9b 'vantage point' analysis by Temperley (Temperley 2008, 313).

Explaining the graph shown in example **3.9b**, Temperley writes how the first two examples, a) and b), are modelled on the two simple suggestions suggested earlier. In c), however,

> [T]he perception of everything up to measure 21 is odd-strong—at least, until we get to measure 22. At measure 22, we infer an even-strong meter for measure 22, but this hearing also cascades back through the previous measures, as far back as measure 17. […] The unequivocal odd-strong feel of the opening has enough momentum to carry through measure 21, despite the weakening evidence for it. But the gesture in measures 21–22—a gesture that is unquestionably "weak-strong"—carries so much force that it causes me to

> reconsider the previous measures, especially given the very strong motivic parallelism between measures 21–22 and the previous two 2-measure groups,and also given the fact that the cadential $\frac{6}{4}$–V in measures 20–21 makes a "even-strong" hearing inherently much more appropriate for this segment. […] One interesting thing about Example 6(c) is that, from each vantage point, no hypermetrical shift has occurred, at least not recently. Up to measure 22, no hypermetrical shift has occurred at all; at measure 22, the shift occurred 5 measures ago (ibid., 313).

In my view, Temperley's vantage-point graph vividly illustrates Steve Larson's 'participant' experience, although this time the participant is the listener, not a performer. At the same time, it does raise adequate questions in performance: for instance, how am I to shape this passage if I want to bring out the hypermetrical transition the way I hear it? Should I, for example, try to preserve the old meter as long as possible, or should I begin to play the new meter as soon as possible?[21] Or is it possible to 'just play' the passage, without any interference? To bring us back to some of the initial motivations for this study, analytical considerations can raise sensible questions for the performer (McClelland 2007, 200), yet they do not offer definite answers. Rather, they add new levels of awareness.

3.6 Abandoning overarching goals: 'here-and-now' viewpoint

By and large, in this study the 'here-and-now' viewpoint simply refers to considering musical issues at a certain moment, without any need to make further assumptions on local or overarching goals. This liberates the analyst (and performer) from trying to consider whether a certain instance in the ongoing music articulates some larger musical structure. Instead we may now focus on the 'healthily hedonistic attention to the musical surface', as was suggested by Edward T. Cone (Cone 1968, 98). Indeed, as Agawu writes, '[p]lacing the emphasis on events

[21] Andrew Imbrie's famous article on 'conservative' or 'radical' hearing is especially apt (see Imbrie 1973).

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' (Agawu 2009, 8).

The 'here-and-now' viewpoint approach resonates to some extent with ideas discussed more recently by James Webster in his definition of 'multivalent analysis' (Webster 2009). According to Webster:

> Multivalence is not theoretically opposed to "unity", as some have claimed. But in practice the method entails suspending, at least temporarily, the assumptions that unity is a criterion of value, and that the goal of an analysis is to demonstrate its presence. […] Unlike formal theories such as Schenker's "*Ursatz*" or Hepokoski's and Darcy's Sonata Theory, or even Caplin's more nearly informal theory of Classical form, it erects no typologies or grand 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 (Webster 2009, 129).

Although the idea of Webster's 'multivalent analysis' is to examine music from one domain at a time, it can be also seen as an approach that aspires to take into account the 'participant' viewpoint, as was discussed by Larson (2012) and partly abandon the more traditional 'observer' viewpoint found in most analyses.

Interestingly, Nicholas Cook claims the so-called 'structuralist viewpoint' in which he describes the theoretical, goal-oriented approach, is not only present in analysis but also in the current performance style (Cook 2013, 91). According to Cook, nowadays musicians tend to shape their timing according to musical units and cadences, thereby labelling this kind of performance tradition as 'structuralist performance' (ibid., 91). Commenting on the previously discussed Chopin example by Edward T. Cone (see chapter 1.2), Cook laments that '[c]oupled to the invocation of gravity, a natural and universal physical principle, the result is a built-in resistance to seeing performance in terms of stylistic options or even historical change' (ibid., 61). In *Beyond the score* Cook examines Schubert's *Impromptu* Op. 90 No. 3 by comparing various recordings of it, one by Eugen d'Albert (1864–1932) who was also Schenker's favourite pianist. According to Cook, with d'Albert 'it is the exceptional notes, the notes that subvert or simply bypass structure, that become

the central pillars around which d'Albert structures his performance […] Properly understood, d'Albert's mobile tempos are an integral component of his pianistic style: a style that is predicated on the communication of moment-to-moment expressiveness, and which—in contrast to what I call the "structuralist" style of late twentieth-century common practice—I shall refer to as "rhetorical"' (ibid., 69–70). Cook seems to suggest that even when applying structural analysis in musical works such as in Schenkerian analysis, the ideal is not necessarily a performance that precisely brings out the structure; expressivity and living in the moment as well as (metaphorically) maintaining the ongoing motion with sometimes structural emphasis, other times not, together create an inspiring performance, bringing it to life.

Considerations such as the ones by Cook and Webster force us to question whether methods that are seeking unity are sufficient for describing the multilayered act of musical motion – even more if we want to create interaction with performance. Hence in this research, the here-and-now viewpoint aspires to offer a counterbalance to the goal-oriented analytical methods. It helps us to incorporate our trio's detailed considerations on musical elements that may be purely local, without an overarching 'plan'.

PART II: ANALYSIS

4 BACKGROUND AND OVERVIEW OF THE PIANO TRIO MOVEMENTS

Since no analysis starts from *tabula rasa*, the purpose of this chapter is to offer the reader some general information on each trio, with a special emphasis on their opening movement's formal and harmonic aspects. Because each chapter (chapters 5–8) will specifically focus on one motion layer, some issues will be returned to and expanded in the following chapters, but others will not. I do not consider this as a problem, however, since my intention is not to offer a thorough, bar-to-bar analysis on each trio movement, but rather to experiment with the best ways in which each motion level may interact with aspects of performance.

4.1 MENDELSSOHN: PIANO TRIO IN D MINOR OP. 49 (1839)

> [A] very important category of piano music which I love, such as trios, quartets and other pieces with accompaniment – thus genuine chamber music – has fallen entirely into oblivion, and I have a very great need to create something new in this field. I would like to add something to this. Bearing this in mind, I recently wrote a sonata for violin and another for cello, and I am thinking of writing a couple of trios soon (Hiller 2014 [1874], 113–117).

In a letter from August 17th 1838 to his close friend and colleague Ferdinand Hiller (1811–1885), Mendelssohn wrote about his plans to write a new piano trio. It didn't come out easily, however: the earliest thoughts on composing a trio were from as far back as 1831 (Reiser 2009, XXI–XXII). Moreover, after finishing the first draft on 29th of August 1839, it immediately went through several rewritings.[41] The piano

[41] The differences between the first and the second version have been studied for example by Ron Regew in his doctoral document *Mendelssohn's Trio opus 49: a study of the composer's change of mind* (Regew 2005).

part in particular was modified to be more in line with the so-called New Pianoforte School,[42] which basically means the virtuoso piano style developed especially by Liszt and Chopin, and earlier by Johann Nepomuk Hummel, with fuller and richer sonorities. Hiller, who advised Mendelssohn to make these alterations, later wrote in his memoirs:

> Certain pianoforte passages in it, constructed on broken chords, seemed to me—to speak candidly—somewhat old-fashioned. I had lived many years in Paris, seeing Liszt frequently, and Chopin every day, so that I was thoroughly accustomed to the richness of passages which marked the new pianoforte school. […] An unusual form of arpeggio may not improve the harmony, but neither does it spoil it—and it becomes more interesting to the player (Todd 2008, 157).

Although Mendelssohn first doubted whether the changes would make any difference, they certainly did not spoil the work, as Hiller assured: since its first publication, the D-minor trio has been praised as one of the masterpieces in the romantic chamber-music genre. The trio is popular not only because the audience loves it, but because players 'can show off with it', as Mendelssohn himself commented (Hiller 1972, 155). It was also highly appreciated by Schumann, who wrote in the *Neue Zeitschrift für Musik* in 1840:

> This is the master-trio of the present, just as in their times were the trios of Beethoven in B flat and D [Opp. 97 and 70 No. 1], and that of Schubert in E flat [D 929]. It is a beautiful composition that years from now will delight our grandchildren and great-grandchildren (Plantinga 1976 [1967], 267).

The trio consists of four movements, which are I *Molto allegro ed agitato,* II *Andante con moto tranquillo*, III *Scherzo: Leggiero e vivace*, and IV *Finale: Allegro assai appassionato*. While the first movement is dramatic, passionate and brilliant, the second movement in B♭ major offers a beautifully arched *Lied ohne Worte* melody in large ABA form. The lively scherzo movement in D major is a highly virtuosic piece with a witty, fairy-dance atmosphere, written in sonata form. The trio

[42] In German: 'der pianistische Erfindungsreichthum der neueren Zeit'.

closes with a fast rondo movement in D minor. Although it begins in D minor the movement eventually turns to D major in the coda section, giving the entire trio a heroic rather than tragic ending.

Overview of the opening movement

The exposition (bars 1–222) of the opening movement divides into two parts: part I (bars 1–118) includes two large phrases in D minor (bars 1–39 and 40–67) and a transition (bars 67–118) that ends with a dominant pedal of the secondary key. Although the dominant pedal (bars 91–118) rather suggests that the secondary key is in the minor dominant (v), part II of the exposition (bars 119–222) begins in a tender A-major key (V), and with a new secondary theme. After a perfect authentic cadence in this key (bars 162–163), the primary theme soon returns in A minor (bars 187 ff.), and the exposition closes in minor mode, producing a perfect authentic cadence in bar 214 that is followed by a brief post-cadential phrase.

The development section (bars 222–367) continues the A-minor key area for a few measures until it begins to modulate. The next important harmonic event is the arrival of B♭ major with the appearance of the secondary theme (bar 250). Yet the most magical moment in the development section occurs in measure 312, where C major – the 'area of furthest remove'[43] – is temporarily tonicised: the violin and the cello play the secondary theme for the first time in unison, and the piano is accompanying the melody with soft triplet arpeggios.[44] In bar 328 the same material is played again, now in A major. The A major becomes the dominant of D minor from bar 336 onwards, and begins a marvellous 32-bar retransition that leads to the recapitulation section (bars 368–580).

The first part of the recapitulation is truncated, since Mendelssohn entirely omits the exposition's second phrase in D minor and instead connects the first phrase with the end of the transitional zone, more precisely the dominant pedal.

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[43] A term Leonard G. Ratner uses in *Classic music: expression, form and style* (Ratner 1980, 226–28)

[44] This is also one of the few places where Mendelssohn has put a pedal mark in the movement, a marking that he used sparingly in his piano writing. For example, Kenneth Hamilton remarks that the use of the sustaining pedal was more a special effect for Mendelssohn. Its purpose was to change the tone colour and increase the volume of sound, not to guarantee a perfect legato like in modern pianos (Hamilton 2008, 26).

Thus, while in the exposition the dominant pedal started in bar 91, in the recapitulation it takes only 43 bars (368– 410) until the music reaches the dominant pedal. The second part of the recapitulation is then elaborated: after the perfect authentic cadence in D minor (bar 530), here regarded as the structural closure of the entire movement, Mendelssohn extends the initially brief post-cadential phrase (only 8 bars in the exposition) by introducing both the primary and secondary themes once more.[45] The movement closes with a tumultuous, 38-bar coda, marked as *assai animato*.

4.2 MENDELSSOHN: PIANO TRIO IN C MINOR OP. 66 (1845)

Mendelssohn finished his second trio in C minor Op. 66 in April 1845, dedicated to the composer and violinist Louis Spohr (1784–1859). As in the D-minor trio, there was an immediate comprehensive reworking with cuts, changes and paste-overs to create the best possible piano part (Reiser 2009, XXVI). At least for the pianist, the trio is technically even more demanding than the D-minor trio: the fast sixteenth notes, the full use of registers, broken chords and octave passages make the work a virtuoso piece as well. Mendelssohn himself was not worried that these challenges would scare away amateur pianists, and told his sister Fanny Hensel in a letter on 20th April that '[t]he Trio is a bit nasty to play, but it is not really difficult' (ibid., XXVI).

The four movements are titled I *Allegro energico e con fuoco*, II *Andante espressivo*, III *Scherzo: Molto allegro quasi presto*, and IV *Finale: Allegro appassionato*. After the rapid and passionate first movement, the second movement is yet another *Lied ohne Worte* in ABA form, now in E♭ major and with a more rare 9/8 meter. The third movement is a fierce scherzo in G minor where the musicians entertain themselves with 'catch and play' in rapid sixteenth notes. The final movement is, as Robert Philip writes, 'a sturdy Baroque jig on a grand scale' (Philip 2005, from program notes) in 6/8 meter. An unexpected minor ninth leap in the

[45] The recapitulation as a whole is approximately the same length (212 bars) as the exposition (222 bars).

cello, supported by a dominant V^6_5 in the piano part, only resolves to a stable tonic at the end of the first phrase, in bar 8. Around the middle of the movement, this sonata-rondo work introduces a new, choral-like hymn in A♭ major. From now on, this chorale intertwines with other thematic material, culminating finally in C major with an appropriate Romantic *grandioso* atmosphere.

Overview of the opening movement

From the formal point of view, the opening movement of the C-minor trio is more complex than in the D-minor trio. For instance, the exposition's (bars 1–140) large tonal plan is i–III–v where the secondary theme, although presented in the mediant E♭ major, never succeeds in creating a perfect authentic cadence – Hepokoski and Darcy's 'essential expositional closure' – that would close the exposition's harmonic task. Instead, in bar 95 the music slips into G minor, which remains the main key for the rest of the exposition. Even here the essential expositional closure does not appear until bar 140, which is preceded by a climactic cadential unit (bars 128–139). The immediately subsequent development section (bars 140–212) includes the most lyrical moments of the entire movement by presenting the secondary theme without the agitated accompaniment figures from the exposition.[46] From bar 171 onwards, the music gradually becomes more intense, with piano triplet and 16th-note accompaniment and fragments from the secondary and primary theme. After the dramatic culmination (bars 191–202) the retransition is just around the corner and the recapitulation section begins in bar 213.

Like in the D-minor work, Mendelssohn truncates the first part of the recapitulation section by omitting the second phrase of the exposition. After the essential structural closure (bar 305) the story is not yet over, however: a massive coda section starts in the submediant VI (A♭ major) in bar 327. The *tranquillo* character continues for a while until the intensity starts to grow once again. The primary theme enters in C minor in bar 353, now simultaneously in its original form (piano) and in an augmented (strings) version. Yet perhaps the most powerful

[46] Hence the exposition and development are overlapping each other, which also means that the development section is only perceived retrospectively, when it is already underway.

moment in the entire movement begins in bar 385 where the secondary theme has its final outburst, now in F minor. After a fermata in a V^6_5/IV chord, the movement presents a final cadential motion and closes in an agitated manner in bar 399.

4.3 SCHUMANN: PIANO TRIO IN D MINOR OP. 63 (1847)

During the time Schumann composed his first piano trio in 1847, he hadn't been composing anything that included the piano for a while; thus he was really enthusiastic about writing this work (Worthen 2007, 284). In contrast to Mendelssohn continuous rewritings, Schumann's D-minor trio was composed astonishingly quickly – the first movement was outlined in just one day (ibid., 284).

There are four movements in the trio: The first movement (*Mit Energie und Leidenschaft*) is an extensive sonata-form work with a dark and passionate character. According to Clara Schumann it was 'the most beautiful she ever knew' (Bischoff 2005, 409), while the violinist Wilhelm Joseph von Wasilievski, Schumanns' close friend, described it as 'very serious' and 'filled with almost demonic passion' (ibid., 409).[47] The second movement *(Lebhaft, doch nicht zu rasch*) is a playful scherzo movement in F major that includes a more flowing trio section. The slow third movement (*Langsam, mit inniger Empfindung*) is a heartrending piece with its chromatics, beautiful melody and inspired middle section. Although the movement begins in A minor, it never attains a closing cadence in this key, but instead finishes with an A-major chord. As it turns out, it becomes the dominant of the closing movement (*Mit Feuer*), which is in D major. Schumann closes the trio with a brilliant and fiery final movement that includes a supreme climax for the entire work.

OVERVIEW OF THE OPENING MOVEMENT

The overall character of the first movement might be described as something like 'a dramatic minor meets learned style', to use a more colloquial expression. This

[47] In German: 'ans Dämonische streifenden Leidenschaft erfüllt'.

means suspensions, imitations and two- and three-part counterpoint between the violin, the cello and the piano's left hand. At the same time, the sixteenth-note triplets in the piano's right hand maintain the energetic, forward-going mood. In contrast with Mendelssohn's more problematic secondary-key confirmations, in this work the secondary key is the expected mediant key (III), F major with a perfect authentic cadence in bar 42 – although with an exceptionally elegant displacement with an F-major tonic harmony and $\hat{1}$ in the violin melody. The actual secondary theme begins on the dominant pedal of F major between bars 27–34; a feature already found in some of Beethoven's sonata-form works, for example.[48]

The real surprise, however, is found in the development section: after restless passages, the music turns to a 'heavenly' episode-like character (bar 84), where both the piano and the cello are playing in an extremely high register. In the recapitulation, the secondary-theme is now presented in the major-mode tonic, D major (again starting on the dominant pedal). However, when the recapitulation is about to close, there is a deceptive cadence to VI in bar 212, which also simultaneously begins the formal coda section. Just before the final bars of the entire movement, there is a short reminiscence of this passage, which once again raises the movement on another, more spiritual level.

4.4 SCHUMANN: PIANO TRIO IN G MINOR OP. 110 (1851)

Schumann's piano trio No. 3, Op. 110 in G minor was composed during the time he worked as a composer and conductor in Düsseldorf. It got a mixed reception: after the review of the G-minor trio in December 1851 by Richard Pohl, Schumann wrote in his diary that he was already used to the audience not fully understanding his best and profoundest works at first hearing (Bischoff 2005b, 195–196). Even Ferdinand von Wasiliewski, Schumann's trusted friend and violinist wrote how the trio is 'somewhat contemplative and melancholic' and how it does not fully reach the powerful flow of ideas as the D-minor trio (ibid., 196).

[48] For instance, Beethoven's Piano Sonata in F minor, Op. 2 No. 1, I (bars 20–25).

Despite its peculiarities and gloominess, the G-minor trio is a very player-friendly work: for instance, the cello has more independent lines (not only doubling the piano's left hand like in his other trios) that are in wonderful counterpoint with the other instruments. The piano part is more transparent than in the other trios, rather than trying to play all the notes, it leaves room for the other players. The violin operates in all registers, even the highest ones, and as a whole the work is very well written from an instrumental point of view.

The first movement (*Bewegt, doch nicht zu rasch*) offers a melancholic yet ever-changing kaleidoscope of various moods. The second movement (*Ziemlich langsam*) is a tender slow movement with an agitated middle section. Beginning with the cello's low G-note until the piano plays the E♭-major chord, Schumann connects the previous movement's central tone G with a new harmony. The meter is a swaying 12/8, and the entire A section includes a continuous duet between violin and cello, while in the B section the three instruments alter between rhythmic unisons and the sixteenth-notes' hide-and-seek game.

The third movement (*Rasch*) has a restless, even haunted character in C minor – again starting with the ambiguous G tone like in the previous movement. Although one first might expect a simple ABA formal scheme, Schumann surprises us with yet another new section in the submediant A♭ major after the A returns, thus making the movement a rondo (ABACA). The final movement (*Kräftig, mit Humor*) begins with a weak-beat accented hearty theme in G major. After the uncertainty, gloominess and melancholy of the previous movements, the rondo finale seems to suggest that all the worries have been at least temporarily cast away.

Overview of the opening movement

The opening movement of the G-minor trio is perhaps the least conventional sonata-form work in the examined works of this study. For instance, we do not attain a cadentially secured secondary-key tonality (III) until the final moments of the exposition, in bar 72. Before this, however, there are multiple evaded moments where the listener's expectations are deceived. Moreover, at the parallel point of the recapitulation (bar 217) where we expect a final cadential closure – the essential

sonata closure or the completion of the *Ursatz* – to occur, Schumann writes a deceptive V–VI$^{7–6\#}$ cadence where the submediant chord simultaneously begins a new coda section, marked as *Rascher*. Although a deceptive or evaded cadences at the end of the recapitulation section is not so uncommon even in Classical sonata-form works, the fact that there has not been *any* secured tonal closure in the secondary-theme zone of the recapitulation makes this moment particularly drastic. Indeed, the narrative of the entire movement is, because of its multiple evasions, extremely anxious, which makes it a fruitful example to study from the viewpoint of *unfulfilled motion*.

5 LOCAL MOTION: MENDELSSOHN OP. 49, I (*MOLTO ALLEGRO ED AGITATO*)

5.1 INTRODUCTION

In this chapter I will begin to investigate the analysis and performance relationship in a local context. I will first discuss the first movement's opening phrase, P^1 (bars 1–39), of Mendelssohn's D-minor trio from a goal-oriented point of view – in other words, I will examine its formal, structural and dramatic layout. After this, I will re-examine the opening phrase from the here-and-now viewpoint, focusing on Mendelssohn's various performance instructions on dynamics and agogics, and the ways in which performers' nuanced shaping affects the ongoing motion in a prominent way. Indeed, rather than contradicting each other, these two viewpoints are, in fact, complementary: while an awareness of the more overarching goals may justify certain expressive shaping choices, focusing on issues discussed from the here-and-now viewpoint ensures that in performance the motion towards the goal(s) remains animated and flexible.

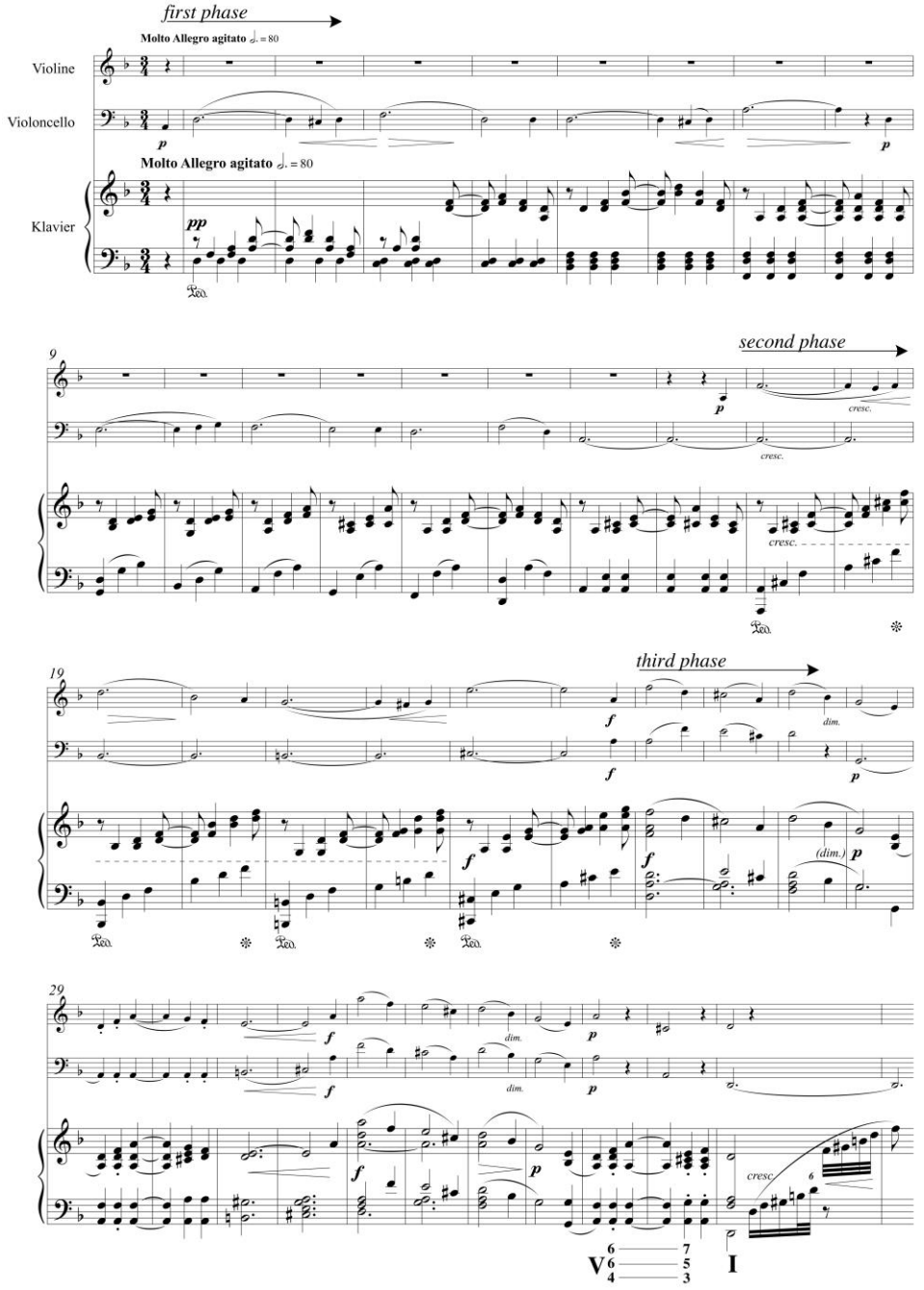
The other two examples in this chapter discuss metrical ambiguity in the local level: I shall start by considering the beginning of the second phrase of the primary-theme zone, P^2 (bars 40–67) which likewise closes in a perfect authentic cadence in the home key. Depending on which bar is understood as the metrical downbeat, the opening measures of P^2 offer multiple ways of shaping it in performance. The second example is a more complex one. Here I will discuss the dominant pedal of the transitional zone (bars 67–118, the dominant pedal starting in bar 91), where the metrical structure is extremely ambiguous for several bars: although it first seems that these bars include a hypermetrical transition from odd-strong to even-strong bars, there is yet another metrical shift that 'corrects' the structure back to odd-strong before the start of the secondary-theme zone. Moreover,

in this example I will argue that performers may either play these bars in accordance with the other members' meter or they may choose to disagree for the suggested new meter. These explorations can be heard as audio material created by our trio.

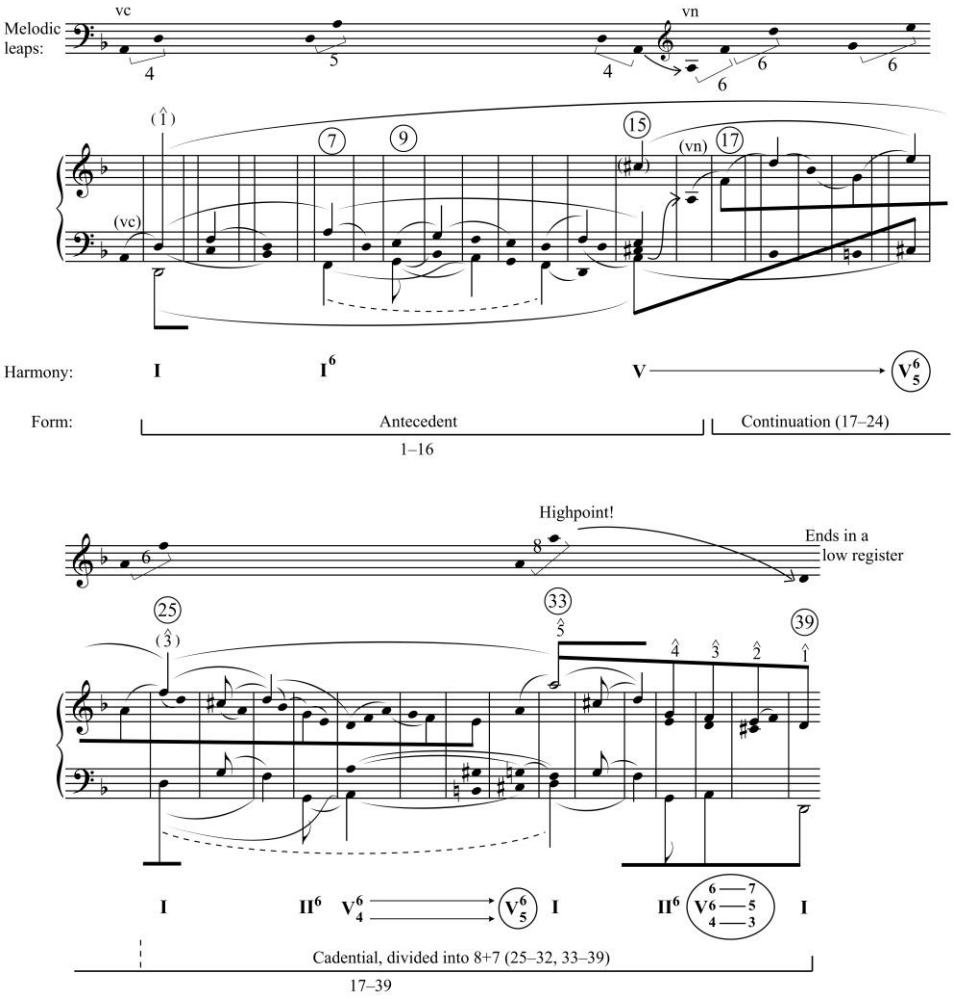
5.2 THE OPENING PHRASE P^1 (BARS 1–39)

GOAL-ORIENTED VIEWPOINT: EXAMINING STRUCTURE, FORM AND DRAMATIC MOTION

The opening phrase (P^1) of Mendelssohn's D-minor trio, bars 1–39, divides into three phases (Example **5.1**): in the first phase (bars 1–16) the primary theme is played by the cello, accompanied by the piano's syncopated eighth-note pulse; in the second phase (bars 17–24) the violin takes over the melodic line, while the cello becomes the bass line together with the piano's left hand. In the third and final phase (bars 25–39), all the instruments begin to play in rhythmic unison and the harmony accelerates to one chord per measure. The final phase closes the opening phrase with a perfect authentic cadence in bars 38–39.



Example 5.1 Mendelssohn Op. 49, I, bars 1–40.



Example 5.2 Mendelssohn Op. 49, I. Form and voice leading of the opening phrase.

Example **5.2** presents the harmony and voice leading together with formal considerations. It shows that the antecedent is followed by a continuation and a cadential module rather than a consequent, thus forming a hybrid 1 phrase type, to use William Caplin's definition (Caplin 1998, 59). Moreover, the example suggests that despite the quite clear three-phase division, the music still flows from one phase to the next: between the antecedent and the continuation there is a conjunctive dominant chord, while the continuation and cadential phases are connected with the

chromatic bass line motion (V^6_5–I).[1] In addition to the bass line, the melody enhances the feeling of motion and continuity over the units: when the violin takes over the primary theme in the beginning of the second phase, the melodic line does not cease, since the violin begins its part with A, which was also the final note in the cello (although in a different register) before it becomes part of the bass line. The violin then continues a gradual melodic ascent until f^2 in bar 25 where the cadential phase begins. Interestingly, during the cadential phase, the first cadential six-four chord in bar 29 suggests that a perfect authentic cadence will be reached in a few measures. However, the music turns, once again, to a V^6_5 chord (as in bars 23–24) and then to a tonic chord in bar 33 with a^2 in the violin, which is also the melodic peak of the opening phrase. After this point, there is a rapid diminuendo back to *piano* dynamics in the lower register and the opening phrase finally closes with a successful perfect authentic cadence.

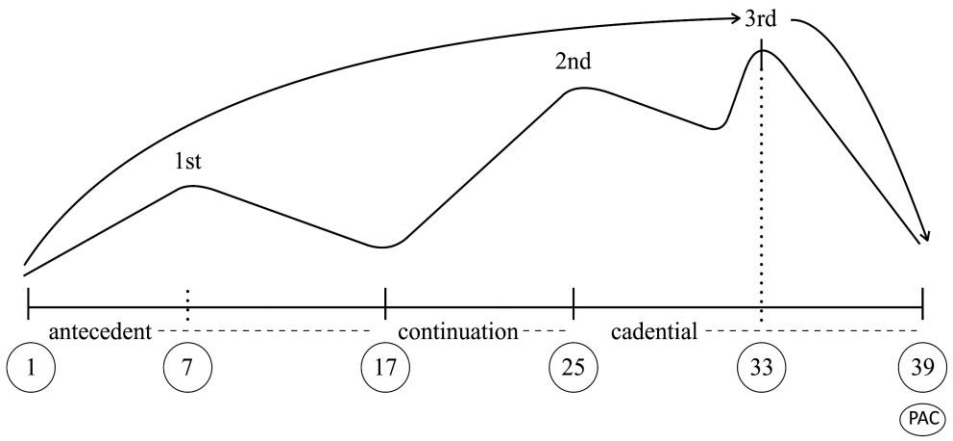
Although the harmonic goal of the opening phrase, the perfect authentic cadence, is not reached until bar 39, the melodic motion towards the high a^2 in bar 33 is significant: in addition to being the dramatic goal of the opening phrase, the high point in bar 33 also marks the arrival of the structural top note, *Kopfton*, preceded with a wide initial arpeggiation, D–F–A.[2] Apart from being the highest note so far, the 'Kopftonness' can also be justified by other factors, such as the widening of the melodic leaps, which are shown in a separate staff in example **5.2**: when the violin enters in bar 17, the initial fourth leap (A–D) of the cello is replaced by a sixth leap (A–F). As it turns out, the sixth becomes the most important interval in the violin, since the gradual ascent between bars 17–25 includes hidden polyphony with a parallel sixth motion. Only the final a^2 is approached with an

[1] The local functions of the two dominant chords in bars 15 and 17 are to some extent different: while the dominant of bar 15 at that moment functions as a backward-relating dominant, the dominant in bar 17 is both a continuation of the previous dominant and the beginning of a new module. In the voice-leading graph, I have interpreted that the opening phrase does not include an interruption but rather one large tonic prolongation between bars 1–25. This interpretation thus emphasises the dynamic motion until the final closing cadence, something that also reflects my idea on how to perform the phrase.

[2] Although the small a already occurs in the cello line in bar 7, I have not yet interpreted it as the *Kopfton*. Instead, I hear the small a in bar 7 as part of a larger, more overarching melodic process that culminates in bar 33.

octave – the largest leap so far – which emphasises the importance of bar 33 as a moment of culmination.[3]

As was noted in chapter 3.4, high points too can be hierarchic (Agawu 2008, 61; Uhde & Wieland 1988, 212–18). And, indeed, a closer look reveals that each phase of the opening phrase contains a more local melodic goal, depicted as dramatic curves in example **5.3**: in the antecedent, the cello reaches its peak in bar 8 (small a), which is then followed by a descent; in the continuation, the violin gradually ascends until the f^2 is reached in bar 25, which simultaneously begins the third, cadential phase. While the first and second phases have a more gradual motion towards the melodic peaks, the cadential phase is more turbulent: firstly, it begins with the highest note (the aforementioned f^2) so far, then quickly moves one octave lower in the next few measures until it makes the final dramatic octave leap to the high a^2 in bar 33.



Example 5.3 Mendelssohn Op. 49, I, dramatic contour (bars 1–39).

[3] Swinkin makes similar notions when analysing the opening phrase of Beethoven's C-minor String quartet, Op. 18 No. 4 (first movement), bars 1–13: 'The long period of time and the wide range we traverse en route to that *Kopfton* afford ample opportunity for establishing crucial motives […]. Heck, even the anacrusis-to-downbeat figure is significant in being the first in a chain of increasingly wide upward leaps: a perfect fourth, a major sixth, a diminished seventh, and finally a perfect octave in measure 10' (Swinkin 2016, 106). The only difference is that in the Beethoven example, the *Kopfton* occurs after the diminished seventh interval (B–A♭) and the octave leap (F–F) starts the local descent to $\hat{1}$ in the upper line.

Let us not forget that while the motion from one phase to the next is effortless, the phrase structure itself is not as predictable as one might think at first. For instance, if we consider the antecedent, which is constructed as a small sentence (4+4+8), we might expect that the following material would be a 16-bar consequent, thus forming a parallel period. Instead, Mendelssohn writes continuation-like material (second phase) that ends with a cadential module (third phase). In short, while the overarching goals of the opening phrase are, in retrospect, well-articulated – the perfect authentic cadence at bar 39 and the high point/*Kopfton* in bar 33 – the path towards these goals does include evaded moments and surprising turns: First, the 16-bar antecedent that ended with the dominant chord, does not continue to a parallel pair, but instead the half cadence in bar 15 *becomes*, to use Janet Schmalfeldt's term, part of a longer dominant prolongation as was suggested in the voice-leading graph (Example **5.2**). Second, the cadential evasion in bars 31–32 postpones the final closure for seven bars. Both instances heighten the tension towards the finally reached dramatic and structural goals in bars 33 and 39.

How are these aforementioned goals – formal, dramatic and structural – related to issues of shaping that performers do when rehearsing a work? To begin with, while it may first appear that smooth motion from the beginning until the end is fairly easy to maintain because of the fast tempo and the clear roles of each instrument, the question of continuity versus discontinuity between the three phases is somewhat more complicated. For instance, when a clear formal boundary occurs with a cadence, it is fairly usual that performers slow down slightly between the two sections, or make a brief 'comma' (see for instance Huron 2006, 314–315). And, indeed, if we take the purely participant approach, or Edward T. Cone's 'first-reading' listener, the performers may want to begin slowing down during the dominant chord in bars 15–16.[4] Another, perhaps more elegant way to shape this boundary is to emphasise continuity and slightly push ahead between the antecedent-continuation boundary. Based on our trio rehearsals, it can also enhance the effect that the dramatic high point/*Kopfton* at bar 33 becomes the goal of the *entire* opening phrase, not just the continuation beginning from bar 17. Indeed, I

[4] For instance, in our first rehearsals, the violin tended to enter somewhat languidly in the upbeat to bar 17.

suggest here that maintaining motion in 'lesser boundaries', as was proposed by Cone in the Chopin Prelude (Cone 1968, 42–44) creates 'happy consequences' discussed by Schachter (Schachter 2000, 55): by shaping the ongoing music with subtle agogic choices, it gives space to the structurally and dramatically important moments, in this case the high a in bar 33.

Until now, we have examined the opening phrase from the perspective of its various musical goals, which is extremely important when performers shape broader gestures that aim towards structural or dramatic moments. In the following section, I will take a different approach, however. More precisely, I will examine how a more deliberate use of agogics, especially in the antecedent phase (bars 1–16), opens up fascinating shaping possibilities in performance.

HERE-AND-NOW VIEWPOINT: THE TACIT AGOGIC INTERPLAY OF THE ANTECEDENT (BARS 1–16)

> Musical interpretations are communicated through the expressive parameters of timing, dynamics, articulation and timbre, among others. A score might contain a variety of expressive indications to aid the performer's interpretative choices, but, as mentioned earlier, expressive notation lacks precision. The performer will still have to decide how strongly to play a *forte*, how long to hold a fermata or how short to make a staccato (Reid 2002, 106).

Dynamics, agogics, timing and articulation, as proposed by Stefan Reid (Reid 2002), belong to issues that musicians can endlessly debate while rehearsing a work for performance. Furthermore, many agogic inflections executed by performers, as recent performance studies have suggested, are not necessarily marked in the score but are more undefined in their nature (see for example Cook 2013; Leech-Wilkinson 2011). Let us now indulge ourselves in the rich surface details, where structural issues are temporarily set aside.

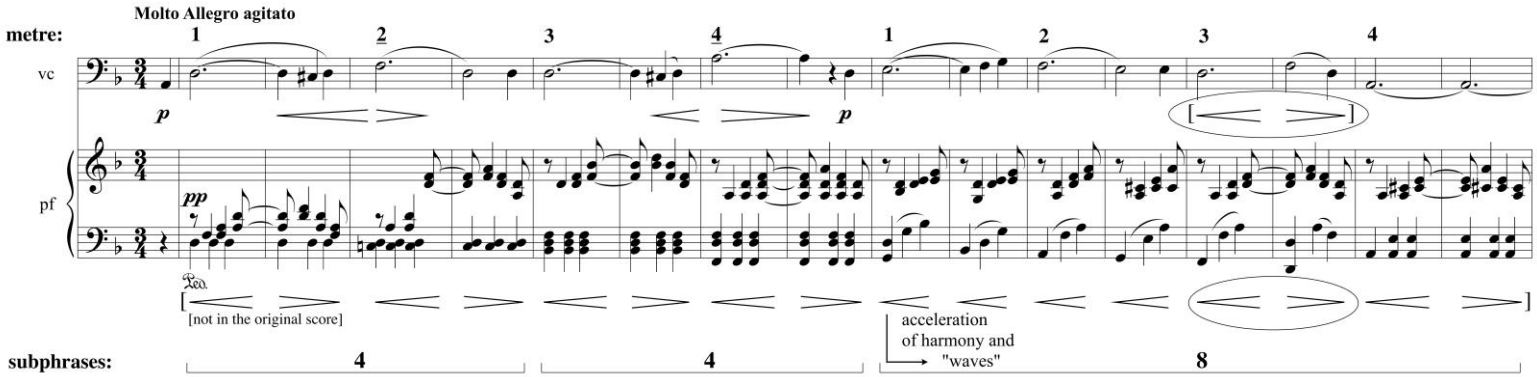
When our trio was rehearsing the work, we often discussed how to perform the agogic 'hairpins' in bars 2–3 and 6–7 which emphasise tones f and a in the cello part (Example **5.4**). After some try-outs and experiments, we became aware that the piano's part can also be understood as including a wave-like up and down motion in

bars 1–8, although Mendelssohn does not actually write any hairpin (< >) symbols for the piano. Indeed, it is like the piano's right hand accompaniment is in 'agogic dialogue' with the cello part, as depicted in example **5.4**. The example also shows that the harmonic acceleration (one chord per bar) changes the agogics in bars 9–12 so that the piano's wave-like motion now only goes upwards.[5]

The final four measures of the antecedent (bars 13–16) open up yet more possibilities for performers' shaping. Especially interesting is the cello's leap from d to f between bars 14–15, which is complemented by the piano's bass line, F–D. A more detailed examination further reinforces the local importance of bar 14, since the pianist plays the bass line in octaves for the first time (also, the bass D is the lowest note so far). This motivated our cellist to further emphasise the leap with a yet another agogic hairpin < >, even though this too is not written in the score. However, it is noteworthy that when this happens, the cello and piano's agogic peaks are at the same place for the first time. Yet perhaps more importantly, a more nuanced shaping in bars 13–14 as suggested, also prevents the cello's low A in bar 15 from becoming too poignant. This in turn avoids the potential rhythmic squareness of a regular 16-bar phrase with regular duple meter.[6] Thus it is not only the harmonic and melodic continuity between the antecedent and continuation, but also the suggested agogic shaping in bars 13–14, that together support the music's flow from one phase to the next.

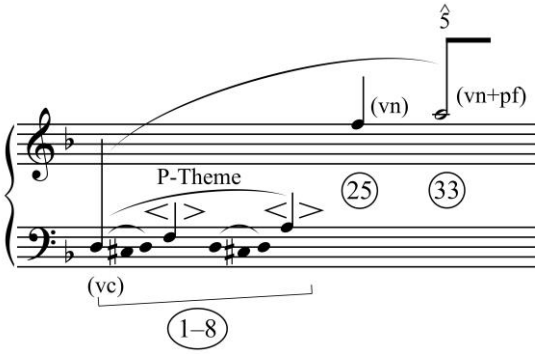
[5] Although here discussed as one chord per measure, the chordal function only changes every other bar: II^6_5 and $-^4_3$, V^6_4 and $-^4_2$, and I^6 and $-^5_3$.

[6] Indeed, according to Rothstein, in many 19th-century works there is a constant danger of 'too unrelievedly duple a hypermetrical pattern, of too consistent and unvarying a phrase structure' (Rothstein 1989, 184–185). Mendelssohn, as Rothstein writes, was one of those composers who 'managed to solve the Rhythm Problem most of the time' (ibid., 190).



Example 5.4 Mendelssohn Op. 49, I, bars 1–8:
suggested agogic dialogue between piano and cello.

Finally, the agogic emphasis on tones F and A in bars 1–8 may also be perceived as motivic hints for the more overarching initial D–F–A arpeggiation to the *Kopfton*:



Example 5.5 a suggestion of motivic connection between cello's bars 1–8 and the initial arpeggiation.

Have such 'motivic parallelisms' (see especially Burkhart, 1978), which exist in various hierarchical levels from the point of Schenkerian analysis, any relevance in performance?[7] It is doubtless left for the performers whether they want to bring them out in some special way or leave them 'for quiet reflection', as has been suggested by Joel Lester (Lester 1995a, 210). In my view, the awareness of the parallelism between the initial arpeggiation and the cello's introduction of the primary theme enhances the idea of unity in the opening phrase. Thus I will close this section by proposing that the agogic shaping of the cello's F and A tones in bars 3 and 7 are not merely agogically more intense moments in the ongoing, bar-to-bar motion, but they potentially signal (or forecast) the more overarching melodic arch of the opening phrase that reaches its dramatic fulfilment over twenty bars later, in bar 33.

[7] As Charles Burkhart writes, '[t]he particular means of execution—be it articulation, rhythm, tone color, dynamics, or a combination of these—that the player employs to interpret the diminutions on the surface will depend ultimately on his personal style. But he cannot even recognize the diminutions, much less interpret them, until he knows what is being "diminuted"—has a clear conception of the underlying levels' (Burkhart 1983, 112).

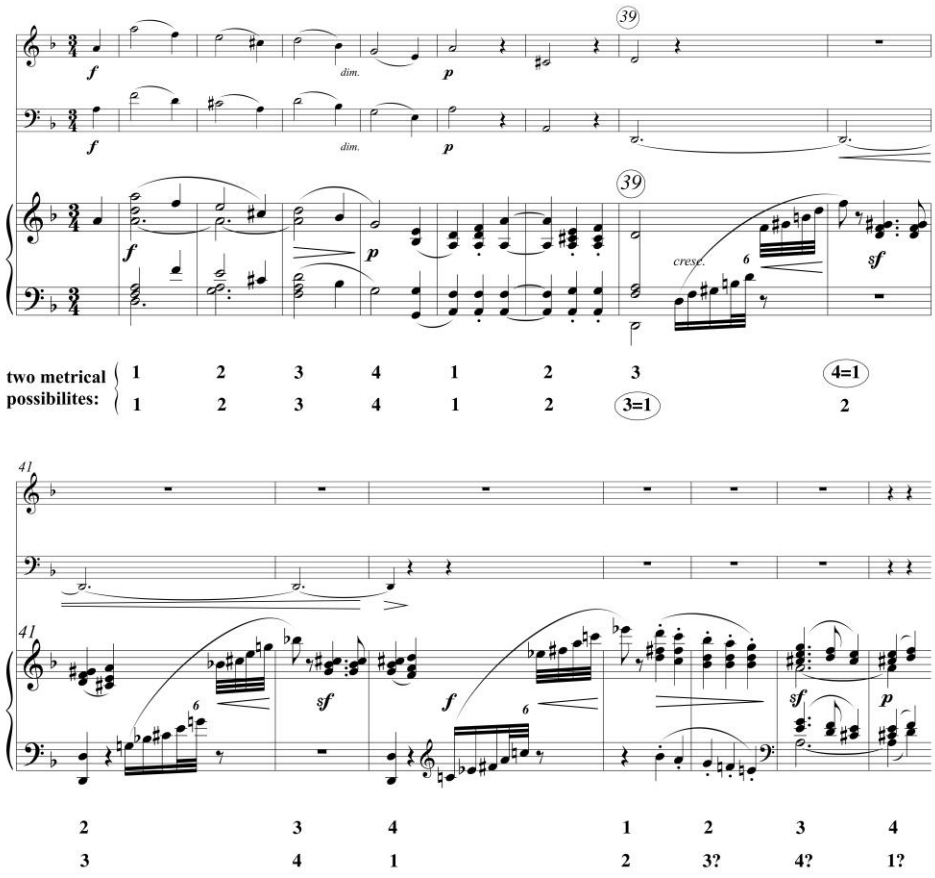
5.3 TWO EXAMPLES OF METRICAL AMBIGUITY

Some scholars, such as Lester (1995a) or Swinkin (2016, 45) believe that a single performance should never be ambiguous at the time it is performed. While I agree with Swinkin regarding the idea that it is better to present an articulated interpretation than a 'neutral' view, there are situations where ambiguity, especially from the viewpoint of metrical structure, can be distributed between ensemble members. Let us examine these cases more thoroughly.

NEW METER OR SYNCOPATED METER? THE CASE OF CONFLICTING DOWNBEATS IN THE BEGINNING OF P^2 (BARS 40–67)

Regular meter, along with harmony, serves as a crucial determinant in creating stability in music. In the previously discussed opening phrase (bars 1–39), the meter was fairly stably presented in duple hypermeter, either as wider 8-bar or more local 4-bar hypermeasures.[8] However, in the following phrase, P^2 (bars 40–67), that still belongs to the primary-theme zone, the location of the hypermetrical downbeat becomes more ambiguous. One reason for this is in the way Mendelssohn truncates the end of P^1: the final cadential phase (bars 25–39) only lasts 15 bars (8+7) instead of the expected 16. The question is, do we have a hypermetrical shift from odd to even-numbered bars when the new capriccio-style theme starts in the upbeat for bar 40, or does the piano's bass octaves in bars 41 and 43 suggest that the odd-numbered structure is still prominent (Example **5.6**)?

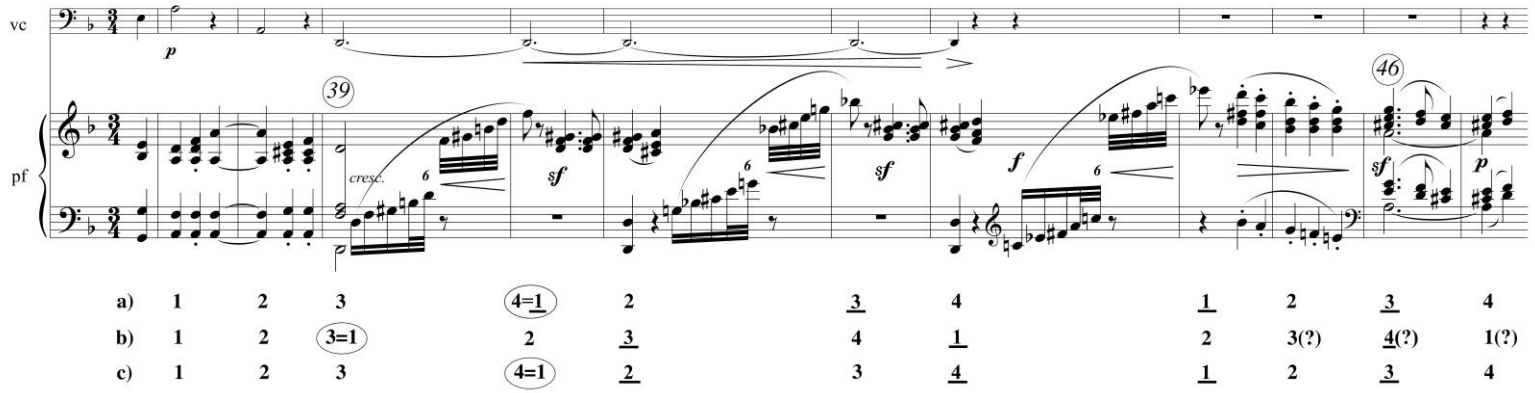
[8] Since the harmony changes only every second measure between bars 1–24, one could easily hear the opening phrase in 6/8 meter rather than in the notated 3/4. For example, Janet Schmalfeldt writes, 'within his Molto allegro ed agitato tempo, Mendelssohn unquestionably asks his performers and score readers to recognize that the content of two notated measures stands for that of only one "real" measure' (Schmalfeldt 2011, 164; see also Caplin's idea of 'real' and 'notated' bars [Caplin 1998, 35]).



Example 5.6 Mendelssohn Op 49, I, bars 33–57.

The ambiguity of this brief example is also due to its somewhat unexpected *sforzando* marks, especially the one found in bar 46. For instance, if we keep the odd-numbered bars as our primary metrical rendition, the ***sf*** in bar 46 certainly questions this interpretation. On the other hand, the ***sf*** may be understood as a 'phenomenal accent', which does not necessarily disturb the larger ongoing metrical structure, but rather forms a syncopation against it (see Lerdahl and Jackendoff 1983, 17–18; 283–84). As Lerdahl and Jackendoff write:

> By *phenomenal accent* we mean any event at the musical surface that gives emphasis or stress to a moment in the musical flow. Included in this category are attack points of pitch-events, local stresses such as sforzandi, sudden changes in dynamics or timbre, longs notes, leaps to relatively high or low notes, harmonic changes, and so forth (ibid., 17).



Example 5.7 Three metrical readings, including the performers' 'phenomenal accents' (underlined), which either correspond with the main meter or act as syncopations.

The boundary of P^1 and P^2 – the closing cadence of the opening phrase and the piano's upbeat gesture towards the high f^2 tone – inspired our trio to make several experimentations with its shaping. For instance, we considered whether the pianist should concentrate on bringing out the melodic peaks of the right hand in bars 40 and 42, emphasised with a slight crescendo hairpin mark, or, rather, focus on the low bass octaves in bars 41 and 43, thus emphasising an end-accented phrase shaping? And what about the case of phenomenal accents? Can we emphasise the musical surface as being syncopated while the metrical downbeat falls in some other bar? Example **5.7** suggests three possibilities.

In the first reading (a), the hypermetrical shift from odd to even bars happens in bar 40, and the pianist shapes the music mainly from the point of view of the melody, thus favouring a beginning-accented grouping. The highest notes (F in bar 40 and B♭ in bar 42) are both metrically and expressively significant, and emphasise the arrival of the local melodic peaks.

In the second reading (b), the metrical reinterpretation (3=1) already occurs in bar 39, although it does not necessarily require any phenomenal accent in the pianist's part – after all, the tonic chord in bar 39 should be played in a *piano* dynamic. In this reading, there is both a phrase overlap and a metrical reinterpretation in bar 39, but no metrical change from odd to even bars.[9] However, the subphrase shaping in performance becomes 'end-accented', since the expressive emphasis is now leaning towards bars 41 and 43 where the bass octaves, together with the right-hand chord (with suspensions in the first beats), are more prominent.

In the last reading (c), the hypermetrical shift occurs in bar 40 as in example (a). However, this time the performers' expressive, phenomenal accents remain in bars 41 and 43 as seen in example (b) – the difference is that they are now syncopated against the main meter.

In the numerous existing recordings of this trio, the passage is carried out in various ways. For example, Artur Rubinstein plays bar 39 very softly and then actively heads for the high f^2 in bar 40.[10] Eugene Istomin also performs bar 39

[9] Here there is naturally no change from odd to even, since bar 39 is also an even bar.

[10] *Mendelssohn/Ravel: Arthur Rubinstein, Jascha Heifetz, Gregor Piatigorsky* (1951). RCA Victor Red Seal. EO-LRC-3939. There is also another excellent version, recorded at Rubinstein's

without an emphasis, but he then shapes the following dotted rhythms and arpeggios more *rubato* (in this case, he speeds up in the beginning of bar 40 so that the second beat with the dotted ***sf*** rhythm begins slightly too early).[11] Both Istomin and Rubinstein thus mark bar 39 as an ending, yet with soft dynamics, and then emphasise bar 40 as a new metrical downbeat. The strong bass octaves in the odd bars (41 and 43), rather sound like a syncopation (or an accented second beat) in these recordings, as was suggested in example c).

Indeed, shaping bar 40 as new metrical downbeat is not only favoured in most performances, but also in the analyses of these bars. Schmalfeldt, for example, writes how 'it is difficult either to hear or to perform the downbeat of m. 40 as anything other than the strong first beat of a "real" measure at mm. 40–41; this would rule out the idea of an elided cadence at m. 39' (Schmalfeldt 2011, 166). But Martha Argerich does precisely this: she plays a ***sf*** on the first beat of bar 39, clearly reinterpreting bar 39 as the new metrical downbeat (3=1). Here the following bass octaves (41 and 43) thus reinforce the odd-numbered metrical pattern.[12] Whether intuitively or intentionally, Argerich's interpretation stands out as very different when compared to the others I am aware of.

In my own view, example (c) best captures the flexibility of this passage, from the viewpoint of both the piano and the cello part: the upbeat to bar 40 marks a new phrase beginning, yet the phenomenal accents still remain in the odd-numbered bars, changing only in bars 44–47 where 45 is clearly de-emphasised and bar 46, marked ***sf***, resolves the syncopated quality of the previous bars. Example (c) could suggest an example of Samarotto's 'shadow meter' where the metrical shift occurs in bar 40 but the 'old' meter remains as a 'shadow', until the phenomenal accent of bar 46 eliminates the shadow meter, respectively.

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home in 1959 where the metrical emphasis by Rubinstein is exactly the same (found in Youtube, for example).

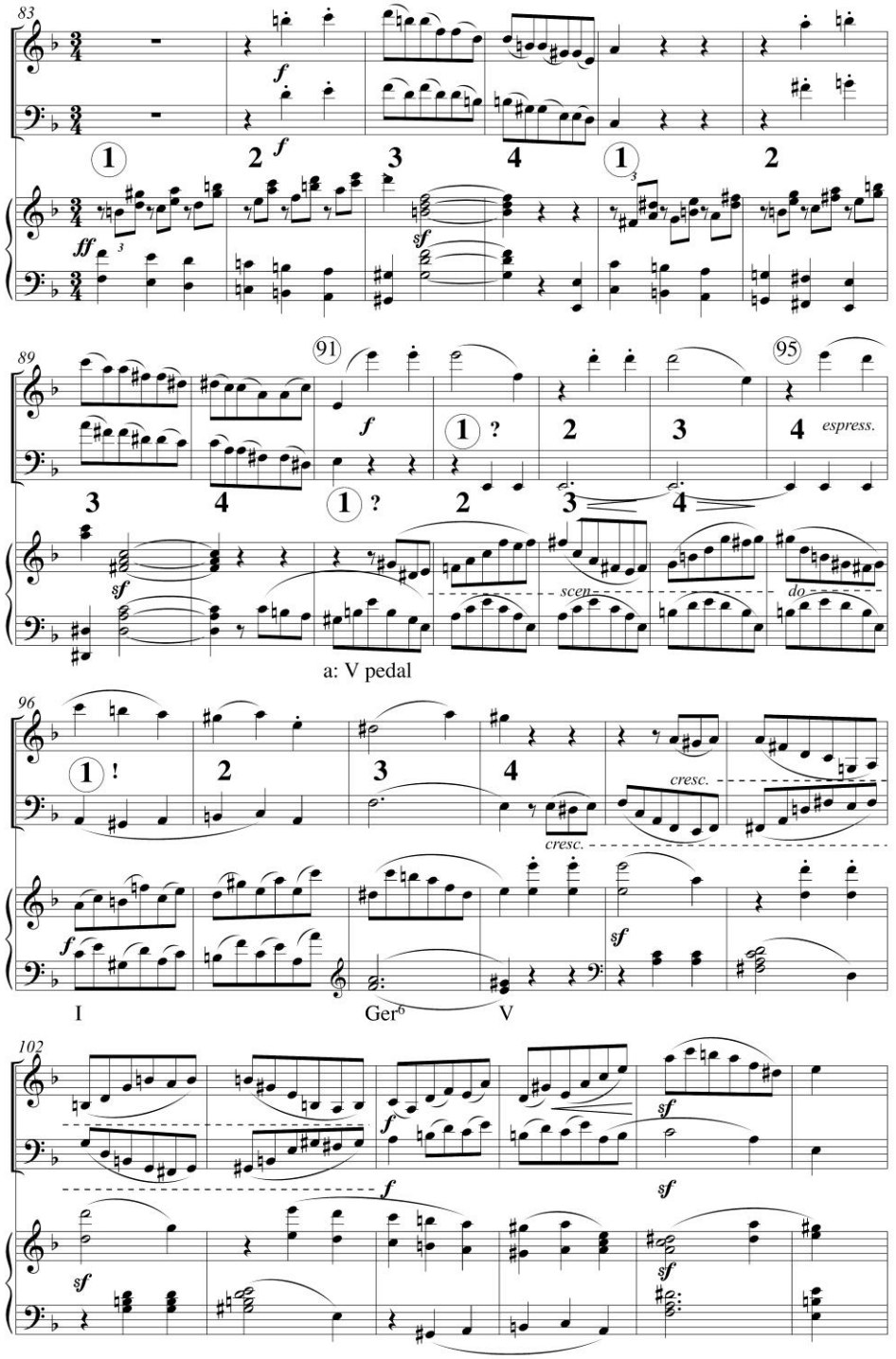
[11] *Mendelssohn: Piano Trios Nos. 1 & 2, Opp. 49, 66* (Eugene Istomin, Leonard Rose, Isaac Stern). (1995, originally released in 1969). Sony Classical.

[12] *Brahms: Sonata for Two Pianos, Op. 34b/Mendelssohn: Piano Trio No. 1, Op. 49.* Martha Argerich, Renauld Capuçon, Gautier Capuçon. (2003). Emi Classics. Catalog #: 57504. In the Argerich-Capuçon-Capuçon recording the change to the even-measured metrical pattern can be heard happening, eventually, when the strings come in on the upbeat of bar 48.

Finally, while it seems that this shaping is solely up to the pianist, the interaction between the cello's low D-pedal tone with its growing intensity towards bar 43 – an odd bar – may greatly affect the perception of metrical structure. Thus the cellist may either support or disagree with the pianist's metrical shaping by either emphasising the odd-numbered structure or de-emphasising it. Indeed, this is not the only example where one of the instruments is unwilling to accept the meter suggested by the others. In the next section, I will discuss a more peculiar example of metrical shifting with multiple coexisting metrical processes.

Disagreement with instrumental parts: 'conflicting downbeats' or hypermetrical transition?

I will now turn to an issue that occasionally occurs in chamber music: a passage where different instruments potentially carry differing metrical structures. In the Mendelssohn trio, an example of this kind is found at the end of the transitional zone, from bar 91 onward (Example **5.8)**:



Example 5.8 Mendelssohn, Op. 49; I, bars 83–107, two competing metrical structures.

As can be seen, in bar 83 the piano begins a frenetic triplet figuration on the diminished seventh chord, creating a wave-like up-and-down motion (piano up, strings down), which is then repeated between bars 87 and 90. After this, a secondary-key dominant pedal[13] starts in bar 91, where the violin introduces a new theme with its characteristic seventh leap downwards, complemented by the cello's rhythmical quarter notes in the following bar.

Until the beginning of the dominant pedal, there has been a regular four-bar hypermeter throughout the transitional-zone (bar 67 ff.). After this, however, things become problematic, especially around bar 95: first, the cello part maintains the long bass note instead of playing a bass tone on the first beat, and this dramatically weakens the metrical downbeat effect of bar 95. Notice that in bar 94 the cello also omits the two expected quarter notes that in bar 92 were an answer to the violin's quarter notes in bar 91. Second, in bar 95 the piano part seems to be in the middle of a harmonic and melodic progression with its eighth-note figuration that is moving towards the A-minor chord, reached in bar 96.[14] And third, the violin melody in bar 95 sounds like an upbeat to bar 96, making bars 96–99 a four-bar subphrase. As a result, during the dominant pedal a new four-bar hypermetrical pattern emerges that is competing with the old metrical structure, which means that there are two 'conflicting downbeats', to use the term coined by Rothstein (Rothstein 1989, 199).[15] It is like we began with one metrical pattern, but suddenly realised that somewhere on the way the pattern shifted, and, most importantly, not at the same time for each individual player (see again Example **5.8**).

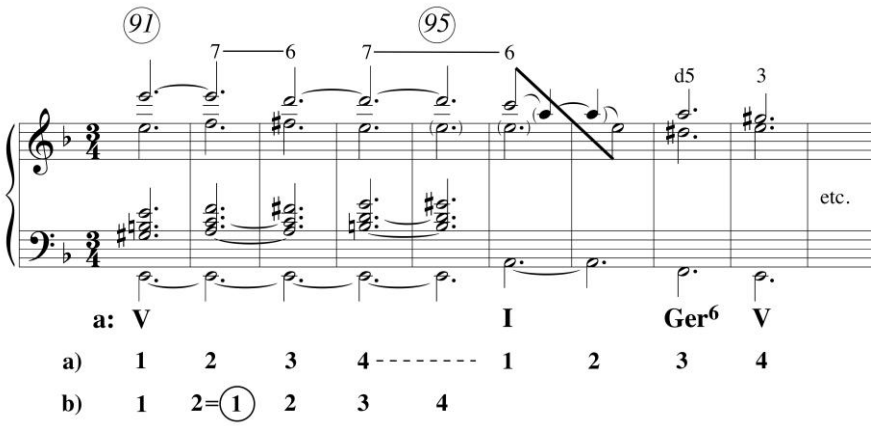
Example **5.9** presents a harmonic reduction of these bars. It shows that between bars 91–95 there are ascending parallel sixth chords above the bass note (E). The violin melody carries a 7–6 suspension from bar 92 onwards, which hints that the metrical downbeat is shifting towards even bars, since dissonances are usually in metrically stronger positions than their resolutions. Notice, however, that Mendelssohn delays the seventh resolution for one bar between bars 94–96. Thus he

[13] In this case, V of A minor, although the secondary theme eventually begins in A major.

[14] As such, the A-minor chord in bar 96 still belongs to the dominant pedal and is not an arrival in the broadest sense.

[15] Harald Krebs has also examined the phenomenon, calling it 'displacement dissonance' (Krebs 1999, 33–45).

succeeds in placing both the dissonance (seventh in bar 94) and the resolution (sixth in bar 96) in a metrically strong bar. Letters (a) and (b) present the two different metrical readings of these fascinating bars, as suggested in example **5.8**: in reading (a) the odd-numbered structure is preserved until bar 94, however bar 95 is no longer a hypermetrical downbeat but rather expands the fourth beat of the four-bar hypermeasure; reading (b) directly changes the new metrical downbeat to bar 92 when the chain of suspensions begin. In both cases, bar 95 is metrically strong, but the way we get there is different.



Example 5.9 Mendelssohn Op. 49, I, bars 91–99; harmonic reduction and metrical structure.

The metrical unsettledness of the 'transitional theme' during the dominant pedal opens up various shaping possibilities in performance. For instance, if there are two competing metrical structures as in this case, should the performers stick to the meter established earlier for as long as possible, or should they change to the new meter as soon as they can? Or should each player just follow his or her own part, without trying to reach any real agreement on the metrical structure?

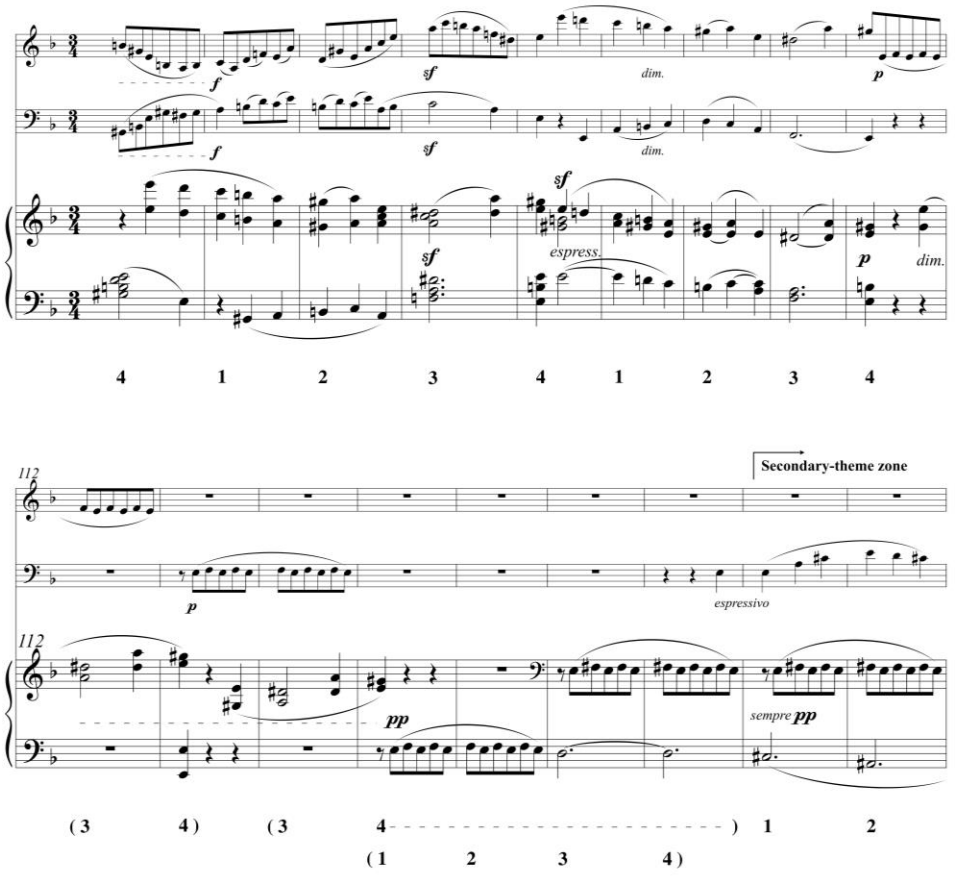
In our rehearsals of this movement, we experimented with playing the dominant pedal passage according to different metrical structures. In the first version (Media example **3**), we try to shift the metrical shaping in such a way that the violin melody sounds first like a downbeat (bar 91), then as a weaker upbeat from bar 95

onwards.[16] For this, we added a slight rubato in bar 95 (notice that Mendelssohn writes an 'espressivo' mark here, which would justify the slight holding back in time) to emphasise that the metrical position is now weak and to agree that the downbeat shifts to bar 96. In this version, the new metrical structure is gradually accepted, rather than immediately.

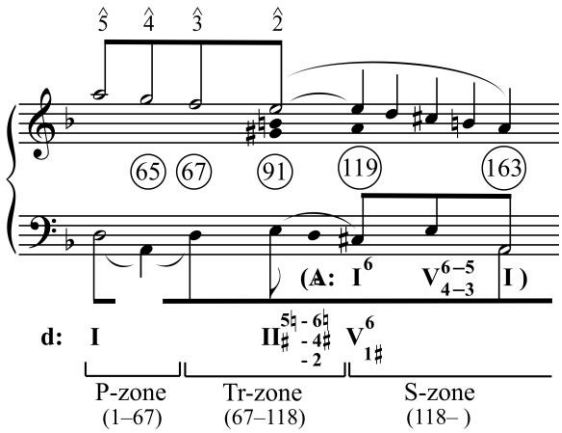
Our second version (Media example **4**) is more 'radical', since we now directly interpret bar 92 as a new metrical downbeat, which means that the new metrical pattern is accepted right from the beginning.[17] We also tried to emphasise the ambivalent quality of bar 91 with more rubato than in the first version. I as a pianist took part in the metrical shaping by playing the up-and-down figuration between bars 92 and 95 actively, so that the F–F♯–G–G♯ motion is emphasised. However, the metrical structure of the 'radical' version was not accepted by everyone: the cellist maintained the old meter at the beginning, even though she too had to accept the new meter by bar 95.

Perhaps surprisingly, the new metrical shift does not last very long, since there is yet another metrical change, which brings us back to an odd-bar metrical structure before the secondary-theme zone starts in bar 119 (Examples **5.10a** and **b**): In bars 110–111, the augmented sixth chord (It^6) resolves to an E-major chord, the dominant of A minor/major. This chord progression is repeated twice (fragmentation), in bars 112–113 and 114–115, which also creates the impression that the metrical structure is repeated – in this case, 3 and 4. In bar 115, the dominant chord stays for four bars, although it changes to V^4_2 to create a smooth boundary between the transitional zone and the secondary-theme zone, which starts on a I^6 chord and begins a large auxiliary cadence towards the structural dominant, reached in bar 163. The meter in bars 115–118 can be perceived on two levels: on the one hand, 4 is expanded for four bars (4 - - -), on the other hand, bar 115 begins a new four-bar hypermeasure. This means that from the broadest perspective, the dominant pedal of the transitional zone does not qualify as Temperley's hypermetrical transition.

[16] Direct link: https://soundcloud.com/cecilia-oinas/audio-1.
[17] Direct link: https://soundcloud.com/cecilia-oinas/audio-2.



Example 5.10a Mendelssohn Op. 49, I; bars 102–121: the boundary between the transitional zone and the secondary-theme zone with a metrical shift back to an odd-numbered metrical structure.



Example 5.10b Voice leading between the transitional zone and the secondary-theme zone.

The metrical ambiguity in these peculiar examples offered a rich plateau for investigating multifaceted ensemble playing where analytical insights and performers' rehearsal experience go side by side. However, the above considerations by no means dictated how we approached these bars in the later rehearsals (or indeed in performances). Quite the contrary, when our trio tried out the various possibilities of metrical structures, we became increasingly aware of the flexibility in phrase shaping and the way individual players may affect the structure even in very delicate, nuanced ways. This is in line with Rink's notion of how, after a more detailed analytical intervention, 'one need not stay wedded to it in performance' (Rink 2002, 55) but rather to boldly head towards new frontiers, figuratively speaking.

5.4 SUMMARY

This chapter focused on local motion, considering issues of shaping and local goals at the phrase-level – both in complete phrases, such as the examination of the opening phrase, and fragments, such as the case in the two metrically ambiguous

examples. My intention here was not to offer a traditional analysis where each section of the movement would be discussed in detail, or to end up with at least a provisional conclusion on the more overarching qualities the movement entails. Rather, I offered some examples of how goal-oriented and here-and-now viewpoints operate at the local, phrase-level and how performers discuss and try out these features.

It is noteworthy that this kind of approach frequently occurs in the early stages of the rehearsal process where musicians are still trying to agree on nuanced details, not to mention the balancing and intonations problems – so familiar for any piano trio ensemble. In later rehearsals, the musicians become more concerned with the larger processes from one section to the next and the ways they may increase or decrease the manifestation of these boundaries. It is time to take a step toward the in-between motion.

6 IN-BETWEEN MOTION: MENDELSSOHN OP. 66, I (*ALLEGRO ENERGICO E CON FUOCO*)

6.1 INTRODUCTION

> Numerous of Mendelssohn's works reveal a clear (and evidently deliberate) propensity to create larger continuities by means of bridging over divisions, regardless of the formal prototype or level of structure. At the same time, an almost Mozartian clarity of form often is preserved. This might at first seem contradictory, but Mendelssohn […] was able to find ingenious ways of having his cake and eating it, too (Rapoport 2013, xv).

This chapter addresses the question of in-between motion in the opening movement of Mendelssohn's C-minor trio Op. 66. Indeed, as Erez Rapoport and many others have noted, boundaries that are somehow smoothed are a hallmark of Mendelssohn's compositional style (Rapoport 2013, xv; see also Rothstein 1989, 184–185).[1] Since many of the analytical observations of the C-minor trio focus on similar issues to in the previous chapter – local harmony and voice-leading motion, dramatic motion, metrical issues, performance indications and so on – it may seem at first that there is no real difference between examining local motion in chapter 5 and in-between motion in this chapter. However, from the point of view of performance there is a clear difference in whether we are rehearsing a *complete unit* or whether we are rehearsing how to play the ongoing music *from one unit to the next*. Moreover, while in-between motion may focus on particular, brief motion

[1] While in-between motion is relevant in Schumann's piano trios as well, by and large Schumann builds the tension towards the boundary in a more dramatic way, which makes the shift more perceptible. In fact, a clear 'smoothing' over a formal boundary in the examined Schumann trios occurs only once: the motion from the development section to the recapitulation section in the G-minor trio, where the primary theme returns in bar 146 over the dominant harmony. Here the formal and harmonic return of the sonata form is distorted, which is something that Brahms also frequently employed in his sonata-form works after Schumann.

between two boundaries, it can be also considered from a more overarching point of view, such as the motion from the primary to the secondary key during the exposition. Thus the examination of in-between motion extends to broader branches of music than the local motion that was discussed in the previous chapter.

I will start the chapter by presenting a fairly unproblematic example of in-between motion, which is the boundary between the two opening phrases of the exposition, P^1 and P^2 (bars 1–42). After this, I will discuss a more complex case, the highly original arrival of the secondary theme in E♭ major during a dramatic high point at bar 63, which maintains the transitional-like energy for some time. Remarkably, the exposition does not close in this key but eventually turns to dominant minor (v) and only produces a closing cadence, 'the essential expositional closure' in bar 140, which simultaneously begins the development section. Harmonically, the E♭-major key thus becomes an 'in-between' key, framed by the tonic and minor dominant, a fleeting major-mode moment within the otherwise minor-dominated exposition.

Finally, I will also discuss sectional in-between motion from the exposition to the development section and from development to recapitulation. In both cases, the boundaries are smoothed in a different way: while the development starts with an overlap at the concluding EEC (bar 140) and is understood only retrospectively, the preparation from the development to the recapitulation begins several bars earlier. Needless to say, in both cases, performers' shaping crucially affects the way in-between motion is perceived in performance.

6.2 Unequivocal in-between motion: the motion from P1 to P2

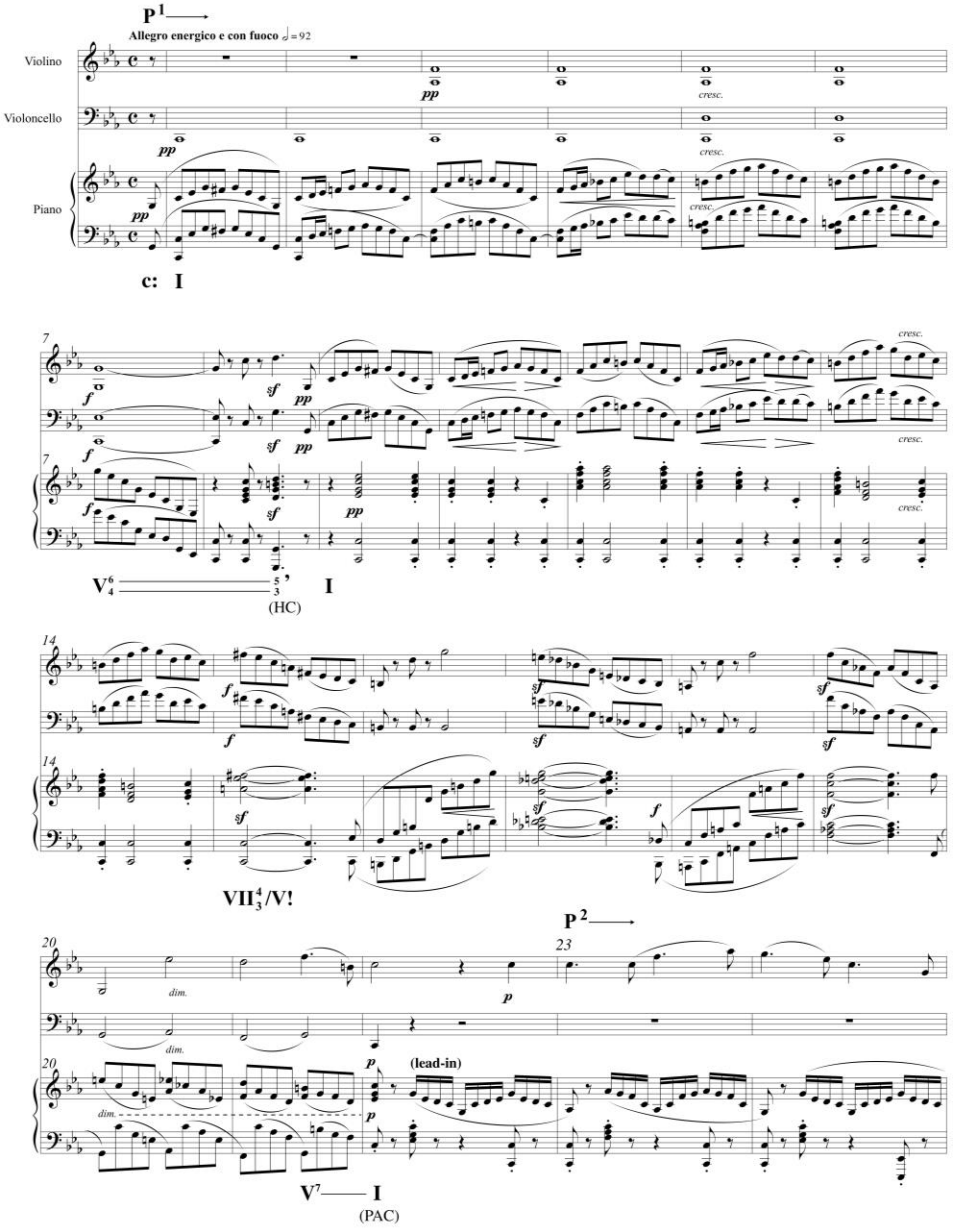
The first movement of Mendelssohn's C-minor trio begins with two large phrases that both end with a perfect authentic cadence in the home key: the first phrase (bars 1–22) introduces a forward-going, *quasi* Bach-style primary theme, while the second phrase (bars 23–42) begins with a beautifully arched lyrical melody first introduced

by the violin.[2] Like in the previous D-minor trio, I shall call these two phrases P^1 and P^2, respectively.

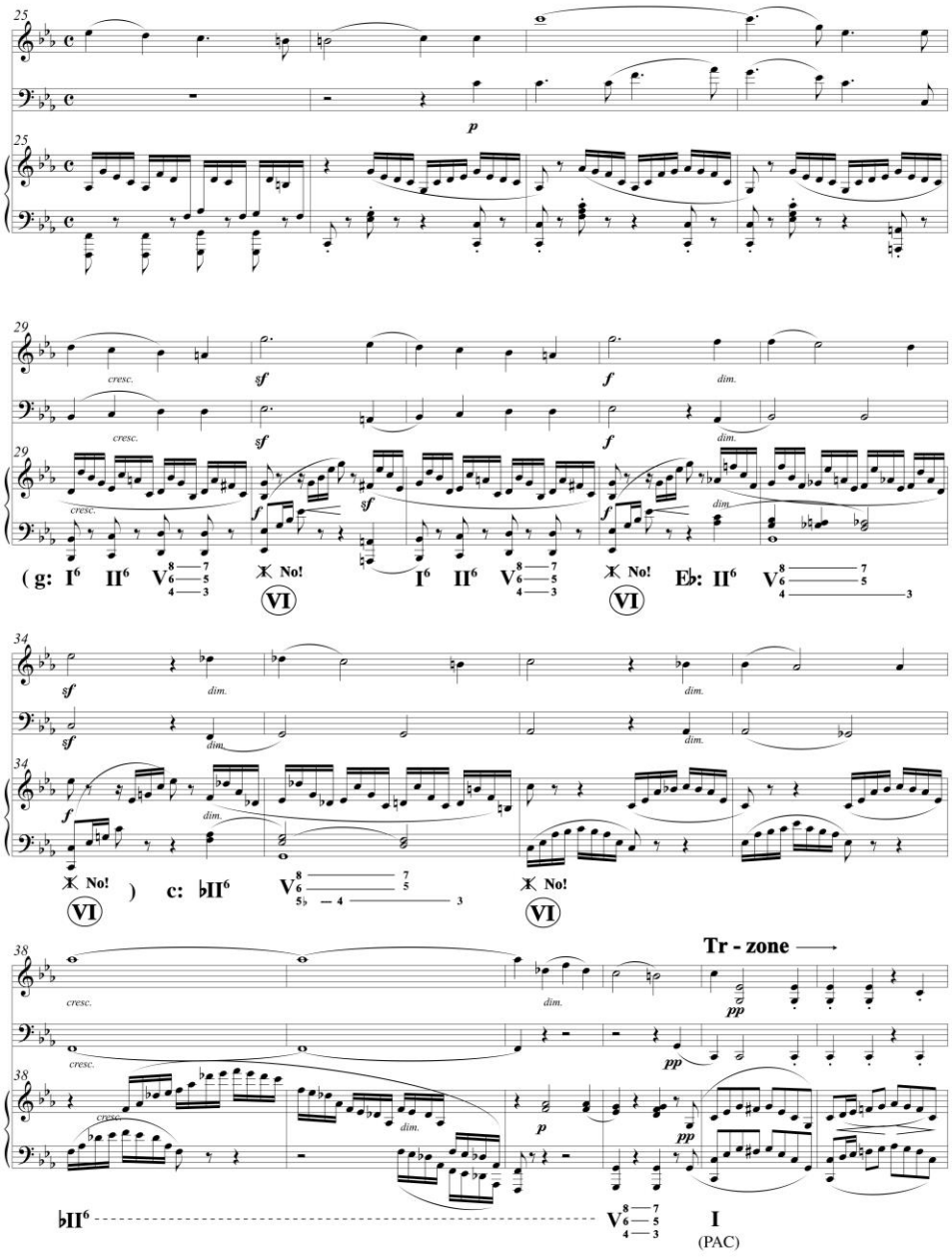
Example **6.1** provides an annotated score of bars 1–42, including some formal, harmonic and metrical considerations (Media example **5**).[3] It is worthwhile to notice that both phrases include instances where formal expectations are not fulfilled: for example, P^1 begins with an eight-bar antecedent, which might suggest that an eight-bar consequent could follow. However, in bar 15, which is the seventh bar of the consequent, a vii^4_3/V chord occurs, thus maintaining the tonic pedal, which begins a chromatic descent from C to G in the bass (bars 15–20). Since the antecedent was itself constructed as a small sentence (2+2+4), bar 15 of the consequent is the moment where we expect the cadential event to occur. Instead, it begins a new elaboration between piano and strings and concludes with a perfect authentic cadence only in bars 21–22.

[2] An earlier version of the analyses in sections 6.2 and 6.3 can be found in my article 'The "secondary parametres" and their role in musical shaping: examining formal boundaries of Mendelssohn's C minor Piano Trio from the performer's point of view.' *Res musica* 7/2015, pp. 105–115.

[3] Direct link: https://soundcloud.com/cecilia-oinas/audio-3.



Example 6.1 Mendelssohn, Piano trio Op. 66, I, P-zone (bars 1–42).



Example 6.1 (cont.)

The following P^2 (23–42) introduces a new melody in the violin, preceded by a new sixteenth-note figuration in the piano in bar 22. Since there is already a perfect authentic cadence in bar 26, the beginning of P^2 might at first seem like a post-

cadential codetta to the opening phrase (see Hepokoski and Darcy 2006, 74–77). However, things soon begin to develop in quite an unexpected way: first, there is an attempt to tonicise G minor in bars 29–30 and 31–32, and then the E♭ major (33–34). However, both attempts are evaded with a deceptive cadence. Interestingly, the cadences are about to resolve precisely on the mediant and dominant minor – those keys that will become the two secondary-key candidates later on. After a subsequent deceptive cadence in C minor (bars 35–36), a new, dreamy-like figuration begins at the piano. The submediant (VI) harmony continues to an extended Neapolitan sixth chord in bars 38–40 and finally to a concluding perfect authentic cadence in bars 41–42.

As is clear from the above considerations, P^2 is in many ways more complex than P^1: it begins with four-bar fore-phrase in bars 23–26.[4] After this, the melody is played by the cello, yet it does not conclude on the tonic in the corresponding bar (30). Instead, the chains of deceptive cadences push the conclusion even further. Thus, we have a fore-phrase (bars 22–26) and an extremely elaborated after-phrase (bars 27–42). Moreover, the evaded tonicisations to various harmonies create a transitional-like quality, which is an important part of the drama of P^2; although the phrase eventually closes in C minor in soft dynamics, it somehow plays with the idea of beginning the transitional zone.[5]

Let us now briefly consider the diary remarks I wrote after our trio's first rehearsals of this movement and how they may be related to the aforementioned formal and harmonic insights. First, we noticed that the dynamic instructions do not always begin (or end) simultaneously on the three instruments. For example, at the end of P^1 the piano has a diminuendo mark half a bar earlier than the strings.[6]

[4] Here I am using Rothstein's terminology, where 'fore-phrase' and 'after-phrase' simply refer to 'two successive phrases that are not in antecedent-consequent relation but that nonetheless form a period' (Rothstein 1989, 18).

[5] Exactly the same thing occurs in the P^2 phrase of the D-minor trio.

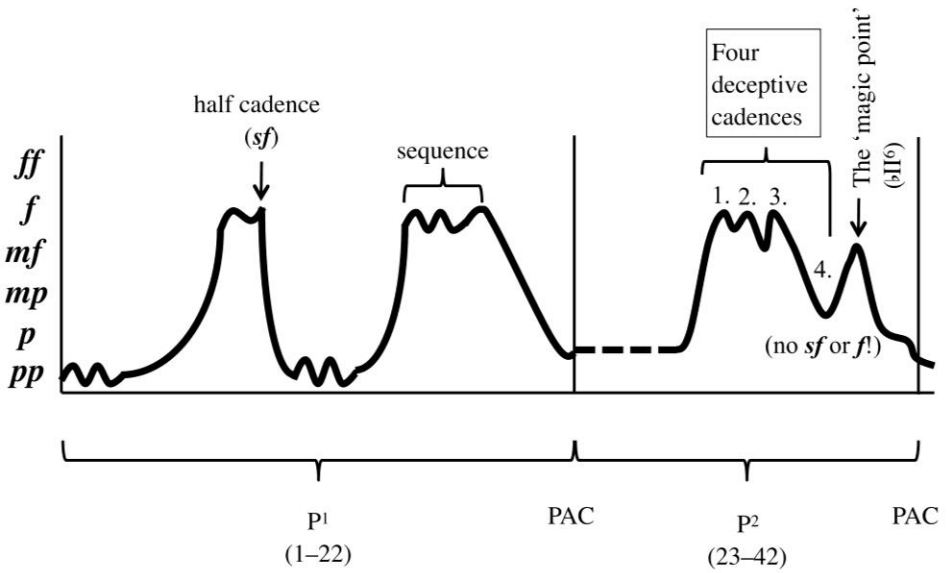
[6] That the markings do not coincide is, of course, not uncommon in chamber music works. Still, it created some initial communication problems with our trio during the first rehearsals when the string players who, seeing only their own part, noticed that not everyone played in the same dynamic. In this particular example, Mendelssohn originally wrote the *diminuendo* in the same place for all instruments, the second half of bar 20 in the initial manuscript (Mendelssohn 1845, Ms. 537). In the published versions, however, the dynamics do not correspond anymore, but we do not know whether this is an engraver's error or that Mendelssohn decided to change the location of the diminuendo marks.

Similarly, at the end of P^2 (bars 38–42) the violin begins both the *diminuendo* and the *pianissimo* later than the other instruments.[7]

Second, both the violinist and cellist mentioned that there are lots of repetitions (for example, the sequence between bars 15–19 where strings and piano alternate between the eighth-note stream, and bars 29–36 which included the four deceptive cadences (twice to G minor, then to E♭ major and finally to C minor). The problem is, from the performers' point of view, how to maintain the intensity and yet not overemphasise each repetition, especially as Mendelssohn has written either ***f*** or ***sf*** mark at each deceptive cadence (except the final deceptive cadence in C minor).

Third, all of us agreed that bars 38–40 are a culminative moment and should be brought out in a different way than the previous material. To use our cellist's words, these bars, with the single Neapolitan chord harmony, form the 'magic point' where everything stops for a moment before the closing cadence. Here it seems for a while that we are in 'no man's land' – indeed, these bars remain oddly static, despite the rapid sixteenth notes and cadential, pre-dominant harmony towards the perfect authentic cadence.

[7] Interestingly, in the manuscript of the C-minor trio (Mendelssohn 1845, Ms. 537) one quickly notices that many of the corrections are made precisely at the boundaries. For example, during the Neapolitan sixth chord in bars 38–40 Mendelssohn has remarkably altered dynamic and agogic instructions, probably after the first run-through of the piece (Reiser 2009, xxvi): the 'hairpin' (< >) mark for the piano's highest note, f^3, has been ruled out, as is the case with the ***pp*** mark in the piano in bar 40 which is substituted with a short >, then a ***p***, and finally a ***pp*** in bar 41.



Example 6.2 Mendelssohn, Piano trio Op. 66, I, the dynamic layer of P-zone (bars 1–42).

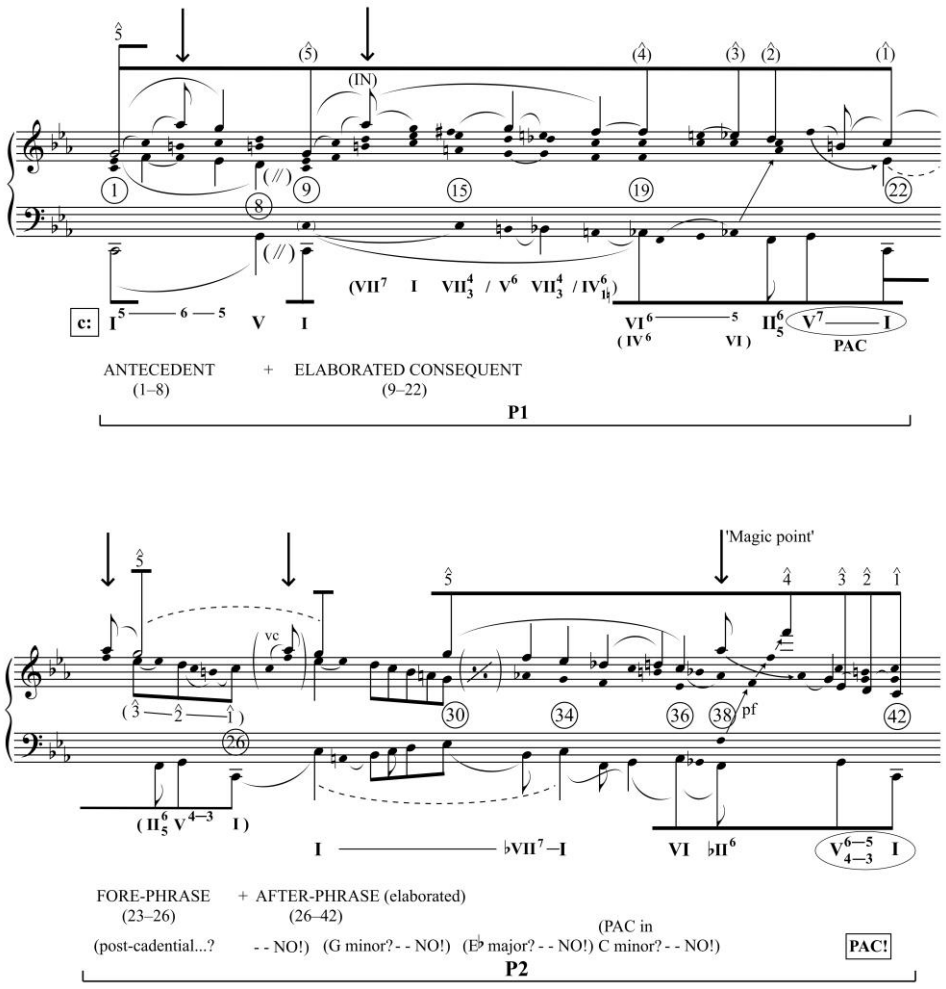
As one may notice, our rehearsal discussion mostly concentrated on individual observations taken from the score and parts rather than any broader, overarching issues such as formal or harmonic outline. Yet, I believe that many of the above insights, belonging as such to here-and-now viewpoint, may be incorporated into the goal-oriented analytical methods as well. For instance, if we look at the entire primary-theme zone from the viewpoint of its dynamics, both phrases begin and end with a relatively low dynamic, as illustrated in example **6.2**. On the other hand, there are four dynamic peaks, which serve as dramatic highpoints from a local perspective. The first peak is the most straightforward, reaching its peak in bars 7–8. The second peak (bars 15–19) at first seems to build the crescendo in the same way as the previous one. This time, however, the *forte* area lasts five bars instead of two and includes a sequence with *sforzatos* in every other bar. The third dynamic peak (bars 30–34) is the most turbulent with its numerous *sforzatos*, *forte* accents, *diminuendos* and *crescendos*. As such, these dynamic markings emphasise the harmonic uncertainty of this passage. Finally, just before the final closure of the primary-theme zone, there is a brief, yet very balanced *crescendo-diminuendo* peak.

This is the ‘magic point’, discussed earlier by our cellist. Notice, however, that the last peak does not attain a *forte* dynamic, since there is only a brief *crescendo* followed by a *diminuendo*.

The above example aspired to illustrate the broad dynamic layout of the first two phrases and their relation to the formal issues.[8] For instance, it showed that the local dramatic goals occurred *in the middle* of phrases, not at the end or at the beginning. This means that while the perfect authentic cadences at bars 22 and 42 are formally and harmonically clear and articulated, low dynamics and, in the case in bar 42, a phrase overlap with the subsequent phrase, seem to suggest that the arrival at these boundaries should not be agogically emphasised by slowing down, for instance. Indeed, the dynamic graph strengthened our trio’s initial idea that the music should remain in motion at the boundaries and that temporal modifications instead occur around dramatic highpoints. This insight, as we will see later on, turned out to be equally fruitful in the more complex in-between motion cases of this movement.

Let us turn to the issue of the ‘magic point’, now from the point of view of voice-leading structure. As has been noted, this moment extends the Neapolitan harmony between bars 38–40. However, the high A♭ played by the violin has had its relevance already earlier. As shown in example **6.3** with arrow marks, the $\hat{6}$ in the top voice is present both in P^1 and P^2 as a neighbour tone before the actual ‘magic point’, marking the melodic high point of each smaller unit (antecedent, elaborated consequent, fore-phrase). In fact, it is only during the ‘magic point’ where the piano’s rapid arpeggiation goes higher by reaching the f^4, which then becomes part of the linear descent from $\hat{5}$ to $\hat{1}$.

[8] As Rink notes, ‘the [dynamic] graph provides an excellent overview of the dynamic terrain as well as the opportunity to sense it as it passes by’ (Rink 2002, 48).

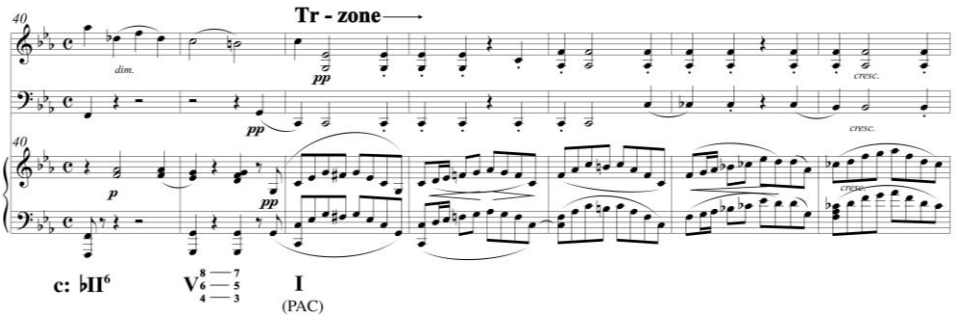


Example 6.3 Mendelssohn, Piano trio Op. 66, I, voice leading of bars 1–42.

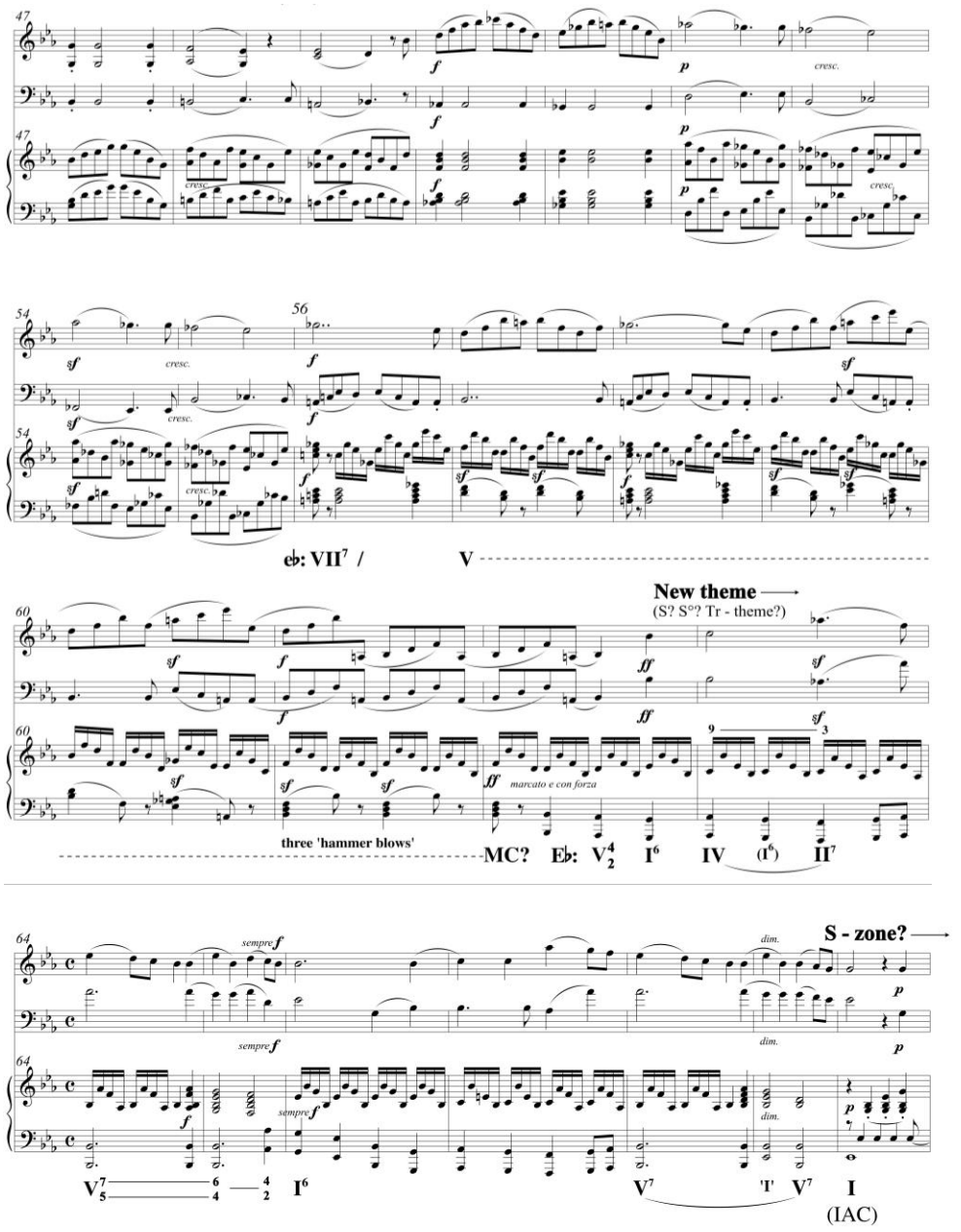
When examining both examples **6.2** and **6.3** we may observe that both phrases are surprisingly similar from the point of view of the voice-leading structure, formal outline and dynamic profiles: 1) they are based on descending third motion in the bass line (I–VI–[♭]II^6–V–I); 2) their second part is somehow elaborated; and 3) both include two local dramatic highpoints and end with soft dynamics. Because of this, it is tempting to argue that while P^1 and P^2 are also two self-standing phrases, they are some sort of variants of each other as well. Seen in this light, the closing cadence

in bar 42 not only closes the P^2 but also marks the end of the large primary-theme zone in C minor. In performance, this can be brought out by playing the first cadence less poignantly – something that was also discussed by Cone when aspiring towards larger continuities (Cone 1968, 39–42) – and head towards the second cadence, the one preceded with the 'magic point'. The entire primary-theme zone may be played 'on a single breath', and this is the way our trio aspired to perform it as well – to take into account the dynamic details and bring out the highpoints, yet without emphasising too much the boundary of P^1 and P^2 by slowing down.

6.3 An unusual in-between motion? The new contrasting theme as a global high point of the exposition



Example 6.4 Mendelssohn, Piano trio Op. 66, I, bars 42–70.



Example 6.4 (cont.)

After the primary-theme zone has ended, in-between motion becomes more peculiar, especially during the novel path from tonic to mediant key, which I will now turn to. In bar 42, a new phrase begins with the primary theme material. Soon it becomes clear that the transitional zone is on its way with transitional signs such as the

growing increase in tension, fragmentation in harmony and rhythm and, finally, a dominant pedal (dominant lock) to E♭ (minor/major) from bar 57 onwards (Example **6.4**). In fact, in bars 61–62 the fragmentation even leads to three so-called 'hammer-blows', which is a surprisingly classical medial-caesura gesture for a work written in the middle of the nineteenth century.[9]

Astonishingly, the increasingly energetic motion over the dominant pedal, together with *forte* dynamics and sixteenth-note accompaniment does not, however, end or culminate in a powerful half cadence (of III) with medial-caesura break but *continues beyond* that potential break dynamically, rhythmically, and texturally. More importantly, in the midst of the turmoil, a new victorious theme introduces itself in E♭ major, although it begins *in medias res* with the intermediate supertonic harmony.

From a dramatic point of view, bar 63 is indeed the turning point of the exposition. It begins as a prolonged high-point area – lasting eight bars – where Mendelssohn uses the *fortissimo* dynamic together with the instruction *marcato e con forza* for the first time. But what is the status of this theme – is it the contrasting secondary theme, which opens a new formal unit, or does it still belong to the transitional zone? Rather than further problematising the passage from the analytical point of view, I shall first present how our trio approached and shaped bars 42–70 during the rehearsals and then proceed to draw some analytical conclusions.

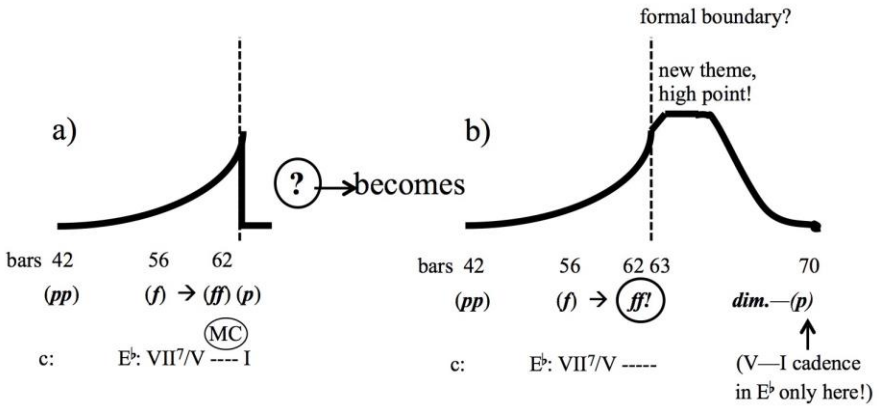
Firstly, the balance during the dominant pedal in bars 56–60 was considered problematic: the cellist complained that the piano sounded 'too loud', especially since the cello has important material to play. Our solution was that I used almost no pedal at all (or very light), and tried to maintain the dynamic in ***f*** (not yet ***ff*** which in any case only begins in bar 62).

Secondly, since the new theme is dramatically such a significant event, we felt an urge to play the beginning bars a little slower compared to the regular tempo (the violin took a little more time towards the high A♭ like the way a singer prepares for a high note). This is naturally something that should not be exaggerated; yet if

[9] See Hepokoski and Darcy's discussion on the dominant-chord 'hammer-blows', which typically emphasise the arrival of the medial caesura (Hepokoski and Darcy 2006, 34).

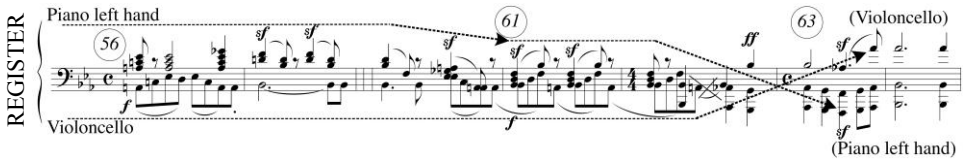
one plays this moment in a strict metronome tempo, our trio agreed that Mendelssohn's gradual preparation would perhaps not reach its fullest height.

As is obvious from the above rehearsal marks, these bars were far from being considered easy and unproblematic, although the question of secondary-theme-or-not was not directly disputed. The remarks point out, however, that the dynamic and dramatic issues needed more active shaping than the opening phrases. Example **6.5a** presents a hypothetical dramatic contour of bars 42–62 up to the point of the medial-caesura moment, which then moves to *piano* dynamics and begins the secondary-theme zone, as would be typical in a normative sonata-form exposition according to Hepokoski and Darcy. However, since there is more to come and that the new theme must be played with an even more increased dynamic, the cellist's caution on not playing too loud at the beginning of the dominant pedal is justifiable. Thus the dramatic contour of bars 42–70 is instead of **6.5.a**, something like example **6.5b**:



Example 6.5a and **b** Mendelssohn, Piano trio Op. 66, I, hypothetical dramatic contour vs. eventual dramatic contour of bars 42–70.

Indeed, these bars are a wonderful example in how formal ambiguity is created with secondary parameters, which refuse to change when the new theme enters.[10] In addition, despite the broad motion from the beginning of the transitional zone until the imperfect authentic cadence in E♭ major in bar 70, Mendelssohn delicately articulates bar 63 as the arrival of something significant, now from a registral point of view (Example **6.6**):



Example 6.6 Mendelssohn, Piano trio Op. 66, I, registral interplay between cello and piano, bars 56–64.

At bar 56, one bar before the beginning of the dominant pedal, the cello plays the eighth-note motive in the lowest register, whereas the piano's left hand is positioned one octave higher. Now, during the hammer-blows in bars 61–62 the piano's left hand and the cello are in the same register for a brief moment. Finally, when the new theme enters the cello plays in an unusually high register, whereas the piano plays low bass notes in octaves. Thus the piano's register descends from a fairly high register back to 'normal', whereas the cello's register moves from normal cello register to unusually high.[11]

From the point of view of a more nuanced temporal shaping, bars 56–70 include various stages. I will describe the way we eventually aspired to play this passage: first, we did a slight accelerando between bars 56 and the first half of 62; then a slight widening and preparation for the violin's high A♭ in bar 63 (here I tried

[10] From a harmonic perspective, Mendelssohn also smoothes this boundary by transforming the dominant chord (V of III) to a dominant four-two chord in bar 62.

[11] The violin is (not shown in example **6.6**), not surprisingly, registrally the most flexible instrument by first staying in the piano's right-hand register, then moving even higher during bars 59–61, and then dropping two octaves lower in the middle of bar 61 until returning to high register when the secondary theme enters.

to listen the violinist carefully so that I don't play the bass F too early); extending the slightly slower tempo until bars 64–65; then taking the tempo back (a tempo) in bar 66 when the piano's sixteenth-note figuration returns; and finally, a slight slowing down at the dominant in bar 69. However, at the beginning of bar 70 the string players were insistent that we must restore the initial tempo; they noted that the following piano solo tended to slow down too much.

As a result, if we accept that bar 63 is the beginning of a new unit, first assuming that it introduces the secondary theme (no matter that the secondary key will be re-evaluated later on because of the turn to G minor and the E♭ major's inability to produce a successful essential expositional closure), we have yet another case of smoothing the boundary: however, this time one that moves from one unit to the next *during the dramatic high point*, and calming down only later on.

6.4 In-between tonal progression: the overarching harmonic path of the exposition

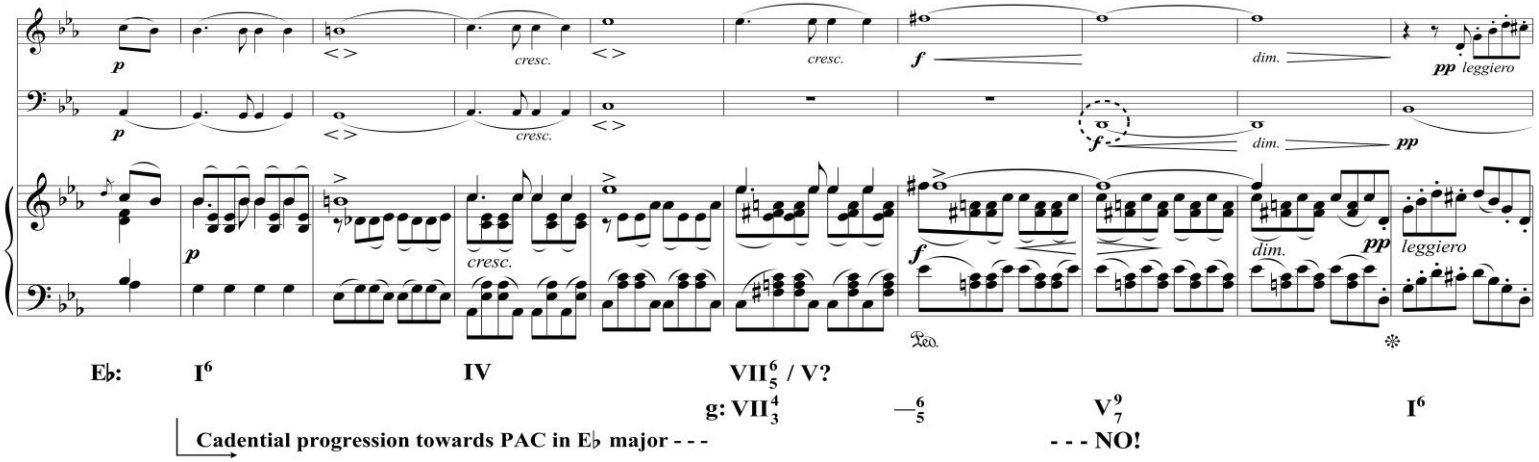
In the C-minor trio, the overarching harmonic path of the exposition takes an exceptionally long time since the key in which the secondary theme is presented and the eventual closing key of the exposition are not the same: while the secondary theme starts in E♭ major (III) it does not succeed in creating a perfect authentic cadence but instead turns to G minor (v). In fact, already in bars 71 and 73 the stability of E♭ major is shaken because of the augmented German sixth chord to G minor, although the phrase avoids the G minor by making another tonicisation in bar 78, now to B♭ major. From the point of view of expected harmonic goal of the exposition – the EEC – the most dramatic moment however occurs between bars 87–94 where the cadential progression in E♭ major is powerfully evaded (Example **6.7**) (Media example **6**, starting from bar 42).[12] Notice especially the cello's low D in bar 93, which clarifies the still somewhat ambiguous-sounding harmony of the

[12] Direct link: https://soundcloud.com/cecilia-oinas/audio-4.

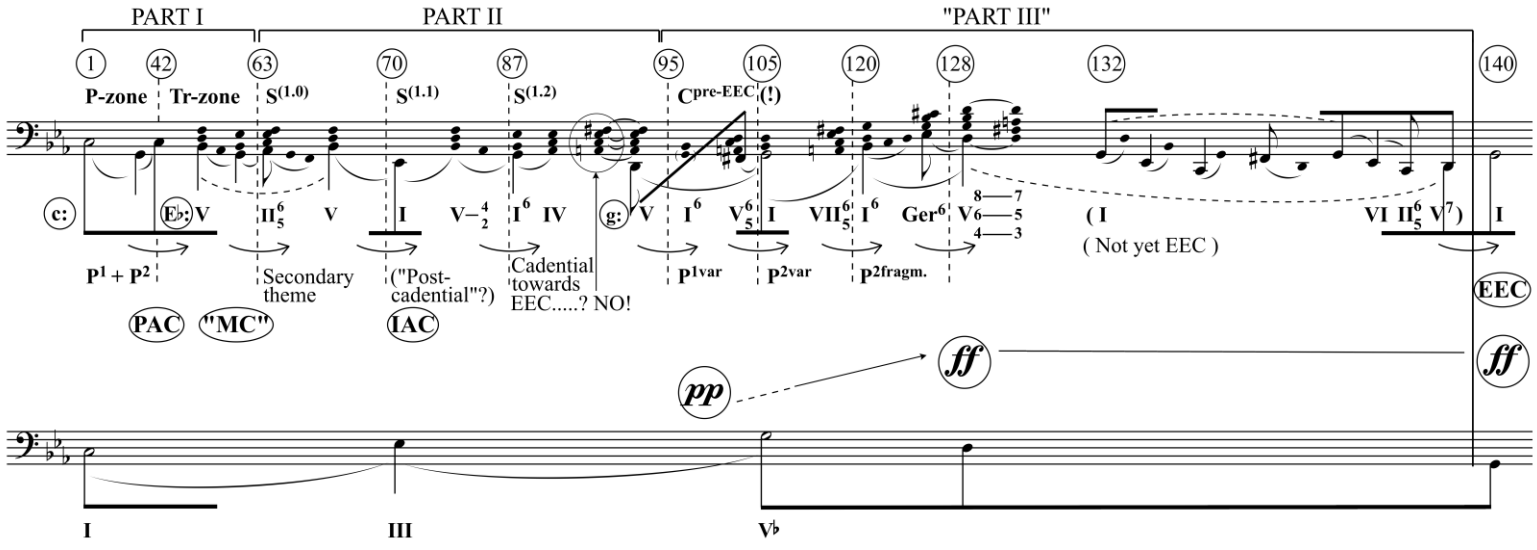
previous two bars – VII^{6}_{5}/V of E flat major or VII^{4}_{3} of G minor? – by becoming a particularly expressive V^9 chord of G minor. Thus in bar 95, with the return of the primary theme, the exposition suddenly takes an entirely different – and much longer – path than it was destined to walk.

As a result, the exposition of the C-minor trio eventually portrays a three-key exposition, something that was also noted by Paul Wingfield and Julian Horton as one of the more common deformation strategies by Mendelssohn (Wingfield and Horton 2012, 99). More importantly, by declining the possibility to conclude the exposition in the mediant key, the E♭ major *becomes* an in-between motion key as well. Unable to produce a closing cadence, it nevertheless offers the only genuine contrasting theme to the primary-theme zone material, which makes the area thematically independent but harmonically unstable.

When the G-minor key area starts in bar 95, the thematic material is partly recycled: besides the primary-theme, also elements of P^2 are exploited. While the return of the primary-theme material is more typical for closing-theme zones (Hepokoski and Darcy 2006, 181), in this case the situation is not so straightforward since we have not had any secured EEC. Rather, we are still in-between tonal progression and need to wait for yet another 45 bars until the EEC is finally reached in bar 140. In Sonata Theory, a situation like this can be described as $C^{\text{pre-EEC}}$ or S^{C}, depending on whether we are considering the exposition as continuous or two-part (Hepokoski and Darcy 2006, 59–60). Be that as it may, when the G-minor area enters, it is not only the return of the familiar thematic material, but also the Baroque-like motion in a constant eighth-note pulse. Thus the feeling of homecoming, oddly enough since the key is entirely new, is strong in bar 95. In performance, restoring the tempo to bar 1 could work well here.



Example 6.7 Mendelssohn, Piano trio Op. 66, I, bars 87–95.

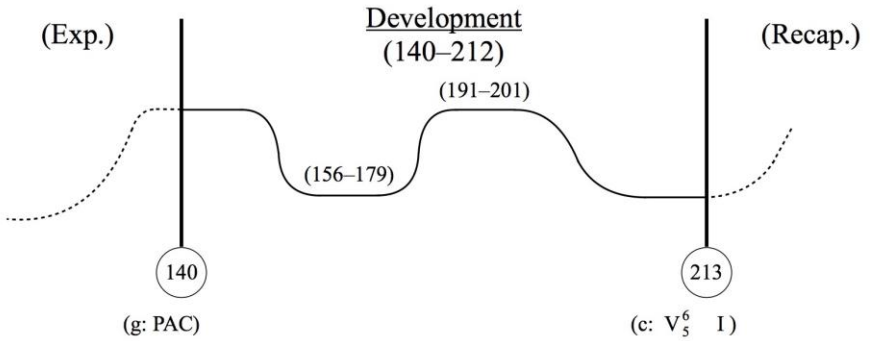


Example 6.8 Mendelssohn, Piano trio Op. 66, I, in-between motion of the exposition (phrase and subphrase level).

Finally, while there are various thematic segments during the G-minor area, Mendelssohn is able to maintain continuity by overlapping subphrases and avoiding root-position V–I-cadences. Example **6.8** presents these subphrase boundaries together with the main harmonic events. As the example shows, Mendelssohn employs an almost obsessive use of smoothing motion in the G-minor area. From the perspective of performance, this suggests, once more, a persistent, continuous motion towards the ultimate high-point area of the exposition: the arrival of the cadential six-four chord in bar 128, which first resolves to G minor in bar 132 and then starts a final cadential chord progression (i–VI–iv–V) before arriving at the EEC in bar 140. The gradual growth of dynamic markings should also be noted: we begin on ***pp***, in bar 95, move to ***p*** when P^2 to the theme begins at bar 106, then arrive to ***f*** after various agogic alterations in bar 118 and finally to ***ff*** in bar 128. This suggests, to me, a particularly goal-oriented motion towards the EEC between bars 95 and 140. As a result, the exposition as a whole has two powerful high-point plateaus: the first starts at the arrival of the secondary theme in bar 63, which declines the medial-caesura gesture by smoothing the boundary, the second starts with the arrival of a cadential six-four chord in bar 128, now bringing us the harmonic closure of the exposition. By bringing the EEC into musical material that rhetorically sounds like C-space, Mendelssohn truly shows how masterfully he is able to manipulate the sonata form for his own characteristic purposes.

6.5 IN-BETWEEN FORMAL SECTIONS: EXAMINING THE DRAMATIC SHAPE OF THE DEVELOPMENT SECTION

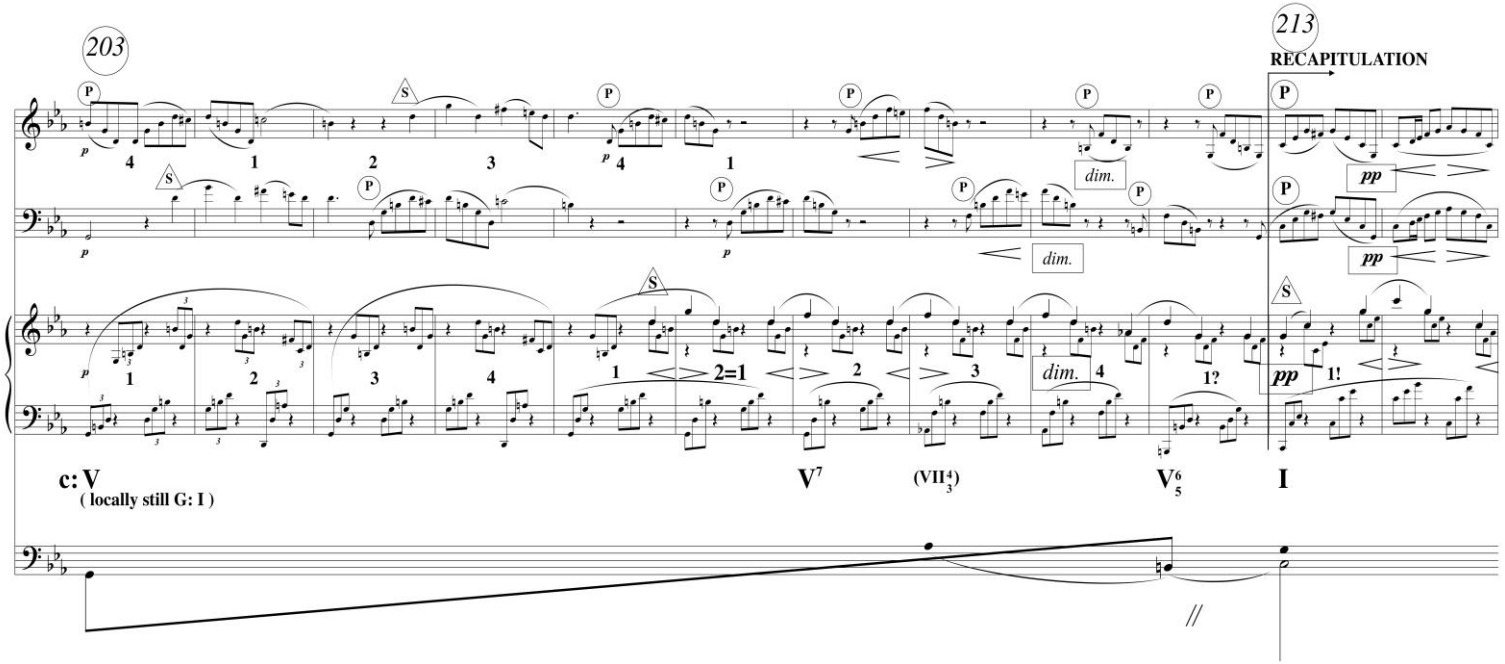
In my final section I will briefly discuss in-between motion from the perspective of sonata-form sections, focusing especially on the dramatic motion and issues of shaping (Example **6.9**). As already noted, the development section begins with an overlap in bar 140 by continuing the *fortissimo* dynamic and the haunting eighth-note rhythm, which is why the beginning of the development is only perceived retrospectively.



Example 6.9 Mendelssohn, Piano trio Op. 66, I, dramatic motion of the development section.

After the turbulent start, a calmer landscape follows with the return of the secondary theme in bar 156 in D♭ major, played first by the cello. In bar 171, the D major is temporarily tonicised and the development section slowly begins to raise the intensity from bar 179 onwards (notice the piano's octave doublings on the weak beats). A dramatic high-point area begins on the VII^7/V chord in bar 191 in ***f*** dynamics, introducing the primary-theme motive (first in the violin in bar 186 and in the cello from 190 onwards) for the first time in the development section.

When our trio rehearsed the development section, there were, as always, many issues to be considered. To begin with, since the movement includes so many dramatically-charged moments, we felt that it was important to bring out those rare moments that are tender. Indeed, when the development section turns to ***pp*** dynamics two bars before bar 156 (Example **6.9**), we have the longest passage in soft dynamics so far – 27 bars. In our rehearsals, we tried to sustain this calmness for as long as possible.



Example 6.10 Mendelssohn, Piano trio Op. 66, I, the smoothed in-between motion from development to recapitulation, bars 203–214, including metrical analysis.

While the boundary between exposition and development was dynamically stressed, the motion from development to recapitulation is the opposite. Here Mendelssohn takes time in preparing the harmonic and thematic return of the recapitulation, starting in bar 213. Example **6.10** illustrates this particularly elegant smoothing. As can be seen, there are various parameters that participate to make the boundary very mysterious. These are a) rhythm (the triplet accompaniment continues over the sectional boundary); b) melody (fragmentation of both the primary and secondary theme); c) harmony (connecting the development and recapitulation with a contrapuntally smooth V^6_5–I motion instead of V and I); d) meter, which is somewhat ambiguous between strings and piano between bars 203 and 207, as well as at the actual boundary between bars 212 and 213, which both sound like metrical downbeats because of the harmonic rhythm; and e) dynamics, register and texture, which also remain fairly similar at the boundary.

The motion from development to recapitulation is in my view one of the most beautiful examples of in-between motion in this movement. Yet there is no question of formal ambiguity, as was the case when the secondary theme arrived at bar 63. The recapitulation undoubtedly begins in bar 213, even though there is no 'victorious' return that one finds in many other sonata-form movements by earlier composers (for instance in Beethoven's works). The development simply dissolves into the recapitulation, as if the recapitulation was always there.

I have not discussed issues of performance very much as far as the motion from development to recapitulation is concerned. For good reason: we did not discuss this boundary almost at all. There can be many reasons for this, such as the fact that there were so many other events that needed discussion and try-outs. Despite the fact that in the analysis we may admire the complexity of this in-between motion, it can appear very untroubled in performance: the strings alternate between playing either P- or S-fragments while the piano has a continuous triplet accompaniment, gradually adding the melody in the right hand. In addition, all instruments are equally active, and everybody's role is significant. Indeed, when we trusted and listened to each other, this boundary usually did not need any other kind of pondering.

6.6 SUMMARY

In this chapter, I have examined in-between motion locally and more overarchingly. While in music analysis formal boundaries are recognised by cadences, it is important to understand how performers may greatly emphasise or de-emphasise the in-between motion by nuanced shaping. Moreover, when examining the dramatic motion of various units, it revealed that smoothed in-between motion is usually anticipated by a dramatic high point. By consciously building this high point enables a more elegant motion between the boundaries, as seemed to be the case in the examples discussed from the C-minor trio.

Up to this point, we have not discussed the motion from the beginning until the end. My intention has been to show that works may be examined without touching upon the issue of any overarching, global goals. The choice of starting to examine music motion from more local points of view has partly followed our rehearsal process as well; especially in the first rehearsals, wherein performers are often rehearsing the work in chunks, perhaps playing the piece through only at the beginning and end of the rehearsal time. Gradually, however, the performers' playing, as well as 'studio language', begins to gravitate towards more global descriptions of the piece, and we are thus approaching the question of how to describe the 'piece in a nutshell'. Let us now move on to discuss overarching motion.

7 OVERARCHING MOTION: SCHUMANN OP. 63, I (MIT ENERGIE UND LEIDENSCHAFT)

7.1 INTRODUCTION

While overarching motion is more or less present in all hierarchically based analytical methods, it has sometimes been debated whether it has any relevance in performance. For instance, Leong and Korevaar note that while the background may influence 'global interpretative' decisions, they doubt whether performance itself may either affect or be inspired by the background structure because of its 'robustness' (Leong and Korevaar 2005, par 12). Yet we must not forget that, ideally, overarching levels constantly interact with the more local events, thus creating an ongoing hermeneutic circle where parts define the whole and vice versa. Thus every time we make observations from a local point of view, we cannot entirely 'forget' the more overarching structure, no matter how hard we try to.

Nevertheless, discussing overarching motion from the viewpoint of analysis and performance interaction can be challenging, since the goal-oriented approach too easily omits performers' participatory viewpoints and rather promotes the observer viewpoint. On the other hand, as Rink and many others have noted, the bird-eye view, or the 'grande ligne' is essential in performance, even more so when we are dealing with large-scale works such as the piano trios of Mendelssohn and Schumann. Moreover, as Schachter argues 'the most striking and individual elements of the surface can be precisely elements of Schenker's *Ursatz* or "basic phrase"' (Schachter 1999, 314). This, in turn, invites us to consider whether elements usually associated with work-specific salient aspects have more overarching ramifications as well.

How could we approach overarching motion in such a way that the participant's temporally oriented perception would still be present? In this chapter I

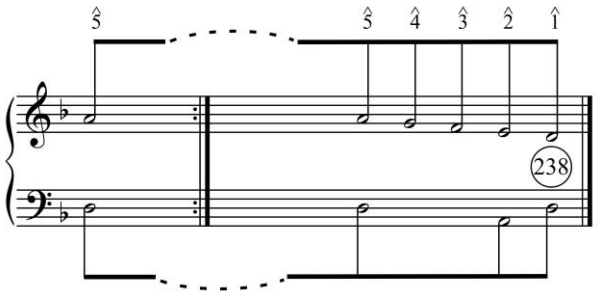
will aspire to show how this can be made by particularising the overarching, analytical presentations in greater detail. For instance, when writing a graphical presentation on the work's formal overview, we can try to maintain its original temporal proportions rather than spreading the content into seemingly even sections, as was criticised by Cook (Cook 2013, 46). Indeed, one of the crucial issues of this chapter is to examine how seemingly abstract analytical presentations may better communicate with performers' temporally oriented point of view, and how to combine salient features with the broad, overarching motion.

The examination of the opening movement of Schumann's D-minor trio Op. 63, goes in the following order: I will start by presenting the movement from the perspective of its three overarching goals, which are structural, formal (following Sonata Theory's definitions) and dramatic. After considering how temporality can be shown by modifying the graphical presentations to their truthful proportions, I will argue how the surprising new episode in the development section becomes such an important turning point in the movement that it eventually changes the course of events in the recapitulation as well. I will also propose that rather than considering the overarching motion as an even flow of events, in performance the work's 'grande ligne' is built from a number of intensive moments where the performers need to remain highly alert and active (see for example Cook 2013, 46; and Kramer 2011, 182).

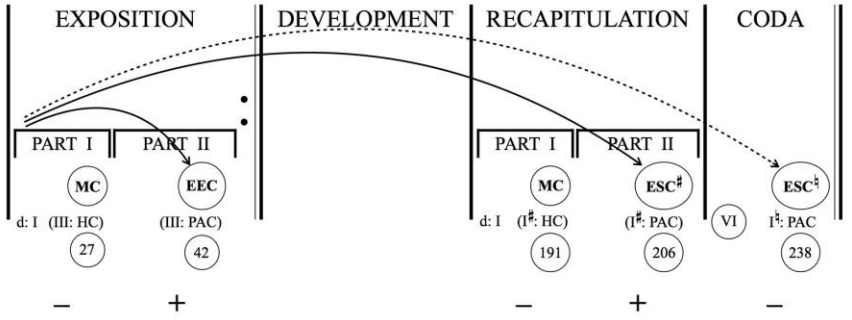
Finally, the chapter also examines the overarching level's potential relation to local motion, in this case with the D-minor trio's opening phrase (bars 1–14 which also form the primary-theme zone), which presents a similar dramatic and structural profile to the entire movement. I will end my chapter by considering two performance suggestions of the opening phrase which are inspired from opposite directions: one from the overarching, goal-oriented point of view and the other from the local, here-and-now viewpoint. Rather than putting one or the other as primary, the experimentation suggests that differing overarching analytical viewpoints may lead to different types of performance even at a local level.

7.2 EXAMINING THE OVERARCHING STRUCTURAL, FORMAL AND DRAMATIC GOALS

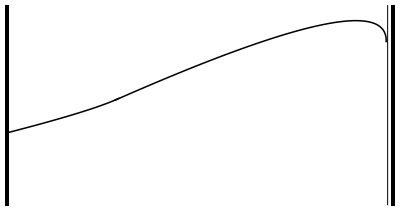
Examples 7a-c Three graphical overarching presentations.



Example 7.1a Schenkerian deep-level overview.



Example 7.1b Formal overview from the point of Sonata Theory.



Example 7.1c Dramatic overview.

Examples **7.1a-c** present three overarching views on the opening movement of Schumann's D-minor trio: the first (a) depicts its Schenkerian, deep-level *Ursatz*; the second (b) shows the movement's main goals from the point view of Sonata Theory – the EEC, ESC, and the medial caesura; and the last (c) illustrates the overarching dramatic motion with one, global high point at the end. At first it may seem that without context, these graphical presentations, especially (a) and (c) do not communicate with issues of performance very much. On the other hand, they allow us to make some initial observations that distinguish this work from any other: for instance, in example **7.1a**, the *Ursatz* suggests that in this work, *Kopfton* starts from $\hat{5}$ instead of $\hat{3}$ (or $\hat{8}$), which means that the tone A has some relevance in the music. In addition, the analyst has come up with a reading where the work does not carry an interruption in the deepest level, a phenomenon that occasionally occurs in sonata-form works beginning on $\hat{5}$.[13]

The graph in example **7.1a** also marks that the *Ursatz* closure occurs in bar 238. This closure, also seen in example **7.1b**, is only attained in the formal coda, not in the recapitulation, which would be more typical in a normative-sonata form movement. Moreover, example **7.1b** shows that there has been a perfect authentic cadence in the recapitulation section as well, at bar 206. However, this cadence is in the major-mode tonic while the closing PAC in the coda is in D minor. Do we have two ESC-candidates, one in major and the other in minor, as the example suggests? While it is usually the first successful perfect authentic cadence in the secondary-theme zone of the recapitulation that qualifies as the ESC, Hepokoski and Darcy do point out that a 'recapitulation that concludes in major may be undercut by a negative, minor-mode coda—darkly pessimistic in its implications' (Hepokoski and Darcy 2006, 313). And, indeed, this is exactly what happens in the first movement of Schumann's D-minor trio: after the recapitulation proper, the major-mode tonic is powerfully swept away with a turn to minor, which in my view challenges the status

[13] A more detailed middleground graph would probably show that the interruption happens in an abstract middle voice, as frequently happens in works beginning from $\hat{5}$. See the well-known footnote by Ernst Oster in *Free Composition* (Schenker 1979, 139).

of the first ESC to become the unequivocal closing cadence of the D-minor trio.[14] This will be more thoroughly discussed in the following sections.

Finally, the overarching dramatic motion presentation – the 'grande ligne' of the work – suggests that the entire movement may be seen as striving towards one ultimate high point. In the Schumann trio, this occurs only in final moments. This is indeed a rough oversimplification, yet it too promotes a view that there is constant tension in the ongoing music, and only temporary waypoints. In short, examples **7.1a–c** all suggest that the opening movement of Schumann's D-minor trio is very strongly end-weighted. But how may these goal-oriented, eventually observer-type viewpoints communicate with the more performer-oriented, participant viewpoint?

PARTICIPANT VIEWPOINT: ADDING TEMPORALITY AND SALIENT DETAILS TO THE OVERARCHING MOTION

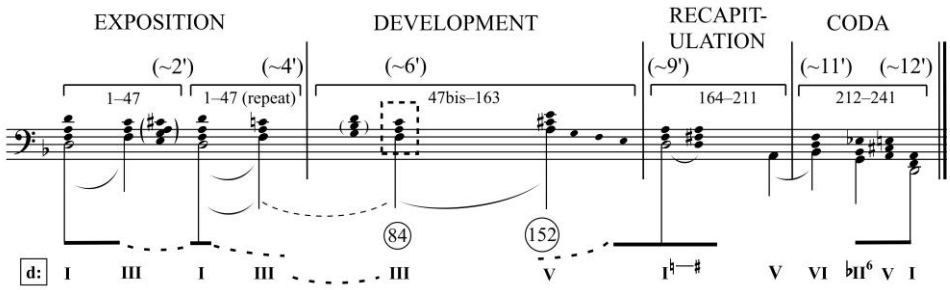
Schumann's D-minor trio is an extensive work to perform. As our cellist described, '[i]t is difficult to sell to the audience. There are wonderful moments but it is not so easy to bring them out, even though the performers would love it' (Rehearsal diary, December 2016). The entire trio lasts over half an hour, and the opening movement usually takes between 12 and 14 minutes. Moreover, the proportions of the sections are not at all balanced: while the exposition is 47 bars long, the development section lasts over 100 bars (116, to be exact), thus achieving 'heavenly lengths' – to borrow Schumann's famous remark after hearing the Schubert's Great C-major Symphony in 1840 (Newcomb 1987, 168).

Looking back to examples 7.1a–c one quickly notices that despite the prominent length of the development section, it remains absent from the point of view of overarching motion. The reason is that in this movement the development section does not include any overarching goals, only local arrivals.[15] Yet from the

[14] Notice also the + and – signs beneath the sonata-form graph which are adapted from Hepokoski and Darcy's discussion of the minor-major dichotomy in minor-mode sonatas (see Hepokoski and Darcy 2006, 313, table 14.1).

[15] Since the secondary key is the mediant key (III), the arrival at the dominant at the end of the development section in this movement is a somewhat more important moment than in major-mode sonatas where the structural dominant is prolonged from the exposition until the end of the development. However, the interruption does not represent a goal from the overarching perspective as such. Moreover, the end of the development section of this movement does not

viewpoint of performance, this seems somewhat unsatisfactory, especially since we are dealing with almost half of the musical material of the movement. Example **7.2** aspires to take this account by presenting the overarching formal and harmonic layout of the Schumann movement in its realistic temporal proportions. Notice that the exposition repetition is included, which balances the length between exposition and development: the exposition lasts 2x47 bars (=94 bars) and the development section 116 bars. On the other hand, since the development and recapitulation sections are not repeated (as was already usual at this time), the 29-bar coda also balances the not repeated 47-bar recapitulation.



Example 7.2 Schumann, D-minor trio Op. 63, I, formal and harmonic overview in realistic temporal proportions.

Example **7.2** also includes the approximate minutes where important formal boundaries are reached in an approximate 12-minute performance. Moreover, it shows that around 6', exactly in the middle of the work from temporal perspective, the music turns once again to the mediant key – a key that was already reached in the exposition. This moment is, as I will argue, such a powerful event that it not only affects the dramatic (and structural) profile of the development section but also the entire movement.

serve as a dramatic highpoint, as frequently happens in earlier sonata-form movements from the Classical era.

7.3 AN INTRUDER IN THE MOVEMENT: SURPRISING EPISODE AND ITS RAMIFICATIONS IN OVERARCHING MOTION

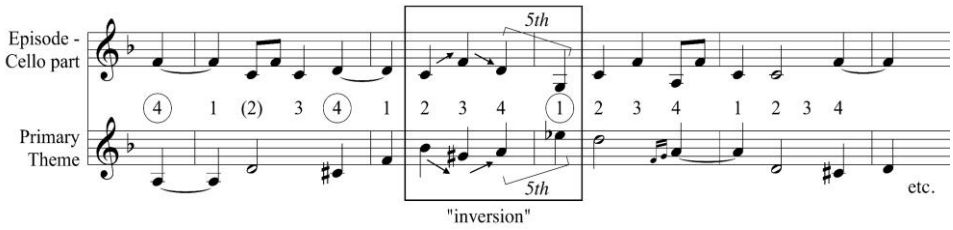
About a third of the way into the development section, an unexpected episode emerges from bar 84 onwards.[16] It begins in F major, the mediant key of the movement, and even has a dominant preparation in the previous bars. The appearance of the new episode is certainly a turning point in the development section and has a stunning effect on the listener. Bodo Bischoff, for instance, describes how the diatonicism and the simple harmonic progression thrust us into a 'childlishly naive dream world' (Bischoff 2005a, 411).[17] Likewise, John Daverio writes how the D-minor trio – as well as the F-major trio Schumann composed in the same year – includes 'moments of what may be called "sublime removal"' which he regards as 'the obverse of the impassioned "breakthroughs" in more public works like the First Symphony' (Daverio 1997, 325). For Daverio, the episode is one of these 'sublime removals'.

Yet the episode also raises interpretation issues for committed performers. For example, if one considers texture, dynamics, and the *sul ponticello* playing technique of the strings, the contrast to the preceding music seems evident enough.[18] But is this material so new after all? Example **7.3** suggests that the answer is both yes and no. Even though there is an abrupt change in texture and melody, the rhythmic contour of the cello part, with its upbeat and syncopations, is actually quite similar to the primary theme. In addition, part of it is a loose inversion of the primary theme.

[16] An earlier version of the analyses in this section as well as in section 7.5 can be found in my article 'Towards a performer-oriented analysis: communication between analysis and performance in Schumann's D minor trio.' *Res musica* 3/2011, pp. 134–145.

[17] 'Diatonik und einfachste Kadenzharmonik entführen gleichsam in eine kindlich naïve Traumwelt' (Bischoff 2005a, 411).

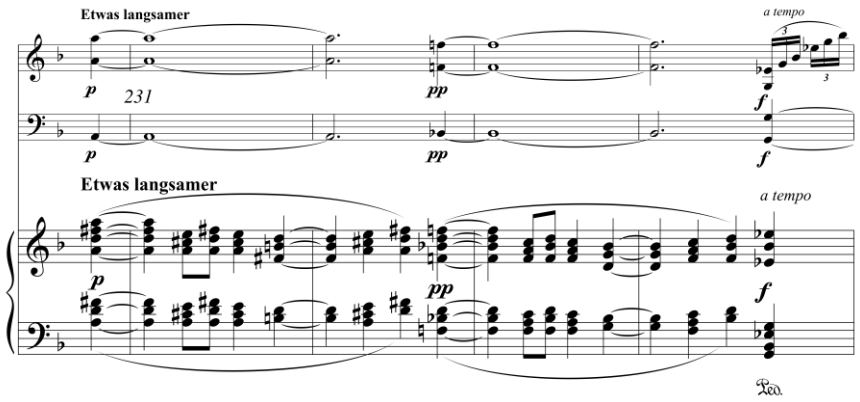
[18] In the score, Schumann has written the indication in German, *Am Steg*.



Example 7.3 The episode vs. primary theme.

Is the cello part a (distant) transformation of the first theme? And more importantly, how will the performers interpret the new episode – should it be disconnected from the previous material or should one emphasise the similarity of the rhythmic contour between the primary theme and episode theme? To answer the question, I would like to turn for a while to the formal coda of the movement. After a lengthy development section and a more or less literal recapitulation, the formal coda begins in bar 212. Its onset is, however, marked with a massive harmonic failure, since the expected cadence in D major at the end of the recapitulation section is not fulfilled. The failure to reach a tonal closure motivates the movement to begin a new dynamic motion: First, the music falls back to D minor and onto a dominant pedal from bar 215 onwards. What follows is a dramatic attempt to reach a perfect authentic cadence in bar 220, underlined with ***ff*** and ***sf***. But while the cello descends to D, the chord above it is not the tonic triad but a D-major chord with a minor ninth included.

Yet suddenly, in bars 229–230, the music begins to slow down and the material from the lyrical episode is played once more between bars 231–234, although without the triplet accompaniment (Example **7.4**). This quiet reminiscence holds the music for a while before the final perfect authentic cadence (bars 237–238), which is preceded by the almost violent violin arpeggio on a Neapolitan sixth chord on the upbeat to bar 235.



Example **7.4** Final appearance of the episode, bars 231–234.

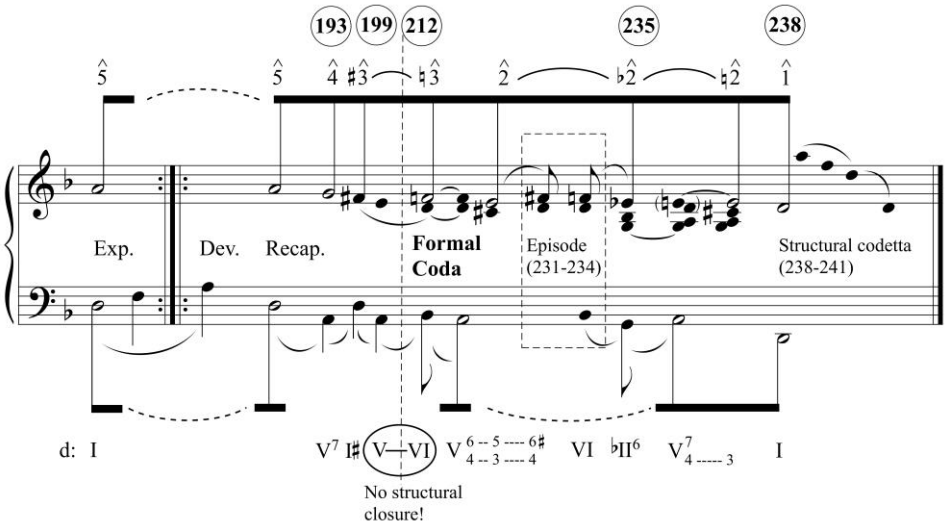
I believe that, metaphorically, the episode tries to raise the music to another, more spiritual level. It can be seen as an idealised, purified version of something that the movement eventually cannot become. Yet at the same time the episode is an 'intruder' in the development section, an integral part of the movement from this moment on, since after the recapitulation section it recurs in the coda, surrounded by the dark main character of the movement.

Because of the highly original episode and its surprising recurrence in the coda, in the rehearsals we kept our trio rather 'acted' with the music, as suggested by William Rothstein (1995, 237): although the episode blends into the harmonic process later in the development section, its first appearance should sound new and surprising, to 'suppress' the knowledge, as was proposed by Edward T. Cone (1989, 90).[19] The similarity of the rhythmic contour with that of the primary theme is evident, but performers do not need to bring it out.

The situation is different in the coda, however. Even though the episode is still somewhat surprising, it is not harmonically independent, since it begins on neighbouring six-four chord (major-mode), preceded by a dominant pedal (minor-

[19] As Rothstein notes, '[i]nstrumentalists too often forget something which most singers know instinctively: that musical performance is, by its very nature, a species of acting. It is the performer who controls the way in which virtually every aspect of the work is conveyed to the listener. Which features of the music are "brought out", which are concealed, which are allowed to speak for themselves – these are only some of the decisions the performer must make' (Rothstein 1995, 237).

mode). After two bars, the harmony moves to a B♭-major chord – a very magical moment itself – before beginning the final motion towards the closing cadence. Thus I feel that the episode is a quiet reminiscence, which no longer opens a new avenue. It holds the music for a while before the final goal, although Schumann has tried to evade this goal in almost all possible ways.



Example 7.5 Voice-leading analysis of Schumann's D-minor trio, I.

Pondering the role of the episode, both from the performers' viewpoint and from the point of view of analysis, can serve as an inspiration for the overarching voice-leading and sonata-form analysis as well (Example **7.5**). Because of the distinctive nature of the formal coda, and the fact that the recapitulation does not succeed in creating a dramatically satisfactory closing cadence, in my view the *Urlinie* only descends to $\hat{1}$ in the final bars, stretching the *Ursatz* closure to a point much later than one might expect when compared to the exposition, where the closing cadence in the secondary key, the EEC, occurs at the end of the exposition, in bar 42. Moreover, the final cadence in bar 238 powerfully challenges the major-mode cadence of the recapitulation section (bar 206) as the structural closure. Yet if one follows Sonata Theory, one should allow for Hepokoski and Darcy's strong

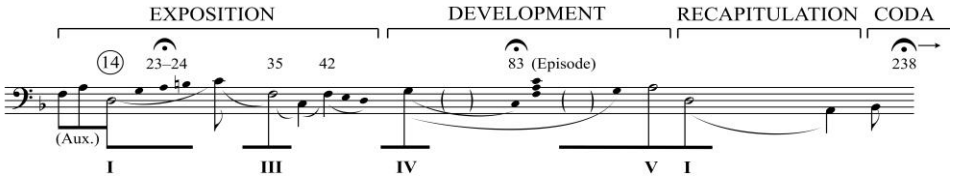
emphasis on the correspondence between the EEC and the ESC (Hepokoski and Darcy 2006, 124). Since there is, on the other hand, a tremendously powerful minor-mode closure in the final bars of the D-minor trio, it seems quite evident that the musical drama has not been solved yet; rather, both cadences – the first in tonic major, the second in tonic minor – have their own important roles in the course of events. Perhaps then from the viewpoint of Sonata Theory, the ESC occurs in bar 206, and the PAC in 238 is some kind of post-ESC which in this case also restores the original key, D minor.

On the other hand, Schenkerian voice-leading analysis may very well gravitate towards some later perfect authentic cadence if the musical drama, as I suggested above, is not yet resolved. As shown in example **7.5**, in the voice leading the beginning of the formal coda with the deceptive cadence in bar 212 creates a deep incomplete neighbour that prepares the arrival of the structural dominant that starts at bar 215. In the same way, the Neapolitan sixth chord in bar 235 is built on a lower neighbour of the structural dominant, decorating the final closure in a most dramatic way. Yet even the structural tonic in bar 238 seems to leave some of the tensions unresolved, since the melody does not yet descend to $\hat{1}$: the violin begins to play a descending a^2– f^2–d^2 arpeggio in the high register before moving to the d^1 in bar 240. While bars 238–239 can be explained as two-bar delay of the structural top voice, the violin melody also relates to the ascending a–d^1–f^1–a^1 arpeggio of the initial tones of the primary theme (discussed more thoroughly in 7.5) and thus beautifully rounds off the movement.

7.4 THE 'HOLD-ON' VS. ACTIVATING MOMENTS WITHIN THE OVERARCHING MOTION

So far the overarching motion has been discussed mainly from the point of view of various goals, enriched and delineated by the participant, here-and-now viewpoint. However, while the opening movement of Schumann's D-minor trio is most of the time very dynamic and driven, there are also counterforces to this drive – moments where the music holds on for some time. These 'sublime removals' (Daverio 1997,

325) or 'hold-on' moments, as I will call them, are particularly dependent on performers' shaping since they include gradual slowing down/deceleration before stagnation. It is as though Schumann momentarily (and deliberately) forces the music to step outside the temporal frame. But do these moments have any interplay with the overarching motion?



Example **7.6** Schumann, Op. 63, I, the location of 'hold-on' moments from the overarching point of view.

Example **7.6** in my view briefly summarises where the most salient 'hold-on' moments of the movement are from the overarching point of view.[20] The first occurs during bars 23–24 where the violin plays the *quasi cadenza* figure over a $\sharp\text{II}^{7}_{5\natural}$ –I^{6} – $\sharp\text{II}^{6}_{5}$ progression (in F major). Although these measures are harmonically less stable, there are other issues that make the moment special: the violin has reached its highest note so far, and the dotted rhythms and sixteenth-note accompaniment are absent for the first time. Moreover, the F-major sixth chord in bar 23, even though it is a passing chord between the two diminished seventh chords, at least aurally anticipates the F major that is to become the secondary key of the movement.[21]

The second important 'hold-on' moment occurs in bar 83, just before the development section's episode. This is also the first (and only) time Schumann

[20] Naturally, there are also more local 'hold-on' moments as well. Here, however, I will only discuss the ones that I believe have a role in the overarching dramatic course.

[21] The *quasi cadenza* figure also appears in the development section, bars 65–66 and at the corresponding place in the recapitulation section (bars 186–187). Indeed, since this figure reappears so many times, performers may slightly alternate with timing if they want to maintain a fresh approach to this gesture; how long the highest note will last, are the embellishment figures faster or slower, should the pianist continue directly after the final *quasi cadenza* note, and so on.

writes a genuine fermata in the entire movement, which may hint that in the previous 'hold-on' moment one should not overdo the actual pause. The final appearance of the episode in the coda section (bars 231–234) is the third – and perhaps the most powerful – 'hold-on' moment: we are at the threshold of the final outburst that closes the sonata-form structure. Here Schumann presents two opposites – the slow, dreamy episode and the accented *forte* chords with triplets – one after the other.

What is common with all three 'hold-on' moments – the first in the exposition, the second in the development section, and the third in the coda section – is the fact that each of them *occurs just before something novel is about to happen in the movement*: in the first 'hold-on' moment, a secondary theme is about to begin on the dominant of F major, in the development section, the 'hold-on' moment is followed by the surprising episode theme. In the coda, the movement is about to reach the structural closure but only after the episode theme has been presented once more. In my opinion, these counterforces towards the otherwise persistent, ongoing motion are exclamation points, best described as 'listen carefully, I have something important to say to you'.

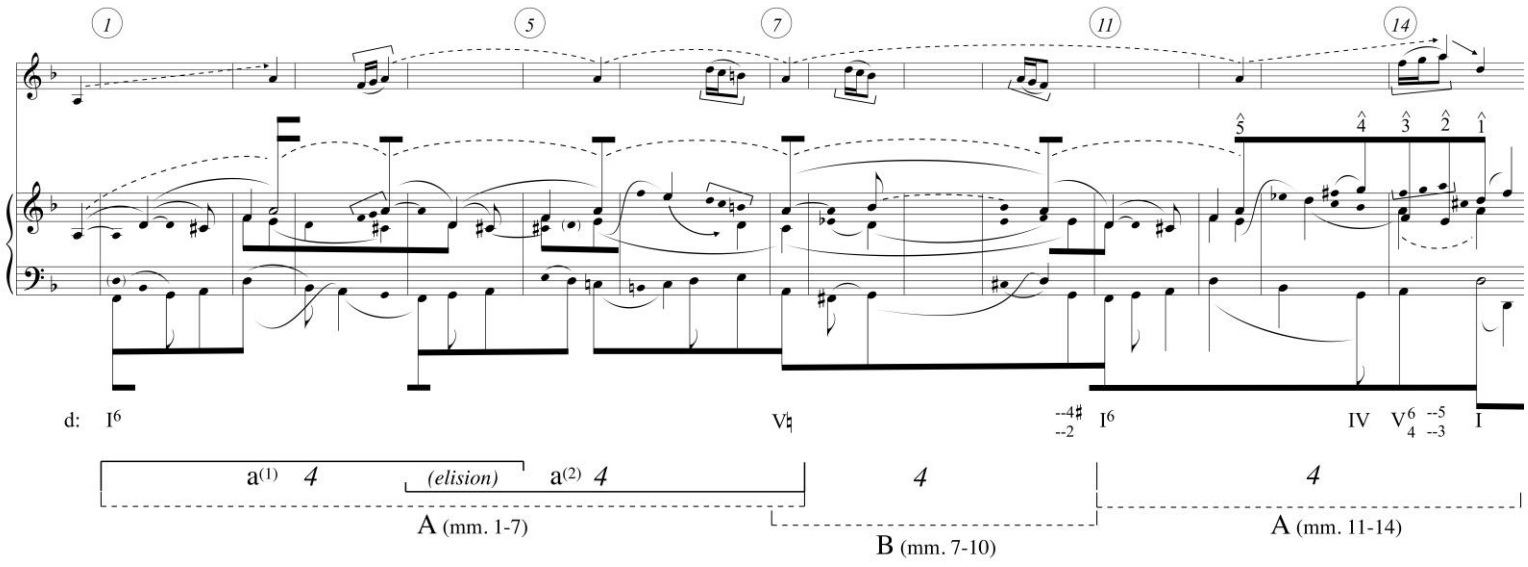
Finally, what should be stressed is that even though the music temporarily stops, the 'hold-on' moments themselves are by no means passive. On the contrary, just before something is about to happen, performers need to stay highly alert. In our trio's rehearsals, we tried to listen to each other carefully and follow each other's gestures – just how much we will play *ritardando* this time, and when it is time to continue. In my own experience, these moments were the most vulnerable ones in performance, because they cannot be decided too rigidly in advance. On the other hand, the risk of not being together somehow makes 'hold-on' moments in chamber music all the more enjoyable, even sensuous.

7.5 THE OPENING PHRASE AND ITS RELATIONS WITH OVERARCHING MOTION

Let us now go back to the beginning and examine the opening phrase of the Schumann. To start with, there are two prominent features in the opening phrase that seem to be equally important in analysis and performance. First, there is metrical instability created with syncopations and somewhat irregular accentuation marks (***sf*** or ***fp***). Second, long lines both in the strings and the piano's left hand create the impression of a perpetual melodic line, culminating in a perfect authentic cadence in bar 14 with the high a^3 note in the violin and two consecutive *forte* marks. Moreover, according to Daverio, '[t]he opening theme […] is an outgrowth of the gestural complex presented in the first measure: a cadential figure in the violin and a turning figure in the bass; the second measure then subjects the initial complex, slightly varied, to voice exchange, so that what we at first perceive as linear entities (the two-measure motives in violin and bass) emerge, on reflection, as byproducts of a vertically conceived unit' (Daverio 1997, 324).

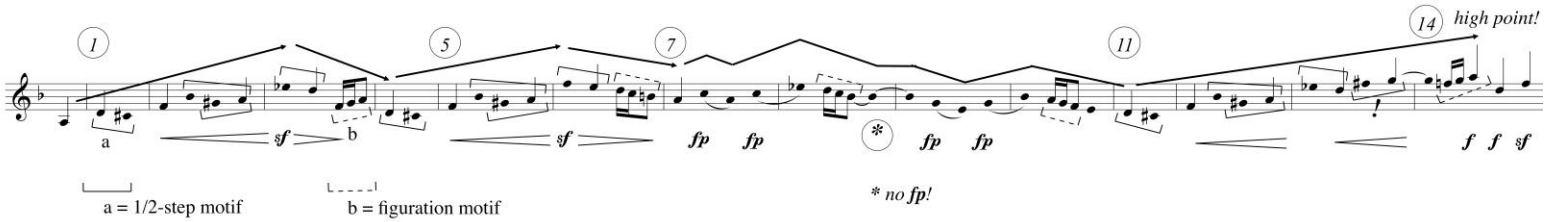
Example **7.7** presents a voice-leading reduction with the general formal layout of the opening phrase (bars 1–14), which consists of a ternary ABA organization.[22] From the harmonic point of view, the entire movement begins *in medias res*, since the harmonic I^6–VI–II^6_5–V-motion in bar 1 sounds more like a closing gesture than a beginning. This remarkable feature – although not unique in Schumann's music – has its consequences: since the movement does not begin from a stable basis, it must find harmonic stability, that is, a structurally significant root-position tonic, at some point elsewhere. But this effort is constantly postponed: even though we have a root-position tonic chord in bar 2, it is immediately overridden with a 5–6 motion. Furthermore, the ascending melody in the violin supports the on-going motion between bars 1–2 without emphasising the tonic chord in bar 2 as an important arrival. In measure 4 we have the same harmonic motion as in bar 1. But now it both begins the next 4-bar unit and ends the previous one, thus creating an overlap between the two units of similar beginning.

[22] The opening phrase might also be interpreted as a modified *quatrain* (aaba).



Example 7.7 Schumann, Piano trio in D minor, Op. 63, I: harmony, voice leading and form of bars 1–14.

After the sequential B section, A returns in bar 11. This time, however, the harmony moves to a subdominant chord (IV) at the end of bar 13 and continues to a perfect authentic cadence in the following bar. Thus in bar 14 we have, for the first time, an arrival at a structurally primary root-position tonic chord that is not weakened in any way, which is why the first phrase actually forms a large auxiliary cadence (I^6–IV–V–I) towards the structural tonic, reached in bar 14. Furthermore, notice how the A tone (also the $\hat{5}$ *Kopfton*) travels from the small a to the high a^2, and enhances the feeling of culmination along with the arrival of the structural tonic. The perfect authentic cadence in bar 14 has a dual role: it is a closure at the local phrase level and a beginning at the more overarching deep level. We can now see that to strive towards a resolution is an important compositional strategy for Schumann both in the opening phrase and in the overarching motion.



7.8 Melodic contour of bars 1–14.

Let us turn to the here-and-now viewpoint that more carefully examines the bar-to-bar melodic line with its syncopations and accentuations. Example **7.8** presents the melodic contour of the violin together with different performance indications from the score. As one can observe, there are many interesting details in the musical figuration that may require a stance from the performers: for example, the (< >) hairpin marks and different accentuations clearly suggest that the music should not be played at a steady dynamic level and tempo all the time. In addition, the half-step motives and embellishments are mostly of a descending nature, which creates friction with the otherwise ascending melody.[23] The arrows in example **7.8** illustrate the ascension and descension of the melodic line and show that the melodic line becomes more turbulent during the middle section (bars 7–10). In contrast, the final stage (bars 11–14) has the most straightforward direction where even the half-step motif is now ascending from f♯^{2} to g^2 in bar 13.

While the hypermeter of the opening phrase is quite clearly in four, many scholars have discussed how Schumann in particular often obscures the regular duple hypermeter with four-bar phrases through syncopations, upbeats, ***sf***, ***sfp***s, – in other words, phenomenal accents discussed in chapter 5 (Lerdahl and Jackendoff 1983, 17).[24] These miscellaneous accent markings are indeed problematic from the viewpoint of performance, since the music easily comes across as abrupt. Interestingly, although Schenkerian analysis is usually associated with the more overarching, goal-oriented motion, in *The art of performance* Schenker has something to say precisely on *sforzatos* (also ***fp*** and <> hairpins) on weak beats, which he advises should be played a bit earlier in time:

> [O]rdinarily the bar organization gives the player no opportunity to shape the flow of time in an unusual way; an ***sf*** on the weak beat, however, gives the impression that the

[23] An interesting compositional detail is found in Schumann's sketches of the first movement: the ***fp*** which is used repeatedly in the contrasting middle (bars 7–10) follows the sequential pattern more predictably in the earlier version where the last beat of bar 8 also has a ***fp***. In the final, published version the tension of the metrical expectation is manipulated even more since the 'pattern' is distorted so that the next ***fp*** is only on the second beat of bar 9 (Kohlhase 1979, 37).

[24] See for example Cone (1968, 79–80), Krebs (1999), or Bischoff (2005a, 410).

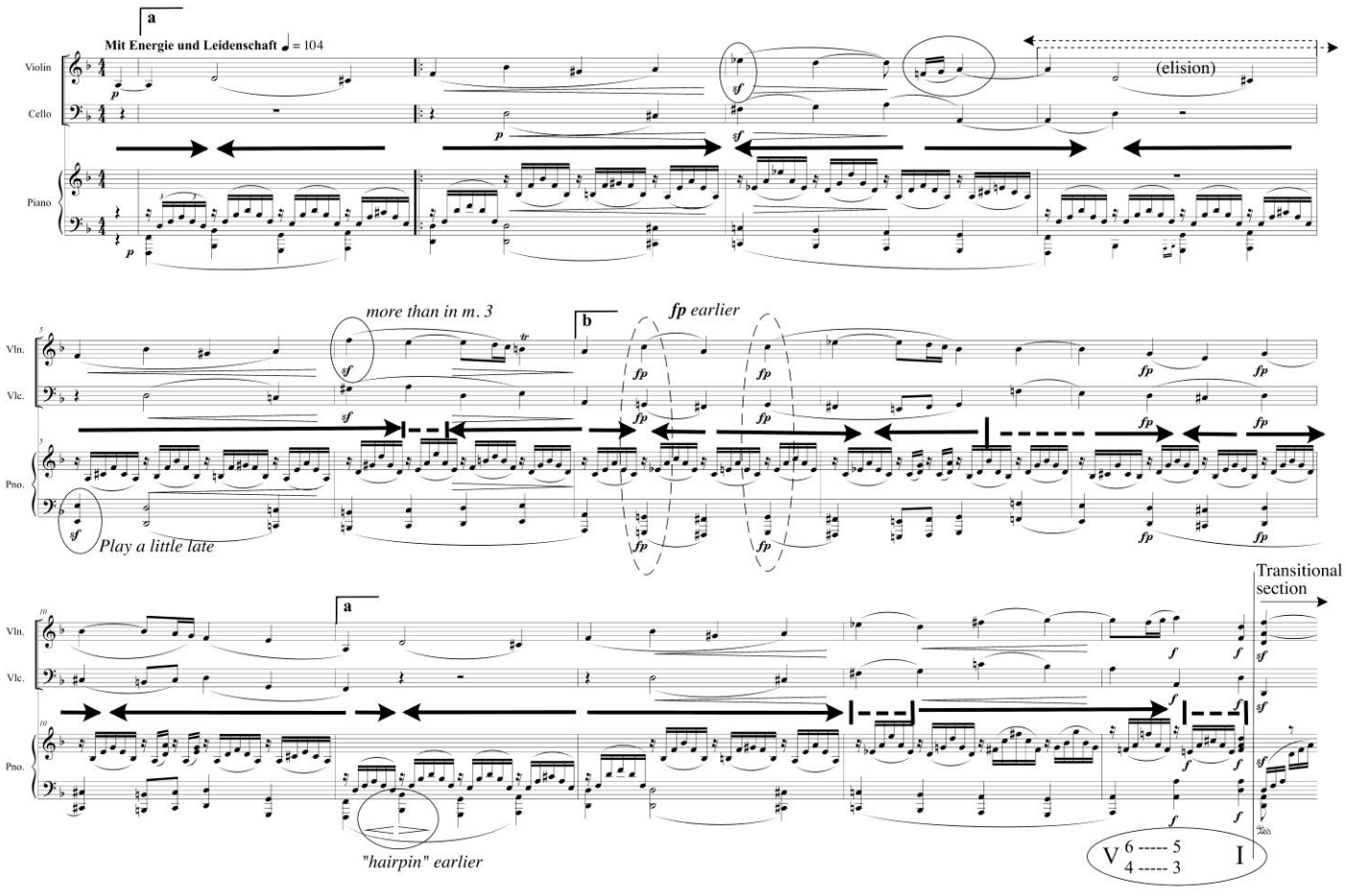
> composer felt compelled to destroy the norm during a particular moment of intense emotion (Schenker 2000, 54).

Schenker also reminds the reader that when moving to the next strong beat, the performer 'must hesitate' to maintain the balance (ibid., 61). Based on the aforementioned views, I will now present two different performance strategies on the opening phrase, first inspired by the goal-oriented, dynamic perspective, the second rather taking the more bar-to-bar 'here-and-now' viewpoint, paying special attention to the sforzatos on the weak beats discussed by Schenker.

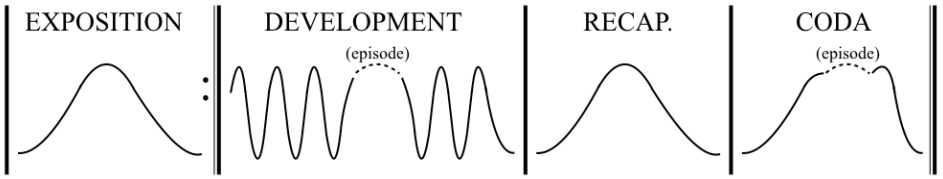
In the first experimentation (Media example **7**) we concentrated on the dynamic motion towards the perfect authentic cadence in bar 14 and paid attention to scale degree which operates in different octaves.[25] Also, we tried to emphasise slightly the violin motif that was discussed earlier. Interestingly, this goal-oriented performance of the opening phrase relates to the most imprecise depiction of overarching motion – example **7.1c** with the dramatic 'grande ligne'. On the other hand, each example of **7.1a-c** suggested an end-weighted strategy, something that the large auxiliary cadence and the arrival of the melodic high point at bar 14 also emphasise.

Example 7.9 (Next page) Schumann Piano trio Op. 63, I, bars 1–14, with tempo modifications.

[25] Direct link: https://soundcloud.com/cecilia-oinas/audio-6.


a
Mit Energie und Leidenschaft ♩ = 104
Violin
Cello
Piano
(elision)
more than in m. 3
b
fp earlier
Vln.
Vlc.
Pno.
Play a little late
Transitional section
"hairpin" earlier
V 6 ----- 5
4 ----- 3
I

In our second experimentation (Media example **8**) we tried a more active approach to shaping the musical flow with tempo modifications, also taking into account Schenker's advice.[26] Example **7.9** presents the score of the opening phrase with arrow symbols that indicate the moment where we either push ahead or hold back. Here the relation to the more overarching motion is not so evident, although the arrival at the cadence is no doubt an important moment as well. However, the dramatic motion of the middleground, as presented in example **7.10** relates to the opening phrase: here the entire movement with the highly original and intense development section with the episode appearance is dramatically corresponding with the more turbulent middle section of the opening phrase, the rhythmically distorted bars 7–10.



Example 7.10 Schumann Piano trio Op. 63, I, dramatic motion of each section.

Of course, we may always ask 'so what?' if in music analysis we are able to draw parallels between overarching and local issues. On the other hand, if we consider the opening phrases to be some sort of 'calling cards' for the entire work, it does not seem so far-fetched to take time examining its potential relationship with the more overarching 'plan' as well.[27] Indeed, Rink argues that '*grande ligne* […] lies behind the coherent performance of much Romantic and post-Romantic repertoire' (Rink 1999a, 235). Moreover, according to Rink, if we find correspondence between local and more overarching dramatic motion – or 'intensity curves', as Rink describes them – and modify our temporal shaping according to it, 'the performance as a

[26] Direct link: https://soundcloud.com/cecilia-oinas/audio-7.

[27] Indeed, many of us probably recall those instrumental lessons where the teacher talked about the first few measures for an entire lesson!

whole literally *resonates*, driven by a continual flux in all elements, an inner pulsation which, like a human pulse, like human breathing, speeds up and slows down in increasingly agitated or relaxed states' (ibid., 236).

In my own examination, I suggested the possibility of shaping the opening phrase in two different ways (which are of course by no means the only possible ones). These two performance strategies resonated in different levels: the first with the overarching, the second with the more 'middleground' dramatic level as presented in example **7.10**. As Rink states, '[t]he point is that without a parsing of this music [Mozart's K. 545, I] and an identification of each element's function both locally and in the context of the whole, one could hardly conceive a viable interpretation. Parsing and identifying function – the essence of each and every analytical act – can, and for the experienced musician probably will, initially take place at sight, on the basis of the "informed intuition" […] But immediate apprehension by no means precludes later and more deliberate consideration of how the various elements operate in a piece, and at that stage something beyond intuition may be required' (Rink 2002, 41).

7.6 SUMMARY

In this chapter, I examined the ways overarching motion may interact with performance. Starting by presenting the three overarching goals – structural, formal and dramatic – I proposed that they point out that this movement is very strongly end-weighted. By modifying the formal overarching presentation to its realistic temporal proportions, we were able to observe that this movement has a particularly long development section. Moreover, as the development section reaches the beginning of the episode, the music suddenly takes a different turn. As I suggested, even though the motivic similarity of the primary theme and the episode theme is evident, the moment is so salient that our trio tried to emphasise its uniqueness by taking the 'naive', first-time approach rather than trying to bring out the similarities using similar tempo and agogic shaping. I also suggested a new concept, 'hold-on' moments, especially ones that precede dramatically and structurally important

events. I proposed that 'hold-on' moments can be viewed as important landmarks that denote overarching motion in a productive way and create fruitful interaction between analysis and performance.

Finally, I examined whether overarching motion, especially from the viewpoint of its goals, may interact with local motion and motivate issues of performance. After considering the opening phrase (primary-theme zone), I proposed that in this particular example, the large auxiliary cadence of the opening phrase as well as the motion towards the dramatic high point indeed correspond with the work's more overarching goals that equally resolve only at final moments in the movement. On the other hand, the agogically bolder second performance that focused on the various accents, especially the ones found in the B section (bars 7–10), better corresponded with the 'middleground' dramatic presentation, depicted in example **7.10**. This performance, itself a more experimental one, originated from issues of performance, or more precisely from the need to understand the abundant amount of performance markings. The fact that this performance strategy resonated with the middleground, not deep-level, dramatic profile, was yet another 'happy consequence' (Schachter 2000, 55); not planned but aesthetically satisfactory.

8 UNFULFILLED MOTION: SCHUMANN OP. 110, I (BEWEGT, DOCH NICHT ZU RASCH)

8.1 INTRODUCTION

In this chapter I will address the issue of unfulfilled motion in all previously discussed levels: local, in-between and overarching.[1] In the very heart of unfulfilled motion is the idea that ongoing music creates general expectations – growing out of stylistic or tonal conventions or both – which are deceived, either temporarily or sometimes even permanently. Both Schenkerian analysis and Sonata Theory offer a good platform to examine unfulfilled motion, since their viewpoints are essentially goal-oriented: in Schenkerian analysis, the *Ursatz* closure resolves the overarching, deep-level motion of the work; in Sonata Theory, 'the essential structural closure', ensures that the work indeed is a sonata form (Hepokoski and Darcy 2006, 124 and 250). If these ultimate goals are evaded – even temporarily – the evasion not only has a local effect, but also threatens the completion of the entire sonata-form structure, which is exactly what happens in the opening movement of the G-minor trio: at the moment when we believe that the movement will close with a perfect authentic cadence at the end of the recapitulation section (bar 217), the deceptive cadence forces the harmonic structure to search further for its completion. In Sonata Theory, an evasion such as this is understood as a deformation against conventions on the generative background of sonata form (Hepokoski and Darcy 2006, 614–18). Since deformations usually signal that something special has occurred, it might be worthwhile to consider whether it will affect musical shaping in performance as well.

[1] An earlier version of the analyses in this chapter can be found in my article, 'Harmonic evasions and their shaping in performance: the opening movement of Schumann's G minor trio.' *Music Performance Research*, Vol. 8 (2017).

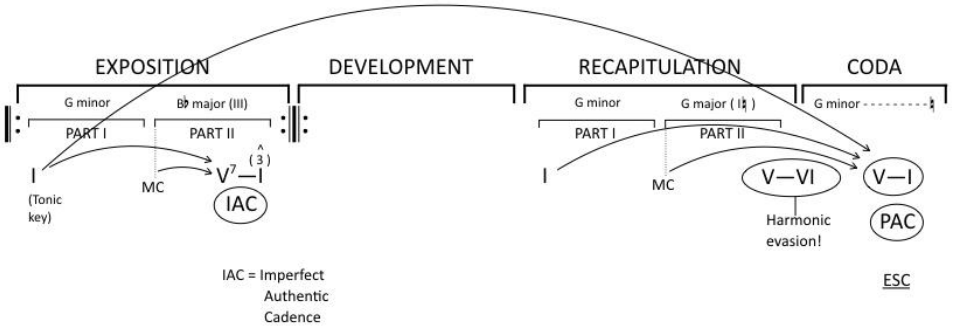
In addition to the more overarching unfulfilled motion, there are, however, other more local instances where unfulfilled motion is equally clearly present. In this chapter I will consider a very peculiar boundary found in the exposition that our trio discussed in great detail over the rehearsals: bar 25–39, which entail the transitional zone and the beginning of the secondary-theme zone. I will also discuss the somewhat lengthy cadential phrase (bar 51–72) at the end of the exposition's secondary-theme zone that leads to a cadential closure in B♭ major (the same material leads to the deceptive cadence at the end of the recapitulation section). Finally, I shall examine the parallel cadential phrase of the recapitulation section and discuss the ways performers shape the material before and after the deceptive cadence compared with the shaping of the exposition.

In my final analytical chapter, I will also examine three recent recordings of the G-minor trio and mirror their interpretative decisions against our trio's insights. These recordings are The Benvenue Fortepiano Trio (Eric Zivian, fortepiano, Monica Huggett, violin, Tanya Tomkins, cello) from 2010, *Voces Intimae* Trio (Riccardo Cecchetti, fortepiano, Luigi de Filippi, violin, Sandro Meo, violoncello) from 2011, and Trio Jean Paul (Eckart Heiligers, piano, Ulf Schneider, violin, Martin Löhr, cello) from 2010. The first two trios play period instruments, whereas Trio Jean Paul uses modern instruments. However, my intention is not to examine differences between modern and period instrument recordings *per se*. Rather I wanted to choose three recent recordings in order to provide a view on the current performance trends in Schumann's chamber music.

8.2 UNFULFILLED MOTION IN THE OPENING MOVEMENT OF THE G-MINOR TRIO: INITIAL OVERARCHING CONSIDERATIONS

Example **8.1** presents the formal and harmonic layout of the opening movement of Schumann's G-minor Piano trio. Compared with an archetypal sonata form schema, we may observe that both harmonic goals are obscured in the trio: in the exposition, the closing cadence in the secondary key, B♭ major (III) in bar 72 is imperfect rather than perfect, contrary to what one would expect at this point of the exposition.

Moreover, the resolving authentic cadence is reached only in final bars of the exposition. This creates unease and anxiety in the exposition. In the recapitulation, even more surprising things happen: the essential structural closure (bar 241) in the tonic key is postponed until within the formal coda, through an evasion of a cadence, in this case V–VI$^{7–6\#}$, at the end of the recapitulation section (bars 216–17). Thus it seems that the 'proper' recapitulation section is unable to provide a secured closure in this work. Rather, it is the coda, which often functions as post-cadential material for the sonata form structure that reaches the strongest harmonic goal of the entire movement.[2]



Example 8.1 Overview on the opening movement of Schumann's G-minor trio, Op. 110.

The example points out that the ultimate harmonic goal, the perfect authentic cadence (ESC in Sonata Theory and structural closure in Schenkerian analysis), is found in the coda section. Yet there are differences between Schenkerian analysis and Sonata Theory regarding how much this closure actually manifests unfulfilled motion. Unlike Hepokoski and Darcy, for Schenker the sonata form's sectional distribution to exposition, development and recapitulation does not *a priori* define

[2] Of course, Schumann's G-minor trio is not a unique example of harmonically evaded essential structural closures; before Schumann, Beethoven in particular composed sonata form works with obscured structural closures in the recapitulation section. One of the most famous examples is the Finale of Symphony No. 5 in C minor, where the anticipated closure in the recapitulation section is evaded and the resolution only happens when the coda starts. See also Hepokoski and Darcy 2006, 245–250.

the expected location for the structural closure.[3] What is also noticeable from the Schenkerian point of view is that a genuine 'structural coda' only begins when a structural closure has been attained. In the case of the G-minor trio, this happens in bar 241, not in bar 217 where the formal coda starts with an evasion of a cadence and a new *Rascher* tempo mark. For Hepokoski and Darcy, however, this kind of evasion is always a certain type of deformation from the generic sonata-form structure. As they write, 'in every sonata in which a failed exposition or failed recapitulation appears—well through the entire nineteenth and early twentieth centuries—it remains a powerful effect' (Hepokoski and Darcy 2006, 178). They note however that after Beethoven, nonresolving recapitulations became 'a more standard deformational option' and that the 'burden of tonal resolution is then placed on the coda' (ibid., 178). Before we arrive at this moment, there have already been several instances in the exposition which are worthy of discussion, since they may partly explain exactly why Schumann ended up with such a powerful overarching evasion in bar 217.

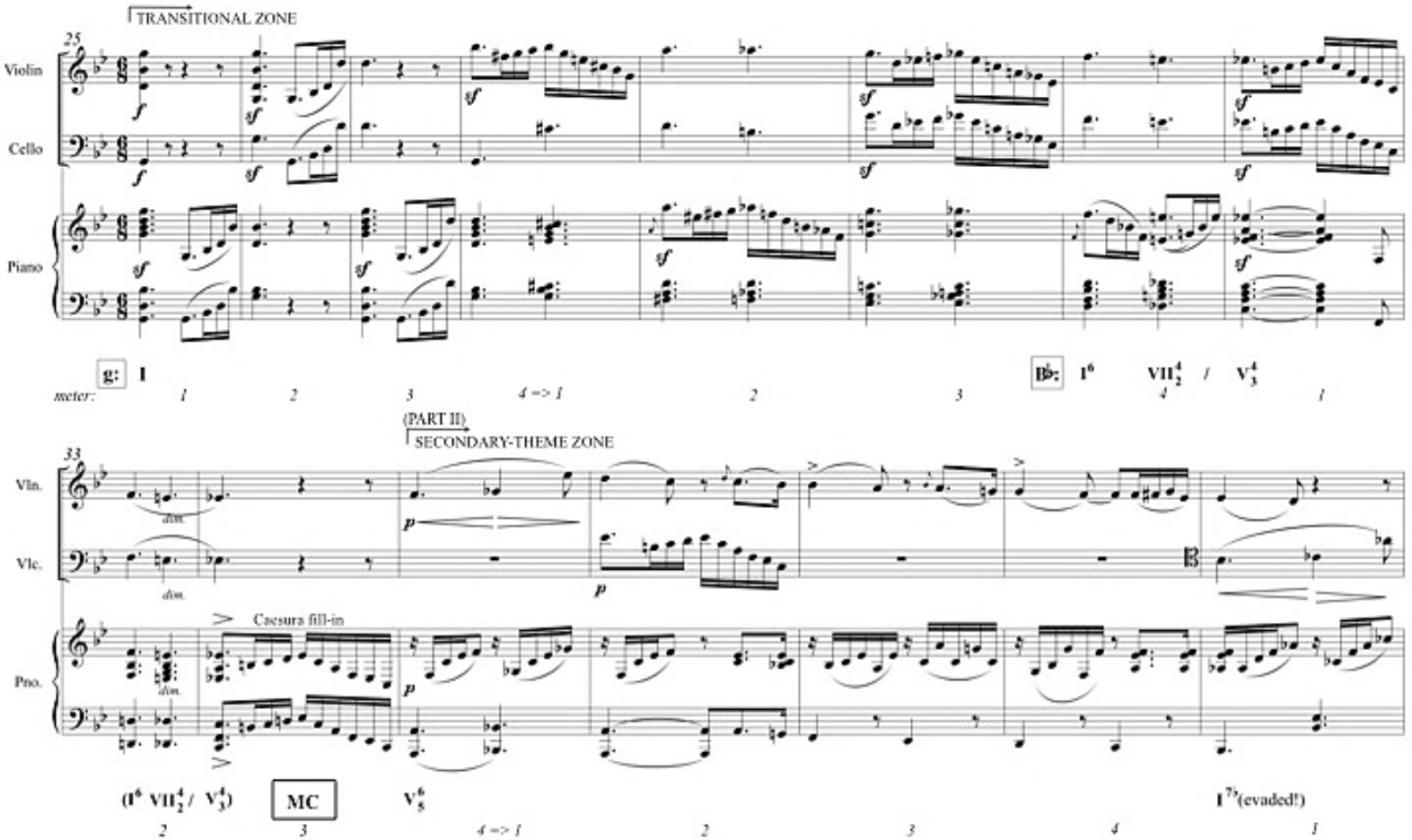
8.3 Examining in-between motion: the obscured boundary between the transitional zone and the secondary-theme zone

Typically, the first part of the sonata-form exposition includes a transitional zone towards the secondary key, ending with a half cadence in the secondary key (sometimes also in the home key), which Hepokoski and Darcy call the medial caesura (Hepokoski and Darcy 2006, 25–26). And, as already suggested in previous chapters, the following secondary-theme zone often begins in *piano* dynamics and introduces a new theme in the secondary key.

[3] To be sure, in his section on sonata form in *Free Composition* Schenker notes that after the *Ursatz* closure, 'a coda section may follow, and there may be a harking-back to the position of the primary tone in the exposition' (Schenker 1979, 138), which means that after the structural closure the work might end with a more open situation and still be structurally coherent.

In-between motion, that is, moments where one thing ends and another begins in a musical work, are often something that need to be discussed and shaped during rehearsals, since they do not settle down so easily, especially when there is more than one player. The boundary between the transitional zone and the subsequent secondary-theme zone in the Schumann trio is quite original, not only because the transitional zone ends with an inverted dominant seventh chord (V^4_3) of B♭ major in bar 34 instead of a more normative root-position dominant chord, but also because the secondary theme begins with another dominant seventh chord (V^6_5 of B♭ major) in bar 35 as well. Thus we have two successive dominant chords that seem to have the same harmonic function, yet the first clearly ends something while the next starts something. Example **8.2** provides the score of bars 25–39 with the main harmonies as well as metrical and formal considerations. It also shows that the medial-caesura break is filled with the piano's sixteenth notes – thus forming a 'caesura-fill' (Hepokoski and Darcy 2006, xxv). Interestingly, since this filling is actually a repetition of bar 32, we may have the expectation of an extra bar before the secondary theme begins, one that would include a genuine pause in the music.

Example 8.2 (Next page) Schumann, Op. 110, I, bars 25–39.


TRANSITIONAL ZONE
25
Violin
Cello
Piano
g: I
meter: 1 2 3 4 => 1 2 3
B♭: I⁶ VII⁴₂ / V⁴₃
4 1
(PART II)
SECONDARY-THEME ZONE
33
Vln.
Vlc.
Pno.
dim.
Caesura fill-in
(I⁶ VII⁴₂ / V⁴₃)
MC
V⁶₅
I⁷⁵(evaded!)
2 3 4 => 1 2 3 4 1

The harmonic smoothing is also reinforced by metrical issues, since the bars shown in example **8.2** include two metrical reinterpretations – first in bar 28, and then at the start of the secondary-theme zone (bar 35) – where the expected fourth bar of a four-bar hypermeasure becomes a new downbeat.[4] This does not mean, however, that the beginning of the secondary-theme zone in bar 35 is necessarily accented in performance. In fact, while the transitional zone as a whole is dominated by ***sf*** accents in nearly all bars, the secondary theme includes subtler agogic performance markings such as hairpins and piano dynamics. Moreover, the metrical shift in bar 35 is not as abrupt as one might first expect: notice that bars 33–34 are a repetition of bars 31–32 where the instruments play a chromatic descent in tenths and move from B♭ major I^6 to V^4_3.[5] Because of this repetition, I propose bars 31 and 34 carry a 'shadow meter', shown in parenthesis in the example. Indeed, in the brief transitional zone (bars 25–34) the regular four-bar hypermeter is constantly challenged either with metrical reinterpretation or metrical ambiguity.

The performance markings, dynamics, registral issues – in other words, secondary parameters – are once again a good starting point to investigate how formal boundaries are approached by performers. For instance, while the correspondence between bars 31–32 and 33–34 is evident, there are differences as well: firstly, the repeated version is played one octave lower; secondly, in bar 33 Schumann writes *diminuendo* for all three instruments; and thirdly, the V^4_3 chord is marked ***sf*** only in its first appearance in bar 32, whereas in bar 34 there is an accent mark in the piano score while the strings play the same note softly, as the end of the *diminuendo* line. In the following video clip (Media example **9**) our trio discusses the aforementioned passage.[6] As the video shows, there were several issues we considered when shaping the final bars of the transition. For example, how long does the *diminuendo* beginning in bar 33 last, and does it affect the tempo? Based on our discussion, I play two possibilities regarding how to shape bar 34: the first

[4] Since bar 28 is clearly such a significant turning point in the music, it might also be possible to interpret that the transitional zone only begins here and bars 25–27 are 'post-cadential' after the perfect authentic cadence closure in G minor in bars 24–25. See Hepokoski and Darcy's discussion on the 'dissolving P-codetta' (Hepokoski and Darcy 2006, 102–103).

[5] The parallel tenth motion already starts in bar 27.

[6] Direct link: https://dotsub.com/view/b5fb3600-fa45-4c32-92dc-674c225f796c.

without a *ritardando*, and the second with a slight holding back in the middle of bar 34. After this, the cellist comments that I could also slow down at the end, which I then do. Also, we ponder with the violinist how she should come in in bar 35 – with a slight holding back or directly *a tempo*? The cellist warns that since she has the same sixteenth-note motive in bar 36 as the piano in bar 34, the tempo should not slow down too much.

Since our rehearsals were not directly followed by a public performance, it is quite natural that many issues are not finalised here. Thus it is fruitful to compare how the same bars were carried out in recordings, which are able to offer the performers' 'ideal' interpretation created in the recording studio. It turned out that all three trios had a fairly different approach to this moment.

Firstly, in the Benvenue Piano Trio's recording[7] (Media example **10**) the pianist almost entirely omits the accent in the beginning of bar 34, thus reinforcing the feeling that bars 33–34 repeat the musical 2-bar idea presented in bars 31–32. There is a very tiny gap between bars 34 and 35 before the secondary theme begins, but basically the boundary is played without any *ritardando*.

In contrast, Trio Jean Paul (Media example **11**) makes a very sudden *ritardando* together with the diminuendo in bar 33.[8] The pianist continues the *ritardando* by playing the first half of bar 34 a bit slower. From the second half of bar 34, the pianist plays *a tempo*, directly continuing on towards the second group. Trio *Voces Intimae* (Media example **12**), on the other hand, takes an entirely different approach by accenting the piano's chord in bar 34 very clearly, and continuing the bar *a tempo*.[9]

How do these differing interpretations help us to acquire a more versatile view on this peculiar boundary? First, let us consider the way the trios interpreted the previously mentioned piano's accent in bar 34. To be sure, the accent is written relatively long, which means it may be also interpreted as an agogically affecting hairpin mark. In his article 'The Brahmsian hairpin' (Kim, 2012), pianist and

[7] The link for the entire record may also be found here: http://www.avie-.records.com/releases/piano-trios-nos-1-and-3.
[8] The exact time for this example is 0:47-1:08 .
[9] The exact time for this example is 0:50-1:10.

fortepianist David Hyun-Su Kim describes this type of hairpin as a 'tenuto-type hairpin', which is a subcategory of 'accent-type' hairpins:

> I call the three most common [hairpin] types "closing," "accelerando," and "lingering." […] To these three types we may add a fourth: the accent-type hairpin. This is a diminuendo hairpin alone, or a pair of hairpins together, understood as an enlargement of a regular accent (>) or *messa di voce* (< >) sign. Read descriptively, an accent-type hairpin thus calls for "more" as opposed to "louder" and can be realized by a variety of means, such as vibrato or chord-rolling. An agogic realization of an accent-type hairpin frequently results in tenuto-like lengthening or slowing, and so I will designate it the tenuto-type hairpin (Kim 2012, 48).

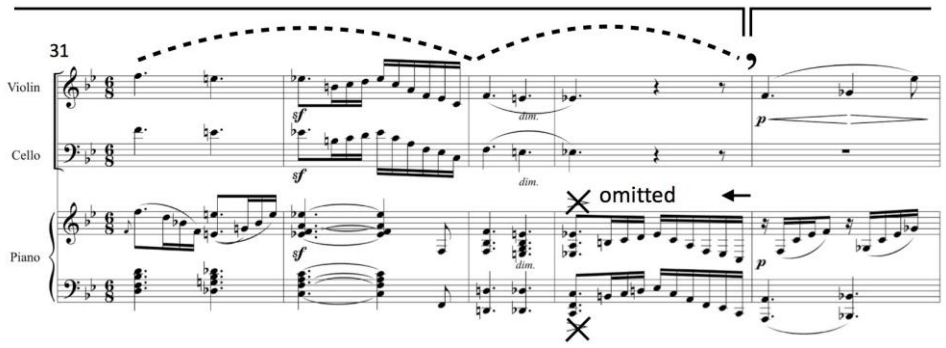
Of the three trios, Trio Jean Paul's interpretation is closest to Kim's description of a 'tenuto-type' hairpin: the pianist lengthens the chord of bar 34 and then pushes ahead towards the secondary-theme zone during the sixteenth-note figuration. In the Benvenuto Trio, the pianist plays the chord the same way as the strings, as the end of a *diminuendo* line, thereby almost entirely omitting the hairpin/accent, perhaps for more coherent trio playing. In *Voces Intimae*'s interpretation, the hairpin is rather understood as an accent, without any agogic inflection.

According to William Rothstein, phrases may be further divided into subphrases, which sometimes are out of phase with the metrical structure, mainly 'because at this level it is vital to keep the rhythm flowing from one bar to the next' (Rothstein 1989, 31). In the G-minor trio, it turned out that performers shaped the subphrase grouping (in this case, bars 31–34 include two two-bar subphrases) and the actual formal boundary in more than one way. Examples **8.3a-c** illustrate three different readings on subphrase grouping between bars 31–35, based on the above performances. In **8.3a**, which follows Benvenue Fortepiano Trio's interpretation, the subphrases (marked with a dotted slur) correspond with the larger phrase structure boundary between bars 34–35. In Trio Jean Paul's interpretation (**8.3b**), however, the sixteenth note figuration in bar 34 sounds rather like a prefix/lead-in to the secondary-theme zone.

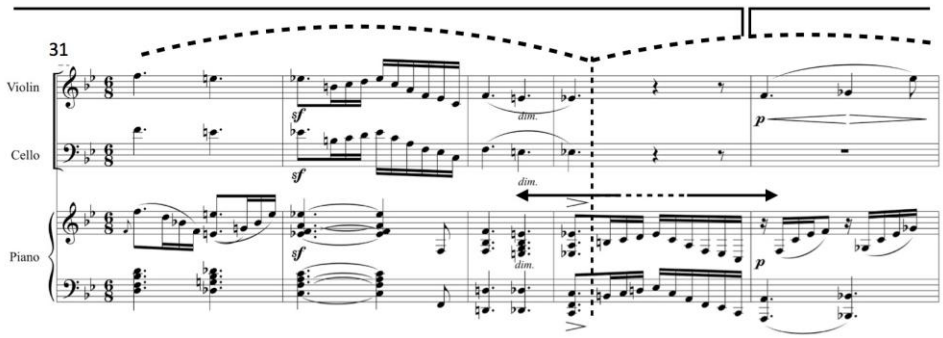
Finally, by strongly accenting the V^4_3 in bar 34, *Voces Intimae*'s interpretation (**8.3c**) might even suggest a subphrase overlap in the beginning of bar

34 (the strings end their line with a diminuendo while the piano begins a lead-in to the following unit directly from the accented V_3^4 chord) which further smooths the two dominant chords (V_3^4 and V_5^6 chords) into one continuous breath. In their shaping, it is even tempting to ask whether from the standpoint of Sonata Theory we hear a medial caesura at all. If this is indeed the case, we have an example of a so-called continuous exposition, with no genuine secondary-theme zone (Hepokoski and Darcy 2006, 51–60). In following this interpretation, after the harmonically closed primary-theme zone (here bars 1–25), the exposition‘s next articulated event would be the essential expositional closure, here reached only at bar 72. No matter how debatable the continuous exposition reading may be from the analytical point of view, I find this a good example of how shaping details can have a great impact on the more overarching level as well.

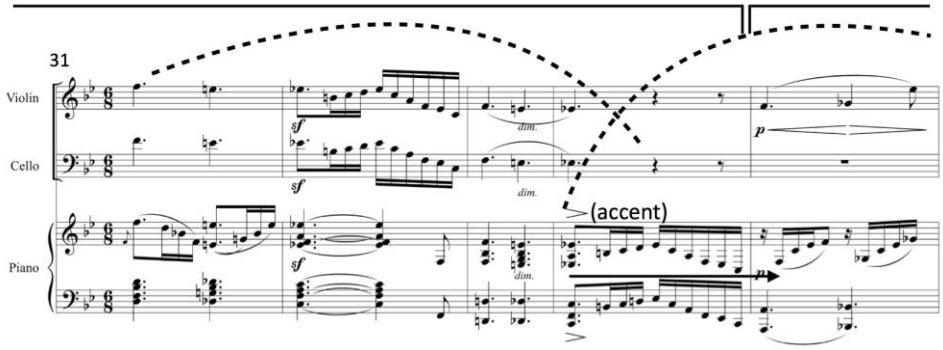
Example 8.3 Three different subphrase shapings on motion from transitional zone to secondary-theme zone.



8.3a Benvenue Fortepiano Trio



8.3b Trio Jean Paul



8.3c *Voces Intimae* Trio

In his article 'The half cadence and other such slippery events' (2014), Poundie Burstein argues '[e]specially where the features that clarify cadential status are subtler than can be explicated by the printed score, it might be best to regard the analysis as contingent on the performance decisions, rather than the other way around' (Burstein 2014, 209). As illustrated in example **8.3a-c**, performers shape the Schumann boundary in many ways, and in this sense they are also enriching the analytical consideration of this peculiar example.

In addition, when examining the differences between boundary shaping – originally motivated by analytical consideration – it also revealed a more overarching phrase shaping differences among the three trios. For instance, while Benvenue is mostly accenting the first beat of each bar throughout, Trio Jean Paul

rather shapes phrases as if they always begin with an 'Auftakt' (upbeat). *Voces Intimae*, on the other hand, did not have such a clear strategy throughout. What is noticeable, however, is that they stressed the sforzatos in bars 30 and 32, so that the accented > in bar 34 is in this sense a logical continuation of the chain of accents. Thus we not only learned the different ways in which this boundary could be approached in performance (and how it may affect analytical reading), but also how the performers' initial strategies towards phrase shaping were related to bar-to-bar level performance decisions.

8.4 Local motion: the multi-evaded process towards the B-flat major tonic during the secondary-theme zone (bars 35–72)

Before the authentic cadence closure in B♭ major in bar 72, there are several ultimately unsuccessful cadential attempts during the secondary-theme zone, yet all of them are more or less obscured. In this section I will first concentrate on the final phrase, which extends from the middle of bar 51 to bar 72, and then I will discuss the entire secondary-theme zone, especially from the perspective of form and voice leading.

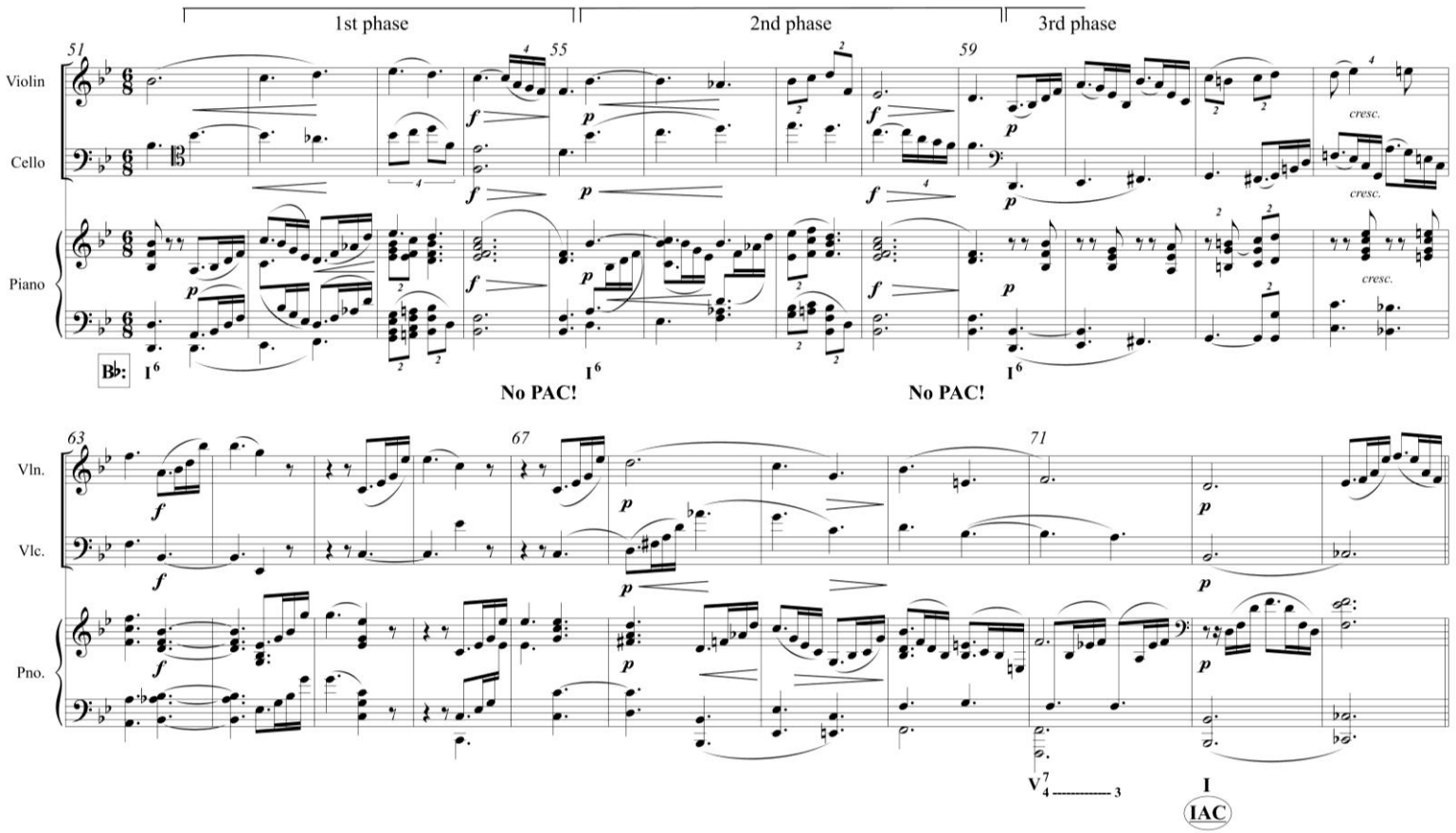
The final phrase of the secondary-theme zone includes three phases (or subphrases), with two harmonic evasions before the actual closure in B♭ major (Example **8.4**).[10] The first evasion occurs in bars 54–55 where one is expecting a root-position dominant chord in bar 54 that would resolve to the tonic in bar 55. (The accelerating rhythms in the strings and the ascending bass line in the piano support this reading.) Instead, the bass sustains the tonic of B♭ although the upper voices play the tones of the dominant. Bars 55½–59 repeat the same, cadentially unsuccessful motion. Finally, the upbeat to bar 60 begins yet another new motion,

[10] Although here I am primarily concentrating on the final phrase of the exposition (bars 51½ -72), it is worthwhile to mention that the phrase itself begins on an evaded cadence, from V^4_2 to I^6 in bar 51.

this time expanding to 12 bars and reaching the imperfect authentic cadence in bar 72.

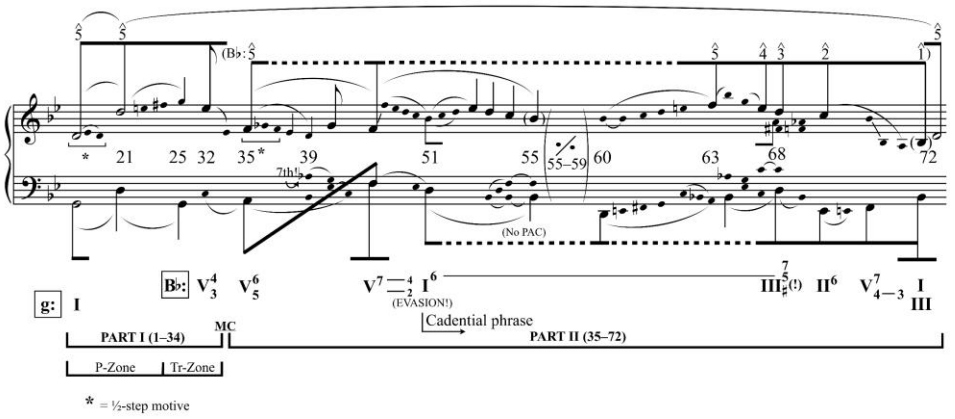
Especially in our first rehearsal session (Media example **13**), bars 51–72 were rehearsed in detail, however not primarily because of the evasions , but because of the repetitions (bars 51½ -55 and 55½–59), which often raise questions regarding dramatic intensity.[11] One of the common solutions is to play 'less' in the first one, then grow in intensity during each repetition, and this was a strategy initially suggested by one of our players. Later, however, we began to wonder if this passage was so dramatically straightforward after all? For example, during bars 55½–59 the melodic parts between cello and violin are interchanged. For the cello, the final sixteenth notes are registrally high compared to the violin, so the final notes have a less firm quality than in the first one. In addition, the piano's texture becomes lighter the second time, since the bass is written an octave higher and the theme is not doubled in octaves like the first time. Finally, in the third, expanded version (bars 59½–73) it would seem natural at first glance to immediately start the crescendo as our violinist first suggested. However, the cellist insisted on holding back in the beginning, and then making a quick crescendo towards the dynamic high point, the B♭ seventh chord in bars 63–64. By shaping the crescendo in a different way than in the previous two phases, our playing did emphasise the dramatic importance of the third phase, which I believe is the key for shaping the overarching dramatic profile of the entire secondary-theme zone.

[11] Direct link to video: https://dotsub.com/view/66ecadc2-c483-401e-b499-4226a47be02a.



Example 8.4 Schumann, Op. 110, I, bars 51–72.

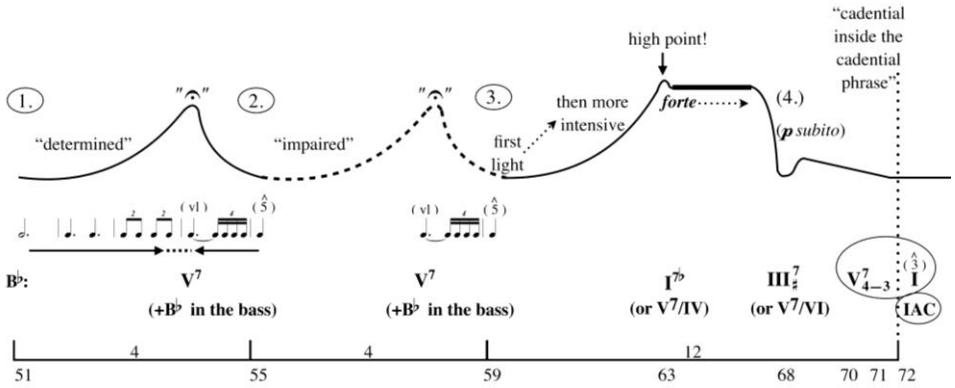
Example **8.5** summarises the events of the second part of the exposition from a Schenkerian harmony and voice-leading perspective. I think the graph succeeds in partly capturing, in theoretical language, what is going on in regard to musical expectations. For instance, the four $\hat{5}$–$\hat{1}$-descents between bars 35 and 72 in the local B♭-major key, suggest that before bar 72 there has indeed been more than one attempt to reach a closure. In this voice-leading interpretation, the three dominant seventh chords, V^4_3 (bar 32), V^6_5 (bar 35) and V^7 (bar 47) ultimately belong to the same dominant prolongation. Also, the I^6 chord in bar 51 begins an auxiliary cadence motion towards the B♭-major chord in bar 72. The I^6 chord is prolonged until bar 68 where the 6–5 motion and chromatic third alteration change the chord to an expressive D-major seventh chord with the concluding cello solo.



Example 8.5 Schumann Piano trio in G minor, I. Schenkerian voice-leading graph of the exposition.

However, while in analysis, such as the one presented in example **8.5**, the repetition between bars 55 and 59 is omitted or put in parentheses, performers need to live through the repetitions and to consider some interpretation strategies regarding how to maintain tension and direction. As a result, if we were to make a graphic presentation on how we as performers shaped bars 51½ –72, we would need to highlight slightly different aspects. For instance, there clearly are local dramatic highpoints which are not structural in the sense that we haven't arrived at a cadential

closure. Example **8.6** includes a graphic presentation based on our rehearsal discussion. It discloses four moments that serve as dramatic goals for the performer. Bars 51½–55 and 55½–59 form brief waves that halt momentarily during the ambiguous dominant chord heard over the tonic bass (you can see the fermata symbol in quotation marks in the top of the curve). The second wave is written as a dotted curve, which emphasises the lighter, more transparent quality of the repetition. During the third wave, there is a B♭ seventh chord that is both the goal of the crescendo and a turning point: it begins a four-bar forte area with dialogue between the strings and the piano. Finally, in bar 68 we have the mysterious D-major seventh, here interpreted as $\mathrm{III}^{7}_{\sharp}$ of B♭-major key. It begins with a cello solo and a sudden drop to a *piano* dynamic. As example **8.6** suggests, bars 68–72 can be understood as a fourth wave, or part of the longer third wave, which would correspond with the phrase's distribution into three phases, as shown in example **8.4**.



Example 8.6 Graphic presentation on our trio's rehearsal discussion of bars 51–72.

From the three recordings, there are differences regarding which one of the four waves is dramatically most underlined. For example, the Benvenue Fortepiano Trio (Media example **14**) takes the most time during the third high point (bar 63), and

also plays the following bars a bit more slowly.[12] Interestingly, they are also the only trio who emphasise the structural B♭-major chord in bar 72 by the piano's bass accent.[13] Trio Jean Paul (Media example **11**), on the other hand, is the only one to play the sudden *piano* in bar 68, since other two trios rather prefer a gradual *diminuendo*.[14] Thus in their interpretation the fourth wave becomes the turning point, not the third one. As for *Voces Intimae* Trio (Media example **12**), in their interpretation the music elegantly moves on from one wave to the next. [15]

Finally, let us consider once more the final cadence of the exposition in bar 72 – do we have unfulfilled motion in the sense that the exposition did not succeed to produce a perfect authentic cadence? To be sure, the possibility of an imperfect authentic cadence being the 'essential expositional closure', is discussed by Hepokoski and Darcy in some length:

> Although rare, it is possible for an EEC to be more weakly secured by an IAC. Before one comes to this decision, the rhetorical signals surrounding this EEC-moment—particularly regarding the status of C—should be overwhelming (sufficiently overwhelming to overpower the EEC-concept, among the strongest of conventions). […] Frequently the effect is that of a PAC in the literal or implied structural voices with a mere cover tone in one of the decorative upper voices (Hepokoski and Darcy 2006, 167–169).

Hepokoski and Darcy continue that elisions with the closing material (C) are also possible: 'When that elided C theme begins on $\hat{3}$ or $\hat{5}$, the moment of the EEC/PAC will not have $\hat{1}$ as the highest-sounding voice. Obviously, the implied PAC is not undermined by these circumstances' (Hepokoski and Darcy 2006, 169).

In Schumann's G-minor trio, the $\hat{3}$ (the D in the violin) in bar 72 is both an elision of the secondary-theme zone and closing zone and a cover tone, which means that from an analytical point of view the imperfect authentic cadence is only apparent and thus we do not have a case of a genuinely unfulfilled motion like the

[12] Direct link to audio: https://soundcloud.com/cecilia-oinas/audio-9.
[13] The accent is not written in the score.
[14] Minutes for this example: 1:52-2:10.
[15] Minutes for this example are 1.50–2:20.

one found in the recapitulation section.[16] The shaping of the process that leads to the imperfect authentic cadence – in this case, the entire final phrase starting in bar 51 – required quite a lot of attention in rehearsals. Yet when our trio carefully prepared the material that came before the actual closure, the final cadence became by itself, spontaneously, offering a temporal relief from G minor with the more positive B♭-major key.[17]

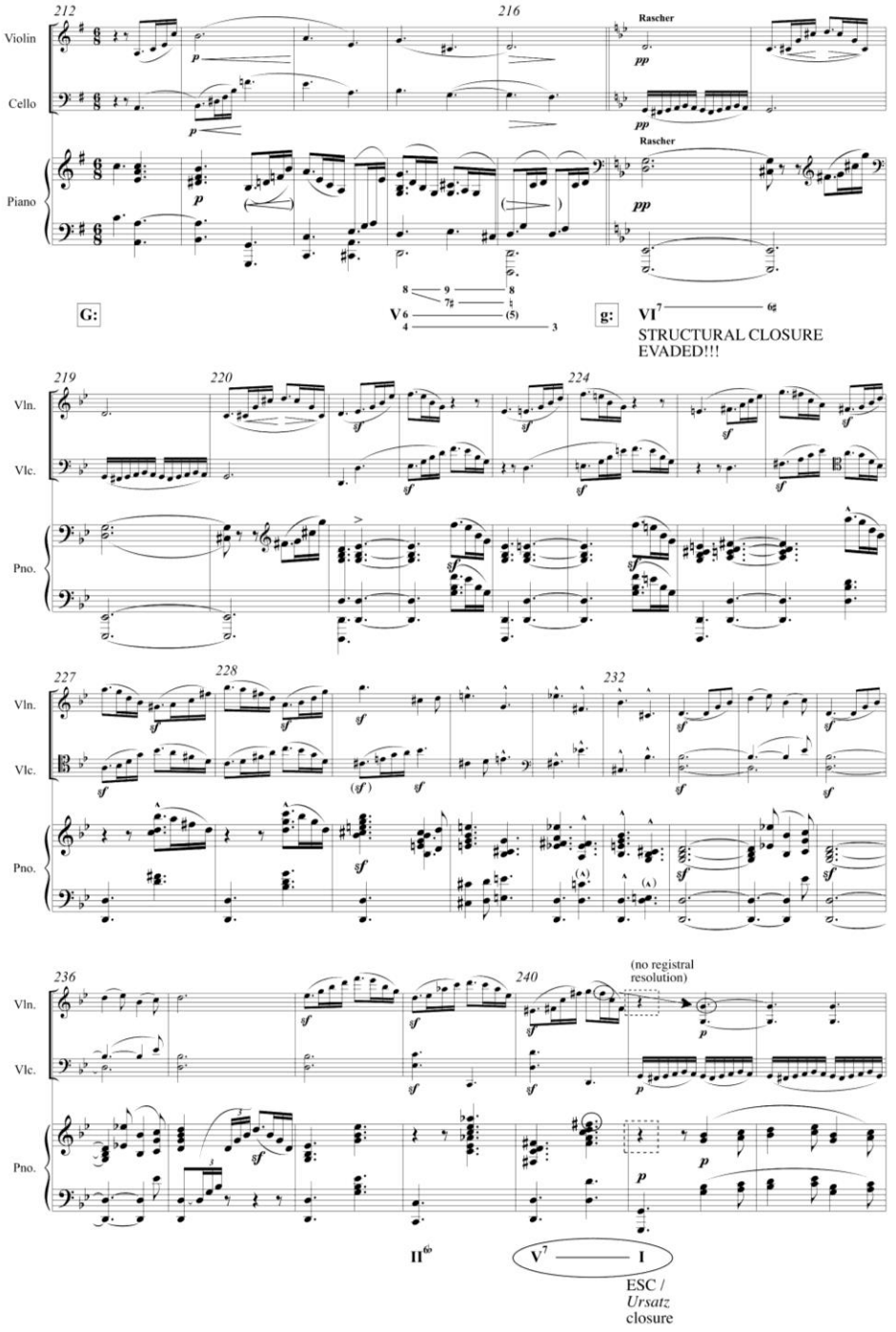
8.5 STRUCTURAL EVASION AND ITS RAMIFICATIONS: FROM RECAPITULATION TO CODA

In their chapter 'Sonata form in minor keys', Hepokoski and Darcy discuss how '[t]he desire to be emancipated from minor into major constitutes the basic narrative paradigm—the extra burden—of minor-mode sonata form' (Hepokoski and Darcy 2006, 311). According to them, the minor-mode sonata exposition which modulates to a major key 'represents the building of a structure of promise, a structure that, when it reappears in the recapitulation, will manage to do what the exposition could not do: decisively emancipate the tonic minor by converting it into the parallel major' (ibid., 311). However, they note that 'a recapitulation that concludes in major may be undercut by a negative, minor-mode coda—darkly pessimistic in its implications' (ibid., 313).

Indeed, this is precisely what happens in the Schumann trio (just like in the previous D-minor trio as well): after the recapitulation proper, the major-mode tonic is powerfully swept away with a turn to minor (Example **8.7** presents the score with partial harmonic analysis).

[16] Interestingly, the cello does not play the $\hat{1}$ in the same register as the leading tone in bar 71 but moves one octave lower. This is the reason why $\hat{1}$ in bar 72 is put in parenthesis in Example 8.5.

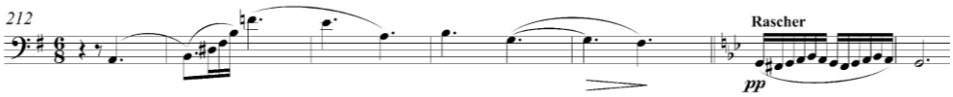
[17] Here I do not discuss bar 72–79a (the first repeat), which is a slightly odd post-cadential closing zone with its phrase overlap and augmented sixth chord (bar 73 and 75a).



Example 8.7 Schumann, Op. 110, I, bars 212–221.

Instead of the tonic pitch G, the bass moves from the dominant to E♭ in bar 217 and creates a very eccentric omission of cadential arrival on a submediant seventh that becomes an augmented sixth chord in the following bar. At the same time, a truly mysterious coda begins together with a new tempo marking, *Rascher*. From bar 221 onwards a cadential preparation begins again, now in G minor, finally leading to a perfect authentic cadence in bar 241. Thus the expected structural closure is evaded and delayed by almost fifteen bars.

During the rehearsals, our cellist had a lot to say on the motion from recapitulation to coda. One of the reasons may be that she was the only one who had never performed the piece before. Yet there was another factor, one that is easily forgotten when we examine analytical issues with the score in front of us: namely that during an ensemble rehearsal string (and wind) players only see their part, not the entire score. Hence if we look at the cello part during the final bars of the recapitulation and the beginning of the coda, there is no visible harmonic evasion (Example **8.8**).[18]



Example 8.8 Schumann, Op. 110, I, bars 213–218, cello part.

This does not mean, of course, that the unsuccessful cadence with E♭ in the bass – eventually played only by piano – is not perceived by other players after playing the work through. On the contrary, when we pondered what difference it would make for the interpretation if the harmony resolved to I in the beginning of the coda, the cellist answered:

[18] In his PhD Dissertation, Edward Klorman invokes a concept of 'multiple agency' in chamber music where analysis is approached from the perspective of each player: 'Multiple agency offers a theoretical model of how players may conceive of their own musical utterances and interactions as the discourse unfolds in time as they play. Harmonic, formal, and metrical events may be construed as resulting from the interaction among the characters, and conflicts or ambiguities arise when they outwit, surprise, or compete with one another' (Klorman 2013, from Abstract, page iv). This kind of approach is extremely relevant for anyone who has ever played chamber music and it is important that it begins to have a role in music analysis as well.

> Well, if I would have arrived, I'd have a peaceful feeling and there would be no need to play in *Rascher* tempo. To me, *Rascher* embodies the anxiety of *not* attaining the expected tonic (from rehearsal diary entry, 2014 October).

Based on our rehearsal discussion, we played the motion from recapitulation to coda with two different interpretation strategies: 1) not to slow down in the final bars of the recapitulation and then beginning *attacca* the new *Rascher* tempo with agitation, yet with pianissimo dynamics; and 2) to slow down and make the listeners 'believe' that we are arriving at the final closure, then suddenly start to play the new section, emphasising the bass E♭.[19]

What about the trio recordings? The Benvenue Fortepiano Trio (Media example **15**) plays the cadential unit (bars 196–216) in more or less the same way as in the exposition.[20] The only noticeable difference, quite naturally, is the *timbre* of G major which is more sonorous due to its lower register. The coda clearly begins with a new character and with a much faster tempo.

In Trio Jean Paul's recording (Media example **11**) the tempo of the coda is only a little faster; however, the change in increasing tension is very perceivable.[21] In contrast with Benvenue and Jean Paul, The *Voces Intimae* Trio (Media example **12**) already plays the entire cadential phrase (bars 196 ff.) less decisively than in the exposition, thus preparing the structural evasion by playing the material in a different way. Moreover, when the coda starts, the tempo is not remarkably faster, which might suggest that they want the coda to become more integrated with the other material – perhaps to highlight the 'real' structural closure in bar 241, which will be discussed next.[22]

[19] Eventually, we preferred the first version (no *ritardando* but directly to *Rascher*), since the *attacca* change of tempo also emphasises the distinct nature of the coda.

[20] Direct link to the example: https://soundcloud.com/cecilia-oinas/audio-10.

[21] The exact time is 7:55–8:42 (Trio Jean Paul's recording)

[22] The exact time is 8:20–9:13 (*Voces Intimae*'s recording)

8.6 'BITTER FULFILLMENT': DRAMATICALLY INCOMPLETE STRUCTURAL CLOSURE?

While an evasion of a cadence, such as the one found in the Schumann trio is fairly easy to perceive, there are also more subtle areas of evasion that nevertheless have an important role in the dramatic narrative of the work. Pianist Murray Perahia has pointed out one such example in his discussion on the last movement of Chopin's Op. 58 Piano sonata. According to Perahia, its final resolution (bar 274), followed by a brief coda, is '"tinged with bitterness, disappointment [and] regret', although it is 'a triumph nevertheless"' (Rink 2001, 13).

Indeed, Perahia's poetic description of the bitter fulfilment of the Chopin Piano sonata could also be said with regard to the ultimate structural closure of bar 241 in Schumann's G-minor trio. For example, our violinist found the motion towards the final structural closure (bar 241) difficult in many ways: during the last three bars before bar 241, she felt that she was 'left alone', especially in the dominant seventh chord in bar 240. To underline the fact that the violin part is left 'hanging in the air', we made a very small gap between bars 240 and 241. Also, we did not try to soften the harsh dissonances, such as the minor second interval between violin's E♯ and the piano's F♯ in the final dominant chord in bar 240.

We may ask, however, in what ways a structural closure, which at the same time leaves some of the underlying dramatic tensions unresolved, could be reflected in the voice-leading analysis?[23] This question is likewise touched upon by Perahia who argues: '"When you see a graph, you think that it was always intended to go [that way …] It looks inevitable", whereas the music itself has a more "philosophical dimension: life is always changing and it will never reach the fulfilment, never reach the paradise"' (Rink 2001, 13).

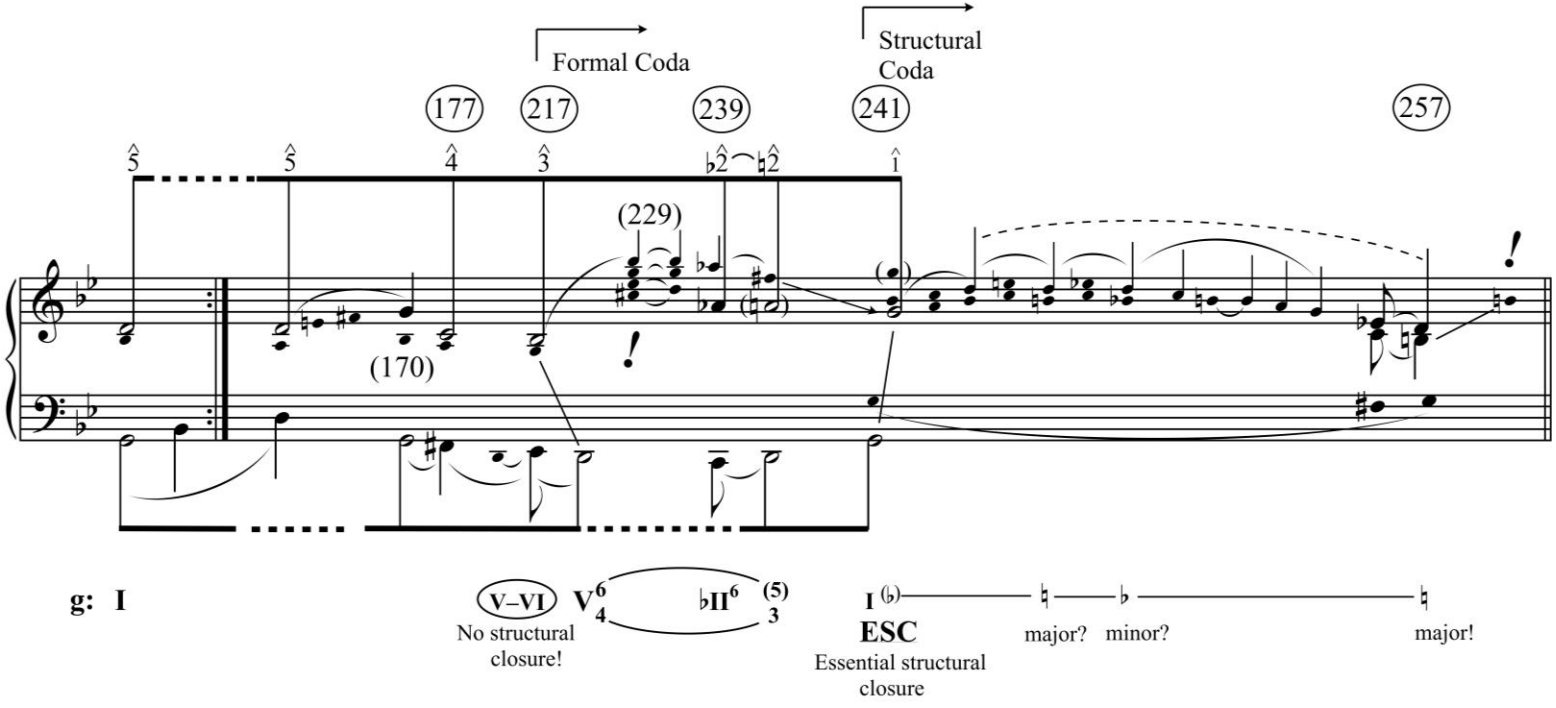
Of course, Perahia is not criticising the Schenkerian method itself but rather the mode of presentation: a voice-leading graph is, most of the time, a final product, which means that we cannot see the analytical process that has preceded it.

[23] In Sonata Theory, cases like this can be understood as an 'attenuated PAC' where the perfect authentic cadence includes elements that weaken its assertive status (Hepokoski and Darcy 2006, 170).

However, what remains overlooked for Perahia is the fact that a voice-leading analysis – or, indeed, any existing analysis – is not merely the graph *per se* but is ideally surrounded by verbal and aural information. As Kofi Agawu states:

> [I]t may be that analysis is ideally an oral genre, and that, within the complex dynamics of orality, it achieves a depth that is not available within the written tradition. In this sense, too, analysis and performance are very much alike. Effective verification of analytical claims in the classroom demands regular recourse to the sounds being analysed, if not in actuality then imaginatively (Agawu 2004, 276).

Example **8.9,** which is a Schenkerian graph on the whole movement, aspires to take into account how some of the tensions are still left unresolved even at the structural closure in bar 241. First, the violin's high register, ending with a leading tone F♯ in bar 240, is left hanging in the air, so the high G is in parentheses. Second, in the structural closure the structural bass and top voice are not played at the same time, since the top voice only enters in the second beat of bar 241. Third, at the moment when the top voice descends to $\hat{1}$ there is an overlap with a new melody that begins in the piano with thirds. Finally, the graph also illustrates how the major-minor dichotomy is brought back once more during the final bars of the coda, since the movement ends – somewhat surprisingly – with a major-mode tonic chord. Yet this major tonic resolution has a very different quality from the one the secondary theme was aiming for. Personally, I would regard the G-major chord as a metaphor for final relief after a weary struggle.



Example 8.9 Schenkerian voice-leading graph on the entire movement.

8.7 CONCLUDING REMARKS

> [T]he paradox of art is that the nature of the game at hand also and always includes the idea that we are to expect the unexpected. If deviations from the merely expected never happen within an individual work, that is no sign of aesthetic health or integrity. On the contrary, if expressively charged stretchings or transgressions of standardized shapes and procedures are not present at all, the work is more likely to be sidelined by historical consensus as unimaginative, composition-by-the-numbers, a boiler-plate-product (Hepokoski and Darcy 2006, 617).

As Hepokoski and Darcy argue, a sonata-form composition that only follows the most normative and expected procedures is by no means an ideal model. Moreover, especially when we are dealing with sonata-form movements from the nineteenth century, such as the opening piano trio movements of this study, we more consciously expect each movement to present a unique case with its own twist and turns.[24] From the viewpoint of performance and especially performance rehearsals, the question of how to approach surprises is, however, a more challenging one. On the one hand, performers may take the 'naive', synoptic approach as suggested both by Edward T. Cone (Cone 1989, 91) and Jeffrey Swinkin (2016, 117) and play the ongoing music as if we are about to reach something, even though it does not eventually happen. On the other hand, especially when we are playing material that has already taken place (like the correspondence with the events of exposition and recapitulation), performers may begin to adjust their playing in a different way, long before the actual unfulfilled motion. And, indeed, as the comparison between the three recordings as well as our trio's discussion suggested, some performers already began to shape the material differently before the avoidance of the expected cadence in bar 217 at the beginning of the recapitulation's 'cadential phrase', bar 196.

The above considerations may be mirrored with the ideas discussed by David Huron in his book *Sweet anticipation* (2006). Huron presents four types of surprises that musical works entail (Huron 2006, 269–71): First, there are *schematic*

[24] Indeed, as Philip Alperson writes, during the Romantic era the individual composer 'imposed his or her individual standards of integrity on his or her imaginative freedom' (Alperson 2010, 27).

surprises where the music is constructed in such a way that it violates some existing schema.[25] Second, *dynamic surprises* occur when the musical work itself sets up some work-specific expectation that is then violated.[26] Third, if the listener already has existing knowledge of a given work, the performance itself can create *veridical surprises* – in other words**,** when the performer's interpretation is different from the listener's own expectations. Fourth, there are also *conscious surprises* where a knowledgeable listener consciously forms expectations about future events that eventually are not fulfilled.

If we consider these surprise types from a sonata-form perspective, the harmonic evasion at the end of the recapitulation section in the first movement of Schumann's G-minor trio is not only a schematic and conscious one but, more importantly, a dynamic one, since we have already heard a successful closure (although imperfect) at the end of the exposition section – twice, if the exposition is repeated. Indeed, one of the most fascinating questions in the entire study is how performers may intensify or reduce the effect of these dynamic surprises through their shaping decisions, whether made intentionally or not.

Finally, many agogically bolder performance decisions of the discussed recordings may also be experienced as veridical surprises. Examining the G-minor work by considering its deviations from normative sonata-form model can explain (and reassert) some of these decisions. Joel Lester, for instance makes an important argument that '[d]eciding whether to view the movement as a structure based on neo-Classic mannerisms or as a vital reinterpretation of those mannerisms is no mere academic exercise. It directly affects how performers present it to us and, thereby, how we hear it' (Lester 1995b, 195). According to Lester, if Schumann's sonata-form works are performed straightforwardly, without rubato, the result is too 'Classical' and the music becomes 'stodgy rather than agitated' (ibid., 195).[27]

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[25] According to David Huron, the quintessential example of a schematic violation in Western music is the deceptive V–VI-cadence (Huron 2006, 269).

[26] Although purely dynamic surprises are difficult to find in music (since most of the time there is a schematic violation as well), there are examples where the work defines its own 'rules' that are unconventional, i.e. not following an existing schema but acting against it (Huron 2006, 279).

[27] The need to shape musical motion in Schumann's music is something that was also noted by his contemporaries: in 1883, Franz Liszt described how 'Schumann especially must be phrased

Indeed, while no present-day theorist would ever claim that without music analysis there cannot be a good performance, there is hardly any harm in investigating which elements make a particular piece unique, or, as in the case of G-minor trio, how a combination of Classical form and Romantic spirit creates a highly novel work that performers transform into sound.

well in details; and played very compact—rhythmically well articulated. With him ritenutos should be great, as with Mendelssohn the accelerandos and animatos are great' (quoted in Hamilton 2008, 20).

EPILOGUE

In this study I have aspired to show the potential interaction between analysis and performance in the piano trios of Mendelssohn and Schumann, using my personal experience as a pianist playing the works with my own trio. My goal was to bring forth the interpretative questions performers tackle during their rehearsals and consider the ways these issues interact with the more analytically-oriented insights. After suggesting that the common ground for both analysis and performance comes from approaching music as motion rather than as consisting of fixed entities, the idea of making a distinction among *local motion, in-between motion* and *overarching motion* gradually started to take shape. Still, something was missing. There is a notion shared by various scholars that performance includes acting and that sometimes performers must 'deceive' the audience (see Rothstein 1995; Swinkin 2016; Cone 1989). This suggested to me the idea that I should also include a viewpoint that would examine cases where expected musical goals are not fulfilled at certain points. Thus in my final analytical chapter I concentrated on *unfulfilled motion* on all levels, which turned out to be a very relevant approach in examining the opening movement of Schumann's G-minor trio where evasions and 'bitter fulfilments' created an important narrative for the entire work.

The decision to concentrate only on one level in each trio movement made it more difficult to compare the works' salient aspects with each other, which is why I did not eventually comment on the similarities or differences between the movements in great detail. This does not, of course, mean that during the analytical and rehearsal process certain personal observations would not have been made, and I would like to share some of these notions here. For instance, by and large Mendelssohn's trios were, despite being technically more challenging especially for the pianist, usually easier to play together as a trio and it was easier to settle upon an agreeable interpretation, even after a few rehearsals. As discussed in one of our last rehearsals, in both D-minor and C-minor trios by Mendelssohn, the performers felt

more ‘free’ to bring out their own views in melodic shaping, pushing ahead and holding back, and so on, which was not the case in the Schumann trios. Yet when the practicing process continued in the Mendelssohn trios, the discussions about the more nuanced shaping issues became, one by one, more challenging and the issues were reconsidered. Indeed, in both Mendelssohn’s works our trio aspired to bring out the ‘transparent’, ethereal and effortless quality which was not very easy to attain.[1] This is why, for example, by considering the multi-layered metrical process during the transitional zone of Op. 49 trio, discussed in chapter 5, it helped our trio to maintain a flexible approach towards shaping. In the C-minor trio, considering the in-between motion revealed one of the difficulties of rehearsing Mendelssohn’s trios: the fact that in these works musical processes often continued beyond boundaries, as was also argued by Erez Rapoport (2013). In my view, this is one of the most difficult tasks to elegantly bring out in performance, since it challenges our way of building up the existing music unit by unit. Rather, as was the case in Op. 66, many boundaries were either passed dramatically (as in the boundary between transitional zone and secondary-theme zone) or gradually prepared parameter by parameter, as in the boundary between development and recapitulation.

Schumann’s trios were, on the other hand, considered ‘difficult’ right from the beginning and our trio’s practicing process could rather be described as gradually trying to get some kind of grasp on how the work might be played in a musically convincing way. Especially the string players, who only see their own part, mentioned more than once that it was difficult to understand the governing idea behind individual phrases or sections. Often we were so occupied with Schumann’s various performance instructions, such as ***sf***, ***fp*** and hairpin marks, that without understanding the context, our playing easily became scrappy and disjointed. For instance, in both Schumann trio movements the boundary with the concluding cadence was often dramatically emphasised (either in loud or very soft dynamics) and required very conscious shaping, such as the opening phrases of both trios that started in *medias res* rather than a tonally stable situation. Also, the way in which later material, such as the episode in Op. 63 trio, brings new narrative layers to the

[1] There were, of course, counterexamples such as the arrival of the secondary theme in bar 63 of the C-minor trio, which was quite contrary to anything ‘ethereal’.

ongoing sonata-form movement, challenged the more traditional view of approaching thematic contrast merely between primary and secondary theme. Indeed, since both of the examined Schumann trios included the deceptive cadence at the beginning of the coda, the idea how the sonata-form structure is stretched until the very last moments, created a particularly drastic narrative where even the structural closure does not offer final relief. In Schumann's trios one feels that the movement is itself partly incomplete and one needs to continue to the following movement, making the entire trios more cyclic in their structure than the Mendelssohn trios.

That being said, my fellow trio players and I did not consider Schumann's trios any 'weaker' either from their structural or instrumental point of view – something that has often been commented by many previous scholars. Schumann's music simply needs more time, and more conscious shaping, as well as grasping the overarching drama, something I hope the ongoing study was able to show. As a result, despite both being 'Early German Romantics' and born almost at the same time (Mendelssohn in 1809 and Schumann 1810) – not to mention the fact that the trios were composed between 1839 (Mendelssohn Op. 49) and 1851 (Schumann Op. 110) – the practising process and interpretative challenges were surprisingly different in the two Schumann and two Mendelssohn trio movements.

Because my examination only covered four works and documented the practising process of only one ensemble, it is impossible to make any broader conclusions on the ways in which performers generally approach and shape the works of these two composers. Indeed, some potential paths for continuing the research I have conducted in this study include 1) examining a broader amount of works by the two composers (either concentrating on one composer or on one genre, for example; 2) examining the practising processes of various chamber ensembles and their rehearsal discussion on the examined trios; or 3) concentrating, for example, on the interesting and important issue raised by Mine Doğantan Dack (2012) of how performers continue learning on stage and how the ideas tested in live performance further shape our understanding of the works' salient features. For me, encountering and engaging with these trios has been a delightful journey into the

realm of Romantic piano trios, their analysis and its interaction with performers 'studio language'.

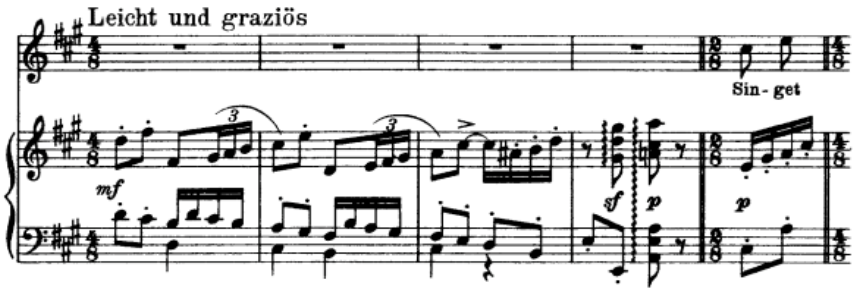
FINAL THOUGHTS – OR A NEW BEGINNING?

On February 2011, I attended pianist Hartmut Höll's Lied master class in Brussels's conservatory as a member of the audience. A few months ago, before finishing this research, I found my notes written back then, and suddenly remembered the many inspiring ideas that were presented there, such as:

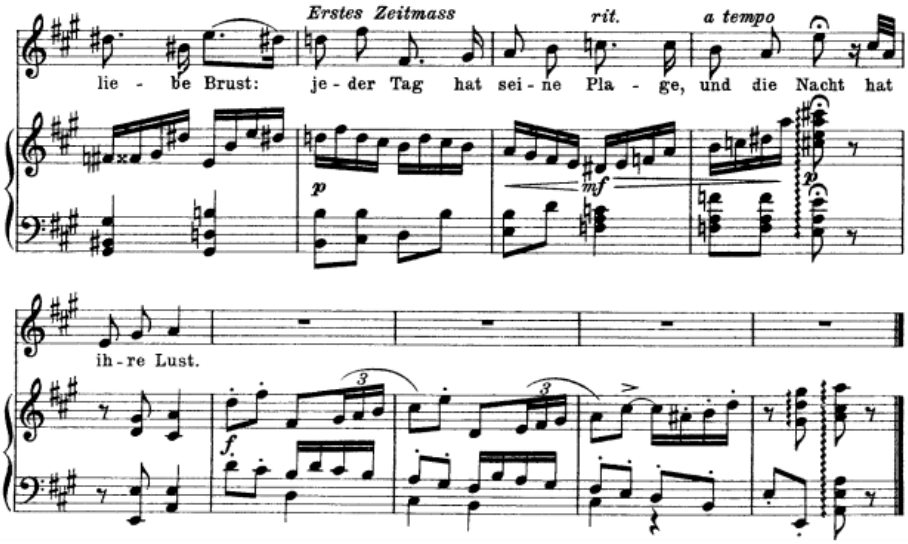
> Höll uses words like 'wave', and 'energy' when describing how to shape a certain phrase or passage; he generally advocates the forward-going motion in performance. Another important issue for Höll is temporality, more precisely how to sound spontaneous – "don't plan!", as Höll says to one of the pianists.

Looking back at the first stages of this study, the idea of motion as a central metaphor in both analysis and performance definitely resonates with what Höll discussed in his master class: for instance, according to Höll it is important to bring out the temporal, living-in-the-moment in performance, and yet we should never forget the overarching plan of the work as well. The latter was evident when Höll explained to one of the pianists that a musical work should always be first created 'mentally', and only after that should one think about the practical realisation.[2]

[2] Indeed, as Eric Clarke writes: 'It has been widely proposed that temporal shaping above the note or beat level is controlled by the performer's mental representation (or "image") of the music. The stability (or otherwise) of the higher-level tempo shape can therefore be directly attributed to the stability of the performer's representation of the music: a performer with a clear and definite conception of a piece of music, and the requisite technical skills, is more likely to be able play it in a controlled and reproducible manner' (Clarke 2002, 61).



Example 7.1 Hugo Wolf, 'Philine' from *Gedichte von J.W. von Goethe*, bars 1–5



Example 7.1b Hugo Wolf, 'Philine' from *Gedichte von J.W. von Goethe*, bars 85–93

An interesting example was pointed out when Höll was teaching Hugo Wolf's song 'Philine' from *Gedichte von J.W. von Goethe* (1888) (Ex. **7.1a** and **b**). In this song, each piano interlude closes with a normative perfect authentic cadence. However, Höll insisted the pianist maintained the tension and forward-going feeling at these cadences so that it would become easier for the singer to begin her part. To justify his argument, Höll pointed out that Wolf has carefully marked the concluding tonic

of each interlude in *piano* dynamic (ex. **7.1a**) except in its final appearance (now a postlude) where the tonic is to be played *forte* (ex. **7.1b**).[3]

I utterly admired the way Höll was able to bring forth the musical structure through these salient moments (also, the performances truly became much better).[4] As in analysis, sometimes to 'get it' only needs one slight change and suddenly everything seems so clear. Here maintaining motion over local harmonic closures as Höll suggested, helps us to 'create larger continuities', as was proposed by Edward T. Cone in the beginning of this study (Cone 1968, 42). If we want to create dialogue with analysis and performance, the ideas that float around rehearsals and the tacit knowledge passed from teachers to students, are an endlessly valuable treasury wherein we as analysts should regularly immerse ourselves.

[3]Here it is worthwhile to mention that the concluding tonic of the postlude is not the structural closure, which occurs at the end of the singer's part, in bar 89. Thus the piano postlude not only rounds out the entire song but also serves as a post-cadential codetta following the structural closure.

[4] Höll's own interpretation may be heard in the following recording, performed with Mitsuko Shirai: *Hugo Wolf: Goethe Lieder*. 1999. Capriccio. B00002DG3T**.**

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Authors' notes and rehearsals

The authors' informal rehearsal diary was kept between November 2012 and December 2016 (notes written in Finnish).

The author had three rehearsals that were recorded with violinist Riikka Kokkonen and cellist Csilla Szilvay between September 2014 and June 2015 in Helsinki, Finland (1st rehearsal: 28.10.2014 at the Finnish National Opera; 2nd rehearsal: 3.11.2014 at the Finnish National Opera; 3rd rehearsal 1.6.2015 at the Helsinki Music Centre, Sibelius Academy.)

The author's notes from 2011 at Hartmut Höll's master class, Brussels.

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