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Aspects of Form and Voice-Leading Structure in the First Movements of Anton Bruckner's Symphonies Nos. 1, 2, and 3

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Abstract

The present study examines aspects of form and Schenkerian voice-leading structure in the first movements of Anton Bruckner's Symphonies 1, 2, and 3. In discussing the formal outlines, I adopt the ideas and terminology presented by James Hepokoski and Warren Darcy in their *Elements of Sonata Theory*. The discussion illuminates an extraordinarily rich interaction between aspects of Bruckner's forms and the underlying voice-leading structure. With the help of *Sonata Theory*, the analyses bring to light a multifarious dialogue between Bruckner's formal strategies and the strategies found in the classical and nineteenth-century sonata traditions.

In addition, the analyses show that the deep-level structure of the movements is controlled by strong harmonic pillars (I, III, and V, which govern the expositions and developments), yet the tonal motion between these pillars is often rather subtle and many-sided. The music typically deviates from the route it seems to be taking and thwarts its objective several times before the goal is reached. However, the large-scale tonal forces are strong enough to place the tonally remote passages within the voice-leading strands, which are part of the more conventional tonal framework. The analyses attempt to show that the notion of such a framework helps to identify more clearly and precisely the nature of the deviations, obstructions, deferrals, reversals, and the like, all of which are integral parts of Bruckner's harmonic language.

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Contents

1 Introduction

1.1 The Aim of the Present Study

Among nineteenth-century symphonists, Anton Bruckner has divided the views of scholars and performers perhaps more than anyone else. On one side of the spectrum, he has been praised as one of the foremost composers in the history of the symphony, whose output represents a magnificent climax of the genre in western music. According to those who share this view, Bruckner belongs on the highest pedestal of all the symphonists, especially as he was the greatest innovator of form.[1] On the other hand, among those who do not share these viewpoints, it is often precisely Bruckner's handling of form that has been considered the least successful aspect of his symphonic works.[2] In this respect, the early symphonies especially have been designated the least successful of all.

In most analytical treatises on Bruckner, sonata form is evidently the central issue that either reveals him as a great innovator or as a conservative unable to free himself from the burden of the formal models as defined by nineteenth-century theorists. On the one hand, scholars have typically marginalized the role of sonata form as almost irrelevant in Bruckner's music, usually by minimizing the significance of sectionalization in his works. On the other hand, Bruckner has often been regarded as filling pre-existing formal models with music that does not really fit, thereby producing rigid and awkward forms. In this connection, the clear-cut sectionality of Bruckner's music has usually been emphasized. No doubt, Bruckner scholars have revealed many interesting and valuable aspects of this

[1] Such a stance is evident, above all, among German-speaking scholars working in the early twentieth century. The treatises of August Halm and Ernst Kurth in particular deserve to be mentioned in this context; see Halm 1923 and Kurth 1925.

[2] This attitude is typical of certain English-speaking scholars; see, e.g., Tovey 1981 (1935–1939); Simpson 1992. At this point it should also be mentioned that Heinrich Schenker, one of the most prominent German-speaking theorists of the early twentieth century, criticized Bruckner's composing methods rather harshly. Among other things, Schenker pointed out that Bruckner's handling of form is rigidly schematic and almost completely lacking the flexibility typical of music's "real" masters; see Federhofer 1982.

composer's methods of musical organization. However, the above-mentioned viewpoints have also created some problems. Either by emphasizing or, alternatively, by minimizing the role of sectionalization in this composer's music, an analyst can easily give a more or less one-sided picture. In other words, some aspects that exert an important impact on the musical organization may either be left out completely or their significance is not recognized clearly enough.

In this study, I examine the different aspects of musical organization in the first movements of Bruckner's first three numbered symphonies, all of which are in minor keys: the first two in C minor and the third in D minor. To carry this out, I have two main perspectives from which the organizing principles operative in these symphonic movements will be studied. First, I will trace the formal outlines of each movement. Here I am using the term "form" in a more or less traditional way to mean the outlines of the thematic material and key areas, which are the primary determinants of form. Second, these outlines will then be examined against the voice-leading structure, which will be considered in light of Schenkerian analysis. The different formal units are often clearly separated from one another in these symphonic movements, which is characteristic of Bruckner's music. The resulting sectionalization also brings to light the main focus of this study: the interaction between the different organizational levels. I believe that with careful examination of the form (as described above) and voice-leading structure, it is possible to capture something very elemental in the organization of the movements. In this way, I hope that it will also be possible to shed new light on the interplay of those features of the musical organization that link these movements to tradition, as well as on features that are more distinctively Brucknerian.

1.2 Aspects of Form in the First Movements of Bruckner's Symphonies 1 through 3

The above-mentioned view of Bruckner as following certain schematic models in his music is not entirely unwarranted. In the case of the opening movements of the first three symphonies, one of the most important features creating such an impression is no doubt

the typical Brucknerian "block-like" articulation of the musical material.[3] These blocks are usually clearly separated from each other, so that the result is a formal scheme or pattern that is easy to follow – at least on the large-scale level, where the whole symphonic movement is divided into three distinct, large sections.

The block-like sectionality results from the way in which Bruckner treats the thematic material and key areas. On the basis of this treatment, the large sections in the movements could be described in common, sonata-form terminology, both within the overall form (exposition, development, recapitulation, and coda) and within the main sonata-form sections (in particular, the division of expositions and recapitulations into two parts). In the following discussion, I will first concentrate on the thematic aspects, and thereafter I will complement the picture with an overview of the tonal course of events in these movements.

The expositions are divided into two parts by key and thematic material: the first part normally begins rather quietly, setting up the main idea and the tonality, after which the music expands into energetic motion. The second part begins and ends in the secondary key (which, in these movements, is the relative major), and further divides into two formal units: the first consists of more lyrical material with softer dynamics and lighter orchestration, and the second is often lengthy and brings the exposition to its close. The exposition ends with quiet and soft dynamics, as the music gradually fades out almost completely. In the recapitulation, the material from the exposition is restated (albeit sometimes with significant changes), again in two parts, and the whole movement ends with a lengthy coda.

The development sections do not divide quite as uniformly into separate units, although here too one can find certain patterns of the musical discourse repeated in different works. For example, a recognizable dynamic curve is preserved in all three developments: their beginnings continue the light orchestration and the soft dynamics heard at the end of the exposition, then build to a climax and fall back into quietness at the end, where sometimes the music even comes to a complete halt before the onset of the recapitulation.[4]

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[3] This kind of clearly defined sectionality is not entirely absent in the later symphonies, but it is less emphasized at certain points in the form. In the first movements of the Sixth and Eighth symphonies, for example, it is far from self-evident where the beginning of the recapitulation is located.

[4] There is a pause before the onset of the recapitulation in the First (m. 198) and Second (mm. 326–329) Symphonies. In the Third Symphony there is no general pause here, but all the same, the beginning of the

With respect to the thematic material used in the developments, it is not as easy to describe any standard set of events as it is in the expositions and recapitulations. Suffice it to say that the material from the beginning of the exposition is usually taken up quite quickly (as in the Second and Third Symphonies), a few measures after the beginning of the development. Furthermore, in his developments, Bruckner tends to treat the thematic material from the exposition in more or less well-defined units. In this respect, a kind of a sectionalization also characterizes the middle section of the overall form.

In light of the previous discussion, it could be said that the distribution of thematic material organizes the unfolding of the music in a way that clearly links these movements with the sonata tradition from Haydn's time up to the latter half of the nineteenth century. Indeed, the different thematic and formal units are often separated from each other with unusual clarity. As stated above, Bruckner's detractors have criticized this clearly sectional aspect, which, according to them, sometimes damages the continuity and natural flow of the music. But if the sectionality is examined together with the underlying voice-leading structure as defined by Schenker, it could justifiably be argued that in fact the "blocks" – despite their "separateness" as such – are treated in a way that produces continuity of the whole and in a very original and unique manner. Some of the most important means of achieving these qualities will be discussed in the following chapters.

In addition to the thematic material discussed above, the tonal course of events shows certain important traits common to the different movements and links them to the tradition of sonata form. As mentioned, the exposition's second part begins and ends in the relative major of the minor-mode main key. The development ends with the dominant harmony of the main key, and the recapitulation opens with the stable main tonic. The recapitulation's second part opens with the major tonic of the main key, which is eventually transformed back into minor. These tonal "pillars" articulate the beginnings and endings of important sections in each of the movements examined in this study.

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recapitulation is clearly and unambiguously marked. It must be kept in mind that the description of the development section offered here is only a very general one. The overall dynamic curve does not evolve in any straightforward manner. The intensification of the music towards the climax has its own ups and downs, so to speak, and the subsequent decline happens in various stages. Ernst Kurth has offered a thorough discussion of these features in Bruckner's music; see Kurth 1925. For an excellent presentation of Kurth's ideas in English, see Rothfarb 1988 and Parkany 1989.

1.3 Form versus Voice-Leading Structure

In light of the previous discussion, it could be argued that at some level a kind of a schematism characterizes these symphony movements. In other words, Bruckner holds to certain formal outlines and tonal plans in each. Of course, that kind of labeling, based on thematic material and key areas, could be carried still further to events on a smaller scale. In this way, we would no doubt be able to identify many important characteristics of a typical Brucknerian way of handling form. But if the study is restricted to such labeling only, then many essential features or constituent parts of the musical process are easily left out of the discussion. In other words, in tonal compositions such as these movements, the different themes, their constituent parts, and so on can be seen occurring in certain harmonic-contrapuntal frameworks that also play an important role in giving shape to the whole. For example, the nature of a theme is largely determined by its role in the music's overall tonal process. Without proper recognition of the characteristics of this process, we would lose insight into the most basic elements that contribute to the particular way the music appears to be evolving in each case.

In this study, I will use Schenkerian analysis to illuminate the harmonic-contrapuntal processes that characterize these Bruckner symphonic movements. This approach will be beneficial for a number of important reasons. As will be seen in the following chapters, at the deep level of the structure certain common sonata-form procedures that are already found in the classical sonata literature can be discerned in these movements. However, in contrast to the formal sectional outlines described above, at more local levels these processes do not follow fixed patterns preserved more or less unaltered from one work to another. And perhaps most important, the strong structural events (i.e., the deep-level structural harmonies) often articulate the course of the music in a markedly different way from the formal units and sections as determined primarily by the thematic material and the various ways this material is handled (such as orchestration, dynamics, etc.). The difference in aspects of musical organization will be the special focus of the present study. In short, the Schenkerian view offers a valuable perspective, both on those features that link Bruckner to the tradition and on features that are uniquely Brucknerian.

1.4 The Different Versions of the Symphonies

Bruckner's well-known habit of revising his works, often several times, sometimes poses difficult problems for scholars. It is unlikely that anyone dealing with Bruckner's symphonies can escape the so-called "Bruckner problem," as Deryck Cooke has designated the question of the different versions and editions.[5] The way we respond to these problems may vary depending on the nature of each individual study and, of course, according to the nature of the problems raised by a particular composition. The complex and intricate compositional history of the versions as well as the circumstances surrounding the editions have been discussed widely in the Bruckner literature. Since the question of the different versions and their editions is not the central issue in this dissertation, I do not intend to make any comprehensive survey of the differences among the versions of the three movements studied here or of the possible impact of those differences on the analysis.[6] Instead, I have chosen an edited version of each of the three symphonies as the basis for my analysis. For the First and Second Symphonies, I have used their first versions: the 1865/66 version of the First Symphony, the so-called *Linzer Fassung*, edited by Leopold Nowak, and the 1872 version of the Second Symphony edited by William Carragan. The choice was based solely on their status as the first versions of the works. However, for the analysis of the Third Symphony I have chosen its second version from 1877 (edited by Leopold Nowak). At the time I began this thesis several years ago, this version, together with the work's third version from 1889, was undoubtedly the most often played and recorded. In this form the symphony was also given its first performance in Vienna in 1877.

Each of these symphonies underwent several stages of revisions after the completion of the first version. The following synopsis is based on Dermot Gault's list of the compositional stages of each of Bruckner's symphonies, in which Gault distinguishes between the revisions and the versions.[7] According to Gault, the revisions "were often effected in stages," resulting in separate versions. In the following paragraphs only the versions are mentioned.

The First Symphony was initially completed in 1866 in Linz where it was also given its first performance on May 9, 1868. Two more versions of the symphony were both

[5] Cooke 1969.

[6] For an interesting discussion of the editions and the music analysis, see Horton 2004, 196–222.

[7] Gault 2011, 253–257.

completed in Vienna: one in 1877 and a more comprehensively revised score in 1891. The Nowak edition which I have used for my analysis is actually based on the 1877 version and, therefore, is not the real first version of the work. As Gault observes, both the designations *Linzer Fassung* and "1865/1866 version" on the title page of this edition are in fact misnomers.[8] The 1891 version will not be discussed in this study.

The first version of the Second Symphony, which I primarily use in the analysis, was completed in 1872. The Symphony was performed for the first time on October 26, 1873, in Vienna (the score was already revised, however[9]). The second version was completed in 1877. The first version of the Third Symphony was finished in 1873. The second version, which is the principal source for my analysis, dates from 1877. The first performance of the Symphony took place on December 16, 1877, in Vienna. There is still a third version of the work, which dates from 1889.

As indicated above, I will not offer any comprehensive survey of the differences between the versions. Interesting as this might be, such an undertaking would require a study of its own. In the First Symphony, the differences between the first movements of the version I use in my analysis and the 1891 version are not crucial from the point of view of the present study. However, with the Second and Third Symphonies, the situation is somewhat different. In chapter 5, I will briefly comment on the coda of the Second Symphony's second version (1877). Similarly, in chapter 6, I will offer a few brief comments on the 1889 version of the Third Symphony, though my analysis concentrates on the 1877 score. The 1873 version of the Third Symphony is omitted from this discussion altogether.

[8] Gault 2011, 67. William Carragan has reconstructed the 1866 version, which was recorded in 1998 by the Royal Scottish National Orchestra with Georg Tintner as conductor. I have not had this score at my disposal.

[9] Carragan (2007, III) describes the changes made to the 1873 score.

2 Bruckner and Problems of Form

2.1 Shaping the Problems

The formal organization of the first and last movements in Bruckner's symphonies has proved to be challenging to analysts. One of the major stumbling blocks has been Bruckner's handling of sonata form. It has been generally acknowledged that Bruckner's treatment of this particular form involves many highly individual and idiosyncratic features that are unexpected in the sonata writing of the nineteenth century – or the eighteenth century, for that matter. Especially in the work of certain English-speaking scholars, we occasionally find harsh criticism of Bruckner's command of sonata form. For example, Donald Francis Tovey stated that "it is Bruckner's misfortune that his work is put forward by himself so as to present to us the angle of its relation to sonata form."[1] In his essay on Sibelius's *Tapiola*, Tovey writes, "I have attempted on other occasions to write of Sibelius's peculiar methods and art forms, which have always struck me as triumphantly achieving what Bruckner might have achieved … if only he had not encumbered himself with misconceived survivals of sonata form."[2]

All scholars do not, however, share this rather negative view of Bruckner's handling of the form. In praising the uniqueness of Bruckner's symphonies, Deryck Cooke has even gone so far as to deny the relevance of sonata form altogether in their outer movements:

> Bruckner created a new monumental type of symphonic organism … in order to express … something elemental and metaphysical. In consequence, the apparent sonata shapes of Bruckner's first and last movements are illusory and misleading. His first movements do consist of an exposition … a development … a recapitulation … and a coda; … however … the nature of his materials … dictated an entirely unorthodox handling of traditional formal processes. Sonata form is a

[1] Tovey 1981 [1935–1939], 254.
[2] Ibid., 503–504.

> dynamic, humanistic process, always trying to arrive; but with Bruckner … the music has no need to go anywhere, no need to find a point of arrival, because it is already there. The various stages of the formal process are not offered as dynamic phases of a drama, but as so many different viewpoints from which to absorb the basic material.[3]

In Cooke's view, sonata form in the outer movements of Bruckner's symphonies is non-dynamic in nature. However, as he puts it, Cooke sees the "leisurely" appearance of the music primarily in positive terms, as something that gives Bruckner's handling of form its uniqueness and extraordinary character. Cooke's description is elegantly stated, and with it he no doubt identifies something essential about these symphony movements. Even though he admits that the movements suggest a sonata layout, he denies the relevance of sonata form, and therefore it seems that in his view, sonata form should not give the movements their primary point of orientation. But in that case we would surely have to discard many salient features of the musical utterance.

In his article about Bruckner's peculiar methods of formal organization, Warren Darcy has suggested that the outer movements of Bruckner's symphonies represent certain "deformations" of the *Formenlehre* structures.[4] Darcy distinguishes seven "hermeneutic concepts" that can be used to illustrate various kinds of deformative structures: the redemption paradigm, teleological genesis, the rebirth paradigm, rotational form, the "alienated" secondary theme zone, the non-resolving recapitulation, and *Klang* as *telos*. He presents many insightful notions showing how Bruckner's symphonic movements often run counter to the traditional procedures or "default gestures" of the tradition. Especially noteworthy is his idea of the secondary-theme zone, which often appears to be tonally "alienated"; i.e., it seems to be a kind of a detour from the tonal mainstream of the music. Of course, it must be assumed that certain traditional features are explicitly retained in these movements against which the deformations are viewed. In this respect,

[3] Cooke 1980, 365–366.

[4] Darcy 1997, 256–277. The idea of the deformation comes from James Hepokoski, as cited by Darcy, positing that the *Formenlehre* structures "are in dialogue with the generic expectations of the sonata, even when some of the most important features of those expectations are not realized." He further cites Hepokoski on deformation, a maneuver that "contravenes some of the most central defining traditions, or default gestures, of a genre while explicitly retaining others" (quoted in Darcy 1997, 257).

Darcy's ideas are also useful for the present study, and some of them will be developed further in the following chapters.

Julian Horton comments on Darcy's ideas by identifying practices "that might in some sense be regarded as deformational, but which are both consistent in Bruckner's case, and also frequently present in the music of his contemporaries and predecessors. These practices can be grouped into four basic categories: expansion, teleology, negation and discontinuity." Horton also observes that "the categories are not exclusive, but interact, such that one is often assisted by the application of another."[5] For the present study, Horton's categories of expansion, teleology, and discontinuity are particularly noteworthy.

2.2 Traditional and Unique Features in Bruckner's Music

In the following discussion I will concentrate on expositions, because through them it is possible to obtain a preliminary view of Bruckner's unique handling of sonata form. The development and recapitulation sections will be discussed in later chapters in conjunction with the more detailed analyses of each movement as a whole.[6]

Each exposition divides in two parts. The division between the parts is underscored by a new theme, which begins the second part. Owing to its peaceful and singing quality, this theme typically stands in sharp contrast to the accompanying music, which is more energetic in nature. From the thematic point of view, this moment represents the beginning of the traditional sonata exposition's second part, in which after the primary theme the contrasting secondary theme is introduced.[7] The tonal outlines of the expositions are

[5] Horton 2004, 156.

[6] In the work of some German-speaking scholars, the uniqueness of Bruckner's treatment of form has been emphasized to an extreme. As a result, these analysts have often overlooked the traditional aspects of Bruckner's formal strategies. For example, Ernst Kurth tends to minimize the role of clear-cut sectionality as an important part of Bruckner's form. For Kurth, form is something that is constantly "becoming" (*Werden*), i.e., the most important aspect of form is its nature as a process. However, Kurth admits that often the formal boundaries are unusually clearly articulated in Bruckner's music, although in Kurth's view they do not determine the "real" nature of form, which arises from the inner workings of the musical "waves" inherent in the formal units (Kurth 1925).

[7] Theorists in the nineteenth century especially emphasized thematic contrast as an important element in the sonata exposition. E. F. Richter (1852, 27), for example, stated that "most often both ideas are contrasting, for example when … the first is rhythmically lively the second has a peaceful and singing

traditional: in a minor-mode movement, the secondary key is the mediant. However, the tonic of this new key is not confirmed in any straightforward manner. In all three symphonic movements discussed in this study, the exposition's two-part formal division remains somewhat unaltered, but the tonal path, which leads to the confirmation of the secondary key's tonic, varies and also produces different harmonic-linear outlines in each case.

In addition to its thematic content, the beginning of the exposition's second part also makes a tonal contrast to the first. As we have already seen, the second part begins in the goal key of the exposition, i.e., in E♭ in the First and Second Symphonies in C minor and in F major in the Third Symphony in D minor. In Symphonies 1 and 3, the way the tonic chord of the second key enters at the outset of the second part together with the secondary theme make this chord sound unexpected and highly unstable. In Symphony no. 1, the E♭-major chord is preceded by a dominant ninth in G♭ major. In addition, the first E♭-major triad is first heard only as a $^{6}_{3}$ chord, the root position being pushed to a place farther along in the form. In Symphony no. 3, the second part begins with a root-position F-major triad, but this opening chord also enters unprepared, preceded by a chord which, although notated as a German sixth directed towards the dominant of F-major, sounds here rather like a dominant seventh (in $^{6}_{5}$ position) of G♭ major, particularly because of its uncommon $^{4}_{3}$ position with F in the bass. Furthermore, the secondary theme does not stay firmly in F major. This key drops out immediately after its first phrase, which is repeated in G♭ major. Most important, the root-position dominant of F major is not heard until the final measures of this theme, where it is approached through a genuine German sixth. As we will see, the solid F-major chord in root position is compromised, even after that dominant preparation.

The foregoing discussion has shown that in the first movements of Symphonies 1 and 3, the second part of the exposition begins with the tonic chord of the secondary key, but at that point Bruckner avoids introducing a stable tonic. The confirmation of that chord as a stable harmony, also capable of acting as a deep-level structural harmony, occurs only later in the exposition's second part. This procedure is made all the more conspicuous because of the strongly articulated formal outlines between the groups themselves. In other words, despite their rather obvious articulation of musical material into separate

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[quality]." According to Alfred Orel (1925, 79), this kind of sharp contrast between the themes is one of the most conspicuous features in Bruckner's sonata form: "The entry of the second theme brings in practice the thematic and tonal contrast … with Bruckner the more fundamental contrast, which developed during the romantic era, is finally carried out to the extreme: it is the contrast of *movement*."

theme groups, the crucial, defining tonal events in these expositions are ambiguous and not easily defined. This ambiguity especially concerns the placement of the first stable tonic chord in the secondary key.[8] In the following chapter, I will explore more deeply the workings of the different organizational principles at issue by examining the relationship between the Schenkerian voice-leading structure and the more traditional aspects of form.

[8] In this respect the Second Symphony is an exception in which the first part of the exposition ends with the dominant of the main key after which the second part begins directly in E♭ major in a way that confirms this chord as a stable tonic.

3 Theoretical Background

3.1 Viewpoints on Musical Organization

In light of the foregoing discussion, it could be argued that there are different organizational principles which are at odds in Bruckner's sonata expositions. For example, in the expositions of the first movements of the First and Third Symphonies, the attainment of a strong tonic as the exposition's goal key does not coincide with the onset of the secondary theme as often happens in the classical sonata repertoire. The contradiction between the principles is all the more conspicuous here because of Bruckner's habit of underlining a movement's sectionality very clearly: while the formal outlines are unambiguously marked, the tonal course of events does not unfold in a straightforward manner.

Before I go further with more detailed analyses of these movements, it is necessary to take a closer look at some of the most important factors and principles that contribute to the organization of a composition into units and sections of different length. I will study these principles from two perspectives. One is Heinrich Schenker's theory, which refers to the traditional aspects of form, i.e., the outlines of the thematic material and key areas, and whose ideas are expanded by the notion of *design*. The other perspective is a study of sonata form in light of sonata theory as defined by James Hepokoski and Warren Darcy.

First, I will take up Schenker's ideas of form in general and sonata form in particular. The concept of form as Schenker described it is, however, rather narrow, and thus it has been further developed by relating more traditional notions of form to his theory of structural levels. In this respect, Felix Salzer, William Rothstein, and David Beach have offered the most valuable additions to the Schenker-oriented discussion of form.

3.2 Heinrich Schenker's Idea of Form and the Notion of Design

According to Schenker, form manifests in music only in relation to the voice-leading structure: "Be they two-, three-, four-, or five-part forms, all receive their coherence only from the fundamental structure."[1] Consequently, he regards all traditional notions of form as irrelevant, which becomes evident in his discussion of the song forms:

> Music finds no coherence in a "motive" in the usual sense. Thus, I reject those definitions of song form which take the motive as their starting point and emphasize manipulation of the motive by means of repetition, variation, extension fragmentation, or dissolution. I also reject those explanations which are based upon phrases, phrase-groups, periods, double periods, themes, antecedents and consequents. My theory replaces all of these with specific concepts of form which, from the outset, are based upon the content of the whole and of the individual parts; that is, the differences in prolongations lead to differences in form.[2]

By "specific concepts of form," Schenker is obviously referring here to the characteristics of the *Ursatz*. The individual formal outlines in a composition arise from the transformation levels through which the *Ursatz* unfolds toward the closing tonic. In short, Schenker sees form as an outgrowth of the *Ursatz*.

Schenker's concept of form as described above has important consequences for his view of sonata form, which he divides into three sections in the way that had become customary in the nineteenth century, and he refers to these sections as "exposition," "development," and "recapitulation." However, Schenker defines the role of these sections and the events within them very differently from his nineteenth-century predecessors. In his view, the three-part division of the whole is based on a two-part construction arising out of an interruption. For Schenker, "only the prolongation of a division (interruption) gives rise to sonata form."[3]

In Schenkerian terms, the crucial harmonic event in the exposition of the minor-mode sonata form is the motion from the structural I that opens the work to the second structural background harmony, which is usually the III. This harmony supports either $\hat{5}$

[1] Schenker 1979, 16.

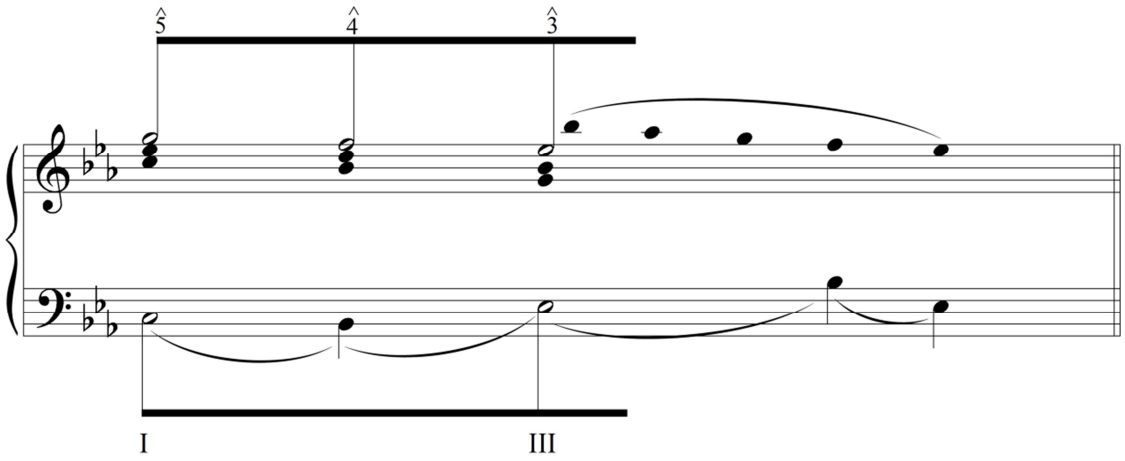
[2] Ibid., 131.

[3] Ibid., 134.

or $\hat{3}$ (the latter often after a $\hat{5}$–$\hat{4}$–$\hat{3}$ descent) in the top voice. The point at which the new structural harmony is reached is of utmost importance for the structure of the exposition. Usually – and this is perhaps the most "normative" situation – this chord appears somewhere around the midpoint of the exposition. Furthermore, it is often preceded by its own dominant, which establishes the new structural chord as a structural goal. In other words, in situations such as that just described, the arrival of the second structural background harmony divides the exposition into two halves of approximately equal length. On the more local level, the arrival of the structural III also establishes a new key in which the second part of the exposition appears. In this part, the prolongation of the structural III usually involves an upper-voice descent aiming at the $\hat{1}$ in the new key, and the closure of this progression is supported by a perfect authentic cadence.[4]

When the first appearance of the mediant harmony supports $\hat{3}$ of the main key, a third-progression $\hat{3}$–$\hat{2}$–$\hat{1}$ ($\hat{5}$–$\hat{4}$–$\hat{3}$ in the main key) is also possible and appears at the deepest level of the structure. Example 3.1 clarifies the situation by presenting a structural framework of the exposition in minor.

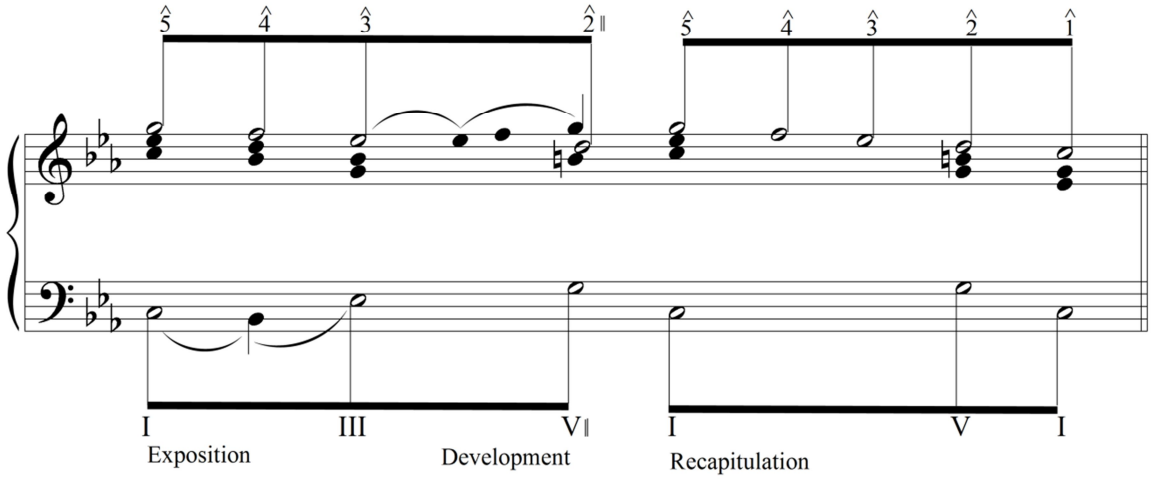
Example 3.1. Structural framework of the exposition in minor.



[4] The division of the exposition into halves with the arrival of the second background harmony also corresponds closely to descriptions of first-movement form by late eighteenth-century theorists; see, e.g., Koch 1983, 213–214. This arrival also represents the beginning of the second theme or *Seitensatz* according to descriptions of the nineteenth-century writers; see, e.g., Richter 1852, 27; and Marx 1868, 221–225. It should be noted, however, that the eighteenth-century theorists based their view primarily on strong cadences that articulate the course of the music, while in the nineteenth century the emphasis was shifted to a composition's thematic content as being a prime determinant of the form.

Example 3.2 shows the structure of a typical movement in sonata form in minor. In minor-mode sonata forms, in which the structural goal of the exposition is III, the interruption, which Schenker sees as the defining element of sonata form, occurs at the end of the development section, where the structural V (supporting the $\hat{2}$ in the upper voice) is attained for the first time. In such a movement, the harmonic route to that dominant often appears in the following form: I–III :‖: (IV)–V. After the interruption that closes the development, the fundamental line needs to be closed, and therefore "a return to the main key is understood for the recapitulation."[5] Finally, "once the $\hat{1}$ has been reached, the coda section may follow."[6]

Example 3.2. Structural framework of the sonata form in minor.



It is evident, however, that there are also other organizing factors that function somewhat independently of the structural division of the music. Thus, Schenker's view of the form needs to be broadened when we are trying to obtain a more comprehensive picture of the different aspects of the musical organization. Next, I will take a brief look at some of the most important contributions to the discussion on musical form within the Schenkerian-oriented research.

[5] Ibid., 137.

[6] Ibid., 138.

Felix Salzer distinguishes three distinct, but in many ways interrelated characteristics in a composition that he designates as *structure*, *form*, and *design*.[7] In Salzer's discussion, structure is more or less equivalent to the Schenkerian voice-leading structure, whereas form "may be defined as a principle of architectonic organization of the structure."[8] In other words, here Salzer follows Schenker by defining a composition's form in terms of its voice-leading structure. In Salzer's view, form is also hierarchical in nature, and "the form of the detail will subordinate itself to the form of the total organism."[9] Salzer designates the forms of the detail as the *inner form* that "will become organic offshoots of the form of the whole, the outer form."[10]

By the concept of design, Salzer refers to those organizing factors that are not directly dependent on the structure. These factors include a "composition's motivic, thematic and rhythmic material through which the functions of form and structure are made clear. Design is instrumental in bringing about the formal subdivisions and repetitions and in shaping the prolongations into sections, themes and phrases."[11] Although Salzer recognizes the elements of design as important in the musical organization, he defines form as belonging to the realm of the voice-leading structure. His description is, of course, valuable and informative, but also insufficient on its own. For example, the thematic material of a composition often articulates the course of the music prominently (as do Bruckner's expositions discussed in the previous chapter) in the formal units. As we have seen in the above discussion of Schenker's ideas about form, in a sonata exposition the beginning of an important new thematic idea and the attainment of the second background harmony sometimes coincide. This is not always the case, however. Bruckner's expositions offer clear examples of instances in which the formal boundaries determined by the different thematic ideas and the background structural events do not occur simultaneously. By including form in the realm of a composition's voice-leading structure as Salzer does, it is somewhat difficult to deal with these situations satisfactorily. On the other hand, it could be argued that here we are dealing only with a problem of terminology. In other words, these Bruckner expositions could be explained by saying that here, form and design contradict each other. This is, of course, true, but in that case we

[7] Salzer 1962, 223–224.

[8] Ibid., 223.

[9] Ibid.

[10] Ibid., 224.

[11] Ibid.

would easily create unnecessary confusion with a definition of form that differs radically from its traditional usages.

William Rothstein's discussion clarifies these issues. Rothstein still uses Salzer's terms – inner and outer form – but defines these in a way that differs considerably from Salzer. For Rothstein, a composition's outer form results primarily from its phrase and period structures, which are articulated by their concluding cadences. Here Rothstein clearly follows the late eighteenth-century discussion of musical articulation. While the phrase structure remains the most important determinant of form in Rothstein's discussion, he also includes the thematic material of a composition in its outer form. This notion brings him close to nineteenth-century concepts of musical form as well. Inner form is determined by "a tonal dynamic of a work—its large-scale harmonic and linear layout," which is close to the Schenkerian voice-leading structure.[12] Rothstein aptly points out that the distinction between the inner and outer form is important, especially when a phrase and period structure are in conflict with the large-scale harmonic structure. In such cases "*both* aspects must be acknowledged in a full description of the work's form."[13]

The notion of different aspects of musical organization is further clarified in David Beach's discussion in which he makes a distinction between Schenkerian voice-leading structure, formal design, and tonal design.[14] By the term "structure," Beach is referring to "the underlying voice-leading and harmonic organization of a given work or a passage." This is shown by Schenkerian analysis. In the heading "design," he includes all other aspects of organization. By a composition's "formal design," he is "referring to its division into sections, which may be subdivided perhaps into 'themes' and connecting passages, then periods and phrases, and so forth—in short the traditional hierarchical notion of form (as opposed to Schenker's notion of form as a product of voice-leading)."[15] On the other hand, "tonal design" means the layout of keys over the course of the composition. As Beach points out, this is an entirely different matter than tonal structure.

Beach's discussion of musical organization has important consequences for sonata form of which "one might say it is binary in structure, but ternary in design."[16] Especially

[12] Rothstein 1989, 104.

[13] Ibid., 104; italics in the original.

[14] Beach 1993.

[15] Ibid., 4.

[16] Ibid. David Beach is by no means alone in making this distinction between the different aspects of the musical organization. A more recent approach to these issues can be found in Peter H. Smith's study of Brahms's instrumental music. Smith (2005, 31) states that form "emerges through a *counterpoint of musical*

noteworthy is his careful specification of the different aspects of design. This kind of specification proves to be particularly useful in situations in which the background structural events seem to be in some kind of conflict with the formal and tonal design, the latter being articulated, for example, by a composition's thematic material and the keys of these themes. The Bruckner symphony movements that are the focus of this study are exact cases in point. In my analyses, I will use Schenker's theory to examine each movement's voice-leading structure. In addition, I will examine the movement's formal outlines, including the key areas, in light of David Beach's concepts of formal and tonal design.

3.3 *Sonata Theory* by James Hepokoski and Warren Darcy

In my discussion of formal outlines, I adopt the ideas and terminology presented by Warren Darcy and James Hepokoski in their study *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (2006). In light of the previous discussion, it could be said that the concepts presented in *Sonata Theory* belong to the realm of David Beach's formal and tonal design. Although sonata theory is primarily concerned with the eighteenth-century sonata principle, its ideas can also be of great help in describing the features of Brucknerian sonata form. According to Hepokoski and Darcy, eighteenth-century sonata expositions can be classified into two broad categories or "exposition types": the two-part exposition and the continuous exposition. For the present study, the two-part type has the greatest relevance.

The two-part exposition is characterized by a strong mid-expositional punctuation break, which Hepokoski and Darcy call a *medial caesura* (MC). As they point out, the medial caesura has two important functions: "It marks the end of the first part of the exposition (hence our adjective 'medial'), and it is simultaneously the highlighted gesture that makes available the second part."[17] Thus, the medial caesura ends the transition. From the viewpoint of Hepokoski and Darcy's *Sonata Theory*, the whole sonata trajectory in minor mode with a two-part exposition may be diagrammed as shown in Table 3.1.

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dimensions. These dimensions can include virtually any aspect of a piece's sound world, but for convenience they can be reduced to three main categories: thematic design, key scheme, and tonal structure."

[17] Hepokoski and Darcy 2006, 25.

Table 3.1. Sonata trajectory in a minor-mode movement after Hepokoski and Darcy.

Exposition			
Part 1		**Part 2**	
Primary-theme (P)	Transition (TR)	Secondary theme (S)	Closing zone (C)
tonic	Motivic *Fortspinnung*, accumulative rhetorical energy, modulation towards secondary key (not mandatory) etc.	secondary key	
I: PAC I: IAC I: HC	III: HC V: HC (or I: HC) **MC**	III: PAC V: PAC **EEC**	post-cadential

Development
I: HC

Recapitulation				**Coda**
Part 1		**Part 2**		
Primary-theme (P)	Transition (TR)	Secondary-theme (S)	Closing zone (C)	
tonic		tonic		tonic
I: PAC I: IAC I: HC	I: HC **MC**	I: PAC **ESC**	post-cadential	

PAC = perfect authentic cadence
IAC = imperfect authentic cadence
HC = half cadence
MC = medial caesura
EEC = essential expositional closure
ESC = essential structural closure

The first part "contains two action-spaces, the *primary-theme zone (P)* and the *transitional zone (TR)*, and culminates in the *medial caesura (MC)*."[18] Most often, the caesura appears as V of the new key, but sometimes also as V of the main key. The third option, not shown in Table 3.1, is a perfect authentic cadence in the secondary key, although this case is the most infrequent of the three options.[19] The second part also contains two spaces, the *secondary-theme zone (S)* and the *closing zone (C)*. The main punctuation in the second part is the "essential expositional closure" (EEC), i.e., "the moment when S attains a satisfactory perfect authentic cadence in the new key and gives way to differing material."[20] In addition, Hepokoski and Darcy point out that in the secondary-theme zone, the EEC occurs "on the attainment of the first satisfactory perfect authentic cadence."[21] This cadence is followed by the "closing zone," which "reaffirms and reinforces the new key."[22] In the recapitulation, the moment when the secondary theme attains a satisfactory perfect authentic cadence is designated as "the essential structural closure" (ESC), which most often appears at the parallel point as the EEC in the exposition and "represents the tonal goal of the entire sonata form."[23] Below, I will trace a few of the features in Bruckner's music that will be taken up in the analyses in relation to the theoretical background of this study. The purpose is to give a preliminary view of the questions for which the subsequent analyses endeavor to provide an answer.

3.4 Brucknerian Form

As I have suggested above in chapter 2, I divide Bruckner's expositions into two parts. The beginning of the second part is typically marked by a *cantabile* secondary theme in the exposition's secondary key (the mediant), which is followed by a closing zone that also begins and ends in that key. The first part can also be divided into the primary theme and the transition, although, as we will see in the analyses in the following chapters, the

[18] Ibid., 23; emphasis in the original.

[19] In fact, Hepokoski and Darcy present still a fourth option, I:PAC, although this, in my opinion, is somewhat problematic.

[20] Ibid., 117.

[21] Ibid., 120.

[22] Ibid., 180.

[23] Ibid., 20.

location of the start of the transition it is not always straightforward.[24] The way Bruckner ends his transitions has received rather generous analytical attention, but the question of how and at what point in the form these transitions *begin* has not yet been discussed at any great length. With the help of sonata theory combined with the issues of Schenkerian voice-leading structure, I believe it is possible to offer new insights into this aspect of formal division in Bruckner's expositions.

Several scholars have argued that Bruckner's expositions are divided into three theme groups rather than into two parts. In this view, the first part is understood as the first group, while the two zones of the second part are viewed as the second and third groups. This view is primarily supported by the clear separation of the two zones in the second part. As Julian Horton writes, "the most frequently noted example of expansion…is the increased delineation of second group and closing section, to the extent that the closing section becomes a third group in itself."[25] Dermot Gault, in turn, states that "it was a personal reinterpretation of sonata form, featuring a third thematic group of equal status with the other two."[26] Although a notion of three groups is certainly valid, I find the two-part division with its harmonic punctuation as described by Hepokoski and Darcy more effective for the purposes of the present study for a host of reasons that will be clarified below.

From the point of view of the present study, the main punctuations of the form (i.e., MC, EEC, and ESC) are especially important. At this point, it may be worth comparing the two-part exposition as described above with the structural division of the exposition as defined by Schenkerian analysis. From a Schenkerian perspective, the tonic of the new key at the beginning of the exposition's second part also marks – in a normative sonata structure – the arrival of the second background *Stufe*. Furthermore, the main articulation point in the second part of the exposition, namely, the first perfect authentic cadence in the new key (EEC), usually marks the closure of the middleground linear progression in the $\hat{1}$ of the secondary key.[27]

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[24] As Hepokoski and Darcy's discussion reveals, this kind of situation is also common in the classical repertoire. See Hepokoski and Darcy 2006, 93–116.

[25] Horton 2004, 156.

[26] Gault 2011, 15. Furthermore, Gault points out that this feature was also "recognized in his [Bruckner's] day as an innovation" (Ibid., 14).

[27] The situation is not always so straightforward. The upper voice in the second part of the exposition may also contain several descents of which the first is not necessarily the definitive one. Carl Schachter (1991, 238–241) has discussed just such a situation in the first movement of Mozart's Jupiter Symphony. In

The medial caesura is of utmost importance in preparing the arrival of the second background *Stufe* at the beginning of the exposition's second part to which the MC functions as a gateway. However, during the transition the arrival of the medial caesura can encounter different kinds of complications, which may also affect the underlying voice leading in significant ways. Similarly, the attainment of the EEC may be problematized in several ways, with consequences for the underlying voice-leading structure. Furthermore, such problems will likely affect the corresponding point in the recapitulation. The exposition of the first movement of Bruckner's First Symphony in C minor offers a good example of these problems. After several unsuccessful attempts to enter the realm of the secondary key, E♭ major, the transition eventually leads to a dominant-ninth chord built on D♭ and also ends on that chord. However, at that point the role of that chord is not easily determined. Locally, it sounds like a dominant of G♭ major, but after a few bars the chord slips into the E♭ major $^{6}_{3}$ chord in the third measure of the secondary-theme zone (m. 47).

It is evident that the end of the transition has failed to act as a tonal gateway to the secondary-theme zone. The E♭-major $^{6}_{3}$ chord at the onset of the secondary theme enters unprepared tonally, which results, to use Warren Darcy's terminology, in an "alienated secondary-theme zone."[28] The question immediately arises: does the dominant ninth at the end of the transition represent the medial caesura leading to the new theme at the beginning of the exposition's second part? The answer seems to be not in any "normative" way. Moreover, what is the role of the dominant ninth in the voice-leading structure and how does this kind of transition ending affect the structural status of the E♭-major $^{6}_{3}$ chord, which begins the secondary-theme zone?

The secondary-theme zone ends in m. 65 with a perfect authentic cadence in E♭ major, at which point the root-position E♭-major chord is attained for the first time. What

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the exposition of the first movement of Beethoven's Eroica Symphony, Schenker interprets only the last descent as a definite one (Schenker 1930). The first movement of Mozart's Symphony in C major, K. 338, mm. 178–223, could be mentioned as another example. William Rothstein (1989, 116) has offered a different view by stating that the first perfect authentic cadence in the second part of the sonata exposition is always the definitive one. Hepokoski and Darcy (2006, 147–149) refer to the cadence that marks the middleground closure to $\hat{1}$ as ZPAC (*Zug*-terminating PAC). They also point out that the EEC and ZPAC are not necessarily identical. In this study I do not use the abbreviation ZPAC when discussing the structure of the movements from the Schenkerian viewpoint.

[28] Darcy 1997, 271–274.

is the role of the secondary-theme zone in achieving this harmony? And how does the recapitulation react to these events at corresponding points in the form?

As already noted in chapter 2, Bruckner's development sections usually divide into two or more parts, each of which operates with material from the different zones of the exposition. Warren Darcy has observed that the development sections usually begin with "a rather static 'dormant zone', usually based upon the material that closed the exposition."[29] Such a beginning is followed by a section that Darcy calls a "reawakening zone." Darcy also notes that the developments as a whole are "rotational" in the sense that they operate with the material from the formal zones of the exposition, although not necessarily in the original order. For example, in the first movement of Bruckner's Symphony no. 1, after the "dormant zone," which characteristically operates with the material from the end of the closing zone, the development still continues in m. 121 with thematic material from the exposition's closing zone.

The idea of the rotation of the exposition's material will be taken up in my analyses of the formal divisions of Bruckner's development sections. In addition to the formal analysis, with the help of the Schenkerian approach it is possible to deepen the insights into the material used in the different parts of the development and their relation to the exposition. In the first movement of the Third Symphony, for example, the second part of the development begins in m. 343, notably in the main key, D minor, with a forceful statement of the trumpet theme from the movement's beginning (mm. 5–12); this obviously has important formal as well as structural implications, not only for the development section, but also for the movement as a whole.[30]

As we will see in chapter 6, such an implication actually reaches deep into the development's second part, owing to the material that follows the D-minor statement of the trumpet theme. The scene becomes even more fascinating when placed within the Schenkerian voice-leading structure. How does the structural status of the D-minor chord in m. 343 relate to the tonic at the beginning of the movement or to the F-major chord that ends the exposition and begins the development? In short, what is the relationship between the formal design and the voice-leading structure at this marvelously impressive moment? The detailed analysis in chapter 6 will offer answers to these questions.

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[29] Darcy 1997, 263.

[30] A few scholars have interpreted this statement as an instance of a "false recapitulation." See, e.g., Notter 1983, 73, and Röder 1987, 54–56. This notion will be discussed in detail in chapter 6.

In the recapitulations, the formal zones in these three first movements are presented in their expositional order. Furthermore, the recapitulations are followed by lengthy codas. In the recapitulation, the formal zones typically undergo several changes together with material omitted and also added, again with several important consequences for the form and voice-leading structure. Most significant, the endings of the closing zones are reorganized in such a way that the deep-level structural closure is pushed well into the coda. As we will see, this is accomplished very differently in each of the three recapitulations. In the Second Symphony in C minor, the situation is perhaps the most intriguing of all. The closing zone ends locally in B♭ minor with an alternation of its tonic and dominant chords (mm. 493–497), and the ensuing coda begins immediately on a C-minor chord. The closing zone is thus left in the middle of a process whose realization is transferred to the coda. How do the end of the closing zone and the beginning of the coda relate to the underlying voice-leading structure in this situation in which the boundaries of the structure and the formal design overlap in a conspicuous way? These are among the vital issues that will be discussed in detail in the analytical chapters.

In light of the above discussion, it could be said that in these movements, the form of the whole clearly follows a division into four sections, which may be labeled exposition, development, recapitulation, and coda. Also the expositions and the recapitulations show a clear division into two distinct parts. This kind of organization is primarily determined by the beginnings of the different formal units, which are made explicit in the music. This is normally done by the abrupt confrontation of units of contrasting material and character. But however strongly and unambiguously these beginnings may articulate the formal unfolding of the music, the voice-leading role of the units and the events within them is not easily defined. The interaction of these different organizational principles will be discussed in the following chapters by examining the relationship between the Schenkerian voice-leading structure and the more traditional aspects of form.

In the analyses, I will also adopt James Hepokoski's and Warren Darcy's idea of "dialogic form." According to this idea "the composer generates a sonata…to enter into a dialogue with an intricate web of interrelated norms as an ongoing action in time."[31] By combining the hypotheses of Hepokoski and Darcy's sonata theory with Schenkerian

[31] Hepokoski and Darcy 2006, 10. Moreover, in his article on sonata theory James Hepokoski (2010, 71–72) describes this idea as "form in dialogue with historically conditioned compositional options."

voice-leading structure, it is possible to obtain a broad picture of the subtleties and complexities of the Brucknerian musical organization and its dialogue with the generic norms and expectations of the sonata principle. The techniques and procedures that link these three movements to the sonata tradition are subtle and carried out in an extraordinary and unique manner that has not previously been fully acknowledged.

4 The First Movement of Symphony No. 1

4.1 Form and Voice-Leading Structure: An Overview

Bruckner's Symphony No.1 is characterized by such an impetuosity of expression that it is clearly set apart from the rest of composer's symphonic works. As mentioned in chapter 1, I am basing my analyses on the first version of the work (the so-called *Linzer Fassung*). The formal outlines of this symphony's first movement, as shown in Table 4.1, follow the pattern that was outlined in the second chapter of this study. Table 4.1 presents a chart of the formal design.

Table 4.1. Symphony No. 1, I, formal outlines.

Sonata form	Exposition (mm. 1–106)		Development (mm. 107–198)
	1st Part (1–44) P (1–18) TR (18–44)	2nd Part (45–106) S (45–67) C (67–106)	
Keys	c:	E♭: E♭:	E♭: → c:V
Important cadences		E♭: PAC (= EEC) E♭: PAC	c: HC

Sonata form	Recapitulation (mm. 199–309)		Coda (mm. 309–351)	
	1st Part (199–240) P (199–216) TR (216–240)	2nd Part (240–309) S (240–257) C (257–309)	1st Part (309–343)	2nd Part (343–351)
Keys	c:	C: → c:	c:	
Important cadences		c: PAC (=ESC)	c: PAC	

The movement as a whole is divided into three large units: exposition (mm. 1−106), development (mm. 107−198), and recapitulation (mm. 199−309), followed by a coda (mm. 309−351). The exposition is divided into two parts as follows: mm. 1–44 and mm. 45–106. The first part is further subdivided into the primary-theme zone (mm. 1−18) and the transition zone (mm. 18−44). As we shall see, however, the delimitation of the transition's beginning is anything but straightforward. The second part is further subdivided into the secondary-theme zone (mm. 45–67) and the closing zone (mm. 67–106). The overall tonal plan of the movement is also traditional, i.e., the exposition proceeds from the tonic to the relative major, the development ends with the root-position dominant triad of the main tonality, and the tonic minor (together with the major in the secondary-theme zone) governs the recapitulation. Thus, as Stephen Parkany has put it, "certainly a first broad overview of the movement reveals little unusual in its Richterian outlines and conservative tonal plan. No tonalities other than the tonic and relative major are given full cadential support."[1]

The deep-level voice-leading structure is also typical of a minor-mode symphony movement in sonata form. As can be seen in Example 4.1, the motion from I to III (accompanied by the upper-voice descent from $\hat{5}$ to $\hat{3}$ over III) governs the exposition, the end of the development represents an interruption in the overall structure, and the coda closes the structure with an upper-voice descent to $\hat{1}$.

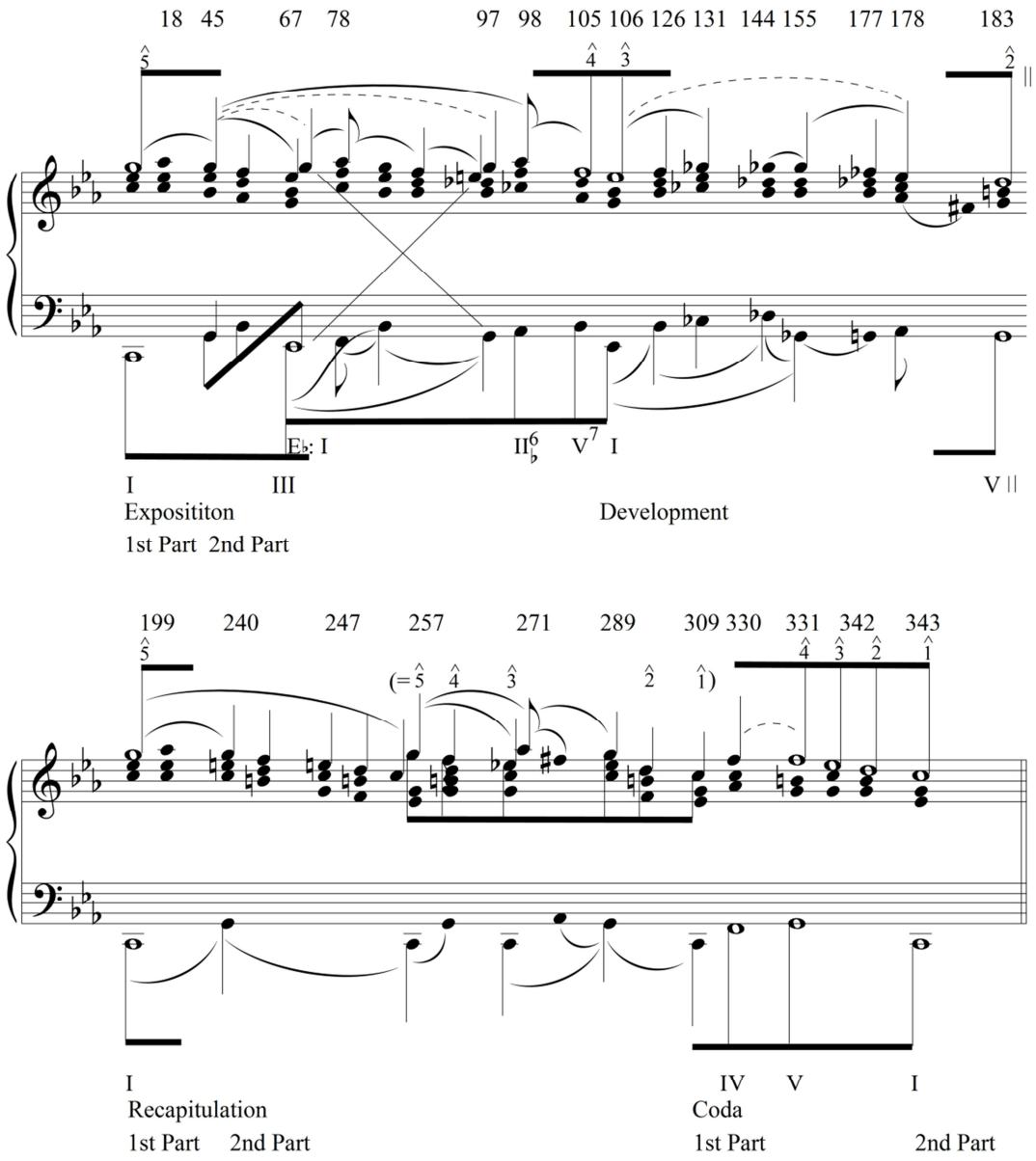
This kind of structure can also be found in numerous classical and earlier nineteenth-century compositions in a minor key. Yet there are also some unusual features within this conventional framework. For example, the deep-level III is not attained in the exposition in any straightforward manner. As Example 4.1 shows, I interpret the entire secondary-theme zone (mm. 45–67) as an auxiliary cadence, which eventually leads to the deep-level III at the beginning of the closing zone in m. 67. In addition, the E♭ major of the secondary theme is not preceded by its dominant. Thus, the secondary-theme zone as a whole is a tonally unstable part of the structure leading to the stable E♭-major triad.

If the large-scale formal division of the movement reveals nothing very unusual, more local levels of the music present us with a uniquely rich and complicated network of formal and tonal procedures. It could be argued that the firm formal background gives the whole an immediate clarity within which the local complications are made all the more palpable, and even more so in those cases where these complications seem to cross the

[1] Parkany 1989, 163.

music's clearly delimited borderlines.[2] As a result, in this movement the different layers of organization are thrown into relief in various and often highly complex and ambiguous ways. Next I will discuss the formal units in more detail.

Example 4.1. Symphony No. 1, I, an overview.



[2] Stephen Parkany (1989, 163) makes a similar observation in discussing the dynamic nature of Bruckner's forms: "Undoubtedly crucial to his success at sustaining dynamic processes on this scale was just this scrupulous maintenance of the conventional Richterian schema. More for him than just the matter of orthodoxy, this maintenance provided his dynamic forms with firm, readily perceptible coherence." By "Richterian" Parkany refers here to the nineteenth-century theorist Ernst Friedrich Richter and his textbook *Die Grundzüge der musikalischen Formen und ihre Analyse*.

4.2 Exposition

Table 4.2 presents an overview of the formal and tonal organization of the exposition in mm. 1–67. Beyond the exposition's two-part division, the question of the formal organization in the first part is especially challenging here. This is largely because of the ambiguous nature of both the tonal and formal events that precede the second part. As Table 4.2 shows, the transition proceeds in three phases. There is no medial caesura, but after the unsuccessful attempt to set it up and confirm E♭ major, the second phase, in m. 28, brings back the opening measures of the primary theme on an A♭-major chord. In the third phase, the music takes a totally new tonal turn and points toward the remote key of G♭ major.

Table 4.2. Symphony No. 1, I, exposition, mm. 1–67, formal and tonal organization.

m. 1	10	18 26	28	38	45	58	67
1st Part					**2nd Part**		
Primary-theme zone		Transition			Secondary-theme zone		Closing zone
Presentation	Continuation	1st phase	2nd phase	3rd phase	Antecedent	Consequent	
		MC?	No! P returns, but on A♭			over	lap
c: I		E♭: IV^6 V		G♭: V	E♭: I^6 $V^{\|\|}$	I^6 II^6_5 V^{6-5}_{4-3} I=	I
				losing track…	increasing tonal security		

These rather ambiguous tonal events create the impression that the secondary-theme zone almost seems to stand apart from the main tonal course of the exposition. Two features that further this impression are especially worthy of notice here: 1) the key of the secondary theme, the E♭ major, has not been prepared in any way and thus seems to appear out of nowhere in m. 45; and 2) the E♭ major itself is rather weakly represented here (there is no root-position tonic), giving the music a somewhat frail and tentative character. How

are we then to classify the exposition in light of the definitions given by Hepokoski and Darcy? How do the events in the transition and the secondary-theme zone affect the voice-leading structure? Does the return of the primary theme material in m. 28 mean that we are still within the primary-theme zone proper, which would lead to a kind of A^1–B–A^2 form, and the transition will begin only later, as some scholars have suggested?[3] As Table 4.2 indicates, I do not think this is the case. The following discussion will clarify these questions.

4.2.1 First Part

Primary-Theme Zone

Although the primary theme of this movement begins in a steadfast manner with its march-like characteristics, it lacks any strong cadential harmonic confirmation.[4] The theme has sentential characteristics, although in a modified form: first, because of the descending bass C–B♭–A♭ , the presentation (mm. 3–10, 4+4 measures) is already a somewhat unstable unit, which is not typical of an archetypal sentence; second, the continuation unit (starting in m. 11) does not end with a cadence, but rather leads to a dominant chord in m. 17 in a weak $\frac{6}{5}$ position.[5] This chord connects smoothly to m. 18, the first climax and the beginning of the next phase of the music.

At a more local level, the dominant $\frac{6}{5}$ in m. 17 naturally arouses expectations of a resolution to the root-position tonic chord. This chord is elided, however, and the next phase immediately begins with an active element, an A♭-major $\frac{6}{3}$ chord, which is an outcome of a broad 5–6 motion. This is shown in Example 4.2, which presents a voice-leading sketch of mm. 1–18.

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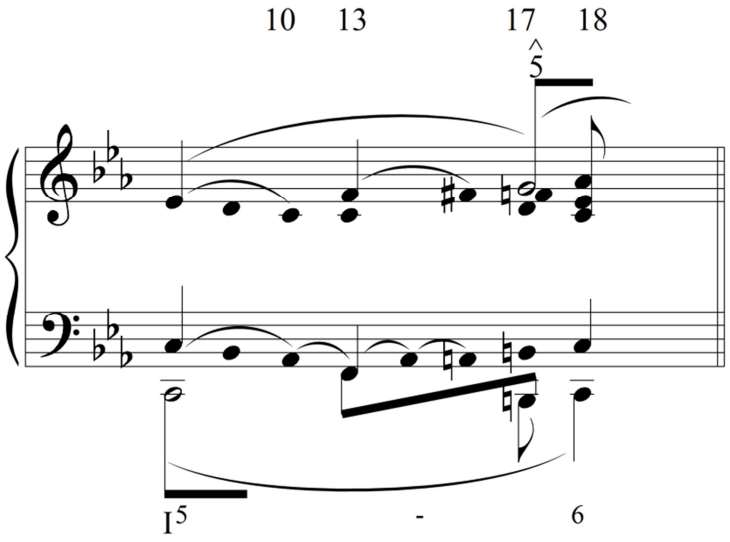
[3] See, e.g., Krohn 1955, 81–82; Simpson 1992, 31; Notter 1983, 62. Julian Horton (2004, 250–252) seems to suggest that the return of the primary-theme material in m. 28 initiates the transition.

[4] Stephen Parkany (1989, 158) emphasizes the suppression of cadential articulations as a technique that, together with "motivic developing variation," enables "Bruckner to project an orthodox Richterian sonata-form syntax simultaneously with a continuously evolving unbroken dynamic wave."

[5] For a description of a sentence, see Caplin 1998, 35–48 and 59–70. In Caplin's terms, this theme would be a modification of a "compound sentence" consisting of a repeated four-measure "compound basic idea" and a seven-measure continuation. For a more detailed discussion of the theme's formal characteristics, see Horton 2004, 248–253. Owing to the unstable nature of the presentation unit as described above, the primary theme creates an impression of beginning *in medias res* – an unusual beginning in Bruckner's early symphonies.

Example 4.2. Symphony No. 1, I, exposition, mm. 1–18, voice-leading sketch.



The *Kopfton* G is reached in m. 17 through an initial ascent, E♭–F–G. I believe the most important justification for this reading is the upper-voice descent from E♭ to C in the first two four-measure units of the theme (the "presentation," mm. 3–10). This descent, which helps to shape mm. 3–10 as the theme's clearly defined opening gesture, gives the E♭ prominence as a starting point for an ascending third progression, the initial ascent, in mm. 1–17.

Transition

Measure 18 culminates the growing intensity, which started with the "continuation" in mm.11ff., and marks the dramaturgical climax of the exposition's first part. As mentioned in chapter 3, in a typical classical two-part exposition, the primary theme is followed by a transition or "energy-gaining modules driving toward the medial caesura."[6] In other words, the onset of a transition signals a new turn in the course of music that is now imbued with energetic, forward-driving gestures as the transition pushes on.

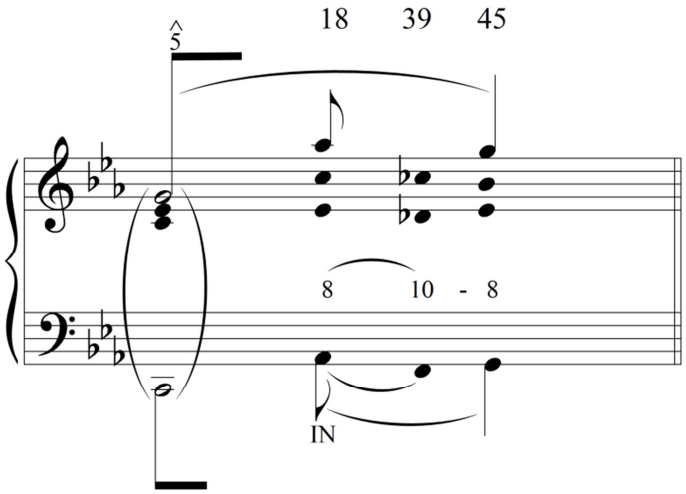
In this exposition, m. 18 might well signal such a turn with its powerful, cascading figurations in the violins, to which the woodwinds and cellos/basses add two more active

[6] Hepokoski and Darcy 2006, xxviii.

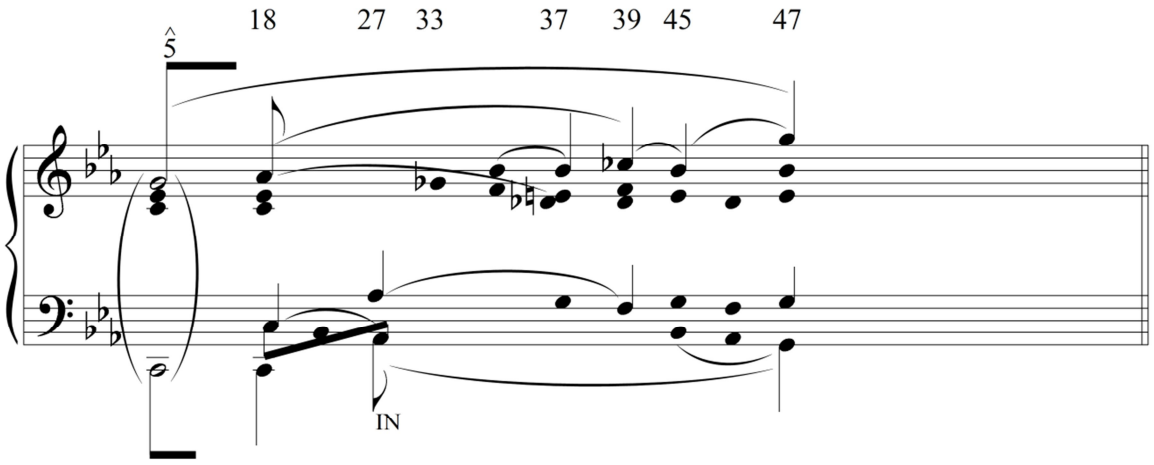
textural layers.[7] Furthermore, the harmonic motion in the first few bars of this part of the form seems at first to support this view. Example 4.3 presents a voice-leading sketch of the transition.

Example 4.3. Symphony No. 1, I, exposition, mm. 18–47, voice-leading sketch.

a)

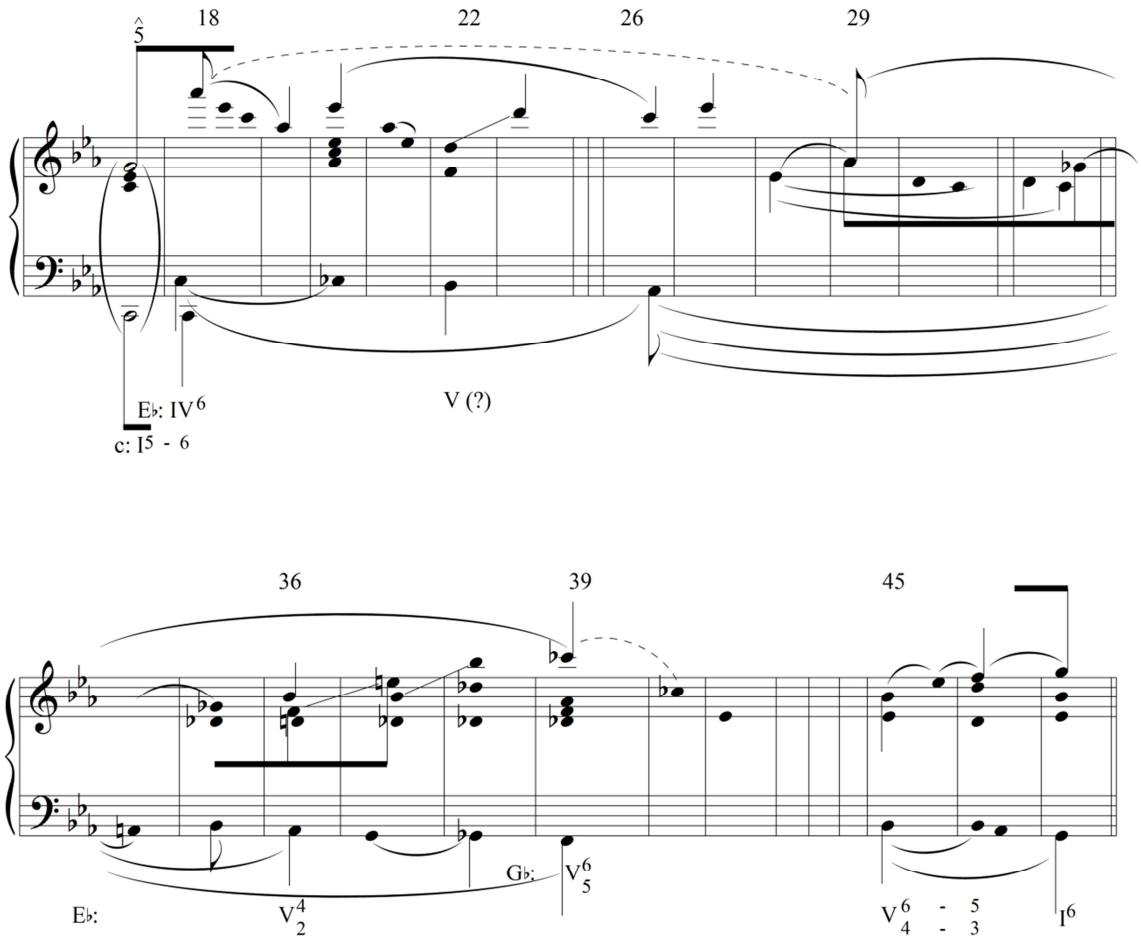


b)



[7] Stephen Parkany (1989, 185) also makes a similar observation, when he describes the impression made by m. 18: "It is entirely compatible with the loud transformations of texture … . They are part of the conventional impetus that sets off the modulation to the secondary key."

c)



Example 4.3c shows that the A♭-major chord in m. 18 goes via A♭ minor to the B♭-major chord in m. 22, which is then sustained for five measures up to m. 26. Through this harmonic motion with its chromatic bass descent, C–C♭–B♭, the B♭-major chord in m. 22 clearly assumes the role of the dominant of E♭ major. In this context, the A♭-major $^{6}_{3}$ chord could be interpreted as IV^{6} of E♭ major (these harmonic implications are shown below in Ex. 4.3c). The section from m. 22 up to the beginning of m. 26 also give the impression of a "dominant-lock," which typically appears toward the end of a transition and eventually leads to the articulation of a medial caesura. Two features of the music in particular support this impression. First, the B♭-major chord, once attained, is sustained over these bars. Second, after the one-measure figurations in the violins and cellos/basses have exchanged places in m. 22, they undergo transformations that are especially noteworthy at this point: an inversion and a fragmentation or a compression of an idea.

However, the medial caesura does not appear, since the bass B♭ descends in the third quarter of m. 26 to A♭, and then remains there. However, the situation is further complicated here by the fact that the music actually hints at the decline of the expected medial caesura already in m. 24, two measures before its supposed arrival. This is basically achieved by the general dynamics, the texture, and motivic/harmonic means. The decrescendo that begins in m. 24 and the thinning-out of the orchestral texture in the following measure both seem to run counter to the simultaneous motivic fragmentation discussed above. The changes in the motivic/harmonic situation that are already taking place in m. 25 also delicately point in the same direction. The issue here is the appearance of E♭ instead of D in the second violins, altos, and the cello/bass figuration in m. 25. This could, of course, simply mean a normative $\frac{6}{4}$ embellishment of the sustained dominant. However, the violin figuration seems to deny this embellishment by circulating insistently around the tones of the B♭-major chord. The result is a subtle clash between the two figurations, which might suggest that, after all, the music is perhaps not heading for a medial caesura or at least not for a normative one.

And indeed, starting from the third quarter of m. 26, the B♭-major chord is stripped of its status as a dominant: the figuration in the lower strings (and now also in the second violin) is altered to delineate the A♭-major triad, and D♮ is replaced by D♭ in the rising scale figure, which is now transferred to the flutes. A sudden change in harmonic direction also denies the B♭-major chord on the first beat of m. 26 its implied role as a signal for a medial caesura proper.

In Hepokoski and Darcy's terms, what happens here might be characterized as a "medial caesura declined" situation.[8] The decline, or rejection, of the medial caesura has important consequences in the voice leading of the passage in mm. 18–26 (Ex. 4.3). The B♭-major triad ultimately appears as a passing chord that prolongs the A♭-major triad from m. 18 and produces a third progression C–B♭–A♭ in the bass (Ex. 4.3b and c). As Hepokoski and Darcy point out, in a situation where the medial caesura is declined, the transition continues beyond that proposed caesura point and the "real" medial caesura is usually attained later.[9] In this movement, however, no medial caesura candidate appears after m. 26, but instead the opening measures of the primary theme are brought back two measures later, on an A♭-major chord. Thus, the A♭-major chord that supports the re-

[8] Hepokoski and Darcy 2006, 45–47.

[9] Ibid., 45.

launch of the primary-theme material in m. 28 remains an active element also at the foreground level. Example 4.3 shows that the A♭ in the bass functions as an upper neighbor to G. However, it is only after a rather intriguing set of deceptions and deferrals that the A♭ finally resolves down to G at the beginning of the secondary theme in m. 47. Example 4.3c, a foreground voice-leading sketch of mm. 18–47, clarifies these events.

The harmonic environment becomes considerably more unstable with the addition of a minor seventh, G♭ in m. 32 moving to the A♭-major chord (Ex. 4.3c). At the moment of its arrival, the G♭ sounds rather like an augmented sixth, with F♯ pointing toward the dominant of C minor. Instead, the music follows the G♭ option, although again with a touch of deferral and deception. First, the passing-tone G♭ resolves down to F via a detour of a neighboring G♭-major $^{6}_{3}$ chord, and second, the resolution on F occurs within an active dominant seventh chord in m. 36, this time in $^{4}_{2}$ position with A♭ in the bass. Thus, the music again stands on the verge of E♭ major. During this whole process, starting from the resounding of the primary theme in m. 28, the bass note A♭ remains active, waiting to be resolved down to G, but the meaning of this expected G changes as the music proceeds: first it could be the dominant of C minor, then the third of the tonic of E♭ major. Yet neither of these options is realized. The changing tonal environment here is perhaps comparable to a picture that reveals something new each time the observer changes position.

Finally, the bass indeed descends, moving down to G in m. 37, only this is not a resolution, but rather part of a diminished seventh chord, which ends the transition's second phase. This chord leads unexpectedly to the G♭-major chord, which in turn opens the transition's next, and last, phase (mm. 38–44) before the onset of the secondary theme. Neither of these chords, despite their position at the juncture between the transition's second and third phases, sounds like a goal or the beginning of a tonal progression. Instead, as Example 4.3c shows, the chords act rather as contrapuntal (or passing) events leading to a chord in m. 39, which extends over mm. 39–44 and sounds locally like the dominant of G♭ major.

The transition's third phase in mm. 38–44 is thus centered around the key of G♭ major, which is represented here by its tonic and dominant chords. Starting from m. 18, the transition has already lost two opportunities to enter the tonic of the secondary key, E♭ major (in m. 26 and 36). And from m. 38 onwards, this conventional structural option

seems to have been set aside for good in favor of a more unconventional key for the secondary theme, perhaps that of G♭ major.[10]

In mm. 38–44, the music points in a direction that differs from the one in which it actually arrives, and the E♭ major in m. 45 at that point sounds like a deviation from the expected tonal course. Thus, the secondary theme appears here in the right key, but tonally "alienated," as Warren Darcy has described this typical Brucknerian procedure.[11] The consequences of this for the formal layout and the voice leading in the exposition will be discussed below.

Example 4.3a and b show clearly how the dominant of the apparent G♭ has its origins in the voice leading. It prolongs the A♭-major chord set up in m. 18 by transforming this chord into an active dominant. Moreover, with F in the bass, the dominant of G♭ can also be assigned a role as a voice-leading corrective that breaks up the parallel octaves A♭–G with an intervening tenth, as the neighboring tone A♭ resolves down to G in the outer voices in m. 47. Such voice leading is itself rather common in tonal music, but here the harmonic remoteness together with the emphasis given the corrective are quite exceptional.

Taking all of these things into account, the transition in mm. 18–44 is remarkably rich in multi-referentiality, which makes it open to several interpretations, especially in regard to its position in the exposition's formal layout. The return of the primary-theme material in m. 28 is perhaps the most striking feature of this large transition. It is as if the music decided to take a totally new turn and start all over again after the decline of the medial caesura. As the discussion above has shown, the music still preserves its transitory character after m. 28. Therefore, the nature of the thematic return as a "true" reprise in a ternary thematic unit is also questionable. It is perhaps more aptly described as an aftermath following the dissipation of a carefully built-up medial caesura: the music hovers first around an A♭-major chord and – especially after the addition of a minor seventh (an apparent augmented sixth) to this chord – still seems to be in control of the main key, then stands on the verge of the E♭ major again, before decidedly taking distance from it.[12] The remote key area (G♭ major) of the final phase of the transition (i.e., mm. 38–

[10] The tritone relationship between the primary and secondary themes would certainly have been most unusual around the 1860s and 1870s in a movement based on sonata form.

[11] Warren Darcy (1997, 272–73) describes this situation as a "secondary alienation," where the proper key is prepared with a wrong dominant.

[12] Ernst Kurth (1925, 739) describes this return quite aptly as an "afterwave" of the climax in m. 18.

44) can be seen as a consequence of the somewhat undecided nature of the earlier music with its failed attempts to enter the realm of the proper secondary key.

All in all, Bruckner has created here an extraordinarily multi-faceted transition. The passage near the end of its second phase, as well as the third phase with its constantly attenuating dynamics, together with the dissipation into mysterious tonal realms place this transition in dialogue with the type that Hepokoski and Darcy call a "de-energizing transition."[13] In this case, the music is almost completely snuffed out before the entry of the secondary theme. The rather irresolute nature of the tonal events after m. 26 makes the energy loss here all the more impressive.

4.2.2 Second Part

As we have seen, the transition leading to the exposition's second part failed to enter the realm of E♭ major. This procedure gives the second part the special burden of introducing the secondary key and establishing a deep-level III. The secondary-theme zone eventually manages to set up this chord, albeit through a rather complex tonal route. The ensuing closing zone then revels, so to speak, in the achievement of this chord, with highly energetic movement culminating in a powerful trombone theme in mm. 94ff., marking the magnificent climax of the entire exposition.

Secondary-Theme Zone

Perhaps the most striking feature of the harmonic content of the secondary theme (mm. 45–67) is the absence of a root-position E♭-major tonic until the last measure, which overlaps the beginning of the closing zone. The tonic appears in the course of the secondary theme only as a $\frac{6}{3}$ chord, and even then it is touched upon only fleetingly – in m. 47 and m. 60. It is as if this theme with its charming, *cantabile* melody were cast adrift without a solid anchor to stabilize the new key. No doubt the lack of any true tonal preparation in the preceding measures adds to this effect. The music resides in a correct secondary key, but still seems to be tonally "alienated."[14] In this case, however, the alienation already begins before the onset of the secondary theme.

[13] Hepokoski and Darcy 2006, 116.

[14] Darcy 1997, 271.

Despite the fragility of the E♭ major tonic chord as described above, its significance is evident in the first few measures of the theme. Carl Schachter describes the tonic triad as a "matrix," which "defines the beginning and end of complete and self-contained harmonic and melodic progressions." And what is especially relevant here is that "this applies to the main tonic of a piece … as well as for most temporary 'tonics' produced by modulation."[15] Despite the absence of a more stable chord in root position, the E♭-major $^{6}_{3}$ chord functions here exactly according to Schachter's description: the secondary theme begins clearly on the dominant with B♭ in the bass, which proceeds through A♭ to G in m. 47, supporting an E♭-major $^{6}_{3}$ chord. The progression clearly defines that chord as a focal point, one that controls the harmonic and melodic actions of the secondary theme.

It is also worth pointing out that, despite the tonally derailed preparation of the immediately preceding measures, the beginning of the secondary theme completes, in a sense, the harmonic motion that was left unresolved in mm. 36–37. As we have seen, m. 36 with its B♭ dominant seventh chord in $^{4}_{2}$ position created an option to enter the I^6 of E♭ major, which was not, however, realized at that point. The fulfillment of that option may be heard at the beginning of the secondary-theme zone in m. 47 with the arrival of the I^6 of E♭ major. Although these events (i.e., mm. 36–37 and m. 47) are not connected by voice leading or the linear structure of the music, but rather by association, still there is a sense of tonal fulfillment at the beginning of the secondary theme. No doubt this sensation further helps the listener to perceive the central role of the E♭-major chord here.

However, since the tonic is a $^{6}_{3}$ chord rather than a root-position triad, it cannot act as the beginning of a complete harmonic progression, i.e., as an *Ursatz* replica. As we have already seen in Example 4.1, the secondary-theme zone as a whole consists of an auxiliary cadence, i.e., an incomplete progression. This concept nicely explains the nature of the tonal environment in which the secondary theme takes place. In effect, the E♭-major $^{6}_{3}$ chord appears as an anticipation and is pulled in the direction of the root-position tonic. In other words, the harmonic progression does not reach tonal fulfillment until a $^{5}_{3}$ chord is attained in m. 67 (Ex. 4.1). In addition to the tonic chord in $^{6}_{3}$ position, a number of details contribute to the frail and tentative nature of the secondary theme. The following discussion will trace the most conspicuous of these.

In my interpretation, the form of the secondary theme is cast as a compound period: it is constructed of two sentential phrases, the first of which ends on the dominant chord

[15] Schachter 1999, 136.

(m. 57), with the second beginning the theme anew and closing with a perfect authentic cadence in m. 67.[16] This division is also reflected in the voice-leading structure: Example 4.4 shows an interruption that divides the auxiliary progression into two stages.

Despite the clarity and apparent simplicity of the theme's outlines, the first phrase especially is complicated by chromaticism to the point of putting even the dominant close of the phrase into question. Since Bruckner's harmonic progressions are often obscured by various complications, it is worth tracing them in more detail.

Here the complications arise out of the diminished seventh chord on E♮, which enters in m. 50, after the tonally rather clear-cut opening measures of the secondary theme. Perhaps the most likely initial impression of that chord is VII^{07}/II in E♭ major. However, the chord doesn't function like this: the D♭ is respelled as C♯ and resolves to a D-major $\frac{6}{3}$ chord. The sense of the secondary key seems to be challenged again, just as the first fragile attempts to settle it have been sounded.

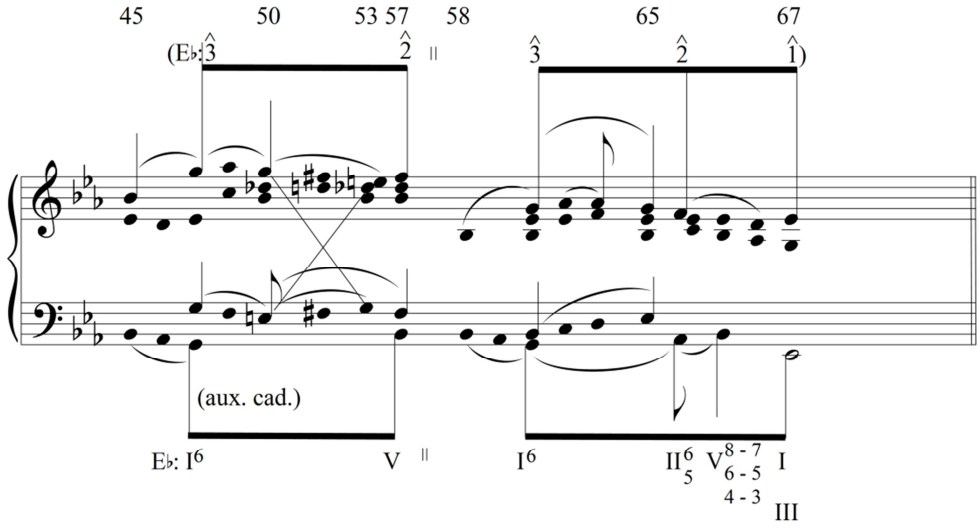
At this point, the tonal meaning of these events is, to say the least, obscured. In particular, the D-major $\frac{6}{3}$ chord seems at first to be an almost isolated element, since it is followed by a brief appearance of V^7 of E♭ major in m. 53. However, the larger context clarifies the situation. In the second half of this measure, the diminished seventh chord reappears and also ends the five-measure unit that began in m. 49. Therefore, I read mm. 50–53 as a highly exceptional prolongation of that chord by means of a passing D-major $\frac{6}{3}$ chord and a 10–8–6 voice exchange (Ex. 4.4). Heard immediately after the V^7, the diminished seventh chord begins to sound like a common-tone diminished seventh embellishing the dominant. And this is exactly how it acts here: after being repeated several times, it eventually resolves to the V^7 in m. 56 (Ex. 4.4b).

The prolongation of the diminished seventh chord in mm. 49–53 is further justified by the associative role of that chord. In other words, the diminished seventh chord is the very same sonority that appeared in m. 38 at the end of the transition's second stage. I believe that these sonorities are connected by association, the connection being made all the more palpable by the "sighing" figure in the first violins, which marks the appearances of this chord both in m. 38 and in m. 53. The association has important implications for the musical discourse.

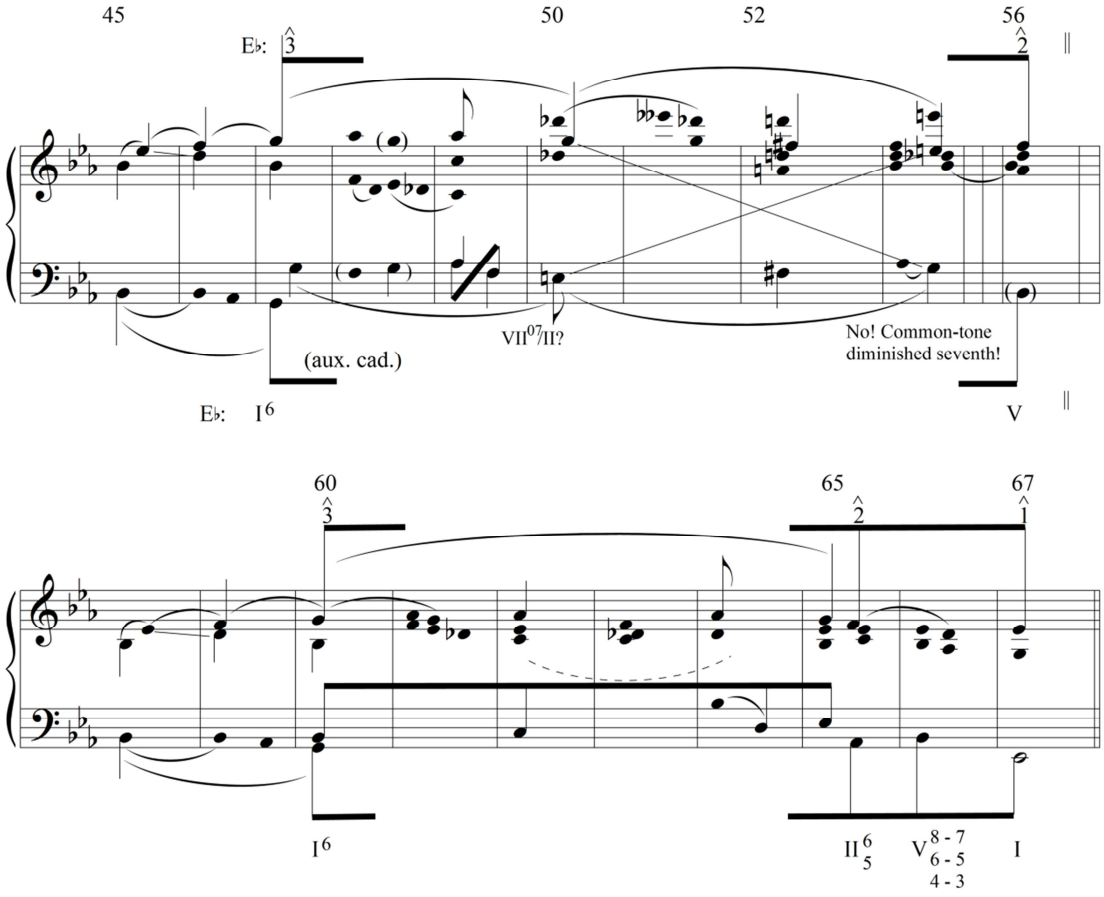
[16] For a description of a compound period, see Caplin 1998, 65–69.

Example 4.4. Symphony No. 1, I, exposition, mm. 45–67, voice-leading sketch.

a)



b)



In my opinion, this association, strengthened by the sighing figure, helps to place the diminished seventh sonority in m. 53 in a foremost structural position. Thus, I have interpreted the V^7 of E♭ major in the beginning of that measure as an appoggiatura within the prolongation of the diminished seventh (Ex. 4.4b). But what is the meaning of this chord? Despite its structural subordination, the brief appearance of V^7 in m. 53 takes on an important role in clarifying the situation. Because of the changes in the register, the actual bass is somewhat ambiguous here. The E♮ that arrives in the lowest voice in m. 50 eventually functions as an incomplete neighbor to F, the fifth of the dominant harmony. However, the real bass of this dominant is perhaps not so obvious, since the bass register drops out after just four measures, almost as unnoticed as was its entry in the second half of m. 49. During the V^7 in mm. 56–57, the B♭ of the undulating figure in the oboe is, of course, the lowest sounding voice. But is it also the structural bass here? As Example 4.4 shows, I think it is (for clarification, I have placed the B♭ in parenthesis in a lower register in the graph in Ex. 4.4b).

Measure 53 provides one clue to this interpretation. The little third figure, B♭–D♭, first introduced by the horns, then transferred to the oboe and the upper octave, is important here. The horns put the B♭ in the lowest sounding voice, where it remains, becoming the same figure played by the oboes in the following measures. Although rather ambiguously introduced, the B♭ is thus delicately anticipated by the horns.

This bass note also places the common-tone diminished seventh chord in its typical position, hence clarifying its embellishing role. However, the B♭ is introduced in the bass register as an anticipation that supports the embellishing B♭ dominant seventh chord in m. 53, and the structural V^7 occurs only in the upper octave in mm. 56–57. Thus, the weight given to the embellishing B♭ in the bass register as opposed to its status as a support of a structural V seem to appear in reverse relation. As a result, the half cadence proper and the interruption are certainly called into question and, eventually, almost dissolved – almost, but not quite. The beginning of the second phrase gives a final justification for this interpretation.

Toward the end of the first phrase of the secondary theme, the music seems to be losing its energy rather than gaining it – not a usual thing to happen in approaching a half cadence. It could thus be said that, as a gesture, the phrase doesn't seem to be heading for a half cadence (or an interruption, for that matter). However, the larger context tells us otherwise. Largely because of an abrupt change to a fuller orchestral sound, there is a clear gestural break in m. 58 between the end of the first phrase and the beginning of the

second. In my opinion, this gesture in the orchestration also provides the V^7 in m. 57 with its structural status as an interruption. Despite the minor seventh included in the chord, it is difficult to hear the opening measures of the second phrase as providing a resolution.[17]

The unusual way of making an interruption is an essential part of the special character of the secondary theme's first phrase. It further adds to the tonally fragile, tentative, or "alienated" nature of this area. If the first phrase is somewhat hesitant in its acceptance of the new key, the second phrase certainly compensates for the loss. The fuller sound together with a decisive build-up of an authentic cadence helps to confirm the tonic of E♭ major, which eventually arrives in root position along with the *tutti* outburst in m. 67. The second phrase thus catches up, so to speak, with the main tonal course of the exposition. The theme succeeds – after the detours of the transition – in putting the music back on the right track, but only after serious complications in its first phrase.[18]

Although the beginning of the secondary theme seems to be tonally more or less isolated, motivically it is firmly connected to the previous music.[19] Two motives are especially significant here: the neighboring motion G–A♭–G and the rising third. It has already been mentioned that the g^2 in m. 47 ends the large G–A♭–G motion begun in the primary theme (Ex. 4.1). The upper voice in mm. 45–47 is also clearly marked with this motive (Ex. 4.4b). The g^2 in m. 47 is approached through a rising third progression, E♭–F–G, which beautifully recalls in condensed form the third progression with the same pitches in mm. 1–17 (see Exs. 4.2 and 4.4b). Thus, the tonal "alienation" is marvelously compensated for here by the motivic continuity.

Arrival of the Deep-level III: The Closing Zone

The intricate, multi-layered formal and tonal procedures in the transition and the secondary theme contrast with the rather straightforward, energetic movement in the

[17] In fact, the V as a seventh chord in a half cadence is not uncommon in the nineteenth-century repertoire. Janet Schmalfeldt (2011, 220) uses the term "19th-century half cadence" to describe such situations.

[18] Warren Darcy (1997, 271) also refers to the secondary-theme zone as a "suspension field." I would argue that here the suspension field overlaps the end of a transition and the secondary-theme zone. The field as a whole proceeds in three stages with increasing tonal security: mm. 37–44, 45–57, and 58–67.

[19] Stephen Parkany (1989, 207) emphasizes this connection quite strongly: "The first theme does not really end when the diaphanous, more cantabile second theme begins, but the second theme is projected as but another stage in the continuing developmental process begun with the first theme at the beginning."

closing zone. As Warren Darcy aptly describes the typical onset of the exposition's closing zone in Bruckner's sonata form movements after the suspension of the secondary theme: "Linear time is then rejoined (often rather abruptly) at the beginning of the closing zone." [20] In this movement the closing zone appears thematically in three stages: mm. 67–93, mm. 94–100, and mm. 101–106. The first stage is distinguished by a strong, energetic forward thrust, while the second represents the dramaturgical climax of the entire zone. This climax is marked with a bombastic trombone theme with clear allusions to *Tannhäuser*, with which the music bursts into full flower before dying away in the last stage. The trombone theme makes this closing zone more or less unique in Bruckner's entire symphonic oeuvre.[21] It gives a certain monumentality to this zone as a whole, in which each of its three sections separates from the others with their own, clearly recognizable characteristics.

Tonally, the closing zone stays in E♭ major and thus secures the long-awaited tonic chord of this key. In Hepokoski and Darcy's terms, m. 67 obviously represents the "essential expositional closure" or EEC. We have already seen in Example 4.1 that the E♭-major chord also marks the arrival of the deep-level III. Moreover, the beginnings of the closing zone's three stages all strongly emphasize the tonic and dominant chords of E♭ major. These chords might imply that, along with clear and unambiguous formal outlines, the prolongation of the E♭-major chord is also carried out here in a rather straightforward manner. However, certain features of the music suggest otherwise. The following discussion traces these features in more detail.

Example 4.5 presents a voice-leading sketch of the entire closing zone. As the example shows, the beginning of the closing zone's second stage, or the dramaturgical climax in m. 94, occurs within a large chromaticized voice exchange, which prolongs the E♭-major chord in mm. 67–97, transforming it from a consonance into a dissonance. This interpretation relies heavily on the opening measures of the second stage (m. 94ff.). At the enormous opening of this section, the dominant of E♭ is represented by a cadential $\frac{6}{4}$, which accordingly is waiting to be resolved to a dominant $\frac{5}{3}$. And so it does here, but the $\frac{5}{3}$ is only lightly touched upon in m. 95 and then immediately pushed aside, as figuration begins in the violins and viola, like the beating of the waves, a rise to the next and even higher point

[20] Darcy 1997, 263.

[21] Robert Simpson (1992, 32) even states that "this passage has no precedent or successor in symphonic music."

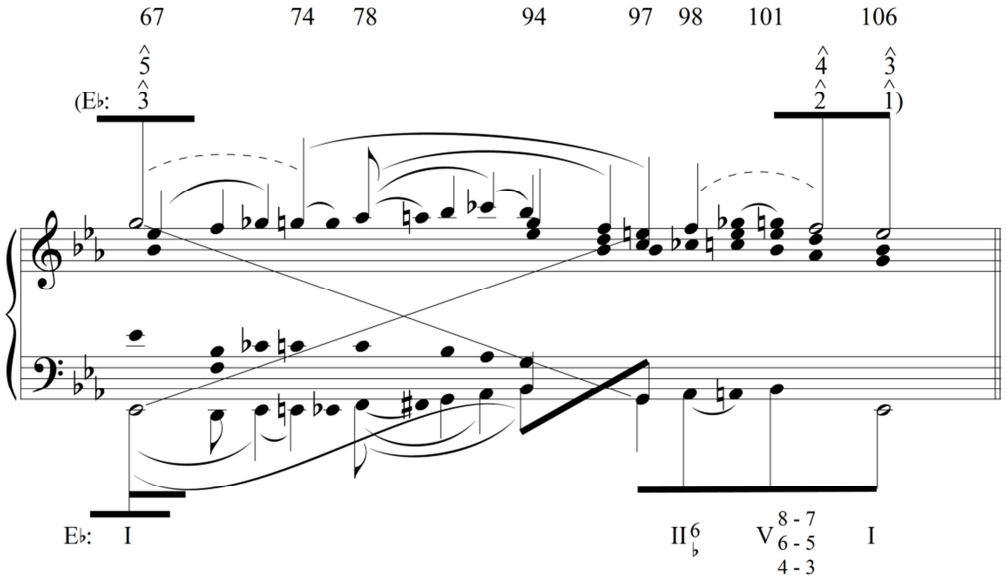
of culmination. This occurs on the downbeat of m. 97, from where the figuration begins cascading down anew.

The inner division of the second stage also holds a clue to the music's structural organization. The $\frac{6-5}{4-3}$ motion in mm. 94–95 seems to be subordinated to and then overwhelmed by the beginning of the four-measure unit in m. 97. The chords in this measure are clearly directed to the II of E♭ (on the first two quarter beats of the measure, the chord is V^4_3/II, and on the third and fourth quarters, VII^{07}/II), and they assume an important role in the voice-leading structure since they lead the music to the exposition's concluding cadence. The path from those active chords to the dominant of E♭ is somewhat blurred by local complications that are characteristic of Bruckner's harmonic language.

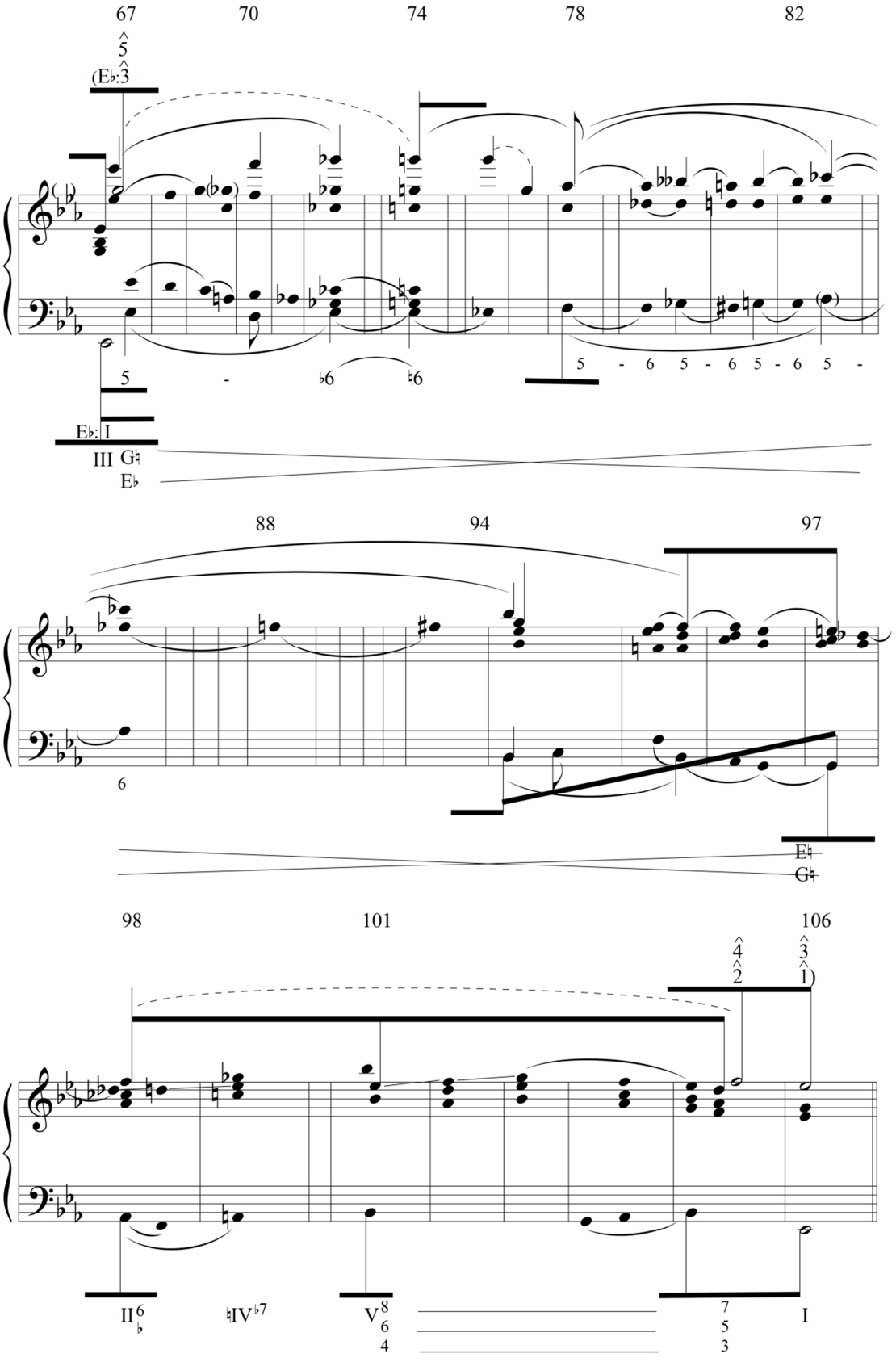
In mm. 98–101, there is essentially the progression II^6–(VII^{07}/V)–V, although the function of the II in m. 98 is not immediately clear. The diminished seventh chord in the second half of m. 97 gives the clear impression of VII^{07}/II in E♭. At the beginning of m. 98, this local impression seems to be thwarted, however, as the music proceeds directly to the seventh chord on D♭ in $\frac{4}{3}$ and, immediately thereafter, in $\frac{6}{5}$ position. The larger context reveals that D♭ is only the apparent root of the chord, resulting from the voice leading, with the "real" chord being II^6. As Example 4.5b shows, the D♭ in m. 98 is suspended from the previous diminished seventh chord, after which it continues as a passing tone via D♮ up to E♭ in m. 99. As a result, in m. 98 the underlying II^6 as such does not appear at all.

Example 4.5. Symphony No. 1, I, exposition, mm. 67–106, voice-leading sketch.

a)



4.5 b)


67
70
74
78
82
(E♭:3̂)
5 - ♭6 ♮6
5 - 6 5 - 6 5 - 6 5 -
E♭: I
III G♮
E♭
88
94
97
6
E♮
G♮
98
101
106
4̂ 2̂
3̂ 1̂)
II 6 ♭
♮IV♭7
V 8 6 4
7 5 3
I

Aside from these chordal complications in mm. 97–98, these measures refer in an intriguing way to the previous music. In closing, I will discuss these references in more detail. In particular, the diminished seventh chord on E♮ seems to take on an important role in a rather complex and variegated process of attaining and confirming the secondary key in the exposition. The immediate succession of chords in mm. 97–98 recalls in particular mm. 37–39, where the diminished seventh sonority leads to the sphere of a remote G♭ major. As we have already seen, this unexpected turn caused the music to go off track, so to speak, and postponed the introduction and eventual confirmation of the secondary key. Is something similar about to happen in mm. 97–98?

I believe that the seventh chord on the note D♭ in m. 98 could be perceived as the dominant of G♭, with the preceding diminished seventh chord heard as a common-tone type embellishing this dominant. It must be admitted that this interpretation is perhaps an overstatement and far too entangled with the immediate details of the passage. But at the very least there is a clear reference to that previous instance of diminished seventh sonority in m. 37. However, the situation in mm. 97–98 is very different, because the new key has already been forcefully accepted, and it seems unlikely that it could be shaken in any serious way. And it is not: the bass note A♭ in m. 98 is transformed into A♮ in the following measure, supporting the VII^{07}/V in m. 100, which leads to the dominant of E♭ and eventually to the conclusion of the exposition. The upper voice marks the finality of this cadence by descending to the deep-level $\hat{3}$ (Ex. 4.5). Thus, the trombone theme, in a sense, blocked the way for the cadential dominant to arrive in m. 95, which could not be reached until the storm had calmed down in the third stage of the closing zone (m. 101ff.).

If the immediate chord succession in mm. 97–98 refers mainly to mm. 37–39, the larger context (mm. 97–101) makes a wonderful additional reference to mm. 50–55 of the secondary theme. As we have seen, the larger context (mm. 97–101) reveals that the diminished seventh chord in the second half of m. 97 functions according to its first impression, i.e., VII^{o6}_{5}/II. In each of the earlier occurrences, the initial impression was perhaps the same (a chord leading to II), but at those points, such a function was eventually denied. Thus, m. 97 is yet another instance in the string of associative relationships between the occurrences of this diminished seventh chord.

As we have seen, the two parts of this exposition are placed within a diffuse network of events with multiple formal, tonal, and structural implications. The following discussion will show how the various expositional procedures affect the formal and structural layout of the development and eventually the recapitulation.

4.3 Development

This development reorders the material from the exposition in a way that differs markedly from the other three movements included in this study. Table 4.3 presents a chart of the development's formal division and the material used in each of its constituent parts and subsections. The development as a whole can be divided into two large parts: mm. 107–143 and mm. 144–198. Each of these parts can be further subdivided into several phases or subsections with different formal functions that tantalizingly recall those of the exposition. I divide the first part into two subsections: mm. 107–121 and 121–143, and the second part into four subsections: mm. 144–155, 156–167, 167–177, and 177–198. The last two subsections act as a retransition, ending on the dominant of the main key. The development's first part extensively reworks the material from the exposition's closing zone (its second and third sections), and the second part turns to the primary-theme material in m. 144, which ultimately gives way to the figuration (remotely) linked with the exposition's transition section (the sextuplets that begin to enliven the texture from m. 156 on).

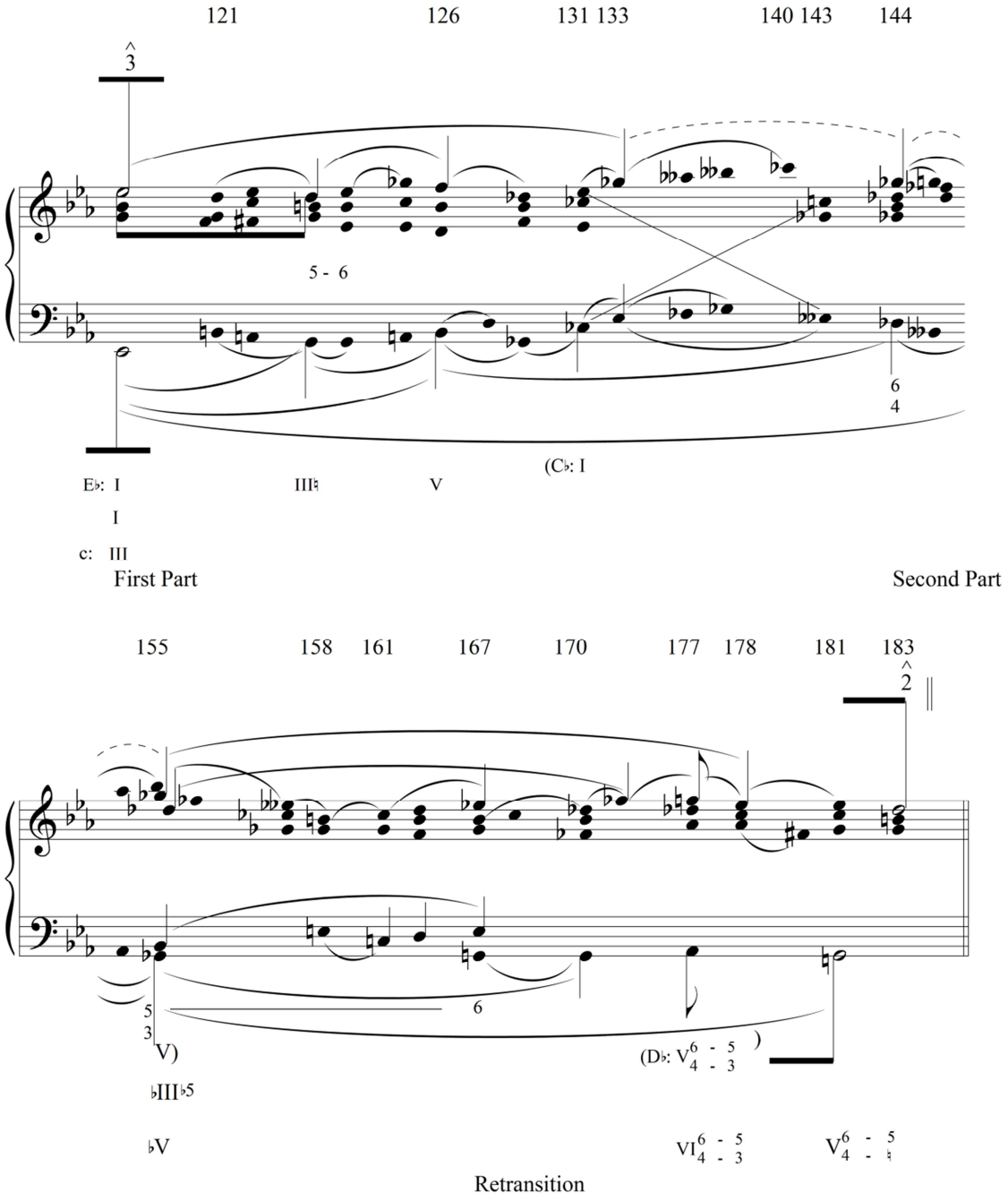
Table 4.3. Symphony No.1, I, development, formal outlines.

Sonata form	Development (mm. 107–198)					
	1st Part (mm. 107–143)		2nd Part (mm. 144–198) retransition (167–198)			
	(107–121)	(121–143)	(144–155)	(156–167)	(167–177)	(177–198)
Material used	C, 3rd section	C, 2nd section (trombone theme)	P		TR	
Keys	E♭: →			c:		
Important cadences						c: HC

Even the voice-leading structure of the development strikingly reflects the exposition and especially those parts that turned out to be tonally more or less "problematic." Example 4.6 presents a voice-leading sketch of the entire development. At the deep middleground level, the dominant of the main key at the end of the development is approached through a G♭-major chord, which acts as an upper third of E♭. Moreover, the

G♭-major chord stands in an interesting relationship vis-à-vis the exposition's transition section, which ended in that key on its dominant chord.

Example 4.6. Symphony No. 1, I, development, voice-leading sketch.



In the following discussion, I will try to trace the motivation and consequences of the development's thematic, tonal, and structural layout in reference to the exposition and also to the rather unique structure of the recapitulation.[22] First, I will make a few general remarks about the development before going into a more detailed examination of its constituent parts.

It is noteworthy that references to the secondary theme, which are otherwise quite typical of Bruckner's developments, are far more subtle here (if any exist). One might hear echoes, for example, of mm. 53–57 in the string figuration from m. 170 on, but certainly not anything as explicit as the treatment of the closing and primary-theme material. As will be suggested below, the nearly complete avoidance of the secondary theme material may have to do with that theme's position in the exposition and also with its future role in the recapitulation. All the same, the harmonic events, especially from m. 170 on, reflect not only the passage of the secondary theme mentioned above, but also the transition (mm. 37–38) and the closing zone (particularly mm. 97–98). As we shall see, these references prove to be important with regard to the development's structural and formal layout.

4.3.1 First Part

The first subsection of the first part of the development (mm. 107–120) opens in a quiet, almost tentative manner with the material from the end of the exposition. The first subsection as a whole can perhaps be designated as a preparatory "dormant zone," which

[22] Several scholars have, of course, remarked on this reordering of the exposition's material in the development, but its relation to the outer sections of the movement (i.e., exposition and recapitulation) has not usually been explored at any substantial length. In regard to the opening of the development, Werner Notter (1983, 62), for one, simply stated that "the development of [the first movement of] the first symphony begins after the model of many classical movements in sonata form with the reworking of the … third theme (mm. 121–126)." Interestingly, in Notter's reading the development seems to begin only in m. 121, thus including mm. 107–120, which I have designated as the "dormant zone" in the development.

The most notable exceptions are Ernst Kurth and Stephen Parkany. Parkany offers an interesting and detailed motivic exploration of the development along with a Kurthian wave-paradigm (Kurth 1925, 746–749, and Parkany 1989, 230–237). However, the large-scale tonal layout of the development has largely been passed over unnoticed in the Bruckner literature. Most notably, Ernst Kurth reads the beginning of the development in m. 144 (Kurth is referring to the 1891 version of the work, in which the corresponding measure is 141). Kurth (1925, 746) stated that the "the beginning of the development (N) [m. 141] is here relatively clearly outlined mainly because of the restart of the 1. Main Theme." His view is clearly based on the thematic material. To begin a development with such an extensive reworking of the exposition's closing material was perhaps, for him, unthinkable.

was Bruckner's standard strategy for beginning a development.[23] However, what follows this preparatory zone here is far from typical. Often in Bruckner's developments, the "dormant zone" leads to a passage that retraces the primary-theme material and thus in Hepokoski and Darcy's terms, begins a second rotation in the movement. Here the situation is very different, however, because of the sudden *fortissimo* outburst in m. 121 with the exposition's closing material at the beginning of the second subsection. At this point the material is also closely related to the earlier trombone theme (mm. 94ff.). The connection is made all the more palpable by the sweeping violin figuration with its unmistakable textural reference to that theme.

The rather heavy reliance on the closing material or inclination, so to speak, in the second subsection of the development's first part (mm. 107–143) is further underlined in the first subsection as the thirty-second note figuration begins to crop up in the violas and, in mm. 117–120, with increasing speed. The figuration clearly calls forth the trombone theme, almost as if to block the way for any other theme to emerge at this point. Following his Kurthian line of argument, Stephen Parkany offers a fine description of the effect of this figuration: "Through them [the notes of the figuration] one glimpses the suppressed energy of the previous climax [m. 94] as a continuing force just under the musical surface. Bruckner confirmed the sense of this connection by allowing the energy to boil over again briefly in mm. 121–126."[24]

The onset of the development assumes a twofold meaning: it continues the expositional rotation, but at the same time it begins a new rotation, i.e., a developmental rotation. As the development's first part clings tenaciously to the exposition's closing material, the exposition, in a sense, spills over its own borders. Following Hepokoski and Darcy's line of argument, such a procedure can assume different rotational meanings, depending on what follows later in the development. They point out that "if initial C material eventually gives way to a succession of *post*-$P^{1.1}$-themes that would otherwise be considered rotational, C writes over P."[25]

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[23] Darcy 2007, 263.

[24] Parkany 1989, 213.

[25] Hepokoski and Darcy 2006, 215, italics added. With regard to this development as a whole, I believe that whether or not S appears as part of its rotation remains an open question. As already suggested above, I do not think that it does. However, the development can be regarded as fully rotational because it contains references to both parts of the exposition, but in thematically reversed order (i.e., C–P).

I believe that this way of thinking is also fully applicable to the Bruckner case at hand. This view is based on the beginning of the primary-theme reference in m. 144, which follows the closing material that opens the development and begins the second subsection of the development's first part. The reference to the primary-theme material sounds more like a continuation than an actual beginning of the theme, because it starts by repeating the theme's opening melodic fragment in a rising stepwise sequence. Moreover, m. 144 begins with a chord that sounds locally like a cadential $\frac{6}{4}$, i.e., a chord that is not associated with the beginning, but rather with an approaching end. As we have seen, the primary theme itself followed a sentence-type form. Thus, in a sense, the exposition's closing material replaces the functional initiation of the primary theme at the onset of the development.

The use of the exposition's closing material in the development's first part largely grows out of the closing zone's extraordinary thematic and tonal layout. It could be argued that especially the laborious process of reaching the cadential dominant only in the closing zone's third and final stage in m. 101, after the colossal trombone theme, causes the closing material to spill over its own limits, or, in Hepokoski and Darcy's words, "the trespassing of C-cadential material onto a space not its own, an encroachment of its customary borders."[26] And here it is not only the cadential material (if we understand mm. 101–106 as such), but also the energized version of that material in the wind instruments (mm. 121ff.) surrounded by the figuration from the climax itself (the trombone theme) that runs well beyond its own territory.

The use of the closing material at the beginning of the development section is curiously related to the tonal framework. With two three-measure statements of the trombone-theme related material (mm. 121–123 and 124–126), the dominant of E♭ is reached again in m. 126 (Ex. 4.6). The procedure of referring back to the trombone-theme material can be seen as a reaction to the earlier, tonally somewhat problematic situation in the exposition, where the trombone theme at first energetically rejected the dominant chord and inexorably prepared for it in the first section of the closing zone (mm. 67–93). In the development then, the theme's material is taken up as the means with which to lead the music to the V of E♭, which is reached through a I–III♯–V progression (starting from the beginning of the development, Ex. 4.6). Yet after the entrance of this dominant, the

[26] Ibid., 215. An interesting parallel occurs in the first movement of Beethoven's Piano Sonata, Op. 2, no. 3. In this movement, the trespassing of the C-material on the beginning of the development can be seen as a result of the laborious struggle for EEC earlier in the movement.

tonal situation becomes ambiguous. In other words, at this point the dominant also fails to lead to a resolution.

The firm and determined statements of the trombone-theme related material are "tempered" and eventually taken over by a more lyrical figuration in mm. 127–143, which elicits the appoggiatura figure from the primary theme. The music is taken a half step up in m. 131, from the B♭ of m. 126 to C♭, which first arrives in major, but a few measures later (m. 136) is transformed into minor (notated as B minor). The modal change also marks the beginning of ascending linear progressions (mm. 137–139), in which the outer voices move in parallel tenths (Ex. 4.6) As the progression leads back to a major chord in m. 140, I consider this shift to minor a rather foreground event, i.e., a change of color within the controlling major mode. Thus, it is basically the C♭ major chord that is being prolonged in mm. 131–143 and transformed at the end of the prolongation into an augmented sixth chord (Ex. 4.6).

Several features of the music give the impression that, despite its endurance over several measures, there is something uneasy about this C♭. First, the C♭ is introduced with very little tonal preparation. After the entrance of the B♭ major chord in m. 126, this sonority is prolonged by a neighboring C♭-major chord in the next two measures. In m. 129, it appears that the same gesture will be repeated. This time, however, the C♭-major chord is in a $^{6}_{4}$ position, which resolves into a G♭-major $^{5}_{3}$ over G♭ in bass and eventually to a root-position C♭-major chord in m. 131. As a result, the music seems to slip into C♭ almost by accident and then simply to accept, at least for a moment, what has happened. Second, as noted above, after being "shadowed" by a shift into minor, the C♭-major mode returns, but now with a minor seventh added to the chord in m. 140. And third, the C♭ major is never confirmed by a definitive cadential progression, and the whole passage eventually dissolves into a D dominant seventh chord that ends the first part of the development in mm. 142–143. All of these features make the structural position of C♭ highly ambiguous.

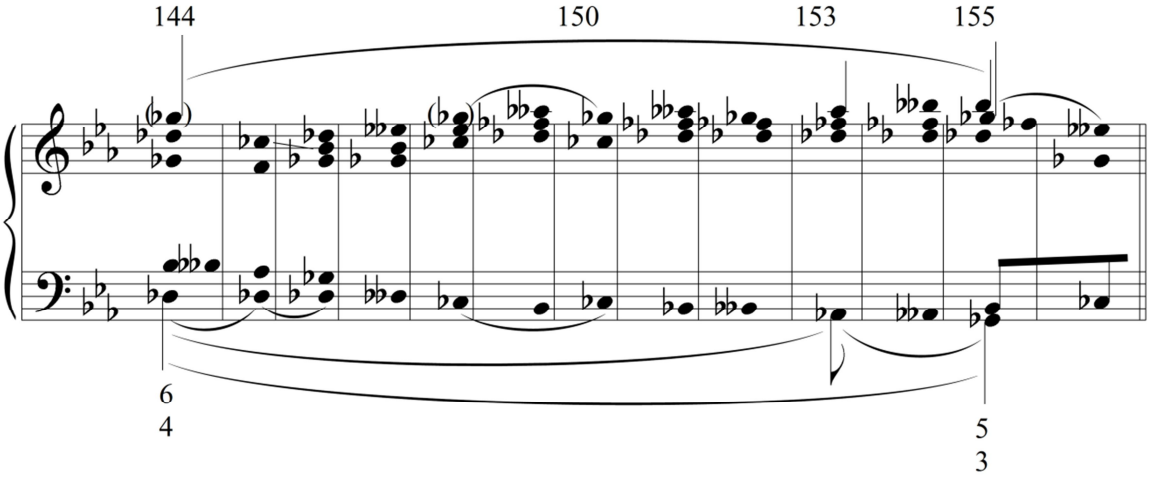
The D dominant seventh chord turns out to be a re-spelled German 6th (approached through a large chromaticized voice-exchange, Ex. 4.6), resolving into G♭ major $^{6}_{4}$, which clearly represents a cadential $^{6}_{4}$ in G♭ major (notated as F♯) at the beginning of the second part of the development. Both tonal and formal procedures at this point may be understood in relation to the exposition. In other words, the situation around the juncture of the first and second parts of the development reflects the major turning point of the exposition (i.e., its first and second parts). The following discussion clarifies this idea.

The passage in C♭ major, which ends the development's first part, especially comes to the fore here. After a short melodic bloom, the insecurity of C♭ increases, and the music eventually disperses and dissolves into tonal obscurity. As mentioned above, the beginning of the second part clarifies this obscure situation by introducing a chord that initially appears to be a cadential $\frac{6}{4}$ of G♭. The passage in C♭ thus continues, so to speak, a process that was left unfinished in the transition in the exposition. The passage can be heard as referring back to that part of the transition in which the primary-theme material was taken up again in m. 28. At that point in the exposition, the primary-theme material appeared in an unstable A♭ environment and eventually dissolved into a distant tonal realm, namely, that of G♭ major. However, the G♭ major dropped out immediately with the onset of the exposition's second part (i.e., the secondary theme), whereas in the development, the sense of G♭ does not actually appear until the beginning of its second part, as if this time a more serious attempt is being made to establish the key that proved to be an impossibility in the exposition's conventional tonal design. At the beginning of the development's second part, the primary theme is called upon to carry this through, but, as we shall see, it does not fully succeed in its mission.

4.3.2 Second Part

The first subsection of the development's second part (mm. 144–155) is centered around the G♭ major chord, although not in any straightforward manner. Example 4.7 presents a detailed voice-leading graph of this subsection. The $\frac{6}{4}$ chord in m. 144 actually never resolves to a $\frac{5}{3}$ chord as would be expected at its entrance; instead, the outer voices start to move in contrary motion, and for a moment, the tonal orientation appears to be rather obscure, if not totally lost. At the end of this progression, a root-position G♭-major chord is reached in m. 155 (Bruckner notates the entire passage enharmonically in F♯). As the G♭-major chord clearly frames mm. 144–155, the $\frac{6}{4}$ in m. 144 appears as a "consonant $\frac{6}{4}$" anticipating that root-position chord (Exs. 4.6 and 4.7).

Example 4.7. Symphony No. 1, I, development, mm. 144–156, voice-leading sketch.



It is important to point out that the $\frac{6}{4}$ in m. 144 already represents the G♭-major chord. When that chord finally enters in root position in m. 155, it is not, however, a tonic, but rather a dominant of C♭.[27] Thus, the attempt to establish a G♭ major as a key area has failed again. Instead, the music brings back C♭ minor at this point (notated as B minor), as if to confirm that key even more firmly after its earlier, rather tentative appearance before the onset of the development's second part in mm. 131–143. However, that key is represented here only by its dominant, which is never allowed to resolve to the tonic. The tonic is hinted at only fleetingly at the beginning of the second subsection in m. 156, but it certainly does not act like a stable tonic, i.e., a point of origin for any larger progression.

Thus, because of the emphasis given the G♭ major *chord*, as an upper (minor) third of the deep-level III, it takes structural priority over C♭ major.[28] The fragile, and somewhat uneasy, C♭-major chord in mm.131–143 is best understood as a passing event between the B♭-major chord in m. 126 and the consonant $\frac{6}{4}$ in m. 144 (Ex. 4.6).

[27] It could be argued that the tonal meaning of the G♭-major chord actually changes during the passage of mm. 144–155. In other words, in m. 144, the cadential $\frac{6}{4}$ clearly refers to and makes the listener expect a *tonic* G♭ major chord. Therefore, this chord in a sense is already present on the first beat of m. 144. Yet when the chord actually appears in m. 155, it clearly represents the dominant of C♭ (which appears to be minor at this point).

[28] As Carl Schachter (1987, 294) points out, "the boundaries of a prolonged harmony need not coincide with the often indistinct boundaries of a key area." He further clarifies this idea with the observation that "[i]t helps to remember that the elements of linear structure in music are pitches, not keys" (ibid., 298).

The second part of the development continues from m. 156, thus, in the C♭ minor *key*, which is still under the control of its dominant chord, and begins to gain momentum and energy as the music pushes towards the climax of the entire development in m. 167 with an E♭ -major $\frac{6}{3}$ chord, which also begins the third subsection of the development's second part and the retransition.

Retransition

Although the development's tonal situation has become rather obscure at the beginning of its second part, the climax in m. 167 marks an important turning point in the dynamic curve of the music and also assumes structural significance by introducing G♮ in the bass. Because the preceding measure (m. 166) points toward a G-minor chord with its D dominant seventh chord and F♯ in the bass, the E♭ in m. 167 can be understood as part of a local 5–6 motion within m. 167, where the resolution of the preceding dominant of G minor is immediately replaced by the E♭-major $\frac{6}{3}$ chord. The procedure here is reminiscent of mm. 17–18, specifically, the start of the transition section in the exposition (see Ex. 4.3 and the related discussion). As we shall see, this reminiscence also adds to the significance of m. 167 as the beginning of the retransition in a rather intricate formal layout of the development's second part. Before elaborating on these formal aspects, it is necessary to trace in some detail the tonal process, which starts in m. 167 and carries the development to its conclusion.

The retransition as a whole is directed, as usual, toward the dominant of the main key, which is reached in m. 181, first as a $\frac{6}{4}$ chord over G. This chord in turn resolves to a root-position dominant two measures later. However, already in m. 177 the music arrives on a $\frac{6}{4}$ chord a half step higher (i.e., on A♭), which resolves to a root-position A♭-major chord in m. 178, creating the impression of a V of D♭ major at this point. Two measures later, in m. 180, the A♭-major chord is transformed into an augmented sixth chord, which finally leads into the cadential $\frac{6}{4}$ in C minor in m. 181 (Ex. 4.6). The following discussion clarifies the rather obscure tonal path from the beginning of the retransition (m. 167) up to the $\frac{6}{4}$ chord on A♭ in m. 177.

As mentioned above, the climax in m. 167 enters with an E♭-major $\frac{6}{3}$ chord. In the second half of m. 167, the B♭ is replaced by C♮, which is heavily emphasized by the trumpets and trombones. For a moment, the music implies the possibility of having

reached the dominant of C minor as a $^{6}_{4}$ chord over G.[29] However, this impression proves to be premature, and the home-key dominant is still on its way. In mm. 170–173, the bass proceeds in minor thirds (with enharmonic respellings) E♮–G–B♭– C♯–E–G. From m. 173 for the next four measures, the music clearly sustains a diminished seventh chord on the bass pitch G, which eventually resolves to the $^{6}_{4}$ chord on A♭ in m. 177. Owing to the emphasis given it, the diminished seventh chord connects in the voice-leading structure with the G♭-major chord in m. 155 (Ex. 4.6). In other words, despite the strong emphasis on m. 167 as the climax of a dynamic and textural rise and the beginning of new formal subsection, the E♭-major $^{6}_{3}$ chord in the first half of that measure is built on a passing tone in the upper voice within a process that transforms the G♭-major chord of m. 155 into an active diminished seventh chord.

However, as Example 4.6 shows, I interpret the arrival of the diminished seventh chord on G as occurring in m. 170, the written E♮ functioning as F♭. In that measure, the situation is further complicated by the rather heavily emphasized C, sustained from the preceding measures. In the same measure, the melodic figure in the oboes introduces D♭, a minor ninth over C. In other words, in m. 170 the C seems to be the root of a dominant ninth chord. This impression is further emphasized in the first half of the next measure, m. 171, where the D♭ resolves down to C as the same figure appears, slightly transformed, in flutes and clarinets.

However, the D♭ appears again (written as C♯) already in the sextuplet figuration in m. 171 and even more prominently in the recurring woodwind figure in m. 172. The heavy blasts of the trombone announce the D♭ yet again, although D♭ and C still seem to be competing with one another, at least in mm. 173–174. In my view, however, the heavy brass strokes in m. 173 have already tipped the scales in favor of D♭. From now on, it is the C that appears as a neighbor to D♭, and a diminished seventh chord on G unmistakably takes over. As mentioned above, the prolongation of this chord starts already in m. 170, at which point the bass begins to ascend in minor thirds along the notes of the chord (albeit enharmonically spelled). As can be seen in Example 4.6, the C, which was initially introduced by trumpets and trombones in m. 167, eventually acts as a passing tone between B♭ and D♭ ; thus, the suggested $^{6}_{4}$ on G in the latter half of m. 167 and the implied ninth chord on C in m. 170 grow out of this protracted passing motion.

[29] Stephen Parkany (1989, 234) actually reads the chord in mm. 167–168 as the tonic of C minor: "C minor re-emerges first as a linearly-derived 6/4 chord outlined strongly in the trumpet and trombones in mm. 167–168. The force of this gesture suffices for the moment to underline it as the tonic."

The diminished seventh chord on G resolves to a $\frac{6}{4}$ with A♭ in the bass in m. 177, which also begins the last subsection of the development. The $\frac{6}{4}$ resolves to an A♭-major chord in m. 178, which at first sounds more like a dominant of D♭ than a tonic. However, the addition of an F in the chord in m. 178 clearly weakens this impression, which vanishes altogether as F becomes F♯, transforming the chord into a German sixth in m. 180. This chord in turn finally brings the dominant of C minor to the fore as a deep level V (Ex. 4.6).

As mentioned above, the climax in m. 167 brings the G♮ in the bass and thus significantly activates the harmonic motion after the previous G♭, which entered in m. 155 (Ex. 4.6). At the climax in m. 167, the gears are shifted, so to speak, to an intense, goal-directed motion, which is further strengthened by the replacement of the root-position G-minor chord with a more active E♭-major $\frac{6}{3}$ chord at the beginning of the measure. As we have seen, G becomes part of a diminished seventh chord on that same note in m. 170 and eventually becomes the bass of that chord in m. 173 with a strong tendency to resolve up to A♭. Thus, the G in the bass acts as a chromatic passing tone (Ex. 4.6). As a result, there is a huge motion towards A♭ as a dominant, but the A♭ dominant and the tonic it implies are the wrong ones, appearing a half step too high above the correct destination.

At this point, one might justifiably ask whether this kind of remote harmonic destination problematizes or even annuls the placement of the retransition's beginning in m. 167. I do not think it does, for a host of reasons, which will be elaborated upon below. First, it is necessary to take a look at the role of retransition at the end of the development section in more general terms before going into the details of Bruckner's retransition.

As Hepokoski and Darcy describe it, a retransition "typically involves the music surrounding the preparation for and /or execution of a structural-dominant lock, usually V_A [= V as an active chord, not a key] of the principal tonic."[30] William Caplin follows the same principle by stating that "the term retransition … should be applied before the standing on the dominant, presumably at the moment when the modulation to the home key takes place."[31] Thus, the beginning of a retransition is marked by the initiation of a tonal motion toward an emphatic dominant that, when achieved, produces a dominant-lock effect, usually (but not always) on V of the main key.[32] It is not always possible or analytically reasonable, however, to pinpoint the beginning of such a motion before the

[30] Hepokoski and Darcy 2006, 230.

[31] Caplin 1998, 157.

[32] In the classical repertoire, the most notable exceptions in major mode are V/VI and V/III.

attainment of the dominant, in which case it might be best to consider the attainment itself as the beginning of a retransition. Now what happens in Bruckner's retransition?

In a moment-to-moment experience, the features of the music discussed above might also speak in favor of m. 167 as the beginning of a retransition section. As we have already seen, from this point on, the musical process begins to be directed with gradually increasing intensity toward a goal that at first, in m. 177, sounds like a dominant: for a while, the music seems to be "standing on the dominant" (following Caplin's description of similar situations).

However, on a larger scale, this dominant proves to be the wrong one. The "mistake" is soon corrected by turning the A♭-major chord into a German sixth with a 5–6–♯6 motion over A♭, which in a sense "secures" the augmented sixth at this point. Put another way, largely with the help of this motion, the F♯ immediately on its arrival sounds like an augmented sixth with no hint whatsoever of its enharmonic respelling as a minor seventh. As a result, the correct dominant, that of the main key, is made readily available here. This is confirmed by its arrival in m. 181 (supporting a cadential $\frac{6}{4}$).

The arrival of the A♭ $\frac{6}{4}$ in m. 177 represents the last stage in finding the proper structural dominant. But does this mean that the retransition proper does not begin until m. 177? I believe the main reason for this view is that the previous preparatory section does not aim at the proper dominant. Had the dominant of C minor been the goal in m. 177, there would be no difficulty in placing the beginning of a retransition in m. 167. In my reading, however, m. 167 begins a retransition also under the present circumstances. There are several reasons that make this view the preferable one.

Most important, the retransition makes several notable references back to the exposition's transition zone. Table 4.4 clarifies the relationship between these two formal sections. The beginnings of both the transition in the exposition and the retransition in the development are linked in a way that proves to be meaningful in this context: both sections begin as dynamic climaxes that are reached through a dominant $\frac{6}{5}$ proceeding directly to a $\frac{6}{3}$ chord instead of to a root-position triad. Thus, the voice leading in m. 18 and m. 167 is based on a 5–6 motion with 5 elided on the first beat of these measures (see the discussion of the beginning of the transition in the exposition above). And there is more: the sextuplets and the layered texture of the passage also clearly refer to the transition in the exposition.

Table 4.4. Symphony No. 1, I, the relationship between the transition and the retransition.

Measures	18		26	28	32	37	39
Transition	***ff*** outburst, 6th chord		MC on V/III? No!	opening mm. of P on A♭	♭7 added, sounds initially as aug. 6th, but acts differently	°7 with G in bass, E♮ on top	V of G♭, not expected!
Measures	167	170		177–	180		181–
Retransition	***ff*** outburst, 6th chord	°7 on G, F♭ on top (m. 173–)	resolves as expected	Cad. 6–5 4–3 → on A♭ (D♭:)	aug. 6th added	resolves as expected	Cad. 6–5 → 4–3 on G (c:)

In addition, the diminished seventh sonority, which begins to control the music's surface from m. 170 on, strikingly traces the exposition's transition zone. This sonority is highlighted in Table 4.4 by the gray boxes. As we have seen, this same sonority first appeared in m. 37, after which the music was temporarily led out of its expected tonal course into the remote G♭ major. Although at that point the chord occupies only one measure in the exposition whereas in the development it is prolonged over several measures, in both cases it leads the music to the last subsection of a larger formal unit (i.e., the transition and development respectively). However, although the tonal meaning of the chord was rather obscure in m. 37, in the development it finds a "normal" resolution with a bass motion a half step up, and at that point a listener has no reason to expect otherwise. Thus, it could be argued that while the diminished seventh chord is here largely extended in relation to its position in the exposition, its tonal behavior is also "normalized." In addition, its resolution in the development, to an A♭-major chord, finds a destination that was only hinted at in the exposition.

In the exposition's transition zone, the medial caesura candidate declined and dissipated into an A♭ major chord in m. 27, which, at least after a few measures , sounded like VI of C minor, but was never allowed to resolve to V. Instead, the chord eventually dissolved to a diminished seventh chord, which was followed, unexpectedly, by the remote area of G♭ major. In the development, the diminished seventh sonority makes the A♭-major chord a tonal goal and at first gives it the possibility to make a caesura on V of D♭ major. However, this time the chord acts like VI in C minor and, in a sense, fulfills the task that was discarded in the exposition.

Thus, the retransition as a whole, which starts in m. 167 in the development, in many ways recalls the transition in the exposition. As Hepokoski and Darcy point out, the similarities between these sections can also involve "important parallels between the expositional MC and the caesura that typically occurs at the end of the development … when a development is laid out as a half rotation [e.g., P–TR], the end-of-development caesura in some respects 'stands for' the earlier MC."[33] This applies as well to the present case: because the second half of this development proceeds rotationally as P–TR, the half cadence caesura at the end of the development can be seen as standing for the rather too quickly attained and subsequently discarded medial caesura in the exposition.

Also, the peculiar way in which the rather long dominant-lock (starting in m. 181) leading to this caesura in m. 198 is attained here reflects the complications surrounding the medial caesura in the exposition. I suggest that m. 177 represents the first attempt to begin a dominant-lock situation, but one that is in the wrong key and soon gives way to the proper dominant and the beginning of the definitive dominant-lock in m. 181. As a result, there is a kind of a "double arrival" on a dominant. Because the preparation for these dominants clearly begins in m. 167, this measure is best regarded as the beginning of the retransition.[34]

As we have seen, the variegated developmental procedures make multiple overt references, as well as more subtle and hidden references, to the different sections in the exposition. The development proceeds in clearly articulated units, which "correspond" to those of the exposition. The omission of the secondary theme from its rotational plan (or at least the lack of overt references such as those made to the primary theme and closing-zone material) is exceptional in Bruckner's developments. In the classical sonata-form development, the omission of the secondary theme (S) is not at all unusual. As Hepokoski and Darcy suggest, this may be because of its special tonal role, since it usually carries the music to the EEC in the exposition. In the recapitulation then, S is also capable of

[33] Hepokoski and Darcy 2006, 197.

[34] The "wrong" dominant in m. 177 and its annulment by an augmented sixth also acquire motivic significance: this chord brings the important upper neighbor of G, A♭, emphatically into the bass and forces it to resolve down to the deep-level V in m. 181 (Ex. 4.6). In addition, the voice-leading motion that "secures" the augmented sixth, E♭–F–F♯–G (divided between the 1st and 2nd horns in mm. 179–180), reflects the ascending third motive in the primary theme, the beginning of the secondary theme, and the first and third sections of the closing zone (see Exs. 4.2, 4.4, and 4.5). Together with the neighbor-note figure, this motive has an important function here, because it leads to the deep-level V, which ends the development and prepares the tonic recurrences of the themes from the exposition in the forthcoming recapitulation.

producing the ESC and is thus often kept intact to serve this purpose. In this respect, P and C are tonally "inert" and also more likely to occur in the developmental rotation.[35]

In this symphony movement, the transition zone in the exposition is highly exceptional among all Bruckner's sonata-form movements, with its deviations and deferrals after the generically rather normative launch onto the right tonal track. It could thus be argued that because of the extraordinary procedures in the transition, the secondary theme in this movement is especially "charged" and carries an exceptionally heavy tonal burden. These features might then help to explain the avoidance of this theme in the developmental rotation.

As Example 4.6 shows, the structural path from the deep-level III to V in the development is traversed through G♭, a rather exceptional choice in a minor-mode movement.[36] As I have already suggested above, the emphasis given the G♭-major chord may be understood in relation to the extraordinary transition section in the exposition with its attempt to introduce G♭ major just before the onset of the secondary theme. As impossible a choice as it would have been at that point, G♭ is then pushed far beyond the exposition and taken up again, not as a key area, but as a V of C♭ in the development.

In other words, the G♭ is postponed to an area that, in a sense, is more "secure" for such remote chords or key areas to occur with any great emphasis. This procedure results in a deep middleground structure that proceeds from the beginning of the movement in minor thirds up to G♭, but no further.[37] The G♭-major chord as a dominant of C♭ will return once again in the recapitulation and cause rather serious tonal complications in this otherwise tonic-oriented section.

4.4 Recapitulation

The recapitulation corresponds to the exposition in its two-part layout and appears as follows: first part, mm. 199–240, and second part, mm. 240–309. These are followed by an extensive coda in mm. 309–351. The formal units within the two parts also follow their

[35] See the discussion of the role of S in developmental rotations in Hepokoski and Darcy 2006, 205–206.

[36] For typical voice-leading procedures in development sections, see Laufer 1991, 69–120.

[37] Also in this respect the movement is a rare instance in Bruckner's usage of sonata form. He actually never used a symmetrical division of the whole octave (such as in minor thirds) in deep middleground structures.

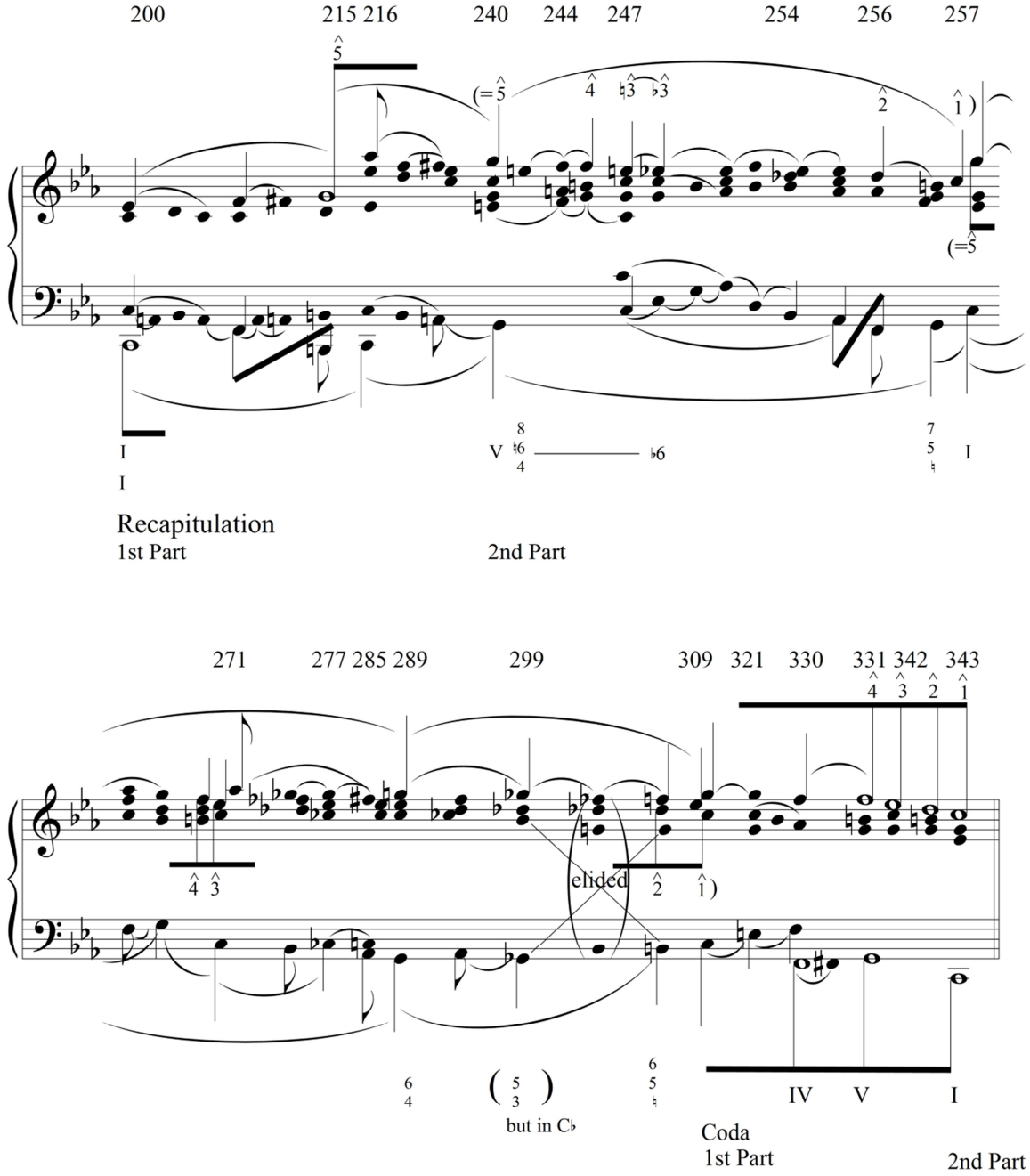
corresponding expositional order, i.e., P–TR–S–C. Large portions of the recapitulation are, however, recomposed to an extent that is rather exceptional, even in Bruckner's symphonic oeuvre. The following discussion will concentrate especially on the alterations made, tracing their meaning in the formal and structural layout of the recapitulation as well as in the movement as a whole. Above all, the discussion is intended to shed light on the possible motivation behind the newly composed passages.

All of the important thematic material within the thematic zones in the exposition is taken up in the recapitulation (although at times modified in one way or another) with one notable exception: the mighty trombone theme from the closing zone is left out and replaced with material from the transition section. Although as Hepokoski and Darcy have stated, an omission of some of the exposition's material cannot be regarded as counter-generic in sonata recapitulations, such an omission can assume special meaning, which calls for a close examination. Given the prominence of the trombone theme and its rather problematic tonal position in the exposition, it represents a case in point. As we shall see, this procedure conspicuously affects the motivic and structural layout of the closing zone as well as the coda that follows.

Example 4.8 presents a voice-leading sketch of the entire recapitulation and coda. As the example shows, the movement's structural closure occurs only in the coda: the sonata space proper fails, in a sense, to bring about a definitive closure and postpones it well into the coda. In Bruckner's music, this is a typical procedure, which he uses in all of the outer movements of his symphonies. However, the way this "failure" is accomplished in each case is unique and distinctly reflects the layout of the recapitulation and also the movement as a whole.[38]

[38] In Bruckner's symphonies, procedures in the first movement are often clearly linked with those in the finale, which bring the work to its ultimate close. However, since these kinds of inter-movement relationships are outside the scope of this study, they are not discussed here except for a few brief remarks.

Example 4.8. Symphony No. 1, I, recapitulation and coda, voice-leading sketch.



4.4.1 Transition and Secondary-Theme Zone

As often happens in sonata recapitulations – and almost always in Bruckner's – the first section of the recapitulation to undergo reworkings of its material is the transition. Here the transition (mm. 216–239) is placed in a frame of events similar to its corresponding passage in the exposition: a beginning with a ***ff*** outburst on an A♭-major $^{6}_{3}$ chord in m. 216,

an increase in harmonic activity leading to a decline and dissipation with attenuation of dynamics, the re-entry of the primary-theme material on an A♭-major chord, followed by its dissolution toward the onset of the secondary theme. However, the re-entry of the primary theme is recomposed to end the transition with this thematic reference by dropping out the tonally derailed final section (i.e., mm. 38–44). One obvious reason for this recomposition is to secure the entrance of the dominant of the main key at the beginning of the secondary-theme zone in m. 240 (as a cadential $\frac{6}{4}$ of the tonic major at this point). On a large-scale level, the A♭-major chord clearly dominates the transition, both in the exposition and in the recapitulation. As we shall see, there are also interesting parallels between these transitions on more local levels.

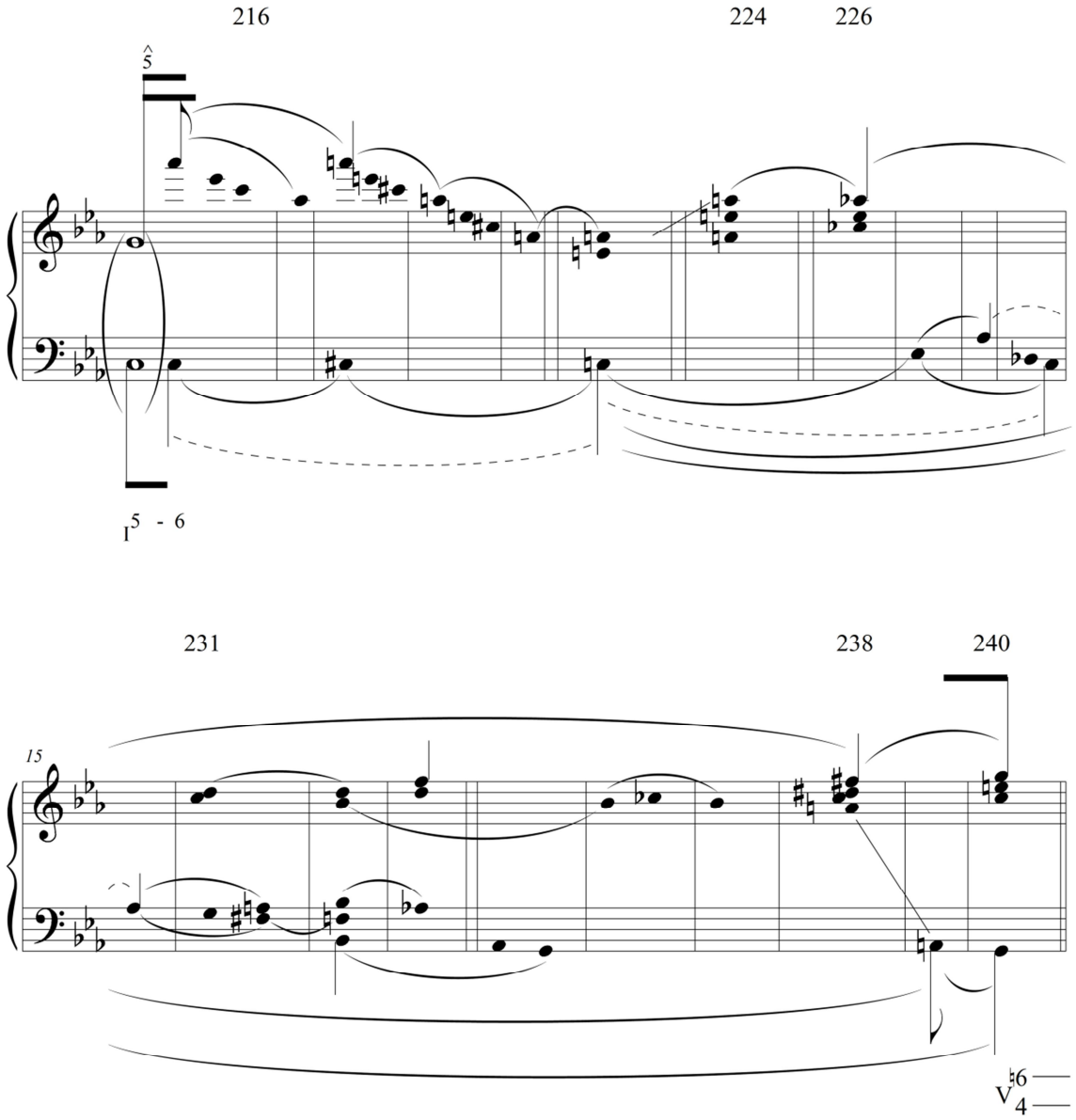
The material of the transition's first four measures corresponds almost exactly to the parallel measures in the exposition except for the change in tonal direction: two measures of an A♭-major $\frac{6}{3}$ chord are followed by an A-major $\frac{6}{3}$ chord as if to begin an ascent. The exactly corresponding measures do not continue beyond m. 220, at which point the strings begin to repeat the figuration from the second half of the preceding measures.

The change from an A♭-major $\frac{6}{3}$ chord to the A-major $\frac{6}{3}$ chord is in its immediate context a clear signal of an increase in harmonic activity, perhaps suggesting further motion upwards. However, the larger context reveals something very different: together with the attenuation of dynamics beginning in m. 220 (a decrescendo and thinning-out of the orchestral texture), the harmonic motion is pulled back via the A-minor chord (in m. 222) to the starting A♭-major chord, which arrives in m. 226. In other words, the intensification in the first four measures dissolves as quickly as it has been set up and leads to a decline. It is as if the music suddenly changed its mind: "No! This is not the right direction. We must go back." As already mentioned, this procedure, namely, a decline after an intensification, is comparable to a similar situation in the exposition in mm. 22–28. In the recapitulation, however, no medial caesura-like gesture is even loosely proposed during mm. 220–226; instead, the music just slides back to its starting point.

These harmonic events also have an important impact on the voice-leading in the transition. Example 4.9 presents a detailed voice-leading graph of the entire transition section (mm. 216–240). What is most important is that the A♭-major chord, the starting point of the transition, remains a controlling harmony throughout the whole section. The ultimate goal of the transition is to transform the opening A♭-major $\frac{6}{3}$ chord into an active diminished seventh chord with A♮ in the bass. This diminished seventh chord in turn, in

mm. 238–239, resolves into a *major* cadential $^{6}_{4}$ in the tonic key (Ex. 4.9). The transformation process undergoes several intriguing twists and turns in its mission to secure the dominant of the main key. The following discussion traces the voice-leading events in more detail.

Example 4.9. Symphony No. 1, I, recapitulation, mm. 216–240, voice-leading sketch.



Even though the primary-theme material now appears in the lower strings, C appears as a real bass note at the beginning of the theme (mm. 227–230, Ex. 4.9). This bass note proceeds through a passing B♭ into A♮, which in mm. 238–239 acts as an upper neighbor to G, which in turn supports the cadential $\frac{6}{4}$ of the main key at the beginning of the secondary theme in m. 240 (although inflected to major at this point).

In m. 231, the primary theme reaches a dominant seventh-type chord in $\frac{6}{5}$ position, which at first clearly functions as an applied V of V in C minor. The move from the A♭-major chord to this applied dominant is highlighted by a change in the theme's contour with a minor sixth plunge downward to G, which resolves as an appoggiatura to F♯ in the second half of m. 231.Thus, the music is about to enter the dominant of the main key. Yet the dominant may still be absent from the scene because the F♯ is replaced by F♮ in the following measure as the fifth of the B♭-major chord. The wide-ranging motions in cellos and basses in m. 231 first seem to offer F♯ as a note leading to V of C minor, but then the instruments abruptly leave it behind as if it were something that shouldn't have been taken up at this point. What is the role of the seventh chord in m. 231 and of the B♭-major chord that follows it, somewhat unexpectedly, in m. 232?

In a larger context, the seventh chord in m. 231 does not function as a V/V at all, but appears to be subordinate to the B♭-major chord, which annuls its dominant function. As Example 4.9 shows, the F♯ in m. 231 does not obtain a position as a real bass, but rather appears as part of an inner-voice passing motion to F♮. Although F♯ is reached through a salient gesture in cellos and basses, it is immediately abandoned with a wide, upward reaching motion to F♮, the fifth of B♭. My interpretation, shown in Example 4.9, tries to capture the nature of this event. The harmonic motion in mm. 231–232 is a peculiar one and certainly prone to different interpretations and explanations.

The B♭-major chord attains some prominence, as it is sustained over the next six measures in the woodwinds. As Example 4.9 shows, the chord appears essentially in root position. In particular, the trombone gesture C♭–B♭ (in m. 234) supports this reading. Already before this gesture, a minor seventh is added to the chord in m. 233 and thrusts into the bass in m. 235. The first half of this measure suggests a dominant seventh chord in $\frac{4}{2}$ position with a potential for resolving to an E♭ major $\frac{6}{3}$ chord. It is worth observing that the same chord with a similar harmonic tendency also appeared in the exposition in m. 36, i.e., toward the end of the primary-theme reference in the transition. Moreover, in both cases the resolution to the E♭-major chord is evaded, although in very different ways. In

the recapitulation, the A♭ actually does go down to G in m. 234 (as it did also in m. 36), but the upper voices do not follow. The situation becomes rather ambiguous.

In my view, the introduction of the B♭-major chord is a wonderful musical pun: after an attempt to enter the dominant of C minor, the music suddenly changes course toward E♭ major as if having some kind of memory lapse. But eventually the lapse turns out to be a double one, because this is the *recapitulation*, and the E♭ major as a transitional destination simply won't do. In the voice leading, the bass pitch B♭ also has the same function as a passing tone within a descending third span from C (Ex. 4.9). In other words, the role of the B♭ in the voice leading parallels its role in the exposition in mm. 18–27 (see Exs. 4.3b and 4.3c).

In m. 235 and m. 237, the bass features an appoggiatura-like figure that seems to position G as a point of resolution. However, this is not a normal resolution of a dominant seventh because the upper voices, as noted above, remain in their places, and the second half of m. 235 presents a seventh chord on G, although without a third. In the next measure, the first horn adds a minor third to this chord. Does the emergence of this chord mean that the dominant of C minor has already arrived with a minor third at this point, perhaps to be transformed into major at some later point? The repetition of the same bass figure in m. 237 might speak in favor of this interpretation. In addition, the first horn has made an attempt to introduce a B♮ into the chord between these appoggiatura statements in m. 236.

However, the G in m. 235 and m. 237 does not really sound like a root, but appears still to be under the control of B♭. In the same vein, the B♮ in m. 236 acts rather like C♭, i.e., a neighbor to B♭. In contrast to the somewhat complicated situation growing out of the entrance of the B♭-major chord, the arrival on A♮ in m. 238 is highlighted by a chromatic inflection of D and F in the upper voices to D♯ (notated as E♭) and F♯, which inevitably push forward to the cadential $^{6}_{4}$ of C major. Thus, the complications surrounding the B♭-major chord make it a passing event within the prolongation that transforms the A♭-major $^{6}_{3}$ chord of m. 226 into an active diminished seventh chord (Ex. 4.9).

In sum, the transition presents us with characteristically Brucknerian set of magnificent and intriguing tonal events. Four of them especially stand out along the path to the dominant of the main key (shown in Ex. 4.9): first, an attempt to enter the dominant through an applied dominant in m. 231; second, the abrupt annulment of this attempt by the B♭-major chord in the following measure, implying a turn to the expositional secondary key, E♭ major; third, an attempt to set up a V^7 of C minor by adding a G

beneath the B♭-major chord in m. 235 and replacing B♭ with B♮ in the following measure; and fourth, the failure of this attempt with the entrance of the prominent diminished seventh chord in m. 238, which finally leads to the long-awaited dominant.

As we have already seen, this transition does not attempt to build a premature medial caesura at a point parallel to the exposition, which is perhaps the most conspicuous difference between the two transitions. The avoidance of the premature MC gesture could be seen as a means to secure the arrival on the dominant of C major at the beginning of the secondary-theme zone: an early MC (which would normally occur on V of the main key in the recapitulation) could make this arrival somewhat redundant. The arrival on the dominant at the end of the transition compensates not only for the earlier absence of a medial caesura gesture in the recapitulation, but also, and perhaps most important, for its total loss after its decline in the exposition.

The lack of any kind of medial caesura gesture early in the transition could also have a more profound effect on the formal layout of the recapitulation's first part as a whole. Perhaps a "dissolving reprise"-type transition is a stronger possibility here, because in the exposition, it was particularly the proposed MC and its subsequent decline that made this kind of interpretation inappropriate. In other words, in this interpretation the transition proper would not begin in the recapitulation until m. 227, i.e., at the beginning of the suggested "reprise." However, in my final interpretation, I place the beginning of the transition in m. 216, yet the other possibility presents itself a little bit more clearly than in the exposition. It could thus be argued that the formal ambiguity inherent in both transitions is taken a step further in the recapitulation.

The beginning of the secondary-theme zone in m. 240 represents what Hepokoski and Darcy call a "crux," i.e., a point after the recomposed measures in the previous section where the music picks up the corresponding material in the exposition.[39] As can be seen in Example 4.8, the secondary theme prolongs the dominant that occurs as a major $\frac{6}{4}$ on a dominant pedal in mm. 240–248, after which it turns into a minor $\frac{6}{4}$ resolving to $\frac{5}{3}$ only in m. 256.

As a result, there is no interruption in the structure: the upper voice makes an unbroken fifth progression $\hat{5}$–$\hat{1}$. The thematic layout, however, appears in two units (the beginnings of m. 240 and m. 247), which correspond to those in the exposition. The local tonal events also support this division: mm. 240–247 occur within the harmonic

[39] For discussion of a "crux," see Hepokoski and Darcy 2006, 239–241.

progression I^6–IV–V^7–I in C major, while the second phrase closes the secondary theme with a perfect authentic cadence in C minor in m. 257 (Ex. 4.9).[40]

By comparison with the exposition, the phrase lengths are altered: the first phrase is condensed from the exposition's thirteen measures to eight measures (subdivided as 4+4), and the second phrase has one extra measure (i.e., 11 measures, subdivided as 6+5). The compression of the first phrase from thirteen measures in the exposition to eight in the recapitulation is especially worthy of remark. The most notable omission is the diminished seventh chord, i.e., the chord that momentarily derailed the phrase with its various implications in the exposition. Owing to the omission, here the phrase stands firmly on the dominant of C major.

The compression clearly conditions the first phrase to secure the dominant of the main key. In so doing, the "purging" of the distracting tonal elements not only secures the tonal path to the ESC at the end of the second phrase in m. 257 (see Table 4.1 above), but also helps confirm the transformation of the tonic key into major at this point. However, the secondary theme fails to preserve the major mode, its second phrase turning into minor and closing in it. The decay into tonic minor in the midst of the theme perhaps reflects the secondary theme's somewhat troubled tonal situation occurring throughout within a dominant prolongation.[41]

4.4.2 Closing Zone

The extensively recomposed closing zone is subdivided into two sections: mm. 257–271 and mm. 271–309. The second part replaces the exposition's trombone theme with material that clearly recalls the transition section. One important consequence of this procedure is surely the prominent introduction of A♭ in the upper voice in m. 271, together with the resulting neighbor-note motive G–A♭–G as A♭ resolves to G in m. 289 with the entrance of the $^6_4$ chord on the dominant note of the main key (Exs. 4.8 and 4.10). However, a tonal path to this dominant together with its resolution (somewhat unusually,

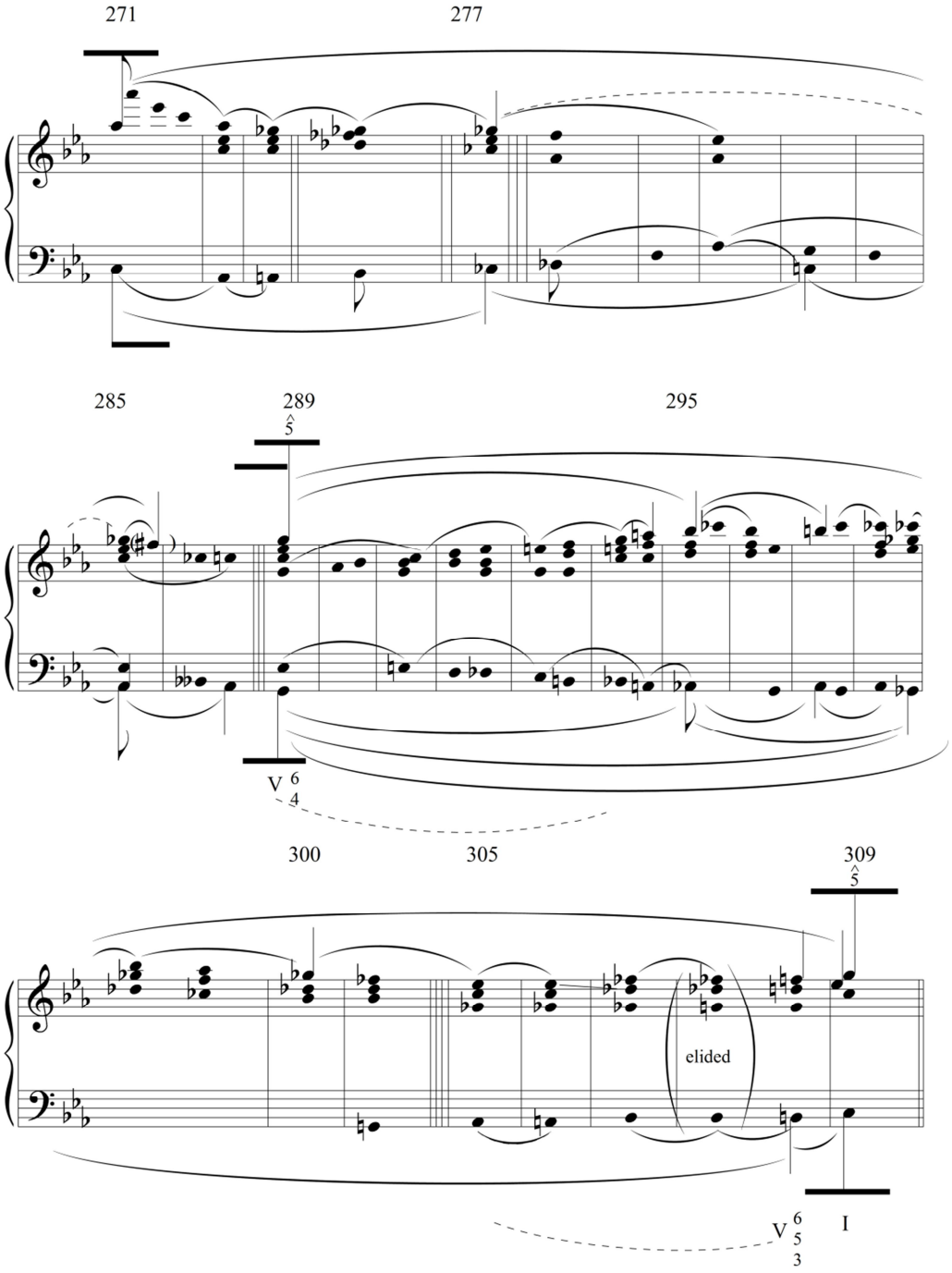
[40] Although the first progression appears within an underlying dominant prolongation and does not create a proper cadence (at least not in the classical sense), I designate both thematic units in the secondary theme as phrases. I consider the first bass note in m. 257, E♭, as part of a figuration. Thus, in this measure, I read the root-position tonic chord and the cadence leading to it as PAC.

[41] Warren Darcy (1997, 274) writes that this kind of decay signals a "sonata process failure."

to V_5^6 , in m. 308) becomes rather ambiguous because of the sudden appearance of the C♭ major chord in m. 277 and the G♭ major chord in m. 299.

Both of these chords belong locally to the key of C♭ major, whose tonic and dominant also serve to expand the closing zone's second section. Example 4.10 presents a detailed voice-leading sketch of the entire closing zone.

Example 4.10. Symphony No. 1, I, recapitulation, mm. 271–309, voice-leading sketch.



As the example shows, there is no voice-leading connection between I and V of C♭ major, even though locally they belong to the same key. Is there yet another, perhaps more significant, meaning that might justify their appearance here? The digression into the remote area of C♭ major as such can, of course, be understood as a reference to the development (mm. 130–155), where the same chords were heard. As we shall see, of the two chords the G♭ major chord here has more far-reaching referential significance, in the same manner as in the development.

As Example 4.8 shows, the C♭ major chord assumes contrapuntal meaning as a consonant support of G♭ in the upper voice, which in mm. 285–288 clearly becomes F♯, an augmented sixth over A♭ , resolving eventually to a $^{6}_{4}$ chord on the dominant note of C minor in m. 289. The G♭ major chord, on the other hand, seems to be far more ambiguous and causes more serious tonal complications in the course of the music.

We have already seen that this chord appears between the $^{6}_{4}$ and its resolution to a V^{6}_{5} in m. 308. Example 4.10 shows a detailed picture of the voice-leading events in mm. 289–309. The bass of the $^{6}_{4}$ chord in m. 289 is prolonged by its upper neighbor A♭ , which enters in m. 295 as a bass of the dominant seventh chord on B♭ in $^{4}_{2}$ position. Two measures later, the B♭ is activated in the upper voices as B♮: the music stands on the verge of V^{7} of the main key and thus the long-awaited resolution of the $^{6}_{4}$ chord.

The oscillating A♭–G figure keeps A♭ active in the bass up to the first half of m. 298. The V^{7} is just around the corner. All that is needed to attain it is to bring the neighboring A♭ down to G in the bass. Instead of anything that simple, however, the B♮ is respelled as C♭, and the chord slips into the G♭ major chord via $^{6}_{4}$ with G♭ in bass in the second half of m. 298 (Ex. 4.10).

Thus, the G♭-major chord enters the music almost unnoticed, as if trying to push the real dominant insidiously aside and replace it with the one a half-step lower.[42] In contrast to this smooth voice-leading operation in m. 298, a turn back to the correct dominant is rather sudden and unprepared. The G♭-major chord is prolonged up to m. 307, where it becomes a dominant seventh in a $^{6}_{5}$ position. Then it is simply shifted a half-step up to become a dominant $^{6}_{5}$ in C minor in m. 308.

Despite the somewhat angular harmonic motion in mm. 307–308, it is possible to follow a plausible voice-leading logic behind the procedure that brings the music back

[42] This might be designated a kind of "false resolution."

from the G♭ major chord to the dominant of C minor and ultimately to the tonic of the main key. As Examples 4.8 and 4.10 show, the dominant $\frac{6}{5}$ in m. 308 ultimately resolves the $\frac{6}{4}$, which entered in m. 289, although these chords are connected by highly complex voice leading.

The complications arise largely out of an elision that underlies the juxtaposition of two dominant seventh chords in mm. 307–308 (Exs. 4.8 and 4.10).[43] The elision in turn arises out of the chromatic ascent that begins in m. 301. Here the G♭-major chord becomes a diminished seventh chord on G♯, which resolves to an A♭-major chord with a minor seventh in m. 305. In a similar vein, this chord becomes a diminished seventh on A♮ in m. 308, which in turn acts like a common-tone type and resolves to the dominant $\frac{6}{5}$ on G♭. The next step would naturally be a diminished seventh chord with the root G♮ (although in $\frac{6}{5}$ position), which would represent a common-tone type to a V^6_5 of C minor. However, this diminished seventh chord is cut out, so to speak, and immediately replaced by its resolution (Ex. 4.10).[44]

The voice leading in mm. 299–308 is thus controlled by a chromatic voice exchange that transforms the G♭ major chord into a V^6_5 of C minor (Ex. 4.8). It is worth noting that the elided chord in my interpretation shown in Example 4.10 is the same diminished seventh sonority that has already assumed referential significance in the movement. Here, in the final measures of the recapitulation, we are again reminded of its importance at major junctures in the music, even though the chord is not literally present. This time the chord makes a crucial reference, particularly to the final measures of the transition section in the exposition (i.e., mm. 37ff.) The reference is all the more significant because of the close relationship between the opening measures of the transition and the second part of the closing zone in the recapitulation.[45]

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[43] As Edward Laufer (1997, 209–255) has shown, elision is a rather common device in Bruckner's harmonic vocabulary.

[44] This is not, however, the only way to interpret which chord in the progression is the elided one. It is also possible that the elided chord is a C♭-major chord, a resolution of the dominant $\frac{6}{5}$ on G♭ in m. 307, thus resulting in a local 6–5–6–5 progression in mm. 307–309. The interpretation shown in Example 4.10 is based on a larger ascending pattern, which begins in m. 301.

[45] It should be noted that the diminished seventh sonority appears at the end of the recapitulation in mm. 301–304. In these measures, however, it acts as a passing event, and thus the elided chord appears to be structurally more significant. This might seem somewhat contradictory, but in fact it takes the large-scale voice leading events into account.

As we have seen in the exposition, the transition was driven off course into the realm of G♭ major via this same sonority (mm. 37ff.). Toward the end of the recapitulation, the chord in turn acts *by implication* as a kind of voice-leading corrective that wrenches the music back onto the right tonal track from its digression to a G♭-major chord (here as a dominant of C♭). The correction is done with almost brutal force, thanks to the elision, which produces an immediate succession of dominant seventh chords on G♭ and G♮ in mm. 307–308. It could be argued that this procedure deprives the sonata space proper of its opportunity to produce a decent cadence in the home key. The coda will have to bring the structure to a close.

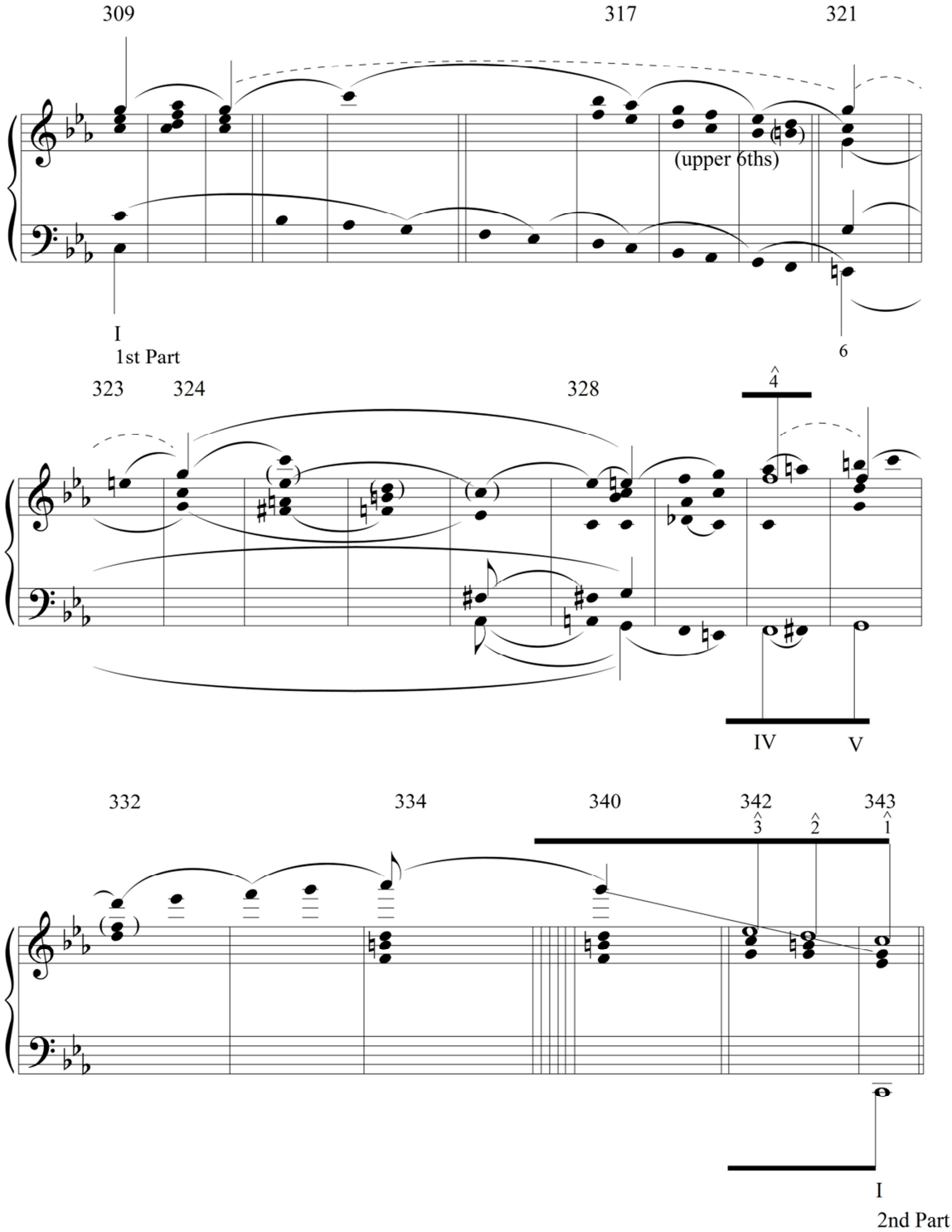
4.5 Coda

As a result of the voice-leading operations described above, the coda begins with very little tonal preparation. It is also worth mentioning that the string figuration at the end of the closing zone continues well into the coda, i.e., beyond the sonata space proper. This "boiling over" of the material (perhaps comparable to the similar procedure between the exposition and the development) can be seen as a reaction to the complications that disrupted the cadence at the end of the recapitulation. This procedure not only smooths the formal border between these sections, but also in a sense shifts the responsibility for producing a firm tonal (and structural) closure to the coda.

In making a structural closure, the coda also makes an attempt to transform the main key into major mode when the dominant resolves to the C-major $\frac{6}{3}$ chord in m. 321.The initial impression of this chord is a major tonic $\frac{6}{3}$ chord, but it does not succeed in maintaining the mode.[46] The C-major chord is prolonged up to m. 328, where it becomes a dominant seventh chord in $\frac{4}{3}$ position. In a larger context, this chord thus activates the minor tonic to become a dominant of a deep-level IV, which enters, in minor mode, in m. 329. The prolongation is shown in Example 4.11, which presents a detailed voice-leading graph of the entire coda.

[46] Stephen Parkany (1989, 246) aptly speaks here of "cutting a window" to the finale, which ultimately succeeds in transforming the mode into major.

Example 4.11. Symphony No. 1, I, coda, voice-leading sketch.



Minor-mode elements are already brought back within the prolongation of a C-minor chord: the second recitative-like statement of a melodic fragment of the principal theme begins in minor in m. 325 and, perhaps more important, presents a neighbor note, A♭, in the bass, which then proceeds to G in m. 328 (Ex. 4.11). It could thus be argued that this neighboring motive is largely responsible for the reaffirmation of the minor mode for the structural closure and, to use Warren Darcy's expression, for "sealing the fate" of the movement. In the same line of argument, the motive could also be said to provide a proper tonal environment for the last and most powerful statement of the neighboring A♭ in mm. 334–339, where this note appears above the deep-level $\hat{4}$ of the *Urlinie* (Ex. 4.11). As Stephen Parkany has observed, here for the first time in the movement the A♭ becomes part of a dominant chord and also resolves within it into octave Gs in m. 340.[47] The end of the coda's first part is extremely tense, and the deep-level descent $\hat{3}$–$\hat{2}$–$\hat{1}$ in the upper is pushed into mm. 342–343 (Ex. 4.11).

4.6 Conclusion

Bruckner's Symphony no. 1 is in many respects unique in the composer's symphonic oeuvre. The intensity and vigor that so overtly characterize its first movement are qualities not likely to be encountered in his subsequent works. Several earlier scholars commented on the work along similar lines. Constantin Floros, one of the foremost German-speaking Bruckner scholars, praised the work's originality: "Viewed historically, it must be called a highly original and bold work."[48] Furthermore, he added, "most surprising, next to boldness, is the impetuosity of expression." Stephen Parkany, commenting on the work's dynamic formal processes along Kurthian lines, emphasizes the symphony's "abstruse conciseness" and puts this work on an even higher pedestal: "In a way it stands outside the history of symphonic formal process in the nineteenth century. It was so unprecedented and unparalleled an achievement, and emerged in such isolation, that nothing very similar

[47] Ibid., 242. Parkany also observes that "this is the only functional ninth-chord in the movement: as such it makes an extremely powerful, Beethovenian final resolution." He refers to the first movement of Beethoven's String Quartet in E minor, Op. 59, no.2, which Bruckner may have studied and in which the struggle between the scale degrees $\hat{5}$ and $\hat{6}$ is also a crucial aspect .

[48] Floros 2011, 106.

came directly from it."[49] Bruckner himself, who called the work "a brash little broom,"[50] gave it special status among his symphonic compositions when he wrote in 1892 that "the first symphony is one of my most difficult and best."[51]

From the point of view of the present study, one of the most conspicuous aspects of the first movement is its ingeniously rich interaction with different organizational principles, i.e., the formal and tonal design and the voice-leading structure. Despite the rather "conservative" large-scale tonal plan of the movement and its formal outlines, the result is an enormously rich web of associations and formal, tonal, and structural functions, not only within the different formal units or sections, but also between them. As examples of the latter, the reordering of the exposition's material in the development and the recomposition of that material in the recapitulation particularly stand out. As we have seen, the development's unique design grows out of the no less unique tonal, structural, and thematic events of the exposition. Most important, the huge culmination point in the closing zone, namely, the trombone theme with its *Tannhäuser* allusions, casts its shadow over the boundaries of the exposition. In my view, the enormous force of the theme near the end of the exposition is largely responsible for the spill-over of the closing material into the developmental space, pushing the reference to the primary theme far beyond the beginning of the development. Its gently marching steps are not heard until approximately the middle of the development. This is something Bruckner never repeated in any of the first movements of his subsequent symphonies, where the introduction of the primary-theme material at or near the beginning of the development became standard procedure.

In the exposition, along with the extraordinary closing zone with its climactic theme, the transition section stands out, even for Bruckner, with its exceptionally rich web of formal and tonal implications. The beginning of the transition is clearly in dialogue with classical transitional procedures, until, after the decline of the proposed medial caesura, the section is derailed by a peculiar tonal outcome. I believe the transition's rather normative beginning is a signal that is strong enough for the listener to expect a more or less normative continuation, i.e., a motion toward the secondary key and the build-up of a medial caesura, presumably on the V of III, which in turn would usually lead to the emergence of the deep-level III at the beginning of the secondary theme. However, Bruckner's transition fails to fulfill any of those expectations. Instead, it ends on the

[49] Parkany 1989, 251.

[50] The original pet name was *kecke Beserl*. The English translation is taken from Floros 2011, 107.

[51] Göllerich/Auer 1974 [1936], 4/3, 216.

dominant of the remote G♭ major, leaving the task of establishing the secondary key and the deep-level III completely to the second part of the exposition.

After its promising launch, the transition in a sense leads to a negative result, only to be corrected later. Thus, the exposition's second part especially is charged with great responsibility, both for introducing and for establishing the tonic of the proper secondary key. The emergence of the deep-level III must wait past the fragile secondary-theme zone until the onset of the closing zone, where this chord finally emerges with a forceful gesture. In light of the ingenious tonal path leading to the set-up of the deep-level III, the colossal trombone theme in the closing zone may be heard as extravagant jubilation over this successfully completed task.

If the trombone theme expressed itself in the exposition's closing zone as a kind of "trustee" of the tonal security attained, I would argue that its omission in the heavily recomposed corresponding zone in the recapitulation leads to serious tonal complications. As we have seen, near the end of the recapitulation, the music slips into the remote C♭ major, which is represented by its dominant chord G♭ major (Exs. 4.8 and 4.10). The final measures of the recapitulation manage to wrench the music into the home key, yet postpone the structural closure well into the coda.

Finally, I would like to acknowledge one special chord, G♭ major, which plays an important role throughout the movement both as a key and as a chord. First, as a key, in the transition section of the exposition it threatens to discard the attempts to establish a more normative secondary key, E♭ major. Second, as a chord, the G♭ major appears (albeit locally as a dominant of C♭) as a prominent structural element in the development as an upper minor third of E♭, resulting in a rather exceptional deep middleground bass progression E♭–G♭–(A♭)–G♮ (Ex. 4.6). And third, again locally as a dominant of C♭, the G♭-major chord near the end of the recapitulation tries to push the home dominant aside and replace it with one a half-step lower as described above.

These features alone, which I have summarized above, put the opening movement of Bruckner's "brash little broom" into a special and certainly unique position, not only among Bruckner's output, but also among nineteenth-century orchestral works as a whole.

5 The First Movement of Symphony No. 2

5.1 Form and Voice-Leading Structure: An Overview

The mood and character of Bruckner's Second Symphony, especially its first movement, differ greatly from his First. The verve and restlessness of the First Symphony have been replaced by "serene enjoyment of unassertive music-making."[1] Moreover, the very beginning of the Second, where the primary theme begins to unfold slowly, has a relaxed, quiet, and tentative breadth, a feature that was to become one of the hallmarks of Bruckner's symphony openings. And, by contrast with all the other movements discussed in this study, the exposition's closing-zone begins in a quiet and relaxed manner. As mentioned in chapter 1, I have chosen the Second Symphony's first version (1872) as the principal source on which to base my analysis. At the end of this chapter, I briefly discuss the alterations Bruckner made to the coda of the 1877 version and their impact on the voice-leading structure. Both versions have been edited by William Carragan.

Table 5.1 presents a chart of the symphony's first-movement form. I read the large-scale form as follows: exposition (mm. 1–177), development (mm. 178–329), recapitulation (mm. 330–497), and coda (mm. 498–583). The exposition divides further into two parts: first part (mm. 1–62) and second part (mm. 63–177). Furthermore, the first part consists of the primary-theme zone (mm. 1–26) and the transition (mm. 27–62); the second part consists of the secondary-theme zone (mm. 63–97) and the closing zone (mm. 97–177). The deep-level voice-leading structure, perhaps in keeping with the characteristics mentioned at the beginning of this chapter, is somewhat more straightforward and less problematic than in the First Symphony (notwithstanding the end of the recapitulation and coda). Example 5.1 presents an overview of the structure.

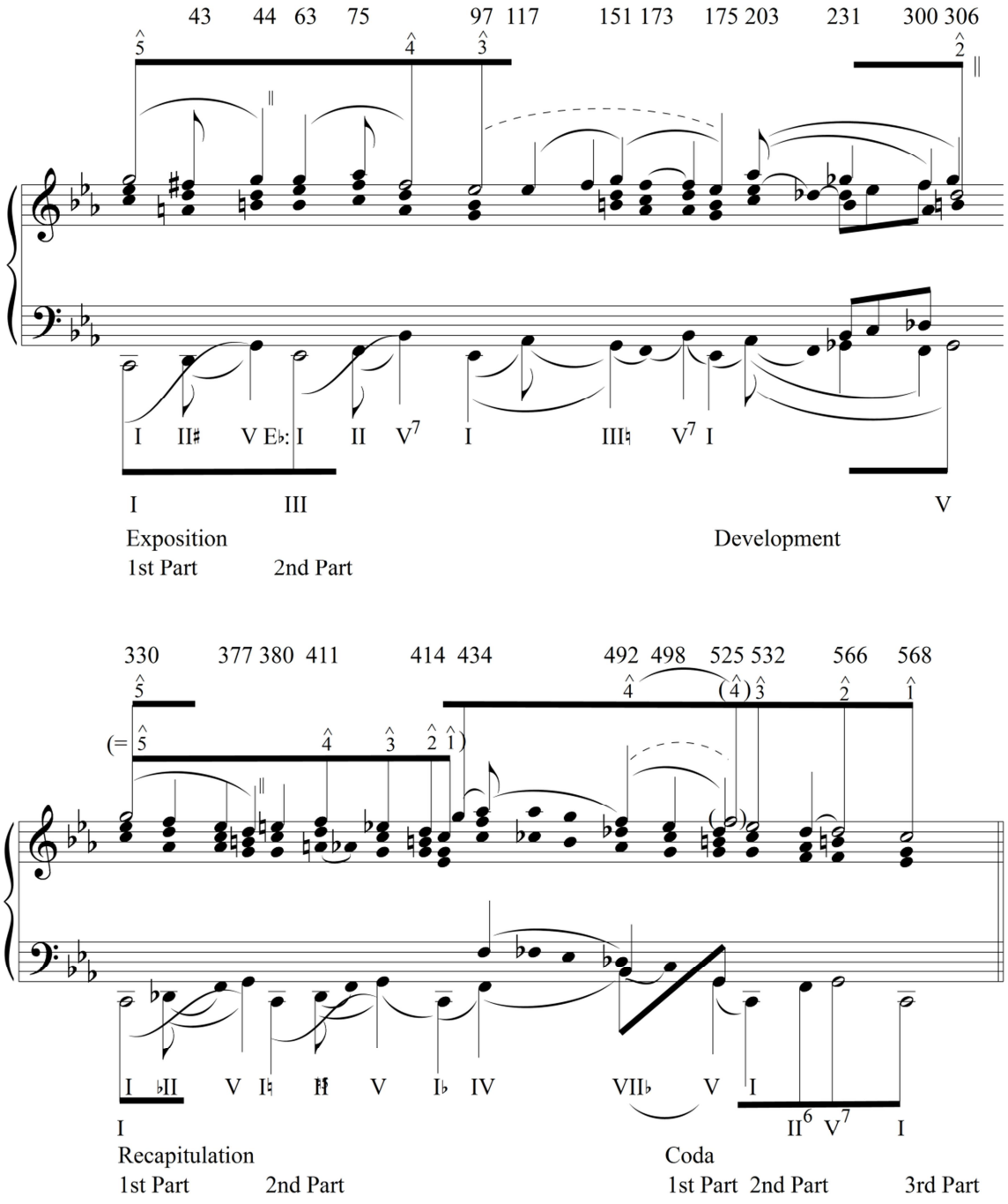
[1] Simpson 1992, 47.

Table 5.1. Symphony No. 2, I, formal outlines.

Sonata form	Exposition (mm. 1–177)				Development (mm. 178–329)
	1st Part (1–62)		2nd Part (63–177)		
	P (1–26)	TR (27–62)	S (63–97)	C (97–177)	
Keys	c:		E:♭	E:♭	E♭: ⟶ c:V
Important cadences	c: PAC	c: HC	E♭: PAC (= EEC)	E♭: PAC	c: HC

Sonata form	Recapitulation (mm. 330–497)				Coda (mm. 498–583)		
	1st Part (330–379)		2nd Part (380–497)		1st Part (498–531)	2nd Part (532–568)	3rd Part (568–583)
	P (330–355)	TR (356–379)	S (380–414)	C (414–497)			
Keys	c:		C: →c:	c:	c:	c:	c:
Important cadences	c: PAC	c: HC	c: PAC (= ESC)		c: HC	c: PAC	

Example 5.1. Symphony No. 2, I, an overview.



The overall tonal plan follows the same outlines as the First Symphony, but the deep-level structural harmonies are located somewhat differently. In the Second Symphony's exposition, the structural I and III mark the beginnings of the theme groups,

i.e., the deep-level tonic chord of the secondary key is attained already at the beginning of the secondary-theme zone.[2]

In the development section, the motion from III to V proceeds via the neighboring VI, thus following a typical voice-leading paradigm in minor key development sections.[3] The end of the recapitulation, however, is more exceptional. There is no dominant chord whatsoever to prepare the tonic of the main key which opens the coda in m. 488. The dominant is replaced, highly exceptionally, with a minor triad of a flat seventh degree, which also gives a consonant base for the anticipation of the deep-level $\hat{4}$ in the upper voice supported by the dominant, which is reached only towards the end of the first part of the coda in m. 525.

The omission of a clear dominant at the end of the recapitulation is not without several striking consequences. As seen in Example 5.1, I read the C-minor chord at the onset of the coda in m. 498 as a contrapuntal event within a prolonged dominant supporting the top-voice passing tone E♭. This prolongation is carried out rather unusually, since the B♭-minor triad (♭VII) connects, in a somewhat Schubertian manner, with the dominant chord in mm. 525–531. The C-minor chord that enters in m. 498 thus appears to be a tonic, i.e., a chord that gives the impression of a structural tonic at first, but in a larger context turns out to be a more local event. As a result, it is only at the onset of the second part of the coda in m. 532 that a firm structural tonic is finally attained, which supports the deep-level $\hat{3}$ in the upper voice.

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[2] This is exceptional in Bruckner's handling of sonata form. Usually, where the secondary theme zone, or *Gesangsperiode*, begins in the proper secondary key, the structural status of its tonic chord is in one way or another problematized at the very beginning of the theme. On this subject, see also Darcy 1997, 271–274.

[3] For the structure of the development sections in general, see Laufer 1991. Timothy Jackson's reading (1994, 94, Figure 10a), which extends up to the end of the development section, differs in many important respects from mine. In the development section, Jackson interprets the F in the bass (m. 185) as a passing tone between the exposition's concluding E♭ and the development's goal G. Moreover, the G♭ around the middle of the development (m. 241) occurs as a passing tone between F and G, thus resulting in a bass scheme C–E♭–F–(G♭)–G. Most significant, he reads the upper voice in a highly unusual manner as moving *upwards* (in parallel fifths with the structural bass) from the *Kopfton* G to the concluding D: G–B♭–C–(D♭)–D. Jackson states that such parallel fifths at the background level are largely responsible for the "gothic" quality of Bruckner's music. This is surely an original and an appealing idea, but in my opinion, a rather problematic one in several important respects. Most important, the upper voice at the beginning of the secondary theme (m. 63–) clearly circles around G and descends explicitly to E♭ in m. 93. Thus, the upper voice seems to follow a more normative descent from the *Kopfton*, as shown in my Ex. 5.1. This does not, however, rule out the importance of the notes in Jackson's reading, although in my opinion they do not occur in the deep level of the structure.

5.2 Exposition

By comparison with the rather intricate set of events in the exposition of the First Symphony, the formal functions of the first part of this movement are much less problematic. The two-part exposition is divided rather unambiguously into four zones: P, TR, S, and C. As mentioned above, the deep-level structural harmonies are also set up here without any significant complications: the primary-theme zone establishes unequivocally the tonic of the main key, whereas the secondary-theme zone begins firmly with the tonic of the secondary key, which is also prolonged throughout the closing zone, although, as we shall see, in an extraordinary manner.

Notwithstanding its tonally firm beginning, the closing zone is analytically perhaps the most challenging part of the exposition. After a steady E♭ major in its opening measures, the closing zone takes very complicated and ambiguous tonal turns that, especially toward the end of the zone, almost place the status of the E♭ major in doubt. In this respect, the closing zone challenges the rather unproblematic and firm placement of I and III in the primary- and secondary-theme zones by seriously disturbing the attained tonal stability. Yet these complications in the closing zone, which deviate from the main course of the exposition, are by no means a separate phenomenon, but may be understood as a response to the tonal events in the primary- and secondary-theme zones (and the beginning of the closing zone as well).

5.2.1 First Part

The first part of the exposition divides clearly into two sections (mm. 1–26 and mm. 27–62). The formal functions of these sections can also be determined without great difficulty: I interpret the first section as a primary-theme zone ending with a perfect authentic cadence in the main key, and the second as a transition ending with a half cadence in the main key. Apart from the fact that the transition is tonally rather unusual, involving some curious and unpredictable turns, it represents its function quite unequivocally. Before elucidating these large-scale formal functions, it is necessary to trace the course of events in the exposition's first part in more detail.

Primary-Theme Zone

The primary theme is a closed thematic statement, ending with a perfect authentic cadence that does not overlap with the beginning of the transition.[4] It is thus a rare example among the primary themes in the outer movements of Bruckner's symphonies. The sentential structure of the theme, although flexible in the treatment of its individual units, may be said to further the impression of the theme's role as an independent, closed whole. The theme begins with a two-measure basic idea (starting in m. 3) played on the cellos in mm. 3–4, and repeated in mm. 5–6. Measure 7 begins a phase that might be labeled a continuation, with sequential progressions, acceleration of surface harmonic rhythm, and so on. The continuation is greatly expanded as, after a three-measure sequential progression, the music begins to push toward a subdominant chord, which is reached in m. 16 along with the theme's melodic climax. At this point, the harmonic activity is temporarily soothed simply by having this chord stretched out to m. 21. These measures make a kind of a resting place until, beginning in m. 21, the momentum gathers anew in expectation of a closing cadence in m. 26.

The grouping of the theme follows the outlines described above by gradually expanding each unit, i.e., 2+2+2+3+4+5+6 measures, producing a theme, as Robert Simpson puts it, "of notable plasticity; its irregularity and unpredictability are of a kind hard to find outside the works of Berlioz."[5] Also the voice-leading events, as shown in Example 5.2, strongly contribute to the closed nature of the theme. The structural upper voice makes an unmistakable descending fifth supported by an I–IV–V–I progression.[6] The beginning note of this progression, the *Kopfton* G, is introduced in mm. 3–4 through a neighbor-note figure (A♭–G–F♯–G) circling around G. Characteristic of Bruckner, the figure itself, as we will see, becomes significant at different levels of the structure. It appears in various guises as a foreground and a middleground motive, creating continuity between the different, strongly delineated parts of the form. Especially noteworthy is the chromatic inflection of the lower neighbor, F♯, in m. 4, which, together with its

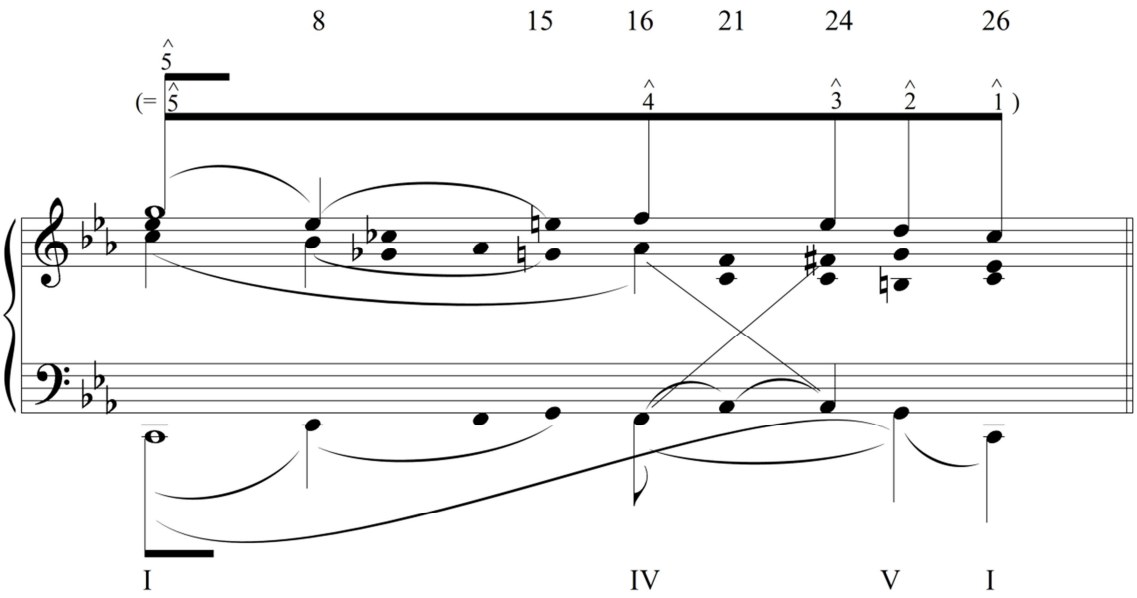
[4] Robert Simpson (1992, 47) states that "at the end of the theme…there is an overlap of periods." In his Ex. 2, he marks both m. 26 and m. 27 with the number 1, indicating that there are two strong measures in succession.

[5] Simpson 1992, 46.

[6] In two places in the theme, i.e., mm. 20–21 and, rather strikingly, in the closing cadence in mm. 25–26, the first violin takes the role of a structural bass. In the cadence, the second violin clearly carries the structural upper voice.

enharmonic equivalent G♭, affects the tonal course of the movement in various ways. This can already be seen in the rather peculiar tonal events in the transition section.

Example 5.2. Symphony No. 2, I, exposition, mm. 1–26, voice-leading sketch.



Transition

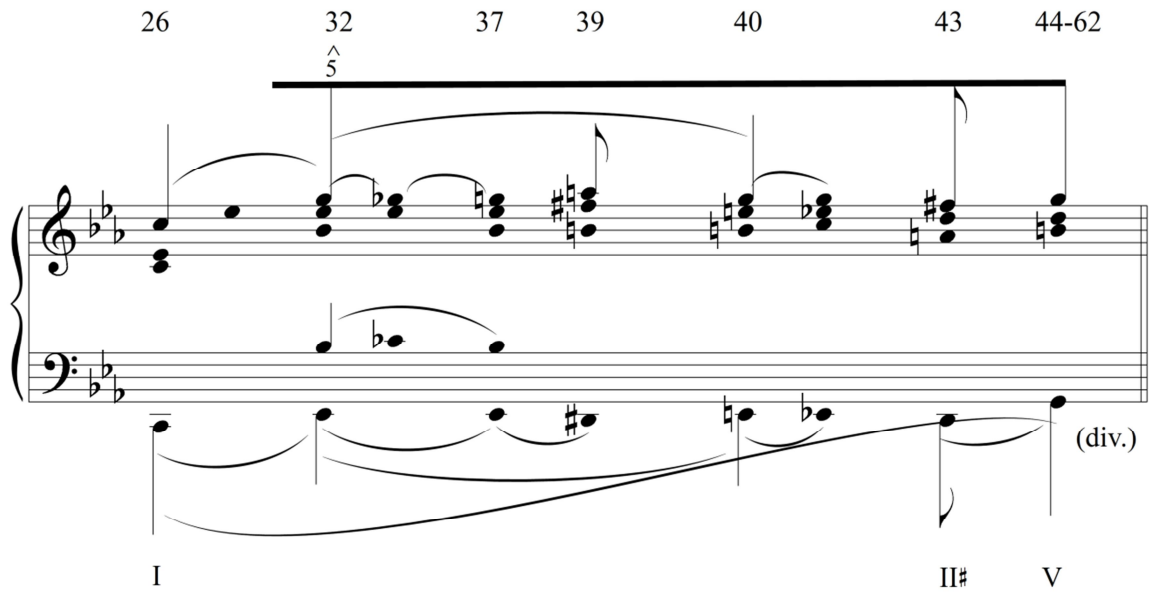
The transition opens with the primary theme, which soon begins to grow in intensity through heightened tonal and melodic motion. Thus, the transition represents what might be called a "dissolving restatement" type, as described by Hepokoski and Darcy. In this type, after the primary theme has concluded with a PAC, the transition begins as a restatement of the theme only to turn into transitional activity along the way.[7] Although the formal function of this section as a whole appears to be more or less unproblematic, several tonal features together with the overall dynamic curve make it unique. As a result, the section is in curious dialogue with several transitional procedures found in various minor-mode works.

To begin with the end, it appears that the transition features a non-modulatory ending on the dominant of the main key. This kind of procedure is found as early as the

[7] Hepokoski and Darcy 2006, 101.

classical repertoire.[8] However, the path toward the concluding home-key dominant is extraordinary. The statement of the primary theme, which starts the transition, begins in the same manner as it did at the beginning of the movement, i.e., with an idea that moves from the C-minor chord to the E♭-major chord in m. 32. As can be seen in Example 5.3, this time the chord is transformed into a C♭-major chord, itself prolonged for four measures in mm. 33–36, before the E♭ major returns forcefully to the foreground in m. 37. The prolongation of E♭ thus clearly reflects the neighboring motive presented in the primary theme's basic idea, as the prolongation produces a 5–♭6–5 motion over the E♭, which supports G–G♭–G♮ in the upper voice (Ex. 5.3).

Example 5.3. Symphony No. 2, I, exposition, mm. 26–62, voice-leading sketch.



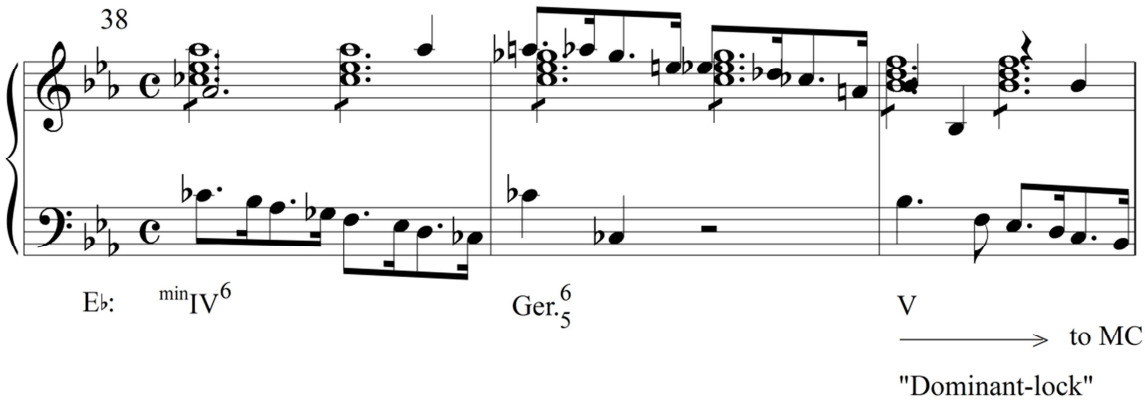
The E♭-major chord, which is prolonged in mm. 32–37, is especially noteworthy here, because this chord later turns out to be the ultimate goal of the exposition's large-scale tonal progression. Such an early introduction of the tonic of the secondary key is not,

[8] It is rather common in the mid-eighteenth century repertoire, but becomes a more rare option towards the end of the century. As a late eighteenth-century example, see, e.g., Beethoven's Piano Sonata, Op. 10, no. 1, third movement, m. 16. It should be noted, however, that in the classical era, the non-modulating transition appears far more frequently in major-mode works.

however, uncommon, especially in transitions in minor-mode movements.[9] This premature appearance, so to speak, seems to be showing us in advance the destination we are approaching. But before the destination is reached, Bruckner presents us with a series of wonderfully expressive events with different tonal implications. Three such events are especially of interest here.

The first event occurs in mm. 39–40. The chord succession in mm. 38–39 can easily be heard as a $^{min}IV^{6}$–Ger.$^{6}_{5}$ in E♭ major, headed toward the dominant we expect to hear in m. 40. This dominant could then constitute a typical III:HC MC or, in Hepokoski and Darcy's terms, "a first-level default" harmonic option.[10] The hypothetical version of Example 5.4 clarifies this idea. But these expectations are thwarted when the "German sixth" turns out to be a secondary dominant, resolved exactly as it is written (as a B dominant seventh chord) to an E-minor chord. In typical Brucknerian fashion, the music is wrenched into a remote tonal area via harmonies with ambiguous, indeterminate identity.

Example 5.4. Symphony No. 2, I, mm. 38–40, hypothetical version.



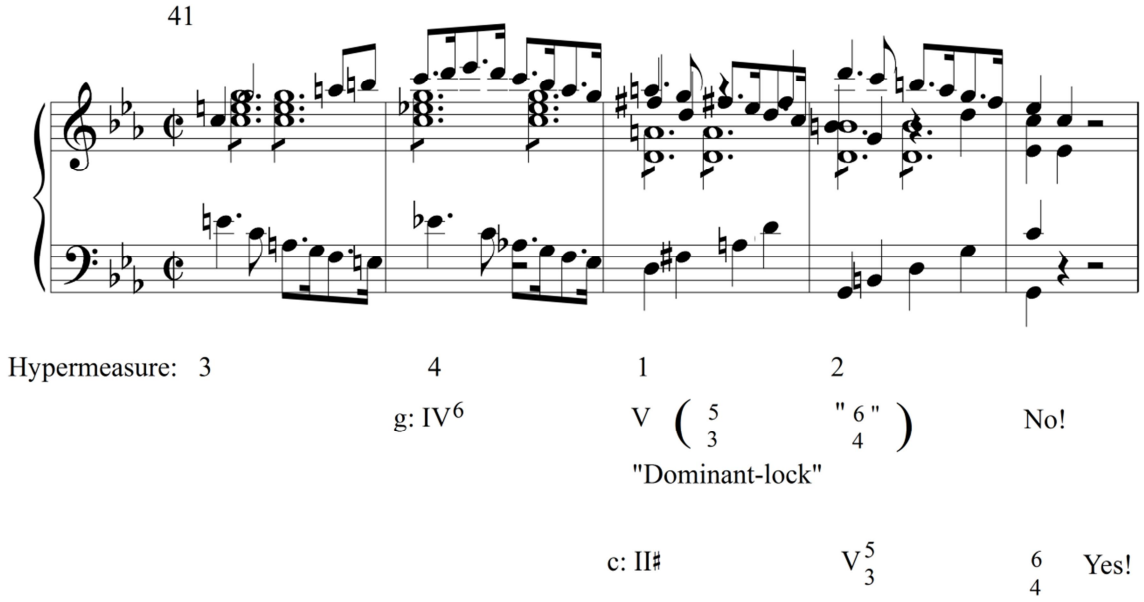
The second event appears in mm. 43–44. After the E-minor chord has been transformed by a 5–6 motion into a C-major $^{6}_{3}$ chord in m. 41, the bass is lowered to E♭ (transforming the chord to a minor sonority), then resolves down to the root of the D-major chord in m. 43. Owing to this process, the D-major chord might well serve as a

[9] In the classical and nineteenth-century repertoire, in which the tonic of the mediant key appears early in the transition, the transition usually also ends in that key, often on its dominant chord. However, Bruckner's transition appears to be non-modulatory, ending on the dominant chord of the home key.

[10] Hepokoski and Darcy 2006, 316.

destination of a harmonic progression. As a dominant of G minor, it could easily enter into the medial caesura of "second-level default," i.e., v:HC.[11] The hypermeter also supports this interpretation, since m. 43 is hypermetrically a strong measure, emphasizing the arrival of the dominant. These ideas are shown in Example 5.5.

Example 5.5. Symphony No. 2, I, exposition, mm. 41–45, harmonic implications.



But this option too is discarded when the D-major chord eventually begins to act as a V/V in C minor. The dominant of C minor arrives in the next measure (m. 45), but its arrival introduces yet another engaging musical pun, the third in this transition: the G-major chord in m. 44 falls on a hypermetrically weak bar, which makes it sound like an embellishment at first, a neighboring harmony of the previous D-major chord, thereby giving the impression that the D-major chord is being prolonged here (Ex. 5.5). However, the D-major chord does not return in the following measure (m. 45). Instead, we hear a C-minor $\frac{6}{4}$ chord, itself a neighboring $\frac{6}{4}$ of the previous G major. In my view, the dominant of C minor does arrive in m. 44, although it is perceived as such only in retrospect.

Thus, after two unsuccessful attempts, both of which aim at confirming the typical secondary tonalities (the first being more typical than the second), the transition does not

[11] Ibid.

in the end modulate at all, but instead becomes stuck on the home-key dominant, which is finally stretched over 19 measures (with mm. 44–62 representing a dominant-lock).[12]

As Example 5.3 shows, the deep-level harmonic structure of the transition follows the path I–II♯–V. The E-minor chord in m. 40, whose harmonic function is difficult to determine, has special motivic importance: the bass in these same measures, E♭–E♮–E♭–D, can also be heard as growing out of the opening turn figure of P (A♭–G–F♯–G). When a larger context is taken into consideration, the locally manifold harmonic implications are placed within a continuous voice-leading logic.

All in all, the transition again offers a good example of Bruckner's characteristic hesitations and last-minute changes of mind that thwart the listener's expectations. As we have already seen many times in chapter 4 with the first movement of the First Symphony, the context is of utmost importance in understanding such a passage. The local context reveals the wonderful interplay between different modulatory options, whereas the larger context determines the final status of events in the voice-leading structure.

The closing of the transition still deserves a few remarks. It ends with attenuating dynamics after the dominant has been reached in m. 44, eventually fading into silence before the onset of the secondary theme. With regard to the more normative growing intensity of the transition's beginning, the ending means a negative outcome in the overall dynamic curve. I believe Hepokoski and Darcy's insightful remarks on this matter hit the nail on the head: "Any attenuating of dynamics here [between the dominant lock and MC] as countergeneric … a dynamic collapse in this space might represent the staging of a momentary crisis of confidence in one's decision to enter S-space."[13] It is noteworthy that the dynamic collapse from ***ff*** to ***pp*** occurs in m. 45, at which point the supposed prolongation of the D-major chord as the dominant of G minor is also discarded. The collapse thus emphasizes the withdrawal from the tonal trajectory aiming at G minor as the secondary key of the movement. As Hepokoski and Darcy point out, to end an exposition in the minor-mode dominant key (here G minor) is not "just another option," but "a doggedly negative tonal choice," one that "produces a chillingly dark, fatalistic,

[12] To be sure, the first harmonic option, the dominant of the E♭, would have fallen on a weak measure in a hypermeasure (m. 40). In my opinion, this does not, however, invalidate the presence of such an MC option here. Had the dominant arrived in m. 40 and started a "dominant-lock," this measure would perhaps have been reinterpreted as a strong measure.

[13] Hepokoski and Darcy 2006, 31.

punishing, or pessimistic referential layout."[14] Perhaps startled by the possibility of such an outcome, the transition seems to lose its confidence altogether in preparing a secondary tonality.

Indeed, Bruckner's transition, with its dynamic collapse and the "modulatory crisis" described above, may well represent a hesitation to enter the secondary theme in either its proper, normative key (i.e., E♭ major) or in the darker dominant minor. Perhaps for this same reason, and certainly adding to the same effect, the actual medial caesura is finally realized, exceptionally, as a single drum stroke in m. 61 marked ***ppp***. The caesura is almost bypassed altogether when the sound gradually fades out; as if totally unnerved, the music is unable to decide which way to go. As we will see, such a procedure in the transition has far-reaching consequences for the rest of the exposition.

5.2.2 Second Part

The second part of the exposition opens with a secondary-theme zone (mm. 63–97), which right at the outset introduces the deep-level III. The theme closes with a PAC, which elides, as is usual with Bruckner, with the beginning of the closing zone (mm. 97–177). Thus, the tonic of a secondary key is confirmed, unusually for Bruckner, at a rather early stage of the exposition. However, the closing zone reacts to this rather obvious setting up of a secondary tonic by confronting, with growing intensity, several difficulties toward its end while searching for a satisfactory tonal close for itself and the exposition as a whole.

Secondary-Theme Zone

After the uncertainties toward the end of the transition, the secondary-theme zone opens with a rocking accompaniment figure featuring the tonic and dominant chords of E♭ major. As a result, these first few measures settle the tonic of the new key without any uncertainty. The E♭-major chord is thus simply accepted here as a deep level III. This procedure can be seen as a counterbalance to the previous uncertainties in the transition section, i.e., it alleviates, in a sense, the bad effects of that section.

As a whole, the secondary theme features the usual Brucknerian characteristics, as they are described by Warren Darcy: it is repetitive, circular, and rotational.[15] In mm. 63–

[14] Ibid., 315.

88, the music proceeds in three stages, each time a step higher: in E♭ major (mm. 63ff.), F minor (mm. 72ff.), and G♭ major (mm. 81ff.). The first two of these are marked by a charming, *cantabile* air in the cello surrounded by a gentle, repetitive accompaniment figure that sets the secondary-theme zone in motion. In the third stage, the melody in the first violins takes over, appearing to grow directly out of the cello strain and its accompaniment figure. Thus, the cello tune is momentarily placed in a subsidiary role, until a few measures later, in m. 83, it is stretched out and allowed to flower once again. This rebirth of the tune leads through an A♭-minor chord in m. 89 (transformed through a chromaticized voice-exchange into an augmented sixth in m. 91) to the $^{6}_{4}$ chord with B♭ in bass in m. 93, which marks the culmination point of the whole theme-zone and eventually leads to the concluding cadence.

Example 5.6 gives an overview of the voice-leading events in the secondary-theme zone. The G♭-major chord that supports the melodic awakening in the first violins divides the path in the bass from E♭ (m. 62) to B♭ (m. 93) into two thirds; as a result, there is an arpeggiation, E♭–G♭–B♭ , in mm. 63–93. Despite the emphasis on the $^{6}_{4}$ chord in m. 93 – it is approached through an augmented sixth and it appears in the first, metrically strong measure of a four-measure hypermeasure – its role in the overall voice-leading is anything but straightforward. As Example 5.6 shows, the $^{6}_{4}$ chord acts as the goal of one progression, namely, the arpeggiation in the bass. However, the flow of the music seems to sweep over it as it passes on to VI in the next measure, which in turn leads to a genuine II–V–I cadence. As a result, the $^{6}_{4}$ chord in m. 93 does not, as the first impression might suggest, represent a dominant function, but rather a consonant $^{6}_{4}$ built on the fifth of the E♭ major chord (Ex. 5.6).

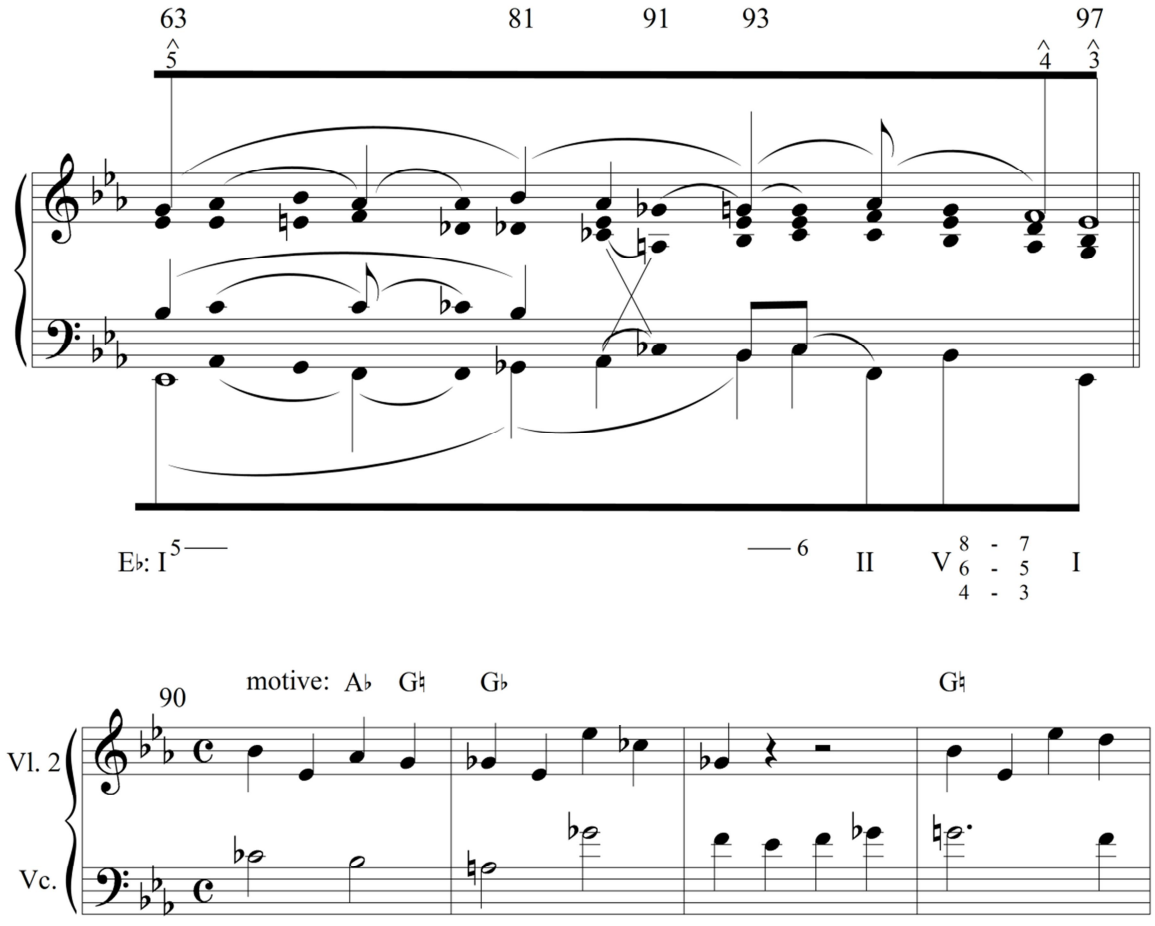
The arrival at this chord is further highlighted by a marvelous motivic detail (shown beneath Ex. 5.6). In m. 93, I interpret G as a structural upper voice. This reading is justified by the leading role of the cello, which again has come to the fore after the first-violin dominated passage in G♭ major. The G in the cellos in m. 93 is approached from below by G♭, which in turn is introduced in the second violins in m. 91 with a gesture starting from A♭ in m. 90 moving to G♭ via passing G♮. In other words, mm. 90–93 contain a literal reference (A♭–G♮–G♭–G♮) to the opening gesture of the primary theme. The

[15] For Darcy's description of a Brucknerian secondary theme, see Darcy 1997, 271–274.

reference, beautiful as it is in itself, is also significant in terms of the form because it announces the turning point of the secondary-theme zone to its concluding cadence.[16]

As we have seen, the secondary-theme zone stays firmly in E♭ major. Accordingly, it does not stand tonally "alienated," and nor does any typically Brucknerian "suspension field" appear in the tonal course of the movement, to use Warren Darcy's descriptions.[17] However, such a suspension is created in this exposition, although it appears only later, in the closing zone.

Example 5.6. Symphony No. 2, I, exposition, mm. 63–97, voice-leading sketch.



[16] The motivic reference is also expanded (with the chromatic G♭ replaced by a diatonic F♮) as the G in the cellos goes up to A♭ in m. 95 (in the lower octave, supported by the structural II), and proceeds through a passing G (which appears to be implied in the foreground as the top note of the cadential $\frac{6}{4}$ in m. 96), then to F♮ above the dominant chord. The resulting A♭–G–F♮ appears here, of course, in the middle of broader $\hat{3}$–$\hat{2}$–$\hat{1}$ descent in E♭. Although this is a rather usual closing gesture in major mode, its connection here to the primary theme seems obvious. For a Schenkerian view of motivic references, see, e.g., Suurpää 2001.

[17] For a description of a suspension field, see Darcy 1997, 271.

Closing Zone

In contrast to the sudden *fortissimo* outburst that opens the closing zone in the first movement of the First Symphony, here the closing zone starts with a quiet, repetitive figuration in the strings, which accompanies a new thematic idea in the woodwinds (mm. 99ff.). The string figuration itself repeats and continues the cadential gesture in the first violins in the next-to-the-last measure (m. 96) of the secondary-theme zone. Any resemblance of this opening string gesture to previously heard material is to the beginning of the secondary theme rather than to anything that has occurred before the second part of the exposition.[18]

Is it too much to say that the closing zone begins with a rhythmically slightly more active, varied repetition of the secondary theme's opening material? I believe it is possible to hear something of that sort here. The opening figures of the secondary theme and the closing zone (in the first violins) are aligned in Example 5.7. Especially the repetition of the low B♭ and the intervals of a third (such as the ascending G–B♭ at the beginning of the secondary theme and the stepwise progression E♭–F–G–F–E♭, which opens the closing zone) make such a connection plausible.[19] Moreover, both beginnings resemble one another in either character or topical content: a gentle lulling beginning of the secondary theme and a quiet, somewhat musing one in the closing zone. These features yield a rather unusual opening for a closing zone in Bruckner's expositions. Basing the closing zone's opening material on the secondary theme also has important consequences for the formal boundary in m. 97: despite the clear cadence in m. 97, a "jump into a new section" is not obvious at the outset.

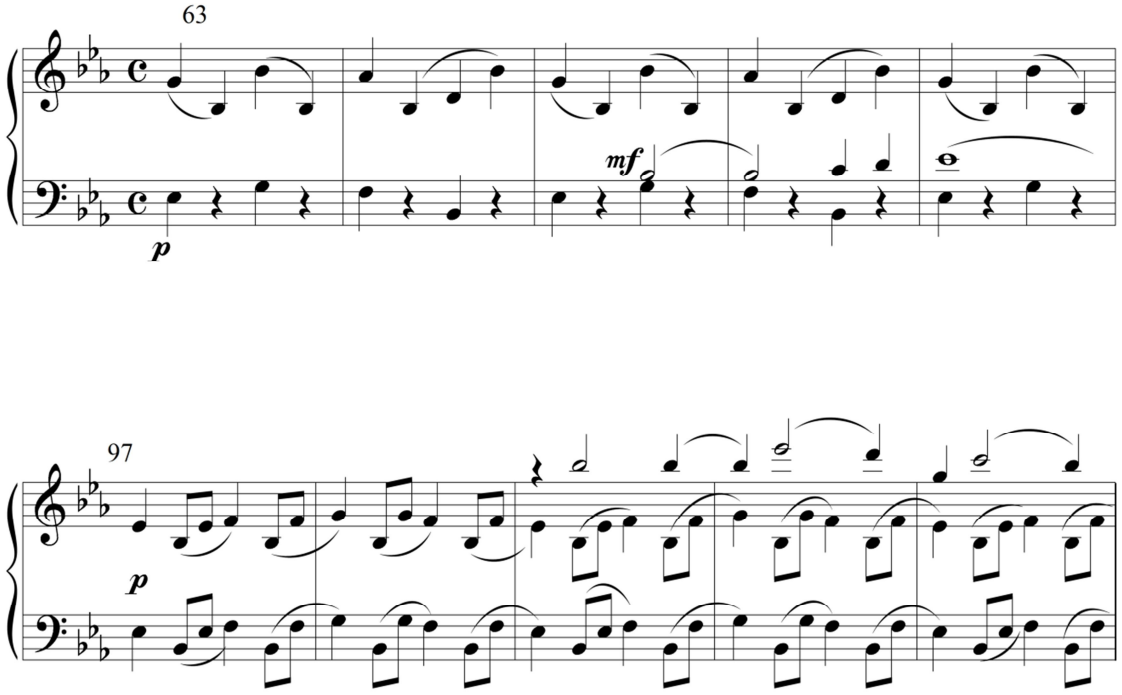
Despite the thematic-motivic features discussed above, in my opinion the secondary-theme zone does come to a satisfactory close in. m. 97, and its cadence can serve as an EEC. There are two main reasons supporting this view. First, the secondary-theme zone with its characteristic Brucknerian rotational and repetitive characteristics stands as a

[18] To be sure, it is certainly possible to hear a reference (mainly rhythmic) in the woodwinds (mm. 99–109) to the continuation part of the primary theme (esp. mm. 9–11), and even more so in mm. 117–118. However, to speak about a P-based closing zone, as Hepokoski and Darcy describe one typical option, would be an overstatement here. For a description of a P-based closing zone, see Hepokoski and Darcy 2006, 184–185.

[19] Ernst Kurth (1925, 783) also mentions this relationship, although he seems to be referring to the cello air that begins in m. 65: "the steady repetition of the little melody line E♭–F–G–F– E♭ slightly resembles the peaceful lines of the second theme's main melody."

unified, self-contained whole in the overall form. Second, after the closing cadence, the next section gradually turns out to be "something new" with a distinct and eventually rather dramatic rhetoric.

Example 5.7. Symphony No. 2, I, exposition, opening melodic ideas of the secondary-theme zone and the closing zone.



And yet I would argue that the beginning of the closing zone presents us with a clever interplay of different organizing factors – an aspect that has not been fully recognized in the Bruckner literature. The role of the closing cadence is complicated, most of all, by the above-mentioned continuity in the formal organization. It is necessary to point out, however, that this procedure does not compromise the structural significance of that cadence: it unequivocally supports the upper-voice descent to the deep-level $\hat{3}$. Because the background structure and the EEC do not necessarily operate on the same level of organization, it is the latter that is at stake here.[20]

As mentioned above, the beginning of the closing zone accepts, so to speak, the tonal assurance of the secondary theme along with the successful EEC. But again complications arise: once attained, the confidence in one's tonal orientation is once more

[20] As we will see, the boundary between the secondary theme and the closing zone is much more complicated in the first movement of the Third Symphony. I will discuss this situation in detail in chapter 6.

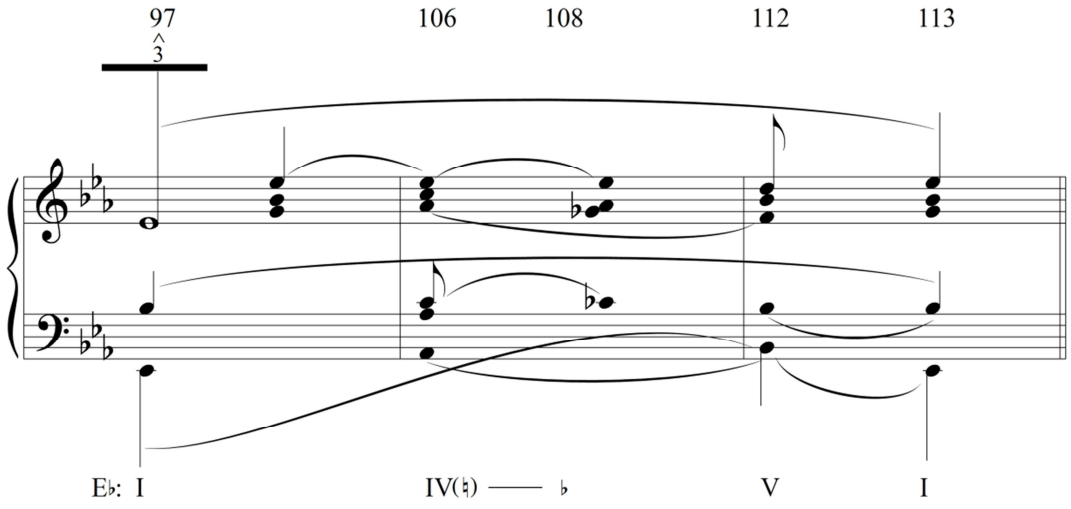
placed in doubt, this time even more seriously than before, as the closing zone pushes toward its ending. The following discussion clarifies these issues.

The closing zone proceeds in three sections, each of which plays its own important and distinct role in the drama of this part of the overall form: mm. 97–113, mm. 113–151, and mm. 151–177. Here I will discuss each section in turn. Example 5.8 is a voice-leading sketch of the first section, which is controlled by an I–IV♭–V–I progression. The IV enters in m. 106 as a major chord, but in m. 108 is transformed into a minor one, which then prevails up to the entrance of the dominant chord in m. 112 (Ex. 5.8). However, the dominant chord in this progression is almost bypassed in m. 112, where it is given only a quarter note value. Despite its brief duration, the oboes and clarinets "secure" this chord, so to speak, with their gesture E♭–D, in which E♭ acts very much like a suspension. The result is a genuine progression, although a rather attenuated one, to be sure, but certainly capable of signaling the secured status of the E♭-major chord.[21]

Meanwhile, the pre-dominant IV, altered with mixture, introduces an important detail into the foreground. Apart from the mixture, this chord is further colored in the foreground with a minor seventh, G♭. As Example 5.8b shows, this note acts as a chromatic passing tone in the progression A♭– G–G♭– F♮ (F appears only in the inner voice in m. 112). This progression naturally reflects the opening idea of the primary theme. Later, this little motivic detail persists in giving shape to various phases of the music.

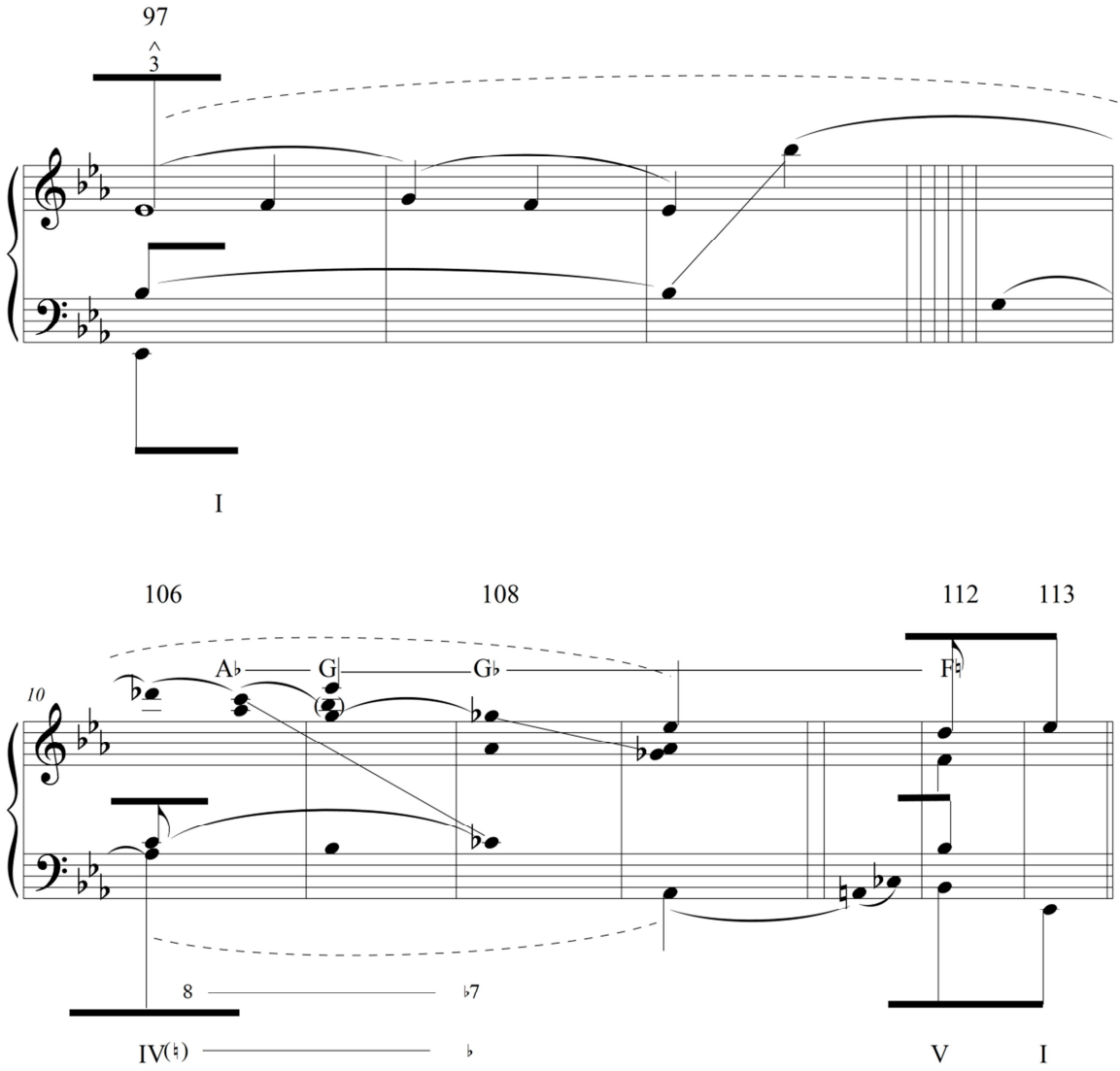
Example 5.8. Symphony No. 2, I, exposition, mm. 97–113, voice-leading sketch.

a)



[21] Perhaps it still expresses hesitation, as if the music does not yet fully rely on the security of E♭ major.

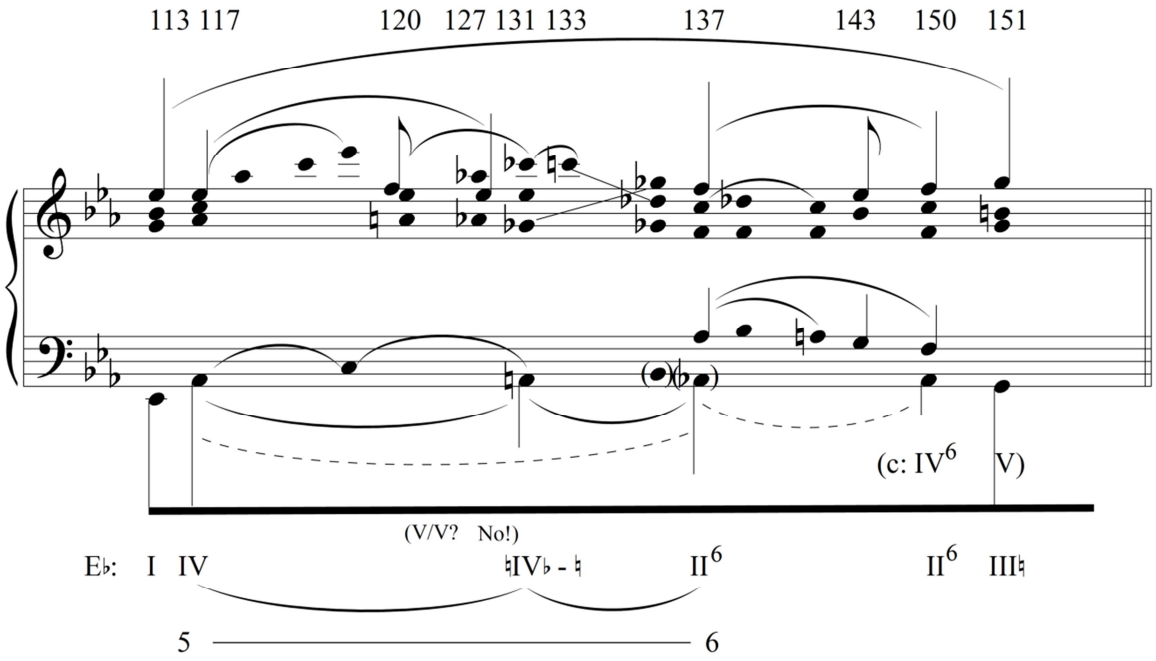
5.8 b)



The second section of the closing zone begins by repeating the material from the first section, but with heightened activity. Example 5.9 shows the voice-leading events in this section. After moving to IV in m. 117, this chord is soon activated by replacing the A♭ with A♮, adding an F♮ as well as a minor seventh E♭. These changes are underlined with the addition of trumpets in m. 122. At the same time, the first violins stagnate into an incessant repetition of an eighth-note–quarter-note figuration. The chord with A♮ and F♮ could easily be interpreted as an applied dominant to V of E♭ major. However, as the music continues on, it meets several Brucknerian complications that seem to twist the motion back and forth.

The F♮ turns out to be a neighbor note, as it returns to E♭ in m. 127 (Ex. 5.9). At the same time, A♮ again becomes A♭, and the chord resumes its earlier status as IV in E♭ major. The heightened tension that the A♮ brought about is temporarily diminished. It is as if the music decided to take a few steps back and make a new attempt to reach the goal, namely, the dominant of E♭ major.

Example 5.9. Symphony No. 2, I, exposition, mm. 113–151, voice-leading sketch.



But all this can only arouse even stronger expectations of a forthcoming dominant, and along with a new attempt, the woodwinds add to this effect, introducing another active layer to the orchestral texture by joining the rhythm of the trumpets in m. 127. A little later, in m. 131, the dramaturgical peak of the closing zone is reached, as, with a mighty gesture, the trombones announce the arrival of the A♮ in the bass. The sonority is first a "diminished-third chord," which is transformed into a diminished seventh chord with the chromatic change of C♭ to C♮ in m. 133. Both of these sonorities could easily segue into the dominant of E♭. Thus, the dominant seems to be waiting just around the corner.

The 7th of the diminished seventh chord on A♮, G♭, acts in a larger context as a passing tone between A♭ and F, the latter reached in m. 137 (Ex. 5.9).[22] However, two

[22] In the foreground, the G♭ is approached in the cellos and double basses by motion from below in mm. 121–131: E♭–E♮–G♭ , which eventually resolves to F in m. 137. Thus, the events surrounding the activation

measures before G♭ descends to F, the music experiences a dramatic loss of dynamics: in m. 135 all the woodwinds suddenly drop out. Along with the wind instruments, the bass also disappears, and for a moment it is not absolutely certain whether the A♮ still persists at the bottom. The incessant string figuration is left alone to mull over the new situation.

From m. 139 on, the sequential descent of the string figuration (slightly altered from its initial state at the beginning of the closing zone), together with a new woodwind layer, shows that the A♮ has again been replaced by A♭ (Ex. 5.9). The colossal attempt to reach the dominant of E♭ major has fallen through. This goal has disappeared below the horizon and continues to do so during the events that follow. It is difficult to predict which way the music is eventually going to turn.

Example 5.9 shows that I interpret mm. 137–150 as a prolongation of an F-minor chord. In the foreground, however, this prolongation is complicated in various ways that result in the meandering nature of the music, as mentioned above. In m. 143, the F-minor sonority is altered to a major chord, which changes the direction of the sequence upwards. However, the A♮ of this chord means only a local alteration of a third of a deeper-level F-minor chord, not a return to the previous A♮ (Ex. 5.9). This becomes evident in mm. 149–150, where the sixteenth-note figuration in the violins clearly suggests the prevalence of A♭. The second section has been thwarted for good in its attempt to reach the V of E♭.

The goal of the progression, the G-major chord in m. 151, opens the third section of the closing zone, and eventually clarifies the previous uncertainties, at least for a moment, although in a surprising way. Example 5.10 presents a voice-leading sketch of this section. When the G-major chord is reached, it sounds like a dominant of C minor, and the immediately preceding F-minor $^{6}_{3}$ chord has locally assumed the role of IV^{6} in that key (as shown in Ex. 5.9). Quite unexpectedly, we have arrived back in C minor – a startling change of mind after such huge efforts to approach the dominant of E♭ major and stay in that key. Does this mean that everything that has happened since the beginning of a secondary-theme zone has been a mistake, and we must go back to the starting point? Something like this is strongly suggested here, to say the least.

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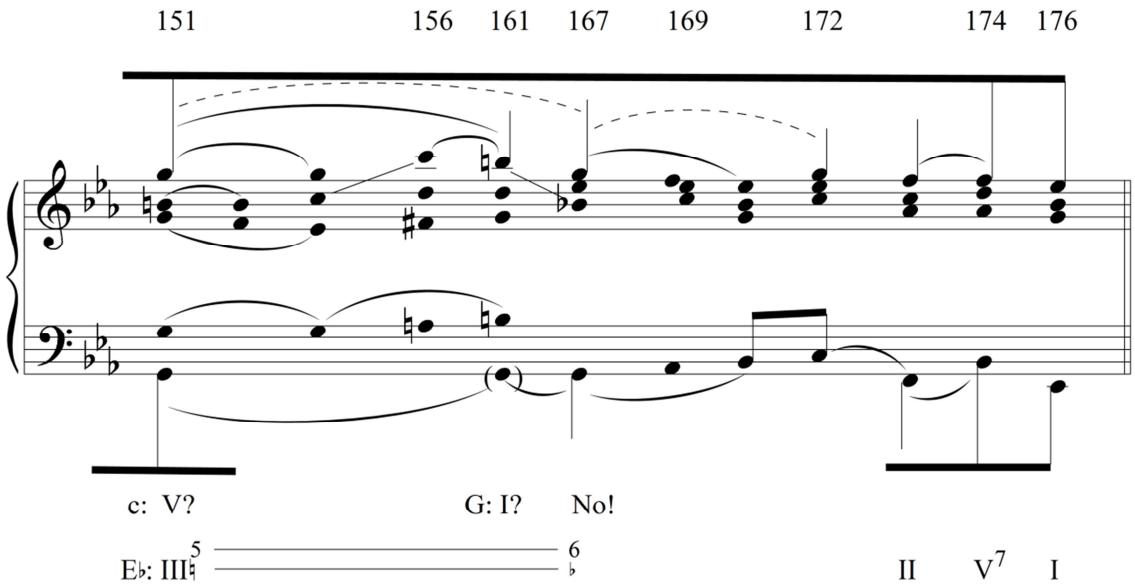
of IV in E♭ major are accompanied here by a transposed, slightly altered inversion of the primary theme's opening motive – another superb example of motivic continuity. This also speaks in favor of the central role of that motive in dramaturgically important situations.

Example 5.10. Symphony No. 2, I, exposition, mm. 151–176, voice-leding sketch.



A busy, imitative texture keeps up this impression for ten measures until, along with a more relaxed atmosphere at m. 161, the G major begins to sound more like a tonic (Ex. 5.10). Assuming this to be the ultimate goal of the exposition would result in a rare tonal option for a work in a minor key.[23] In addition, especially the way the tonic of this supposed major dominant (G major) is approached would make this exposition a very rare instance indeed of such a tonal option: the G-major chord emerges first as a home dominant and then becomes a tonic with no proper tonal preparation at all! A more usual, option would be the *minor* dominant (i.e., G minor). We have already seen that the end of the transition, in fact, pointed in this direction (mm. 42–43), only to discard it immediately.

As Hepokoski and Darcy point out, a move to a minor dominant means a negative tonal outcome: "Once we recall the extra burden of minor-key sonatas—their generic will to explore the possibilities of transformation into the major mode, even though that endeavor might fail—we recognize that the i – v expositional option produces a chillingly dark, fatalistic, punishing or pessimistic referential layout."[24] Consequently, the

[23] For a useful discussion of a number of such minor-mode works in the nineteenth-century sonata literature, see Pomeroy 2011, 59–103.

[24] Hepokoski and Darcy 2006, 315. It should be noted that this statement is perhaps not fully applicable to the broader corpus of late nineteenth-century symphonies. However, I believe that Bruckner's fondness for major-mode S themes makes this statement applicable to his music.

transformation of a minor dominant into a major one, something that is suggested here, could be seen as a means of securing a positive outcome after the failure to reach the III in the second phase of the closing zone as described above.[25] But the music takes still another turn, which finally clarifies the deeper-level role of the G-major chord as III♮ in E♭ major. In this regard, m. 167 turns out to be important: Example 5.10 shows that at this point a 5–6 motion transforms the G-major chord into an E♭ major $^{6}_{3}$ chord – a clear signal that G major is not going to hold on to its tonic status after all.

From m. 161 to the end of the exposition, the music essentially follows the same tonal course in E♭ major as it did in the final ten measures of the secondary-theme zone (i.e., mm. 88–97) with a few alterations: the G♭ (m. 81) is now replaced by a diatonic G♮ in the bass, and the minor IV (m. 89) is replaced by a diatonic II^{6}_{5} (m. 169, cf. Exs. 5.6 and 5.10). Unlike in the secondary theme, however, the II of the final cadential gesture II–V–I in mm. 173–176 connects, mainly through its bass register, with the preceding G-major chord, which clearly takes structural primacy over II. As a result, the G-major chord connects on a deeper level directly with the V of E♭ major, thus yielding a III♮–V–I progression in that key (see the bass beams in Ex. 5.10).

This procedure places the different formal zones and sections in a remarkable dialogue with each another: the harmonic progression from the end of a tonally solid secondary-theme zone is called for to rescue the proper secondary key after the closing zone has proven incapable, up to the beginning of its third section, of accomplishing the task. The connection between these formal areas is also strengthened by melodic means, as the oboes bring in a short melodic idea in m. 161 that resumes the peaceful character of the secondary theme's opening string figuration (these melodic ideas are shown in Example 5.11). In a sense, this melodic idea brings about a reconciliation with the closing zone's second section and calmly conducts the exposition to its end.[26]

Now it is time for a brief overview of the tonal events in the exposition. While the large-scale tonal progression follows a traditional layout, the more local levels present a few features rather exceptional for Bruckner. First of all, the secondary-theme zone resides firmly in E♭. Thus, it is not tonally "alienated" nor does it create a typically Brucknerian "suspension field." In response to this, the closing zone billows out and assumes almost

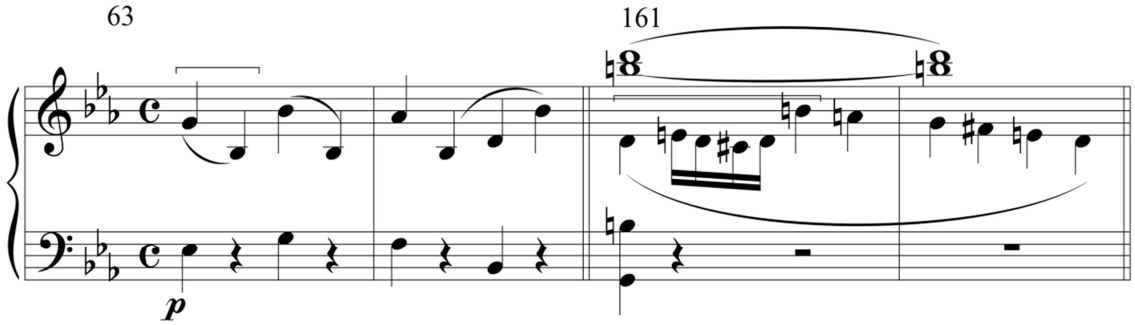
[25] In this case, it would certainly be a somewhat desperate rescue operation, given the enormous tonal disaster toward the end of the closing zone's second phase.

[26] In my view, this melodic idea represents yet another version of the closing zone's opening violin figuration, which now has come closest to its origin.

development-like characteristics with tonally wandering, ambiguous passages. Consequently, rather than the secondary-theme zone, it is the beginning of the closing zone's last section that seems to stand outside the main tonal course of the exposition.

The G-major chord at the outset of this section exemplifies a fascinating interplay between a chord's local tonal impressions and its status at more remote structural levels. As in the transition, here too Bruckner adroitly places the different tonal options of a sonata structure in dialogue with one another, producing a thrillingly manifold layout.

Example 5.11. Symphony No. 2, I, exposition, mm. 63–64 and mm. 161–162, melodic ideas.



5.3 Development

The development section begins in m. 178. As Table 5.2 shows, I divide it into three large parts as follows: mm. 178–231, mm. 231–285, and mm. 285–329. The first part can be further subdivided into three subsections: mm. 178–202 (beginning with a dormant zone, mm. 178–185), mm. 203–221, and mm. 221–231; the second part into two subsections: mm. 231–258 and mm. 258–285; and the third part into two subsections: mm. 285–300 and mm. 300–329. Table 5.2 also shows the musical material that is used most prominently in each part and subsection.

The development operates with the material from the exposition's three main formal zones, i.e., P, S, and C, but not in the original order: after the dormant zone (mm. 178–185), the development continues in a typical manner by referring back to the primary-theme zone. The middle part takes the closing zone as its starting point, but presents its motivic material in an augmented form, later combining this material with that of the

primary theme (mm. 261ff.). Furthermore, the connection to the closing zone in the middle part is also brought about by the overall dynamics as well as the tonal curve, because after reaching a dynamic peak in m. 258, it experiences a collapse into rather obscure tonal regions through which the music is carried to the concluding part. This part, in turn, clearly assumes the role of a retransition, featuring the central melodic ideas from the secondary-theme zone.

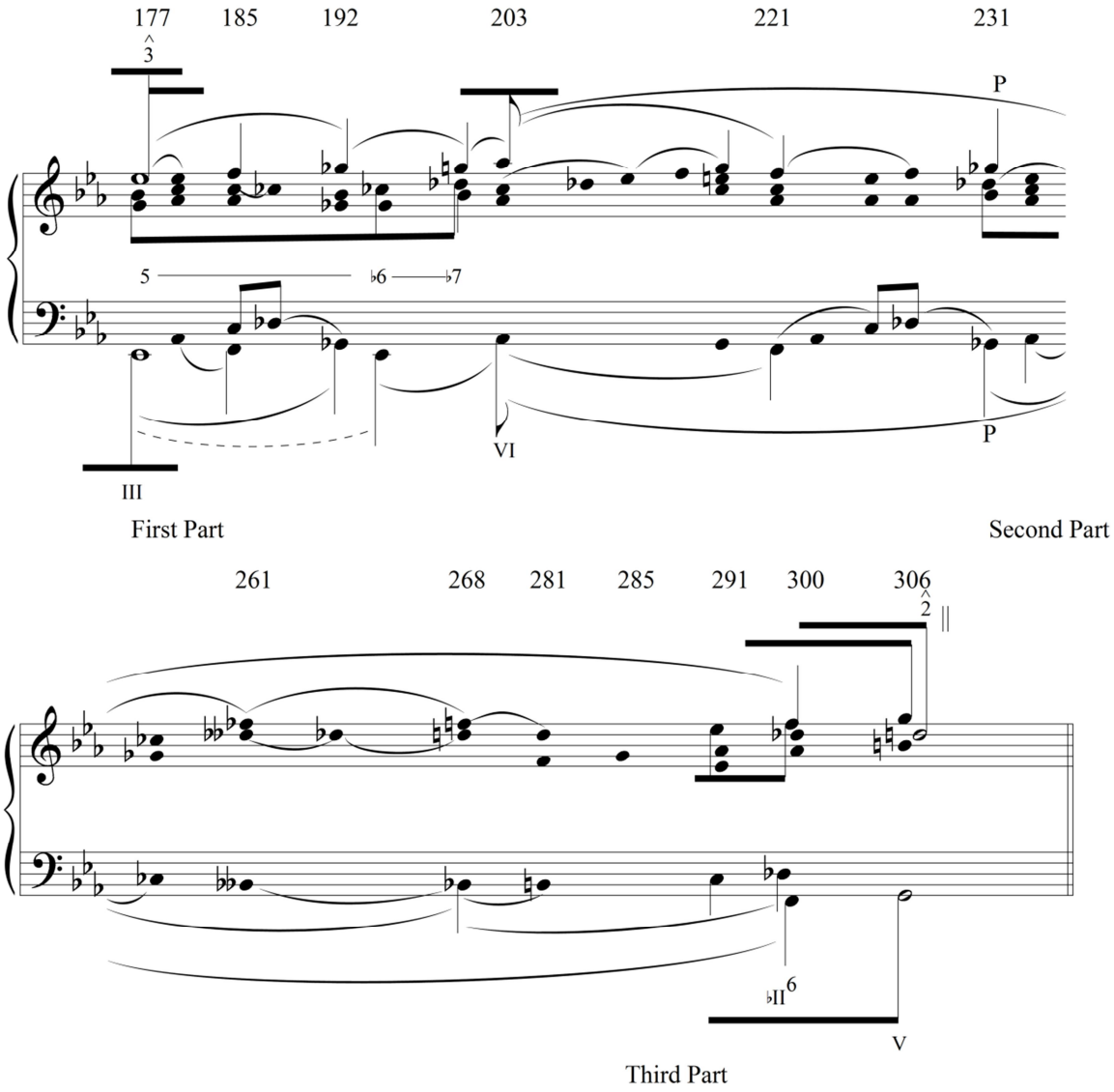
Table 5.2. Symphony No. 2, I, development, formal outlines.

Sonata form	Development (mm. 178–329)						
	1st Part (178–231)			2nd Part (231–285)		3rd Part (285–329), retransition	
	(178–202)	(203–221)	(221–231)	(231–258)	(258–285)	(285–300)	(300–329)
Material used	end of C, P	P	P	C	C	S	S
Keys	E♭:	→					c: V
Important cadences							c: HC

Thus, thematically speaking, the development is fully rotational, to use Hepokoski and Darcy's terminology. The change of order in the secondary-theme and closing zones perhaps exemplifies the close connection of their melodic material in the exposition as described above. In the development's third part (mm. 285–329), which functions as a retransition, this connection is shown rather concretely, as the ostinato figure derived from the beginning of the closing zone "spills over" from the second part into the third and continues to appear in counterpoint to the secondary-theme material. As will be shown later, together with the melodic factors, the tonal flow of events also creates a strong connection between the second and third parts.

Example 5.12 is a voice-leading sketch of the entire development. We have already seen in Example 5.1 that the development follows a conventional pattern, where the beginning and concluding major chords on E♭ and G (in the main tonality III and V respectively) are connected by a neighboring A♭ (VI). In order to trace the origin and status of the A♭ major chord, it is necessary to take a closer look at the events leading into that chord.

Example 5.12. Symphony No. 2, I, development, voice-leading sketch.



5.3.1 First Part

The "dormant zone" leads the music from E♭ major into F minor in m. 185, where the material from the primary theme comes to the fore.[27] However, the key of F minor turns out to be rather unstable, because the music soon slips away from it and directs its motion toward G♭ major, which in turn is attained in the foreground by means of its own dominant in root position (Ex. 5.12). While the G♭ prolongs the E♭ as its chromatically altered upper

[27] The Finnish theorist and musicologist Ilmari Krohn (1955, 156) placed the beginning of the development in m. 185, and he read mm. 177–185 as an *Anhang* to the exposition.

third, the primary-theme material enters in m. 185 in the middle of a larger progression from E♭ to its G♭. I believe this interpretation captures the tentative, almost fragile nature of F minor, which sets the development in motion in m. 185 after the dormant zone.

The next appearance of the primary theme's opening motive in mm. 194–195 turns the G♭ major chord into a dominant $^{4}_{2}$, which resolves to a C♭ major $^{6}_{3}$ chord in m. 195. The E♭ in the bass is given prominence in the next few measures: at the end of a four-measure woodwind episode (mm. 199–202), it supports a dominant seventh chord. The prominent role of the E♭ at this point connects it with the concluding chord of the exposition, which is now turned into a dominant seventh, and along with it, the music has locally slipped into the key of A♭ major.

The first subsection of the development's first part (mm. 178–202) is thus built around an E♭-major chord and its transformation into an active dominant. The significance of the A♭-major chord, which begins the second subsection (mm. 203–221), is conveyed both by its preparation and its duration, as the second subsection also stands firmly on the A♭ major chord for twelve measures, affirming the tonal situation at this point.

After the arrival of A♭ major, nothing of comparable tonal solidification occurs until the deep-level V is achieved in the retransition in m. 306. The first part's third subsection (mm. 221–231) is controlled by an F-minor chord (Ex. 5.12) and witnesses the strongest dynamic peak in the development thus far, only to detach itself soon in favor of G♭ major. The instability of the harmonic situation at the beginning of this third subsection is further emphasized by the ♭6–5 motion (D♭–C) over F (brought forth by the primary theme's opening two-measure motivic idea in m. 221). As a result, the harmony in m. 221 appears first as a D♭-major $^{6}_{3}$. Owing to the overlapping entries of the primary theme's two-measure idea, D♭ remains active for four measures (mm. 221–224), pushing the "pure" F-minor chord up to m. 225.

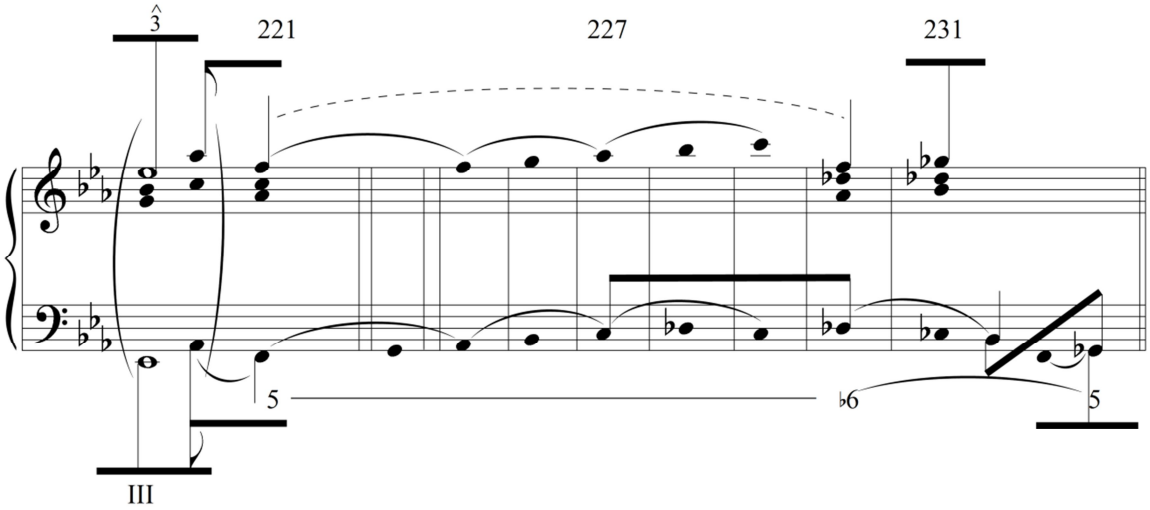
5.3.2 Second Part

Along with the entrance of the G♭-major chord in m. 231, the exposition's closing-zone material comes to the fore, and, consequently, the second part of the development begins. The voice-leading procedure that leads to the G♭ major chord in m. 231 is somewhat similar to the previous arrival of the same chord in m. 192 on a more local level (Ex. 5.12). In mm. 230–231, just before the entrance of the G♭ major chord, especially woodwind and brass gestures vigorously announce a new dynamic peak. Robert

Simpson's insightful description of the situation is worth quoting here: "Bruckner tilts the tonality over into G♭, and there is an unhurried yet exciting hush (m. 233). It is as if we had climbed a hill; the view is suddenly splendid and calm, and across wide, sunlit spaces an oboe, then a horn, sound a magical augmentation of the *ostinato* [from the beginning of the exposition's closing zone]."[28]

In the foreground, the arrival on G♭ is marked, and the music stays there for quite a while, creating a "splendid and calm" atmosphere. However, the bass doesn't seem to accept this key in full, as the figuration in the cellos and double basses always brings the $\frac{6}{3}$ chord at the beginning of each measure, the root position coming only in the latter half of the measure. This is shown in Example 5.13, which presents a detailed voice-leading sketch of mm. 221–231. Although the root position is structurally the primary one, the bass figuration, which remains constant throughout the section in G♭ major, gives the music a somewhat floating character. Moreover, after the entrance of a new idea in the bassoons (m. 241), the G♭ major begins to disperse into remote local key areas. As Robert Simpson puts it: "The moment of rapt pleasure in the vista must pass, and exhilaration replaces it as we seem to race down the other side of the tonal hill."[29]

Example 5.13. Symphony No. 2, I, development, mm. 221–231, voice-leading sketch.



[28] Ibid, 49. Timothy Jackson (1994, 77) also provides an insightful description of this passage as a "pastoral *Bauerntanz*…which reverberates with Bruckner's youthful fiddling in Windhaag."

[29] Simpson 1992, 50.

At deeper levels (Ex. 5.12), the root of the G♭-major chord acts as a passing event between the bass pitches A♭ (m. 203) and F (m. 300). The F supports a Neapolitan sixth chord in the main key, which occurs as a final stage before the entrance of the concluding V. As a result, the large-scale bass in mm. 203–306 (A♭–G♭–F–G) delineates clearly an altered version of the primary theme's opening two-measure idea. In effect, the development section is largely built on the expansion of that opening motive. The upper voice follows this bass motion in parallel octaves, which are eliminated on the more local levels (Ex. 5.12).

5.3.3 Third Part

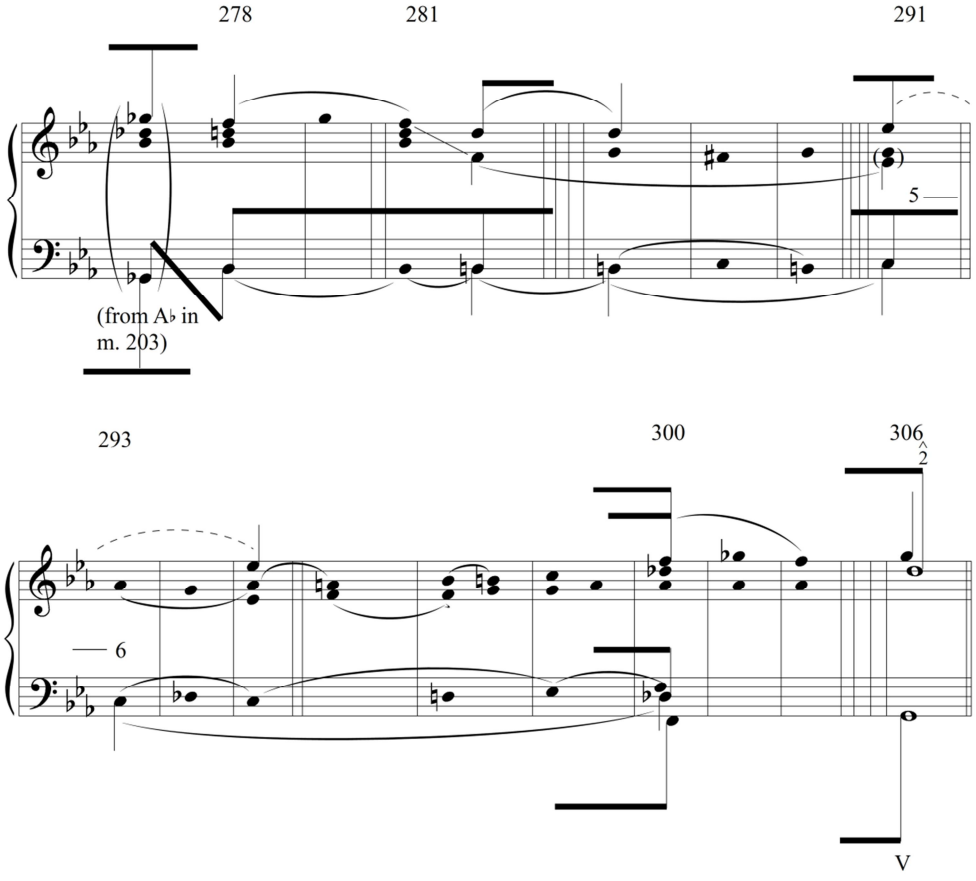
Before the Neapolitan chord arrives in m. 300, the development has entered properly into its third part, i.e., the retransition. As noted above, this part begins in m. 285 with the secondary theme's opening idea, which starts to take shape three times in all during the retransition supported by G-, A♭-, and D♭-major $^{6}_{3}$ chords respectively.[30] Although after the preceding complexities the music settles down on a G-major chord at the outset of the retransition, the tonal situation still remains vague and indistinct. This is largely due to the way the G-major chord emerges in the foreground.

Example 5.14 presents a detailed voice-leading sketch of mm. 278–306. At the end of the development's second part, the B♭-major chord is transformed into an active diminished triad on B♮ directed toward a C-minor chord. Following this first impression, the bass ultimately resolves up to C in m. 291, but before this resolution, the beginning of the opening measures of the secondary theme have sounded a G-major $^{6}_{3}$ chord in mm. 285–289. At this point, the active tonal situation is momentarily frozen, so to speak, thwarting the earlier expectations; in effect, the entrance of the secondary theme intervenes and delays the resolution. It should be noticed that when the B♮ resolves up to C in m. 291, a C-minor chord is clearly implied (Ex. 5.14). At this point, the F that had been silent during the entrance of the secondary theme also resolves, down to an implied E♭. Thus, the A♭-major $^{6}_{3}$ chord at the outset of the second entrance of the opening melodic ideas of the secondary theme in m. 293 is a result of a local 5–6 motion over C (Exs. 5.12 and 5.14).

[30] At the outset of the secondary-theme material in mm. 285, 293, and 300, the lowest-sounding voice, to be sure, is the root of the chord. However, during the first two entrances of the theme, the double basses and later the cellos clearly control the actual bass voice.

The retransition begins in m. 285 with a chromatic passing tone, B♮, in the bass (Ex. 5.14). No doubt, the fragile and rather tentative nature of the beginning owes a great deal to this procedure.[31] This type of situation is often encountered in Bruckner's music, where a formal section begins in the middle of a tonal progression. The first two entrances of the secondary theme present us with a certain amount of tonal surprise (especially the first entrance), whereas the third entrance in m. 300 sounds more like the expected goal of a sequential progression. The sequential progression in mm. 293–300 essentially proceeds in ascending parallel $\frac{6}{3}$ chords (Ex. 5.14). Under such circumstances, it is only natural to consider m. 300 as the goal of a larger progression, as already suggested above and shown in Exs. 5.12 and 5.14. Moreover, the role of the D♭-major chord in m. 300 as a Neapolitan sixth preparing the arrival of a deep-level V gives further credibility to this view.

Example 5.14. Symphony No. 2, I, development, mm. 278–306, voice-leading sketch.



[31] A certain amount of harmonic surprise is involved in the exposition already at the beginning of the secondary theme, where it emerges in E♭ major right after the V of C minor. To take the theme up again in the retransition in a highly unstable harmonic situation can be seen as a subtle reference to this aspect of the theme.

5.4 Recapitulation

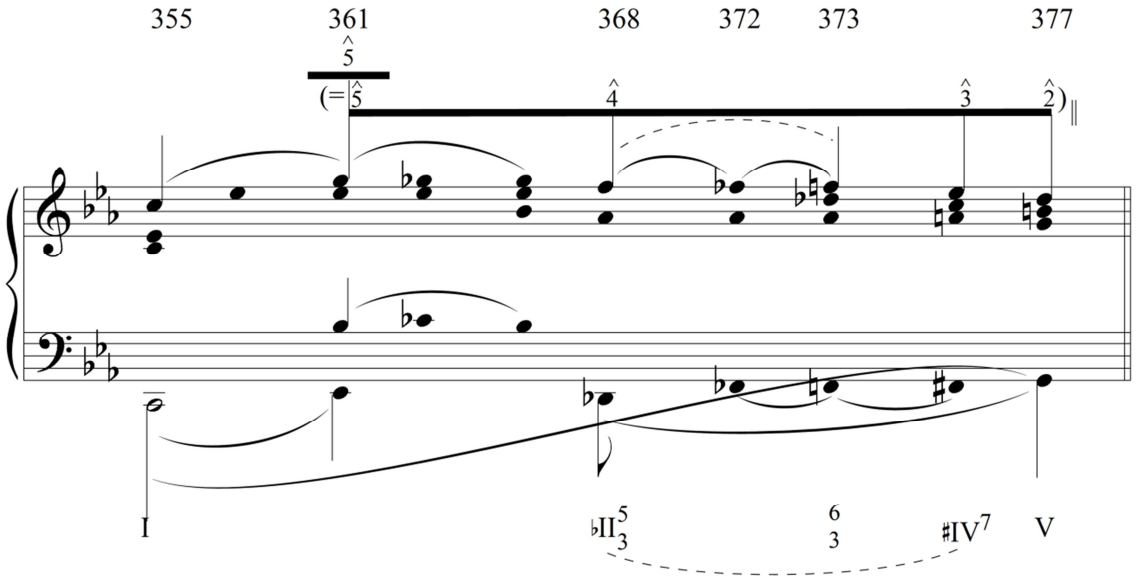
5.4.1 The Music Up to the Beginning of the Closing Zone

Compared with Bruckner's First Symphony, the recapitulation states the material from the exposition without any notable omissions. The formal layout appears as follows (Table 5.1): the first part in mm. 330–379 and the second part in mm. 380–497. The first part divides into the primary-theme zone, mm. 330–355, and the transition, mm. 356–379; the second part divides into the secondary-theme zone, mm. 380–414, and the closing zone, mm. 414–497.

The end of the recapitulation is rather exceptional, even in the context of Bruckner's music. It ends with an ambiguous alternation of B♭-minor and F-major chords in mm. 493–497, leaving the recapitulation tonally incomplete. It might be argued that this procedure gives the coda an extra burden to bring the movement to a satisfactory close. Moreover, before tonal fulfillment is achieved, the coda encounters several complications, which will be taken up in more detail below.

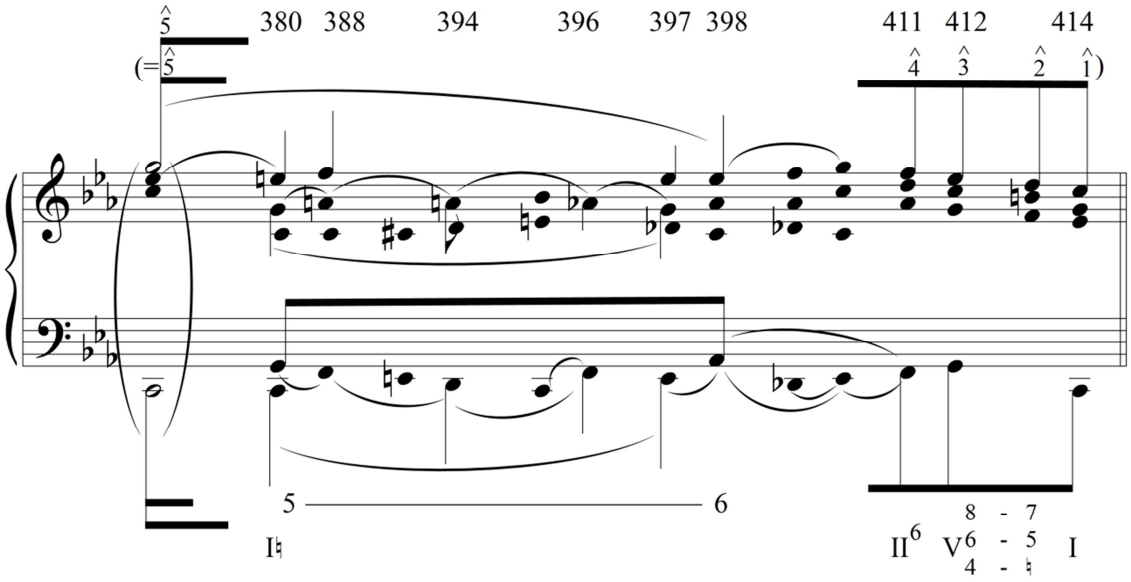
The primary theme follows its expositional path and, as usual, it is the transition that begins to deviate from the exactly corresponding measures. Example 5.15 is a voice-leading sketch of the transition in the recapitulation. Instead of presenting various options for the forthcoming tonal direction as in the exposition, now the transition proceeds more straightforwardly through a Neapolitan ♭II to the dominant of C minor. This is in keeping with the overall tonal task of this part of the recapitulation to remain in the home key and not disturb it with any extra diversions or deceptions.

Example 5.15. Symphony No. 2, I, recapitulation, mm. 355–377, voice-leading sketch.



The secondary-theme zone begins in m. 380 in the same manner as in the exposition, albeit now in C major. However, by comparison with its appearance in the exposition, the secondary-theme zone undergoes a few alterations and extensions before securing the ESC at its conclusion in m. 414. First of all, the overall tonal path follows a somewhat different route. Example 5.16 shows the basic voice leading of the secondary theme. The theme is again heard three times. Instead of moving a step upward at each of its occurrences as in the exposition, the third appearance of the theme (m. 398) occurs on the VI, which in turn is part of a large 5–6 motion leading to the II, which begins the concluding cadence. This cadence also functions as the ESC. Moreover, the theme makes an attempt – as Bruckner's minor-mode movements often do – to turn the tonal spectrum into the tonic major, but does not succeed. This is largely due to Bruckner's decision to present the third appearance of the theme on VI of C *minor*, which leads naturally to a cadence in minor rather than in major. In spite of the cadence that comes at the end of the secondary theme, I do not read it as a deep-level closure of the movement. My reading is largely based on the immense proportions of the movement. Put it another way, there is so much emphatic music still to come after the secondary theme that the deep-level closure at the end of the theme would seem somewhat counter-intuitive.

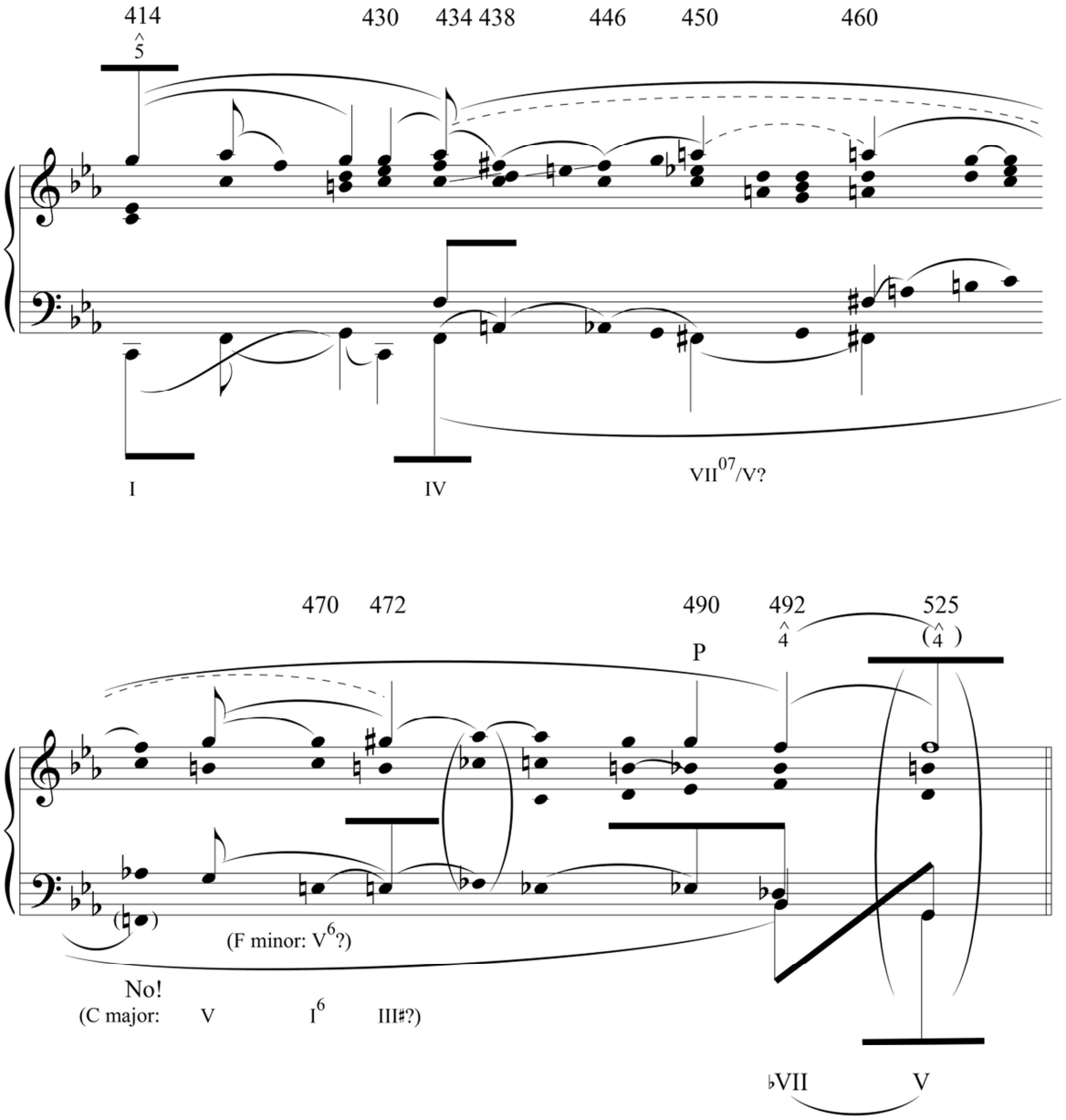
Example 5.16. Symphony No. 2, I, recapitulation, mm. 380–414, voice-leading sketch.



5.4.2 Closing Zone

Like its counterpart in the exposition, the closing zone also proceeds in three sections: mm. 414–430, mm. 430–471, and mm. 472–497. Example 5.17 presents a voice-leading sketch of the entire closing zone. The first section and most of the second replicate the thematic and tonal events from the exposition rather faithfully, only transposed, of course, to the home tonic. The second section falls short just on the verge of the V of C minor in m. 452 on a diminished seventh chord on F♯, but, unlike the exposition, it does not lead to the dominant of the main key; rather it ends on a C-major $^{6}_{3}$ chord in mm. 470–471. On the other hand, the third section, while retaining the melodic ideas of the exposition (excluding mm. 151–160 from the exposition, which reside on the V of C minor), remains highly ambiguous tonally and fails to produce any satisfactory concluding cadence, thus leaving the recapitulation tonally open.

Example 5.17. Symphony No. 2, I, recapitulation, mm. 414–525, voice-leading sketch.



What is the function of the second section's concluding C-major $\frac{6}{3}$ chord in m. 470? It certainly ends a formal section, but on its arrival, it does not really sound like the end of a tonal progression. To be sure, it is preceded by a G-major chord, but that chord is bypassed rather quickly without imparting a convincing dominant quality. Moreover, at the outset of the third section in m. 472, the C-major $\frac{6}{3}$ chord is transformed into an E-major chord that sounds locally more like a tonic (this chord is prolonged for six measures). On a larger level, this chord could act as a III♯ of C major, just as its

counterpart, the G-major triad, ultimately behaved in the exposition in the context of E♭ major. Is the exposition going to end in major after all and succeed in turning to the brighter side of the tonal spectrum, a turn already attempted in the secondary-theme zone?

This is not what happens. Rather the E♮ is turned into E♭ in the bass, which ultimately supports an E♭-major chord in m. 490. Even the last remnants of hope for staying within the realm of the C-major tonic are finally swept aside by a descending sequence in thirds in mm. 490–492. The sequence leads in m. 492 to a rather puzzling B♭ minor chord, which is prolonged by an F-major chord in mm. 493–497, making the B♭ minor chord sound perhaps something like a local tonic.

How are we to interpret the tonal events from m. 470 up to the end of the closing zone? There is no simple answer to this question: the tonal continuity seems to be disrupted, and the manifold harmonic implications not fully realized as the music jumps from one situation to another. No doubt, discontinuity on the surface level is an integral part of this passage. However, I believe it is also possible to show continuity in the voice leading here and to offer a convincing interpretation of these events. Example 5.17 tries to capture this aspect of the music.

Before getting into this third and last section of the closing zone, it is necessary once again to take a brief look at the events in the closing zone's second section (mm. 430–471). The IV of C minor enters in m. 434, supporting the A♭ in the upper voice (Ex. 5.17), and in m. 450 it is subsequently transformed into an active applied dominant of V of C minor with F♯ in the bass (corresponding to the same kind of progression in the exposition within E♭ major). Just like its counterpart in the exposition, this chord does not reach its destination. The F♯ disappears and is replaced by F♮. As already mentioned above, the C-major $^{6}_{3}$ chord at the end of the closing zone's second phase in mm. 470–471 does not really stand as the end of a tonal progression, but rather appears still within the prolonged IV of C minor.

However, the IV of C minor does not return; instead, the music moves to an E-major chord, which begins the third section of the closing zone in m. 472. At deeper levels, E major stands rather as an F♭ major that still supports the A♭ in the upper voice. In a sense, the F♭ major replaces the F-minor chord, which is still being prolonged here. The C-major chord in m. 470 is actually a contrapuntal element (Ex. 5.17). As mentioned above, after more tonal meandering, the E♭-major chord in m. 490 finally initiates a sequence toward the conclusion of the recapitulation. The E♭ in the bass is thus part of an inner-voice third progression from F (m. 434) to the third of the B♭-minor chord at the end of the

recapitulation, as shown in Example 5.17. This interpretation endeavors to capture the highly unstable nature of mm. 470–497 with their harmonic surprises and diversions and an underlying voice leading that connects these events to a continuous whole on a deeper level.[32]

5.5 Coda

As suggested above, the recapitulation ends in an ambiguous tonal situation, after which the coda starts straight away with a C-minor chord. The first impression of this chord might be, I believe, that it represents the tonic. This is suggested by the iterative figuration in the strings revolving around C and by the return of the primary theme's opening idea in the oboes, which begin to arpeggiate the tonic triad. However, the larger context suggests that this is not the case.

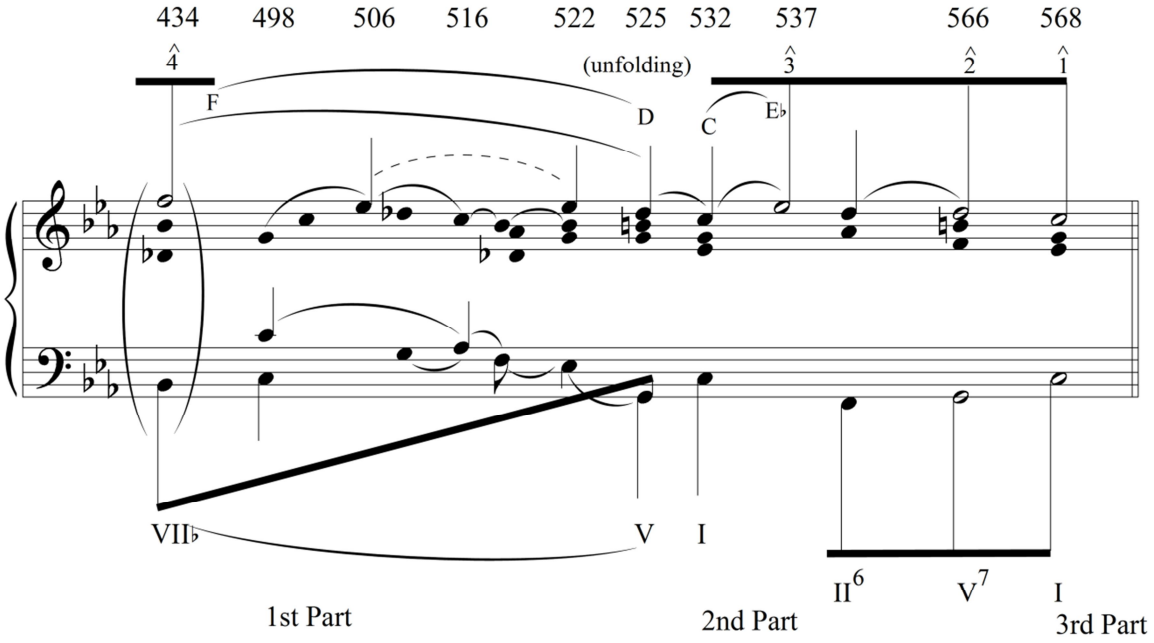
Example 5.18 is a voice-leading sketch of the entire coda, which proceeds in three parts as follows: mm. 498–531, mm. 532–568, and mm. 568–583. The first part of the coda (mm. 498–531) ends clearly with the dominant of C minor. As a result, the second part, while re-introducing the same music from the outset of the first part, begins in a clear, unequivocal tonic. In my view, these events put the structural status of the C-minor chord at the beginning of the coda's first part in doubt. Example 5.18 shows that this chord occurs within a prolonged dominant and gives consonant support to the passing tone E♭ (cf. also Ex. 5.1). It is a contrapuntal event and thus an apparent tonic rather than a structural tonic.

The beginning of the coda with an unprepared C-minor chord sets the recapitulation and coda strongly apart. On a local level, there seems to be no continuity whatsoever between them. Yet the end of the recapitulation and the coda's first part are linked, as the B♭-minor triad connects with the dominant of C minor (Ex. 5.18). As a result, the dominant of C minor sits astride the recapitulation and coda, bridging, so to speak, these otherwise disjunct sections. As is characteristic of Bruckner, different levels of organization meet again in a rather astonishing manner. This is a striking example of a

[32] Matthew Bribitzer-Stull (2006, 167) has shown that the succession of C-, E-, and A♭-major chords "stands as a prototype for nineteenth-century composers' expressive and structural uses of chromatic major-third relations."

markedly Brucknerian procedure whereby the boundaries of different organizational layers overlap.

Example 5.18. Symphony No. 2, I, coda, voice-leading sketch.



The B♭-minor triad at the end of the recapitulation not only prepares the dominant chord, but also gives consonant support to the deep-level $\hat{4}$ in the upper voice, which is introduced at this point. The beginning of the coda's second part with a stable tonic resolves to $\hat{3}$ in m. 537 and ultimately leads to the concluding cadence and the deep-level structural closure at the beginning of the coda's third part in m. 568 (Ex. 5.18).

5.5.1 The Coda in the 1877 Version

Finally, I will take up a few aspects of the first-movement coda from the 1877 version of the Second Symphony. As mentioned above, the various changes Bruckner made to the symphony's first movement affect the structure, especially in the coda: for the 1876 performance, Bruckner eliminated the coda's first part entirely (the first crescendo, mm. 498–531 of the 1872 version discussed above). Table 5.3 presents a formal layout of both the 1872 and the 1877 codas. My aim is not to speak in favor of either version, but simply to discuss the effects of this change on the structure as well as on the tonal course of the

movement. As a result of the excision, the coda in the 1877 version appears in two parts rather than three. The coda's first part (corresponding to the earlier second part) does end with a dominant, but it is reached in a very different manner from that of the dominant at the end of the abolished first part in the earlier version. Example 5.19 provides a voice-leading sketch of the 1877 coda. Measure numbers in Example 5.19 and in the following discussion refer to the Carragan edition of the 1877 version.

Table 5.3. Symphony No. 2, I, relationship between the codas in the 1872 and the 1877 version.

1872			
	1st Part	2nd Part	3rd Part
mm.	498–531	532–568	568–583
	HC	PAC	

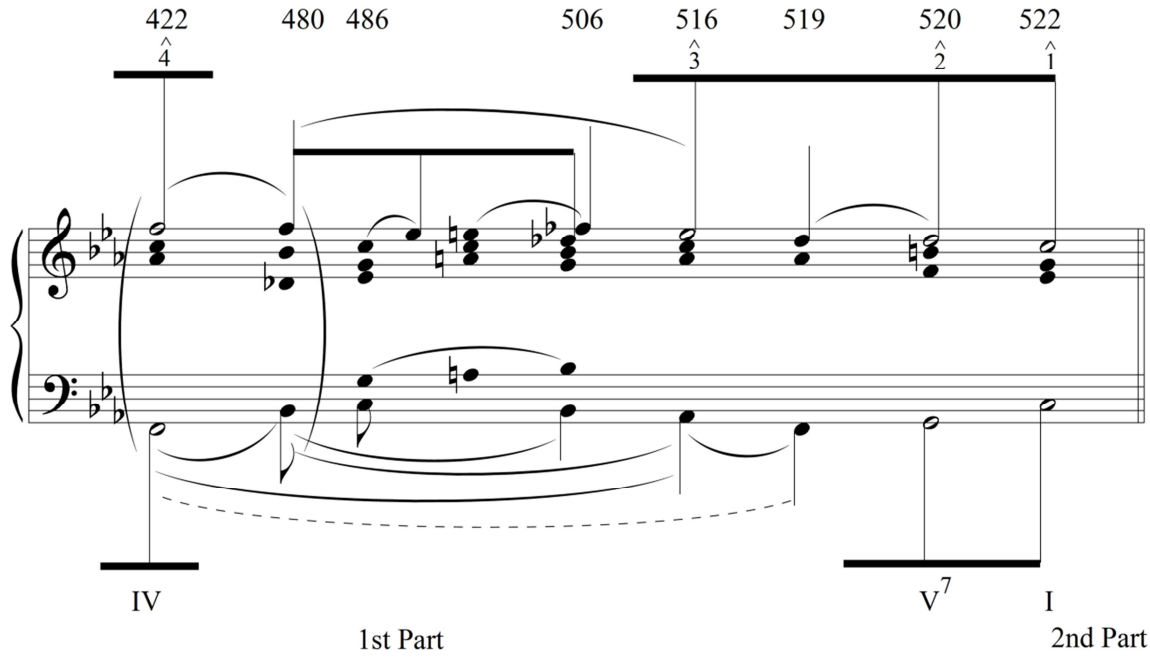
1877			
		1st Part	2nd Part
mm.		486–522	522–538
		PAC	

The VII♭ at the end of the exposition (mm. 480–485) does not connect with the dominant at the end of the coda's first part (mm. 520–521), but rather with the diminished seventh chord, which is emphatically reached in m. 506 (Ex. 5.19). Before going further, it is worth considering the role of this chord in more detail. As often in Bruckner's music, the chord does not reveal its identity at the outset. Despite the enharmonic spelling in the foreground (B♭ in the bass), the chord at its entrance sounds as if it were built on A♯ aiming at B♮, mainly because it is preceded by an A-minor chord, which in turn is eventually transformed into the diminished seventh chord.

The intervening passage in mm. 512–516 on the melodic material from the primary theme, which precedes the concluding cadence in mm. 519–522, does introduce a B-major chord (written as C♭ major) in m. 514 (this is not shown in Ex. 5.19). At this point, however, the chord appears in the middle of the progression and not as a resolution of the preceding diminished seventh chord. Instead, the concluding A♭-major chord in the passage in m. 516 is locally more likely to act as the goal of a larger progression.

Moreover, with the entrance of the bassoons in m. 518, the A♭ becomes clear in the bass. Therefore, I interpret the diminished seventh chord as the one built on G, which appears in $\frac{6}{5}$ position with B♭ in the bass and the top voice written E♮ (m. 506), eventually functioning as F♭ (Ex. 5.19).

Example 5.19. Symphony No. 2, I, voice-leading sketch of the coda from the 1877 version.



Owing to the lack of dominant preparation, the C-minor chord at the beginning of the coda acts as a contrapuntal element that gives consonant support to the passing tone E♭ in the upper voice. In this respect, the chord resembles the coda's beginning in the earlier version (cf. Exs. 5.18 and 5.19). The bass C, however, now appears as a neighboring tone between the B♭s in m. 480 and m. 506 rather than as a consonant support for the passing tone E♭ in the upper voice (Ex. 5.19).

I agree with Robert Simpson, who observed that the dominant chord at the end of the first part of the 1872 version's three-part coda (mm. 525–531) strengthens the tonal security in the coda.[33] No doubt, with the excision this security is diminished. The

[33] Robert Simpson (1992, 51–52) speaks strongly in favor of the original version: "[T]o begin the *coda* with what was originally a re-start (at letter S) [in Carragan's edition of the 1872 version, m. 532] robs the

excision also affects the *Urlinie* in a significant way. In the 1877 version, the huge prolongation of the subdominant chord, which starts in m. 422 in the closing zone, also entails the prolongation of the deep-level $\hat{4}$ of the *Urlinie* far into the coda's first part. In contrast to this stretched-out $\hat{4}$, the $\hat{3}$ appears only in passing, weakly supported by the A♭-major chord in mm. 516–518 (Ex. 5.19). I believe the resulting rather exceptional distribution of the notes in the *Urlinie* is responsible in part for the somewhat indefinite nature of this ending. The structure is closed, yet it leaves an air of mystery and inconclusiveness in the listener's mind. In this version, the final resolution of the whole drama is emphatically pushed into the finale.

5.6 Conclusion

With his Second Symphony, Bruckner made a decisive turn away from the First. Constantin Floros writes that in comparison with the First, "the brash little broom," "the second appears in many respects smoother and more 'classical.'"[34] William Carragan describes the symphony as "a pivotal creation in Bruckner's work."[35] Floros states that "the Second is of fundamental importance for the development of the Brucknerian symphonic style." Among other things, he mentions that "the dimensions have already been expanded to gigantic size" and "the themes cluster together to entire complexes."[36]

With regard to the form, one of the most conspicuous aspects of the first movement is the exposition's vastly expanded closing zone vis-à-vis the secondary-theme zone. Here, the expansion is also related to an original and fascinating tonal design with its serious last-minute attempt to abandon the already established normative secondary tonality, E♭ major. It is surely the ease (after the non-modulatory transition) with which the secondary-theme zone and the beginning of the closing zone accept the E♭-major chord as a tonic, also capable of acting as a deep-level III, that makes the procedure in the final portion of the closing zone so palpable.

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end of its proper tonal foundation … But with the cut material restored the *coda* is the right length and its tonal basis is sound."

[34] Floros 2011, 110.

[35] Carragan 2001, 69.

[36] Floros 2011, 110.

The tonal uncertainties, the hesitation, or the reluctance to follow the suggested tonal route is carried even further in the recapitulation. Here the closing zone runs into far more serious difficulties, ending in a remote B♭-minor chord. The result is a "non-resolving recapitulation," which transfers the tonal closure to the coda. As discussed above, I have interpreted the coda's opening C-minor chord as a contrapuntal element in both versions, one that gives consonant support to the passing tone E♭ in the upper voice. Such an interpretation is largely based on the fact that the chord emerges without a proper tonal preparation at the end of the recapitulation. And yet the C-minor chord certainly obtains prominence as the coda's opening harmony and through its rather long duration over some fourteen measures. In some sense, it also gives the impression of a rather firm tonic. This notion pertains especially to the 1877 version, where the coda's first part has been excised, with the result that the opening C-minor chord appears only once. No doubt, the beginning of the coda is one of those instances that perhaps cannot be satisfactorily described with purely Schenkerian means.

In the exposition, the closing zone nearly managed to escape its "responsibility" to secure tonic of the secondary key. In the recapitulation, the corresponding escape from the tonic of the main key is finally carried almost to an extreme. The non-resolving recapitulation is thus not just "another option," but can be heard as reflecting the end of the exposition in a fascinating way. The dialogue between the different parts of the form becomes a more integral aspect of the music's unfolding.

Again, the transition section especially in the exposition presents itself in a multifaceted dialogue with those features and procedures that can be considered "classical." Both the transition's beginning as a "dissolving restatement" of the primary theme together with its ending on the home dominant are procedures that stem from the classical repertoire. But the transition's eventual dying out by referring to and eventually ruling out, one by one, the options of entering first the dominant of the more normative relative major and then the slightly less normative minor key of the V is highly original. So is the fact that Bruckner's ultimately non-modulating transition begins to modulate at first, a move highly different from classical procedures.

Julian Horton acknowledges a particular tonal strategy in Bruckner's symphonies that he finds as early as the Fourth Symphony. The strategy "is the embedding of chromatic properties within the first theme that come to control aspects of tonal structure

across the symphony."[37] For example, in the first movement of the Fourth Symphony in E♭ major, Horton sees not only the neighbor-note figure 5–♭6–5 (B♭– C♭– B♭) at the beginning of the primary theme, but also the chromatic inflection involved in it as a motive that "becomes significant at various levels of structure."[38] Horton observes that, in the first movement, the motive appears as a Schenkerian middleground motive and also affects the structure at the middleground level. As an example of the former, he offers the passing tonicization of the C♭ in the exposition's transition section. At a deeper level, one of Horton's examples includes the key of the secondary theme in the exposition, D♭, which also grows out of the motive: D♭ appears as a chromatic neighboring tone between the fifth of the F-major chord (functioning as V/V in the E♭ major), which ends the transition and the second theme.[39]

I would argue that this kind of tonal strategy also affects the first movement of the Second Symphony, although much less systematically than in the Fourth. As we have seen, the opening two-measure figure A♭–G–F♯–G of the primary theme appears in various guises, not only in the foreground, but also at a deeper level in the development, where the bass line is largely controlled by a slightly altered version of the figure A♭–G♭–F–G (Exs. 5.1 and 5.12). The chromatic element, F♯, of the figure also obtains prominence as its enharmonic equivalent G♭ in the tonal course of the movement. Most significant of all, G♭ major appears as a key area in the middle of the development as part of the above-mentioned bass progression. Perhaps the G♭ major in the secondary-theme zone, which gives rise to the progression E♭–G♭–B♭ in the bass (Ex. 5.6), is also motivated by the chromatic inflection.

Some scholars have connected the Second Symphony with religious undertones, mainly because of Bruckner's self-quotations from the second movement and finale of his Mass no. 3 in F minor.[40] The Second Symphony is also pivotal in this respect, because in this work religious connotations emerge in Bruckner's symphonies for the first time. In his fascinating discussion, Timothy Jackson pays attention to the primary theme's opening two-measure figure, or motive, which has a special meaning in this movement because of "the dualism of tonal-metaphorical forces it embodies."[41] He cites Constantin Floros, who

[37] Horton 2004, 115.

[38] Ibid., 119.

[39] Ibid., 119–125.

[40] See, e.g., Floros 2010, 110–112.

[41] Jackson 1994, 76.

observed that this motive "has a special (apparently a religious) meaning…that meant much to Bruckner."[42] Jackson interprets the propensity of the upper neighbor A♭ to move down to G as "the weight of sin and mortality," while the lower neighbor F♯, moving upwards to G, represents "the promise of redemption."[43] Moreover, Jackson observes that in the course of the movement, the F♯ is also opposed by its enharmonic equivalent G♭, creating a "religious enharmonic metaphor of the G flat/F sharp enharmonic pair."[44] The enharmonic pair is especially important because of the tonal tensions of its constituent parts: the G♭ moving down and the F♯ moving up. Jackson states that "throughout the symphony, the struggle for redemption is represented by interrelated tonal conflicts between A flat and F sharp, between F sharp and G flat, and between the tritone C–G flat/F sharp and the perfect fifth C–G."[45] Most interestingly, Jackson interprets the G♭-major section in the development as a "pastoral *Bauerntanz*."[46] As we have seen, the G♭ is part of the enlargement of the primary theme's opening motive in the bass and thus, following Jackson's argument, closely related to the movement's religious subtexts representing the "earthly" aspect of life. This is evident not only in the character of the dance itself, but also from its setting in G♭ major with the tonic in the bass "destined" to move down to F (Exs. 5.1, 5.12, and 5.14).[47] Furthermore, these aspects of the primary

[42] Ibid.

[43] Ibid.

[44] Ibid.

[45] Ibid.

[46] See n. 27 above.

[47] Jackson (1994, 77 and 95, Fig. 11a) reads the development rather differently. In particular, he connects the G♭ of the dance to the development's concluding deep-level G. He notes that the dance "occurs in G flat major (mm. 231ff.) – a G flat major (♭V) which is then reinterpreted as F sharp major (♯IV).…Thus, even the exuberant dance can be seen to be intimately related to the anxious G♭/F♯ issue." In my view, however, Jackson's reading is somewhat problematic, chiefly because he gives little weight to the Neapolitan ♭II^6 in m. 300, which clearly directs the music (or redirects it after the preceding tonal meandering) toward the concluding deep-level V. There is yet another aspect that deserves to be mentioned in the context of G♭ major. Constantin Floros (2010, 80–81) observed that in Bruckner's E-minor and F-minor masses as well as in his *Te Deum*, the sudden shifts to F♯ or G♭ major are associated with the name of Jesus Christ. Floros observed that Bruckner may have gotten this idea from the *Et incarnatus* of Franz Liszt's *Gran Mass* and suggests that "both the bright sharp key of F sharp major and the twilight of the G flat major must have appeared to both Liszt and Bruckner as uniquely suited for musically emblematizing something as mysterious and miraculous as the Son of God becoming Man." Thus, the G♭ major in the development section may also be seen in this light as being deeply rooted in religious thought and contemplation.

theme's opening motive testify to the importance of the chromatic element in the course of the movement.

It has now become evident that the Second Symphony plays a special, indeed a pivotal, role among Bruckner's symphonies and represents "a wholly new type of creative fantasy."[48] In closing this chapter, I would like to quote William Carragan's beautiful and extremely appropriate words: "[T]he expressive passion, brilliance, and sunny beauty of this symphony, as well as the sheer technical virtuosity of its composition, will always win for it devoted friends."[49]

[48] Wolff 1948, 186.

[49] Carragan 2011, V.

6 The First Movement of Symphony No. 3

6.1. Form and Voice-Leading Structure: An Overview

As mentioned in chapter 1, I have chosen the second version of Symphony no. 3, completed in 1877, as the basis for my discussion. Here I will omit the first version altogether, but in the analysis I will make a few brief observations about the third (1889) version.

The large-scale form of the first movement is shown in Table 6.1: exposition (mm. 1–258), development (mm. 259–430), recapitulation (mm. 431–590), and coda (mm. 591–652). The exposition appears in two parts (mm. 1–102 and mm. 103–258), but the division of the parts into their usual constituent units (i.e., P, TR, S, C) is somewhat more complicated than in Bruckner's first two symphonies.

The movement follows the same basic tonal structure as the first movements of the First and Second Symphonies, i.e., the exposition's second part closes in the relative major, the development ends with the dominant of the home key, and the recapitulation re-establishes the tonic key, adding a glimpse of a tonic major in the secondary-theme zone. However, in the Third Symphony the location of the deep-level harmonies differs from both of its predecessors. This is shown in Example 6.1, which presents an overview of the structure. Most notably, the deep-level III is attained only in m. 255, toward the end of the exposition. The development section proceeds from III to V, but not in any straightforward manner. Rather, there is a mighty return of the tonic harmony in m. 343, which, at this point, supports the trumpet theme from the beginning of the movement. I interpret the D-minor chord not as representing a deep-level tonic and the beginning of a recapitulation (which is strongly implied here), but rather as a passing event within a prolonged III (Ex. 6.1). I will clarify the reasons for this interpretation presently.

In the recapitulation, the deep-level structure essentially follows a typical Brucknerian path. As mentioned earlier, Bruckner often postpones the structural closure of a movement beyond the sonata space proper, i.e., into the coda, and this is what happens

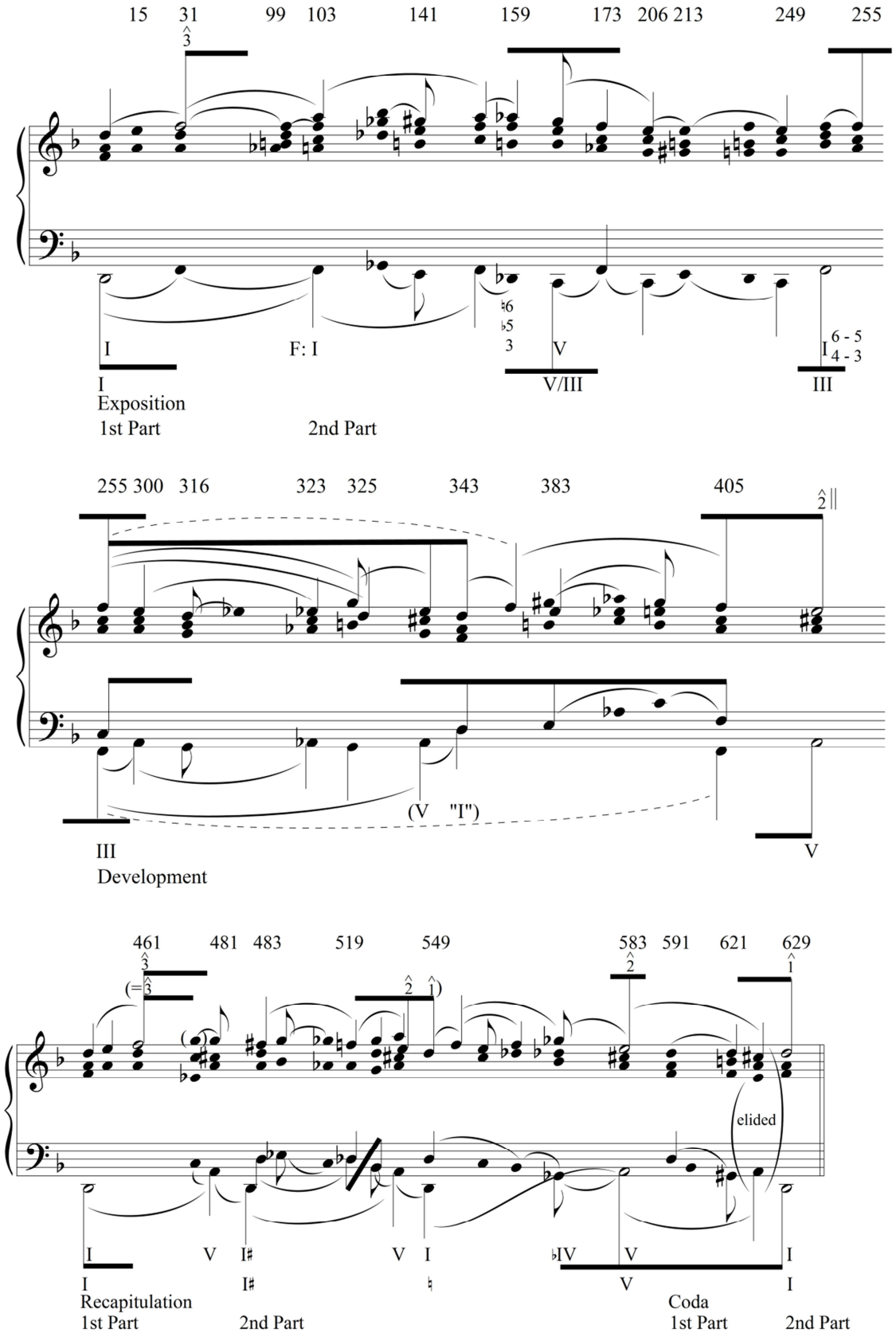
here (Ex. 6.1). However, unlike the First and Second Symphonies, there is a root-position V at the end of the recapitulation, although, as we will see, its status as an unequivocal dominant is complicated in various ways. In the following discussion, I will trace these features in more detail.

Table 6.1. Symphony No. 3, I, formal outlines.

Sonata form	Exposition (mm. 1–258)		Development (mm. 259–430)
	1st Part (1–102) P ⇒ TR	2nd Part (103–258) S (103–173) C (173–258)	
Keys	d:	F: f: →F:	F: ⟶ d: V
Form-defining cadences			d: HC

Sonata form	Recapitulation (mm. 431–590)		Coda (mm. 591–652)	
	1st Part (431–482) P ⇒ TR	2nd Part (483–590) S (483–549) C (549–591)	1st Part (591–628)	2nd Part (628–652)
Keys	d:	D: d:	d:	d:
Form-defining cadences		d: PAC		

Example 6.1. Symphony No. 3, I, an overview.



6.2 Exposition

The exposition divides clearly into two parts. With regard to form, the first part proves to be the more challenging: although the music contains clear articulation points (such as a general pause in m. 68), the separation of the primary-theme zone from the transition is by no means straightforward. Although the transition rhetoric is clearly present toward the end of the first part, there seems to be no obvious starting point for the transition zone itself. In addition, toward its ending the first part fails to enter convincingly into the realm of the secondary key, F major. As usual, these tonal complications have several conspicuous repercussions, especially on the tonal structure of the second part.

The second part divides clearly into the secondary-theme zone (mm. 103–173) and the closing zone (mm. 173–258). The secondary-theme zone is unable to produce an effective EEC, owing to the sudden change of mode from major to minor where the cadence is expected (m. 173). Moreover, the beginning of the closing zone is also problematized motivically: because the thematic ideas from the secondary-theme zone (heard especially toward its end) continue in the closing zone, it is not immediately apparent that the music has entered into the new formal zone. As we will see, it is only the subsequent music that tells us this has in fact taken place. Despite the lack of the EEC and the persistence of ideas from the secondary-theme zone, I interpret the beginning of the closing zone as taking place in m. 173. In any case, after m. 173 the music begins to seek the end of the exposition with strong, heavy gestures, which is characteristic of Bruckner at this point in the formal layout.

6.2.1 First Part

The exposition's first part is constructed very differently from that of Symphony no. 2, in which the two halves reveal their primary theme and transition functions rather openly. Although the final measures of the exposition's first part with their tonal reorientation seem to suggest that the transition is approaching its end, the beginning of the transition (and, of course, the end of the primary theme) seems to be somewhat blurred. This formal ambiguity is in some sense comparable to the first movement of the First Symphony, but here it shows perhaps even more controversial features.

As Table 6.1 illustrates, in the Third Symphony the primary theme and the transition eventually merge in the exposition's first part (marked in the table as P $\Rightarrow$ TR). Even

though there is no unequivocal end of the primary theme nor is there a clear beginning of the transition, I will use the terms primary theme and transition in the following discussion. In this way, I believe it is possible to avoid unnecessary complications and confusion in describing the form. For the same reason, in connection with the primary theme and the transition I do not use the term *zone*, which usually refers to a unit with a more or less clear beginning and end.

The Music up to the Beginning of the Secondary-Theme Zone

The primary theme as a whole is presented in two sections, the first of which occurs in mm. 1–68. The second section begins in m. 69, but does not have an unequivocal ending, because this section merges into the transition toward the end of the exposition's first part. Bruckner constructs both sections of the primary theme in a way described by Warren Darcy as "teleological genesis." According to Darcy, "in its most basic form, a 'teleological' theme features a generative *crescendo* that leads to a thematic/tonal goal or *telos*. The theme is *end*-oriented; its musical processes flow inexorably towards the *telos*."[1] In this case, both sections of the primary theme represent a "double theme type" of teleological genesis: surrounded by string figuration, the trumpet theme in mm. 5–12 makes a distinct entity in its own right, after which the string figuration continues over a tonic pedal with a crescendo that leads to a climactic burst and a new thematic idea, beginning in m. 31. In the following discussion, I will call this new thematic idea a telos. In mm. 31–47, the telos itself occurs twice: first in mm. 31–38 and again in mm. 39–47. Thus, the beginning of the movement up to m. 31 forms, in Darcy's terms, a generative crescendo, and in m. 31 reaches the telos.[2] In m. 69, the second section of the primary theme begins, also with a generative crescendo (although on a dominant chord), and leads to a telos in m. 89. However, this time the telos merges into the transition, which in turn leads to the conclusion of the exposition's first part.

In the course of the movement, as we will see, these two components, namely, the trumpet theme and the telos, assume different relationships with one another. It is not the telos, however, but rather the trumpet theme, originally part of the generative crescendo, that ultimately gains more significance in the formal layout. The trumpet theme also

[1] Darcy 1997, 260.

[2] Ibid., 260–261.

proves to be structurally important in providing material for the coda, where the structural closure of the movement takes place.[3]

As many scholars have noted, the trumpet theme and the telos are separate melodic entities. Julian Horton even states that Bruckner "supplies a distinct form of his first theme over the gathering tremolando, which is unrelated to the material of the climax."[4] However, despite their separateness as distinct formations, the generative crescendo and the telos are motivically connected in a number of interesting ways. In the analytical Bruckner literature, scholars have concentrated mostly on the foreground, seeking in note-to-note observations the motivic content of the primary-theme complex. Two isolated examples may be cited here to make the point. Werner Notter has observed that the telos' opening progression F–E–D–C♯ (mm. 31–32) "does not connect only with the Crescendo that is governed by a minor second F–E; it refers also to the closing part of the Motto [i.e., the trumpet theme] (a–h–cis–d) [a–b♮–c♯–d]."[5] Robert Simpson too admits that, although in the crescendo "there is no question of fragments forming the main theme [telos]," the telos is "not quite unprepared; its first two notes are insistently anticipated in the *crescendo*."[6]

But there is more to it than these remarks suggest. First of all, as Example 6.1 shows, the swirling string figuration creates a clear ascent $\hat{1}$–$\hat{2}$–$\hat{3}$ in the upper voice, and the beginning of the telos marks the attainment of the $\hat{3}$, which I interpret as the *Kopfton* of the entire movement. The first two measures of the telos then invert this third progression. In addition, the upper-voice of the whole telos presents a clear descent, F–E–D. These are shown in Example 6.2, which presents a detailed voice-leading sketch of the telos' second occurrence in mm. 39–45. Moreover, a somewhat peculiar harmonization of the repetition of the telos reveals a hidden motivic connection to mm. 9–11 in the trumpet theme with its rising scale from $\hat{5}$ to $\hat{1}$ (Ex. 6.2). The motivic connection with the trumpet theme, i.e., the ascent from A to D, begins in the cellos and the fourth horn with A–B♮, is then transferred to the second violin where it leads through C to D♭, and through its enharmonic inflection C♯ up to D (Ex. 6.2).

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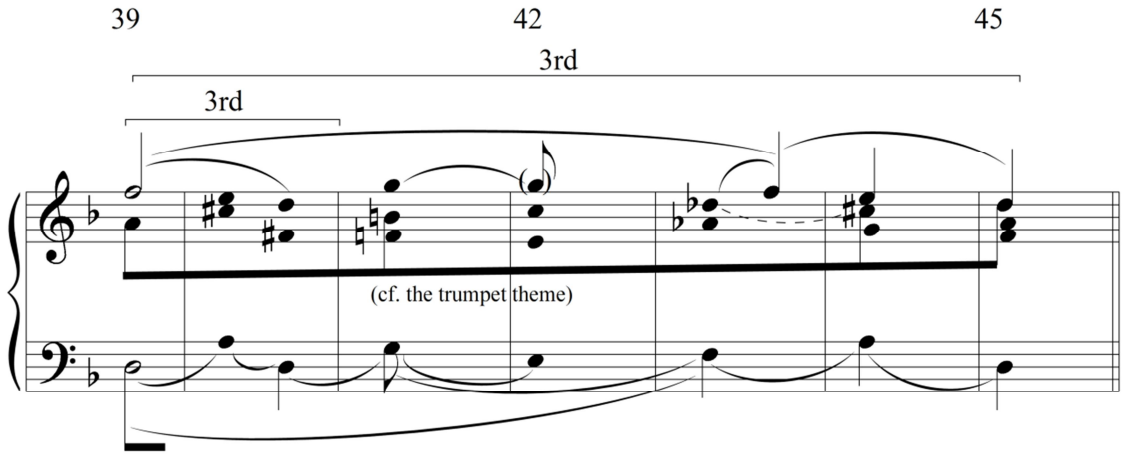
[3] Thomas Röder (1987, 25) states that "the Unisono-Theme [telos] … remains secondary also in the thematic hierarchy: it 'serves' as a Primary Theme."

[4] Horton 2004, 176–177. In his fascinating discussion, Horton (ibid., 175–185) cites the first movements of Beethoven's Ninth and Schubert's "Unfinished" Symphonies as precedents for Bruckner's treatment of his primary theme.

[5] Notter 1983, 70.

[6] Simpson 1992, 68–69.

Example 6.2. Symphony No. 3, I, exposition, mm. 39–45, voice-leading sketch.



To gain deeper insight into the teleology of the primary theme, it is necessary to take a closer look at the construction of the telos. Here I will limit the discussion to mm. 39–45, where the melodic lines are supported by full harmonies. The telos itself contains two separate units: a downward rush followed by a hushed, concluding answer. This conclusion is carried out harmonically in an extraordinary manner, with the D♭ major $^{6}_{3}$ chord proceeding directly to the dominant of D minor in mm. 43–44. Despite its remoteness from the prevailing key, the D♭-major chord connects naturally and smoothly with the dominant through a common pitch class D♭/C♯.

What about the role of the D♭-major chord in the voice-leading structure? However ambiguous the chord is on its entrance, I believe that the bass motion from F to A in mm. 43–44 provides an important clue for placing the chord in the proper tonal context. As Example 6.2 shows, the D♭-major $^{6}_{3}$ chord is built on a third of a D-minor tonic, thus acting as the tonic's highly exceptional chromatic inflection. In effect, the progression in mm. 43–44 stands for a diatonic I^{6}–V. In this progression, D♭ acts as a chromatic inflection of the tonic note and, curiously, also as an anticipation of the leading tone C♯ (Ex. 6.2). I believe that it is most of all the smooth connections between these chords together with the bass motion F–A that justify this interpretation. The telos again offers a good example of Bruckner's extraordinary harmonic language: the progression is made up of elements that, locally, seem to step aside from the main course of the music, but on a larger level are connected by a well-defined and (if not easily) understandable voice-leading logic.

All of the features described above help to foster continuity in the music: the two elements of this "double theme" P, the trumpet theme, and the telos are separate entities,

yet they combine into a unified whole. The generative crescendo provides the essential motivic elements for the telos, which, in a sense, crystallizes them in a new harmonic environment. As we will see below, both the trumpet theme and the telos prove to be important for the movement's subsequent thematic design, the trumpet theme, however, being the more significant.

Now it is time to return to the question posed above concerning the formal division of the exposition's first part. Table 6.2 shows the formal implications (the constituent parts of the double theme, namely, the generative crescendo and the telos, are referred to in the table as P^{gen} and P^{tel} respectively).[7] As the table shows, the primary theme's first section implies a P $\Rightarrow$ TR merger, which, however, turns out to be false, since the proposed medial caesura (m. 67) is eventually declined by the onset of the new generative crescendo in m. 69. Thus, in the exposition's first part, there are two such mergers, only the second of which proves to be the "real" one. In the following discussion, I will concentrate first on the formal implications created in the first part of the exposition and then consider the voice-leading events in more detail.

Table 6.2. Symphony No. 3, I, exposition's first part, formal implications.

mm.	1	31	39	48	67	69	89	94	102
	P^{gen}	P^{tel}	≈	extension		P^{gen}	P^{tel}	$\Rightarrow$ TR	MC?
Formal implications		c.b.i.	≈	continuation $\Rightarrow$ TR	MC?	No!			
Keys	d: I				V	V	(=B♭: I VI	V)	tonally ambiguous

To begin with an apparently simple question, what is the role of the authentic cadence in m. 47? After the concluding cadence in the tonic, the latter part of the telos is repeated sequentially from m. 48 on until, through melodic fragmentation, it leads over a chromatically descending bass to the home dominant, which is reached in m. 67 with ***ff*** dynamics followed by a general pause. The V in m. 67 might represent a medial caesura

[7] The abbreviations P^{gen} and P^{tel} come from Darcy 1997, 260–261.

(attacked directly without a "dominant-lock"), in this case a I:HC harmonic option, or a second-level default in minor key. Thus, m. 67 could represent the end of the transition.[8]

But where does the supposed transition begin? Generically, the telos' concluding cadence in mm. 44–45 (and its repetition in mm. 46–47) could mean the end of the primary theme followed by the transition. However, the sequential repetition of the telos' latter part from m. 48 does not really sound like a strong new beginning, but rather as the middle of some larger complex that began earlier. Therefore, it is possible to conceive the whole complex in mm. 31–67 sententially: the two statements of the telos would constitute a large "presentation" followed by an extensive continuation.[9] In addition, as described above, the music takes on transitional features after m. 48 and eventually leads to a candidate for the medial caesura in m. 67. I would therefore suggest that, since m. 48 does not really represent a new beginning, owing to the sequential repetition, the primary theme and the transition functions merge into a single unit (P ⇒ TR), without there being an unequivocal starting point for the transition. Following Hepokoski and Darcy's terminology, mm. 31–67 could then be described as a sentence with a dissolving continuation module.[10]

However, the formal P ⇒ TR organization is challenged more locally by the subsequent events: after a one-measure pause, the generative crescendo starts anew in m. 69, only now on a dominant harmony, and leads to the telos on B♭ in m. 89. We might ask whether the music after all has entered the transition, as described above, and if not, where does it do so? Most scholars have suggested that the primary theme is simply being repeated from m. 69 on, and this is certainly a valid notion.[11] The repetition indicates that the principal musical interest still resides in the primary theme. Thus, the alleged medial caesura in m. 67 is declined, and the music has not yet begun the transition proper.

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[8] As we have seen in chapter 5, Bruckner used this harmonic option – albeit after several complications – in the first movement of his Second Symphony.

[9] For a description of a continuation function, see Caplin 1998, 40–42. Following William Caplin's definitions, both teloi in the presentation unit might be designated as a "compound basic idea," i.e., constituted of two separate ideas (the first idea being three measures long and the second, four measures long). However, the second telos (mm. 39–47) ends with a clear cadence (PAC), which does not normally occur at the end of a compound basic idea (or the "presentation" unit, for that matter). In my view, this does not invalidate the sentential structure here, because the cadence can be understood as occurring on a lower syntactical level within a large sentence. For a description of a compound basic idea, see ibid., 61.

[10] Hepokoski and Darcy 2006, 105–106.

[11] E.g., Krohn 1955, 303; Simpson 1992, 69; Horton 2004, 178; Gault 2011, 49. Gault speaks of a "double exposition" here: "the *Hauptthema* appearing in D minor and B♭ major."

The telos that begins in m. 89 is harmonically even more complicated than the previous ones. It detaches itself from the realm of D minor and opens up to new harmonic areas. Starting on B♭, it even tries to tonicize that pitch: this telos is an exact transposition of the first two teloi a major third lower and could easily enter the tonic of B♭ in m. 95, but that tonic is never reached. Instead, the V^7 (m. 94) of that key is eventually transformed (in m. 99) into a German sixth on D♭ (perhaps recognizing that entering B♭ is inappropriate here). However, at its first appearance the identity of that chord is not self-evident. It appears in an uncommon $\frac{4}{3}$ position with F in the bass and at first sounds like V^6_5 of G♭ major!

The end of the exposition's first part is left hovering on that chord or, as Julian Horton aptly puts it, in comparing this symphony movement with the first movement of Schubert's "Unfinished" Symphony, "Bruckner follows Schubert in pivoting around a sustained pitch/chord of initially indeterminate harmonic identity … chord V^7 of C flat [*sic*] becomes an augmented sixth in F …."[12]

Although initially the chord has an "indeterminate harmonic identity," it stands on the border of the exposition's first and second parts and as such opens the space for the secondary theme. Therefore, it is also possible to interpret the chord in m. 101 as a medial caesura, although as an exceptional and certainly a counter-generic MC. Curiously, the approach to this MC features a typical threefold repetition of the final chord, i.e., a procedure that Hepokoski and Darcy describe as normative in eighteenth-century sonata structure. But instead of appearing normatively in descending octaves and *forte* dynamics, Bruckner has the upper voice ascend ***ppp*** within the sustained chord. All the same, the reference to the older practice is clearly apparent, and the non-normative features perhaps reflect the troubled harmonic situation at this crucial point in the exposition.

As we have seen, the music clearly assumes transitional characteristics toward the end of the exposition's first part. In effect, the end of the first part also marks the end of the transition. However, the *beginning* of the transition is far from obvious. The crucial point here is that the telos that begins in m. 89 never reaches any cadential closure. Such a closure, an authentic cadence in B♭, is clearly suggested in mm. 94–95, but is discarded. Also around m. 95 the transitional features emerge more and more prominently. To say that the transition begins in m. 95 would be somewhat problematic, however, because that

[12] Horton 2004, 178. As we have seen in Chapter 4, in the First Symphony the dominant of G♭ also appeares in the same formal location, i.e. at the end of the transition (mm. 39–44).

measure does not really begin anything (or end anything, for that matter), but rather occurs in mid-phrase. As I have already suggested, the telos (beginning in m. 89 as part of the primary theme) and the transition are merged here, thus blurring the demarcation between the two and resulting in a P ⇒ TR merger.[13] In sum, there are actually two such mergers in the exposition's first part (although very differently constructed, as described above), but the first of these turned out to be false after the proposed medial caesura in m. 67 had been declined. As a result, the exposition's first part presents us with a set of rich formal implications.[14]

It may be argued that it is the teleological structure of the primary theme, which Bruckner used for the first time in his Third Symphony, that readily lends itself to such a variable set of formal functions. As in the first movement of the First Symphony, here too Bruckner constructs an astonishingly manifold formal organization in the first part of the exposition, leaving a trail of false clues and making unexpected and even puzzling tonal turns. These elements create an extraordinarily rich musical narrative. As we will see, these ambiguities are resolved in the recapitulation by simply discarding the "controversial" parts.

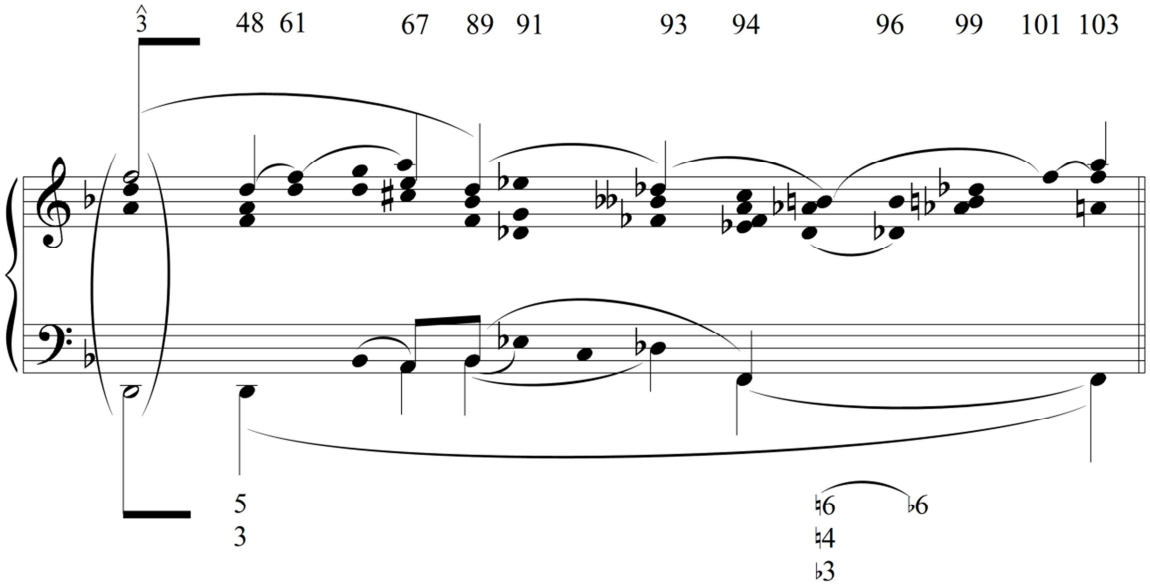
The voice-leading structure after the first telos up to the end of the exposition's first part (i.e., mm. 48–102) is, to say the least, intricate. Example 6.3 presents a voice-leading sketch of the whole passage. Despite the complex surface phenomena, mm. 48–67 are

[13] Thomas Röder (1987, 44) remarked on the different character of the second crescendo, after which the telos enters "unprepared": "While during the first intensification the main theme A2 [the telos] was carefully prepared through the motivic scales and the acceleration of the half-tone f-e, it is now uttered unprepared … from the Climax, renounces repeating itself, as if not being allowed to do so, and also avoids in its subsequent course any return to the tonic: the 'repetition' is a transition, followed directly by the second theme-group."

[14] This is an appropriate point to take up briefly the 1889 version of the work. In this version, the exposition's first part is almost identical with that of the previous version except for one important point: in the 1889 version after the alleged MC (I:HC) in m. 67, the one-measure pause has been omitted, and the music continues immediately on the dominant harmony. After the MC candidate has been sounded, such a prolongation of a dominant chord could, following Hepokoski and Darcy's (2006, 40) description of such instances, stand for a "caesura-fill," which "represents the sonic articulation of the gap separating the two zones (i.e., P and S)." Although the subsequent events (the continuation of the dominant over 20 measures and finally the emergence of the second telos) negate that possibility, I believe that such an interpretation is plausible, at least for the few measures immediately following m. 67. The caesura-fill itself could provide a modulation to III, perhaps in the same vein as in Mendelssohn's *Hebrides* Overture, mm. 43–47. In the 1889 version of Bruckner's symphony, thus, the simple omission of one measure adds yet another level to the formal discourse in the first part of the exposition.

essentially made up of the progression I to V via IV^6 in m. 66. Although sustained for more than twenty measures through the repetition of the generative crescendo (mm. 68–88), the dominant of D minor ultimately gives way to the progression that starts the second telos from B♭ in m. 89. The B♭ major, in turn, attains prominence as the goal of a long crescendo and also as a chord that clearly controls the telos from m. 89 until m. 94. As mentioned above, these measures are a transposition a major third down of the corresponding measures in the first telos in D minor. Thus, I read the voice leading as follows: the A-major $\frac{6}{3}$ chord in mm. 93–94 actually stands for a B♭♭ major, prolonging the prevailing B♭-major chord in the same way as the D♭-major $\frac{6}{3}$ chord prolonged the D-minor tonic in m. 43 (Ex. 6.3; cf. Ex. 6.2). The B♭♭-major $\frac{6}{3}$ is followed by a dominant of B♭, which, as we have seen, does not find its way up to the tonic.

Example 6.3. Symphony No. 3, I, exposition, mm. 48–103, voice-leading sketch.



Although locally important, the V^7 of B♭ major is a result of passing tones in the upper voices through which it is eventually transformed into an augmented sixth. This chord later turns out to be of great importance in the overall structure of the exposition as a gateway (initially tonally indeterminate) to the exposition's second part in F major. On a deeper level, the augmented sixth chord prolongs the structural tonic chord, transforming it into an active harmony (Ex. 6.3; also shown in Ex. 6.1). Eventually, the augmented sixth chord acts like a common-tone type, whose F anticipates the tonic pitch of F major. I believe, however, that the common-tone augmented sixth chord is not what the listener

assumes he is hearing here. It thus appears that none of the most likely tonal expectations created by the augmented sixth chord are actually realized. As a result, the F-major chord at the beginning of the secondary-theme zone does not act as a deep-level harmony. Undoubtedly, these voice-leading events add to the magnificent and somewhat mysterious nature of the music.

6.2.2 Second Part

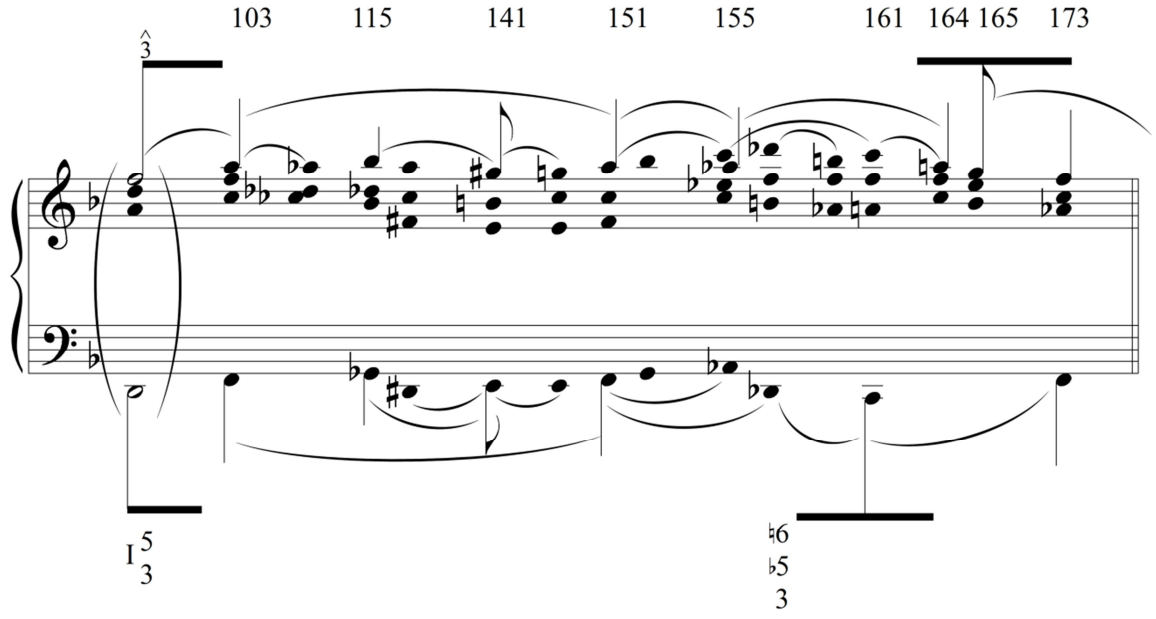
The exposition's second part consists of two clearly articulated units: the secondary-theme zone (mm. 103–173) and the closing zone (mm. 173–258). An important strain in the tonal course of the second part is the struggle for a solid deep-level III, which, significantly, does not arrive at the beginning of the exposition's second part. The secondary theme opens with a tonic chord in the relative major, a characteristic choice for Bruckner in minor-key movements. In an archetypal sonata structure, such a second-theme beginning usually stands for a deep-level III. If not quite archetypal, this is also what happens in the first movement of Bruckner's Second Symphony (see chapter 5). In the Third Symphony, the situation is more complex. This is largely because of the exposition's first part, which ends without indicating a definite tonal direction for the subsequent events.

The structural status of the closing zone's opening chord is also problematized. The final measures in the secondary-theme zone feature the V of F major, undoubtedly creating strong expectations for the arrival of a firm F-major tonic. These expectations are not quite fulfilled, as the spare octaves on F which open the closing zone in m. 173 represent an F-*minor* tonic, rather than an F-major tonic. As a result, the attempt to introduce a deep-level III also fails at this point. At the same time, the secondary-theme zone fails to produce the proper EEC, and, consequently, the closing zone has to take on that responsibility. The closing zone manages to secure this chord, after encountering more serious complications, only in its very last measures (Ex. 6.1). Thus, it is not only the secondary-theme zone, but also most of the exposition's second part that can be described here as being "tonally alienated."

Secondary-Theme Zone

As is characteristic of Bruckner, the secondary-theme zone here consists of repetitions of a thematic unit with a new tonal area at the beginning of each unit, i.e., F major (mm. 103–115), G♭ major (mm. 115–141), E major (141–151), and F major (mm. 151–173) respectively. Moreover, the thematic unit itself is constructed of several repetitions of a short idea. Example 6.4 presents a voice-leading sketch of the entire secondary-theme zone. As the example shows, the G♭- and E-major appearances of the unit prolong the F-major chord as its upper and lower neighbor a half step away. Thus, F major is undoubtedly a local tonic here, but, in my opinion, its status as a deep-level III in the overall structure is not fully confirmed during the entire theme zone. There are several reasons in support of this view.

Example 6.4. Symphony No. 3, I, exposition, mm. 103–173, voice-leading sketch.



As we have seen, the end of the exposition's first part eventually leaves the tonal direction open. The attempt to confirm B♭ major falls short, and the concluding harmony, standing as an exceptionally well-articulated medial caesura, seems at first to appear in G♭ major as its V^6_5. The beginning of the secondary-theme zone reveals that the chord functions rather like a German sixth in F, although in an uncommon $^4_3$ position heading for

the dominant. However, the chord proceeds directly to the tonic, thus acting as a common-tone augmented sixth chord (Exs. 6.1 and 6.3). As a result, the F-major tonic at the onset of the secondary-theme zone emerges as a surprise or at least not as an expected goal of a transitional progression, and the structural status of that tonic is therefore also placed in doubt at this point. Subsequent events do not alter the situation very much.

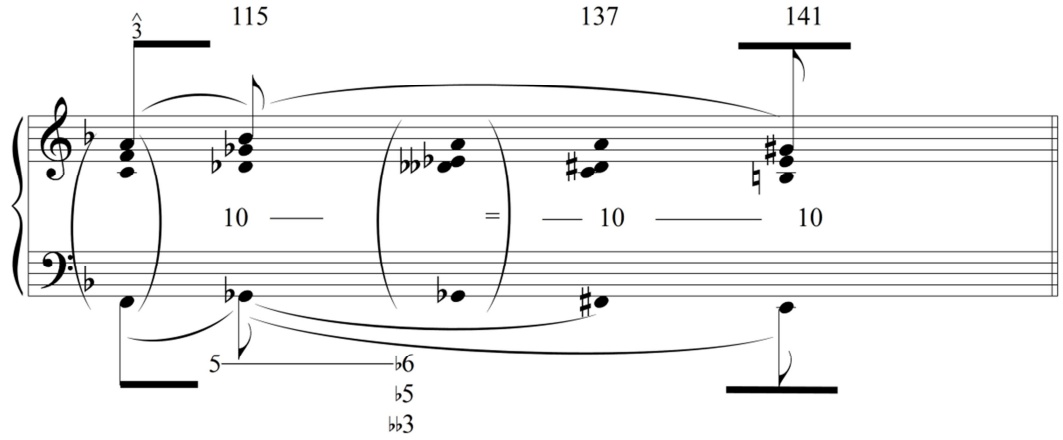
The first appearance of the thematic unit resides throughout on an F pedal, and the dominant of F major is never sounded in any convincing manner. On the contrary, the F-major chord is itself transformed, first into minor in m. 111 and then, in m. 113, into a V^6_5 of G♭, which prepares the second entrance of the unit in m. 115. This is, of course, the same chord, enharmonically respelled, that ended the first part of the exposition. Is there a structural connection between these chords? If the answer is yes, then the exposition's first part would end on a "real" V^6_5 in G♭, its resolution delayed by the F-major chord at the onset of the secondary theme. In this case, the F major would not be a mistake after all, and the real goal would be somewhere else. In a larger context, this is the not case, but undoubtedly that procedure adds to the tentative nature of F major during the first appearance of the secondary-theme zone's thematic unit. Although locally the F-major chord is a primary element here, after only a few measures it has to give way and step aside. Thus, it is unable to secure itself firmly, just as it was not strongly prepared.

In its second appearance (mm. 115–141), the thematic unit is greatly expanded. The expansions soon detach from G♭ major and touch on several remote tonal regions, resulting in a highly unstable tonal design. Example 6.5 provides a voice-leading sketch of mm. 115–141. The intricate surface activity is controlled by voice leading, through which the opening G♭ major chord proceeds into a diminished seventh chord on A with E♭ in the bass (m. 137). This chord eventually acts as VII^{07} of E major (shown in parenthesis in Exs. 6.5b and c) and leads to the next (third) appearance of the secondary-theme unit in m. 141 in E major.

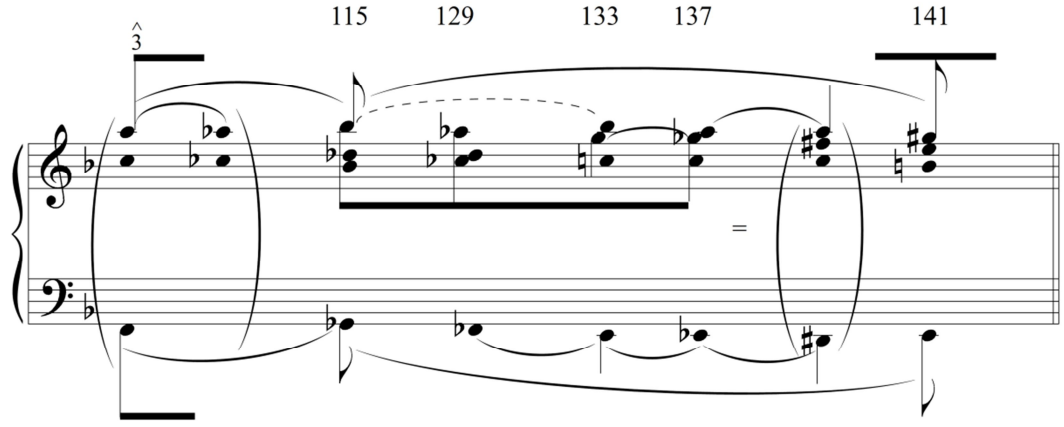
The move from the G♭ major chord to the diminished seventh chord is carried out by parallel motion in tenths. The upper voice of this motion reaches G♮ in m. 133 in the cellos, which clearly carry the outer voice in mm. 129–137. In m. 133, G♮ is transferred to the second violin and proceeds to G♭ in m. 137, acting eventually as F♯ (Ex. 6.5b) In m. 133, the cellos reintroduce the B♭ from m. 115 as an uppermost voice (Ex. 6.5c). It reaches A♮ rather emphatically in m. 137 and finally G♯ at the onset of the next secondary theme unit in m. 141. In mm. 115–141, the upper voice is thus basically controlled by a third span, B♭–A♮–G♯ (Ex. 6.5).

Example 6.5. Symphony No. 3, I, exposition, mm. 115–141, voice-leading sketch.

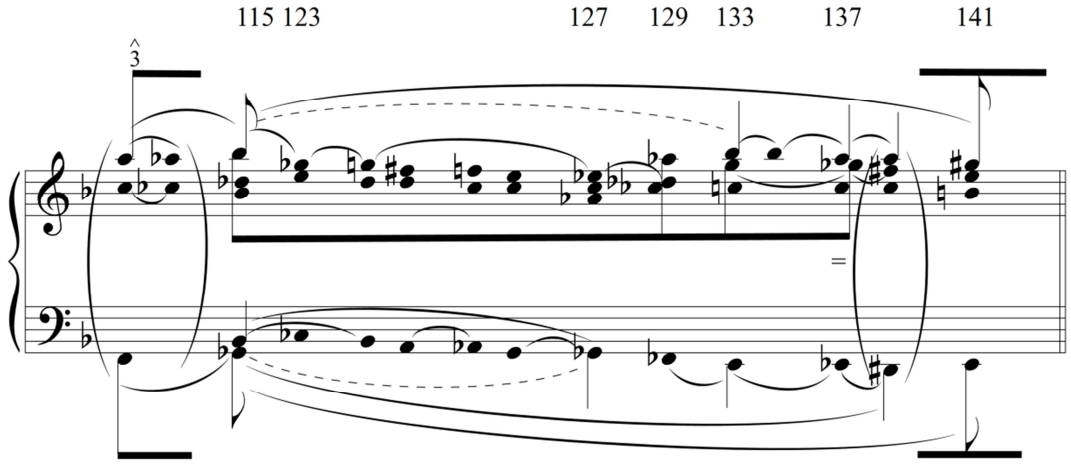
a)



b)



c)



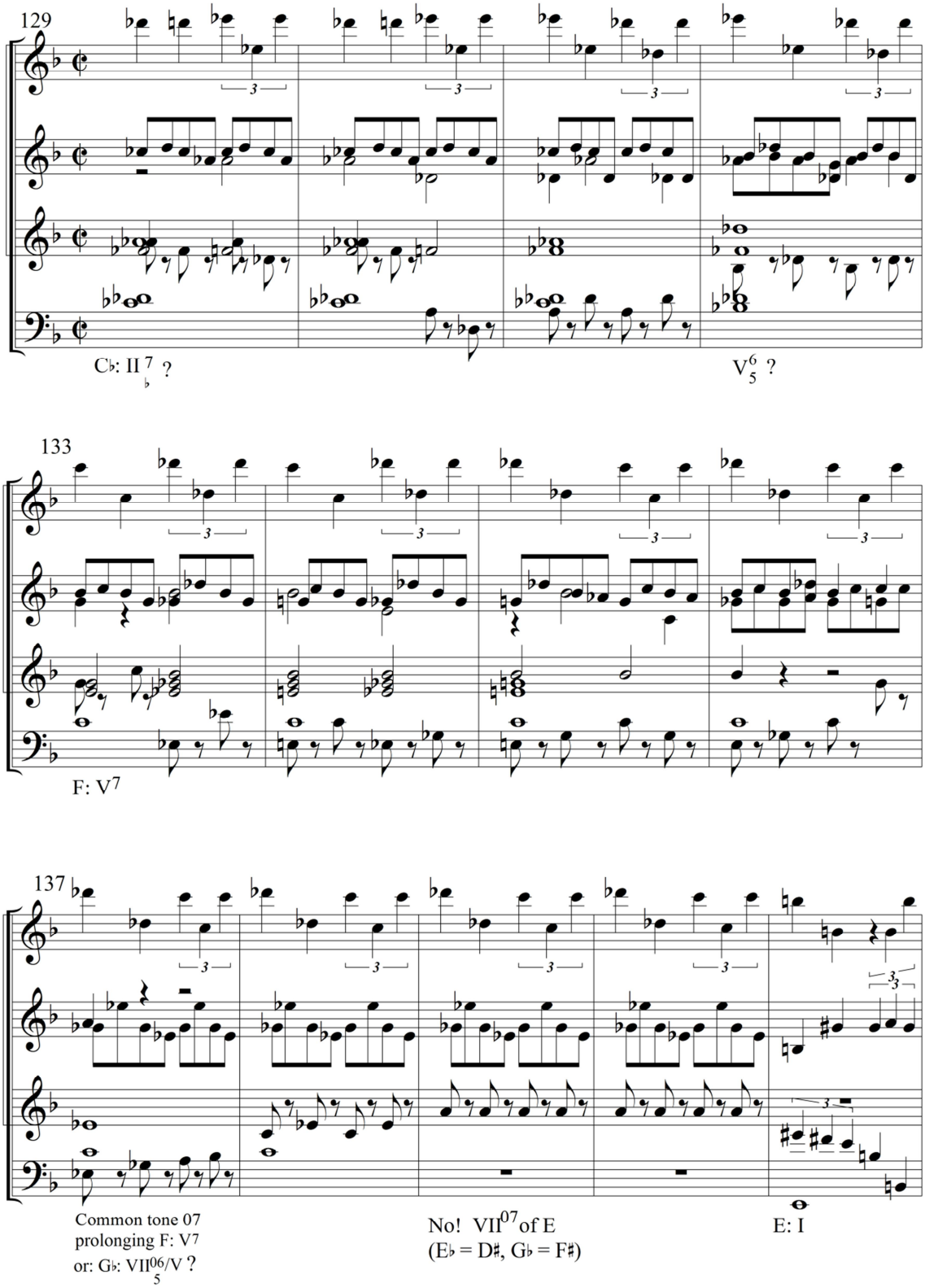
At this point, it is worth taking a closer look at the details of the events described above. On the foreground level, the second thematic unit is astonishingly rich in its various tonal references, allusions, false clues, sudden turns, and so on. I divide this unit in two parts: mm. 115–128 and mm. 129–141. In the first part, after the subdominant of G♭ major, C♭, has been introduced in mm. 121–124, the following two measures dislocate the music a semitone higher from its earlier G♭ -controlled course. The sudden outburst of these measures seems to remain an isolated event, after which G♭ returns to the bass in mm. 127–128 and leads to the second part of the thematic unit.

Example 6.6 provides a somewhat simplified version of mm. 129–141, while also showing the various tonal references. In mm. 129–137, the cellos take the leading role with the D♭-minor seventh chord as support. The function of this chord remains somewhat indeterminate here; is it perhaps a supertonic seventh chord in C♭, the subdominant of G♭ major? In light of the earlier reference to C♭ in mm. 121–124, this would be a plausible assumption. In mm. 133–137, the cello melody is repeated a step higher accompanied by a C dominant seventh chord, a possible dominant seventh. At this point, the music might hark back to the original key of the secondary-theme zone, F major.

This attempt to hark back to F major falls short with the entrance of a diminished seventh chord in m. 137, but not quite yet at this very instant. The E–G third of the C dominant seventh chord had been embellished by its chromatic neighbors E♭–G♭ in mm. 133–135. Thus, when the cellos add A♮ to these chromatic neighbors in m. 137, the resulting diminished seventh chord could be interpreted, for a brief moment, as an embellishing common-tone type to the C dominant seventh chord (Ex. 6.6). This impression vanishes, however, as quickly as it appeared, along with the diminished seventh chord, which is sustained for the next four measures. During these measures the function of the chord remains ambiguous, in my view, although it is possible to catch a glimpse of G♭ major here with its VII^{06}_{5}/V.

As we have already seen, the chord eventually appears as VII^{7} of E major, but I believe this is perhaps the least expected alternative here. Again, this is a very good example of Bruckner's fondness for the diminished seventh chord with its potential for several tonal implications. Thus, at the outset, the E major of the third thematic unit in mm. 141–150 does not receive much tonal emphasis.

Example 6.6. Symphony No. 3, I, exposition, mm. 129–141, tonal implications.



The secondary-theme zone's second thematic unit also serves as a good example of Bruckner's composing characteristics. Progressions that are highly intricate in detail are nevertheless controlled by distinct and clear voice-leading models, as shown in Example 6.5. In other words, the indistinct and sometimes even ambiguous nature of local events does not remain indefinite when the larger context is taken into consideration. As I have mentioned in the previous chapters, it is the larger context that often reveals the "final" status of events through voice-leading models that hold the complex details together.

In this thematic unit, E major is treated in almost the same way as F major was handled in mm. 103–114: the unit appears throughout on an E pedal over which the dominant of E major is touched on only in passing. Moreover, toward its end in mm. 149–150, the E-major chord is transformed into V^6 of F major, and the secondary-theme zone has come full circle along with the fourth and final statement of the thematic unit in F major. All of the procedures described above contribute to the neighboring, i.e., prolonging role of G♭ and E major (Ex. 6.4).

On a deeper level, F major has been sustained for a considerable length of time, yet without a definitive tonal affirmation. As a response to the fragile tonal environment, the fourth appearance of the thematic unit, starting on F major in m. 151, leads finally to a gigantic entrance of the dominant of F major in m. 161 (in that measure as a cadential $\frac{6}{4}$), which is reached through a genuine augmented sixth chord (Ex. 6.1).

The procedure that Bruckner uses here, reaching the dominant (followed by a dominant-lock) of the secondary key through an augmented sixth chord, also appears as a generic option in minor-key movements in late eighteenth- and nineteenth-century sonata structures – at the end of a *transition*.[15] Bruckner's exposition is clearly in dialogue with this procedure, although he postpones the augmented sixth chord to the end of the *secondary-theme zone*, which may be regarded as a deformation of that older practice.

The entrance of the dominant is also followed by a long dominant-lock, which, instead of forming a genuine half cadence in F major, ultimately elides with the onset of the closing zone in m. 173, at which point the secondary-theme zone also comes to an end. It can be argued that, in a sense, the events preceding the entrance of the dominant and the eventual dominant-lock in mm. 161–172 compensate for the loss of such an unambiguous

[15] For a minor-mode example, see Beethoven's *Egmont* Overture, m. 73.

dominant chord (and also the augmented sixth chord in its "normal" position, i.e., with D♭ in bass) at the end of the transition.[16]

Closing Zone

The closing zone divides into two large sections: mm. 173–196 and mm. 197–258. However, as we have already seen, the ending of the secondary-theme zone as well as the beginning of the closing zone are problematized both tonally and motivically. The tonal situation is thrilling. After the huge dominant preparation, which is clearly directed towards F *major* during the final measures of the secondary-theme zone, the closing zone does not open in the expected F major, at least not unequivocally, since there is no third in the F chord in m. 173. It is true that for a brief moment the open octaves on F on the downbeat of m. 167 might give the impression of a major chord, but the next measure with its neighboring D♭ places this strongly in doubt. The opening two-measure idea in mm. 173–174 with its D♭ suggests that the mode is, after all, minor rather than major. This is certainly a very delicate situation, but, taking the two-measure idea in m. 173–174 into consideration, I believe that the Fs on the first beat of m. 173 represent a minor rather than a major chord.

The resulting change of mode with its rather chilly octaves thwarts the listener's expectations and disrupts the attempt to set up a deep-level III at this point. Example 6.7 presents a voice-leading sketch of the entire closing zone. As the example shows, the F-minor chord in m. 173 eventually acts as a contrapuntal event, giving consonant support to the passing tone F in the upper voice.[17] For the reasons explained above, the end of the

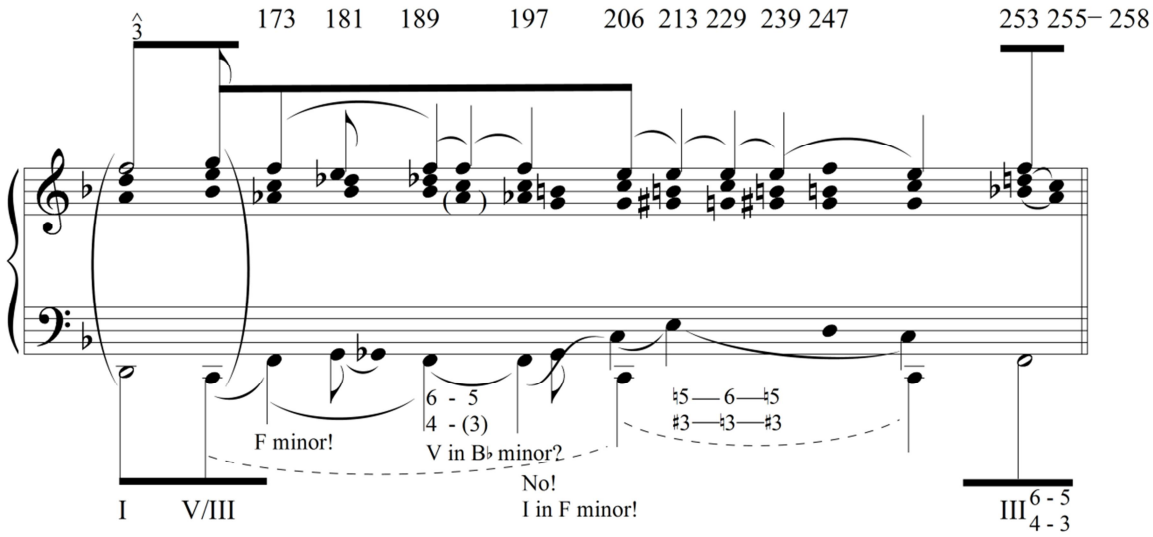
[16] Bruckner's procedure is also related to what William Caplin (1998, 115) calls an "internal half cadence" within a secondary theme. As Caplin states, such a half cadence is often motivated by "the absence of an emphasized subordinate-key dominant at the end of the transition."

[17] Precedents for this procedure in the sonata structure can be found in the classical repertoire; see, e.g., the first movement of Haydn's String Quartet Op. 76, no. 2, mm. 31–32. However, in Haydn's work, the change of mode occurs after the *transition*, before the expected secondary-theme zone. In this work, however, the secondary-theme zone does not occur, resulting in a continuous exposition rather than a two-part type. For a detailed discussion of the exposition of this movement, see Suurpää 1999, 181–185.

As Charles Rosen (1988, 153–154) has noted, the mode shift in major-mode works at the onset of S was rather common in the mid-eighteenth century repertoire. It also occurs later in the music of Haydn, Mozart, and Beethoven. The 3rd movement of Mozart's Piano Sonata in F major, K. 332, may be mentioned as one example. Here S occurs in its entirety in C-minor (mm. 50–65), the major mode being restored at the

secondary theme also proves unable to create any convincing EEC at this point in the form.

Example 6.7. Symphony No. 3, I, exposition, mm. 173–258, voice-leading sketch.



The continuation of the musical ideas from the secondary-theme zone beyond m. 173 also casts a shadow over the formal border at this point. As Hepokoski and Darcy point out, in such a procedure "the implication is that the impulses that generated or sustained S are not yet finished even though neither the S-theme nor its cadence is literally repeated."[18] In my opinion, this description applies extraordinarily well to this situation. The opening measures of the closing zone are linked in several ways to the preceding material from the secondary-theme zone. Most significant, the first measure of the two-measure idea that begins the closing zone continues the immediately preceding figure (especially its rhythm) in the first violins in mm. 162–168 and in the violas in mm. 169–172, doubled by trumpets I and II in mm. 169–170. This figure in turn has its origin in the second measure of the two-measure idea, which begins the secondary theme (in the second violins, e.g., mm. 104, 106, 108, etc.). Moreover, the two-measure idea in mm. 173–174 brings out the neighboring figure C–D♭–C with the same kind of rhythmic profile that was

beginning of C in m. 65. Peter H. Smith (2005, 122–180) offers an extensive discussion on modal shifts in the exposition's second part in the nineteenth-century repertoire and in the music of Brahms in particular.

[18] Hepokoski and Darcy 2006, 151–152.

prominent in the first violins in mm. 133–140, leading to the entry of the opening of the secondary-theme unit in E major.

Despite this spillover of material beyond m. 173, I interpret that point as the beginning of the closing zone. The reason becomes clear after m. 203, where the music starts anew with the same material as in m. 173. This second attempt eventually manages to break free of the remnants of the secondary theme, first introducing a solemn chorale in mm. 203–209 (which perhaps can be heard as growing out of the beginning idea of the secondary theme and thereafter calling back the trumpet theme from the beginning of the movement [mm. 5ff.] in inversion). As Hepokoski and Darcy have pointed out, the primary-theme-based closing zone is highly typical of the classical repertoire, and I believe that especially through this gesture, the "C-ness" of the music becomes clear in Bruckner's symphony, signaling the forthcoming end of the exposition.[19] Thereby the section, which starts in m. 173 and lasts up to the end of the exposition, makes one great whole, namely, the closing zone, which combines elements from both the secondary- and primary-theme zones.

Although the formal boundary between the secondary and the closing zones remains in m. 173, the crucial point is that we become fully aware of this boundary only in retrospect. The continuation of the musical material from the secondary theme beyond m. 173 may initially problematize the formal boundary here. However, as we have seen, subsequent events eventually indicate that m. 173 marks the beginning of the closing zone. It is difficult (and unnecessary, I believe) to pinpoint exactly where the reorientation takes place. Thus, the resulting formal ambiguity is an integral part of the musical utterance here far more strongly than in the first movements of Bruckner's First and Second Symphonies.[20] It is noteworthy that the ambiguity results from both the cadential weakening (particularly the change of mode) and the spillover of material from the secondary-theme zone, the latter, however, being decisive.[21]

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[19] Ibid., 184–185. It should be noted that in the classical repertoire, the P-based C appears after the EEC has been sounded. In Bruckner, however, not even the deep-level III has been established at this point. In fact, in Bruckner the P-based C, while clearly in dialogue with the corresponding classical procedure, appears in a very different tonal situation than its classical predecessors.

[20] Several scholars also have noted the close motivic connection of the closing zone with the previous formal sections. For a brief summary of a number of such views, see Röder 1987, 93. However, the resulting formal ambiguity has not been addressed by any of the scholars.

[21] Following Janet Schmalfeldt's ideas about the nature of musical processes, it could also be argued that what at first seems to be the continuation of S (i.e., from m. 173ff.) *becomes* C as the music moves on

The formal ambiguity means that the closing zone is not *rhetorically* present right at its outset, but rather is willing to reveal itself only during the subsequent events. Because it has evaded the unequivocal authentic cadence at the end of the secondary-theme zone, the closing zone, as Hepokoski and Darcy describe such a situation, "has to take on the EEC-burden of S."[22] It may be argued that the procedures at the juncture of the secondary theme and the closing zone as described above constitute a moment of crisis in the movement's trajectory, with inevitable and pressing reverberations for the subsequent course of the music.

The following discussion traces the closing zone in more detail. Its beginning in a minor key immediately suggests a failure in the exposition's tonal trajectory. It raises the question of whether the exposition also ends in minor. To end an exposition in a minor key instead of an *expected* major would surely represent a seriously negative outcome or, to use Derek B. Scott's vocabulary in describing Bruckner's symphonic procedures, a victory of darkness over light.[23] Of course, we know that the exposition will succeed in establishing a major key, but, characteristic of Bruckner, only after the music has been mistaken for taking a wholly new direction that also turns out to be false.

The subsequent events in the first section of the closing zone make no convincing attempt to clarify the structural role of its opening chord. The music proceeds in four-measure units, and the beginning of a third unit in m. 181, featuring a trumpet call, brings a VII^{07} of F minor, which is not resolved to an F-minor chord, but rather is transformed, through a chromatic descent in the bass, into an augmented sixth proceeding into a B♭-minor $\frac{6}{4}$ chord in m. 189. The entrance of this $\frac{6}{4}$ through an augmented sixth makes the chord sound very much like a cadential $\frac{6}{4}$.

And indeed, it resolves into an F-major chord (albeit without a third), which at this point (mm. 193–196) sounds rather like a V of B♭ minor, not a tonic.[24] The closing zone's first part thus also ends with a dominant-lock, strongly emphasized by the threefold

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toward the end of the exposition. Seen in this way, there would be no clear boundary between S and C (the resulting process could be designated as S ⇒ C). For a thorough discussion of the process of becoming, see Schmalfeldt 2011.

[22] Hepokoski and Darcy 2006, 191. The authors also point out that such a procedure can be found "in several movements by Bruckner" without, however, mentioning any specific examples.

[23] Scott 2004.

[24] Although Bruckner carefully avoids the third here, in my opinion the preceding cadential $\frac{6}{4}$ makes the chord sound like F major.

"hammer blows" in the brass in mm. 189, 191, and 193. In light of what is to come, this is, however, a wrong dominant (Ex. 6.7).

The tonic chord in B♭ minor does not appear, since the onset of the closing zone's second section in m. 197 begins on the octave F. This time the octave F sounds perhaps a bit more like a major chord than in m. 173, because of the preceding impression of an F-major chord in mm. 193–196. However, subsequent events again indicate that the mode here is also minor rather than major. Thus, up to this point, the closing zone has essentially remained in F minor. As a result of these tonal fluctuations, the F-minor chord fails to establish its status as a deep-level harmony, but instead keeps up the uncertainty of its role in the structure and, moreover, in the ultimate destination of the entire exposition.[25]

Example 6.8 presents a voice-leading sketch of the closing zone's entire second section. Soon after the second section gets under way, the mighty chorale (mm. 203–209) leads the music into the realm of C major with E♮ in the upper voice. C major, in turn, is prolonged by a sustained E-major chord (mm. 213–242). The vast amount of space given this chord raises the question of whether it is also structurally superior to C major. I do not think so, as Example 6.8 shows (also shown in Ex. 6.7).

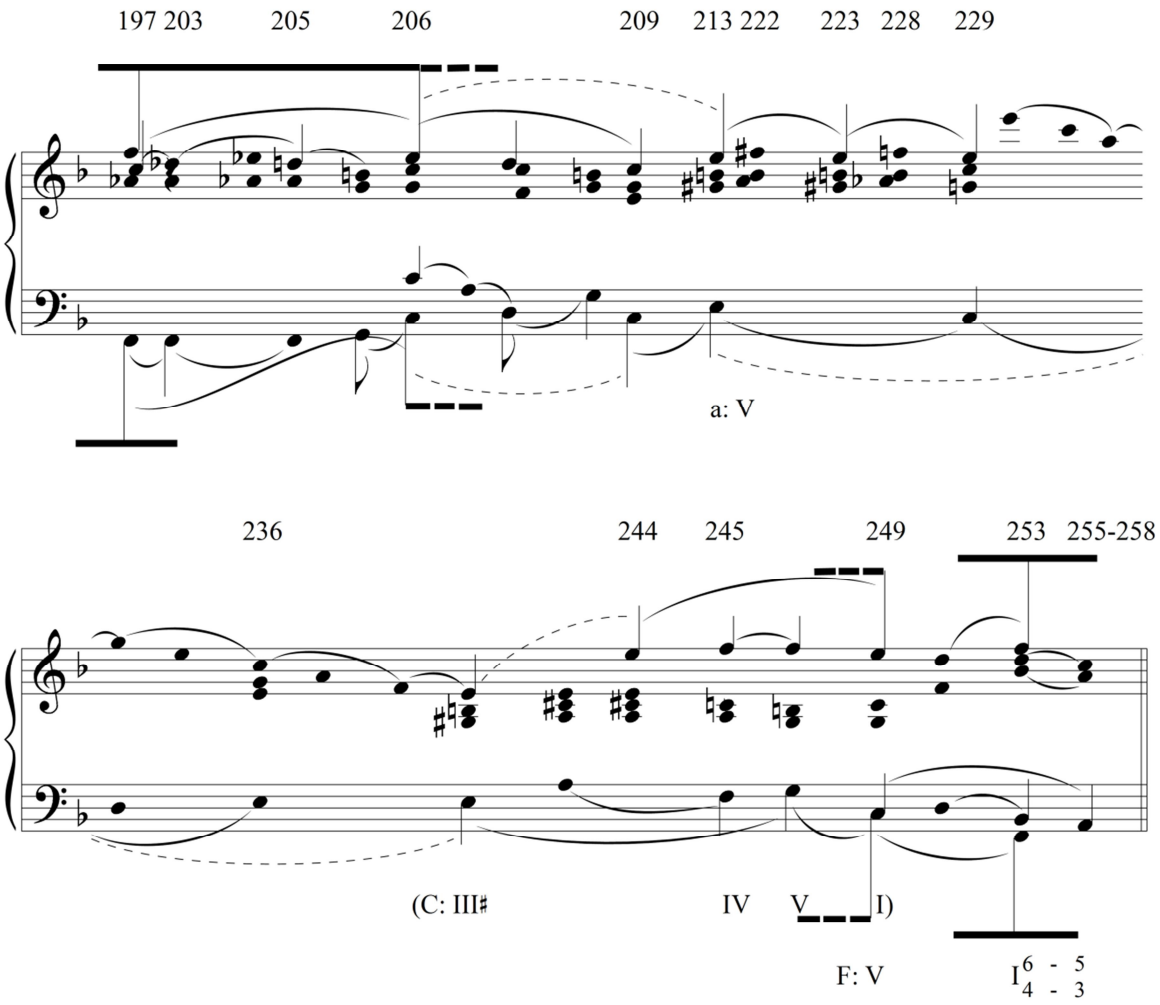
There are two important arguments that support this view. First, E major is never confirmed by its dominant. This view carries with it important notions with regard to the tonal design of the exposition's second part. First, when the E-major chord enters, it sounds like the dominant of A minor, and continues to do so throughout its lengthy appearance, perhaps reflecting an attempt to close the exposition in A minor rather than in F major. Second, near the end of the closing zone's second section (mm. 244–250), a reminiscence of the chorale texture, which leads to a cadence in C major in m. 209, emerges and again leads to a cadence in C major. Thus, the rhetorically emphasized E-major chord is framed by the cadentially confirmed and thus structurally foremost C-major chord.

After the chorale, the sense that we are near the close of the exposition is further highlighted by the trumpet theme from the beginning of the movement, which is heard (in inversion) along with the E-major chord in m. 213. Thus, the closing zone turns into a typical primary-theme-based one familiar from the classical repertoire, where an exposition is often rounded off with primary-theme material. Moreover, on its entrance the

[25] In the 1889 version, the B♭-minor $\frac{6}{4}$ chord enters on octave F's immediately at the beginning of the closing zone's second section (m. 193 in that version), making the tonic function in m. 193 even more uncertain.

E-major chord, as mentioned above, sounds like the dominant of A minor.[26] Here this tonal option affects the exposition's tonal narrative in a number of interesting ways. Had the exposition ended in A minor, the result would have been a key scheme in dialogue with a "three-key exposition," i.e., one in which the primary theme appears in D minor, the secondary theme is in relative major, and the closing zone enters and closes in A minor.[27]

Example 6.8. Symphony No. 3, I, exposition, mm. 197–258, voice-leading sketch.



[26] There is an interesting parallel between the first movements of the Second and Third Symphonies with regard to this kind of harmonic option (i.e., whether to enter the minor-mode dominant key in the exposition). As we have seen in chapter 5, this harmonic option also appeared, though only in passing, in the *transition zone* in the exposition of the first movement of the Second Symphony. In the Third Symphony, the same option is taken up much more tenaciously, but in the *closing zone*.

[27] A good example from the early nineteenth century is Beethoven's *Coriolan* Overture.

In Bruckner's exposition, however, this option, namely, to conclude the exposition in the key of the minor dominant, is taken up around m. 213. In light of the previous events, this procedure could be designated a kind of a "rescue operation": as if frustrated by the constant failure of the earlier attempts to set up the deep-level III convincingly (i.e., during the secondary-theme zone and at the beginning of the closing zone's first and second sections, mm. 173 and 197 respectively), and consequently to close the exposition in F major, the trumpet theme in mm. 5–12 is called on to conclude the exposition, only not in F major, but rather in A minor.[28] The dark connotations that marked the failure of EEC in m. 173, as described above, can be seen casting their shadow even up to this late point.

The vastly prolonged E-major chord actually does resolve to A, which appears as a major chord (a tonic of A minor with a Picardy third) in m. 243. However, the A-major chord turns out to be part of the motion back to C major, which is reinterpreted as a dominant of F and, at the last moment, resolves to an F-*major* tonic (Ex. 6.8). It is noteworthy that locally, the C-major chord sounds more like a tonic in m. 249, and in the following measures, it is simply replaced by the F-major triad. The final progression in mm. 251–259, which ultimately leads to an F-major tonic, bypasses the dominant altogether, giving these measures a somewhat "plagal" character.[29] As Examples 6.7 and 6.8 show, the F-major tonic is attained in m. 253 with the arrival of the B♭-major chord (supported by the entrance of the horns), which makes a $\frac{6}{4} - \frac{5}{3}$ progression over the tonic note in the bass.[30]

Once the deep-level III enters, it is not so much achieved by a strong, goal-directed tonal action, but rather appears as a sudden revelation. In the exposition's second part, we again see a Brucknerian deferral of the ultimate goal, in which a "sense of a telos has been displaced by a multiplicity of break-flows and reversals."[31] No doubt the failure of the

[28] In mm. 221-224, the idea presented by the woodwinds also suggests A major only to turn back to minor in m. 225.

[29] From m. 244 up to the end of the exposition, Bruckner makes two more wonderful references to the beginning of the movement, as Thomas Röder (1987, 105) has pointed out. Röder cites Rudolph Stephan who observed that the flute melody, which begins in m. 244, is a (somewhat free) inversion of the trumpet theme's last four measures. Röder himself adds that the following measures (mm. 251ff.), which finally settle the F-major tonic, actually replicate the three last measures of the trumpet theme. With these references, Bruckner beautifully rounds off the exposition.

[30] The same kind of progression can be found from time to time in the nineteenth-century repertoire; see, e.g., Schumann's "Mondnacht" from *Liederkreis*, Op. 39, mm. 59–61.

[31] Scott 2004, 102.

EEC in m. 173, which further postpones the arrival of the structural III, together with the formal ambiguity surrounding the onset of the closing zone are among the most important dramatic aspects of this exposition. As often happens in Bruckner's music, an orchestrally and dynamically emphatic element – here the E-major chord, which represents a culmination or, using Kofi Agawu's term, a "high point" of the exposition – turns out structurally to be a surface phenomenon, and the ultimate deep-level goal is eventually achieved by a hushed, quiet, almost shy motion.[32] In these respects, the exposition stands in sharp contrast to its predecessors. These features characterize the development section as well, in which its own culmination, or high point, also plays with the trumpet theme, but now on the home tonic. As we will see, the result is an extraordinary formal design with a false recapitulation effect.

6.3 Development

The development presents a unique design among all of Bruckner's developments. The most noteworthy event, the one that marks the climax of the development, is the impressive outburst of the trumpet theme in D minor in m. 343. Many scholars have pointed out that this event – the trumpet theme in the tonic key at the development's climax – has the Haydnesque effect of a *false recapitulation*.[33] In such a situation, often found in Haydn's music, the primary theme returns in the tonic key in the development space. As Hepokoski and Darcy have shown, the idea of a false recapitulation effect is itself far from straightforward. Their notions of the false recapitulation will be taken up in more detail below in connection with the discussion of the climax in Bruckner's development section.

The discussion here traces the formation of the development's formal and tonal design and its connection with the voice-leading structure. In particular, I will concentrate on the build-up of the climactic event, the false recapitulation, and its subsequent influence on the development's formal design, in the process of which thematic

[32] For a discussion of a "high point," see Agawu 2009, 61–73.

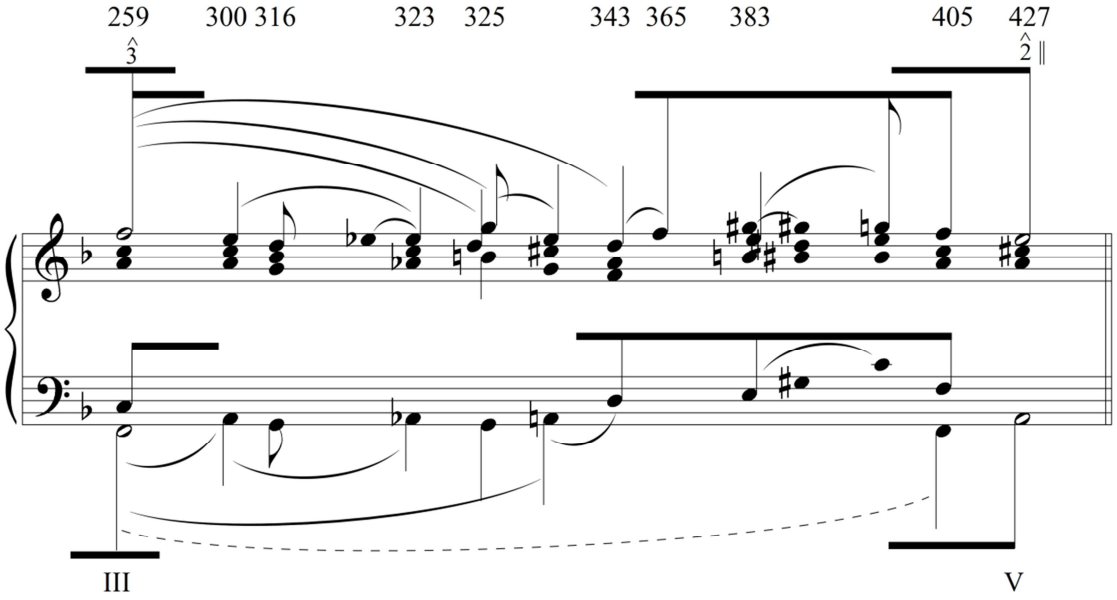
[33] See, e.g., Doernberg 1960, 140; Notter 1983, 73; Simpson 1992, 72.

constituents of the primary-theme zone, specifically, the trumpet theme and the telos, play a vital role.[34]

Example 6.9 shows an overview of the voice-leading events through the entire development. The example shows that the bass note of the climactic D-minor chord in m. 343 acts as a passing tone in an inner-voice fourth progression, C–D–E–F. The tremendous outburst of the trumpet theme at this point divides the development into two large parts: mm. 259–343 and mm. 343–430. Table 6.3 shows the development's formal division and the material used in its constituent parts and subsections.

The first part is further subdivided into three subsections as follows: mm. 259–300 (beginning with a dormant zone, mm. 259–269), mm. 300–325, and mm. 325–343.The second part is subdivided into two subsections: mm. 343–404 and mm. 405–430. The last subsection clearly functions as a retransition. The outburst of the trumpet theme with its false recapitulation effect is the result of a careful build-up in which elements of the design and the structure all contribute with almost exceptional consistency to achieving one and the same goal. To obtain a better picture of this whole process, it is necessary to consider in more detail the events leading up to that climax.

Example 6.9. Symphony No. 3, I, development, voice-leading sketch.



[34] As Thomas Röder (1987, 50) has noted, these constituents provide building material for the development as a whole: "The development of the *Third Symphony* is constructed out of the clearly organized material of the first theme group in simple stretches."

Table 6.3. Symphony No. 3, I, development, formal outlines.

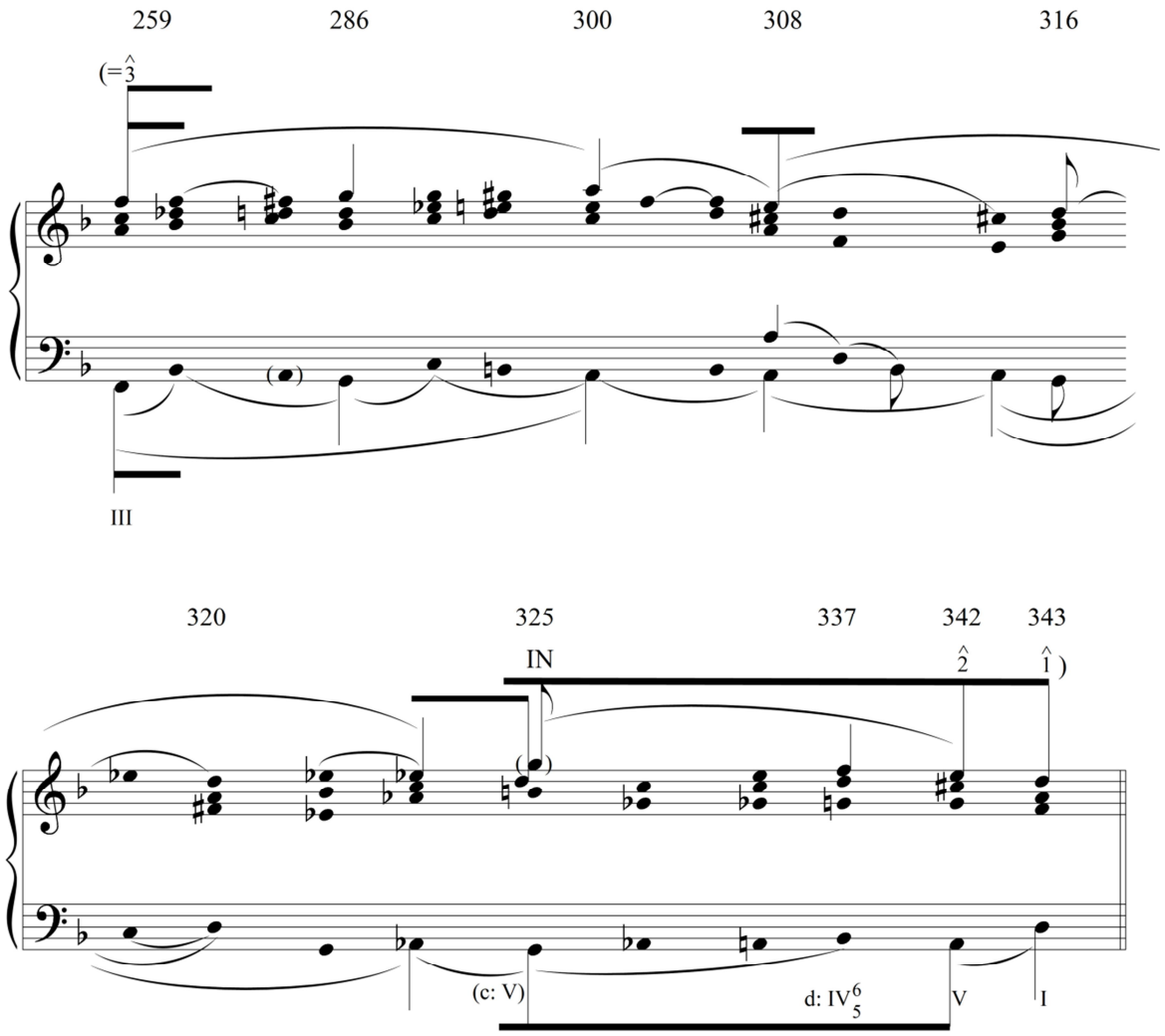
Sonata form	Development (mm. 259–430)				
	1st Part (259–343)			2nd Part (343–430)	
	(259–300)	(300–325)	(325–343)	(343–404)	(405–430) retransition
Thematic material	P^{gen} (+ end of $P^{tel)}$	P^{tel} (beginning)	P^{tel} (beginning)	P^{gen} (the trumpet theme), "false recap." ⇒ becomes transitory	S
Keys	F: ⟶		d:	F:	d: V
Important cadences			d: PAC	F: V	d: HC

6.3.1 First Part

Each of the first part's subsections concentrate on a distinct portion of the teleological primary theme, thereby, in Julian Horton's words, fulfilling "a distinct thematic function."[35] After the "dormant zone" (mm. 259–270) has changed the tonal environment from F major into a dark F minor, the music features two distinct textural layers, which take up the elements of the generative crescendo: starting in m. 270, the low strings treat the trumpet theme's first three measures in inversion, as well as sequentially and imitatively under a curtain of violin figuration. The same procedure begins anew in m. 286, only a step higher, now in G minor. Both of these events end with an abridged version of the telos' concluding statement (mm. 282–286 and mm. 296–299). The second statement ultimately leads to an A-minor chord in m. 300. Up until this measure, the outer voices in the developmen proceed through a third progressions F–G–A. This is shown in Example 6.10, which provides a voice-leading sketch for the development's entire first large section (mm. 259–343).

[35] Horton 2004, 182. Werner Notter (1983, 72–73) describes the first section as being made of three "variations" on the separate fragments of the primary-theme complex, which roughly correspond to my three subsections. He also observes that "the third variation proves to be each time a bridge passage, which further develops the rhythm of the second variation into a Crescendo."

Example 6.10. Symphony No. 3, I, development, mm. 259–343, voice-leading sketch.



The second subsection (300–325) highlights an enlargement of the initiating idea of the telos in the winds in both its original and inverted forms, supported here by a *pizzicato* variation of the string figuration, which originally had appeared with the trumpet theme. Elements from the generative crescendo and the telos are here placed in counterpoint with each other. The second subsection itself divides into three smaller units, each of which ends on a different major chord with a clear dominant function (mm. 316, 320, and 325). The first unit transforms its initiating A-minor chord into an A major in mm. 308 and 316. The music appears to be on the verge of D minor, but the tonic does not appear at this stage because the next unit begins a step lower on a G-minor chord and ends on its dominant in m. 320. Finally, the third unit proceeds to the dominant of C minor embellished by a cadential $^{6}_{4}$ in m. 325.

Naturally, the three dominant chords – A-, D-, and G major respectively – have their own harmonic logic as part of a descending fifth sequence. Moreover, the last of the three, G major, is the most heavily emphasized, its arrival being marked in mm. 323–325 by a stretched-out initiating idea from the telos of the primary theme. As mentioned above, in my interpretation m. 325 also begins the third subsection in the development's first large section. This reading is based on the nature of mm. 325–343 as a huge and gradual build-up to the climax of the entire development, which comes in m. 343 with the outburst of the trumpet theme in D minor. The build-up begins in the realm of C minor with its dominant chord, sustained here for four measures. However, in a broader context, the key of C minor is only an apparent key, because the music ultimately leads to the dominant of D minor in m. 342. The dominant of C minor in m. 325 turns out to be a contrapuntal event, and its bass serves as a passing tone in a large third progression through F–G–A in mm. 255–342 (Ex. 6.9) – an enlargement of the progression in mm. 259–301.[36] The following discussion traces in more detail the events in the third subsection that lead up to the dominant of D minor and the tremendous outburst of the trumpet theme in m. 343. First, I will take up the tonal surroundings in this subsection, and then I will turn to the related motivic issues.

The dominant of D minor itself appears only fleetingly, on the last quarter beat of m. 342, at which point the long sustained B♭ descends in the bass to A♮. However, the preceding events lend the dominant its considerable strength and weight. The B♭ supports a chord that could be interpreted here as IV^6_5 of D minor. This chord in turn not only prolongs the G-major chord from mm. 325–328, but also, and most important for the tonal direction of the music, replaces B♮ with B♭ , which neutralizes the chord's effect as a dominant of C minor. Moreover, the chord itself is embellished with a neighboring diminished seventh on C♯ in mm. 337–342 (which acts as a common-tone type of diminished seventh), giving the music here a strong sense of D minor and its forthcoming tonic.[37]

[36] In the 1889 version, this subsection (mm. 321–341) consists of two more measures, and the dominant of D minor occupies the last two. In addition, the tonal path to this dominant from the beginning G-major chord differs significantly from the 1877 version. However, the subsection fulfills the same formal and tonal functions as a build-up to the climax and with the same kind of motivic/thematic layout.

[37] It is true that, in mm. 339–342, where the opening idea of the telos accelerates to half of its previous duration, E♮ begins to appear more emphatically in several instruments (Horn III even becomes stuck on that note). No doubt, the insistence on that particular note somewhat blurs the harmonic situation and the real arrival of the dominant. In my opinion, however, from m. 337 up to the first half of m. 342, the repetition of

Motivically, the build-up in mm. 335–343 continues the initial idea of the exposition's telos and accelerates it in two stages: after its original form, the idea appears in diminution (mm. 335ff.) and then in double diminution (mm. 339ff.). Eventually, the idea gives way to the trumpet theme at the climax in m. 343. Thus, mm. 235–343 can be regarded as a *teleological* process comparable to that of the primary theme in the exposition.

During that process, a variant of the trumpet theme's beginning, treated imitatively and also in diminution, is added to the texture in m. 334. In this way, the two central constituent parts of the primary theme are integrated, only their roles have switched: the trumpet theme, which originally appeared as part of a generative crescendo, eventually erupts as the goal of a teleological growth; meanwhile, the idea of the original telos is subjected to acceleration and, as Julian Horton puts it, "develops out of its expositional form."[38]

In sum, the development's first part, and especially its harmonic surroundings, emphasizes the distinctively Brucknerian, block-like character of the music, where (seemingly) disconnected units follow one another. The impression is something like an elision, the tonal clarification being constantly questioned and deferred. It is noteworthy that this deferral appears to be connected with the arrival of the home tonic, D minor. Unavoidable as that arrival will be, around mm. 316–317 the music seems to regard the D minor as untimely and goes on to seek other, perhaps more suitable, tonal options at this relatively early stage of the development. As we have seen, both of the next options, G minor and the stronger alternative, C minor, are also eventually discarded. Once the tonal situation is finally clarified, the center turns out to be the home tonic. Again, Bruckner magnificently creates increasing tension by placing events one after the other that seem locally isolated, yet once they are placed in a larger context, these events connect as a unified whole, as shown in Examples 6.9 and 6.10.

Julian Horton makes some important remarks concerning the build-up in mm. 325–342 and the subsequent climax. He observes that, in the exposition, the trumpet theme, which he calls the principal subject, "emerges from the tonic *Klang*, in which context the

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the same basic motivic pattern in flutes, clarinets, and violins I and II places the predominant, which clearly governs the first halves of mm. 337–338, as a controlling chord over these measures. Thus, the E♭ from m. 339 on acts as an anticipation of the forthcoming dominant, rather than a sign of a dominant arrival.

[38] Horton 2004, 185. Although Horton's discussion is about the 1873 version, the accelerating process is basically similar to what happens in the 1877 version.

functions of I and V are conflated or blurred."[39] The trumpet theme is thus preparatory in nature, or "an adumbration," and leads to another theme (or telos), which in turn firmly establishes D minor. The build-up and the climax in the development act as compensation for the initial expositional conflict: the trumpet theme is given the assertive tonic identity outside the expositional space, subordinating the original telos to the preparation of this event.

No doubt, Horton brings out many insightful ideas about the tonal context surrounding the trumpet theme at the beginning of the exposition and at the climax of the development. But there is more to it than he acknowledges. Most important, he does not discuss the *structural status* of the D-minor chords at those particular points. It is certainly true that D minor is, as Horton puts it, "sharply defined" at the climax of the development. However, we have already seen that despite its colossal local entrance in m. 343, the D-minor chord does not set up a deep-level tonic at this point, but instead acts more like a contrapuntal event, i.e., as a passing tone within an inner-voice rising fourth C–D–E–F (Ex. 6.9). No matter how hard it will try, both outside the exposition and, most important, as part of the generative crescendo, the trumpet theme is "destined" to submit to another controlling harmony, here F major.

6.3.2 Second Part

Despite the trumpet theme's ultimate role as an apparent tonic, one might be tempted to interpret its tonic statement in m. 343 as a simultaneous return of the deep-level tonic, mainly because of the heavy emphasis on that event.[40] In this case, however, subsequent events prove otherwise. After the tumultuous music, which will be discussed in greater detail below, the return of the tonic F major in m. 405 suggests that there is no escape

[39] Horton 2004, 185.

[40] L. Poundie Burstein (2011, 24–27) criticizes the traditional Schenkerian view, in which the premature arrival of the tonic primary-theme statement in Haydn's music (occurring during the development) is usually seen as a lower-level event, not as a return of a deep-level tonic. In Burstein's view, however, there are instances in which such a primary-theme statement is more convincingly analyzed as simultaneously representing the return of the deep-level tonic chord. As an example, he points to the first movement of Haydn's Symphony no. 41. Burstein's point here is that such early returns of P in the tonic key within the development should not automatically be interpreted as lower-level events. It should be noted, however, that Burstein speaks about music that stems from a very different historical context than Bruckner's, namely, music from the mid-eighteenth century.

from this key in a musical span that extends from the end of the exposition up to this point. Despite the hushed, quiet, distinctively Brucknerian dominant preparation of the tonic at the onset of the recapitulation, it is difficult to interpret the D-minor chord, which begins the whole symphonic process all over again, as anything but a return of the deep-level tonic. Seen in this light, to interpret the same chord in m. 343 also as a return of the deep-level tonic might not convincingly capture the very different roles of these two events in the overall form and structure.

Here we see an important connection with the exposition. At the exposition's beginning, the D-minor chord, although rather vaguely stated, does represent a deep-level tonic. Later events, and the telos in particular, which "firmly establishes D minor," as Horton puts it, clearly confirm this to be the case. By contrast, in the development's culmination, the trumpet theme and a strong formal boundary are built on a contrapuntal chord. These two instances of the trumpet theme again exemplify a very Brucknerian way of handling the musical organization: the deep-level structural tonic at the beginning of the movement is introduced quietly, whereas the huge outburst in the development turns out to be a contrapuntal event.

As remarked above, the emergence of the trumpet at the development's climax has the effect of a Haydnesque false recapitulation. How strong might this effect be at this point in the development? The question is best considered in light of Hepokoski and Darcy's insightful ideas. As they have shown, the idea of a false recapitulation effect is anything but straightforward. They point out that "at stake in all of this is the question of surprise, the degree to which Haydn intended the listener to be misled with such a tonic-P-statement."[41] It is important to consider, among other things, at which point in the development the tonic primary theme occurs: is it preceded by the primary theme or some other material, and what kind of harmonic progression leads to it? On these grounds, we should then evaluate how strong or weak the false recapitulation effect may be in a given context. For example, the further the tonic primary-theme statement is pushed into the development, the stronger its effect will be. This effect is further enhanced if the statement is preceded by thematic material other than primary-theme material.

In Bruckner's case, the D-minor statement of the trumpet theme occurs somewhere around the middle of the development, and it is preceded entirely by material from the primary theme. We must remember, however, that in this movement, the primary theme

[41] Hepokoski and Darcy 2006, 223.

appears in a large teleological process in which one thematic idea leads as part of a generative crescendo into another idea as a telos. To switch roles, as described above, certainly does not weaken the recapitulation effect in m. 343. On the contrary, the entire first large part of the development can be heard as a preparation for that titanic event.[42]

The tonic primary-theme statement thus has multiple meanings, which appear on different levels of musical organization: on the level of *design,* including that of form, it becomes the culmination point in the development and serves as the onset of a false recapitulation; on a structural level, the D in the bass acts as a passing tone within a rising fourth on C–D–E–F. This fourth in turn not only provides contrapuntal underpinnings for the whole development, but also reflects the rising fourth at the end of the trumpet theme. This fourth itself becomes an integral carrier of the development's structure. In light of his discussion of the motivic/thematic process leading up to the climax, Julian Horton suggests that the D minor in the middle of a development arises "from an attempt to accommodate a dialectic of 'being' and 'becoming' that was alien to the mechanisms of the classical sonata principle."[43] All of these notions endeavor to capture the manifold relationship of theme and form that characterizes this magnificent event.

In fact, the impression of a recapitulation continues far beyond the point of climax, since the primary theme (here featuring the trumpet theme) eventually takes on transitional characteristics, which in turn is followed by secondary-theme material. In other words, had the recapitulation proper begun in m. 343, the transitory quality of the music would be exactly what one would expect here. My point is that the music nevertheless assumes rather strong recapitulatory characteristics at this moment. Before tracing these formal aspects more closely, it is necessary to consider the tonal course of the development's second large section in more detail.

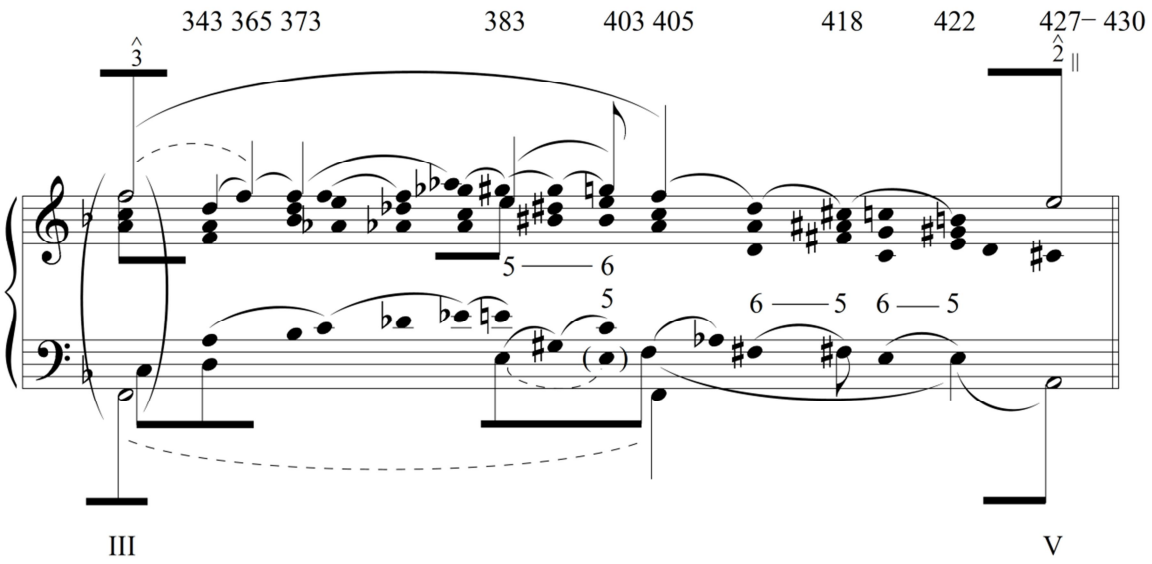
As mentioned above, I divide the development's second large part into two subsections as follows: mm. 343–404 and mm. 405–430. In the second subsection, F major resumes with secondary-theme material and ultimately leads to the dominant of D minor. This is shown in Example 6.11, which provides a voice-leading sketch for the

[42] In each first movement of Symphonies 1–4, Bruckner allows the development to die away gradually before the recapitulation begins. It is only in the first movement of the Sixth Symphony that the climax of the development simultaneously marks the onset of the recapitulation. In the opening movement of Symphony no. 9, a generative crescendo extends over the entire development, and the telos begins the recapitulation.

[43] Horton 2004, 185.

development's entire second large part (mm. 343–430). The second subsection thus acts as a retransition, leading ultimately to the onset of the (real) recapitulation.

Example 6.11. Symphony No. 3, I, development, mm. 343–430, voice-leading sketch.



The energetic first subsection contains rather complex harmonic turns, even struggling or straining turns. During the tumult that begins in m. 343, the trumpet theme undergoes a fragmentation process in which its opening idea accelerates in three stages over the course of mm. 359–387. It is important to recall that the trumpet theme underwent the same kind of acceleration process in the exposition, beginning at m. 69, at which point the generative crescendo started anew (this connection to the same kind of process in the exposition perhaps even strengthens the recapitulatory effect in the development). However, the tonal environment is quite different from that of the exposition, where the process occurred within a sustained home dominant. In the development, by contrast, first the heavy gestures powerfully emphasize the local D-minor tonic in mm. 343–371, and soon thereafter, the music begins to detach itself from D minor and seek new tonal areas. In short, beginning in m. 371, the music engages in transitional activity or rhetoric that includes, among other things, motivic fragmentation, accumulative rhetorical energy, and a drive away from D minor toward new tonal areas. As Example 6.11 shows, the first subsection eventually leads back to F major, i.e., the development's opening key, ending on its dominant chord. This chord is achieved, as is usual with

Bruckner, via a winding, convoluted tonal path, which will now be examined more closely.

In dramatic fashion, the agitated motion leads to an E-major chord, sustained from m. 383 to m. 387, at which point the music suddenly and almost violently breaks off. The agitation is carried even further as the E-major chord is followed in a colorful manner by major triads ascending by major third (with necessary enharmonic spellings), i.e., G♯ major (mm. 393–402, notated as A♭ major), and C major (with an added minor seventh, mm. 403–404). The harmonic identity of the E major at the breaking point in m. 387 is far from obvious, and the same is true for the G♯ major – also left hanging after being fiercely iterated in mm. 395–397. It is only with the last step in this chain that C major, largely because of the added minor seventh, assumes a clear functional identity as a dominant seventh of F major. Thus, the E-major chord can be understood as a harmony that provides a starting point for a motion toward a C dominant seventh chord (Ex. 6.11).[44] As shown in Example 6.11, the bass note E eventually acts as a passing tone between D and F.

The concluding C dominant seventh chord arises then from a 5–6 motion over E. This motion also clarifies the identity of the E-major chord by transforming it into a dominant seventh of F major. As a result, the E♮ in mm. 383–387 connects on a middleground level with F in m. 405, thus completing the ascending fourth progression from C up to F (Exs. 6.9 and 6.11).[45] Despite the initially ambiguous impression of the E- and G♯-major chords, the progression as a whole does not compromise the sense of tonal unity.

Now it is time to return to the formal aspects of the development's second part (mm. 343–430). We have already seen that, as the trumpet theme predominates from m. 343, it

[44] It is noteworthy that the harmonies involved in this tonal itinerary are the E-major, A♭-major, and C-major triads. As already quoted in chapter 5, Matthew Bribitzer-Stull (2006, 167) argues that "the A♭–C–E major-third constellation stands as a prototype for nineteenth-century composers' expressive and structural uses of chromatic major-third relations." He also notes that "because E and A♭ were the most distant keys from C in common usage, their [key] associations were among the most powerful." In addition "there exists evidence of general expressive trends: A♭ is linked to slumber, darkness, and death while E major is associated with transcendence, spirituality, and the sublime" (ibid., 173). Bruckner's use of the E-major and A♭-major chords in succession may well represent the juxtaposition of light and darkness or life and death in this highly dramatic, struggling scene. This is contrasted with the calm, almost pastoral-like character of F major, which starts the retransition in m. 405.

[45] In the 1889 version, the music that intervenes between the E-major chord and F major (i.e., mm. 388–404 in the 1877 version) is completely discarded, thus making a direct connection between E and F also on the musical surface.

gradually takes on obvious transitional characteristics, and if the recapitulation were to start in m. 343, it might suggest something like P ⇒ TR. This means that, as in the exposition, there would be no obvious starting point for what sounds like the transition: the primary theme "becomes" the transition.

In addition to the motivic acceleration described above, there are more subtle links to the expositional procedures in this part of the development. Thus, the music subtly suggests that the recapitulation might indeed have started, a suggestion that ultimately turns out to be false. The E-, G♯-, and C-major chords do not follow one another directly; rather the two-measure motive from mm. 42–43 of the original telos (mm. 39–47), intervenes and leads up to the next step in the succession of thirds (mm. 388–394, and 398–404). Apart from its significance as a bridge between these harmonies, this motive has an important role in the formal layout of the scene. In particular, the use of the motive enhances the transitional effect of the whole passage by subtly referring back to the end of the transition in the exposition's first part. The following discussion clarifies this idea.

In the exposition, the transition ended by repeating the little motive from the *last* measure of the telos' concluding four-measure idea, the three final repetitions with ascending contour (mm. 99–101). In the development, on the other hand, mm. 398–404, which end on the V^7 of F major and lead to the secondary-theme material, state three times, in ascending thirds, the first *two measures* of the telos' concluding four-measure idea, thus creating a subtle link with the end of the exposition's first part.[46]

Of course, the telos has been completely bypassed in this part of the development, but in my view the omission does not weaken the false recapitulation effect. Such a recomposition of the primary-theme zone would certainly have been a plausible option for Bruckner. All of this suggests, I believe, that in the development's second part, the music's trajectory might already reside in the recapitulation proper getting ready around m. 383 to enter the secondary-theme zone.

Given that the secondary theme does indeed follow in m. 405, albeit in varied form, the question arises of at what point does the listener become aware, or become certain, that we are still in the development? As we have seen, the motivic/thematic design strongly suggests a recapitulation space well beyond m. 405, i.e., the beginning of the actual retransition. On the other hand, the introduction of the secondary-theme material in F

[46] There is also a wonderful interplay between these measures of the development and a "true" recapitulation, where the transition ends with a threefold repetition of this same motive (cf. mm. 398–404 and mm. 476–482).

major in m. 405 suggests that this is perhaps not the case after all, or at least that something out of the ordinary is happening here. To begin the secondary theme in a minor-mode work in relative major in the recapitulation would be exceptional, but certainly not completely out of the question.[47] Such a procedure, especially when the secondary theme has appeared in the mediant key in the exposition, would represent a tonal anomaly, or even an "error" that has to be rectified, perhaps later in the secondary-theme zone.

In my opinion, the "real" state of affairs is not definitively disclosed until around m. 415, where the secondary-theme material is abandoned by the self-quotation from the beginning of the Second Symphony, before landing on the home dominant and gradually fading out – a clear sign in Bruckner's music that a recapitulation proper is about to begin. The development as a whole presents P, TR, and S material respectively, but in such an extraordinary manner that this development occupies a unique position among Bruckner's entire symphonic oeuvre. The false recapitulation effect in m. 343 casts its shadow far beyond that point, letting most of the development's second large section play with that idea. The ultimate solution is pushed even past m. 405, i.e., the development's final subsection, which eventually turns out to be the retransition.[48]

6.4 Recapitulation

The recapitulation follows a two-part layout as follows: first, mm. 431–482, and second, mm. 483–590. In the first part, the primary theme and the transition merge into a single whole as they did in the exposition (P $\Rightarrow$ TR), while the second part divides into the secondary-theme zone (mm. 483–549) and the closing zone (mm. 549–591). The formal sections within these parts undergo several significant changes by comparison with the

[47] Examples from the nineteenth century include Schubert's Symphony no. 4, first movement, mm. 214ff., and his "Unfinished" Symphony, first movement, mm. 256ff., as well as Chopin's first piano concerto, first movement, mm. 573ff. However, in these instances, the secondary theme does not appear in the mediant key in the exposition.

[48] Werner Notter (1983, 73) also seems to share this idea when he writes: "With it [S] the recapitulation could continue, supposing that the climax of the development had been simultaneously the beginning of the recapitulation of the Primary Theme …. In the revised versions this variant [of S] is wasted with the undefined citation [from the Second Symphony] (2nd version, mm. 413 [*sic*]–428; 3rd version, mm. 461–502)." He does not, however, make any reference to the key of the secondary theme (F major) at this point.

exposition, especially in the first part and in the second part's closing zone, which are considerably compressed in relation to their expositional counterparts. These changes affect not only the formal layout, but also the voice-leading structure in a number of interesting ways. The following discussion will concentrate on these aspects of the recapitulation.

6.4.1 First Part

In comparison with the exposition's first part, the recapitulation follows a much more direct route to the secondary theme. The crucial point is m. 470, where the telos' concluding statement is repeated sequentially, ending on the local tonic of C minor, which is a whole tone lower than the tonic of the main key, D minor. Up to this point, the recapitulation corresponds closely to the exposition (the slight reharmonization of the telos notwithstanding). However, unlike the exposition, the sequential repetition is neither followed by a strong motion with motivic fragmentation toward a home dominant nor by a restart of the generative crescendo (mm. 48–67, and 69ff.). Instead, the music proceeds directly to the dominant, concluding the recapitulation's first part with dispersing motivic gestures (cf. mm. 92–102 and mm. 476–482). These omissions also make the formal layout slightly more straightforward. Before proceeding further, we should recall the overall formal layout of the exposition's first part (Table 6.2).

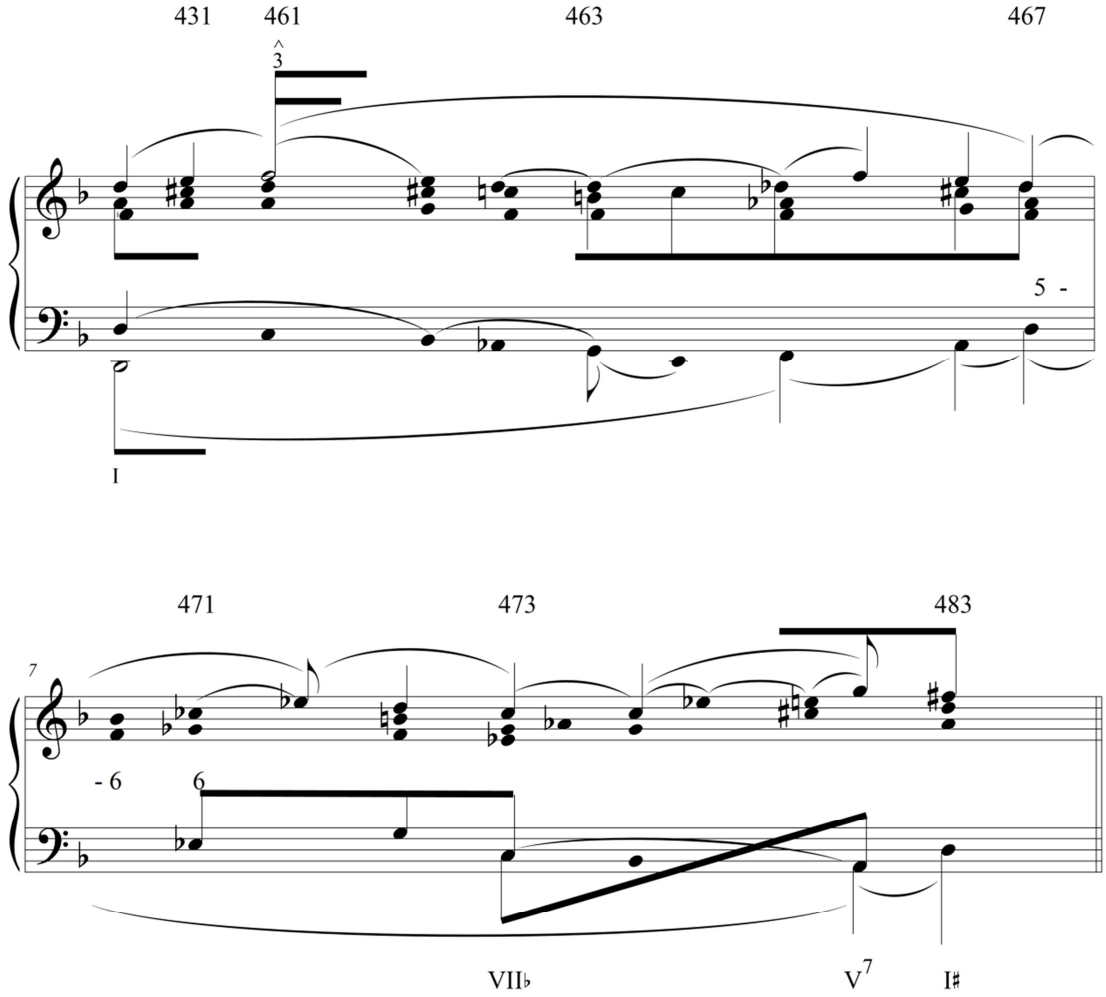
In the exposition, the sequential repetition of the telos' concluding statement (a whole tone higher at that point) beginning in m. 48 starts a continuation unit, which during its course takes on transitional features, ending on the home dominant in m. 67, at that point, a possible medial caesura candidate. The result is a P ⇒ TR scheme. However, all this turns out to be a false clue, so to speak, as the generative crescendo starts anew and leads to the re-emergence of the telos in m. 89 on a B♭ major chord. As a result, there is no unequivocal starting point for the transition. The dispersion of the telos leads seamlessly into the transition, again resulting in the scheme P ⇒ TR, which in the exposition proved to be the real one.

In the recapitulation, this formal ambiguity is lost, owing to the omission of the aforementioned "false clue," i.e., the motivic fragmentation as the music proceeds toward the home dominant (reached in m. 67 in the exposition). The sequential repetition of the telos' four-measure statement (mm. 470ff.) eventually leads to the home dominant, accompanied by a threefold repetition (mm. 476–482, each repetition a third higher) of the

beginning two-measure motive from that statement. Together, these bring the first part of the recapitulation to an end in m. 482. Thus, the telos and the transition merge in the same way as at the end of the exposition. Moreover, mm. 476–482 make a reference to the same kind of repetition of the same motive in mm. 398–404 in the development section, where the repetition also creates an impression of the end of the transition, although at that point within a "false recapitulation." The end of the transition in the true recapitulation is wonderfully reminiscent of the same gesture in the "false" one.

The transition itself also appears to be tonally more secure here than in the exposition by ending on the home dominant seventh chord in root position in m. 482. This is shown in Example 6.12, which presents a voice-leading sketch of the recapitulation's first part up to the beginning of the second part in m. 483. However, the transition seems to be unsure of its destination at first. In m. 471, the sequential repetition begins a harmonic progression, which arrives in m. 473 on a C-minor chord. Example 6.12 shows that ultimately this chord connects in a Schubertian manner with the $V^7$of D minor as its upper third (♮VII♭). Nevertheless, the V^7 of D minor makes a far more convincing medial caesura here than does its expositional counterpart, which was a functionally indistinct inversion of an augmented sixth chord.

Example 6.12. Symphony No. 3, I, recapitulation, mm. 431–483, voice-leading sketch.



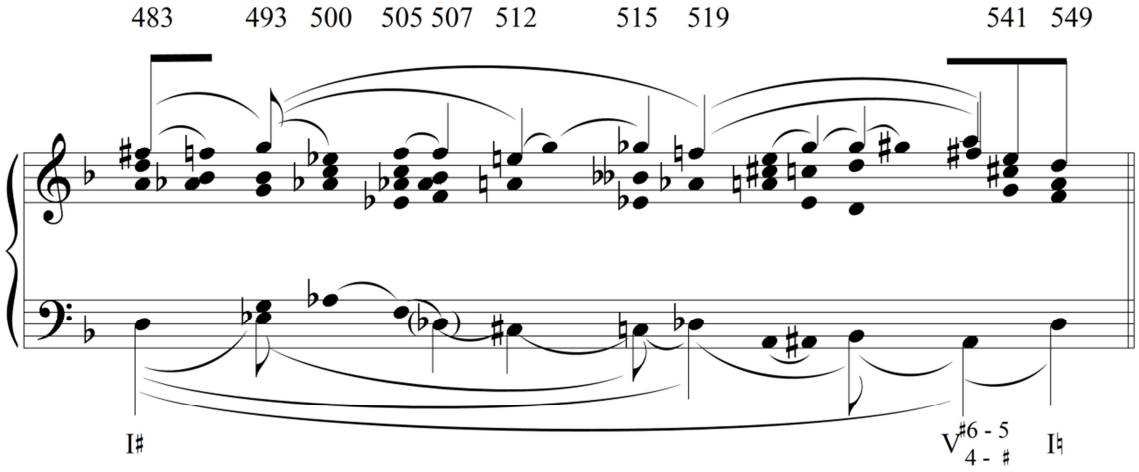
6.4.2 Second Part

Secondary-Theme Zone

Along with the tonally more secure medial caesura, the music overall seems to gain more confidence and self-assurance. This is also reflected in the beginning of the secondary theme, which begins with a structurally confirmed chord. Example 6.13 provides a voice-leading sketch of the secondary-theme zone in the recapitulation. At this point it is worth recalling the corresponding situation in the exposition, where the secondary-theme zone opened with a contrapuntal chord. As we have seen, an important strain in the exposition's structural framework was the postponement of the deep-level III up to the exposition's

final measures. In the recapitulation, where the secondary-theme zone begins with a tonic chord (although here in major mode), there is no point in postponing the deep-level tonic *pitch* at this point in the form.

Example 6.13. Symphony No. 3, I, recapitulation, mm. 483–549, voice-leading sketch.



In addition, in the recapitulation the secondary-theme zone also makes an attempt to establish the tonic major. As we have seen in the previous chapters, the major mode typically emerges at this point in Bruckner's minor-mode movements, only to subside back into minor toward the end of the secondary-theme zone. Here the situation is made all the more compelling, thanks to the substantial shortening of the recapitulation's first part, as described above. The resulting more straightforward and unproblematic formal layout together with a tonally more secure MC encourage the tonic major to come up – only to prove too optimistic an endeavor at this point. I would thus argue that in this case the tonic major and its subsequent failure is a more integrated aspect of the recapitulation's musical drama than in the first movements of Symphonies no. 1 and 2.

Unlike those symphonies, the major mode is preserved to the very end of the secondary theme. When the dominant arrives as a cadential $\frac{6}{4}$ in m. 541, the F♯ is still present, anticipating the forthcoming onset of the closing zone in D major (Ex. 6.13). However, the closing zone begins in D minor and thus preserves the expositional modal change at the juncture of the secondary-theme and the closing zones and a deviation from the expected tonal route. To be sure, the change of mode is confirmed only through the subsequent music, since, as in the exposition, there is no third in the opening chord of the

closing zone. I have discussed the effect of such an open chord in connection with the similar situation in the exposition (m. 173), so here I will take the change of mode more or less "for granted."

Closing Zone

As in the exposition, the beginning of the closing zone provides a tonal "cold shower," so to speak, albeit in a markedly different tonal environment. In the exposition the unexpected F minor swept aside not only the EEC, but also the structural III, which the secondary theme had been unable to set up properly and satisfactorily. In the recapitulation the tonic itself (be it major or minor) has already been firmly established and can no longer be shattered. Here the situation therefore concerns the two modes of the already established structural chord, rather than the structural status of that chord.

However, the secondary theme's failure to keep up the major mode weakens the cadential potential here in a fashion similar to the exposition. By thwarting the expectations, the change of mode frustrates any attempt to set up a satisfactory ESC. The secondary-theme zone thus also fails to fulfill its normative task in the formal layout in the recapitulation. As we have already seen in Example 6.1, the beginning of the closing zone cannot act as a deep-level structural closure either, which is postponed, again typically for Bruckner, beyond the sonata space proper, i.e., into the coda. Both the ESC and the structural closure are here pushed into the coda, although they do not occur simultaneously: the ESC takes place at the beginning of the coda, whereas the deep-level structure reaches its final tonic only at the beginning of the coda's second part (these are shown in Ex. 6.14). The separation of these two important points of articulation to different locations in the course of the music is by no means uncommon in the sonata literature. However, the way it is accomplished in this movement is uniquely Brucknerian. The reasons for my reading will be clarified below.

Although the beginning of the closing zone fails to produce a satisfactory ESC, the formal ambiguity surrounding that beginning, or at least anything comparable to the ambiguity in the exposition, is largely lost. When Bruckner faithfully restates the opening measures of the closing zone from the exposition (albeit in D minor), the listener is immediately aware of the beginning of the new formal section at that point.

One might ask whether this same reasoning applies to the modal shift that also took place in the exposition. I believe that the answer is no, because the change of mode

weakens the cadential effect here in the same way as in the exposition. Paradoxically, however, the change of mode can be understood as strengthening the formal clarity, precisely because it replicates the similar procedure in the exposition. The distinctive Brucknerian clear-cut sectionality results here in astonishingly rich organizational implications.

As does the first part of the recapitulation, so too the recapitulation's closing zone undergoes significant compression. First of all, instead of being divided into two parts as in the exposition, the closing zone appears as a single unit. It manages to clear its way to the home dominant by the end, but at the moment this chord arrives (in m. 583), its function is far from clear. In the course of closing, the closing zone assumes the textural, dramaturgical, and motivic characteristics of the second section of the exposition's closing zone (mm. 197ff.), as well as the development's "false recapitulation" section (m. 343ff.). These references in turn work as a valuable guide to this closing zone's rather complex tonal route. Most important, the trumpet theme steers the way to the end of the recapitulation and the beginning of the coda in the same way as took place at the end of the exposition and the beginning of the development. A slightly modified version of the theme appears in m. 573 in trumpets I and III supported by the G♭-major chord, whose function at the outset is anything but obvious. At this point, where the music has been driven far from the D-minor tonic, the trumpet theme serves as a signal or a signpost pointing the way to the forthcoming end of the recapitulation.[49] The following discussion clarifies the harmonic progressions in this extraordinary tonal environment.

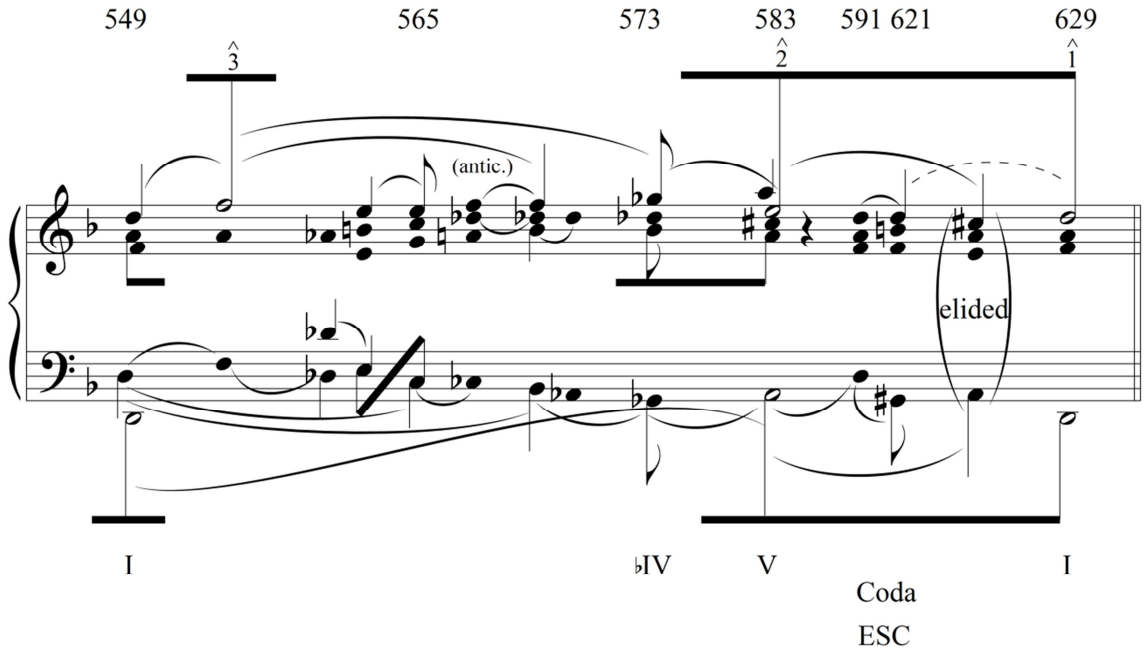
Example 6.14 presents a voice-leading sketch for the entire closing zone and the coda. The V of D minor is approached through a G♭-major chord, a highly unconventional lowered subdominant. However, in my view the chord's status as a subdominant becomes clear only during the very last measures before the onset of the coda. The way to this subdominant is through a chain of triads lying a descending major third apart, D-minor–B♭ minor–G♭ major (Ex. 6.14). [50] The first of these thirds, D–B♭, traverses a passing C♮, which

[49] Thomas Röder (1987, 104) calls the theme at this point a "Motto Workpiece" (Motto "Werkstück"). He also points out that the theme creates "a clearly understandable relationship between both formal areas of the third theme [or the closing zone in the exposition and the recapitulation], i.e., it leads to the development or to the coda." He also aptly observes that the theme is used here to slow down the forward-striving movement in C. He does not, however, discuss the role of the harmonies, especially that of the G♭ major, in any greater detail (ibid., 105).

[50] One might justifiably ask whether the G♭-major chord represents a ♭IV or an enharmonically spelled ♯III. In a larger context, ♯III would perhaps be the more natural interpretation. On the other hand, considering

appears in m. 565. It might seem strange to read C as a passing tone, although it undoubtedly gets considerable emphasis with the change in the violin figuration and the appearance of the diminished form of the opening idea of the trumpet theme, both of which occur simultaneously in m. 565. Moreover, C is also sustained over four measures, while the B♭ appears in only one measure. I believe the reading presented in Example 6.14 is justified by the harmonic situation in mm. 568–569, which results from chromatic voice leading. In these measures, C♮ becomes C♭, against which the upper voices in m. 570 sound an augmented sixth, A♮, vigorously heading for B♭ in the following measure. The shift from C♮ to C♭ is also emphasized by the addition of the trombones in m. 569. Yet there is no "inevitable" drive toward C in m. 565, despite its local emphasis as described above.

Example 6.14. Symphony No. 3, I, mm. 549–629, voice-leading sketch.



The progression in major thirds in mm. 549–573 marks the tonal environment in the closing zone in a significant way. Felix Salzer and Carl Schachter make an important observation about such progressions: "We register the equal intervallic progression

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the way the chord is approached – through a chain of descending major thirds from D – ♭IV would make more sense, and that is how I label it here. Conspicuously, the 1889 version has an F-major chord at this point (i.e., III). Thus, the progression from the onset of closing zone is wholly diatonic: I–III–V.

without referring them to a supposed diatonic original. This temporary lack of diatonic frame of reference creates, as it were, a suspension of tonal gravity."[51] As a result of this "suspension of tonal gravity," the following chord, A major, which enters in m. 583, seems to be functionally somewhat uncertain at its outset. No doubt, the motion to the dominant through a ♭IV, with an augmented second in the bass G♭–A♮, adds to the tonal obscurity here. The A-major chord enters with ***fff*** dynamics and with a great deal of motivic fuss, but it is only the quiet drum roll, which enters in m. 588 and resolves to the tonic three measures later, that finally tells us that we are actually on the dominant. Only during these measures does the preceding G♭-major chord reveal its true identity as a lowered subdominant. Again, important elements in terms of both structure and form are not achieved by goal-oriented tonal action, but are simply (and here almost brusquely) tossed into the music, initially with indeterminate tonal identity. No matter how forcefully they try, the juxtaposed G♭-major and A-major "masses" leave the tonal situation open, postponing the ultimate solution to the final measures of the closing zone. These procedures also cast a shadow over the structural status of the D-minor chord that opens the coda. Example 6.14 clarifies the relation between the conclusion of the closing zone and the ensuing coda.

The coda's first part proves to be unable to close the structure for a number of reasons, which will be clarified below. As mentioned above, both ESC and the structural closure are here pushed into the coda, although they do not occur simultaneously: ESC takes place at the beginning of the coda, while the deep-level structure reaches its final tonic only at the beginning of the coda's second part (these are shown in Ex. 6.14).

Despite the peculiar behavior of the dominant chord at the end of the closing zone (mm. 583–590), as described above, the dominant is understood as the structural V, which supports the $\hat{2}$ of the *Urlinie* (Ex. 6.14). As a back-up for this interpretation, it might be worth comparing this situation with the similar passage at the end of the exposition. The comparison highlights the quiet dynamics that surround the arrival of the deep-level chord. At the end of the exposition, the F-major chord (as a tonic) entered quietly, without any fuss, and yet (partly because of its relaxed, solemn character) was able to serve as a deep-level III. At the end of the recapitulation, the deep-level V enters loudly, but reveals its true function only with the quiet drum roll in mm. 588–590. As often with Bruckner, it is the soft, fragile events, which sometimes pass almost unnoticed, that take the

[51] Salzer and Schachter 1989 [1969], 215.

responsibility for carrying (or, as in this case, revealing) a work's structural pillars. Yet I do not interpret the D-minor sonority which begins the coda as a structural tonic, as the resolution of the preceding dominant. The following discussion will reveal why.

6.5 Coda

The coda is in two parts: mm. 591–628 and mm. 628–652. The first part opens in m. 591 with a D-minor chord, which also supports the return of the movement's opening material. This chord enters quietly, tentatively, as if made fragile by the preceding brusque actions. As I have already suggested above, I read the motion from A to D in mm. 590–591 as an authentic cadence, capable of serving as an ESC, but the tonic at the beginning of the coda does not act as a background element.[52] Although the viola's tremolo together with the drum roll on the note D in the first one and a half measures could verify D's role as a background tonic, the larger context suggests otherwise. In my opinion, the D-minor chord that opens the coda does not serve as a structural goal of the progression, but rather as a contrapuntal event within a prolonged dominant (Ex. 6.14). The structural closure is thus put off until later.

I believe that the bass line offers an important clue to this interpretation. The cellos and basses begin their line immediately in m. 592, with the passing tone C, after which they keep iterating the chromatically descending third from C to A. No doubt, this third beneath the tonic *Klang* of the string figuration adds to the uncertain quality of the D-minor chord. Moreover, and perhaps most important, after having descended to A several times, the basses, with full orchestral force, reach beyond that note down to G♯ in m. 621. This note supports a diminished seventh chord, which also stands as a culmination point of the coda's first part. As a result, the D from m. 591 connects with that G♯ , which in turn acts as a neighboring tone to A in the bass within the prolonged dominant (Ex. 6.14). However, toward the end of the coda's first part, the prolongation of the dominant is made problematic in a remarkable way.

The first part of the coda makes an enormous, gradual rise to the amassed orchestra's full force and ends with a goal-oriented chord progression headed toward the

[52] It may be arguable whether the recapitulation ends with a half cadence or connects with the coda with an authentic cadence. I prefer the latter interpretation, mainly because of the seamless continuation of the drum roll from the A to D in mm. 590–591.

dominant in mm. 619–621. The progression culminates on a diminished seventh chord on G♯ in m. 621. The dominant chord lurks just round the corner and could easily enter after the interpolated fragment from the primary theme's telos in mm. 622–627, still on the same diminished seventh chord. This is not what happens, however; instead, at this point the dominant is bypassed altogether. It becomes blurred, in sense, with the second return of the movement's opening material on a tonic chord, which forcefully begins the coda's second part in the second half of m. 628.

Had the V been present, the D and F of the diminished seventh chord would naturally have moved to the C♯ and E of that dominant. As Example 6.14 shows, the coda's opening tonic chord is essentially understood as giving consonant support to an anticipation of the dissonant passing tone D in the upper voice, which appears in a third progression from $\hat{2}$ to the inner voice C♯ within a prolonged dominant. Because of the elision, however, the D and F connect directly to the same notes of the concluding tonic, i.e., the goal of the whole structure (Ex. 6.14).[53] Moreover, the bass note, G♯, enters the *inner-voice* A within the deep-level tonic chord.

Bruckner's procedure is clearly related to the one in which the cadential $^{6}_{4}$ is followed directly by the root-position tonic, instead of resolving first to the dominant $^{5}_{3}$. Such a procedure occurs from time to time, especially in nineteenth-century music.[54] However, as Example 6.15 shows, Bruckner takes the move a step further by also eliding the cadential $^{6}_{4}$ and resolving the diminished seventh chord directly to a root position tonic.

The end of the recapitulation and the following two-part coda is another good example of Bruckner's characteristic, disjunctive way of organizing the musical material. I would argue that it is precisely the sharply juxtaposed formal blocks and harmonies, in this case almost blatantly put together, that make the tonal situation complicated in various ways. And yet, as Example 6.14 shows, it is possible to offer a convincing Schenkerian analysis of the end of the movement as reaching its structural closure in the coda, although the coda includes features that clearly deviate from the more traditional tonal procedures.

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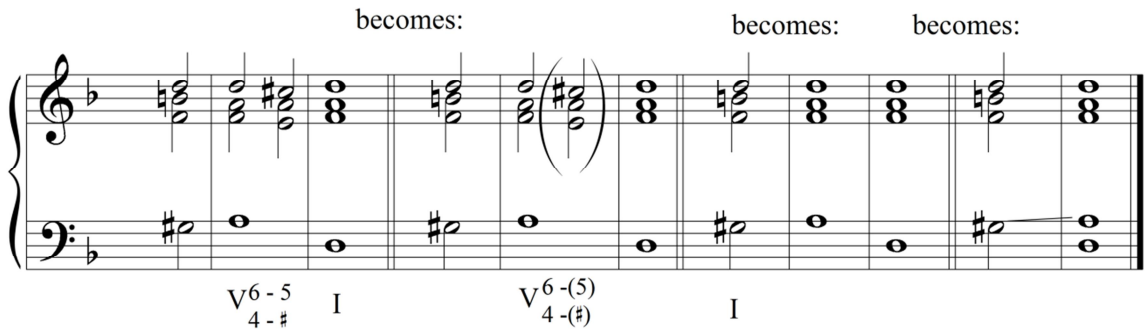
[53] Strictly speaking, the notes of the diminished seventh chord and the concluding tonic belong to different structural levels. Nevertheless, the connection is clearly audible and is, I believe, an integral part of this remarkable musical utterance. Edward Laufer (1997, 214–218) discusses a somewhat similar elision of the requisite V in the Scherzo of Bruckner's Ninth Symphony. As Laufer mentions in his article, such an elision is a "typical Brucknerism." However, unlike the first movement of the Third Symphony, in the Scherzo the dominant chord is not present *at all*.

[54] See, for example, the third movement of Beethoven's Piano Sonata Op. 110, mm. 114–115, and the development section of the first movement of Schumann's Fourth Symphony.

The tug of war between these varying elements and procedures is an integral part of the expressive force of the music.[55]

Example 6.15. Symphony No. 3, I, the elision of the root-position tonic in mm. 622–628.



6.6 Conclusion

Several scholars have commented on the special status of Bruckner's Third Symphony in the composer's symphonic output as a whole, especially its form, which has emerged as a crucial aspect here. In the 1920s, Ernst Kurth stated that "[w]ith the third the agony with form really began."[56] Four decades later Robert Simpson pointed in the same direction with his remark that in the Third Symphony, Bruckner "was groping towards a new conception of large-scale form."[57] Dermot Gault also emphasizes the uniqueness of the work and its first movement in particular: "By now it is clear that Bruckner has produced a movement that is sufficiently distinctive not to be afraid of comparisons with Beethoven, Wagner, or anyone else."[58] As we have seen above, Julian Horton has made many

[55] In the first version (1873), the recapitulation and the first part of the coda end on an unambiguous home dominant. As Robert Simpson (1992, 73) states, the coda in the first version "is more inevitable and stable than in either of the revisions." Surely one motivation behind Bruckner's conclusion of the movement in the revised, 1877, version, is to compromise this ending, which reinforces the end of the finale to stand out as the ultimate closure of the musical drama in the work as a whole. In all of the versions, the concluding measures in the recapitulation of the finale feature the diminished seventh chord on G♯, which resolves to the home dominant before the coda bursts out in D *major*.

[56] Kurth 1925, 819.

[57] Simpson 1992, 64.

[58] Gault 2011, 50.

insightful observations about the musical influence behind this work. About the first movement, he writes that "[p]erhaps more clearly than any other work by Bruckner, its boundaries as an autonomous work seem permeable, and consequently susceptible to location within an intertextual network."[59] Horton has traced Beethovenian, Schubertian, and Wagnerian sources for the Third Symphony, at the same time acknowledging that the composer shows "a highly original concept of symphonic design."[60] He also writes that "[t]he first movement, especially in its 1873 form, generously betrays Bruckner's attempts to accommodate and 'go beyond' these models."[61]

What might these new, original features be from the point of view of this study? In the first part of the exposition, the formal design differs significantly from Symphonies 1 and 2. In the Third Symphony, the primary theme and the transition are not articulated as separate entities; instead, the exposition's first part results in a P $\Rightarrow$ TR merger. Most significant, there are actually two such mergers, the first of which proves to be false, while the second is the real merger and leads to the conclusion of the exposition's first part. Moreover, the primary theme is constructed as a "teleological genesis" (a double-theme type), which occurs here for the first time in Bruckner's symphonic oeuvre.

It should be pointed out that the exposition still follows the same tonal motion found in the earlier works, namely, proceeding from the tonic minor to the relative major, the key in which the secondary theme begins. However, the interaction between the large-scale tonal design and the structure differs significantly from the Third Symphony's predecessors. First of all, the postponement of the deep-level III near the end of the exposition is surely one of most dramatic aspects of this section of the form. This procedure is carried out in such a fashion that it compromises the attainment of the EEC, as both the secondary-theme zone and the closing zone turn out to be unable to produce this cadence. Its first, more normative, occasion is swept aside by the unexpected F minor at the beginning of the closing zone. Nor is the EEC given a chance to appear later, as the closing zone proceeds without producing any proper cadential progressions whatsoever, not even at its conclusion.

The most significant feature of the development section is obviously the forceful re-appearance of the trumpet theme, initially heard in the beginning of the movement, which recurs in the main key somewhere around the middle of the development. This appearance

[59] Horton 2004, 176.

[60] Ibid.

[61] Ibid., 175.

creates a gigantic "false recapitulation effect," and places this section in a unique position among all of Bruckner's development sections.

The recapitulation follows the same basic formal layout as the exposition, but in the recapitulation the big issues are the attainment of the ESC as well as the deep-level V and I. The beginning of the closing zone also fails to make any strong point of articulation, thus postponing the ESC to the beginning of the coda's first part and delaying the structural closure even further, to the beginning of the coda's second part. Most remarkable of all, the deep level V, while appearing as a chord already in m. 583, refuses to reveal its identity until the very last (three) measures of the recapitulation.

These are among the most important features that give this opening movement its unique shape among Bruckner's symphonic oeuvre, and these are the features that the composer would develop further in his subsequent works.

7 The Three Movements in Perspective

The purpose of the following discussion is to summarize briefly the analytical observations in the previous chapters. I would argue that, in each of the movements, much of their powerful and colorful musical drama arises from the ingeniously rich interaction between aspects of formal design, tonal design, and voice-leading structure. As I have shown, these analytical tools yield deep insight into the wide variety of techniques and procedures Bruckner uses in his musical utterance.

The expositions of all three movements exemplify this interaction perhaps most vividly. The deep-level structure follows a traditional plan inasmuch as it passes from the tonic of the main key set up at the outset to the establishment of the III. However, in each exposition, the deep-level III is not only attained at different locations in the form, but establishing it involves encounters with various obstacles and hindrances carried out with compositional practices that amount to hallmarks of Bruckner's personal style. As mentioned in chapter 2, Julian Horton has grouped such practices into four categories, which themselves characterize Bruckner's music: expansion, teleology, negation, and discontinuity. Of these four, expansion, teleology, and discontinuity are especially appropriate in the context of the present study.

With regard to the deep-level structure, the exposition of the Second Symphony is perhaps the most "classical" of the three, whereas the Third is the least. That is to say, in the Second Symphony, the deep-level III is attained at the beginning of the secondary-theme zone. This zone then closes with a PAC supporting the deep-level $\hat{3}\,\text{–}\hat{2}\,\text{–}\hat{1}$ of the secondary key in the upper voice (see Exs. 5.1 and 5.6) and also produces a satisfactory EEC. In the Third Symphony, most of the musical drama, at least from the end of exposition's first part on, arises from the search for this deep-level III. This chord is postponed in a dramatic fashion after a series of attempts to set it up, plus annulments of these attempts with reversals, as well as stops and restarts in the final measures of the whole exposition. In a sense, the exposition of the first movement of the First Symphony stands between these two. Here the deep-level III is attained at the beginning of the closing zone. The attainment of that chord occurs after the failure of the tonally derailed transition leads to an almost disastrous outcome and the fragile attempt of the secondary-theme zone to set up the III (see Exs. 4.4 and 4.5).

Naturally, the formal layout is intimately related to the structural framework described above. As we have seen, each of the three expositions consists of two clearly separated parts, the second part being divided into the secondary-theme zone and the closing zone. The first parts, however, are not constructed with equal consistency: in the First and Second Symphonies, the exposition's first part can be divided into the primary-theme zone and the transition zone, whereas the formal layout of this part in the Third Symphony is more complex. All of the transitions appear in interesting and multifaceted dialogue with the more traditional or classical transitional procedures. They also fail to enter the realm of the proper secondary key, the relative major, but each fails in a very different way. Whereas in the First and Second Symphonies this failure becomes evident only after an unsuccessful attempt to reach the V/III, the ending of the transition in the Third Symphony is more subtle. Table 7.1 presents the formal and tonal layout of the exposition's first part in Symphonies 1, 2, and 3.

Again the Second Symphony seems to be the most "classical" of the three and the Third, perhaps, the least. In the Second, the primary theme closes with a PAC (a rare instance among the first movements of Bruckner's symphonies), after which the TR is presented as a "dissolving restatement" of that theme.[1] Moreover, the transition ends on the home dominant, which is sustained for several measures, producing a "dominant-lock" effect; both procedures already appear in the classical sonata literature. However, the tonal path toward that dominant and the construction of the "dominant-lock" are unique: before landing on the home dominant, the music makes an attempt to enter on the V/III, and immediately after that on the V/V♭ (see Exs. 5.4 and 5.5, and Table 7.1), after which the sustained home dominant eventually dies out completely toward the transition's ending.

Table 7. 1. First part of the expositions of Symphonies 1, 2, and 3.

Symphony	P	TR
No. 1	c:	→ attempt to build an MC on E♭:V fails, → G♭:V
No. 2	c:	→ hints at E♭:V, then g:V, → c: V
No. 3	P, d: ⇒	TR ——→ tonally ambiguous

[1] As discussed in chapter 5, the dissolving restatement type transition occurs when the primary theme ends with a PAC and then starts anew from the beginning only to assume at some later point transitional characteristics. See chapter 5 for a more detailed discussion of the transition in the exposition of the first movement of the Second Symphony.

It is noteworthy that V/III, V/V♭, and the dominant of the primary key are all classical tonal options for ending the transition zone, and their frequency of appearance also approximately follows this order. Bruckner's transition thus makes a clever cross-section of those classical procedures. The complete fade-out toward the transition's ending may be interpreted as a sign of frustration after the unsuccessful attempts to enter on the other dominant chords and perhaps set up a normative medial caesura on that chord. As the music vanishes into silence, the prospects of any medial caesura also disappear beyond the horizon. It is doubtful if the final single drum stroke on G is able to serve even as a highly non-normative MC.

The exposition's first part in the first movement of the Third Symphony presents us with a very different formal layout. First, a teleological process underlines the primary-theme zone: the generative crescendo (featuring a trumpet theme) leads to a forceful telos in m. 31. As I suggested in my analysis, there is no independent transition zone, but rather a merging of that function with the primary-theme zone as the final appearance of the telos (beginning in m. 89) takes on transitional characteristics toward its ending. However, the music suggests a transition – which proves to be a false one, though – already much earlier. This formal implication arises out of the construction of a large complex from the beginning of the first appearance of the telos in. 31 up to m. 67, at which point the V of D minor is reached. The implied transition ends with a clear medial caesura candidate on V of D minor, which is immediately annulled, however, by the restart of the generative crescendo on that same dominant chord. On the other hand, the transition proper ends the exposition's first part with an ambiguous augmented sixth chord, which could locally be heard as a V^6_5 in G♭ major, but which eventually connects with the ensuing F-major chord at the beginning of the secondary-theme zone as a common-tone augmented sixth chord (see Exs. 6.1 and 6.4). The tonal separation of the exposition's first and second parts is thus, in a sense, compensated for by the smooth voice-leading. Or to put it differently: discontinuity on one level contrasts with continuity on another.

The exposition's first part in the First Symphony is also marked with false formal clues, but they occur within the separate, true transition zone. After a rather normative beginning, the transition tries to set up an equally normative medial caesura on V/III, which would be expected in m. 26. The decline of this option leads, extraordinarily, to the return of the opening measures of the primary theme in m. 28. As I have shown in my analysis, I interpret this thematic return as still being part of a transition, not a true reprise

of a ternary primary theme. Nevertheless, the restart of the primary theme in m. 28 surely signals a momentary hesitation of the real nature of this part of the form – a hesitation perhaps growing out of the failure of the medial caesura to present itself a few measures earlier. The thematic reference thus acts here as an element of discontinuity, a typical feature of Bruckner's music, which only increases as the transition ends on a dominant of the remote G♭ major.

In the First Symphony, the transition is also approached very differently from that in the Second Symphony: in the First, there is almost an element of teleology, a strong sense of continuity, in the way the primary-theme zone leads with increasing dynamics and motivic fragmentation to the outburst of the transition in. 18. After such a promising beginning, the failure to redeem those promises eventually leads to an element of utmost tonal discontinuity: the transition does end on a dominant chord of an apparent G♭ major and thus with a "dominant-lock," but the dominant is such that it has no future in the subsequent course of the exposition. This is a masterfully constructed section, colored with cleverly imbedded subtle references to the more traditional transitional procedures.

As we have seen, all three transitions fail to enter the realm of the secondary key. With regard to the concluding harmony, the transition in the Second Symphony is the most classical of them all, with its ending on the sustained home dominant, although the construction of this ending, as described above, both in this chapter and in the analyses in the foregoing chapter, is unique. In all three movements, the secondary-theme zone begins in the proper secondary key, i.e., in relative major, but in each case, the tonic chord of that key has a very different structural status, and only in the Second Symphony is the opening E♭-major chord also accepted as the deep-level III. In the First and Third Symphonies, the transition's ending thus has an effect on postponing the arrival of that structural chord.

The following sums up the formal and tonal outlines of the exposition's second part in Symphonies 1, 2, and 3. Table 7.2 shows these outlines. In the First Symphony, the E♭-major chord appears during most of the secondary-theme zone only as a $^{6}_{3}$ chord, and the zone as a whole is built on an auxiliary cadence I^{6}–V–I leading to the root position E♭-major chord as a deep-level III at the final measure of the zone, which is simultaneously the onset of the closing zone (see Exs. 4.1 and 4.5 and Table 7.2). In other words, the fragile E♭-major sixth chord in the secondary-theme zone looks *ahead* as an anticipation of the root-position tonic. In the Third Symphony, the secondary-theme zone resides in F major, but its tonic chord connects directly with the deep-level tonic of the whole movement, D minor as its upper third, rather than being an independent deep-level *Stufe*.

Table 7. 2. Arrival of the deep level III in the second part of the exposition in Symphonies 1, 2, and 3.

Symphony	S	C
No. 1	(E♭: I^6 V c:	I V–I) III
No. 2	(E♭: I V c: III	I V–I)
No. 3	(F: I V d:	I♭ I♮) III

In each of the three expositions, the closing zone is vastly extended, often in a way that creates discontinuity in the music. To begin with the Second Symphony, after the tonally solid beginning, the closing zone moves forcefully toward the dominant of E♭ major only to change course rather abruptly. After a moment of uncertainty, the music even enters the dominant of C minor in m. 151. This harking back to the main key of the movement at such a late stage in the exposition may be interpreted as a response to the early, almost all too easy acceptance of the E♭-major chord as a deep level III. However, the chord that locally appears to be V in C minor turns out on the larger level to be III♮ in E♭ major, which still controls the closing zone as a whole (see Exs. 5.1 and 5.8–10).

In the First Symphony, the prolongation of the E♭-major chord in the closing zone appears to be much more straightforward. As Julian Horton has observed, the discontinuity here results from the gigantic trombone theme, which starts in m. 94. He cites James Hepokoski's category of "breakthrough deformation," and Hepokoski's definition of it as "an unforeseen inbreaking of a seemingly new…event" to describe this climactic theme.[2] However, despite its massive force and highly chromatic nature, the theme does not shatter the underlying E♭ major in any serious way. It is rather its sheer power that "breaks through" the flow of the music.

In the Third Symphony, the exposition's entire second part is the most complex of the three. Not only the closing zone, but also the secondary-theme zone is more extended and discontinuous than in the First and Second Symphonies. The whole zone consists of four sets of thematic repetitions starting in F major, then moving to G♭ major, E major,

[2] Horton 2004, 159.

and finally returning again to F major. The second of these repetitions is vastly extended by a highly chromatic, tonally unstable section (mm. 125–140; see also Ex. 6.6). The connection of the secondary-theme zone to the closing zone is also constructed very differently here from its predecessors. The final, fourth set of motivic repetitions leads to an intensification, which in turn prepares the entrance of the closing zone.

In the Third Symphony, the onset of the closing zone is a result of a forceful harmonic and motivic preparation, which makes it stand in sharp contrast to the corresponding formal juncture in Symphonies 1 and 2. Julian Horton even states that the "intensification…forces a structural reorientation through which the first and second themes appear as preparatory."[3] However, the intensification fails to achieve its tonal goal, a solid F-major chord that could produce a satisfactory EEC at the beginning of the closing zone in m. 173 and perhaps also set up a deep-level III at this point, with almost fatal consequences as described in chapter 6. The denial of a well-prepared cadence leads to an extreme tonal outcome: the closing zone as a whole consists of a struggle for that F-major chord. As if frustrated by the constant failure to achieve this sonority, toward its ending the closing zone seeks an alternative tonal option, A minor, to close the exposition. After all the cadential strivings have proven unsuccessful, the F-major chord emerges through a solemn, plagal progression in mm. 251–255 without a proper cadence at this point.

These features alone certainly give this closing zone a special status in the formal and structural layout of the exposition. It may be argued, and with good reason, that the exposition focuses on its closing zone more significantly than in the First and Second symphonies. Moreover, the development section in the Third Symphony has a unique design compared with its predecessors, which results in an intriguing relationship between the form and the voice-leading structure. Most significant, the colossal entrance of the trumpet theme in D minor in m. 343, with its false recapitulation effect, occurs on a passing tone D in the bass (Exs. 6.1, and 6.10). The entrance of the trumpet theme is prepared with a huge motivic and tonal intensification, in which the motivic material of the original telos prepares the trumpet theme, which originally acted as preparatory, i.e., as part of the generative crescendo. As I have suggested in my analysis in chapter 6, the switching of the trumpet theme's formal role may have a structural implication: outside of its preparatory role in the exposition (or in the recapitulation, for that matter), the trumpet

[3] Horton 2004, 156.

theme proves unable to establish a deep-level tonic; instead, it is "destined" to occur as a contrapuntal chord within the deep-level III, which was so laboriously sought in the closing zone.

The development sections of the three movements also converses with the exposition through various though very different links. In the First Symphony, I would point out one special instance in the tonal course of the movement. As we have seen, the transition first runs aground in its attempt to enter E♭ major and then concludes in a remote G♭ major on its dominant chord. In the development, the G♭-major emerges, not as a key, but as chord (a dominant in C♭), which plays a prominent role as an upper third of the deep-level III, eventually leading to the deep-level V (Ex. 4. 1). Despite their different local tonal contexts, I believe the association between these two situations is fascinating and, I dare say, unmistakable: in both, an element hinted at in the end of the transition is taken up in the development, but in a different tonal context.

In the Second Symphony, the G♭-major chord may also serve as an intriguing example of the formal, tonal, and structural relationship between the exposition and the development. In the development section, the music moves towards G♭ major through motivic and tonal intensification, and the tonic of that key is achieved at the climax of the intensification in m. 231. The bass of the chord appears as a passing tone within a prolonged A♭-major chord, but G♭ major is locally emphasized as a key of the new thematic idea, which crops up in m. 241. In this movement, the G♭ major links interestingly with the primary theme, since it can be seen as an outgrowth of the chromatic element F♯ in the primary theme's opening motive. Among his later symphonies, Bruckner used this kind of technique most systematically in the first movement of his Fourth Symphony.

In the Third Symphony the development's most significant moment is obviously the mighty return of the trumpet theme from the beginning of the movement in the main key somewhere around the middle of the development. This appearance with its massive "false recapitulation effect" gives this development a unique position among all of Bruckner's development sections. Moreover, in the middleground level the D in the bass at the beginning of the trumpet theme's return acts as a passing tone within a rising fourth C–D–E–F, which reflects the rising fourth at the end of the trumpet theme in the exposition.

In the recapitulations of all three movements, both parts prolong the tonic chord, which supports the re-beginning of the formal, tonal, and structural events after the interruption in the deep-level structure. However, locally the tonic chord is shattered in

each recapitulation's closing zones in such a way as to push the deep-level structural closure well beyond the sonata space proper, i.e., into the coda. In the Second Symphony, the closing zone runs into perhaps the most serious tonal difficulties of all three recapitulations, with its ending in a mysterious, locally remote B♭ minor. As a result of this procedure, the closing zone and the coda are strongly set apart and yet unified by voice-leading properties, since the B♭-minor chord connects with the dominant of C minor achieved at the end of the coda's first part (Ex. 5.18).

In the First Symphony, the closing zone in the recapitulation ends with an intensification, which leads through V^6_5 to the root-position tonic chord at the beginning of the coda in m. 309; at this point, the chord acts, however, as an apparent tonic. Moreover, before the music begins to rise toward the beginning of the coda, the G♭-major chord turns up again and complicates the situation by threatening to dislocate the music from its tonal orbit in C minor in m. 299 (Exs. 4.10, and 4.12). In the Third Symphony, the tonal situation at the juncture of the recapitulation and coda in mm. 590–591 initially seems to be unproblematic in its unambiguous V–I progression. As a result, in the coda's opening measures, the D seems to stand for the deep-level tonic. The subsequent music proves otherwise, however, as the D turns out to connect with the G♯ in the bass as part of the diminished seventh chord on that note. In an extraordinary fashion, the deep-level tonic immediately follows this diminished seventh chord at the beginning of the coda's second part in m. 629, thus emerging without any local dominant preparation (Ex. 6.15). Although I have interpreted the final tonic as a conclusion of the structure, there is, nevertheless, a stronger sense of inconclusiveness here than in the corresponding tonics of the First and Second Symphonies. In this sense, the coda in the Third Symphony's first movement also looks more emphatically to the finale as the ultimate closure of the work.

8 Epilogue

8.1 Bruckner's Harmonic Language: Differing Viewpoints

In discussing Bruckner's harmonic language, scholars have often referred to the strategies used by the composer, such as deviation, deferring, delaying, or obstructing the arrival or confirmation of either the local or the large-scale tonal goals. No doubt, these are among the most notable ingredients of Bruckner's individual approach to harmonic construction.

In my study, the harmony is examined in the context of Schenkerian analysis. Thus, Bruckner's harmonic practices are placed within the norms of so-called "common practice." During the last fifteen years or so, scholars have also been exploring alternative approaches to Bruckner's idiosyncratic tonal language. William Benjamin, for one, states in his analysis of the first movement of Bruckner's Eighth Symphony that "an important aspect of Bruckner's style is its discontinuous, or nonlinear, presentation of secondary keys."[1] He studies the tonal organization of the movement in terms of a succession of keys rather than as prolonged chords. Benjamin offers his analysis as "an attempt to capture aspects of a certain kind of synthesis without imposing on the music a degree or type of (prolongational) unity that it does not easily support."[2]

Julian Horton invokes Hugo Riemann's functional theory and *Tonnetz* representations of tonal function in his investigations of Bruckner's harmonic progressions and tonal strategies. In his analysis of the first movement of the Fourth Symphony, Horton emphasizes the chromatic properties of the primary theme that control the tonal structure in the symphony to such a degree that "on the largest scale, the tonal strategy will thus take on characteristics of a 'double tonic' structure; it will move between overlaid tonal structures, frequently the ultimate tonic and a chromatically related counter-structure."[3] Such counter-structures, like the secondary-theme's D♭ major in the first movement of the Fourth Symphony, primarily grow out of the neighbor-note figure B♭–C♭–B♭ in the

[1] Benjamin 1996, 249.

[2] Ibid., 250. In his Example 6 on p. 251, he offers a tonality sketch of the first movement.

[3] Horton 2004, 119.

symphony's opening horn call. In the first movement, the C♭ becomes influential "as a centre of a network of tonal relationships collectively opposing the tonic and its relations. It is precisely this property that impedes the establishment of an *Ursatz*."[4]

These two examples imply that in Horton's view at least, in certain movements in Bruckner's symphonies his harmonic and tonal strategies render a Schenkerian approach inappropriate. Such strategies thus stand outside the Schenkerian or Schoenbergian "index of common practice," to use Julian Horton's formulation.[5] In the three movements discussed in detail in the previous chapters, there are also elements that do not easily conform to the idea of Schenkerian prolongation, yet they do not invalidate the notion of Schenkerian structural framework as a basis for these movements.

As we have seen, strong harmonic pillars (I, III, and V) control the deep-level structure of the movements, although the tonal motion between these pillars is often confusing, to the say the least. The music obstructs and deviates from the route it seems to have taken, often several times before reaching its goal. However, the large-scale tonal forces are strong enough to carry these "difficult" passages and place them within the voice-leading strands that are part of the tonal framework. I would argue that the notion of such a framework helps to identify the nature of the deferrals, reversals, and the like more clearly and precisely. This is what I endeavor to show in my analyses.

8.2 Bruckner and the Symphonic Tradition

The manifold relationship of Bruckner's symphonies with the symphonic tradition has been widely discussed in the literature. The purpose of this section is not to retrace these discussions at any great length, but rather to take up a few elements of his music that have emerged in my analyses and consider the nature of their links with the symphonic tradition.

As mentioned in chapter three, the formal outlines in the three movements discussed in this study follow a broad basic plan, which is identifiable in each. As some scholars

[4] Ibid., 125. Here Horton tacitly criticizes Edward Laufer's Schenkerian analysis of the same movement. See Laufer 2001, 114–144.

[5] Horton 2004, 94.

have suggested, Bruckner may have adopted this plan from Ernst Richter's textbook during the composer's studies with Otto Kitzler. Stephen Parkany's eloquent commentary on Bruckner's relationship with Richter is worth quoting in this context: "To Bruckner Richter's modest tract enshrined unquestioning orthodoxy, like the tiny shrines to the virgin which still sit today beside the country paths he used to travel on the way to St. Florian…he still paid close heed to Richter's sectional and syntactical prescriptions in the Symphony No. 1 (and its successors)."[6]

Despite his rather rigid adherence to the plan, Bruckner was by no means indifferent to the more progressive genres of his time, such as the symphonic poem. Constantin Floros cites August Stradal, who noted that Bruckner knew Liszt's *Faust Symphony* well. According to Stradal, the qualities Bruckner especially admired were its "themes, the colossal structure, the instrumentation, the daring use of harmony."[7] Moreover, Stradal reported that Bruckner had been deeply moved by Liszt's *Tasso*. Benjamin Korstvedt has also observed that Bruckner drew on the symphonic poem and absorbed its characteristic elements into his concept of the symphony. He mentions that "for example, Bruckner's tendency to characterize the various sections of his movements by tempo, instrumentation, and harmonic style as well as by thematic material and key may derive from the symphonic poem."[8]

But the overall formal schema may not. Within this Brucknerian schema, the techniques and procedures that link these three movements to the sonata tradition are far more subtle and carried out in an extraordinary and unique manner, which has not been fully acknowledged previously. As my analyses have shown, the uniqueness of Bruckner's compositional practice applies particularly well to the transition zones in the expositions. It has been remarked that Bruckner's transitions often fail to introduce the tonal area of the secondary theme. In this respect, Bruckner certainly does not stand alone in the history of first-movement symphonic forms. One obvious precedent from the nineteenth century is Schubert. As James Webster has observed, "rather than prepare the second group by a clear transition which establishes the new key through its dominant, he [Schubert] prefers

[6] Parkany 1989, 156–157.

[7] Floros 1980, 158–159.

[8] Korstvedt 2001, 201.

to modulate abruptly, or to imply a different key from the one in which the second group actually begins."[9] The second procedure in particular is also a Brucknerian technique.

Without attempting to offer a comprehensive list of individual works that might have influenced Bruckner, I would like to point out one isolated example from another nineteenth-century composer, Felix Mendelssohn. In the first movement of Mendelssohn's String Quartet no. 4 in E minor, Op. 44, no. 2, which Bruckner may also have studied with Otto Kitzler, the transition zone leads to the dominant of B minor and sustains that dominant right up to the end of the transition, thus suggesting an entrance of the secondary theme in the dominant minor. However, the secondary theme begins in m. 53 in G major, which is then held until the end of the exposition. Locally, the chord progression at the juncture of the transition and the secondary theme sounds like a deceptive cadence in B minor, and consequently, the G-major chord at the onset of the secondary theme does not sound like a stable tonic. The idea of shifting suddenly from one tonal option to another at this formal juncture clearly foreshadows Bruckner's techniques.

Bruckner's music has its roots in Austrian soil, fertilized by the music of such composers as Joseph and Michael Haydn, W. A. Mozart, and Ludvig van Beethoven, to name a few.[10] Schubert, Mendelssohn, Berlioz, Liszt, and Wagner may also be mentioned as sources of influence from which Bruckner synthesized various elements in his composing and, what is particularly important from the perspective of this study, in his construction of formal, tonal, and structural processes in ways that nevertheless became uniquely his own.

In response to a criticism of his tonal strategies, Bruckner is reported to have said: "If here and there in my work I allow myself to make a few bold deviations, I always come back to the main tonality, which is never fully out of my sight. I am like a mountaineer who courageously ventures upward in order to obtain a freer view, yet

[9] Webster 1978, 19.

[10] Erwin Doernberg (1960, 32) writes that in Linz, where Bruckner was sent in 1840 "for a ten months' course comprising a variety of subjects and including music theory and organ playing…Bruckner heard orchestral music for the first time, among other works Beethoven's Fourth Symphony." Moreover, under the direction of J. N. August Dürrnberger, with whom Bruckner took lessons, the church music in Linz "concentrated on the compositions of Michael and Joseph Haydn and also, to a lesser extent, of Mozart."

nevertheless remains in the same area."[11] Of course, I do not intend to use this remark as a defense of my analytical comments; it is far too indefinite and vague for anything like that. But this is a valuable document from one of those rare occasions when Bruckner commented on his own music. One may also catch a glimpse here of the features in Bruckner's music that I have been exploring in this study. I believe that the analytical approaches I have used offer a host of vital insights that otherwise would be difficult to obtain.

[11] Göllerich/Auer, 1974 [1936], 4/2, 312. The comment was made at the University of Vienna. Bruckner's original German is as follows: "wenn ich mir in meinen Arbeiten hie und da einige kühne Ausweichungen erlaube, so kehre ich doch immer wieder zur großen Tonart zurück, verliere dieselbe nie ganz aus dem Auge, ich komme mir dabei vor wie ein Bergsteiger, der sich kouragiert aufwärts dringend eine etwas freiere Aussicht verschaffen will, dabei aber doch in derselben Gegend verbleibt."

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