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Musical Form and the Dialectical Moment in *Fin-de-Siècle* Viennese Symphonic Sonatas

Kelvin Heung Fai Lee

Abstract

Situating at the intersection between music theory and the history of ideas, this study scrutinises the analytical implications of dialectical thought to address the issue of chromatic tonality in *fin-de-siècle* symphonic sonata forms. In light of the recent advances in the 'new *Formenlehre*' and neo-Riemannian theory, it pursues a two-part goal: 1) to reappraise the tonal basis of *fin-de-siècle* sonata form; and 2) from there, reconstruct the sonata teleology that underlies the formal practices in this repertoire. The enquiry begins by examining the intersections between music and dialectics in the nineteenth and early twentieth centuries. Special attention is given to the concept of the *Augenblick*, which, considered in relation to the philosophies of Georg Wilhelm Friedrich Hegel, Karl Marx and Theodor W. Adorno, leads to the formulation of an original model of dialectical form. The model is subsequently put to test in case studies of symphonic works by Gustav Mahler, Franz Schmidt, Arnold Schoenberg and Richard Strauss, where I attend to issues in contemporary theories of form and tonality, the history of tonal theory, the genre of the symphonic poem and formal logic relevant to the analysis of *fin-de-siècle* sonata form. The outcome is a novel model of sonata teleology, which concurrently amounts to the elements of a theory of *fin-de-siècle* symphonic sonata form, as well as a renewed understanding of musical modernism.

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Acknowledgements

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This thesis is written during a global pandemic, when a country that cannot be named seized the opportunity and turned my hometown into an authoritarian state. As a result, I have adjusted the focus and the content of my project to reflect on that experience. Although the thesis is now in a satisfactory form, the transformation might not have fully completed. If the reader has spotted any slight incoherence, this is why.

For my family and friends,
in solidarity

Chapter One

Introduction:
A *Fin-de-Siècle* Turn of the New *Formenlehre*

Beyond the 'New *Formenlehre*'

> That Caplin's testament should celebrate the coming of a new *Formenlehre* or, better, should seek 'to revive the *Formenlehre* tradition by establishing it on more secure and sophisticated foundations'—is symptomatic of an ongoing 'return' in recent years, and from various perspectives (including the 'new musicology', despite Caplin's implicating it in the abandonment of *Formenlehre*), from the deeper reaches of Schenkerian theory to the musical foreground.[1]

Written in 2001 in a review of William E. Caplin's *Classical Form*, Nicholas Marston anticipates the coming of a 'new *Formenlehre*'.[2] Two decades in, theorists of form have achieved even more: while the new *Formenlehre* has now grown into a substantial body of scholarship that builds on Caplin's form-functional theory and James Hepokoski and Warren Darcy's sonata theory, those who engage in such an enterprise have also re(de)fined and proposed numerous concepts that have become standard terminologies in the current music-theoretical discourse.[3] One of the most significant impacts of the new *Formenlehre* is the reconceptualisation of the notion of cadence.[4] In

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[1] Nicholas Marston, 'Review of William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*', *Music Analysis* 20, no. 1 (2001): 143.

[2] Following Marston, Matthew Riley has popularised the usage of the term 'new *Formenlehre*' to encompass both Caplin's form-functional theory and Hepokoski and Darcy's sonata theory. See Matthew Riley, 'Hermeneutics and the New *Formenlehre*: An Interpretation of Haydn's "Oxford" Symphony', *Eighteenth-Century Music* 7, no. 2 (2010): 199–219.

[3] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998); James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006). For a recent reformulation of Caplin's formal functions, see Matthew Arndt, 'Form—Function—Content', *Music Theory Spectrum* 40, no. 2 (2018): 208–26.

[4] See William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', *Journal of the*

spite of their different premises, practitioners of form-functional theory and sonata theory, by no coincidence, come to focus on the function of cadence as an essential formal demarcator. Underlying such an emphasis is the idea that the cadence is paramount to the expression of diatonic tonality, or in fact, tonality. As Markus Neuwirth and Pieter Bergé assert, music in the so-called 'common-practice period' is characterised by an 'emphatic goal-directedness', or a 'tonal motion towards a goal', and the primary means of articulating such a goal is the cadence, no matter whether we are referring to specific theme types, or large-scale formal designs.[5]

Contrary to Marston's speculation, however, this quality of goal-directedness has led theorists of form to reinvest in the 'deeper reaches of Schenkerian theory', but with a different lens: in contrast to the Schenkerian perspective that treats structure *as* form, they conceive the 'deeper reaches' as the source of tonal coherence and look simultaneously into their realisation on the foreground that is responsible for the sense of directedness.[6] In an attempt to capture the experience of the latter, Janet Schmalfeldt posits the concept of form as 'becoming', which she defines as 'the special case where the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context'.[7] Mobilising

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American Musicological Society 57, no. 1 (2004): 51–117; William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum* 40, no. 1 (2018): 1–26; L. Poundie Burstein, 'The Half Cadence and Other Such Slippery Events', *Music Theory Spectrum* 36, no. 2 (2014): 203–27; Markus Neuwirth and Pieter Bergé, eds., *What is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire* (Leuven: Leuven University Press, 2015), in addition to Caplin, *Classical Form* and Hepokoski and Darcy, *Elements of Sonata Theory*.

[5] Markus Neuwirth and Pieter Bergé, Introduction to *What is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, eds. Markus Neuwirth and Pieter Bergé (Leuven: Leuven University Press, 2015), 7. As I will argue in Chapter Two, the 'goal-directedness' in the classical repertoire is nevertheless different from that in nineteenth-century music.

[6] An early prefiguration of this tendency is seen in Janet Schmalfeldt, 'Towards a Reconciliation of Schenkerian Concepts with Traditional and Recent Theories of Form', *Music Analysis* 10, no. 3 (1991): 233–87. For later studies that attempt the same reconciliation, I think of Peter H. Smith's works. See Peter H. Smith, 'Schumann's A-Minor Mood: Late-Style Dialectics in the First Movement of the Cello Concerto', *Journal of Music Theory* 60, no. 1 (2016): 51–88; Peter H. Smith, 'Form and the Large-Scale Connection: Motivic Harmony and the Expanded Type-1 Sonata in Dvořák's Late Chamber Music', *Music Theory Spectrum* 40, no. 2 (2018): 248–79; and Peter H. Smith, 'The Type 2 Sonata in the Nineteenth Century: Two Case Studies from Mendelssohn and Dvořák', *Journal of Music Theory* 63, no. 1 (2019): 103–38. Schenker's conception of form is scrutinised in detail in Charles J. Smith, 'Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre', *Music Analysis* 15, no. 2–3 (1996): 191–297.

[7] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 9.

Schenkerian analysis to manifest the 'deep-level' harmonic structure, Schmalfeldt nevertheless stresses the temporality of formal functions. She argues that motivic process and rhetorical gesture could elicit a formal function different from what the harmonic structure otherwise expresses, engendering a process of 'becoming' (denoted by the rightwards double arrow, ⇒) that amounts to the goal-directedness towards the cadence within the given formal span.[8] This tension between the process on the surface and the structure in the background has arguably constituted what Schmalfeldt prophesies to be one of the principal 'tenets' of a theory of Romantic form, an ambition which has since inspired a surge of interest in recalibrating the new *Formenlehre* for nineteenth-century music.[9]

Addressing the same goal-directedness via their concept of 'essential sonata trajectory (EST)', Hepokoski and Darcy consider sonata theory as pre-adapted with the ability to analyse nineteenth-century form extending from late Beethoven to Strauss.[10] Drawing on a notion of 'dialogic form', they construe compositional process as entering into a dialogue with a web of historically conditioned, interrelated generic 'norms' (or what the authors call 'defaults', which are divided into different levels according to the degree of normativity), while the exceptional procedures deviating from the norms are coined as 'deformations'.[11] In this conception, formal practices are presented as a historical continuum, in which deformations in earlier repertoire could be normalised as 'lower-level defaults' in later works.[12] To substantiate the historicity of their narrative, the authors have identified a 'network of nineteenth-century sonata-deformation families', including: 1) the 'breakthrough deformation'; 2) the 'introduction-coda

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[8] See Schmalfeldt's analysis of the 'Tempest' sonata in Schmalfeldt, *In the Process of Becoming*, chap. 2. I will examine the relationship between process and structure/syntax in detail in Chapter Two. A discussion of Schmalfeldt's analysis of the 'Tempest' sonata will soon follow.

[9] *Ibid.*, 15. This apparent conflict between process and structure corresponds to the distinction Mark Evan Bonds makes between 'generative form' and 'conformational form', in which the former sees form as generated by motivic process, while the latter regards form as conforming to a generic model. See Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA: Harvard University Press, 1991), chap. 1.

[10] See for example James Hepokoski, 'Fiery-Pulsed Libertine or Domestic Hero: Strauss's *Don Juan* Reinvestigated', in *Richard Strauss: New Perspectives on the Composer and His Work*, ed. Bryan Gilliam (Durham, NC: Duke University Press, 1992), 135–75.

[11] Hepokoski and Darcy, *Elements of Sonata Theory*, 10-11. See also James Hepokoski, 'Sonata Theory and Dialogic Form', in *Musical Form, Forms & Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 71–89. The concept of dialogic form is the fundamental principle that underlies Hepokoski and Darcy's sonata theory.

[12] Hepokoski and Darcy, *Elements of Sonata Theory*, 11.

frame'; 3) 'episodes within the developmental space'; 4) the 'strophic/sonata hybrid';
5) the 'multi-movement form within a single movement'; 6) the 'Brahmsian Defor-
mation', or non-repeating exposition; 7) the 'Brucknerian Deformation' pertinent to
the 'strophic/sonata hybrid'; and 8) the 'non-resolving recapitulation' associated with
the *Egmont* overture.[13] Together they amount to a 'sonata deformation theory', which
acts as a complement to sonata theory that extends its applicability to nineteenth- and
early twentieth-century music.

Although the historical postulate underlying Hepokoski and Darcy's dialogic
conception of form might seem convincing, in practice any attempt to specify norms
and deformations of a particular era or composer might risk turning itself into an end-
less historical dialectic: in a dialogic realm the deformation in one piece could be the
norm in another, irrespective of their historical proximity.[14] This problem is made ex-
plicit in Mendelssohn's sonata forms. In a corpus study of 74 sonata-form movements
that Mendelssohn composed after 1824, Paul Wingfield and Julian Horton have iden-
tified in total twelve categories of 'deformation' (measured against Hepokoski and
Darcy's 'generic layout').[15] Yet only two of them—truncation of the recapitulation and
elision between development and recapitulation—are found in all movement types
and could readily be seen as 'normative' to Mendelssohn's sonata practice.[16] All other
categories are deployed merely in specific contexts; they do not constitute *a* normative
model but rather multiple norms to their peculiar situations, or deformations relative
to the other ones. Though these 'deformational' procedures might be regarded as
'lower-level defaults' to sonata theory's 'generic' model, they have distorted the EST to

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[13] *Ibid.* These deformation categories are proposed elsewhere in James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 6–9, 94; Warren Darcy, 'Bruckner's Sonata Deformations', in *Bruckner Studies*, eds. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), 274–6; and James Hepokoski, 'Back and Forth from *Egmont*: Beethoven, Mozart, and the Nonresolving Recapitulation', *19th-Century Music* 25, no. 2–3 (2001): 127–54.

[14] Interestingly, here Hepokoski and Darcy's dialogic form adheres to Carl Dahlhaus's Hegelian under-
standing of music and music history, both of which are also the starting point of Schmalfeldt's 'becom-
ing' project. I shall offer a more thorough examination of this idea and its related issues in Chapter Two.

[15] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in
Mendelssohn Perspectives, eds. Nicole Grimes and Angela R. Mace (Farnham: Ashgate, 2012), 83–112,
esp. 93–107. By 'generic layout' Hepokoski and Darcy refer to the EST. See Hepokoski and Darcy, *Ele-
ments of Sonata Theory*, 17.

[16] Wingfield and Horton, 'Norm and Deformation', 105.

an extent that one could question its existence, if we are to treat it as an essential generic framework.[17] In other words, because 'norm' is a fluid concept, there is rarely a stable referential basis from which a practice could deform, especially in postclassical repertoire where there is no unitary understanding of sonata form, either in practice or in theory (or in fact, one might argue that this is the case with classical form too, if we look beyond the Viennese high classical style).[18] The flexibility made possible by the idea of dialogic form, then, is also its problem, since it is not as clear as it might seem as to *what* we should actually be in dialogue with. To this issue, Hepokoski and Darcy have yet to offer their solution, and the analyst is left with no choice but to fall back on the EST, a coalescence of 'generic norms' which is, as pointed out by Wingfield, derived essentially from a Mozart-based corpus.[19]

The Positive/Negative Dilemma

Despite the issues prompted by the multiplicity of Romantic music, it is practically infeasible to build a theory of nineteenth-century form from scratch without referring to classical form in some ways, no matter whether in form-functional, sonata-theoretical, or any other terms, since classical syntax remains relevant as an architectonic

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[17] I do not repudiate the idea of a 'generic layout' completely, but conceive it instead as the normal order of formal functions (i.e. exposition, development and recapitulation in sonata form), or what I call 'syntax', which defines the form. To me, the problem with a sonata-theoretical reading of nineteenth-century music is less so with the theory itself but the authors' insistence on characterising the EST as the essential 'generic layout' that applies to most (if not all) of the tonal movements/pieces that we would consider as sonata forms. I will mobilise a different understanding that reappraises the relationship between the EST and *fin-de-siècle* sonata forms (or postclassical form in general) in an attempt to reconcile this difference between theory and practice later in the chapter.

[18] Hepokoski's earlier concept of 'norm' predicates on '*Formenlehre* (standard-textbook) structures', a perspective which is also challenged by Wingfield and Horton. See Hepokoski, *Sibelius: Symphony No. 5*, 5; also Wingfield and Horton, 'Norm and Deformation', 89–92 for the relevant discussion on the diverse conceptions of form between various early nineteenth-century theories. My position here aligns with Wingfield and Horton's. For their earlier critique of sonata deformation theory, see Paul Wingfield, 'Beyond "Norms and Deformations": Towards a Theory of Sonata Form as Reception History', *Music Analysis* 27, no. 1 (2008): 137–77 and Julian Horton, 'Bruckner's Symphonies and Sonata Deformation Theory', *Journal of the Society for Musicology in Ireland* 1 (2005): 5–17. The problem of applying the notion of 'norm' in *Formenlehre* (or music-theoretical discourse in general) is more recently scrutinised in Julian Horton, 'Criteria for a Theory of Nineteenth-Century Form', *Music Theory and Analysis* 4, no. 2 (2017): 147–91. Apart from Clementi's sonatas cited in Wingfield's critique, Schmalfeldt's recent study on Scarlatti's sonata practices also poses a challenge to the hegemonic understanding of Viennese sonatas as representative of the classical style. See Janet Schmalfeldt, 'Domenico Scarlatti, Escape Artist: Sightings of His "Mixed Style" towards the End of the Eighteenth Century', *Music Analysis* 38, no. 3 (2019): 253–96.

[19] Wingfield, 'Beyond "Norms and Deformations"', 141.

source on which this repertoire draws.[20] The alleged ambivalence presented here corresponds to what Steven Vande Moortele describes as 'the dilemma between a "positive" and a "negative" approach to nineteenth-century form':

> What we are dealing with here is the dilemma between a 'positive' and a 'negative' approach to nineteenth-century form: does one strive to establish a series of types and norms based on what happens in this music itself, or does one measure it against something external? While the former option would mean applying Caplin's taxonomic approach to a new repertoire (and thus, to a certain extent, starting from scratch), the latter is already built into Hepokoski and Darcy's theory.[21]

Having identified these two tendencies respectively with Caplin's form-functional theory and Hepokoski and Darcy's sonata theory, Vande Moortele points out the shortcomings with both approaches. On the one hand, while 'theories of Classical form have come into being *in spite of* its stylistic heterogeneity' and one could envision a microtheory of Romantic form encompassing the instrumental music of the Romantic generation from around 1825 to 1850, it would be 'naive', as Vande Moortele suggests, 'to think that one could simply codify a distinct normative practice of musical form' for each new generation of nineteenth-century composers, because selected works by their classical forebears had been canonised and increasingly 'held up as a norm' from the mid-1820s onwards.[22] On the other, as illustrated, the claim of a general norm is based on pure speculation—even if we intend to make a case for the existence of such a norm, we will have to 'reconstruct the repertoire on which that norm is based and then assess how that repertoire impacts what is perceived, at the time, as normative', a project which Vande Moortele deems 'difficult', because 'the impact of some works was greater than that of others'.[23]

As a productive way forward, Vande Moortele asserts that we need a theoretical

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[20] By 'architectonic' I mean the basic order of formal functions, which is more or less retained in nineteenth- and early-twentieth music at inter-thematic (main theme–transition–subordinate theme) and large-scale (exposition–development–recapitulation) levels. Although the balance of intra-thematic units has drastically changed, it is often the case that the architectonic design is maintained in some ways, even when the formal unit is subject to a process of 'becoming'.

[21] Steven Vande Moortele, 'In Search of Romantic Form', *Music Analysis* 32, no. 3 (2013): 408.

[22] *Ibid.*, 409–10.

[23] *Ibid.*

model that integrates both approaches for nineteenth-century form. In reference to Seth Monahan's 'linear' and 'circumpolar' models of historical influences, he considers Romantic formal praxis as 'a set of concentric circles', with 'the Classical norms and convention casting' at the centre as a kind of '*prima prattica*', and 'the normative practice of a different period' (or composer) as the outer circles, standing for 'a multifarious *seconda prattica*'.[24] Conceived this way, the analyst may choose to evoke what they need from the sets of conventions pertinent to the context of the specific piece(s) while ignoring others. Such a mediatory perspective arguably underlies the ongoing investigations of Romantic form and has yielded promising results, represented chiefly by Vande Moortele's study of the Romantic overture and Julian Horton's work on the nineteenth-century concerto.[25] The two authors pursue their respective inquiries positively with a restricted corpus defined by genre, while assessing the practices within the corpus negatively with the classical syntax in mind. The outcomes are two sets of genre-specific formal practices, covering 175 overtures composed in Leipzig and Berlin in ca. 1815–50, and 127 concerti that trace the genre's development from as far as Dussek's move to London in 1789 to the milieu pertaining to the composition of Brahms's Second Piano Concerto, Op. 83 in 1878–81: some of these practices traverse genres, displaying what might be seen as the basic syntactic principles of Romantic form, whereas others appear within a limited generic contexts only, constituting one of the many 'outer circles'. Table 1.1 lists out some of the core attributes supplied by Vande Moortele and Horton, taking into account also the authors' other works in the area, as well as the relevant studies done by Schmalfeldt, Anne Hyland and Benedict Taylor.[26]

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[24] *Ibid.*, 411. For Monahan, in a 'linear' model 'compositional devices follow a natural lifespan through novelty, normalcy, and finally cliché', whereas in a 'circumpolar' model 'cultural watershed' exerts a direct, disproportionate, and undiminished influence across successive generations'. See Seth Monahan, 'Success and Failure in Mahler's Sonata Recapitulations', *Music Theory Spectrum* 33, no. 1 (2011): 40, n. 30. The 'circumpolar' model is originally proposed by Carl Dahlhaus. See Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley, CA: University of California Press, 1989), 152.

[25] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017); Julian Horton, *Brahms' Piano Concerto No. 2, Op. 83: Analytical and Contextual Studies* (Leuven: Peeters, 2017). The entire discussion on the 'positive' and 'negative' dilemma and their mediation is reiterated in Vande Moortele's monograph as the basis of his overture project.

[26] This list is by no means comprehensive. Instead it summarises the formal strategies most commonly found in nineteenth-century repertoire that are also relevant to *fin-de-siècle* music, which is the focus of the present study. For the formal phenomena with multiple names, I have opted for one and included

The flourishing of studies in Romantic form in recent years has witnessed the effectiveness and productivity that this mediatory approach has brought.[27] Yet its further extension into *fin-de-siècle* tonal music warrants special attention. While the syntactic practices included in Table 1.1 are more or less retained, the classical tonal basis, against which they are negatively measured, had undergone abundant modifications after Wagner's chromatic innovations, or the structural permeation of the so-called 'second practice of nineteenth-century tonality'.[28] As Patrick McCreless observes, the historical development of chromatic space, which has gone unnoticed in early Romantic music, is completed with Wagner's *Der Ring des Nibelungen*, and our conception of structural levels has since 'turned upside down with respect to diatonic and chromatic space'.[29] In a post-Wagnerian context, then, although classical syntax is still germane and one can possibly talk about formal practices in negative terms, the tonal foundation from which these syntactic practices are generated ought to be examined

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an explanation or its equivalence in brackets. I have complied the list from the following works: Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', in *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*, eds. Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (Rochester, NY: University of Rochester Press, 2015), 77–122; Horton, *Brahms' Piano Concerto No. 2*; Julian Horton, 'Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 236–62; Steven Vande Moortele, 'Sentences, Sentence Chains, and Sentence Replication: Intra- and Interthematic Formal Functions in Liszt's Weimar Symphonic Poems', *Intégral* 25 (2011): 121–58; Vande Moortele, *The Romantic Overture*; Steven Vande Moortele, 'Expansion and Recomposition in Mendelssohn's Symphonic Sonata Forms', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 210–35; Schmalfeldt, *In the Process of Becoming*; Anne M. Hyland, 'Rhetorical Closure in the First Movement of Schubert's Quartet in C Major, D. 46: A Dialogue with Deformation', *Music Analysis* 38, no. 1 (2016): 85–108; Anne M. Hyland, 'The "Tighten Bow": Analysing the Juxtaposition of Drama and Lyricism in Schubert's Paratactic Sonata-Form Movements', in *Irish Musical Analysis*, Irish Musical Studies 11, eds. Gareth Cox and Julian Horton (Dublin: Four Courts Press, 2014), 17–40; Benedict Taylor, *Mendelssohn, Time and Memory: The Romantic Conception of Cyclic Form* (Cambridge: Cambridge University Press, 2011); and Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 185–209.

[27] Apart from the studies cited above, I have in mind Andrew Davis, *Sonata Fragments: Romantic Narratives in Chopin, Schumann, and Brahms* (Bloomington, IN: Indiana University Press, 2017).

[28] See William Kinderman and Harald Krebs, eds., *The Second Practice of Nineteenth-Century Tonality* (Lincoln, NE: University of Nebraska Press, 1996). Of course I do not refer to all the music composed after Wagner but those which were influenced by Wagner, mainly music by composers associated with the New German School.

[29] Patrick McCreless, 'An Evolutionary Perspective on Nineteenth-Century Semitonal Relations', in *The Second Practice of Nineteenth-Century Tonality*, eds. William Kinderman and Harald Krebs (Lincoln, NE: University of Nebraska Press, 1996), 102. The historical development of chromatic space and the idea of structural levels 'turning upside down' will be explored further in Chapters Two and Three.

1	Functional transformation ('becoming')	8	Potpourri procedure (or two-dimensionality in general)
2	Proliferation (phrase expansion and extension)	9	Open-ended exposition (exposition without repeats or closures)
3	Truncation (abbreviation of formal functions)	10	Recomposed recapitulation (encompassing also 'reversed' recapitulation)
4	Elision (overlapping of functional boundaries)	11	Paratactic form (or formal stratification)
5	Parametric non-congruence	12	Cyclic procedure (or thematic transformation)
6	Cadential deferral (or relocation of structural cadence)	13	Tonal duplicity of the subordinate theme (or three-key exposition)
7	Five-part slow introduction paradigm		

Table 1.1   Categories of Common Syntactic Practices in Romantic Form

positively, because tonal procedures rooted in chromatic space are fundamentally different from those of their diatonic counterpart. Utilising the possibilities enabled by twelve-tone space, such procedures exhibit a distinct logic, one that is delineated in neo-Riemannian theory as voice-leading parsimony, and thereby demand specific analytical scrutiny as to how they might affect formal syntax.[30] In other words, once chromatic space has taken hold of the background, our '*prima prattica*' has swapped its diatonic underpinning for the chromatic footing of the '*seconda prattica*'. This fundamental change of tonal conception in turn has marked ramifications for the EST, which arises from a diatonic structure.

A quick look at the First Movement of Bruckner's Ninth Symphony (1887–96) immediately exemplifies the impact chromatic tonality has on the EST. Our focus is the closing section of the exposition (bars 207–227), which is presented in Example 1.1. With no sign of a secure D-minor tonic throughout the entire exposition, the closing section kicks in in the absence of the 'essential expositional closure (EEC)'—the closing perfect authentic cadence (PAC) for the subordinate theme which Hepokoski and Darcy describe as 'the most important generic and tonal goal of the exposition'.[31]

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[30] Voice-leading parsimony is one of the foremost principles in neo-Riemannian theory. See Richard Cohn, 'Neo-Riemannian Operations, Parsimonious Trichords, and Their *Tonnetz* Representations', *Journal of Music Theory* 41, no. 1 (1997): 1–66.

[31] Hepokoski and Darcy, *Elements of Sonata Theory*, 117.

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Example 1.1   Bruckner, Symphony No. 9, First Movement, Closing Section

It begins with B major, which initiates a move to G minor via a H (hexatonic pole) transformation in neo-Riemannian terms. After that, the harmonic progression continues with an octatonic PR (parallel + relative) transformation to E minor. It is then followed by a L (*Leittonwechsel*) transformation to C major, which could potentially serve as the penultimate dominant for the final F-major chord, producing a PAC in that key. But such an effort is undermined by the subsequent shift to B♭ minor that turns the prospective PAC into a plagal cadence. This plagal cadence is the only closure in the exposition, and yet one could even doubt whether the iv–I progression actually constitutes a closure: the preceding moves fail to generate a cadential progression of any sort that can provide the tonal syntactic context for claiming F major as the key

centre (of the closing section at least), and thereby the iv–I progression as a plagal cadence. What this implies is that there is no key but only triadic progression, to evoke Richard Cohn's post-structuralist stance.[32] Although not every *fin-de-siècle* composer took their music to such an extreme as Bruckner, one might wonder how useful it is still to draw on a negative approach and measure *fin-de-siècle* formal practices against the EST, given that most of its 'generic defaults' are 'distorted' to a certain extent. And if we are to leave aside the EST, how might the sonata teleology be reimagined via a positive lens?

Preliminaries

In light of the recent development of the new *Formenlehre* and neo-Riemannian theory, this study addresses the issue of chromatic tonality in *fin-de-siècle* sonata form. It pursues a two-part goal: 1) to reappraise the tonal basis of *fin-de-siècle* sonata form; and 2) from there, reconstruct the sonata teleology that underlies the formal practices in this repertoire. In the spirit of a positive approach, I hold firm to the beliefs that tonal syntax lays the foundation of form in any piece of music that we regard as 'tonal', and at the same time, that chromatic space yields different tonal-syntactic phenomena that could not be accounted for with a purely diatonic conception of tonality. The consideration of chromatic tonality is hence, I contend, essential to any attempt to theorise *fin-de-siècle* sonata form.[33]

While distancing from the EST means that one will have to develop a teleological model from scratch, Schmalfeldt's flexible definition of 'becoming' provides an instrumental starting point. Even though 'becoming' is often taken as a form-functional phenomenon, Schmalfeldt indeed allows herself a more diverse usage of the term in *In the Process of Becoming*. After introducing her seminal definition, Schmalfeldt turns to

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[32] Richard Cohn, 'Introduction to Neo-Riemannian Theory: A Survey and a Historical Perspective', *Journal of Music Theory* 42, no. 2 (1998): 167–8.

[33] This differentiates my pursuit from a majority of studies that mobilise sonata theory as their methodological basis. I think of of course Hepokoski's studies of Strauss and Sibelius, as well as Monahan's work on Mahler, which is one of the most substantial studies of *fin-de-siècle* sonata form up to date. See Hepokoski, 'Fiery-Pulsed Libertine'; Hepokoski, *Sibelius: Symphony No. 5*; James Hepokoski, 'Framing Till Eulenspiegel', *19th-Century Music* 30, no. 1 (2006): 4–43; Monahan, 'Success and Failure'; and Seth Monahan, *Mahler's Symphonic Sonatas* (New York: Oxford University Press, 2015).

Carl Dahlhaus where the concept has its origin and elaborates on Dahlhaus's understanding of formal processuality by referring to his remarks on the controversy over the form of the opening of Beethoven's 'Tempest' Sonata:

> As long as the disputants go on suppressing the contradictions between motivicism, syntax, and harmony…by stressing one element at the expense of another. They would do better to understand these 'antitheses' as the vehicles of a *dialectics*, by means of which the *form of the movement comes into being as a musically perceived transformational process*.[34]

While Dahlhaus seems to allude to a teleological, large-scale reading of 'form coming into being', Schmalfeldt did not confirm this until much later on, when discussing the role of performer in a processual conception of form. She proclaims that listeners and performers are being urged to articulate 'form-defining moments as beginnings, middles, and endings, while projecting the overall shapes that these might define', asserting 'it is the idea of *form coming into being*' that she persists in exploring.[35] Dahlhaus's interpretation is, then, also Schmalfeldt's—and going back to Dahlhaus's statement: by 'form coming into being', he is speaking specifically of a dialectical process manifested in the contradictions between motifs, syntax and harmony, one that also informs Schmalfeldt's concept of 'becoming'. In other words, sonata teleology in early nineteenth-century form, from a positive viewpoint, is marked by a Hegelian *dialectical* process, a perspective which could well serve as the point of departure for approaching the tension between chromatic and diatonic forces in *fin-de-siècle* sonata forms.

As a result, my enquiry begins by scrutinising the implications of dialectical thought for the understanding of form in nineteenth-century music. In view of the influence of Hegelianism on Austro-German musical culture, the enquiry centres on the Austro-German repertoire, specifically symphonic works in Vienna, which had

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[34] Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991), 116–7. See also Schmalfeldt, *In the Process of Becoming*, 10. Emphases are Schmalfeldt's.

[35] Schmalfeldt, *In the Process of Becoming*, 116.

become the major output in the cosmopolis towards the end of the nineteenth century.[36] Chapter Two picks up from where we left off and reappraises the notion of 'becoming' in its original context as dialectical thought. It traces the historical intersections between musical form and dialectical thought via the philsophies of three dialecticians, including Georg Wilhelm Friedrich Hegel, Karl Marx and Theodor W. Adorno, through whom I distinguish between three kinds of formal processuality leading up to the *fin de siècle*. Special attention is given to the phenomenological category—the *Augenblick*, or the moment—which has both aesthetic and formal significance in *fin-de-siècle* sonata form. This ultimately gives rise to what I call the model of dialectical form, which attends to the conflict between chromaticism and diatonicism that comprises the basic sonata teleology in *fin-de-siècle* Viennese symphonic form.

The model of dialectical form is then put to test in the subsequent chapters. Each of the chapters supplies an individual case study, in which I focus on intersecting issues foundational to a preliminary theory of *fin-de-siècle* symphonic form. The four case studies can be grouped into two parts, according to the theoretical and/or contextual issues they engage with. The first part concentrates on building the tonal framework to account for chromatic tonal phenomena in 'standard' sonata form, or the so-called 'Type-3' sonata in Hepokoski and Darcy's terms. Chapter Three exploits contemporary theories of form and tonality. It develops a chromatically inflected model of sonata form and explicates the formal function of breakthrough via the Adagio of Mahler's Tenth Symphony (1910). Chapter Four revisits the history of tonal theory. It reinvigorates Hugo Riemann's and Moritz Hauptmann's dialectical conceptions of tonality and devises from the First Movement of Schmidt's Second Symphony (1911–13) a *fin-de-siècle* symphonic sonata trajectory. The second part takes a programmatic turn and deals with what Vande Moortele designates as two-dimensional sonata form, which, after remodelling, could be seen as an associated formal type of the 'standard' sonata form.[37] Chapter Five reassesses the genre of the symphonic poem. It propounds

[36] On Hegel's influence on Austro-German musical culture, see for example Sanna Pederson, 'A. B. Marx, Berlin Concert, and German National Identity', *19th-Century Music* 18, no. 2 (1994): 87–107. For a concise history of Vienna's musical culture around 1900, see David Wyn Jones, *Music in Vienna: 1700, 1800, 1900* (Woodbridge: The Boydell Press, 2016), chap. 8–10. See also Chapter Five.

[37] Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press,

a hermeneutic model for Schoenberg's *Pelleas und Melisande* (1903) that gives a more balanced consideration of both absolute and programme by locating the former in a modified two-dimensional sonata form, and the latter in a tonal space circumscribed by both chromatic and diatonic principles. Chapter Six unravels a unique regressive formal logic. It brings Martin Heidegger's philosophy into play to theorise what I coin 'form-functional regression' and elucidate the programme-driven, large-scale 'regression' in form and tonality in Strauss's *Eine Alpensinfonie* (1915). This naturally leads to a taxonomy of form-functional transformations, or formal logics, which conceived in combination with dialectical form, amount to the basic species of sonata teleology in *fin-de-siècle* Viennese symphonic form.

Since the applicability of the EST as the 'generic layout' for repertoire concerned is called into question, this study takes Caplin's form-functional theory as the main point of reference for evaluating the syntactic practices manifested in the renewed model of sonata teleology. Although tonal phenomena resulted from chromatic tonality have, in many cases, upset the distinction between 'tight-knit' and 'loose' formal organisation essential to classical form, the basic syntactic order is more or less maintained, and the common Romantic formal strategies (see Table 1.1) have also survived through the *fin-de-siècle*, albeit against a backdrop of formal process motivated primarily by the interplay between chromatic and diatonic forces.[38] The alienation of the EST from being the essential fabric of the form however does not mean that it is completely irrelevant. Rather, I consider it as a large-scale 'schema', or a set of 'schemata', understood in Vasili Bryos' sense (in reference to Leonard Meyer) as 'the syntactic makeup of eighteenth-century musical organisation' that forms the 'knowledge structures' of the listener.[39] To be sure, the historical significance of the EST had gradually—

2009). This is however different from what Hepokoski terms 'multimovement forms in a single movement', which is one of Hepokoski's deformational procedures. See Hepokoski, *Sibelius: Symphony No. 5*, 7. The conceptual differences between these notions will be made clear in Chapter Five. I consider two-dimensional sonata form as a separate formal type that is associated with the 'standard' sonata form.

[38] On the distinction between 'tight-knit' and 'loose' organisation, see William E. Caplin, 'What are Formal Functions?', in *Musical Form, Forms & Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 35–8.

[39] Vasili Byros, '"*Hauptruhepuncte des geistes*": Punctuation Schemas and the Late Eighteenth Sonata', in *What is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, eds. Markus Neuwirth and Pieter Bergé (Leuven: Leuven University Press, 2015), 220, 218. See also Vasili Byros, 'Meyer's Anvil: Revisiting the Schema Concept', *Music Analysis* 31, no. 3 (2012): 326–7. Byros refers to Meyer's statement that 'schemata may arise in connection with any parameter', which

if not rapidly—faded since the early nineteenth century.[40] Yet, given that the music of Haydn, Mozart and Beethoven still retained their presence in the concert hall at the *fin de siècle*, the EST could well stay as *one* of the knowledge structures of the *fin-de-siècle* listener and composer that perhaps does not make up the syntax, but remains as part of the history that they are 'in dialogue with', to put it in Hepokoski and Darcy's terms.[41] In the present study, then, the EST (or more specifically, its generic markers) is construed as a *historical* paradigm that the *fin-de-siècle* composer could choose to invoke, *or not*—it does not bring about the 'success' or 'failure' of the sonata, but rather reflects the composer's historical attitude towards the high-classical sonata tradition, or their eighteenth-century Viennese forebears.[42]

By foregrounding the connection between form and dialectics, this study also pursues a historical reading of Austro-German music in the long nineteenth century. Aligning with the recent *Formenlehre* projects, I understand music as a textual evidence of history, and theory-building as establishing a mode of historical discourse, for the reason that *Formenlehre* is a theory of practices, and any theory of practices describes the connection(s) between objects under scrutiny.[43] While Horton and Vande Moortele inspect the intertextual network within their corpus and situate their works in a cultural-historical domain, the present study treats music as a documentation of historical thought at the time, a perspective which also corresponds to the mode of listening in the nineteenth century—one that, according to Mark Evan Bonds, perceives music as 'an object of contemplation'.[44] For such a purpose, it perhaps requires less of a corpus analysis than an in-depth investigation that relates music to thought,

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includes the 'sonata-form structures'. See Leonard Meyer, *Style and Music: Theory, History, and Ideology* (Philadelphia, PA: University of Pennsylvania Press, 1989), 51, 245.

[40] The falling out of the eighteenth-century schemata is also addressed in Chapter Two.

[41] On the concert life in *fin-de-siècle* Vienna see Jones, *Music in Vienna*, 179–87.

[42] In some cases, the hermeneutic power of the generic markers persists (see for example, Monahan, *Mahler's Symphonic Sonatas*), but this should not be treated as an universal phenomenon and has to be assessed in caution on a case-by-case basis in relation to the specific composer's historical attitude at a particular time. I insist on the claim that the EST is not syntactically rooted in *fin-de-siècle* music, considering the fundamental change of the tonal idiom.

[43] I think of Schmalfeldt, *In the Process of Becoming*; Horton, *Brahms' Piano Concerto No. 2*; and Vande Moortele, *The Romantic Overture*.

[44] Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton, NJ: Princeton University Press, 2006), 33.

and music theory to the history of ideas. With this in mind, I have followed Schmalfeldt and opted for a piece-specific approach. While her inquiry hinges upon Beethoven and Hegel, mine continues the story.

On 'Becoming'

As the concept of becoming settles in music theory, it is becoming an increasingly convoluted term, especially when its Hegelian connotation begins to fade. It is hence beneficial to first clarify what I mean by becoming before we proceed further with the historical convergence of form and dialectics. In the existing usage, becoming refers to different sorts of functional ambiguities: we say, x is becoming y, or x becomes y, with the assumption that they both describe the condition of 'becoming', which is denoted by the rightwards double arrow ($\Rightarrow$) proposed initially in Schmalfeldt's seminal formulation.[45] Schmalfeldt herself does not distinguish between these two formulae, as evidenced in her characterisation:

> Becoming units a concept and its apparent opposite—in this case, introduction and main theme. Once the moment of becoming has been grasped, neither the concept nor its opposite can remain one-sided, in the sense of fixed and separate; rather, main theme can no longer be imagined outside the context of introduction. This, then, is how I wish to use the expression "introduction becomes main theme": rather than than favoring the notion of a main theme as the final verdict, the expression suggests that *what has become* preserves our memory of the original conflict'.[46]

The two formulae, however, represent essentially different situations. As time indicators, the progressive verb form 'becoming' conveys something that is still happening, whereas the simple verb form 'becomes' signifies something that is true, a perception which is finalised.[47] Observing the subtle difference in the processes they

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[45] Apart from the theoretical discourse on form from which it is originated, the concept of becoming has also been used to describe musical processes in different contexts. See for example Julian Horton, 'Dialectics and Musical Analysis', in *Aesthetics of Music: Musicological Perspectives*, ed. Stephen Downes (New York: Routledge, 2014), 120–40; Kenneth M. Smith, *Desire in Chromatic Harmony: A Psychodynamic Exploration of* Fin-de-Siècle *Tonality* (New York: Oxford University Press, 2020), 37–8, 119–22; also the idea of 'tonal-syntactic functional reinterpretation' proposed in Chapter Three.

[46] Schmalfeldt, *In the Process of Becoming*, 50.

[47] As the subsequent analysis shall illuminate, their difference is not as simple as it might seem, especially with the word 'becomes' deriving its meaning from both its definition (as an action) and its verb

imply, Nathan John Martin and Steven Vande Moortele propose a more specific distinction between two heterogeneous types of form-functional 'becoming'—or, for a better word, transformation—that Schmalfeldt's formulation cannot fully capture. In the first, a form-functional impression elicited at the beginning of a unit is gradually superseded by another. Though the initial function continues to exist in our memory, the second function prevails as the form-functional understanding at the end; in other words, *x* becomes *y*, and for Martin and Vande Moortele, this scenario is best encapsulated in the rightwards double arrow.[48] In the second, both of the functions remain in force throughout the entire unit. As listeners, we hear a perpetual oscillation between two form-functional profiles; that is to say, *x* is becoming *y* (and it is still 'becoming' at the end of the formal unit), and the two authors suggest to use the left-right double arrow (⇔) as a symbol for this situation.[49]

While it is analytically salutary to pin down the two circumstances of form-functional transformation, the categorisation of such situations as classes of 'becoming' yet generates more questions over the phenomenology of formal process: since the two arrows indicate different form-functional scenarios, they also express different *logical* processes, and so only one of them shall correspond to the notion of becoming in a truly Hegelian sense. Martin and Vande Moortele did not explicate this further, since their formulation focuses on the idea of retrospective reinterpretation as exemplified in Schubert's String Quintet.[50] But the collapse of such logical and subsequently lexical distinctions can result in the blurring of form-processual distinctions—in the current theoretical discourse, by evoking the term 'becoming', one could refer to any of the following: 1) one of the two form-functional scenarios circumscribed by Martin and Vande Moortele; 2) becoming as an all-encompassing concept for formal process; or 3) the epitome of a Hegelian dialectic. The absence of precise logical definitions for the two situations might therefore hinder the theorisation of form-functional transformations—the outcome of which is imperative to the understanding of

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form (as a verdict).

[48] Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33, no. 2 (2014): 148.

[49] *Ibid.*

[50] I shall also take this opportunity to acknowledge that, as per personal conversations with the two authors, they are aware of the logical distinction.

Example 1.2   Beethoven, the 'Tempest' Sonata, Opening (bars 1–21)

postclassical formal syntax—and in turn obscure the varying aesthetic experiences that different transformational types convey.

Mindful of the dialectical bearing of form-functional transformations, a reassessment of Schmalfeldt's and Martin and Vande Moortele's accounts in explicitly dialectical terms would illuminate the underlying logic of the two form-functional scenarios. As mentioned earlier, Schmalfeldt's conception of becoming is based on the idea of 'form coming into being', which she derives from Dahlhaus's dialectical interpretation of the opening of the 'Tempest' sonata (bars 1–21), which is given in Example 1.2.[51] Developing Dahlhaus's remark that 'the beginning of the movement is not yet a subject, the evolutionary episode is one no longer', Schmalfeldt ascribes the opening's form-functional ambiguity to the non-congruence between formal parameters,

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[51] Schmalfeldt, *In the Process of Becoming*, 10. See also Chapter Two for the historical context that informs Dahlhaus's (and thereby Schmalfeldt's) dialectical reading.

arguing that it amounts to a Hegelian process of becoming.[52] While the formal unit exhibits a unified middleground harmonic-contrapuntal structure that supports the function of what could be regarded as an expanded periodic main theme, its allusion to the sensibility topic—characterised by 'fluctuating emotional intensity and rapid change of affect', as Matthew Head describes[53]—evokes the impression of an introduction; the alternation between the arpeggiation of the sixth chord in largo and the solo, declamatory passage in allegro points to the posture of an accompanied recitative, which suggests an initiating function.[54] Such an experience of form-functional conflict between introduction and main theme thus invites us to hear the music *in time*, through which we can discern a process of 'introduction becoming main theme'.[55] Yet Schmalfeldt warns us that this expression does not favour the main-theme function over the introduction, because the idea of becoming 'strives to accentuate the process,

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[52] Dahlhaus, *Ludwig van Beethoven*, 170.

[53] Matthew Head, 'Fantasia and Sensibility', in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 268.

[54] Schmalfeldt considers the largo passage a resemblance of 'the harpsichordists's *ad libitum* prelude to an accompanied recitative'. This view is corroborated by Head's reference to its corresponding passage in bars 143–58 as an example of the sensibility topic, which 'signals a moment of intense inwardness at the boundary of the development and recapitulation'. See Schmalfeldt, *In the Process of Becoming*, 41; and Head, 'Fantasia and Sensibility', 269. On the correlation between formal functions and musical topics, see William E. Caplin, 'On the Relation of Musical *Topoi* to Formal Function', *Eighteenth-Century Music* 2, no. 1 (2005): 113–24; and William E. Caplin, 'Topics and Formal Functions: The Case of Lament', in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 415–52. For Schmalfeldt's Schenkerian reading of the unit's harmonic structure, see Schmalfeldt, *In the Process of Becoming*, 38–44.

[55] I see William E. Caplin's and James Hepokoski's objections to this reading as an oversight of the topical implications of the tempo changes, which I have sought to clarify in relation to the sensibility posture indicated (but not spelt out) in Schmalfeldt's analysis. As Schmalfeldt rightly notes, there are rarely examples of a compound-tempo main theme at the turn of the nineteenth century and this feature should therefore be given due consideration. Here the predication of initiating function on the recitative reference also brings the correlation between formal functions and musical topics to the fore. For the debate between Schmalfeldt, Caplin and Hepokoski, see William E. Caplin, 'Beethoven's *Tempest* Exposition: A Springboard for Form-Functional Considerations', in *Beethoven's* Tempest *Sonata: Perspectives of Analysis and Performance*, ed. Pieter Bergé, co-eds. Jeroen D'Hoe and William E. Caplin (Leuven: Peeters, 2009), 87–125; James Hepokoski, 'Approaching the First Movement of Beethoven's *Tempest* Sonata through Sonata Theory', in *Beethoven's* Tempest *Sonata: Perspectives of Analysis and Performance*, ed. Pieter Bergé, co-eds. Jeroen D'Hoe and William E. Caplin (Leuven: Peeters, 2009), 181–212; William E. Caplin, 'Beethoven's "Tempest" Exposition: A Response to Janet Schmalfeldt', *Music Theory Online* 16, no. 2 (2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.caplin.html; James Hepokoski, 'Formal Process, Sonata Theory, and the First Movement of Beethoven's "Tempest" Sonata', *Music Theory Online* 16, no. 2 (2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.hepokoski.html; Janet Schmalfeldt, 'One More Time on Beethoven's "Tempest", From Analytic and Performance Perspectives: A Response to William E. Caplin and James Hepokoski', *Music Theory Online* 16, no. 2 (2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.schmalfeldt3.html; and Schmalfeldt, *In the Process of Becoming*, 52–5.

rather than the result, of Beethoven's opening passage. Becoming unites a concept and its apparent opposite—in this case, introduction and main theme'.[56]

Schmalfeldt's emphasis on the process signifies a dialectical situation where neither of the form-functional profiles asserts dominance within a given form-functional time. In the current case, the sensibility topic is integrated into the production of the main theme, which is not ratified until the elided PAC in bar 21. The functionality of the recitative-like introduction is thereby confronted with the 'main theme coming into being' *throughout* the entire formal span. In other words, the inter-thematic unit's identity as an introduction is predicated on the tremendously expanded yet harmonically stable periodic design that paradoxically implies a main theme. To put it in Hegelian terms, the introduction function is only comprehensible in relation to the main-theme function, and their unity constitutes the condition of becoming that informs our experience of the formal span; or to paraphrase Hegel, 'the formal unit is not yet in its beginning, but the beginning is not merely the introduction either; rather the main theme is already contained therein. The beginning is itself also a becoming, but it already expresses the relation to further progression'.[57] This understanding posits becoming as both the process and the result. It accords with Martin and Vande Moortele's second instance, or what I term 'form-functional oscillation', for it suggests a scenario that is 'internally dynamic – one that bounces back and forth between conflicting form-functional profiles – but that in the larger scheme is entirely static', as illustrated in Figure 1.1.[58] Schmalfeldt's notion of becoming hence, I argue, resonates with form-functional oscillation, and it is perhaps better represented by the left-right double arrow (⇔), since the expression becoming is meant to indicate that '*what has become* [i.e. becoming as a totality] preserves our memory of the original conflict'.[59]

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[56] Schmalfeldt, *In the Process of Becoming*, 50.

[57] The original reads: 'The basic matter *is not yet* in its beginning, but the beginning is not merely its *nothing* either; rather *being* is already contained therein. The beginning is itself also a becoming, but it already expresses the relation to the further progression'. See Georg Wilhelm Friedrich Hegel, *Encyclopedia of the Philosophical Sciences in Basic Outline, Part I: Science of Logic*, ed. and trans. Klaus Brinkmann and Daniel O. Dahlstrom (Cambridge: Cambridge University Press, 2010), 142.

[58] Martin and Vande Moortele, 'Formal Functions and Retrospective Reinterpretation', 148. In Figure 1.1, S stands for the subject, which is often the initial form-functional profile, and O denotes the object, which in most cases is the second form-functional profile. This usage will be retained in all other relevant figures.

[59] Schmalfeldt, *In the Process of Becoming*, 50. This is perhaps where the confusion over the meaning of becoming arises. The phrase 'what has become' is often mistaken as indicating the displacement

$$\Leftrightarrow$$

Oscillation ('becoming')

form-functional time
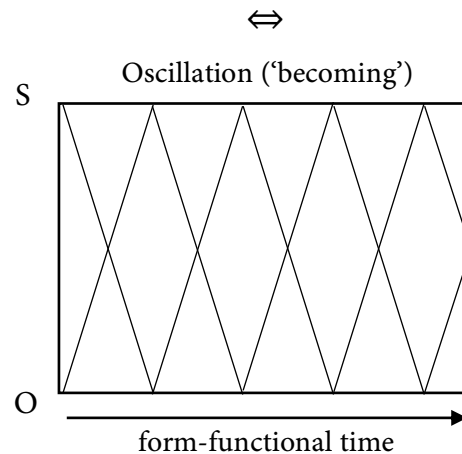
Figure 1.1   Experience of Time in Form-Functional Oscillation ('becoming')

If what Schmalfeldt intended for becoming corresponds to Martin and Vande Moortele's oscillation, what then might the rightwards double arrow connote? In the latter's formulation, the rightwards double arrow designates a situation in which:

> each function comes to fore at a different moment in the unit, one at the beginning and one at the end; while both functions might in retrospect be said to overlap at the beginning, the end expresses only the second function. Although the initial impression is not forgotten, *the second function ultimately prevails* without any residual ambiguity. The rightwards double arrow thus stands for the *unidirectional* conversion that takes place over time from one function to the other.[60]

This first instance, or what I call 'form-functional reinterpretation', shows a dialectical process that foregrounds the object, or the second function, as the epistemological priority, attesting to Adorno's negative dialectics. To summarise Adorno's views: while Hegel construed the speculative synthesis of opposing concepts as the totality of dialectics, Adorno argued that such a unity is instead 'the expression of the non-identity of thesis and antithesis'.[61] Spotlighting its contradictory nature, dialectics, for

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of the first function, while it shall refer to the oscillation between the first and the second functions as a totality. See Chapter Two for an explication of the concept of becoming in a Hegelian sense.

[60] Martin and Vande Moortele, 'Formal Functions and Retrospective Reinterpretation', 148. Italics are mine.

[61] Theodor W. Adorno, *Lectures on Negative Dialectics: Fragments of a Lecture Course 1965/1966*, ed. Rolf Tiedemann, trans. Rodney Livingstone (Cambridge: Polity, 2008), 30.

Example 1.3   Schubert, String Quintet in C Major, D. 956, First Movement, bars 33–
58 (reproduced from Martin and Vande Moortele, 'Formal Functions
and Retrospective Reinterpretation')

Adorno, is 'the consistent sense of non-identity', which paradoxically takes the form of totality.[62] This insistence on non-identity subsequently gives rise to Adorno's prioritisation of the object. He declared that the object 'always remains something other than the subject' in the latter's thought, whereas the subject 'by its very nature is from the outset an object' as part of the objective reality.[63] The object should thus take precedence as the epistemological foundation of dialectics.[64]

Such a formulation tallies with the kind of logical process inherent in circumstances of form-functional reinterpretation. Example 1.3 presents a clear instance that Martin and Vande Moortele identifies in Schubert's String Quintet. Located after an 'introduction⇔main theme', this proliferated sentential unit (bars 33–59) begins with a compound presentation (bars 33–38) that displays a tonic prolongation, though its tonal stability is undermined by a strong tendency towards D minor, the supertonic, which is crystallised into a tonicisation through an applied dominant (V/ii).[65] While the presentation elicits the function of a main theme, the continuation (bars 40–59) initiates a process of fragmentation and moves further towards D minor, before arriving at a tonic half cadence (HC) (bar 49^1) that engenders a dominant prolongation, which points to the function of a transition.[66] This impression is confirmed at the arrival of the medial caesura (bars 58–59); by that point, as Martin and Vande Moortele asserts, 'there can be little doubt that we have just heard a non-modulating transition'.[67] As a result, the previous D minor tendency is objectified as part of the transition's material reality that serves to destabilise the home key (despite being located within a *de facto* 'non-modulating' transition). And the entire formal unit therefore evinces a negative dialectical process, in which the initial main-theme function is challenged by the subsequent transition function, forming a dialectical relationship where

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[62] Theodor W. Adorno, *Negative Dialectics*, trans. E. B. Ashton (New York: Continuum, 1973), 5.

[63] *Ibid.*, 183.

[64] See Chapter Two for a more detailed discussion of negative dialectics.

[65] On thematic proliferation, see Horton, *Brahms' Piano Concerto No. 2, Op. 83*, 46.

[66] Martin and Vande Moortele, 'Formal Functions and Retrospective Reinterpretation', 134, 151 (n. 14). The transition often features devices of formal loosening and ends with dominant harmony. See Caplin, *Classical Form*, 125–35. Though with a different formal reading, David Beach also notes the motion directed towards D minor before bar 49. See David Beach, 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure', *Music Theory Spectrum* 15, no. 1 (1993): 13–4. Superscripted numbers are used to indicate the specific beats in the relevant bars throughout the thesis.

[67] Martin and Vande Moortele, 'Formal Functions and Retrospective Reinterpretation', 134.

$$\Rightarrow$$
Reinterpretation

O

S

O

form-functional time
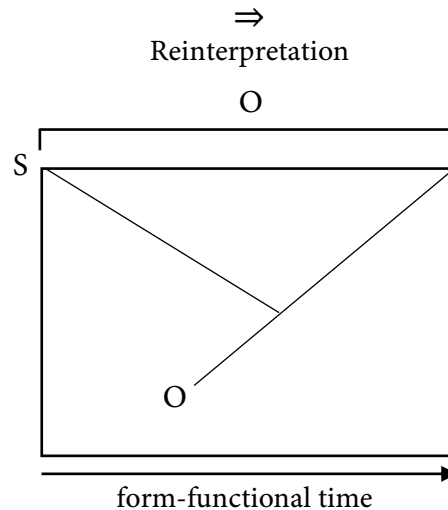
Figure 1.2   Experience of Time in Form-Functional Reinterpretation

the transition function eventually prevails, while the memory of the dialectics is re-
tained, as elucidated in Figure 1.2. In logical terms, this effects an epistemological shift
from the subject to the object, and the latter's final 'preponderance' is what the right-
wards double arrow ($\Rightarrow$) would capture.[68]

A Practical Note

In an attempt to show the historical development of the dialectical-formal thinking,
this study employs a large number of philosophical ideas to address various models of
formal processuality or sonata teleology in Austro-German symphonic repertoire in
the nineteenth and early twentieth centuries. Given that their relations to music could
each be a separate book project, there is not enough space to do them justice within
the scope of the present study.[69] As a result, these philosophical concepts are at times
deployed in abstraction and could be oversimplified or partially distorted. For most of
them I have either provided a short summary in the text or included an explanation in
the footnotes. However, readers are advised to consult the primary and secondary lit-
erature cited in the footnotes to grasp the ideas in full.

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[68] Adorno, *Negative Dialectics*, 183.

[69] For such projects, see for example Michael Spitzer, *Music as Philosophy: Adorno and Beethoven's Late Style* (Indiana, IN: Indiana University Press, 2006), in addition to Schmalfeldt, *In the Process of Becoming.*

Chapter Two

The Time-Space Moment of Beethoven-Hegelianism

Reuniting with the Tradition

> I am not the first, nor will I be the last, to associate Beethoven with Hegel…the last moments within the historical processes initiated by Hegel and Beethoven have hardly come and gone.[1]

Some twenty years after the publication of her influential article on the 'Tempest' sonata, Janet Schmalfeldt has proven herself right—the concept of 'becoming' (*werden*) has gained its currency in the music-theoretical lexicon, and music theorists, whether they embrace its Hegelian connotation or not, have reinvested in the cognate idea of form as process, which has now become the foundation of engagements with Romantic form. This is perhaps best exemplified by the three analytical chapters addressing Mendelssohn's sonata forms in the recently edited volume *Rethinking Mendelssohn*, where the authors respectively draw on a processual understanding of form in various contexts. Spotlighting the elision of development and recapitulation in Mendelssohn's sonata practice, Benedict Taylor asserts that it produces 'a continuous design that leads without break to the coda'.[2] The same processual quality also serves as the basis of

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[1] Janet Schmalfeldt, 'Form as the Process of Becoming: The Beethoven-Hegelian Tradition and the 'Tempest' Sonata', *Beethoven Forum* 4 (1995): 37. The same passage also appears in the revised version of the article, which is included as a chapter in Schmalfeldt's 2011 monograph. See Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 23.

[2] Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 205. Drawing on Schmalfeldt's idea of becoming, Carissa Reddick makes the same basic point about what she calls 'divisional functional overlap' between retransition and recapitulation in selected late nineteenth-century examples. See Carissa Reddick, '*Becoming* at a Deeper Level: Divisional Overlap in Sonata Forms from the Late Nineteenth Century', *Music Theory Online* 16, no. 2 (2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.reddick.html.

Steven Vande Moortele's formulation of Mendelssohn's symphonic thematic expansions, which he considers as the process that acts on cadential dislocation and in effect results in a retrospective reinterpretation of 'the projected theme length implied by the model'.[3] Building on Schmalfeldt's Hegelian conception of form, Julian Horton names becoming as one of his six central Mendelssohnian syntactic categories, proclaiming that 'Romantic composers devised sonata forms that narrate the coming into being of form as part of the music's diachronic experience'.[4] Taken together, these observations of Mendelssohn's formal strategy echo Schmalfeldt's view that his music tends to 'invite our perception of form as a dialectical process'.[5] They also make the case for the centrality of a processual approach to the understanding of nineteenth-century form, and this lays the ground for Schmalfeldt's reconstruction of what she calls the 'Beethoven-Hegelian' tradition.

Schmalfeldt conceives the idea of form as process—or more specifically, dialectical process—as inheriting from a long tradition of formal thinking in which Beethoven's music functions as a vehicle for the historical process informed by Hegel's idealist epistemology. Her account of such historical intersections begins with E. T. A. Hoffmann's 1810 review of Beethoven's Fifth Symphony. Addressing the aesthetics of Romantic music, Hoffmann considered the distinction between absolute and programme music, to which the role of Beethoven's music is crucial, via an implicit 'system of categories', or in Kantian/Hegelian terms, pairs of 'antitheses', including plastic/musical, ancient/modern, heathen/Christian, natural/supernatural, rhythm/harmony and vocal music/instrumental music.[6] This hermeneutic model demonstrates

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[3] Steven Vande Moortele, 'Expansion and Recomposition in Mendelssohn's Symphonic Sonata Forms', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 217.

[4] Julian Horton, 'Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 242–3. Horton predicates his observations on a corpus study of 72 sonata-type movements by Mendelssohn undertaken together with Paul Wingfield. See Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn Perspectives*, eds. Angela Mace and Nicole Grimes (Farnham: Ashgate, 2012), 83–112.

[5] Schmalfeldt, *In the Process of Becoming*, 164. Schmalfeldt's analysis is arguably a starting point for such investigations in Mendelsohn's formal processuality.

[6] Carl Dahlhaus, *The Idea of Absolute Music*, trans. Roger Lustig (Chicago and London: Chicago University Press, 1989), 42–3; cf. E. T. A. Hoffmann, 'Review of Beethoven's Fifth Symphony', in *E. T. A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*, ed. David Charlton, trans. Martyn Clarke (Cambridge: Cambridge University Press, 1989), 243–51.

the emergence of a Beethoven-Hegelian way of listening in the early nineteenth century, which arguably underlay the theoretical pursuit by Adolf Bernhard Marx (1799–1866).[7]

Marx, according to Schmalfeldt, serves not only as a key figure in the development of the theory of musical form, but also as the overt founder of the Beethoven-Hegelian tradition in music theory.[8] His *Formenlehre* is founded upon the view of Beethoven's music as the 'end-point of musical history' through which one is able to discern how musical form achieves 'wholeness' via the realisation of its spiritual content, or the *Idee*.[9] Though not exclusively Hegelian, Marx's approach to form refers to Hegel's dialectical thought on at least two counts. In contrast to the common perception of his theory as the origin of the rigid 'textbook' codification of forms, Marx recognised the dialectics between form and content as intrinsic to musical form. He contended that form is 'the shaping and hence determination of content that is originally shapeless and undetermined […] and only then – through shaping, through form – *becoming* music (*Musik wird*)'.[10] This recalls Hegel's perspective on the 'genuine works of art', which he considered as 'precisely those whose content and form prove to be identical'.[11] Such a dialectical understanding of form is manifested in Marx's formulation of the basic *Grundform*, the *Satz*, which is underpinned by 'a primary opposition between the state of rest and that of motion' conveyed by the music's material content.[12] As Schmalfeldt explains, the pattern of 'rest-motion-rest' (*Ruhe-Bewegung-Ruhe*) expressed by an initial four-bar *Satz* requires a *Gegensatz* to follow in order for

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[7] For a thorough examination of Hoffmann's review in relation to the Hegelian context, see Chapter Three of Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton, NJ: Princeton University Press, 2006).

[8] Schmalfeldt, *In the Process of Becoming*, 28.

[9] *Ibid.*, 25; cf. Scott Burnham, 'Aesthetics, Theory and History in the Works of Adolph Bernhard Marx' (PhD diss., Brandeis University, 1988), 240–1. See also Scott Burnham, 'Criticism, Faith, and the *Idee*: A. B. Marx's Early Reception of Beethoven', *19th-Century Music* 13, no. 3 (1990): 185–6.

[10] A. B. Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 61. For the original text in German, see A. B. Marx, 'Die Form in der Musik', in *Die Wissenschaften im neunzehnten Jahrhundert*, ed. Johannes Andreas Romberg, vol. 2 (Leipzig: Romberg's Verlag, 1856), 25. Italics are mine.

[11] Georg Wilhelm Friedrich Hegel, *Encyclopedia of the Philosophical Sciences in Basic Outline, Part I: Science of Logic*, ed. and trans. Klaus Brinkmann and Daniel O. Dahlstrom (Cambridge: Cambridge University Press, 2010), 201.

[12] Scott Burnham, 'The Role of Sonata Form in A. B. Marx's Theory of Form', *Journal of Music Theory* 33, no. 2 (1989): 249.

the next stage of motion (rising, intensification, high-point and return) and an ultimate state of rest to be achieved; and as such, the *Satz* 'becomes' a *Vordersatz* relative to the *Gegensatz*, while the *Gegensatz* assumes the function of a *Nachsatz* within the larger eight-bar period. But then since each half of the period 'wills its own expansion' and 'wants to become a larger whole', they are respectively subject to a process of becoming whereby the original *Vordersatz* or *Nachsatz*, now become an eight-bar unit, is embedded with its own *Vordersatz* and *Nachsatz* generated from the dialectics of form (*Satz*) and content (rest/motion).[13] Such processes inform Marx's construction of the more complex formal types, the culmination of which is sonata form, the form that reaches its full potential in the music of Beethoven. Marx's systematisation of forms, long regarded as his most significant contribution to *Formenlehre*, is thus guided by a dialectical mode of thought that foregrounds the dynamics between form and content as the fundamental formal principle. This dialectical orientation establishes Marx as the architect of the Beethoven-Hegelian tradition, and his theory of form consequently anticipates the critical reading of Beethoven by Theodor W. Adorno and Carl Dahlhaus.

Moving into the twentieth century, Schmalfeldt's narrative continues with Arnold Schoenberg, who acts as 'the foremost intermediary between Marx and Dahlhaus's.[14] Despite not being an overt Hegelian, Schoenberg nevertheless shared with Marx the dynamic understanding of form as process that crystallises the *Idee*; they both found the clearest examples of such a principle in the works of Beethoven.[15] To justify the historical validity of his material content, Schoenberg ascribed the origin of his developing-variation technique to the music of J. S. Bach and asserted that it developed into a 'style' by 'the classical composers—Haydn, Mozart, Beethoven, Schubert, Mendelssohn, Schumann, Brahms and even Wagner'. The chronology represented by these composers constitutes the 'path to the new music', including the works of Schoenberg himself, and this 'prepares the way for Adorno's post-Hegelian historiography' of European music from Beethoven to Schoenberg and beyond.[16]

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[13] Schmalfeldt, *In the Process of Becoming*, 26; cf. Burnham, 'The Role of Sonata Form', 249–54.

[14] Schmalfeldt, *In the Process of Becoming*, 28.

[15] *Ibid.*

[16] *Ibid.*, 29; cf. Arnold Schoenberg, '*On revient toujours* (1948)', in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California

Aligning with the Beethoven-Hegelian tradition which Marx began, Adorno explicitly invoked Hegel's subject-object dialectics in his critique of European music. He referred to a composer's original theme, which results from 'inspiration' (*Einfall*), as the 'musical subject', suggesting that *Einfall* attests to 'a moment in the dialectical process manifest in musical form', a moment that 'marks the irreducibly subjective element in this process'.[17] In contrast, the motivic process exemplified by developing variation, or the 'working out' of the theme, 'represents the process of objectivity and the process of becoming, which, to be sure, contains this subjective moment as a driving force'.[18] Although Adorno adopted a Hegelian dialectical outlook in which the 'interdependency of form and content in all music' is assumed, he saw the synthesis of such dialectical opposites as non-viable after Beethoven's middle period.[19] This is to be comprehended in line with his sociological view of the late eighteenth-century bourgeois humanism—coeval with the rise of Beethoven—as 'that last historical moment' wherein a reconciliation between the individual as subject and society as Other is possible.[20] While for Adorno music is a sociocultural product, its thematic-motivic dialectics thereby 'resists unification just as strongly as the bourgeois concept of the individual stands in perennial contrast to the totality of the social process. The inconsistency between the theme and what happens reflects such social irreconcilability'.[21] This model of 'negative dialectics' highlights the non-identical in Hegel's framework and informs Adorno's account of 'music of Beethoven's type', in which the non-identity of the recapitulation—'the return in reminiscence of complexes expounded earlier'—is foregrounded as 'the result of development, that is, of dialectic'.[22] It also leads Adorno to shift the epistemological focus from subjective categories, including theme,

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Press, 2010), 108–9.

[17] Theodor W. Adorno, *Philosophy of Modern Music*, trans. Anne G. Mitchell and Wesley V. Blomster (London: Bloomsbury, 2016), 74.

[18] *Ibid.*

[19] *Ibid.*, 42.

[20] Schmalfeldt, *In the Process of Becoming*, 30.

[21] Adorno, *Philosophy of Modern Music*, 74.

[22] Theodor W. Adorno, *Hegel: Three Studies*, trans. Shierry Weber Nicholsen (Cambridge, MA: The MIT Press, 1993), 136.

content, deviations, essence/coherence, to objective concepts, such as development/variation, form, schemata and becoming.[23]

It is within this long-standing tradition that Schmalfeldt situates Dahlhaus's dialectical interpretation of the 'Tempest' sonata and subsequently her theorisation of becoming. For Schmalfeldt, the ideas about form, content, theme, formal functions and processuality in Dahlhaus's writings on Beethoven 'emphatically reflect upon Schoenberg's and Adorno's contributions to the Beethoven-Hegelian tradition': corresponding to Adorno, Dahlhaus saw Beethoven's middle period as the pivotal historical moment in which a mediation 'between extreme exotericism (outwardly directed expression) and extreme esotericism (expression turned inward), between the apparently concrete and the motivically abstract' is discerned;[24] and turning to Schoenberg, he equated developing variation with the formal process whereby the meaning of the motivic material is 'decided by the course the music takes…and that course is unmistakably determined by formal considerations'.[25] These perspectives essentially shape Dahlhaus's view of Beethoven's middle period as embarking on a 'new path' towards a processual conception of form, one that evinces the interaction between motivic process and formal functions. Though Dahlhaus might at first seem to prioritise motivic development in his own analyses (especially of Beethoven's Op. 2, No. 3 and Op. 14, No. 2), he indeed recognised formal conventions, represented by form-functional categories, as an equally important aspect of form, in which their interplay amounts to a dialectic that motivates the process. Such an attitude is demonstrated in his proposition that where formal conventions are in place, 'the decisive factor is not an abstract "logic" of motivic development (a logic detached from the formal ground plan) but the blending of that logic within the function and stations of a formal process'.[26] Put in this context, implicit in Dahlhaus's prominent statement about the beginning of the 'Tempest' sonata—'the beginning of the movement is not yet a subject, the evolutionary episode is one no longer'—is therefore a dialectical relationship between motivic

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[23] These antitheses arise in Adorno's writings and summarised in Schmalfeldt, *In the Process of Becoming*, 33. The idea of negative dialectics will be explored in more detail in the later part of this chapter.

[24] *Ibid.*, 33 and 34.

[25] Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991), 35.

[26] *Ibid.*, 37. See Schmalfeldt, *In the Process of Becoming*, 32–7 for the full explication of Dahlhaus's conception of form.

process and formal functions, and it is chiefly the motivic development that brings about the change in the perception of the unit's form-functional profile, producing the condition that Schmalfeldt later identifies with the Hegelian process of becoming.[27]

As the principal heir to the Beethoven-Hegelian tradition who first traces this history, Schmalfeldt maintains, like her predecessors, that the notion of becoming, or form as process, reaches its maturity as a manifestation of 'post-Enlightenment philosophical ideas about form' in Beethoven's music, which sees 'the emergence of a distinctive Romantic style'.[28] While she has made a convincing case for such a claim via case studies of music by Beethoven, Schubert, Mendelssohn, Chopin and the Schumanns, her emphasis on processuality as a defining feature of Romantic form has prompted criticism. In his review article of Schmalfeldt's *In the Process of Becoming*, Vande Moortele expresses his reluctance to embrace fully the idea that formal processuality is a Romantic attribute by questioning, if at all, there is any difference between situations of becoming in nineteenth-century music and those in the late eighteenth century.[29] This points to a crucial historical issue which Schmalfeldt fails to address: if becoming implies a Hegelian dialectical process—the post-Enlightenment framework which she draws upon—does the analytical application of the concept to any earlier/later repertoire entail the same process, given that the historical circumstances in which they are produced might be different?[30] The potential lapse of mapping Hegelian becoming onto a different process affects not only historically sensitive

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[27] Dahlhaus, *Ludwig van Beethoven*, 170. For a full dialectical analysis of the motivic development in the beginning of the 'Tempest' sonata, see Julian Horton, 'Dialectics and Musical Analysis', in *Aesthetics of Music: Musicological Perspectives*, ed. Stephen Downes (New York: Routledge, 2014), 120–7. See also Chapter One for a form-functional reading of the dialectical properties of the opening of the 'Tempest' sonata.

[28] Schmalfeldt, *In the Process of Becoming*, 17.

[29] Steven Vande Moortele, 'In Search of Romantic Form', *Music Analysis* 32, no. 3 (2013): 420. James Hepokoski and Seth Monahan raise a similar concern in their respective essays. See James Hepokoski, 'Formal Process, Sonata Theory, and the First Movement of Beethoven's "Tempest" Sonata', *Music Theory Online* 16, no. 2 (2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.hepokoski.html and Seth Monahan, 'Review of Janet Schmalfeldt: *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford: Oxford University Press, 2011)', *Music Theory Online* 17, no. 3 (2011), https://mtosmt.org/issues/mto.11.17.3/mto.11.17.3.monahan.html.

[30] Although Schmalfeldt devotes a chapter to address the 'processual legacy' in the works of Haydn, Clementi and Mozart, she does not seem to distinguish between modes of becoming in different historical time frames. The same attitude is also evident in her recent assessment of Scarlatti's sonatas, where becoming is mobilised as a purely technical concept to describe situations of form-functional ambiguity (see Janet Schmalfeldt, 'Domenico Scarlatti, Escape Artist: Sightings of His "Mixed Style" towards the End of the Eighteenth Century', *Music Analysis* 38, no. 3 (2019): 253–96). Schmalfeldt hence appears

analysts who are concerned with whether the formal process in such repertoire bears the same dialectical properties as the early nineteenth-century works Schmalfeldt studies, but also theorists who attempt to theorise a *special* kind of processuality as the basic principle that underlies the formal syntax in Romantic music. Relevant to this issue is Schmalfeldt's comprehensive usage of becoming. As Vande Moortele notes, becoming is deployed to describe 'instances not only of formal, but also of harmonic, cadential and even motivic reinterpretation or transformation', and this suggests 'a purely phenomenological understanding of the category, and therefore an even more generalised applicability'.[31] While such a broad scope of usage has made becoming a useful concept in capturing retrospective reinterpretation of all sorts, the lack of specificity might as well undermine its validity as 'one of the principal tenets' of Romantic form. Even taken as a formal phenomenon, becoming can refer to two similar but not necessarily identical conditions: it either denotes the ongoing dialectics between motivic process and formal functions, in which becoming is the *process*; or it signals the realisation of the dialectical opposition between two form-functional profiles, where becoming is the *result*. The collapse of these distinctions into the all-in-one concept of becoming risks obscuring the distinctiveness of becoming as a historically specific formal category as well as other species of processuality that characterise formal praxis against different philosophical backdrops. This is especially pertinent to symphonic music at the *fin de siècle*, where a new kind of processuality emerges as the overall teleology of form.

Taking Schmalfeldt's account of the Beethoven-Hegelian tradition as the point of departure, this chapter develops a dialectical reading of nineteenth-century and early twentieth-century Austro-German music, which would simultaneously offer the basis for a *fin-de-siècle* theory of sonata form and constitute an analytical history of early Viennese modernism. I conceive the historical indistinctness in Schmalfeldt's formulation of becoming as a result of her sole emphasis on processuality, which leads to the eclipse of an important time-defining phenomenological category,

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to treat Hegelian dialectics as more of a contextual framework, whereas the present study—as we shall see—pursues dialectical thought as both a historical perspective and an analytical means.

[31] Vande Moortele, 'In Search of Romantic Form', 418 and 419. Pieter Bergé also points out the issues with the diverse usage of becoming in Schmalfeldt's monograph. See Pieter Bergé, 'Bespreking van Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*', *Dutch Journal of Music Theory* 18, no. 2 (2013): 110–14.

namely the *Augenblick*, or the moment, which refers literally to the glance of the eye. Such a moment is essential to the consciousness of becoming, as Schmalfeldt suggests in her elucidation of *Aufhebung*, the Hegelian term for 'the result of the process of becoming':

> At the *moment* when one grasps that becoming has united a concept and its opposite, or negative, then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And what has become is a new *moment*—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical, determinations, in the sense that one cannot be thought, or posited, outside the context of the other.[32]

In view of its significance in the apprehension of becoming, I reunite the aesthetics of the moment with the Beethoven-Hegelian tradition of formal thinking, and from there, construct a model of music historiography that is founded upon the dialectical properties of formal syntax. I nominate three historical moments that chart respectively the key phases in the development of music-dialectical thought in the long nineteenth century.[33] Each of these phases is scrutinised in relation to a representative dialectician, through whom I explore how their ideas illuminate different species of formal processuality at the corresponding times with selected analytical vignettes. The first phase is signalled by the emergence of dialectical processuality at the turn of the nineteenth century, where Hegel's dialectical thought epitomises the context that shapes Beethoven's approach to form. The second is marked by the commodification of processuality around the mid-nineteenth century, driven by the fetishism of technique that results in the alienation of the dialectical labour that produces the form in favour of process—a phenomenon which resembles what Karl Marx described as 'phantasmagoria' in connection with the relations of production.[34] The third is indicated by the exposure of dialectical labour at the turn of the twentieth

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[32] Schmalfeldt, *In the Process of Becoming*, 10. See also p. 50 for a comparable passage that describes the beginning of the 'Tempest' sonata.

[33] The framework nominated here is broadly similar to the one Horton posits, though I adopt a more explicit Marxist outlook, especially with regard to the second and the third phases. See Horton, 'Dialectics and Musical Analysis', 112.

[34] Adorno first appropriated the notion of phantasmagoria for music in his critique of Wagner's *Gesamtkunstwerk*. This is to be explored further in the later part of the chapter.

century, a period which sees the foregrounding of the objective experience of pro-
cessuality, the non-identity that characterises Adorno's negative dialectics. While I
provide snapshots of the dialectical mentalities of such authors insofar as it is possi-
ble under the present constraints, the focus is given primarily to the relationship
between process and structure, or time and space, and its manifestation in music,
wherein the moment as an epistemic turning point is essential to the distinction be-
tween types of processuality. The differences in the approach to time and space, as
revealed by the moment, naturally narrate a history of music-dialectical thought,
and this culminates in the third and final phase, which I argue, provides a model on
which a theory of *fin-de-siècle* sonata form is founded. The election of time and space
as the conceptual basis of discourse also engenders a rethinking of the nature of form,
which, as we shall see, is crucial to the clarification of Romantic formal practices that
underlies the pursuit of a theory of form for *fin-de-siècle* symphonic music.

Hegel, Beethoven and Space-Time Consciousness

Dialectical thought occupies a central position in Hegel's philosophical system. It per-
vades all of his mature writings, among which Part I of the *Encyclopaedia of the Phil-
osophical Sciences* (often referred to as *Encyclopaedia Logic*) offers the most extensive
account of his formulation. In the *Encyclopaedia,* Hegel identified three sides of logi-
cal presentation, including 1) the 'abstract' side, or the side of the 'understanding'; 2)
the 'dialectical' or 'negatively rational' side; and 3) the 'speculative' or 'positively ra-
tional' side.[35] These three sides are not 'parts of logic, but are moments of *every
properly logical content* [*Moment jades Logisch-Reellen*]', by which he meant stages
that constitute the comprehension of 'every concept or everything true in general'.[36]
The abstract side is the first moment at which the understanding posits the concept as
absolute 'as if it were independent and self-sufficient'.[37] The understanding however
comes to discern its 'one-sided and limited character' and that it is 'only comprehen-
sible through its relation to other things'.[38] This leads to the dialectical side, the second

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[35] Hegel, *Encyclopedia*, 125.
[36] *Ibid.*
[37] Frederick Beiser, *Hegel* (New York and London: Routledge, 2005), 167.
[38] Hegel, *Encyclopedia*, 128–9; Beiser, *Hegel,* 167.

moment in which the understanding sublates (*aufheben*, meaning to negate and to preserve) itself and passes into its opposite. To resolve the contradiction, the speculative side, or the third moment, grasps the unity of the opposition between the first two determinations. It elevates to the standpoint of the whole, and in such a way the dialectic between the concept and its opposite continues, while at the same time they constitute an united integrity.[39] This unity is also what Hegel described as becoming in relation to ontology, in which the transitioning between being and nothing as a whole is both the process and the result, as he illustrated this with the notion of 'beginning': 'The basic matter *is not yet* in its beginning, but the beginning is not merely its *nothing* either; rather *being* is already contained therein. The beginning is itself also a becoming, but it already expresses the relation to the further progression'.[40]

This model of dialectics, often construed as the tripartite process of thesis, antithesis and synthesis, also informs Hegel's notion of consciousness. In *Phenomenology of Spirit*, dialectics, as Charles Taylor explains, is the mechanism that takes our ordinary consciousness of things, in which we serve as 'individual, finite subjects set over against the world', to the perspective of *Geist*, or the spirit, that 'shows us as vehicles of a spirit which is also expressed in the world, so that this world is no longer distinct from us'.[41] This nevertheless arises from an immanent critique, whereby the dialectical movement is inherent in the things themselves, not just in the way they are reasoned. Hegel began his critique with what he called 'sensuous-certainty', the absolute, immediate state of consciousness which denotes the unselective, (apparently) self-contained awareness of the world.[42] In this stage, while the subject of sensuous-certainty describes its experiences as a form of knowing, it inevitably focuses on certain dimensions and excludes the others.[43] This however contradicts not only its as-

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[39] Hegel, *Encyclopedia*, 132; Beiser, *Hegel*, 168–9.

[40] Hegel, *Encyclopedia*, 142.

[41] Charles Taylor, *Hegel* (New York: Cambridge University Press, 1975), 128.

[42] 'Knowing which is initially our object, or immediately, can be nothing but immediate knowing, *knowing* of the *immediate*, or of *what is*. Likewise we ourselves have to conduct ourselves *immediately*, or *receptively*. We therefore are to alter nothing in the object as it presents itself, and we must keep our conceptualising of it apart from our apprehending of it'. See Georg Wilhelm Friedrich Hegel, *The Phenomenology of Spirit*, ed. and trans. Terry Pinkard (Cambridge: Cambridge University Press, 2018), 60.

[43] Hegel demonstrated this via a discussion of the use of indexicals. See *Ibid*, 62–6. For a summary of

sertion to be unselective, but also its claim to immediate contact with sensuous particulars, or the object, rendering the 'necessity mediation of knowing through a concept or universal'.[44] The object hence turns out to be 'a thing with properties', and such a mediated awareness attests to the second moment in the dialectical process, or what Hegel termed 'perception'.[45] Here Hegel once again showed that experience defined in terms of this object is contradictory, and it requires 'a dynamic conception, one which sees the object as the locus of causal force' in order for a coherent understanding of the object to be achieved.[46] This is done via a twofold conception of the object, in which its external manifestation is posited as the product of an inner force, 'an inner necessity which must manifest itself'.[47] In such a way, the object reveals itself to have the same structure as the subject in its inner contradiction and mediated manifestation. Thus our 'consciousness of an other, of an object as such, is indeed itself necessarily *self-consciousness*, being-reflected into itself, consciousness of its own self, in its otherness'.[48] This transition from consciousness to self-consciousness is motivated by the striving for 'internal expression', or 'total integrity', a condition where the objective reality and the subjective self coalesce into a complete whole. This 'real thing', however, can only be attained when a self-conceiving subject identifies themselves as the 'emanation of universal *Geist*', for 'it is only then that they will not see the surrounding universe as a limit, an other'.[49]

These dialectical concepts offer a context on which Schmalfeldt's idea of becoming draws. Her explication focuses on the speculative side of Hegelian dialectics, accentuating becoming as a concept of 'unity *in* the diversity', as she expounds: 'becoming unites the imagining of a concept and of its opposite—its negation, what it is not—in such a way that they "overturn into one another", thus losing their "one-sidedness";

Hegel's argument, see Terry Pinkard, *Hegel's Phenomenology: The Sociality of Reason* (Cambridge: Cambridge University Press, 1994), 25–6.

[44] 'While this sensuous-certainty has proved in its own self that the universal is the truth of its object, to it *pure being* therefore remains as its essence but not as immediate. Rather, it remains as that to which negation and mediation are essential…'. See Hegel, *Phenomenology*, 62; cf. Taylor, *Hegel*, 142.

[45] Taylor, *Hegel*, 146.

[46] *Ibid*.

[47] *Ibid*. For the details of Hegel's reasoning about perception and its relation to force, see Pinkard, *Hegel's Phenomenology*, 28–45; cf. Hegel, *Phenomenology*, 68–101.

[48] Hegel, *Phenomenology*, 100.

[49] Taylor, *Hegel*, 148.

the mental synthesis that results at once *cancels* but also *preserves* the distinction be-tween the two'.[50] This dynamic unity causes Schmalfeldt to conclude that becoming underlines 'the process, rather than the result', because 'the expression suggests that *what has become* preserves our memory of the original conflict'.[51] Although Schmal-feldt's emphasis on the speculative side is justifiable given her intent to articulate both the dynamic and the unitary nature of the notion of becoming, the lack of attention to how becoming comes into being—or *the consciousness of becoming*—obliterates the implications of individual dialectical stages on form-functional behaviours, the knowledge of which plays a crucial role in illuminating the processuality unique to early nineteenth-century music. Of the three stages in Hegelian dialectics, the dialec-tical moment is particularly important to the consciousness of becoming, since it is when form-functional understanding realises its one-sidedness and initiates the dia-lectical movement by means of self-sublation. Reappraising becoming in these terms: while the formal unit begins life with a subjective function suggested by formal con-ventions, or formal syntax, it is met with a contradicting motivic and/or tonal process that posits an objective function.[52] As with Hegel's dialectics of consciousness, this ob-jective function is the product of an inner process, and it hence gains the status of 'a thing with properties'. With the consciousness of 'an other, of an object as such', the form-functional understanding arrives at a state of self-consciousness, in which the subjective and the objective functions both share the same 'structure' as mediated manifestations of their respective properties—the former is supported by *syntax*, while the latter is afforded by *process*. And this 'consciousness of its own self, its otherness' also brings about the consciousness of becoming as the 'total integrity', or the repre-sentation of *Geist*, wherein the distinction between the subjective and the objective functions is both cancelled and preserved. In other words, the condition of becoming

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[50] Schmalfeldt, *In the Process of Becoming*, 10.

[51] *Ibid.*, 50.

[52] I have not included rhythmic process here because rhythmic process alone cannot afford a formal function, in spite of its ability to affect formal demarcation. The emphasis on the independence of dif-ferent musical modalities here is in essence similar to what Jason Yust posits in his recent monograph, though I differ from his formulation in understanding form as the summative experience of these mo-dalities rather than merely the thematic/rhetorical structure. See Jason Yust, *Organized Time: Rhythm, Tonality, and Form* (New York: Oxford University Press, 2018). The implications of our divergent views is examined in Kelvin H. F. Lee, 'Review of *Organized Time: Rhythm, Tonality, and Form* (Ox-ford Studies in Music Theory) by Jason Yust', *Notes* 76, no. 3 (2020): 451–4.

sees *the decoupling of syntax and process*, the tension of which is concurrently *the final form-functional verdict*—it is both the process as well as the result.

Here the partition of syntax and process into separate entities is significant, since this is what characterises becoming as peculiar to Romantic form. Implicit in such a dissociation is a fundamental change in the conception of space and time at the turn of the nineteenth century. Understood as thematic/tonal process and structure, the two dimensions at first align closely with each other in eighteenth-century music, whereby the unfolding of a process corresponds, in most cases, to an expected structure. This congruence results from the eighteenth-century composer's dependence on historically contingent syntactic habits—or schemata—as a communicative strategy, to which the predictability of musical patterns is essential.[53] As Vasili Byros suggests (referencing Leonard Meyer's formulation of the schema concept), 'replicated patternings in eighteenth-century music are commensurate with the knowledge structures of listeners'; and any disruption of the schematic structure, which the eighteenth-century listener acquired through 'extensive exposure to its regular occurrence in the corpus', would therefore yield expressive results.[54] Construed in these terms, while the schematic structure is conceived as a replicated patterning, the experience of it, or the process, implies a continuous effort of recognising its constituent patterns. In other words, there is *no epistemological difference between expected structure and processual understanding in eighteenth-century music*, and the relationship between space and time could be described as a space-time continuum, to borrow the term from modern physics.

A new approach to space and time however arises in early nineteenth-century music in the wake of the rise of Romantic aesthetics. Thanks to the novel motivic and harmonic possibilities advanced notably by Beethoven, the convention-based communicative model gives way to a more liberal thematic/tonal configuration to bear the

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[53] Here the term 'schemata' is broadly conceived as any kind of syntax or structure induced by regular occurrence of musical patterns within a specific historical time frame.

[54] Vasili Byros, 'Meyer's Anvil: Revisiting the Schema Concept', *Music Analysis* 31, no. 3 (2012): 326–7 and 309. Byros considers the disruption of syntax as a semantic phenomenon to expressive ends. See Vasili Byros, 'Trazom's Wit: Communicative Strategies in a "Popular" yet "Difficult" Sonata', *Eighteenth-Century Music* 10, no. 2 (2013): 213–52. See also Leonard Meyer, *Style and Music: Theory, History, and Ideology* (Philadelphia, PA: University of Pennsylvania Press, 1989); and Robert O. Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007) for one of the most substantial contributions to schema theory up to date.

increasing expressive needs spawned by the Romantic ideal. Taking the *le–sol–fi–sol*
schema as an example, Byros demonstrates, via his large-scale corpus study, that its
usage dropped somewhat rapidly at the 1820s and gradually went into disuse after-
wards. The vanishing of the *le–sol–fi–sol*, he argues, serves as a 'metaphor' for general
stylistic trend predicated on conventions, because 'replicated patternings such as the
le–sol–fi–sol schema operated within a larger culture of tonal stamping'.[55] The repudi-
ation of the eighteenth-century communicative model in favour of expression-driven
strategies thereby leads to the decline of structure's predictability, and consequently,
the prioritisation of process; or as Meyer described: the 'gradual weakening of (tonal)
syntactic relationships…was perhaps the single most important trend in the history of
nineteenth-century music'.[56] Put this way, early nineteenth-century music could be
seen as characterised by *an epistemological shift from a structure-orientated under-
standing of musical construction* (where process is considered as realisation of struc-
ture) to a process-orientated one (where structure is regarded as generating from pro-
cess)—it signifies the consciousness of space and time as individual phenomenological
categories, in which the transformation to the latter also distinguishes processuality of
early nineteenth-century music from that of the eighteenth century.

Situating this epistemological shift within the dialectics of becoming, the space-
time transformation is what elicits the dialectical moment—that is, when the objective
function acquires its properties. It propounds process as the epistemological priority,
and this creates a novel form-functional understanding as opposed to the perception
that conventions—a product of replicated patternings which appear in the form of
structure—initially suggest, inducing the decoupling of syntax and process. The mo-
ment of space-time transformation is thus when music is rendered as dialectical
thought—it is the *Augenblick* that acts as the gateway to the consciousness of becom-
ing as a form-functional reality, that 'every musical detail finds its meaning in the

[55] Byros, 'Meyer's Anvil', 314. For Byros's corpus study of the historical distribution of the *le–sol–fi–sol*
schema between 1720–1840, see Vasili Byros, 'Foundations of Tonality as Situated Cognition, 1730–
1830: An Enquiry into the Culture and Cognition of Eighteenth-Century Tonality with Beethoven's
Eroica Symphony as a Case Study' (PhD diss., Yale University, 2009).

[56] Meyer, *Style and Music*, 272.

form', as Daniel K. L. Chua says.[57] By way of unpacking the music-dialectical proper-ties inherent in the consciousness of becoming, we have also come to a renewed un-derstanding of form and formal function: while structure and process are elucidated as the two *dimensions* of a *space-time continuum*, form or formal function are mani-fested as the *totality*—the complete account of this changing form-functional under-standing prompted by the transformation of form-functional consciousness from space to time.[58] *Pace* Schenker, whose *Formenlehre* equates fundamental structure with form, this conception of form or formal function posits the interplay between structure and process as its epistemological basis, a postulate which, I contend, is nec-essary to the understanding of syntactic phenomenon in nineteenth-century form.[59]

The dialectics of becoming, alongside the space-time consciousness, notably emerged in Beethoven's middle period as the marked features of his symphonic form. This processual turn is invoked by the foregrounding of motivic processes in prefer-ence to the procession of formal functions as the source of material development, a

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[57] Daniel K. L. Chua, 'Adorno's Symphonic Space-Time and Beethoven's Time Travel in Space', *New German Critique* 43, no. 3 (2016): 114. Following Adorno, Chua however conceives the *Augenblick* as the musical procedure where time becomes space, a phenomenon which I associate with sym-phonic music at the *fin-de-siècle* in the later part of this chapter. The concept of *Augenblick* is related to the ideas of freedom and truth. For Chua's reading on this matter, see Daniel K. L. Chua, *Beethoven & Freedom* (New York: Oxford University Press, 2017), esp. Movement I.

[58] This is the same as the epistemological system Adorno adopted in his 'theory of the symphony', as explicated by Chua. See Chua, 'Adorno's Symphonic Space-Time', 114; cf. Theodor W. Adorno, *Bee-thoven: The Philosophy of Music*, ed. Rolf Tiedemann, trans. Edmund Jephcott (Cambridge: Polity Press, 1998), 166. In a sense, what I am attempting here is a reconciliation of traditional *Formenlehre* and what Adorno called the 'material theory of form', in which I highlight the material process as a separate dimension that at times defies form-functional labels. For an overview of Adorno's material theory of form, see Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1993), 174–83; and Theodor W. Adorno, *Mahler: A Musical Physiognomy*, trans. Edmund Jephcott (Chicago: University of Chicago Press, 1992), 44–6.

[59] For an in-depth investigation of Schenker's *Formenlehre*, see Charles J. Smith, 'Musical Form and Fundamental Structure: An Investigation of Schenker's *Formenlehre*', *Music Analysis* 15, no. 2–3 (1996): 191–297. Similar to Schenker, James Hepokoski and Warren Darcy also draws on a structure-orientated conception of form, particularly in their formation of the 'essential sonata trajectory'. This is however not without problem. As I have discussed in Chapter One, the sole diatonic conception of structure has led practitioners of sonata theory to exclude chromatic harmony as a generative force of formal phenomena. For examples of intersections between Schenkerian analysis and sonata theory, I have in mind Lauri Suurpää, 'Continuous Exposition and Tonal Structure in Three Late Haydn Works', *Music Theory Spectrum* 21, no. 2 (1999): 174–99 and William M. Marvin, '"*Und so weiter*": Schenker, Sonata Theory, and the Problem of the Recapitulation', *Theory and Practice* 37/38 (2012–13): 221–40. Hepokoski and Darcy's own take on the possible correlation between sonata theory and Schenkerian analysis can be found in James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (New York: Oxford University Press, 2006), 147–9.

Example 2.1   Beethoven, Symphony No. 5, First Movement, Opening

practice which, for Dahlhaus, 'amounts to a definition…of music in "the age of the-matic processes"'.[60] A close reading of the opening of Beethoven's Fifth Symphony (1808), presented in Example 2.1, explicates how motivic process instigates the space-time transformation and the dialectics of becoming in relation to the formulation de-

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[60] Dahlhaus, *Ludwig van Beethoven*, 84. The phrase 'the age of thematic processes' is from K. H. Wörner, as noted by Dahlhaus.

veloped above. Beginning with the renowned four-note motif that functions as a thematic introduction, the main theme comprises a regular sixteen-bar sentence with a presentation phrase (bars 6–14^1), a continuation phrase (bars 14^1–18^1) and a cadence (bars 18^1–21). Its constituent materials, nevertheless, all grow out of the signature motif, and this has significant formal ramifications: while the initial arrangement of the motivic material establishes a stable thematic structure that evokes the formal function of a main theme, the relaunch of the iconic motif (bars 22–24) as the material basis for the subsequent formal span demonstrates that it indeed affords a process of development.[61] This precipitates reorientation from a spatial understanding of the theme towards a temporal one, and the motivic working underlying the construction of the main theme now gains its properties as a process, which persists beyond the main theme and eclipses the formal boundary delineated by the HC. The reintroduction of the motif in turn engenders the impression of the main theme being carried over, which is yet met with the indication of a continuous motivic development that gives rise to the formal function of a transition. This therefore amounts to a dialectic of form-functional becoming, whereby the main-theme function supported by the thematic structure is shown as only comprehensible through its relation to the transition function borne by the motivic process. And it is with this single reappearance of the motif that our understanding is made conscious of becoming as form-functional reality—spotlighted by the forceful *ff* and the fermata, its emergence prompts the space-time transformation, projects an objective function and initiates the dialectical movement. Thus the advent of the motif here serves as the *Augenblick*, the dialectical moment which, as Adorno pronounced, allows us to hear 'multidimensionally, forward and backward at the same time'.[62] Being the trigger of the consciousness of the kind of processuality that defines 'the age of thematic processes', the *Augenblick* also signifies a historical turn, one that attests to the beginning of a trend to consider music as dialectical thought, or what I call 'Beethoven-Hegelianism', which—to put it in Hegel's words—is itself also a becoming.

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[61] Chua makes the same basic point about an independent motivic process at work that 'empties out' the sentence's intra-thematic functions. See Chua, *Beethoven & Freedom*, 61–2.

[62] Theodor W. Adorno, *Hegel: Three Studies*, trans. Shierry Weber Nicholsen (Cambridge, MA: The MIT Press, 1993), 136.

Marx, Phantasmagoria and Romantic Labour

As one of the most prominent works of its time, the opening of Beethoven's Fifth Symphony encapsulates the Beethoven-Hegelian dialectical ideal that plays a crucial role in shaping the nineteenth-century musical thought. The idea of becoming itself becomes what Hegel called '*der Geist seiner Zeit*' [the spirit of its time] as it settled into the nineteenth century.[63] Music in this age of Beethoven-Hegelianism is marked by an increasing inclination towards processuality, to the extent that the organisation of musical materials revolved around the attainment of a processual ideal. In reference to the Scherzo of Mendelssohn's Octet (1825), Greg Vitercik, for instance, points out that the intangibility of motivic working is an important factor that contributes to the 're-markable clarity of texture in Mendelssohn's music, allowing important structural processes to run their course without seeming to disturb the lustrous smoothness of the surface'.[64] The successful concealment of motivic working is, however, founded on 'the sophistication of technique Mendelssohn brought to the movement'.[65] This thereby manifests a tendency to subordinate material treatment to surface processuality, a practice which is exponentially prominent towards the mid-nineteenth century. Central to this phenomenon is the striving for the 'lustrous smoothness of the surface', which, as Thomas S. Grey indicates, amounts to the aesthetics experience of a visual imagination—a quality which resonates with Adorno's application of the term 'phantasmagoria'.[66]

Originated as a form of optical illusions that used 'magic lanterns' to project images of ghosts or spirits, the term 'phantasmagoria' was notably adapted by Adorno in his critique of Wagner's *Gesamtkunstwerk*. Adorno first invoked the concept in his

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[63] Georg Wilhelm Friedrich Hegel, *Vorlesungen über die Geschichte der Philosophie II (Werke in 20 Bänden, Band 19)*, eds. Eva Moldenhauer and Karl Markus Michel (Frankfurt am Main: Suhrkamp, 1986), 111; cf. Georg Wilhelm Friedrich Hegel, *Lectures on the History of Philosophy: Plato and the Platonists, Vol. 2*, trans. E. S. Haldane and Frances H. Simson (Lincoln and London, NE: University of Nebraska Press, 1995), 96.

[64] Greg Vitercik, 'Mendelssohn the Progressive', *Journal of Musicological Research* 8, no. 3–4 (1989): 335.

[65] *Ibid.*

[66] Thomas S. Grey, 'Fingal's Cave and Ossian's Dream: Music, Image, and Phantasmagoric Audition', in *The Arts Entwined: Music and Painting in the Nineteenth Century*, eds. Marsha Morton and Peter L. Schmunk (New York and London: Garland Publishing, 2000), 90.

account of Wagner's aesthetics: 'the occultation of production by means of the outward appearance of the product', he asserts, 'is the formal law governing the works of Richard Wagner'.[67] Elaborating on his claim, Adorno declared, despite 'the absence of any glimpse of the underlying forces or conditions', the outer appearance of the product can still 'lay claim to the status of being'.[68] Its perfection is hence 'an illusion', a 'magic delusion'—in other words, a 'phantasmagoria'.[69] But the true quality of phantasmagoria can only be revealed 'once it parts company with the magic music of Romanticism', because this illusion is 'the absolute reality of the unreal'.[70] As Adorno summarised:

> Phantasmagoria as the point at which aesthetic appearance becomes a function of the character of the commodity. As a commodity it purveys illusions. The absolute reality of the unreal is nothing but the reality of a phenomenon that not only strives unceasingly to spirit away its own origins in human labour, but also, inseparably from this process and in thrall to exchange value, assiduously emphasises its use value, stressing that this is its authentic reality, that it is 'no imitation'—and all this in order to further the cause of exchange value.[71]

While this formulation comprises the basis of Adorno's polemics against *Der Ring des Nibelungen* and *Parsifal*, the concept of phantasmagoria itself needs to be understood in its original context as part of Karl Marx's critique of the commodity-form in order to explicate its formal/processual implications.[72] The idea is evoked in Volume I of the *Capital* in connection with what Marx theorised as 'commodity fetishism'. In his analysis, the commodity-form displays a 'mysterious character' in its reflection of 'the social relation of the producers to the sum total of labour as a social relation between objects, a relation which exists apart from and outside of the producers'.[73] In this way, the product of labour acquires the form of a commodity, and to

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[67] Theodor W. Adorno, *In Search of Wagner*, trans. Rodney Livingstone (London and New York: Verso, 2005), 74.

[68] *Ibid.*

[69] *Ibid.*

[70] *Ibid.*, 79.

[71] *Ibid.*

[72] For a detailed discussion of Adorno's critique of phantasmagoria in Wagner's operas, see Alastair Williams, 'Technology of the Archaic: Wish Images and Phantasmagoria in Wagner', *Cambridge Opera Journal* 9, no. 1 (1997): 73–87.

[73] Karl Marx, *Capital, Volume I*, trans. Ben Fowkes (London: Pelican Books, 1976), 164 and 165.

engage with this immediacy is to take the commodity at its exchange-value rather than the use-value generated from its production, since 'the commodity-form, and the value-relation of the products of labour within which it appears, have absolutely no connection with the physical nature of the commodity and the material [*dinglich*] relations arising out of this'.[74] As a result, the social relation between humans created by the labour is displaced by the 'phantasmagoric form of a relation between things'—an illusive appearance which evinces the fetishism of the commodity as a thing.[75] Relevant to this understanding of phantasmagoria are the notions of 'alienated labour' and 'technological fetishism'. For Marx, the problem with the commodity-form lies in its nature as a mediated form of the product of labour, wherein the labour is alienated from both the objects produced and the means of production. In presenting itself a 'natural object', the commodity-form conceals the labour that went into its production, leading to 'the bifurcation of the commodity into use-value and exchange-value'.[76] This bifurcation is further amplified (while the labour is further alienated) as technology advances, because, as Amy Wendling explains, 'the practical life activity of the vast majority of human beings is undertaken as labour on machines that they neither own or understand'.[77] The consideration of machines as a source of value is therefore a technological fetish, or in David Harvey's words, 'the fetishistic extension of the very real effect of superior machinery in generating temporary excess profits'.[78] And it is within this technological context that Marx adopted phantasmagoria as an analogy to the commodity-form: both are illusions generated by the machines, which alienate and conceal the labour of production.

As an overt Hegelian, Marx's analysis of the commodity-form is unsurprisingly based on the dialectical method. His approach however signals a material turn, which, as opposed to Hegel's idealist foundation, is grounded in the 'material world reflected

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[74] *Ibid.*, 165.

[75] *Ibid.* I have replaced 'fantastic' in Fowkes's translation of '*die phantasmagorische Form*' with the more idiosyncratic 'phantasmagoric'.

[76] Amy E. Wendling, *Karl Marx on Technology and Alienation* (Basingstoke: Palgrave Macmillan, 2009), 55, see esp. chap. 1 for different types of alienation Marx suggested across his writings.

[77] *Ibid.*, 56. This is to be comprehended against the backdrop of industrial revolution, the context of which shaped Marx's ideas towards capitalism.

[78] David Harvey, 'The Fetish of Technology: Causes and Consequences', *Macalester International* 13 (2003): 7.

in the mind of man, and translated into forms of thought'.[79] To reassess Marx's formulation of commodity fetishism in dialectical terms, the commodity was first posited as the immediate subject that 'appears at first sight an extremely obvious, trivial thing'.[80] But its analysis—or self-sublation—manifests that it abounds 'in metaphysical subtleties', a mysterious quality which arises as the product of human labour. This consciousness then renders a transition 'from the formal subject of value-determination, i.e. the commodity, to the material subject, i.e. the human individual'.[81] While we revisit the form-determinations of the commodity from the viewpoint of the human being, 'all the qualitative and quantitative determinations of social labour', according to Guido Starosta, appear to the material subject as 'the objective attributes of its product'.[82] Taking the human subject and the social labour inherent in the product as a whole, the commodity, accordingly, assumes the status as 'the immediate carrier of the unity of the general social relation of production'.[83] This understanding allows labour to be grasped 'in the unity of its individual and general social character' as a human-conscious, 'socially-determined individual life activity', and the reconsideration of labour (after the transition from the formal subject to the material subject) as individual human action renders value, as a form of objectivity, to be unconsciously projected 'when regulating such a privately-performed productive action'.[84] In Marx's own account:

> The private producer's brain reflects this twofold social character of his labour only in the forms which appear in practical intercourse, in the exchange of products. Hence the socially useful character of his private labour is reflected in the form that the product of labour has to be useful to others, and the social character of the equality of the various kinds of labour is reflected in the form of the common character, as values, possessed by these materially different things, the products of labour.[85]

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[79] Marx, *Capital, Volume I*, 102.

[80] *Ibid.*, 163.

[81] Guido Starosta, 'The Role and Place of "Commodity Fetishism" in Marx's Systematic-dialectical Exposition in *Capital*', *Historical Materialism* 25, no. 3 (2017): 114.

[82] *Ibid.*, 115–6.

[83] *Ibid.*, 122.

[84] *Ibid.*

[85] Marx, *Capital, Volume I*, 166.

In view of this mediated character, value is revealed as the embodiment of the alienated consciousness of the individual producer behind the commodity-form of the product of labour, and 'the inverted representation of the social determinations of individual labour in the form of value' is, consequently, the fetishism of the commodity.[86]

Marx's analysis of the commodity-form unveiled the dialectical structure underlying the phantasmagoric appearance of the bourgeois culture to which the formal processuality around the mid-nineteenth century pertains. In his view, though the mystified dialectics of Hegel had become the fashion in the German-speaking sphere, it 'must be inverted, in order to discover the rational kernel within the mystical shell'.[87] The same could be said for the kind of processuality that idealises the 'lustrous smoothness of the surface', the aesthetic experience of which corresponds to the Marxist description of the phantasmagoric commodity.[88] Similar to becoming, the 'rational kernel' of this processuality is rooted in the emphasis on process as the epistemological priority of musical construction. Yet the preoccupation with smooth procession reaches an extent that it attests to the *commodification* of processuality. To explicate this commodity-form in line with the material dialectic, we first need to shift our focus from the commodity to the material subject—that is, the form-functional being (e.g. the main theme) afforded by one or more of the formal parameters (motif/theme, harmony/tonality and/or rhythm/metre). Reimagining the relation of formal parameters as the social relation of production, all the 'qualitative and quantitative determinations' of the socio-musical labour are then—taking the standpoint of the form-functional being—considered as the objective properties of its product.[89] Viewing from a higher

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[86] What I have offered here is only a brief dialectical account of the relevant aspects of commodity fetishism, insofar as it concerns the understanding of formal processuality around the mid-nineteenth century. For a full-range dialectical reading of the commodity-form, see Guido Starosta, *Marx's* Capital*, Method and Revolutionary Subjectivity* (Leiden: Brill, 2015).

[87] Marx, *Capital, Volume I*, 103.

[88] See also Walter Benjamin, *The Origin of German Tragic Drama*, trans. John Osborne (London: Verso, 1998) and Walter Benjamin, *The Arcades Project*, trans. Howard Eiland and Kevin McLaughlin (Cambridge, MA: Harvard University Press, 2002) for other examples of Marxist hermeneutics based on the concept of phantasmagoria. Both Marx and Benjamin are relevant to Adorno's adaptation of phantasmagoria in his critique of Wagner. Benjamin's use of the term is scrutinised in Margaret Cohen, 'Walter Benjamin's Phantasmagoria', *New German Critique* 48 (1989): 87–107.

[89] The similarities between musical and social formation are explored in Robert W. Witkin, 'Composing Society in Sonata Form: Music Analysis and Social Formation', in *Musikalische Analyse und Kritische Theorie: Zu Adornos Philosophie der Musik*, eds. Markus Fahlbusch and Adolf Nowak (Tutzing, Hans Schneider, 2007), 85–101.

perspective, processuality, incarnated in the form of form-functional becoming, is hence manifested as the unity of the general social relation of musical production, wherein the relation of different parameters amounts to the totality.

In this understanding, the labour that produces processuality transpires to be the dialectics between the form-functional being and the other objectified parameters, or the 'unity of its individual and general social character'. While the labour here is a 'socially-determined' musical activity, the dialectic, being a form of socio-musical exchange, projects its process as value when regulating the relation of formal parameters. That is to say, by conceiving form as process, the listener is indeed confronting the material dialectic between form-functional being and other formal parameter(s) that, as a whole, assume the mode of existence as *process*, a mediation which in turn *alienates and conceals the dialectical labour that went into its production*. More than that, dialectical labour is represented in the musical commodity as a surface smoothness, which conceals the labour of production, given the increasing obsession with the processual ideal. This aesthetic tendency is supported by what I would call, to paraphrase Marx, 'technical fetishism' in music around the mid-nineteenth century. There the development of compositional techniques is closely connected to the attainment of a smooth surface, whereby the material is subjected to a procedure—such as thematic transformation—that distances it from its epistemic self, resulting in syntactic instability in the disguise of smooth procession.[90] This conception of technique as the source of value thus demonstrates a technical fetish—the aesthetic experiences associated with illusions such as fantasy and landscape.[91] As Dahlhaus rightly observed, 'the advances in musical techniques—"advances" is an expression normally frowned upon in the writing of music history, but it is the *mot juste* here—were the precise correlative in the nineteenth century to the increase in Romantic illusionism that T. W. Adorno

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[90] Thematic transformation is frequently associated with Liszt's music. For a concise introduction of the technique, see Keith T. Johns, *The Symphonic Poem of Franz Liszt*, ed. Michael Saffle (Stuyvesant, NY: Pendragon Press, 1997), 17. Thematic transformation is often used in connection with cyclic form. See Benedict Taylor, *Mendelssohn, Time and Memory: The Romantic Conception of Cyclic Form* (Cambridge: Cambridge University Press, 2011), 15.

[91] For studies of these aesthetic qualities in nineteenth-century music, I have in mind Stephen Downes, *The Muse as Eros: Music, Erotic Fantasy, and Male Creativity in the Romantic and Modern Imagination* (Aldershot: Ashgate, 2006) and Thomas S. Grey, '*Tableaux vivant*: Landscape, History Painting, and the Visual Imagination in Mendelssohn's Orchestral Music', *19th-Century Music* 21, no. 1 (1997): 38–76.

described as "phantasmagoria"".[92] In sum, the formal processuality around the mid-nineteenth century is distinguished by the alienation and the concealment of its dialectical labour via the support of a technical fetish. This in turn amounts to the commodification of processuality, which presents a phantasmagoric aesthetic that emerges as the hallmark of Romantic imagination.

In formal terms, the commodification of processuality is often marked by the absence of effective closure(s) and/or extensive thematic proliferation. This is especially exemplified in the subordinate theme from the first movement of Mendelssohn's 'Italian' Symphony (1833), which, for Grey, displays 'a visual-connotative background' that is suggestive of a phantasmagoria.[93] Here both the deferral of effective closure and thematic proliferation are deployed in the production of this phantasmagoric image. As Example 2.2 illustrates, the E-major subordinate theme begins as a sentence with a regular four-bar presentation phrase (bars 110–113), exhibiting a stable tonal, thematic and metrical structure that establishes its formal function. It is yet succeeded by a third statement of the basic idea (bars 114–116^2) before it continues with a process of fragmentation that constitutes the continuation phrase (bars 114–123). This addition of a third statement is significant, since it signals the ongoing thematic transformation started in the main theme. Example 2.3 presents the antecedent of the main theme (bars 2^6–10^1). As we can see, in spite of the new configuration, the characteristic thirds in the main theme are preserved in the subordinate theme (albeit in minor form). The insertion of an extra basic idea therefore indicates the continuation of the thematic transformation, and to recall the earlier formulation of the Beethoven-Hegelian dialectics, this is supposedly the *Augenblick* that triggers the space-time transformation and the consciousness of becoming, crystallised here as the dialectics between formal syntax and thematic transformation.[94] But this moment remains in veil because the continuation quickly resumes with the process of fragmentation that restores

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[92] Carl Dahlhaus, *Between Romanticism and Modernism: Four Studies in the Music of the Later Nineteenth Century*, trans. Mary Whittall (Berkeley, CA: University of California Press, 1980), 10.

[93] Grey, 'Fingal's Cave and Ossian's Dream', 88.

[94] It could be argued that this movement exhibits a kind of cyclic procedure. Yet strictly speaking, the symphony as a whole cannot be considered as an example of cyclic form because, as Taylor notes, there is no literal quotation of the earlier themes in its finale. See Taylor, *Mendelssohn, Time and Memory*, 213, n. 14. Vande Moortele also singles out this third statement as a separate entity, but he considers it as 'becoming the continuation' rather than engaging in a broader process of thematic transformation. See Vande Moortele, 'Expansion and Recomposition', 219.

Example 2.2   Mendelssohn, 'Italian' Symphony, First Movement, Subordinate Theme

Example 2.2   Mendelssohn, 'Italian' Symphony, First Movement, Subordinate Theme (*cont.*)

(basic idea; continuation resumes)

SUBORDINATE THEME⇒CLOSING SECTION?

IAC

expanded cadential progression

Example 2.2   Mendelssohn, 'Italian' Symphony, First Movement,
              Subordinate Theme (*cont.*)

Example 2.2   Mendelssohn, 'Italian' Symphony, First Movement,
            Subordinate Theme (*cont.*)

Example 2.2   Mendelssohn, 'Italian' Symphony, First Movement,
Subordinate Theme (*cont.*)

Example 2.3   Mendelssohn, 'Italian' Symphony, First Movement,
Main Theme

order. To the listener, the subordinate theme thus seems to retain a degree of continuity from the previous music, as Taylor notes, 'it is arguable that the generative opposition between the first and second subjects is actually replaced by that between the exposition and the new development theme'.[95]

The continuation phrase is then led towards a reinterpreted HC (bar 123), which occasions the sentence to also be conceived as the antecedent of a larger period. This intra-thematic dimensional reorientation evinces what Horton terms proliferation, by which he refers to 'the swelling of the dimensions of an inter-thematic grouping by means of a lower-level syntactic promiscuity, which fosters the impression that the material is generating multiple intra-thematic levels, without endangering the overall sense that they contribute to one higher-level syntactic unit'.[96] Such a phenomenon of proliferation is amply demonstrated in the immensely expanded consequent, which creates the sense of an endless continuity that cloaks the thematic transformation. The consequent proceeds as a sentence that can be divided into a presentation phrase (bars 124–127), a continuation phrase (bars 128–154) and an expanded cadential progression (bars 155–183^2). While the presentation adopts the same design as its earlier counterpart, the continuation is treated with various procedures that effect the expansion: after again a third statement of the basic idea, the continuation is interrupted by an off-topic interpolation (bars 132–139) consisting of the material from the continuation of the main theme (bars 10^6–18^5), which in effect defers the advent of the closing PAC. Although the interpolation patently disturbs the course of the continuation, the sense of disruption is smoothed out by a crescendo that reaches its high point at the return of the basic idea (bars 140–141) where the continuation is reinstated. In such a way, the interpolation appears to protract the ongoing continuity rather than to retrieve the process of thematic transformation, since the *Augenblick* that initiates the dialectic between formal syntax and thematic transformation in the preceding remains concealed.

The reinstitution of the continuation subsequently generates an imperfect au-

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[95] Taylor, *Mendelssohn, Time and Memory*, 175.

[96] Julian Horton, *Brahms' Piano Concerto No. 2, Op. 83: Analytical and Contextual Studies* (Leuven: Peeters, 2017), 46.

thentic cadence (IAC) (bar 147), which delays yet further the arrival of the much anticipated PAC; it is immediately followed by another reappearance of the basic idea that relaunches the continuation. After all the digression, the expanded cadential progression (bars 155–183^2) eventually emerges with, however, another set of complications: instead of heading directly towards a PAC in E major, it is rerouted to the cadential dominant of C♯ minor (bars 159–162), suggesting an evaded cadence (EC) that is due to reappear in E major eight bars and fourteen bars later. The redirection to C♯ minor is nevertheless met with the simultaneous reintroduction of the motivic thirds from the main theme (compare with Example 2.3) as the chief thematic content for the cadential progression. This setting has two implications. First, if we treat the IAC as the terminal closure of the subordinate theme, the deployment of the main-theme material in four-bar or six-bar units, marked by the evaded cadences, elicits partially the function of a closing section, wherein these units could be considered as codettas pointing towards the return of the main theme in the exposition repeat.[97] This is however in conflict with the cadential progression's original profile as the ending function of the subordinate theme, and the non-congruence between formal syntax and thematic process results in the subordinate theme being reinterpreted as the closing section, or 'subordinate theme⇒closing section'. Second, because the progression to the closing section is provoked by the thematic transformation, the eventual attainment of the closing PAC (bar 183) in E major, as required by the formal syntax, forces the form-functional perception to regress to the subordinate theme, engendering the condition of 'subordinate theme⇒closing section⇒subordinate theme', or simply 'subordinate theme⇐closing section'.[98] This regressive phenomenon is nonetheless disguised as progression owing to the resurgence of the motivic thirds in their original

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[97] A similar strategy is also mobilised in the first movement of the 'Reformation' Symphony. See Vande Moortele, 'Expansion and Recomposition', 215–8.

[98] This phenomenon is different from the concept of 'false closing section' in William E. Caplin's terms or 'closing section⇒subordinate theme' in Schmalfeldt's terms. Hence, *pace* Nathan Martin and Vande Moortele, the leftward double arrow (⇐), which represents regression, cannot be used to substitute the rightward double arrow in the circumstances that Caplin and Schmalfeldt describe. See William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 123; Schmalfeldt, *In the Process of Becoming*, 283, n. 34; Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33, no. 2 (2014): 148; and Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*

form, which covers—or in Erez Rapoport's terms, 'smooths over'—the formal junctions between the subordinate theme and the closing section, the exposition and its repeat, creating all in all a 'musical *tableau vivant*' of the Italian landscape that is, obscurely, achieved at the expense of dialectical labour.[99]

The case of the 'Italian' Symphony bears the stamp of formal processuality around the mid-nineteenth century. While the subordinate theme is in constant dialectical interplay with the thematic transformation, their labour, which amounts to the totality, is alienated and camouflaged as a smooth process that is valuable in its ability to project a phantasmagoric aesthetic experience—in this case, a picturesque landscape—prevailing in the mid-nineteenth-century bourgeois society. All of this is contingent on Mendelssohn's fetish for the techniques of 'smoothing-over', as evidenced by his mastery approaches to thematic proliferation and cadential deferral.[100] Mendelssohn's fixation on smooth procession also demonstrates that, from a materialist perspective, the nineteenth-century conception of musical time is indeed phantasmagoric in nature. Considering musical time as reflective of historical time, this view echoes Walter Benjamin's critique of Hegel's idealist dialectical mode of historiography. To put it in a nutshell, in Max Pensky's words—'"Dialectics" as the Hegelian mode of analysis of the historical unfolding of the Spirit devolved into a historicist fantasy: what appeared as the fated progression of historical time could be shown to be the phantasmagoric appearance of eternal repetition, mythic time, under conditions of capitalism'.[101] It was, however, not until the turn of the twentieth century that this capitalist

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(Cambridge: Cambridge University Press, 2017), 61. The idea of regression is treated in detail in Chapter Six.

[99] Rapoport has systematically categorised the techniques that Mendelssohn used to 'smooth over' the formal boundaries in his instrumental music. See Erez Rapoport, *Mendelssohn's Instrumental Music: Structure and Style* (Hillsdale, NY: Pendragon Press, 2012), esp. Chapter One and Three. The analogy of '*tableau vivant*' is drawn from Grey, '*Tableaux vivants*', 41–55.

[100] Mendelssohn's fetish for technique was also noted by Wagner, who regarded Mendelssohn as technically superior, as he confessed to Cosima, 'Mendelssohn would raise his hands in horror if he saw me composing'. See Cosima Wagner, *Cosima Wagner's Diaries: Volume I, 1869–1877*, eds. Martin Gregor-Dellin and Dietrich Mack, trans. Geoffrey Skelton (New York: Harcourt Brace Jovanovich, 1978), 381. For a comparison of Mendelssohn's and Wagner's techniques of phantasmagoric representation (in relation to the Overture to *A Midsummer Night's Dream* and the Overture to *Die Feen*), see Steven Vande Moortele, 'The Sorcerer as Apprentice: Trial, Error, and Chord Magic in Wagner's Overture to "Die Feen"', *Music & Letters* 100, no. 1 (2019): 5–6, and 11–13.

[101] Max Pensky, 'Method and Time: Benjamin's Dialectical Images', in *The Cambridge Companion to Walter Benjamin*, ed. David S. Ferris (Cambridge: Cambridge University Press, 2004), 179; cf. Benjamin, *Arcades*.

conception of musical time was confronted.

Adorno, Objectivity and the Time-Space Moment

As we move towards the late nineteenth century, the music-dialectical labour that amounts to the experience of process as totality gradually became one generated from tonal forces, thanks to Wagner's technical advances in chromatic tonality. Although phantasmagoric formal processuality was still at work, the very tradition in which it was grounded—namely diatonicism—was severely challenged, and, to an extent, forgone. Reflecting on this fundamental change of tonal conception, Gregory M. Proctor, writing some forty years ago, argued that nineteenth-century chromatic tonality constitutes a different system, wherein the chromatic scale is construed as the basis of tonality from which the diatonic material is derived. This gives rise to the chromaticisation of the structural background (in a loosely Schenkerian sense), a change which turns the asymmetrical diatonic space into a symmetrical chromatic one.[102] While the chromatic background gradually assumed a central position as the source of unity in music towards the late nineteenth century, the tension between diatonicism and chromaticism arose as they represent essentially very different tonal spaces that are grounded in disparate logics of tonal organisation.[103] Such a conflict, as evinced in the increasingly equivocal status of the tonic, emerged as the teleological force that motivates the tonal/harmonic process, which is nonetheless disguised as a chromatic totality in which the phantasmagoric experience lies.

In his assessment of Wagner's sonority, Adorno contended that the concealment of this immanent tonal dialectic manifests an attempt to 'present the regressive element as progressive, the static as the dynamic'.[104] He asserted that despite the effort to alienate diatonic functionality, Wagner's innovations are 'largely absorbed into the tradition, however much their ultimate effect is to undermine it'.[105] Yet this reality is

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[102] Gregory M. Proctor, 'Technical Bases of Nineteenth-Century Chromatic Tonality: A Study in Chromaticism' (Ph.D. diss., Princeton University, 1978), 131–58. Deborah Stein also explores this idea of a chromatic background in relation to Wolf's *Lieder*. See Deborah Stein, *Hugo Wolf's* Lieder *and Extensions of Tonality* (Ann Arbor, MI: UMI Research Press, 1985).

[103] This issue is treated in more detail in Chapter Four.

[104] Adorno, *In Search of Wagner*, 51.

[105] *Ibid.*, 57. See also 54: 'precisely as a totality the chromaticism generates resistance within itself,

only seen 'at the *moments* when the subject abdicates sovereignty and passively aban-
dons itself to the archaic, the instinctual—the element which, precisely because it has
been emancipated, renounces its now unattainable claim to give meaningful shape to
the passage of time'.[106] It is in such moments that the 'social subject'—in our case, the
phantasmagoric formal processuality—can see through its 'atavism' and reconstruct a
material history of its own 'without distortion', and that Wagner is revealed as no more
significantly deviating 'from the dominant musical idiom than he does from the im-
manent reality of bourgeois society'.[107]

Adorno's propositions point to the significance of a 'moment', or an *Augenblick*,
in which phantasmagoric formal processuality can be redeemed from its illusive self
as a chromatic totality. His formulation of this moment is closely connected to what
he called 'negative dialectics', the mode of thought which permeates through his aes-
thetic systems. Following the Marxian material inversion, Adorno's concept of nega-
tive dialectics focuses on the economic and sociological properties as the basis of dia-
lectical movement. Yet this process is deprived of its synthetic goal—the speculative
universal that Hegelian dialectics aspires to achieve. While Hegel posited the 'posi-
tively rational' synthesis of two contradictory concepts as the totality of dialectics,
Adorno contended that such an identity is achieved negatively at the expense of their
particularity. Although he did not reject the necessity of conceptual identification,
Adorno argued that dialectics is instead 'the consistent sense of non-identity', since
contradiction, as the central category of dialectics, indicates 'the untruth of identity,
the fact that the concept does not exhaust the thing conceived'—it is 'nonidentity un-
der the aspect of identity'.[108] Construed in such a way, the thought of dialectical unity
is 'the measure of heterogeneity', and the Hegelian synthesis is, according to Adorno,
'nothing but the expression of the non-identity of thesis and antithesis'.[109]

This epistemological shift from identity to non-identity as the truth of dialectics

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vigorous secondary triads that by no means just replace the tonic and the dominant'.

[106] *Ibid.*, 52. Italics are mine.

[107] *Ibid.*, 52 and 57.

[108] Theodor W. Adorno, *Negative Dialectics*, trans. E. B. Ashton (New York: Continuum, 1973), 5.

[109] *Ibid.*; Theodor W. Adorno, *Lectures on Negative Dialectics: Fragments of a Lecture Course 1965/1966*, ed. Rolf Tiedemann, trans. Rodney Livingstone (Cambridge: Polity, 2008), 30. For an overview of Adorno's concept of negative dialectics, see Adorno, *Lectures on Negative Dialectics*, 22–32.

consequently leads to Adorno's prioritisation of the object. He criticised idealist (or bourgeois) philosophy for its affirmation of identity between subject and object and in turn its priority of subject as the epistemic basis. As Peter E. Gordon elucidates, in preserving the subject's dominance over the object, idealism, for Adorno, 'sabotages its own longing to achieve solidity and worldly objectivity. The subject therefore *both* succeeds *and* fails. It succeeds in remaining merely a subject precisely because it fails to break free of its own constitutive subjectivity'.[110] The exposition of the subject's failure thus paves the way for Adorno's advocacy of 'the object's preponderance [*Vorrang*]'. Reappraising the interrelation between subject and object, Adorno proclaimed that 'an object can be conceived only by a subject but *always remains something other than the subject*', because the object that is grasped in the subject's thought always has its identity preserved.[111] In contrast, the subject 'by its very nature is from the outset an object', since the subject is under the heel of its own material conditions and is thereby in itself part of the objective world.[112] With this understanding, the relation between subject and object is therefore not reciprocal as opposed to what Hegel postulated. Rather, the object 'takes precedence', despite that its access is mediated by the subject. While such a primacy of the object 'does not cut off the subject-object dialectics', it is the defining task of negative dialectics to resist the subsumption of their non-identity into a totalising whole and foreground the object as the epistemological priority of dialectics.[113]

Situating this non-identity thinking within his aesthetic system, Adorno's concept of negative dialectics could be considered in connection with the idea of *Augenblick* as a form of socio-musical construction. In explicating the 'coercion' of identity-thinking inherent in the structure of human society, Adorno evoked the barter principle and asserted that it is the 'social model' of the principle of identification. In

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[110] Peter E. Gordon, *Adorno and Existence* (Cambridge, MA: Harvard University Press, 2016), 126. In *Negative Dialectics*, such a stand is established via a transcendental analysis, in which Adorno explicated the delusiveness of 'the supremacy of nature-controlling reason'. See Adorno, *Negative Dialectics*, 179–80.

[111] Adorno, *Negative Dialectics*, 183; cf. Gordon, *Adorno and Existence*, 127. Italics are mine.

[112] Adorno, *Negative Dialectics*, 183; cf. Gordon, *Adorno and Existence*, 127. This is also the basis of Adorno's materialist epistemology.

[113] Adorno, *Negative Dialectics*, 186; cf. Gordon, *Adorno and Existence*, 128–9.

his view, the barter principle reduces human labour to its abstract, universal quantitative equivalence ('average working hours'), so that 'non-identical individuals and performances become commensurable and identical'.[114] While the widespread dissemination of the principle makes it an 'obligation' for exchange to be identical, this mediated form of human labour is however divested of its own particularity—namely, the non-identical individuals and performances.[115] As such, the alleged exchange of equivalents is, in fact, inherently non-equivalent. This societal formation is comparable to Marx's categorisation of exchange-value and use-value, whereby exchange-value, as a form of identity, obliterates use-value derived from non-identical particularities. To escape from this dominating structure rooted in identity-thinking, it is necessary for the dialectic to take a negative turn—an epistemological reorientation towards the non-identical particular that asserts the primacy of the object as the reality. This takes place at the advent of the *Augenblick*, which, as Adorno argued in relation to the traditional artwork, crystallises at the point where particular moments become a totality:[116]

> Every artwork is a moment; every successful artwork is an instant, a momentary suspension of its process, as this process reveals itself to the persistent eye.[117]

In developing an Adornian hermeneutics of the moment, Berthold Hoeckner declares that as the particular the *Augenblick* offers the 'most concrete and tangible entry' through which the whole can be grasped.[118] He spotlights the importance of the particular as an ephemeral key to truth and contends that the *Augenblick* demonstrates 'the totalisation of the moment', since Adorno's espousal of the particular 'partakes, paradoxically, of a totalising logic'.[119] For Hoeckner, although this conception

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[114] Adorno, *Negative Dialectics*, 146.

[115] *Ibid.*, 146–8.

[116] Theodor W. Adorno, *Aesthetic Theory*, ed. Gretel Adorno and Rolf Tiedemann, trans. Robert Hullot-Kentor (London: Bloomsbury, 2013), 112.

[117] *Ibid.*, 7–8. Here I adopted Berthold Hoeckner's more idiomatic translation. See Berthold Hoeckner, *Programming the Absolute: Nineteenth-Century German Music and the Hermeneutics of the Moment* (Princeton, NJ: Princeton University Press, 2002), 7.

[118] Hoeckner, *Programming the Absolute,* 6.

[119] *Ibid.*, 7 and 15.

of the particular evinces 'the locus of the (post-)modernist dilemma', by which he refers to 'the difficulty of dissolving binary oppositions', it also points to such an 'Archimedean point' as the moment of redemption that resolves to truth.[120] In dialectical terms, Hoeckner's reading corresponds to Benjamin's notion of 'dialectics at a standstill', whereby the experience of the particular (the image in Benjamin's formulation) is conceived as a gateway to the consciousness of its immanent process as an instant at a standstill.[121] The *Augenblick* therefore signifies a suspension of the dialectic, so that 'one can recognise the moment, divested from the historical continuum, as an emphatic *Jetzt*';[122] or as Adorno proclaimed, the *Augenblicke* manifest a tendency 'to wrest themselves free of the internal unity of their own construction, to introduce within themselves caesuras that no longer permit the totality of the appearance…this breakthrough [*Durchbruch*] is the moment of *apparition*'.[123] In other words, such a moment adjourns the dialectical time and brings to the fore the non-identity of subject and object as the truth, which materialises in a new understanding that reclaims the primacy of the object as the epistemological basis of dialectics, or social formation—a redemption from the identity of the universal which yet, paradoxically, takes the form of another totality.

The notions of negative dialectics and *Augenblick* offer the framework through which the epiphanic moment that Adorno identified in Wagner's socio-musical construction could be explicated. In these terms, the chromatic background attests to identity-thinking in its subsumption of the dialectics between chromaticism and diatonicism into the phantasmagoria of a chromatic totality. While the non-identity of such dialectical labour is veiled, the advent of the *Augenblick*—'the sudden fusion of its particular moments into a totality'—reveals the *incompatibility between chromatic*

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[120] *Ibid.*, 15–6. See also Peter Uwe Hohendahl, *Prismatic Thought: Theodor W. Adorno* (Lincoln, NE: University of Nebraska Press, 1995), 250–1.

[121] Benjamin, *Arcades*, 462; cf. Hoeckner, *Programming the Absolute*, 17.

[122] Hoeckner, *Programming the Absolute*, 17.

[123] Adorno, *Aesthetic Theory*, 122. Here I replaced Hullot-Kentor's translation of *Durchbruch* ('rupture') with 'breakthrough', since it is a concept central to Adorno's music aesthetics that is commonly known instead as breakthrough. This idea is interrogated in full detail in Chapter Three. By referring to a displaced totality, Adorno might also be alluding to a negative dialectical process.

and diatonic logics and exhibits the *material preponderance of the objectified diaton-icism*, turning the concealed Hegelian dialectic into a negative dialectic.[124] To para-phrase Adorno, at this moment the chromatic subject 'abdicates' its sovereignty as the totalising logic and passively abandons itself to the 'archaic' diatonic object, which now gives 'meaningful shape to the passage of time': the previously alienated diatonic elements are objectified as the underlying tonal force, and this renders the ongoing chromatic-diatonic dialectical process to materialise as an overarching diatonic struc-ture—while the Beethoven-Hegelian dialectical moment precipitates a space-time transformation that generates the condition of becoming, the Adornian *Augenblick* signifies the time-space moment where *process is reunited with structure*, displaying the ascendancy of the diatonic continuum as the reality. On this account, the music's exploitation of dialectical labour in the production of a phantasmagoric processuality is exposed, and it is forced to confront its commodified self, which is figured as the capitalist mode of socio-musical production. It is hence in such a moment that the phantasmagoric formal processuality can see through its diatonic 'atavism' and be-comes a material history of its own: it begins life as the emblem of Beethoven-Hegeli-anism that is converted into a bourgeois commodity, wherein its hidden, exploited dialectical labour of production is eventually exposed in the face of the negative-dia-lectical moment.

The socio-musical implications of the *Augenblick* are vividly demonstrated in the first movement of Zemlinsky's Symphony in B♭ major (1897). Composed against the cultural milieu of late nineteenth-century Vienna, Wagner's influence on the work is patently seen in Zemlinsky's selection of Hans Sachs' lines from Act III of *Die Meis-tersinger von Nürnberg* as its identifying motto, which reads, '*Wer Preise erkennt, und Preise stellt, der will am End auch, daß man ihm gefällt* [Those who offer prizes, and believe in their value, in the end wish to hear what pleases them]'.[125] In the *Meister-singer*, these lines appears in Scene 2 as part of Sachs' dialogue with Walther von Stol-zing about the latter's dream, which leads to Walther's initial attempt at the first two

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[124] Adorno, *Aesthetic Theory*, 112. The translation adopted here is modified by Hoeck-ner. See Hoeck-ner, *Programming the Absolute*, 9.

[125] The translation is adopted from A. Peter Brown, *The Second Golden Age of the Viennese Symphony: Brahms, Bruckner, Dvořák, Mahler, and Selected Contemporaries* (Bloomington, IN: Indiana Univer-sity Press, 2003), 781.

Example 2.4   Zemlinsky, Symphony in B♭ major, First Movement, Fanfare Motif

strophes of his Prize Song—the turning point that foreshadows the outcome of the opera. While Zemlinsky's choice of motto might have been just a matter of relevance given the context of the symphony as a contesting piece for the Beethoven Prize, a closer look at its tonal strategy however suggests otherwise.[126] As Warren Darcy observes, the *Meistersinger* 'represents a sustained effort to regain its opening key of C major', and Act III is 'literally engaged in a search for C major', with Walther's composition of the Prize Song in Scene 2 as the first official indication of the structural retrieval of the tonic.[127] Taking its cue from Wagner, the first movement of Zemlinsky's Symphony in B♭ is based on a different working out of the same tonal strategy—namely, the quest for the tonic—whose structural importance, like in the *Meistersinger*, is only asserted at the advent of an epiphanic moment, the *Augenblick*.

Despite the evident B♭-major opening, the modal mixture instated in the introduction of Zemlinsky's sonata movement gives rise to the emergence of ♭VI, G♭, as a structural force, which is first crystallised into a potent fanfare statement (bars 23–24, enharmonically spelled as F♯), as shown in Example 2.4. This subsequently engenders a system of relations around G♭ that is set in opposition with the tonic and its near relations, a situation which is complicated further by the reference to a third mediating complex resting on the mediant, D.[128] Together they amount to a chromatic structure

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[126] The setting of an identifying motto was a requirement for the entry to the Beethoven Prize in order for the submissions to be assessed anonymously. Zemlinsky won the Prize together with Robert Gounds in 1896. See Otto Biba, ed., *Alexander Zemlinsky: Bin ich kein Wiener? Ausstellung im Archiv der Gesellschaft der Musikfreunde in Wien. Katalog.* (Vienna: Gesellschaft der Musikfreunde, 1992), 26–7.

[127] Warren Darcy, 'In Search of C Major: Tonal Structure and Formal Design in Act III of *Die Meistersinger*', in *Richard Wagner for the New Millennium: Essays in Music and Culture*, eds. Matthew Bribitzer-Stull, Alex Lubet and Gottfried Wagner (New York and Basingstoke: Palgrave Macmillan, 2007), 111–2 and 116–7. Although C major is first reached in Act III at the end of Scene 1, its structural significance is only ratified after the completion of the Prize Song that spans from Scene 2 (the first two strophes) to Scene 4 (the third strophe).

[128] Here Zemlinsky mobilised exactly the same tonal strategy and key relations as the first movement of Bruckner's Fifth Symphony (1875–76). This attests to Bruckner's influence on the tonal practice in *fin-*

⇒SUBORDINATE THEME

Example 2.5   Zemlinsky, Symphony in B♭ major, First Movement,
                Subordinate Theme

that in turn unsettles much of the established knowledge of form grounded in a diatonic setting. This is perhaps most pertinent to the understanding of the subordinate theme, which, according to William E. Caplin, often functions to articulate and dramatise the subordinate key.[129] As Example 2.5 presents, at first glance Zemlinsky's subordinate theme (bars 88–113[1]) seems to express a modulation to the subordinate key

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de-siècle Vienna, which is explicated in the later chapters. On the tonal strategy used in Bruckner's Fifth Symphony, see Julian Horton, *Bruckner's Symphonies: Analysis, Reception and Cultural Politics* (Cambridge: Cambridge University Press, 2004), 130–1. The theoretical framework that informs this tonal understanding is developed in detail in Chapter Three.

[129] Caplin, *Classical Form*, 97.

Example 2.5   Zemlinsky, Symphony in B♭ major, First Movement,
             Subordinate Theme (*cont.*)

in the dominant, F major, that contrasts with the main theme (bars 49–70^1) based on B♭ major (albeit constantly challenged by the ♭VI). Yet its effort to produce a confirming PAC is impeded by the competition between the B♭, G♭ and D polarities. While the subordinate theme is seen continuing an ongoing tonal process carried over from the transition (as evinced in the latter's lack of closure, hence ⇒subordinate theme), such a process, generated by the contest between the chromatically related complexes, becomes apparent as it pervades the cadential function (bars 99^3–113^1): by way of a move to the dominant seventh of D♭, the subordinate theme is redirected to an expanded

Example 2.5   Zemlinsky, Symphony in B♭ major, First Movement,
Subordinate Theme (*cont.*)

cadential progression in which the evocation of one of the polarities is immediately superseded by that of another in contest for tonal centricity. This is achieved via what Schmalfeldt calls the 'one more time' (OMT) technique, whereby the emergence of an evaded cadence (EC) emanated from one tonal complex is displaced by the relaunch of a cadential progression arisen from another.[130] Such a process starts off with a C♭ major progression originated in the G♭ polarity, whose cadential tonic is evaded with

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[130] For the 'one more time' technique, see Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', *Journal of Musicological Research* 12, no. 1–2 (1992): 1–52.

Example 2.5   Zemlinsky, Symphony in B♭ major, First Movement,
Subordinate Theme (*cont.*)

its bass turned into part of a stepwise bass motion that supplies the subsequent G major progression associated with the D complex. In a similar manner, the G minor cadence is dodged for yet another bass progression that produces A♭ minor from the G♭ polarity, as well as D minor and A minor from the D complex. Although the F major PAC is gained in the last minute (bars 112–113[1]), its effect as the closing PAC that

Example 2.5   Zemlinsky, Symphony in B♭ major, First Movement,
            Subordinate Theme (*cont.*)

confirms the subordinate key is nullified, because it is generated as a tonal phenome-
non derived from the B♭ complex rather than the primary opposing force to the tonic.
The formal process in Zemlinsky's movement is therefore, as we conceive it, afforded
by the conflict between these chromatically related tonal polarities, whose quest for
tonic orientation creates an essentially disjunctive structure that nevertheless appears

Example 2.6   Zemlinsky, Symphony in B♭ major, First Movement, Breakthrough

proximate in voice-leading terms as a smooth process on the surface—it is in this specious chromatic totality that we find the resemblance to Wagner's phantasmagoric sound world.

Similar to the apparition of C major in the *Meistersinger*, Zemlinsky's phantasmagoric formal processuality calls for a decisive moment that redeems the tonic from the chromatic realm. This *Augenblick* is located at the intersection of the development and the recapitulation, where the retransition is functionally elided with the main

Example 2.6   Zemlinsky, Symphony in B♭ major, First Movement,
              Breakthrough (*cont.*)

theme (bars 208–240¹), creating altogether a breakthrough that demands both analytical and hermeneutic attention. As Example 2.6 exhibits, the fanfare motif that first materialises the G♭ inflection as a tonal force is reinstated as the basic idea of the breakthrough. But this time it serves to spotlight the structural importance of F major as the dominant: entered over the cadential tonic of an elided F major PAC (bars 207³–208), the fanfare motif makes a gigantic statement announcing the return of the dominant

Example 2.6   Zemlinsky, Symphony in B♭ major, First Movement, Breakthrough (*cont.*)

that has been deemed an associate of the B♭ polarity.[131] And like in the subordinate theme, the F major is once again displaced—and notably—by the G♭, which veers the music towards a cadential progression in D♭ major that springs from the G♭ complex

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[131] Robert L. Taylor conceives this return of the fanfare motif in F major as a false recapitulation. But since the fanfare motif is from the introduction and it requires a reference to the main-theme material for the section to be qualified as a false recapitulation, I would label it as a retransition or a breakthrough instead. See Robert L. Taylor, 'The Completed Symphonic Compositions of Alexander Zemlinsky' (PhD diss., Ohio State University, 1995), 143.

(bars 212³–213). The cadential dominant however takes an unexpected turn by changing its position to the third inversion with G♭ in the bass (bar 213⁴). This engenders an abandoned cadence and in effect generates a downward semitonal bass movement that directs to the standing on the dominant in B♭ major (bars 214–217) as the goal. Such a last-minute alteration is significant, since the bass motion from G♭ to F signifies not only the resolution to the conflict between B♭ and G♭ via the dominant F, but also the restoration of F major's status—once eclipsed by the tension between polarities—as a deep-level structural dominant that gives rise to a reorientation towards a diatonic conception of tonality. As a result, moments of F major are recollected and understood in relation to a diatonic logic as structural phenomena leading up to this dominant revelation, and the chromatic-diatonic dialectical labour that inherently motivates the formal process is simultaneously exposed. While the chromatic tonal process becomes a totalising diatonic structure, the irreconcilability of chromatic and diatonic syntaxes and the inevitable priority of diatonicism, now objectified in material terms, is also brought to light, with the standing on the dominant pointing ineluctably to the essential retrieval of the tonic: the fanfare motif reappears in a bold B♭ major statement (bars 218–221) as a consequence of the standing on the dominant. Although the subsequent music sees the resurgence of G♭, it is, as revealed, subsumed under an overarching diatonic structure that supports B♭ as the tonic orientation. This recovery of the tonic is however engineered at the (partial) expense of the main-theme function, which gives way to the titanic V–I progression over the fanfare motif that establishes the preponderance of diatonicism as a reality.[132]

The formal processuality in Zemlinsky's movement illustrates a case where the nature of the chromatic totality as a commodity is disclosed in the *Augenblick*, which allows one to hear 'forward and backward at the same time', to recall Adorno's words. By enabling a listening of the whole, the *Augenblick* defies the capitalist conception of

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[132] Taylor considers the B♭ major unit as a recapitulation of the introduction, while Brown sees it as the recapitulatory main theme. I struggle to hear an introduction or a full-fledged main theme here because the section continues the thematic idea started in the retransition and its topical characterisation (brilliant style in the strings, fanfare in the woodwinds and brasses) clearly suggests the rhetoric of a breakthrough, though I would not dismiss its function as a main theme completely due to the return of the tonic. To reflect on this multi-dimensionality of its formal function, I would label it as a 'breakthrough' at the first inter-thematic level and a 'retransition⇔maintheme' at the second inter-thematic level. See Taylor, 'Symphonic Compositions of Alexander Zemlinsky', 159 and Brown, *The Second Golden Age*, 783.

musical time and crystallises the conceptual process into a material structure.[133] It therefore attests to the time-space moment of Beethoven-Hegelianism, the moment which exposes the Romantic formal processuality as a bourgeois socio-musical formation that impregnates the construction of musical meaning. In this moment, we find the reunion of time and space that has nonetheless undergone a process of objectification: whereas in the Beethoven-Hegelian moment one is compelled to 'enter the symphony', the *fin-de-siècle Augenblick* forces you to get out of it—to reclaim objectivity in our experience of form as totality.[134] It is thus in this reconciliation of the particular and the whole that we see the rise of a material conception of form—one that marks the endgame of Beethoven-Hegelianism, and at the same time, glimpses the dawn of modernism.

Dialectical Form and the Politics of the Moment

By restoring the aesthetics of the moment to the understanding of music as dialectics, I have distinguished between three modalities of formal processuality that altogether amount to an analytical history of Austro-German music from the early nineteenth century leading up to the turn of the twentieth century. This began with the consciousness of becoming as the herald of the golden age of Beethoven-Hegelianism, continued with the commodification of process as an emblem of the bourgeois culture, and ended with the exposure of the irreconcilability of syntax and process at the reconciliation of particular and whole—the *Augenblick*—as a melancholy antidote that characterises *fin-de-siècle* modernism. Considering the tension between chromaticism and diatonicism as a dialectic between tonal process (which arises from chromaticism) and formal syntax (which is founded upon diatonicism), this dialectical history is indeed embedded in *fin-de-siècle* formal processuality, whereby such a dialectical-historical process constitutes a special sonata trajectory that underlies *fin-de-siècle* symphonic form, a model which I theorise as 'dialectical form'. As Figure 2.1 demonstrates, under this

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[133] By conceptual process I refer to the chromatic tonal process that masks the dialectics between chromaticism and diatonicism, a condition which I consider as a form of identification.

[134] Theodor W. Adorno, *Current of Music*, ed. Robert Hullot-Kentor (Cambridge: Polity Press, 2009), 149–50.

⇒Diatonic Sonata Design

Chromatic Phantasmagoria

Chromatic Tonal
Practice

⇔

In the Process of Becoming

Diatonic Sonata
Design

Dialectical Discourse

Augenblick
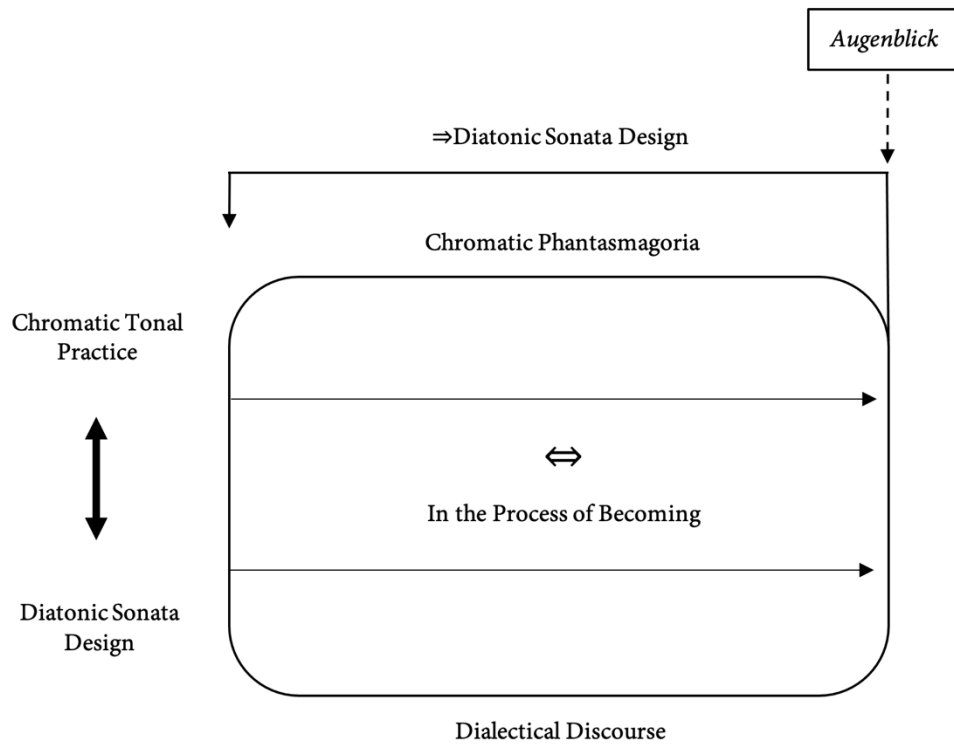
Figure 2.1   The Model of Dialectical Form

conception, the conflict between chromatic tonal practice and diatonic sonata design is initially construed through Hegelian dialectic. This engenders a large-scale process of becoming, which disguises as a phantasmagoric chromatic procedure that first appears to assume the form, often by means of dislocating or nullifying the cadence. While the music inherently attempts a synthesis of chromatic tonal practice and diatonic sonata design, such an effort is revealed as a failure upon the arrival of an *Augenblick* that often takes the form of a structural breakthrough. In this moment, the tonal-dialectical labour that produces the formal process is laid bare, and the diatonic sonata order is manifested as an objectified reality of the form, attesting to a negative dialectic in lieu of a Hegelian dialectic. As a result, the ongoing formal discourse is retrospectively reinterpreted as a sonata process, where the chromatic tonal phenomena are now conceived in relation to a diatonic formal order, which is, however, yet to be reified in the remaining music.

The model of dialectical form comprises the basis for a theory of *fin-de-siècle* symphonic sonata form that understands sonata trajectory in this repertoire as a man-

ifestation of the negative dialectic, which foregrounds the tension between chromaticism and diatonicism as the form's generative force. While the following chapters expound the implications of such a trajectory on the *fin-de-siècle* formal syntax via a consideration of the pertinent theoretical and contextual issues, the divergent responses to the *Augenblick* manifested in the works of Mahler, Schmidt, Schoenberg and Strauss exemplify the modernist dilemma that Adorno diagnosed, namely, as Max Paddison succinctly put it, 'the predicament faced by the artist caught between, on the one hand, the traditional demands of the art work for unity and integration (the harmonious relationship between part and whole) and, on the other hand, the loss of faith in any overarching unity on both individual and social levels in the face of the evident fragmentation of modern existence (manifesting as critical opposition to the "false totality" of the status quo, represented by the "culture industry")'.[135] Such a quandary concerns especially the treatment of the post-*Augenblick* formal span, where the music is 'supposed' to reorientate towards the diatonic sonata order: the *Augenblick* signifies the moment when *fin-de-siècle* composers were all of a sudden forced to confront the exploitation of the tonal-dialectical labour as a consequence of their technical fetishism, which had reached an extent that the music, as a societal construction, cannot endure any longer—they were compelled to ask themselves, 'what to do about it?' As we shall see, this leads to either, in some instances, a quick rectification that attempts to address the issue, or in the others, an apathy that ignores whatsoever is exposed, just as these two tendencies shaped the historical conditions that resulted in the uprisings after the World War I. And it is precisely at this crossroads between unity and disunity, old and new, and right and left, that we find the emergence of modernism as a melancholy moment of history. 'Once having shaken itself free of convention, no artwork was able to end convincingly, and the continued use of traditional endings only simulate the temporal convergence of the particular elements with the concluding instant as a totality of form', says Adorno.[136]

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[135] Max Paddison, 'Adorno's *Aesthetic Theory*', *Music Analysis* 6, no. 3 (1987): 358.

[136] Adorno, *Aesthetic Theory*, 201.

Chapter Three

Star Clusters and Mahler's Final Word
on the Breakthrough

The Unfinished Tenth and the Adagio's Form

While working on his Tenth Symphony in the summer of 1910, Mahler became aware of the troubling mental condition caused by his wife's affair with Walter Gropius and arranged the renowned counselling session with Sigmund Freud on 26 August.[1] At the meeting, Mahler came to discern the conjunction of 'high tragedy' and 'light amusement' underlying the aesthetic and stylistic incongruities in his music. He recounted there was an especially tragic incident between his parents that inspired the 'most profound emotions' in his music, which was yet 'spoilt by the intrusion of some commonplace melody' stemming from a hurdy-gurdy tune he heard when he ran away from the scene.[2] Such a conflict between 'high' aesthetics and 'low' folk tunes exemplifies the kind of dialectical opposition that haunts Mahler's oeuvre: his symphonies can be conceived as expressing a series of dialectics revolving around Judaism and Christianity, romanticism and modernism, and attempts to make the absolute symphonic idiom programmatic. In the late works, Mahler's treatment of the form-content dichotomy is particularly significant: here, the enduring dualisms that characterise his creative output reach their endgame. As Theodor W. Adorno notes, 'The technical procedures (of the Ninth's first movement) exactly fit the content. The conflict with the schemata is decided against the latter'.[3] This kind of discourse on Mahler's compositional thinking, however, did not take root in the Tenth's reception history. For one thing, Mahler died shortly afterwards in May 1911, leaving behind mostly completed score sketches

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[1] Constantin Floros, *Gustav Mahler: The Symphonies* (Pompton Plains, NJ: Amadeus Press, 2003), 299.

[2] Ernest Jones, *The Life and Work of Sigmund Freud*, vol. 2 (New York: Basic Books, 1955), 80.

[3] Theodor W. Adorno, *Mahler: A Musical Physiognomy*, trans. Edmund Jephcott (Chicago: University of Chicago Press, 1992), 156.

of the first two movements and loose sheets for the other three. Subsequent attempts were made to complete the work, resulting in various performing versions by Clinton Carpenter (1949/1966), Joseph Wheeler (1965) and Deryck Cooke (1976).[4] Writings about the Tenth henceforth tend to centre around Mahler's manuscripts as well as the different completions, while infrequently attending to musical details.[5]

The first dedicated analyses of the Adagio appear primarily as responses to the prevailing discourse on the 'second practice of nineteenth-century tonality' in the 1980s and the early 1990s.[6] Noting a divergent tonal practice in late-nineteenth-century music, Richard A. Kaplan used the Adagio to demonstrate the problems of applying traditional analytic techniques to highly chromatic works.[7] He drew on William Benjamin's idea of 'interlocking diatonic collections', but identified a different working of chromatic relationships in the movement, in which the tonalities of F♯ and B♭ interact rather than interlock.[8] Christopher O. Lewis took this concept of tonal pairing a step further.[9] He examined the impact of paired tonics on our temporal perception

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[4] Floros, *Gustav Mahler*, 298.

[5] I have in mind Deryck Cooke, 'The Facts Concerning Mahler's Tenth Symphony', *Chord and Discord* 2 (1963): 3–27; Deryck Cooke, *A Performing Version of the Draft for the Tenth Symphony* (New York and London: Associated Music Publishers and Faber Music, 1976); Matthews, Colin, 1974: 'Mahler at Work: Some Observations on the Ninth and Tenth Symphony Sketches', Soundings, 4, pp. 76–86; Susan M. Filler, 'Editorial Problems in Symphonies of Gustav Mahler: A Study of the Sources of the Third and Tenth Symphonies' (PhD diss., Northwestern University, 1977); Susan M. Filler 'The Case for a Performing Version of Mahler's Tenth Symphony', *Journal of Musicological Research* 3 (1981): 274–92; Richard Swift, 'Mahler's Ninth and Cooke's Tenth', *19th-Century Music* 2, no. 2 (1978): 165–72; Theodore Bloomfield, 'In Search of Mahler's Tenth: The Four Performing Versions as Seen by a Conductor', *The Musical Quarterly* 74, no. 2 (1990): 175–96.

[6] Although Klemm's and Rohland's works are among the first extensive studies on the Adagio, their analyses remain descriptive and focus largely on its thematic structure. See Eberhardt Klemm, 'Über ein Spätwerk Gustav Mahlers', in *Deutsches Jahrbuch der Musikwissenschaft für 1961*, ed. Walther Vetter (Leipzig: Edition Peters, 1962), 19–32; also Tyll Rohland, 'Zum Adagio aus der X. Symphonie von Gustav Mahler', *Musik und Bildung* 5 (1973): 605–15.

[7] Richard A. Kaplan, 'Interpreting Surface Harmonic Connections in the Adagio of Mahler's Tenth Symphony', *In Theory Only* 4, no. 2 (1978): 32–44; Richard A. Kaplan, 'The Interaction of Diatonic Collections in the Adagio of Mahler's Tenth Symphony', *In Theory Only* 6, no. 1 (1981): 29–39.

[8] William Benjamin, 'Interlocking Diatonic Collections as a Source of Chromaticism in Late Nineteenth-Century Music', *In Theory Only* 1, no. 11–12 (1976): 31–51.

[9] Christopher O. Lewis, 'The Mind's Chronology: Narrative Times and Harmonic Disruption in Postromantic Music', in *The Second Practice of Nineteenth-Century Tonality*, eds. William Kinderman and Harald Krebs (Lincoln, NE: University of Nebraska Press, 1996), 114–49. The idea of having possibly two tonics in a single piece or movement is suggested in the early writings on nineteenth-century tonality. However, it is Robert Bailey who first theorises this tonal procedure and designates it as 'double-tonic complex'. Further discussion of the concept will follow in the later part of the chapter. See Robert Bailey, '*Das Lied von der Erde*: Tonal Language and Formal Design', paper presented at the Forty-Fourth Annual Meeting of the American Musicological Society, Minneapolis, Minnesota, 21 October, 1978. 'Double-tonic complex' is considered interchangeable with its synonym 'tonal pairing', which is

of the music and, following Robert Bailey, illustrated how carefully arranged tonal events from the double-tonic complex can engender musical meaning in the Adagio.[10] The primary concern of these authors is, however, the broader extended tonal practice rather than the form of the Adagio as such. This reluctance to analyse the form perhaps reflected a growing suspicion of traditional formalistic approaches, which culminated in the poststructuralist critique launched by the new musicology. This perspective dismissed altogether the act of analysis: its search for unity, often evinced by way of formal analysis, was deemed ideologically problematic and irrelevant to the understanding of music. The charge of formalism emerged with Joseph Kerman's view that analysis is 'formalistic' if it concerns 'the detailed "internalist" explication of the structure of particular compositions'.[11] He claimed that analysis at the time focused solely on the relationships between patterns within a piece and took no account of matters of expression, meaning and cultural context. Compared to criticism, analysis is therefore 'limited and limiting'.[12] This deconstructionist stance subsequently flourished in the field of musicology. Four years after Kerman's polemic, Carolyn Abbate and Roger Parker renewed the attack on analysis, condemning analytical studies that stress 'autonomous structure, or coherence, or organic unity in a work' and complaining that 'many critics assume a priori that the musical object, to be of value, *must* be unified in certain conventional ways'.[13] For Abbate and Parker, this assumption is related to what they called 'a naive insistence that interpretation can and ought to be wholly detached from its context.' Like Kerman, they argued that 'formalist' approaches to music, which primarily deal with autonomous structure and coherence, are of less importance

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defined as situations 'where two keys simultaneously occupy the highest position in a tonal hierarchy'. See Harald Krebs, 'Some Early Examples of Tonal Pairing: Schubert's "Meeres Stille" and "Der Wanderer"', in *The Second Practice of Nineteenth-Century Tonality*, eds. William Kinderman and Harald Krebs (Lincoln, NE: University of Nebraska Press, 1996), 17–33.

[10] See also Robert Bailey, 'An Analytical Study of the Sketches and Drafts', in *Prelude and Transfiguration from 'Tristan and Isolde'*, ed. Robert Bailey (New York: W. W. Norton, 1985). 113–46.

[11] Joseph Kerman, *Contemplating Music: Challenges to Musicology* (Cambridge, MA: Harvard University Press, 1985), 17. For the historical debate on the position of analysis in the understanding of music, see Joseph Kerman, 'How We Got Into Analysis, and How to Get Out', *Critical Inquiry*, 7, no. 2 (1980): 311–31; Kofi Agawu, 'Analyzing Music Under the New Musicological Regime', *The Journal of Musicology* 15, no. 3 (1997): 297–307; and Kofi Agawu, 'How We Got Out of Analysis, and How to Get Back in Again', *Music Analysis* 23, no. 2–3 (2004): 267–86.

[12] Kerman, *Contemplating Music*, 18.

[13] Carolyn Abbate and Roger Parker, 'Introduction: On Analyzing Opera', in *Analysing Opera: Verdi and Wagner*, eds. Carolyn Abbate and Roger Parker (Berkeley, CA: University of California Press, 1989), 3.

because there may be 'a hundred rich contexts for their object'.[14] In short, the new musicologists conceived the study of form as completely detached from the object's context. These objections are reflected in the Mahler scholarship that was rapidly developing in the 1980s and 90s: studies at that time leaned heavily towards hermeneutics, narrativity, biography and philosophy, while discounting the matter of musical form altogether.[15] It is consequently not surprising that the question of form is rarely addressed in the recent literature on the Adagio.

The revival of interest in musical form following this *Sturm und Drang* has in the last two decades led to the development of the new *Formenlehre*. Although there have been attempts to account for the formal procedures in the Adagio, it is not until Seth Monahan's doctoral dissertation (revised and published as *Mahler's Symphonic Sonatas*) that we find the first dedicated study which theorises Mahlerian form using the new *Formenlehre*.[16] Monahan draws on sonata theory and declares that traditional sonata form, reinterpreted as a paradigmatic musical plot, informs all of Mahler's early- and middle-period symphonies.[17] Based on the formal/dramatic categories of

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[14] *Ibid.*

[15] I have in mind Morten Solvik, 'Culture and the Creative Imagination: The Genesis of Gustav Mahler's Third Symphony' (PhD diss., University of Pennsylvania, 1992); Julian Johnson, 'The Status of the Subject in Mahler's Ninth Symphony', *19th-Century Music* 18, no. 2 (1994): 108–20; Vera Micznik, 'The Farewell Story of Mahler's Ninth Symphony', *19th-Century Music* 20, no. 2 (1996): 144–66; and Stephen E. Hefling, ed., *Mahler Studies* (Cambridge: Cambridge University Press, 1997).

[16] Seth Monahan, 'Mahler's Sonata Narratives' (PhD diss., Yale University, 2008); Seth Monahan, *Mahler's Symphonic Sonatas* (New York: Oxford University Press, 2015). For earlier attempts, I think of Steven M. Bruns, 'Mahler's Motivically Expanded Tonality: An Analytical Study of the Adagio of the Tenth Symphony' (PhD diss., University of Wisconsin-Madison, 1989); Steven D. Coburn, 'Mahler's Tenth Symphony: Form and Genesis' (PhD diss., New York University, 2002); and Jack Boss, 'Mahler's Musical Idea: A Schenkerian-Schoenbergian Analysis of the Adagio from Symphony No. 10', in *Analyzing the Music of Living Composers (and Others)*, eds. Jack Boss, Brad Osborn, Tim S. Pack and Stephen Rodgers (Newcastle upon Tyne: Cambridge Scholars Publishing, 2013), 117–33.

[17] For Monahan, this idea of form as narrative is to be understood in a broader sense as a loose analogy to a story rather than a strict parallel to a literary narrative that shows a clear linguistic syntax. He points out that it has been 'business as usual for analytic storytellers of all stripes' since interests in the questions of narrative fell off; it is now generally accepted to use the term narrative in its loose analogical sense as emplotment to elaborate on the 'processive or storied aspects of musical construction'. See Monahan, 'Mahler's Sonata Narratives', 15, n. 26. On the narrativity of music, see also Anthony Newcomb, 'Once More "Between Absolute and Program Music": Schumann's Second Symphony', *19th-Century Music* 7, no. 3 (1984): 233–50; Anthony Newcomb, 'Schumann and Late Eighteenth-Century Narrative Strategies', *19th-Century Music* 11, no. 2 (1987): 164–74; Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton, NJ: Princeton University Press, 1991); Fred E. Maus, 'Music as Drama', *Music Theory Spectrum* 10 (1988): 56–73;
Fred E. Maus, 'Music as Narrative', *Indiana Theory Review* 12 (1991): 1–34; Jean-Jacques Nattiez, 'Can One Speak of Narrativity in Music?', *Journal of the Royal Musical Association*, 115, no. 2 (1990): 240–57; and Jean-Jacques Nattiez, *Music and Discourse: Towards a Semiology of Music* (Princeton, NJ: Princeton University Press, 1990).

recapitulatory 'success' and 'failure', Monahan identifies two basic tendencies in Mahler's first six symphonies: major-mode sonata endings usually follow a successful or properly functioning recapitulation; and minor-mode sonata endings tend to come after a failed or malfunctioning recapitulation.[18] In this way, the sonata-plot paradigm tightly links the formal process with the expression of the movement and is firmly established as an effective tool to address the issue of form in Mahler's symphonies until 1905, that is, after the completion of the Sixth Symphony.

What, then, follows the Sixth? Although Monahan proclaims that the sonata plot paradigm 'loses much of its explanatory power' for the later symphonies, he also notes that its principle is not quite 'abandoned' in these works, which rather call for 'a different analytic framework'.[19] After the Sixth, Mahler seems less inclined to dramatise the ability of the recapitulatory secondary theme to attain tonal closure—to secure the tonic—and yet certain attributes in the music are still identical to classical sonata form. For this reason, analysts repeatedly refer to the main components in the Adagio using sonata-type vocabularies despite their reluctance to define them as such.[20] Kaplan, for instance, states that labelling the Adagio with traditional formal categories leaves its important musical features 'hanging over the edges'.[21] Nevertheless, he sees the formal functions of a standard classical sonata in the movement, where Sections I (bars 1–39) and II (bars 49–104) are expository, and Section III (bars 112–183) embraces both development and recapitulation. Kofi Agawu also rejects the Adagio's designation as a sonata movement, as it displays neither a purposeful exploration of keys nor an opposition between the main theme and the subordinate theme. Yet he finds the label of

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[18] Seth Monahan, 'Success and Failure in Mahler's Sonata Recapitulations', *Music Theory Spectrum* 33, no. 1 (2011): 39–40. The 'success' or 'failure' of a recapitulation depends on whether its subordinate theme can complete the sonata's 'generic mission', that is, to produce the tonal-cadential 'essential structural closure' (ESC). If the subordinate theme cannot generate a proper tonic cadence, or if it appears in a non-tonic key, the result is what is called a non-resolved, 'failed' recapitulation. See James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 245, 177–9.

[19] Monahan, 'Mahler's Sonata Narratives', 286; Monahan, 'Success and Failure', 54.

[20] Analyses that label the Adagio with traditional formal categories include Donald Mitchell, 'Some Notes on Mahler's Tenth', *The Musical Times*, 96 (1955): 656–7; Filler, 'Editorial Problems', 568; Deryck Cooke, 1980: Gustav Mahler: An Introduction to His Music (London: Faber Music, 1980), 120–1; Kaplan, 'The Interaction of Diatonic Collections', 36; Richard A. Kaplan, 'Multi-Stage Exposition in Mahler's Symphonies', in *Perspectives on Gustav Mahler*, ed. Jeremy Barham (Aldershot: Ashgate, 2005), 226–9; Coburn, 'Mahler's Tenth Symphony', 89–93; and Floros, *Gustav Mahler*, 303–6.

[21] Kaplan, 'Multi-Stage Exposition', 227–9.

sonata form 'attractive' because the movement exhibits 'thematic contrast, sections of formal elaboration, a climactic moment, the return of the opening material, and an overall similarity between its five parts and the introduction–exposition–development–recapitulation–coda scheme of sonata-allegro form'.[22]

Reflecting analysts' ambivalence about the Adagio's sonata characteristics, Agawu interprets its form as 'the metaphorical expression of a dramatic scenario' and offers an ad hoc scheme of 'statement–elaboration–restatement–climax–closure' as an alternative.[23] This dramatic reading seems to offer a good solution to the sonata/non-sonata dilemma. But if we remove the literary tags, it is almost an equivalent of the dramatic scheme of sonata form in which the main theme and the subordinate theme in tonic are exposed in the statement (bars 1–111), developed and altered in the elaboration (bars 112–140), and recapitulated in a condensed form in the restatement (bars 141–193), followed by the climax (bars 194–212) and the closure (bars 213–275). It is the climax, however, which does not fit into any existing formal category and proves to be the most perplexing moment. Agawu regards the arrival of the climax as a discontinuity in the ongoing tonal process produced by an unexpected outburst; Steven D. Coburn understands the climax as an interruption of the recapitulation, citing that Mahler inserted it at a later stage.[24] In either case, the climax is an unforeseen, syntactically disjunct event that is segregated from the normative formal process and requires further attention. How then can we elucidate this abrupt climax together with the Adagio's sonata properties, taking into consideration its unorthodox design?

In response to this question, the present chapter revisits the long-standing issue of form in the Adagio in light of recent developments in *Formenlehre* and neo-Riemannian theory. It conceives the issue as a problem of tonality, contending that the presumed diatonic conception of sonata form fails to account for the reality of *fin-de-siècle* tonal practice, which increasingly prioritises voice-leading efficiency as its structural syntactic principle. I first critique the diatonic premise of the existing sonata readings and propose to relate Adagio's formal procedure to Richard Cohn's hexatonic

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[22] Kofi Agawu, 'Tonal Strategy in the First Movement of Mahler's Tenth Symphony', *19th-Century Music* 9, no. 3 (1986): 224.

[23] *Ibid.*, 225–7.

[24] *Ibid.*, 228; Coburn, 'Mahler's Tenth Symphony', 154–5.

systems. The insufficiency of a pure hexatonic interpretation to address certain diatonic operations subsequently leads to a reconsideration of this double syntax in terms of Julian Horton's model of orbital tonality. I modify Horton's formulation into what I call 'hexatonic tension', which amounts to sonata form's characteristic tonal dualism between main theme and subordinate theme in a chiefly hexatonic environment. This engenders a redistribution of the Adagio's formal functions, where I also explicate the conflict between sonata form and rondo procedure manifested through the model of hexatonic tension. I then turn to the intrusive climax, which functions as the Adagio's breakthrough (*Durchbruch*)—an important syntactic tool in Mahler's earlier sonata developments. The breakthrough carries a special formal function that activates the diatonically based sonata process: this event encourages a new, retrospective conception of the entire movement as a diatonically orientated sonata form by way of functional reinterpretation. While the hexatonic system takes charge as the primary tonal principle and brings about the form's tonal tension, the breakthrough reinterprets its relationships in diatonic terms, triggering a resolution analogous to that of classical sonata form. This procedure retraces the formal syntax typical of early Mahlerian developments and thereby exhibits a continuity in his formal logic. It also suggests a different formal mechanism for the sonata principle in his late music, indicating a *fin-de-siècle* turn towards an alternative tonal plot as the teleological basis of sonata form.

Mahler's Star Clusters

The traditional approach to tonality that draws on diatonic collections has failed to illuminate the form of the Adagio. Although previous analysts have identified an overall sonata outline, they focus largely on thematic content while neglecting the sonata's characteristic tonal scheme. Following the analyses by Coburn and Jörg Rothkamm, Henry-Louis de La Grange argues that the character of the second thematic area (bars 32–39) contrasts greatly with the first (bars 16–31).[25] Yet he fails to take account of the

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[25] Henry-Louis de La Grange, *Gustav Mahler: A New Life Cut Short (1907–1911)*, vol. 4 (New York: Oxford University Press, 2008), 1500. See also Coburn, 'Mahler's Tenth Symphony'; and Jörg Rothkamm, *Gustav Mahlers Zehnte Symphonie: Entstehung, Analyse, Rezeption* (Frankfurt: Peter Lang, 2003).

modal change within the tonic F♯ between the two areas, which arguably does not constitute the sonata's tonic/non-tonic tension. Taking a different approach, Peter Bergquist considers the modal interplay of F♯ major and F♯ minor as fundamental to the formal/tonal process and dismisses a sonata reading for its lack of tonal contrast.[26] Such an understanding, however, does not acknowledge the significance of B♭ minor, which emerges after F♯ minor as part of the second presentation of the second thematic area (bars 91–104). Turning to a sonata perspective, Kaplan recognises both the contrasting character between the main theme (MT) and the subordinate theme (ST) as well as the function of B♭ minor as the opposing tonal force to the tonic.[27] As mapped in Table 3.1, he conceives bars 1–111 as a double exposition in which the sonata's tonic/non-tonic tension is established with the B♭ minor subordinate theme. Nevertheless, as Kaplan admits, this tonal dichotomy does not resolve in the recapitulation: the B♭ minor subordinate theme reappears in the same way as Exposition II, followed by yet another introduction and the A♭ minor climax, neither of which seems to facilitate the recovery of the lost tonic.

Incorporating perspectives of the new *Formenlehre*, Eric Hogrefe divides the recapitulation into three subrotations: subrotation 1 (bars 141–177) consists of the return of Exposition II; subrotation 2 (bars 178–212) comprises the subsequent recall of the main theme, the introduction and the climax; and subrotation 3 (bars 213–240) encompasses what Kaplan calls the peroration.[28] Such an interpretation permits the understanding of the PAC at the end of subrotation 3's subordinate theme (bars 229–230) as the tonal resolution, or the 'essential structural closure' (ESC). But for Hogrefe, the Adagio's tonal dualism rests on the F♯ modal parallelism rather than the F♯–B♭ polarity, and it is not until the combined dominant-ninth chords of F♯ and B♭ in the climax (bars 206–208) that the F♯–B♭ contrast is foregrounded as the form's tonal

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[26] Peter Bergquist, 'The First Movement of Mahler's Tenth Symphony: An Analysis and an Examination of the Sketches', *The Music Forum* 5 (1980): 335–94.

[27] Kaplan, 'Multi-Stage Exposition'.

[28] Eric Hogrefe, 'The First Movement of Mahler's Tenth Symphony and the "Burden" of Romantic Form'. *Music Theory Spectrum* 41, no. 2 (2019): 323–40.

Bars:	1	16	32	40	49	81	91	105	112	130	141	153	172	178	184
Large-scale function:	Exposition I				Exposition II				Development		Recapitulation				
Inter-thematic function:	INT	MT	ST	INT	MT	ST		INT	Core?	RT?	MT	ST		MT	INT
Tonal process:	?	F♯+	F♯-	?	F♯+	F♯-	B♭-	?	A-→ ?	?	F♯+	F♯-	B♭-	F♯+	?

Bars:	194	213	221	225	244	246	253
Large-scale function:	Recapitulation (continued?)				Coda		
Inter-thematic function:	Climax	Peroration			INT		Peroration
Tonal process:	A♭-	F♯+	(D+)	F♯+	(E♭+)	?	F♯+

Table 3.1   Mahler, Symphony No. 10, Adagio, Formal Synopsis Based on Kaplan's Reading

opposition. [29] Such vacillations among scholars, between modal parallelism and tonic/non-tonic tension, suggests an ambiguity with respect to the supplier of the form's tonal dualism under a diatonic conception of tonality. This results in the ambivalent attitude towards a sonata reading and brings about alternative accounts of the movement using such formal categories as 'theme and variations' and 'sonata form and rondo'. [30] Given the equivocal understanding of the form's tonal dualism, the Adagio has never qualified as a convincing exemplar of sonata form in the diatonic realm.

This, however, is not the case if we reorientate the Adagio's tonal relations towards Cohn's hexatonic approach, which de-emphasises diatonic collections and spotlights voice-leading parsimony including modal mixture, third relations, motion through the enharmonic seam, and equal division of the octave. [31] Such systems are derived ultimately from Donald Francis Tovey's description of Schubert's tonality, which he deemed 'as wonderful as star clusters'. [32] The use of the metaphor 'star cluster' evokes a network of relations, none of which asserts a primary position in relation to the others. This contrasts the traditional image of tonal relations as a solar system, where positions are determined with reference to a central unifying element. Noticing the different conceptions of tonal organisation in Tovey's account, Cohn relates triadic harmonies to neither a diatonic system nor a tonal centre, but instead to other triadic harmonies based on the efficiency of the voice leading between them. [33] He conceptualises the triadic relations, drawing on the principle of minimal-work relation, in which motion between two triads involves the displacement of a single voice by semitone. [34] The principle of minimal-work relation is then connected to the existing neo-

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[29] Following Leonard Ratner and Agawu, Hogrefe considers the F♯ modal parallelism as a 'solar key scheme' as opposed to the polar tonic/non-tonic contrast. He understands the movement as an intertwining of sonata form and Adagio form and relates such a solar key scheme to the Adagio procedures. Although I agree in principle with the idea of an Adagio inflection, I deem such attributes as topical characterisations that affect the thematic gestures and interpret the movement's form instead as a special collision of sonata and rondo. I will return to the issues with the Adagio and rondo in the later part of this chapter. See Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 48–51; and Agawu, 'Tonal Strategy'.

[30] See Filler, 'Editorial Problems', 568; Mitchell, 'Some Notes', 657.

[31] Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert'. *19th-Century Music* 22, no. 3 (1999): 215.

[32] Donald Francis Tovey, 'Tonality', *Music & Letters* 9, no. 4 (1928): 362.

[33] Cohn, 'As Wonderful as Star Clusters', 214.

[34] Richard Cohn, *Audacious Euphony: Chromaticism and the Triad's Second Nature* (New York: Oxford University Press, 2012), 17–8.

Riemannian transformations. Following Brian Hyer's adaptation from David Lewin, Cohn identifies four types of neo-Riemannian progressions: P (parallel major/minor), which involves a single semitonal displacement and signifies the motion between triads that share two common tones and a common root; L (*Leittonwechsel* [leading-note exchange]), which also involves a single semitonal displacement and signifies the triads that share two common tones with the root set a major third apart; PL or LP, which involves a double displacement and denotes a compound transformation of P and L; and H (hexatonic pole), which involves a triple displacement where three voices move simultaneously by semitone.[35]

Based on the principle of minimal-work relation, the relations among twenty-four major and minor triads can be mapped onto four hexatonic cycles consisting of six triads each, as realised in Figure 3.1. Enharmonic equivalence is assumed, and two triads are brought together if they are related by a single semitonal displacement. Each triad is hence connected to two other triads through the P or L transformation. More distant relations are made possible by the PL/LP and H transformations.[36]

These hexatonic relations serve as the basis for elucidating the Adagio's form, which is attendant upon its tonal procedure. They are appropriated for addressing large-scale tonal progressions, resulting in a completely different conception of tonal tensions, and thus formal operation.[37] Figure 3.2 illustrates a reconceptualisation of the Adagio's tonal tensions in hexatonic relationships. The graph is presented in a horizontal form in order to capture the temporal dimension of formal process. Hexatonic progressions are situated on the top stave, while tonal areas that do not fit into

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[35] Cohn, *Audacious Euphony*, 20–33. See also Brian Hyer, 'Tonal Intuitions in "Tristan und Isolde"' (PhD diss., Yale University, 1989). For a more detailed and systemic discussion of the hexatonic systems, see Richard Cohn, 'Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions', *Music Analysis* 15, no. 1 (1996): 9–40; and Cohn, *Audacious Euphony*, chap. 2.

[36] Cohn, 'As Wonderful as Star Clusters', 216; Cohn, *Audacious Euphony*, 29–32.

[37] I conceive hexatonic collections as a large-scale tonal phenomenon that is increasingly prominent in music towards the late nineteenth century. For other studies that adopt a similar approach, see Cohn, 'As Wonderful as Star Clusters'; Richard Cohn, 'Hexatonic Poles and the Uncanny in Parsifal', *The Opera Quarterly* 22, no. 2 (2007): 230–48; Warren Darcy, '"Die Zeit ist da": Rotational Form and Hexatonic Magic in Act 2, Scene 1 of Parsifal', in *A Companion to Wagner's Parsifal*, eds. William Kinderman and Katherine R. Syer (Rochester, NY: Camden House), 215–41; and Matthew BaileyShea, 'The Hexatonic and the Double Tonic: Wolf's Christmas Rose', *Journal of Music Theory* 51, no. 2 (2007): 187–210.
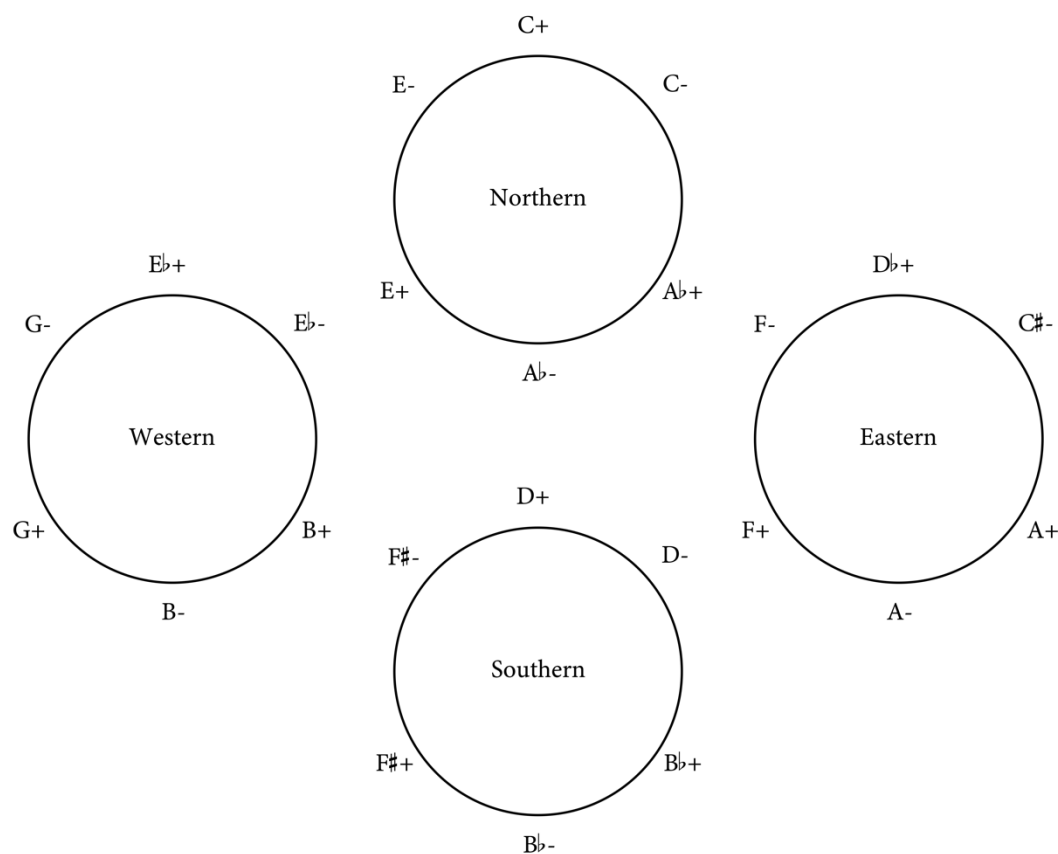
Figure 3.1   The Four Hexatonic Cycle

the hexatonic system are placed on the bottom stave, indicating possible contrasting tonal force.

    With this conception, the tonal events occur mainly in the southern system and through the process the formal functions of individual sections in sonata form are somewhat restored.[38] The exposition's rhetorical task of providing a 'referential arrangement or layout of specialised themes and textures against which the events of

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[38] Although William E. Caplin specifies that form-functionality is determined by cadential closure in high-classical music and thematic content plays only a minimal role, the lack of root-position authentic cadences and the emphasis on thematic process seem to be the common practice in music at the *fin de siècle*. See William E. Caplin, 'What Are Formal Functions?', in *Musical Form, Forms and Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press), 34–9; and William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press). In the Adagio, form-functionality is evoked by a thematic process based on Schoenberg's notions of 'tight-knit' (*fest*) verse 'loose' (*locker*) organisation, in which closures are indicated by thematic liquidation or fragmentation and/or classical cadences. With similar attention to the content, Matthew Arndt reconstructs categories of form-functional theory based on Schoenberg's theory of form and argues for a *Gestalt* conception of form-functionality that can be adapted to later repertoire. See Matthew Arndt, 'Form—Function—Content', *Music Theory Spectrum* 40, no. 2 (2018): 208–26. A more substantial theory of *fin-de-siècle* formal closures

Figure 3.2   Mahler, Symphony No. 10, Adagio, Reduced Voice-Leading Graph

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is however yet to be developed.

[…] development and recapitulation […] are to be measured and understood' is set out satisfactorily:[39] the main theme in tonic (F♯ major) is clearly presented and affirmed by its reappearance; while lacking an actual transition (TR), the subordinate theme enters in the tonic minor (F♯ minor) and subsequently moves to B♭ minor (bar 91) through the PL transformation, opening up the condensed tonal space for the tonal shift to take place thereafter. It is noteworthy that F♯ major and F♯ minor collaborate tonally against the succeeding B♭ minor, supplying the sonata's tonic/non-tonic tension, whereas the F♯ minor subordinate theme also offers thematic contrast to the F♯ major main theme; this induces a characteristically Romantic parametric non-congruence between theme and key.[40] The reading of the development is heavily affected by this hexatonic conception. The recapitulation and the climax are now conceived as part of the development. There we see a purposeful exploration of keys outside of the southern system: the pre-core embraces reference to an alien A minor and occasional allusions to E♭ major/minor; and the core travels through the tonal areas associated with the exposition, which are then interrupted by a sudden outburst with the arrival of the A♭ minor breakthrough (enharmonically spelled as G♯ minor, ii from the tonic). The recapitulation, now on a much smaller scale, retraces the exposition with a non-resolving subordinate theme indicating a remnant of D major, actuated by a PL transformation. After a hint of a foreign E♭ major, the modest coda gains the tonic without any sign of belated tonal resolution of the subordinate theme and shortly dissolves into silence, creating an ending that seems loose compared to Mahler's early sonata movements.

The hexatonic system provides a lens through which the Adagio can be construed as a sonata movement. Nevertheless, the tonal events that are segregated from

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[39] Hepokoski and Darcy, *Elements of Sonata Theory*, 16.

[40] Parametric non-congruence between tonal and thematic processes is first scrutinised in Anne Hyland's analysis of Schubert's Quartet D. 46, denoting the moment where one parameter is suggestive of closure but one or more of the others are not. See Anne M. Hyland, 'Rhetorical Closure in the First Movement of Schubert's Quartet in C Major, D. 46: A Dialogue with Deformation', *Music Analysis* 28, no. 1 (2009): 111–42. Julian Horton mobilises a similar idea of parametric non-congruence for the analysis of Romantic formal syntax. See Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', in *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*, eds. Steven Vande Moortele, Julie Pedneault-Deslauriers and Nathan John Martin (Rochester, NY: University of Rochester Press, 2015), 77–122; and Julian Horton, *Brahms' Piano Concerto No. 2, Op. 83: Analytical and Contextual Studies* (Leuven: Peeters, 2017). The concept serves as an important syntactic device in late Mahlerian sonatas. Preceding examples include the first movements of the Seventh and the Ninth Symphonies.

the hexatonic progression remain unaddressed in the formal process. The evocation of A minor and E♭ major/minor in the pre-core of the development, the reference to E♭ major in the coda, along with the abrupt breakthrough, all fall into other hexatonic cycles rather than the southern system, and they seem to require an additional framework before they can be incorporated into the Adagio's hexatonic progression. More importantly, despite its success in producing what might be construed as the exposition's structural cadence (the 'essential expositional closure' or the EEC, in bars 96–98) in B♭ minor, the subordinate theme never reappears as a substantial prolongation of the tonic in the recapitulation which settles its tension with the main theme.[41] Rather, its elicitation of D major seems inclined to reopen the compressed tonal space, recalling the development's tonal exploration. This can be attributed to the nature of the 'star clusters' that plays down the role of a privileged tonal centre, thus undermining the need for a unified tonal structure. Under such circumstances, how can the essential sonata procedure of polarising the main theme and the subordinate theme be assimilated into the hexatonic system?

Hexatonic Tension and Formal Functions

The assumption of a unifying tonal centre is fundamental to the solar conception of musical universe that governs sonata form, which is marked by proper tonal closure in the tonic key (whether in the recapitulatory subordinate theme or in the coda). The coexistence of diatonic and hexatonic systems in late Mahlerian sonata forms consequently requires a mixed theoretical approach in order to bring them in contact with each other.[42] Accounting for this double syntax, Bailey's concept of double-tonic complex gives us the clue as to how to tackle both systems in a single stroke:

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[41] The EEC also indicates a syntactic issue in neo-Riemannian theory in which a hexatonic progression is marked by diatonic cadences. This will be addressed in the later part of this chapter.

[42] The D-major first movement of the Ninth Symphony requires a similar attention to the mixture of tonal systems. While its key areas are primarily located in the southern hexatonic cycle, the octatonically related B-major breakthrough (bars 308–317) reinterprets the hexatonically orientated F♯ as a diatonic event by transforming it from the root of the dominant ninth (bar 310) in B major through the root of the F♯ diminished triads (bars 314–322) to the third of the tonic triad in D major (bar 319, at the return of the opening motif). This accords with the breakthrough function proposed in the later half of this chapter.

> The new feature of Tristan is the pairing together of two tonalities a minor third apart in such a way as to form a 'double-tonic complex'. The pairing of A and C for the whole of Act I may well have grown out of the traditional close relationships between A minor and C major, but the double-tonic idea goes well beyond merely beginning in a minor key and concluding in its relative major […] In some ways, the new concept plays upon that very closeness, but we are now dealing with the 'chromatic' mode of A and the 'chromatic' mode of C. The two elements are linked together in such a way that either triad can serve as the local representative of the tonic complex. Within that complex itself, however, one of the two elements is at any moment in the primary position while the other remains subordinate to it.[43]

For Bailey, the two coexisting potential tonics in *Tristan und Isolde* demonstrate a late nineteenth-century tonal practice based on a complex of third relations, which replaces the declining procedure of tonic/dominant contrast.[44] This new kind of system comprises a pairing of two implied tonics where either one can claim to be the representative of the tonal complex, and a nexus of major/minor-third relations (enabled by modal mixture) extending from the given tonic. Altogether, they make up a double-hierarchical tonal structure in which the paired tonics continuously interact with the network of third-related keys.

Lewis applies this idea to Mahler's Ninth Symphony, following Bailey's study of *Das Lied von der Erde*.[45] He conceives the first movement as manifesting a double-tonic complex of D and B♭ that is developed over the course of the exposition.[46] Departing from Bailey's view that the paired tonics are interchangeable, Lewis nonetheless sees two clearly stated tonics here, one of which also assumes the equivalent function of an implied tonic; D is constantly challenged by an implied B and simultaneously in contrast with B♭. Unlike Bailey's non-oppositional paired tonics in *Tristan*, Lewis' formulation in the first movement of the Ninth suggests a tonal conflict between D and B♭—the respective key centres of its main theme and subordinate theme. Here the setting up of tonal tension between the paired tonics can be ascribed to the syntactic demands of the formal type:

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[43] Bailey, 'An Analytical Study', 121–2.

[44] *Ibid.*, 120.

[45] Bailey, '*Das Lied von der Erde*'.

[46] Christopher O. Lewis, *Tonal Coherence in Mahler's Ninth Symphony* (Ann Arbor, MI: UMI Research Press), 15–23.

If the sonata design is to remain coherent, then the musical structure must be predicated upon some tonal design which will allow for the sense of conflict and resolution essential to the dramatic idea of the sonata.

By overlaying implicitly and explicitly conflicting triads, Mahler establishes at the beginning of the Ninth Symphony a tonal world derived from a double-tonic complex of D and B [displaced later by B♭]. Rather than articulate a linear contrast of tonic and dominant, the Exposition unfolds the framework of a set of tertially connected principal and secondary keys. The Development does not prolong, but avoids the dominant, while working out the full delineation of the tonal plot initiated by the Exposition. Not until the requirements of this plot have been satisfied can any of the refrain-like returns of the tonic key be interpreted as recapitulatory.[47]

On this note, I propose a concept of hexatonic tension that brings together a hexatonic tonal conflict and a nexus of related keys to address the sonata procedure of constructing a tonic/non-tonic contrast between main theme and subordinate theme in form-functional terms in the Adagio's hexatonic system. This is formulated through a modified version of Horton's model of orbital tonality, which serves to reconcile the disparate aspects of formal function, harmony and tonal strategy in the finale of Bruckner's Seventh Symphony.[48] Mindful of the interweaving of both prolongational and transformational voice-leading forces in Bruckner's intra-thematic structure, Horton conceives the music as dispersing the foreground—or, more specifically, the intra-thematic units—across multiple tonal 'orbits'. He reimagines Bailey's double-tonic complex by construing each orbit as an independent system, encompassing 'a centre and a set of locally tonic-defining diatonic relations', an example of which is mapped in Figure 3.3. Departing from Bailey's theorisation of double-tonic relations, the orbital centres are not instances of a 'local representative of the tonic complex'.[49] Instead, each orbit constitutes a diatonic dualistic tonal universe of its own, where major and minor keys appear as mirror expressions of one another.[50] The orbital centres

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[47] *Ibid.*, 14.

[48] Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', *Music Analysis* 37, no. 3 (2018): 271–309.

[49] Bailey, 'An Analytical Study', 122.

[50] Such a system has its historical root in the nineteenth-century dualistic harmonic theories. See Henry Klumpenhouwer, 'Dualist Tonal Space and Transformation in Nineteenth-Century Musical Thought', in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 456–76. This issue will be treated in detail in Chapter Four.

mediating triads	C orbit			mediating triads	E orbit			mediating triads	Ab orbit			mediating triads
Db+	Ab+	Eb+	Bb+	F+	C+	G+	D+	A+	E+	B+	Gb+	Db+
Bb-	F-	C-	G-	D-	A-	E-	B-	F#-	Db-	Ab-	Eb-	Bb-
Bb+	F+	C+	G+	D+	A+	E+	B+	F#+	Db+	Ab+	Eb+	Bb+
G-	D-	A-	E-	B-	F#-	C#-	G#-	D#-	Bb-	F-	C-	G-

Figure 3.3   Horton's Model of 'Orbital Tonality' for Bruckner, Symphony No. 7, Finale

are related by voice-leading proximity materialised through neo-Riemannian labels which describe hexatonic progressions. They are, however, disjunctive in essence since inter-orbital shifts involve switching between competing systems that quest for tonic orientation. In the case of a triad referencing more than one orbit, its membership is determined by the context, which often shows preference for one over the other.

Figure 3.4 graphs the orbital complex of the Adagio. I revamp Horton's tabular illustration of orbits into an elliptical sphere and reconsider each complex as a constellation to emphasise the independence of individual orbits. The Adagio's constellation arises in the Southern hexatonic cycle, which supplies the centres of D, F♯ and B♭ which are in control of their respective diatonic collection. Taking into account that the D orbit remains generally inactive in the Adagio, the movement can be conceived as a contest between the F♯ orbit and the B♭ orbit for tonic priority. Yet its manifestation of orbits diverges from Horton's formulation: with the exception of the pre-core of the development, the harmonies within an inter-thematic unit tend to support a single orbital centre rather than distributing across different orbits. Although there are sometimes references to other orbits, they do not subvert the overall orientation towards a suggested orbital centre in the inter-thematic unit. In other words, while Bruckner's theme groups serve 'to establish a harmonic field' that traverses different orbits, the Adagio's inter-thematic units instead function to articulate the tonic of one of the three hexatonically related orbits, a tonal strategy which bears a close resemblance to the classical precedent.[51]

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[51] Horton, 'Form and Orbital Tonality', 282–7.
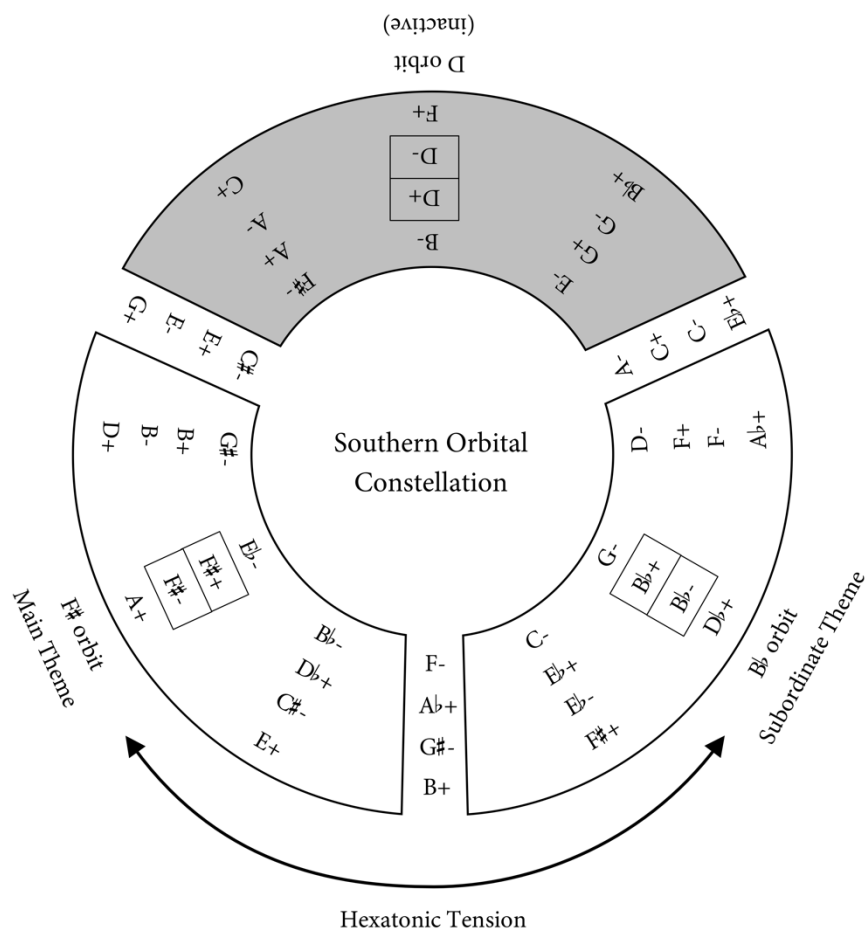
Figure 3.4   Mahler, Symphony No. 10, Adagio, Southern Orbital Constellation

This distinction between two modes of orbital presentations is crucial to the understanding of the Adagio's form-functional practice. In contrast to Bruckner's finale, in which the conflict between orbits is infused in the inter- and intra-thematic structure, the Adagio presents a case where such a tension is foregrounded by correlating orbital manifestations to inter-thematic functions; the expositional main theme and subordinate theme operate to establish respectively the F♯ and the B♭ orbits, and thereby the opposition between the two. What this reciprocity connotes is the formal functionalisation of orbits as the opposing tonal force in sonata form: departing from William E. Caplin's classical definition, the subordinate theme does not express a subordinate key, but rather an alternative orbital system supported by the loosening of

formal organisation.[52] The institution of orbital conflict via the main-theme/subordinate-theme dualism thus amounts to what I describe as 'hexatonic tension', which constitutes a different model of tonal contrast that fulfils the syntactic demand of sonata form. From the outset, the idea of hexatonic tension might seem identical to a neo-Riemannian reading of large-scale tonal progression. As in Horton's interpretation of Bruckner, however, the orbital conflict is 'exploited as the form's generative principle', meaning that all the harmonic areas are associated with one of the orbits and are therefore mobilised to support the orbital contest that motivates the form's teleology.[53] This double-hierarchical tonal structure engendered by inter-orbital hexatonicism and intra-orbital diatonicism distinguishes the model of hexatonic tension from a pure neo-Riemannian approach, which does not account for the tonal functionality of individual harmonic areas that, in the present case, has an implication for their formal functions. The formulation here finds its counterpart in Cohn's matrix of diatonic-hexatonic regions suggested in his analysis of Schubert's D. 960.[54] There Cohn subordinates the hexatonic cycles to diatonic functions, proclaiming a diatonic-functional contrast that embraces the hexatonic system. He assigns a diatonic function to each of the hexatonic cycles in view of their relations; the keys within the same hexatonic cycle are thus interchangeable as the representative of the diatonic function. The concept of hexatonic tension, however, depends on the emergence of a disjunctive hexatonic orbit as an alternative tonic region.[55] This corresponds to the high-classical sonata practice of tonicising the dominant—the triad that challenges the initial assertion of tonic in Moritz Hauptmann's dialectical conception of tonality—in subordinate theme in order to destabilise the tonal structure, although this convention is completely revamped in a hexatonic environment based on voice-leading proximity.[56]

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[52] On the characteristics of the subordinate theme in classical form, see Caplin, *Classical Form*, 97.

[53] Horton, 'Form and Orbital Tonality', 285–6.

[54] Cohn, 'As Wonderful as Star Clusters', 219.

[55] Kaplan also acknowledges this tension between F♯ and B♭. Yet he does not theorise it in formal terms. See Kaplan, 'The Interaction of Diatonic Collections'.

[56] Hauptmann conceived the establishment of tonality as a dialectical discourse, which involves three stages: 1) thesis: the unmediated contention of the tonic; 2) antithesis: the emergence of a fifth-related triad that challenges the tonic status of the first triad; and 3) synthesis: the introduction of a second fifth-related triad that reinstates the centricity of the first triad, now mediated as the tonic. Construing the emergence of another orbit as an alternative tonic region corresponds to the second stage in which the first orbit's validity as the tonic is challenged. See Moritz Hauptmann, *The Nature of Harmony and*

The model of hexatonic tension accounts for the sense of contrast in the Adagio's sonata process and gives rise to a re-conception of its form-functional practice. Table 3.2 charts a reading of its form in these terms. The orbital tonal construction has acted on the form-functional procedure, leading to the stratification of inter-thematic function into two levels. The setting up of hexatonic tension is closely connected to this process of formal stratification in the exposition. While the F♯ major main theme 1 (MT1, bars 16–31) functions to institute the F♯ orbit, the subsequent F♯ minor (bars 32–38) suggests a modal contrast and declares itself provisionally to be the subordinate theme.

Yet contrary to the prevailing understanding of the F♯ minor area as the opposing force, an orbital reading does not conceive this P transformation as a modal parallelism that induces tension.[57] What F♯ minor does instead is to complete the dualistic tonal universe in order to support the instatement of the F♯ orbit. The postulate that the F♯ minor area does not supply a contrast is corroborated by the subsequent deployment of the introduction's materials (bars 40–48) as a syntax-redefining device. Figure 3.5 spotlights the exposition's temporal functions at different levels of formal hierarchy using Caplin's 'beginning-middle-end' paradigm.[58] The strategic insertion of the introduction's materials here functions as the 'before-the-beginning' (bfb) of main theme 2 (MT2, bars 40–80). Its reference to the introduction signifies the return of yet another main theme and the protraction of the 'beginning' function, denoting a non-progression that makes it syntactically non-viable for the F♯ minor formal unit to proceed to the subordinate theme, i.e. to the 'end' function of the exposition. This engenders a re-conception of the F♯ minor area as the 'after-the-end' of main theme 1. The syntactic reversal has thus produced a rehearing of the formal unit spanning across main theme 1 and main theme 2 (bars 16–80) as an unorthodox main-theme

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Meter, trans. W. E. Heathcote (London: S. Sonnenschein, 1888), 9–14. Hauptmann's model will be examined in Chapter Four.

[57] The parallel relationship between major and minor is understood as mirror expressions of one another in a dualistic conception of harmony. For an appraisal of the notion of harmonic dualism, see Henry Klumpenhouwer, 'Harmonic Dualism as Historical and Structural Imperative', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 194–217.

[58] Caplin, 'What Are Formal Functions?'; Caplin, *Classical Form*. The 'beginning-middle-end' paradigm is initially proposed in Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton, NJ: Princeton University Press, 1991), chap. 3.

Bars:	1	16	32	40	49	81	91	98	105	112	122	130
Large-scale function:	Exposition								Development			
Inter-thematic function 1:	INT	⇒MT			⇒TR		ST		(Before-the-beginning)	Pre-Core		
Inter-thematic function 2:			MT1	(Before-the-beginning)	MT2	ST⇒TR		(C)				
			ST⇒MT1									
Tonal process:	?	F#+	F#-	?	F#+	F#-	Bb-		?	A-? (D orbit?)	Bb orbit → F# orbit	F#/D(?)/ Bb orbits

Bars:	141	153	172	178	184	194	213	217	230	244
Large-scale function:	Development (cont.)			Recapitulation⇒ Development		Development (cont.)	Recapitulation		Coda	
Inter-thematic function 1:	Core			MT	⇒Core	Breakthrough	(MT)	ST	C	
Inter-thematic function 2:	MT	TR	ST		⇒C					
Tonal process:	F#+	F#-	Bb-	F#+	?	Ab-	F#+	(D+)	F#+	(Eb+) → F#+

Table 3.2   Mahler, Symphony No. 10, Adagio, Formal Synopsis Informed by Hexatonic Tension

Bars: 16   32   40   49   81   91   98

Large-scale Function:

Exposition (Beginning)

Inter-thematic function 1:

MT-group (Beginning)⇐   TR (Middle)⇐   ST (End)

Inter-thematic function 2:

MT1 (Beginning) ST (End) MT1⇐ MT2 (Beginning) ST (End) TR⇐

Intra-thematic function:

beg | mid | end   aft-end⇐   bfb   beg | mid | end   beg | mid | end   beg | mid | end | aft-end

(INT-based)   (clos sec)

engender   engender

Tonal process: F♯+   F♯–   ?   F♯+   F♯–   B♭–

Time:
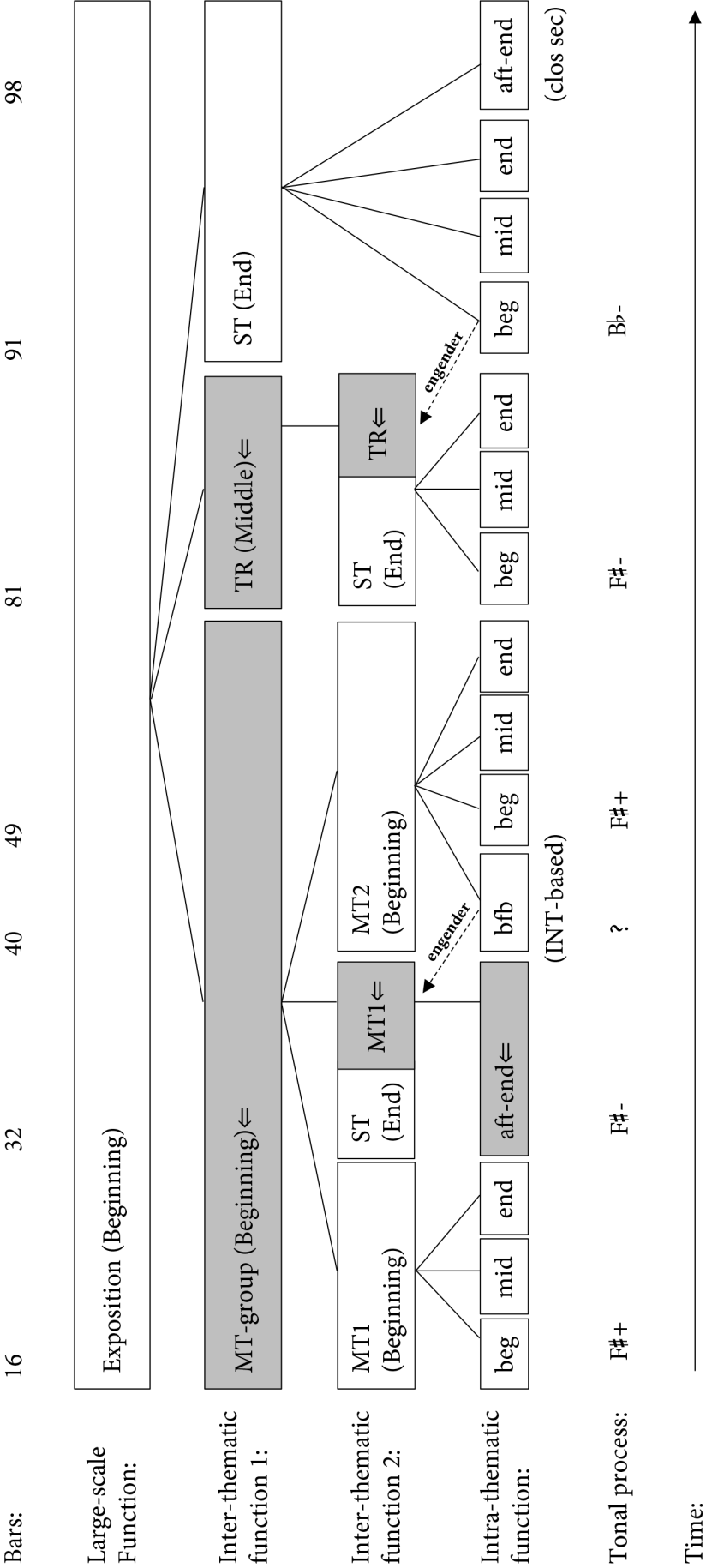
Figure 3.5   Mahler, Symphony No. 10, Adagio, Temporal Functions in the Exposition

group, which performs the 'beginning' function that ensconces the F♯ orbit.[59]

A similar process happens again at the reappearance of F♯ minor (bars 81–90). This F♯ minor area at first presents itself as another subordinate-theme candidate and posits once again modal contrast as the form's source of conflict. Yet this time it initiates an inter-orbital modulation from the F♯ major main theme 1 to the subsequent B♭ minor theme via a PL transformation F♯ minor–B♭ minor, which then institutes the B♭ orbit and proclaims its subordinate-theme function. This attests to another instance of syntactic reversal: the F♯ minor unit assumes the function of a bridge that leads the main-theme group to the subordinate theme at the arrival of the B♭ minor; it exhibits a medial function within the exposition and thus expresses the transition function.[60] The subordinate theme (bars 91–98¹) subsequently establishes the B♭ orbit as an alternative tonic system with the support of its tonic-defining network of harmonies, a procedure which is confirmed by the EEC in bars 96–98¹. This consolidates the B♭ orbit as a competing tonal force against the F♯ orbit, fulfilling the exposition's task to construct the form's fundamental tonal conflict, albeit in a postclassical manner explicated through the model of hexatonic tension.

The expression of formal functions in the subsequent music is also pervaded by the orbital contest. After a second introduction-based 'before-the-beginning', the pre-core distributes its intra-thematic structure across orbits with allusions to the principally inoperative D orbit in a similar fashion to Bruckner's finale; the puzzling references to A minor, E♭ major and E♭ minor in the previous reading can now be elucidated in relation with one of the orbits. This modulatory organisation serves to intensify the orbital conflict, while at the same time adding complexity to the ongoing framework of hexatonic tension—the insinuation of the D orbit does not participate in the orbital conflict, nor is there a substantial interest in the D orbit in the pre-core's tonal-harmonic progression, making it an issue that begs to be addressed in the later part of the movement. The opposition between F♯ orbit and B♭ orbit is reinstated in the core, which retraces the F♯+ – F♯- – B♭- progression that establishes the hexatonic tension in the exposition. This results in a reiteration of the main-theme, transition

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[59] The phenomenon of syntactic regression (denoted by ⇐) is scrutinised in detail in Chapter Six.

[60] This also exhibits another parametric non-congruence in which the presentation of subordinate theme does not align with its functionality.

and subordinate-theme functions within the core, or what might be considered as an abridged developmental rotation in James Hepokoski and Warren Darcy's terms.[61] The interpretation posited here contrasts many that construe this return of main theme as the start of recapitulation.[62] For one thing, the existing analyses often take into consideration the conflation of rondo in the sonata process and favour an understanding that treats the Adagio as a kind of sonata-rondo based on its thematic process rather than foregrounding the tension between the two formal types, the difference of which has a direct bearing on formal demarcation. This thus warrants a closer examination of the Adagio's sonata–rondo interplay to spotlight the way in which its hexatonically driven sonata process collides with an obscured rondo procedure. Exposing such an incongruity would illuminate the inter-thematic design of the development's core, the course within which the form-functional role of the F♯ modal parallelism is also explicated in relation to the broader sonata–rondo conflict.

Figure 3.6 reimagines the Adagio's form as a pseudo-two-dimensional field by incorporating what I call a 'rondo-variation projection' in the Adagio's sonata process.[63] I distinguish between dimensions of sonata and rondo, in which the rondo procedure is conceived as merely a projection that is constantly negated by the sonata process. The rondo procedure suggests an overarching seven-part ABABABA scheme, with couplet 2 functioning as a subordinate-theme complex instead of a development or an interior theme in Caplin's terms.[64] This alternating thematic organisation fuses the qualities of both rondo and variation, constituting a varied formal type 'rondo-variation', as Elaine Sisman describes.[65]

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

[62] I have in mind Bruns, 'Mahler's Motivically Expanded Tonality'; Coburn, 'Mahler's Tenth Symphony'; Floros, *Gustav Mahler*; and de La Grange, *Gustav Mahler*, vol 4, in addition to Kaplan, 'Multi-Stage Exposition'; and Hogrefe, 'The First Movement of Mahler's Tenth Symphony'.

[63] Steven Vande Moortele has a similar formulation with regard to sonata form and potpourri procedure in Romantic overtures. See Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), chap. 3.

[64] Caplin, *Classical Form*, 233–8.

[65] Elaine Sisman, 'Tradition and Transformation in the Alternating Variations of Haydn and Beethoven', *Acta Musicologica* 62, no. 2–3 (1990): 152–82. Rohland describes the variation procedure in the Adagio as 'morphological variation', defined as the variation of a theme's 'shape' (*Gestalt*) rather than its content or character. This understanding also corresponds to Adorno's formulation of Mahler's 'variant' technique. See Rohland, 'Zum Adagio'; and Adorno, *Mahler*. While I agree with Rohland's observation of the Adagio's variation practice, I consider this as a result of the intertwining of the rondo and the variation. I thereby opt for the term 'rondo-variation' instead.

Bars: 1 16 32 40 49 81 91 105 112 141 153 172 178 194 213 217 230 244

Sonata

- INT
- Exposition
  - MT-group⇐
    - MT1
    - MT1⇐ST
    - (bfb)
    - MT2
  - TR⇐
    - TR⇐ST
  - ST (impose)
- Development
  - (bfb)
  - Pre-Core
  - Core
    - MT
    - TR
    - ST (impose)
  - Core ⇐MT
  - clos.⇐
- Development⇐Recapitulation
  - breakthrough
- Recapitulation
  - (MT)
  - ST
  - clos.
- Coda

Rondo-Variation (projection)

- A ⇒A
- A⇐B⁻¹
- A^{0.1}
- ST⇐Interior Theme: B⇐C (B⁻¹-based)
- ⇒B?
- B^{0.1}/A^{0.2} RT? delayed
- A¹ takes over
- ST⇐Interior Theme: B¹⇐C impose
- A²⇔clos. A² clos.⇐
- A² breakthrough
- A^{2.1}
- B²
- A³

Tonal process

? | F#+ | F#- | ? | F#+ | F#- | Bb- | ? | D(?)/Bb/F# orbit | F#+ | F#+ | Bb- | F#+ | Ab- | F#+

Figure 3.6   Mahler, Symphony No. 10, Adagio, Collision of Sonata Form and Rondo-Variation

The rondo-variation's seven-part scheme bears a close resemblance to a sonata-rondo. It is nevertheless 'wrongly matched' on to the sonata's formal functions—the rondo procedure is largely restrained from materialising as a dimension of the form in favour of the sonata process, which constantly nullifies the couplet function and causes the rondo to collapse back into the sonata. The first instance of this occurs with the initial attempt to establish the subordinate theme or couplet 1 (B^{-1}) (bars 32–38). Although new motivic ideas are arguably presented here, they do not supply a distinct inter-thematic function; the two-bar basic idea (bars 32–33) is immediately followed by a dissolving fragmentation (bar 34) that erases its thematic identity. This thematic disintegration, together with the non-contrasting F♯ minor and the syntax-redefining 'before-the-beginning' expounded earlier, deprives the formal unit of the subordinate-theme/couplet 1 function, inducing an MT1⇐ST in the sonata process, or a A⇐B^{-1} in the rondo procedure. The rejection of subordinate-theme/couplet 1 function posits A and $A^{0.1}$ as a refrain 1 theme group, which is yet challenged by the subsequent relaunch of the B^{-1} materials (bars 81–90). This B^{-1}-based formal unit has a stronger thematic demeanour this time, supported by the statement–response intra-thematic organisation. Its thematic resemblance to refrain 1 and the modal change to the parallel F♯ *minore* exhibit qualities of an interior theme, propounding provisionally the couplet-2 (C) function of a sonata-rondo (ABACABA).[66] This in turn suggests a restoration of the repudiated B^{-1} function as a prefigurative theme, an interpretation which is supported by its thematic correspondence to the response (bars 85–90). The interim couplet 2's functionality is however renounced at the arrival of the B♭ minor theme (bars 91–104). While this could be construed as the interior theme's contrasting middle and new consequent (in a small binary), the instigation of hexatonic tension with B♭ minor imposes the sonata subordinate-theme functionality on the formal unit: in the sonata process, the F♯ minor statement–response is reinterpreted as the transition and the B♭ minor theme is considered as a sentential subordinate theme delineated by the EEC; and in the rondo procedure, the corresponding sections function in cooperation as the subordinate-theme complex. The supplanted B^{-1} function thus remains assimilated

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[66] Caplin defines interior theme as the second theme that offers a modal contrast and exhibits a small ternary/binary formal organisation. It occupies a central position in both large ternary form and rondo form. These characteristics distinguish an interior theme from a subordinate theme. See Caplin, *Classical Form*, 212–6, 231–41.

into the A-theme group; and the exposition overall projects the rondo refrain 1 (A) and couplet 1 (B), although this emanates from a series of form-functional transformations.

Similar to refrain 1, couplet 1's functionality is interrupted by an interpolation of a 'before-the-beginning' (bars 105–111) from the sonata process. This brings about a delay in the rondo procedure's form-functional time, in which the retransition that supposedly belongs to couplet 1 is now pushed into the development. Yet this overlaps with the pre-core, resulting in a functional ambiguity where the rondo procedure infiltrates the sonata process: thematically the sonata pre-core presents multiple incomplete units derived from the main theme and the subordinate theme, and harmonically the rondo retransition travels through different orbits in an attempt to modulate back to the home key for the next refrain. This dimensional incongruence engendered by the rondo's form-functional delay subsequently allows it to assume control of the form and thereby 'rescue' the rondo procedure. It takes over the sonata core and injects refrain 2 (A^1) and couplet 2 (C) into the formal process as a corrective to counteract the delay. The effort to establish an interior theme is however annulled again by the sonata's insistence on reinstating hexatonic tension via B♭ minor (bars 172–177). With a retracted couplet 2 that becomes yet another subordinate-theme complex (B^1), the rondo procedure is officially invalidated at this point, turning into a rondo-variation projection that penetrates the sonata process on occasions. The tension between these formal types is spotlighted in the next refrain (A^2). While refrain 3 signals the recapitulation of main theme in a sonata-rondo, the breakthrough obliterates its main-theme functionality, compelling a retrospective interpretation of such as part of the development's core that follows the subordinate-theme reinstitution and claims the function of closing section. This leads to what Nathan John Martin and Steven Vande Moortele theorise as a form-functional oscillation, though it takes place across dimensions in the current situation—the supposedly recapitulatory rondo refrain 3 (A^2) enters into a functional conflict with the sonata closing section as a result of Core⇐MT.[67] The pseudo-two-dimensional field here recalls the formal strategy developed in the first

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[67] Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33, no. 2 (2014): 130–55. See also Chapter One for a reappraisal of their formulation.

movement of Mahler's Ninth Symphony, which also embraces a collision of sonata and rondo. Utilising the hexatonic tension between D and B♭ from the Southern hexatonic cycle, the Ninth's Andante comodo displays a similar formal process as the Tenth's Adagio, in which the initial subordinate-theme candidate in tonic minor is displaced by the return of the introductory idea, followed by the main theme; it is not until such materials redress itself in B♭ major that its subordinate-theme function is rehabilitated.[68] The subsequent relaunch of the introduction in the development comparably triggers a delay in the rondo's form-functional time, causing the rondo procedure to hijack the sonata process that nevertheless maintains its presence via the contest between D and B♭ orbits.[69] These correlations between first-movement forms in the Ninth and the Tenth altogether point to a renewal in Mahler's late symphonic formal practice, in which he experimented with an alternative 'essential sonata trajectory' based on hexatonic tension, which consequently allows him to exploit the characteristics of sonata and rondo and explore the limits of the formal types.

Conceptualising the Adagio by means of hexatonic tension evokes more sonata procedures, in which the tonal tension between main theme and subordinate theme can now be discerned and a transition is restored in the formal process, manifesting characteristics of a sonata form. Although most of the tonal-harmonic activities are reorientated within the F♯ and the B♭ orbits, however, there are still obstacles to completing the sonata process. The A minor materials in the pre-core of the development remain pivotal; they do not participate in the hexatonic tension at all and instead reference the generally non-functioning D orbit, which may hinder the entire sonata reading based on hexatonic tension. Another pressing issue is the treatment of tonal resolution. The A♭ minor breakthrough, spelled enharmonically as G♯ minor, is now conceived as subordinate to the F♯ orbit and can thereby represent the main-theme

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[68] Carl Dahlhaus shares a similar idea that the second thematic presentation of the subordinate theme is a modification of the first one, arguing that the exposition exhibits an 'ABA¹B¹' scheme rather than the 'ABA¹C' plan proposed by Erwin Ratz (1955). Yet Dahlhaus does not take into consideration the movement's tonal procedure and thereby fails to explicate the formal implication of such an arrangement. See Carl Dahlhaus, 'Form und Motiv in Mahlers Neunter Symphonie', *Neue Zeitschrift für Musik*, 135 (1974): 296; and Erwin Ratz, 'Zum Formproblem bei Gustav Mahler: Eine Analyse des ersten Satzes der IX. Symphonie', *Die Musikforschung* 8 (1955): 169–77.

[69] Ratz also points out how the first movement of the Ninth displays qualities of both sonata form and rondo-variation (or double variation in his terms). See *Ibid*.

function that triggers the process of resolution. Nonetheless, despite its success in generating the form's structural cadence (or the ESC, in bars 229–230) in F♯ major, the recapitulatory subordinate theme loses its essence as the resolution of the teleological tonal tension between the main-theme functioned F♯ orbit and the subordinate-theme functioned B♭ orbit. It enters shortly after the four-bar main theme, reclaiming the tonic from the nine-note chord at the end of the breakthrough section (bars 206–208). This twelve-bar recapitulatory subordinate theme falls short of establishing an F♯ major resolution, especially given the four-bar interpolation of D major that seems inclined to insinuate the D orbit. The ESC, being further emphasised by *f* and *sf*, hence seems precipitous and unearned; the entire recapitulation only captures the tonic temporarily following the breakthrough eruption, offloading the burden of resolution to the coda, which, however, gradually dissolves into silence after a short digression to E♭ major in the B♭ orbit, with no belated resolution akin to those in the earlier symphonies such as the first movement of the Sixth.[70] This lack of resolution indicates that the sonata reading of the Adagio is still insecure; the conception of tonal relations may remain as one of 'star clusters' in which none of the keys attains a primary position over the others. While the Adagio aspires to 'become' a candidate for sonata form in full, it calls for a remodelling of the current framework anew; and here is where the concept of breakthrough—an essential syntactic device in Mahler's earlier sonata-form developments—comes into play.

The Breakthrough's Syntactic Critique

The idea of breakthrough permits a re-conception of the hexatonic and diatonic relations that activates the complete sonata process. This notion was first appropriated for analysis in Paul Bekker's reading of the two analogous climaxes in the first and last movements of Mahler's First Symphony.[71] It was through Adorno's highly influential

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[70] See Monahan, 'Success and Failure', 51–2 for an example of belated tonal resolution in the first movement of the Sixth Symphony.

[71] See Kelly Dean Hansen. 'Gustav Mahler's Symphonies (*Gustav Mahlers Sinfonien*) by Paul Bekker (1921): A Translation with Commentary' (PhD diss., University of Colorado-Boulder, 2012), 1–2, 15, 114, 152–3.

book on Mahler, however, that the concept was advanced and popularised as an analytical category. Of the First Symphony, Adorno writes: 'the idea of breakthrough, which dictates the entire structure of the movement, transcends the traditional form while fleetingly sketching its outline'.[72] He considered breakthrough as a temporary suspension of the compositional logic of a work; it is a moment of structural reorientation, or a 'diversion' (*Ablenkung*) from the expected formal trajectory.[73] Situating this interpretation within Adorno's aesthetic system, James Buhler argues that breakthrough is 'an attempt to represent transcendence through immanent means [...] a procedure whereby *what is excluded by an immanent musical logic nevertheless manages to assume musical form*'.[74] In specifically musical terms, Hepokoski sees breakthrough as a 'deformation' of the *Formenlehre* model of sonata form, which embraces 'post-sonata' generic subtypes that are conceived based on the 'prior knowledge of the *Formenlehre* "sonata"'.[75] Diverging from his 2006 formulation of deformation as departure from high classical sonata-generic norms, Hepokoski deems *fin-de-siècle* deformations as a process of 'consciously modifying received formal schemes'; the deformational procedures, which arise in the first half of the nineteenth century, 'are readily perceived as norms' among the liberal-bourgeois modernists including Mahler.[76] Understanding breakthrough as a process of deformational formal modification aligns with Adorno's idea of breakthrough as a deflection. As Hepokoski describes:

> Here an unforeseen inbreaking of a seemingly new (although normally

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[72] Adorno, *Mahler*, 6.

[73] Theodor W. Adorno, 'Mahler (Centenary Address, Vienna 1960)', in *Quasi Una Fantasia*, trans. Rodney Livingstone (London: Verso, 1998), 102–3.

[74] James Buhler, '"Breakthrough" as Critique of Form: The Finale of Mahler's First Symphony', *19th-Century Music* 20, no. 2 (1996): 129–30. Here the terms 'immanent' and 'transcendent' are to be understood together with their respective philosophical connotations. They are two of the three forms of critique generally practiced by philosophy. Immanent critique evaluates a system by the criteria it allegedly set for itself, which involves revealing internal conflict within the system. Transcendent critique assesses a system by the criteria drawing from outside of that system, which involves situating a new system and declaring its superiority over the system under critique. Adorno considers an effective critique a combination of both. See Buhler, '"Breakthrough" as Critique of Form', 129–30, n. 23; also Theodor W. Adorno, 'Cultural Criticism and Society', *Prisms*, trans. Samuel and Shierry Weber (Cambridge, MA: The MIT Press), 19–34, esp. 31. For a discussion of how the idea of breakthrough operates in Adorno's thought, see James Buhler, 'Review of Theodor Adorno, *Mahler: A Musical Physiognomy*; *Alban Berg: Master of the Smallest Link*; and *Quasi Una Fantasia*', *Indiana Theory Review* 15, no. 1 (1994): 139–63. Italics are mine.

[75] James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 5.

[76] *Ibid.*, 5, 7. See also Horton, *Brahms' Piano Concerto No. 2*, 31–7 for a critique of Hepokoski's two conceptions of deformation.

Example 3.1   Mahler, Symphony No. 10, Adagio, Breakthrough (bars 194–212)

motivically related) event in or at the close of the 'developmental space'
radically redefines the character and course of the movement and typically
renders a normative, largely symmetrical recapitulation invalid. The break-
through principle is a notable member of a set of strategies that seek to
avoid a potentially redundant recapitulation.[77]

In short, breakthrough is an unanticipated, sudden event diverging from the norma-

tive formal procedure in or at the end of the development, where the work's formal

logic is temporarily suspended and what seems to have excluded by such a logic now

assumes the form, which subsequently leads to an asymmetrical, much reduced reca-

pitulation.[78]

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[77] Hepokoski, *Sibelius*, 6.

[78] Rothkamm shares a similar idea that the breakthrough deflects from the sonata process. See Roth-
kamm, *Gustav Mahlers Zehnte Symphonie*, 100.

Example 3.1   Mahler, Symphony No. 10, Adagio, Breakthrough (bars 194–212) (*cont.*)

Although the breakthrough principle is not unfamiliar in Mahler's sonata movements, it operates afresh in the Adagio, as presented in Example 3.1.[79] While the sonata procedure based on hexatonic tension takes charge as the governing logic of the Adagio, the A♭ minor outburst in bars 194–212 appears as a breakthrough that temporarily suspends this ongoing formal process. It breaks open the form's hermeneutically sealed world and pushes for a structural reorientation. Nevertheless, in departure from Mahler's earlier sonata movements, the breakthrough here does not merely rescue the failed recapitulation and help regain the tonic; rather, it transcends and overturns the relationship between diatonic and hexatonic tonalities in the Adagio—*the hexatonically related orbits with independent diatonic systems are turned into diatonically*

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[79] Notable examples include the first and last movements of the First Symphony and the second movement of the Fifth Symphony, which will be discussed shortly.

functional regions with respective hexatonic relations. This peculiar operation is enabled by the hermeneutic and aesthetic force of the breakthrough, whereby it signifies transcendence, an impression reinforced by the deployment of a chorale, which implies an intervention from outside.[80] Following Adorno and Buhler, the moment of transcendence indicates a critique that evaluates the formal system using a set of criteria coming from outside of that system, which also involves 'positioning a new system and asserting its superiority over the system under critique'.[81] The immanent musical logic—in our case, the sonata procedure based on hexatonic tension—thus gives way to the new system brought by the transcendent critique; this enables what is excluded by such a logic to assume the form, pointing to how the work might have proceeded otherwise than it did.[82] The transcendent critique initiated by the breakthrough exposes what might be otherwise; yet it is essential for the new system to be established within the constraints of the immanent sonata logic that upholds the entire formal process. How then, does this system operate alternatively while remaining consistent to the sonata logic?

An understanding of the new system engendered by the breakthrough requires an understanding of what is excluded by the sonata logic. As illustrated earlier, only with a hexatonic orbital conception of tonal relations one can discern the sonata procedures in the Adagio; the hexatonic system hence serves as the engine that drives the sonata logic. The diatonic system drawing on a solar tonal conception is thereby excluded as the sonata's chief teleological force; diatonic relations are only deployed in support of the hexatonic orbital contest. Yet the breakthrough precipitates transcendent critique and overturns the tonal realm. The grand statement of A♭ minor spotlights the diatonic collections that might otherwise have informed the entire tonal universe. This alternative tonal conception assumes the burden of musical form, inverting the tonal hierarchy between hexatonicism and diatonicism in which the diatonic system

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[80] See Buhler, '"Breakthrough" as Critique of Form', 126–8, esp. 127.

[81] *Ibid.*, 129, n. 23.

[82] Following Buhler, this concept of breakthrough is in line with Adorno's ideas on dialectics in general: 'Dialectical thought is an attempt to break through the coercion of logic by its own means. But since it must use these means, it is at every moment in danger of itself acquiring a coercive character: the ruse of reason would like to hold sway over the dialectic too'. See Theodor W. Adorno, *Minima Moralia: Reflections from Damaged Life*, trans. E. F. N. Jephcott (New York: Verso, 2005), 150; cf. Buhler, '"Breakthrough" as Critique of Form', 30, n. 24.

northern

ii - breakthrough

A♭+/A♭-

E+/E-

C+/C-

reinterprets

IV	**I**	**V**
B+/B-	F♯+/F♯-	C♯+/C♯-
G+/G-	D+/D-	A+/A-
E♭+/E♭-	B♭+/B♭-	F+/F-

western   southern   eastern
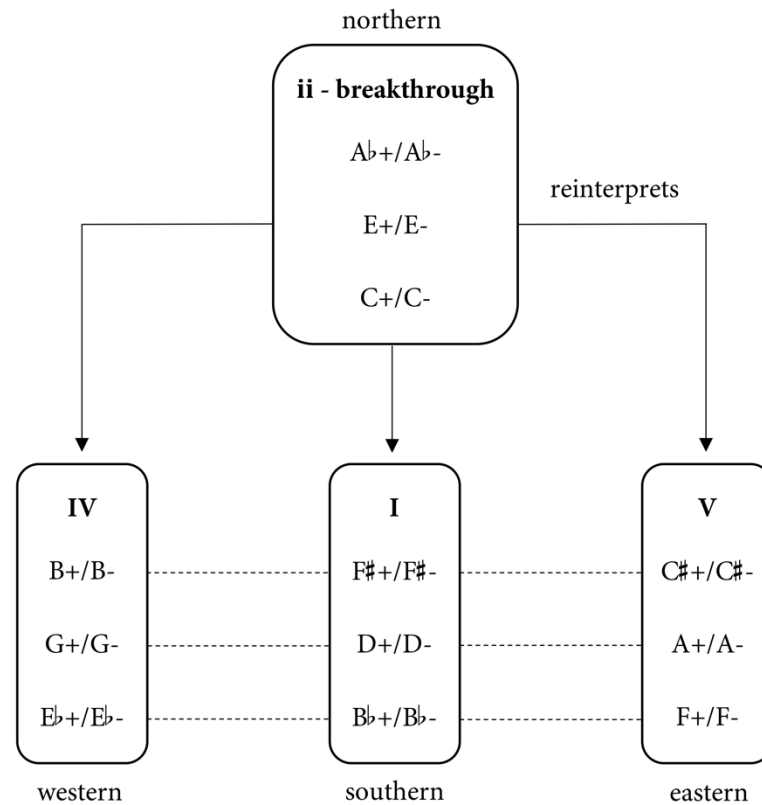
Figure 3.7   Mahler, Symphony No. 10, Adagio, Hexatonic Relations in Diatonic Systems

becomes the primary tonal principle that embraces a nexus of hexatonically related keys: diatonicism asserts superiority over the hexatonic system under critique. As Figure 3.7 presents, the four hexatonic cycles are now related by diatonic relations, given F♯ major as the tonic. Each of the cycles is ascribed to different harmonic functions of I, IV and V, with ii being segregated as a breakthrough space that signifies transcendence. Any of the tonal-harmonic areas within an individual cycle can represent the same harmonic function based on the principle of substitution. In such a way, the diatonic system together with its dependent hexatonic networks comes to term with the constraints of a suspended sonata logic that depends upon a central unifying tonic, recalling the normative classical formal practice stemming from the late eighteenth century.

This imposition of an external, opposing agent as transcendence finds its intertextual reference in the works of Schumann and Bruckner. The unprepared breakthrough shows a parallel to the return of the opening motto in the elision of development and recapitulation (bars 290–316) from the first movement of Schumann's First

Symphony, which Mahler conducted on numerous occasions and re-orchestrated during the early 1900s.[83] Having transformed into a symphonic main theme, Schumann's opening motto relaunches in its initial form as a poetically motivated fanfare, functioning as a triumphant breakthrough that overwrites the main theme's expositional statement and response phrases in the formally elided section.[84] According to Horton, this reassertion of the motto fanfare calls the main-theme transformation into question and reveals 'the tension between lyric and dramatic impulses as a recapitulatory crisis'.[85] While the forceful turn to D minor (bars 310–316) in the breakthrough also signifies a compromise of the recapitulation's task of recovering the tonic, the motto fanfare reappears in the B♭ major tonic in the coda (bars 484–490) to rescue the sonata process, revealing the lyric-inspired fanfare as the ultimate resolution of dramatic symphonic obstacles. Brucknerian breakthroughs, as Robert Hatten points out, serve a similar expressive purpose, in which they often utilise musical topics or tropes and unanticipated tonal shifts to address the impediment of the formal process at the crux of development.[86] As with the finale of the Fourth Symphony (1880 version), the imposition of the climactic brass chorale (bar 322–337, based on the main-theme material) on the development transforms the negativity of the expositional E♭ minor main theme (bars 43–49), which is inflected with the Phrygian ♭$\hat{2}$, and the tenacious ♭$\hat{6}$ emanated in the first movement.[87] The ethereal chorale aspires to rectify the disjunctive

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[83] Mahler's re-orchestration shows that he did pay close attention to Schumann's symphonies. De La Grange declares that Mahler admired Schumann's symphonies greatly and was surprised by the fact that Wagner did not understand these 'marvellous' works. See Henry-Louis de La Grange, *Mahler*, vol. 1 (New York: Doubleday, 1973), 499. For a summary of Mahler's modifications of Schumann's First Symphony, see Veronica Mary Franke, 'Mahler's Reorchestration of Schumann's "Spring" Symphony, Op. 38: Background, Analysis, Intentions', *Acta Musicologica* 78, no. 1 (2006): 75–109, esp. 81–109. Hepokoski otherwise considers the first movement of Schumann's Fourth Symphony as one of the prominent 'roots' of the breakthrough principle, see Hepokoski, *Sibelius*, 6.

[84] See John Daverio, *Robert Schumann: Herald of a New Poetic Age* (New York: Oxford University Press, 1997), 232.

[85] Julian Horton, 'Analysis and Value Judgement: Schumann, Bruckner and Tovey's Essays in Musical Analysis', in *British Musical Criticism and Intellectual Thought, 1850–1950*, eds. Jeremy Dibble and Julian Horton (Woodbridge: The Boydell Press, 2018), 136.

[86] Robert Hatten, 'The Expressive Role of Disjunction: A Semiotic Approach to Form and Meaning in the Fourth and Fifth Symphonies', in *Perspectives on Anton Bruckner*, eds. Crawford Howie, Paul Hawkshaw and Timothy L. Jackson (Aldershot: Ashgate, 2001), 146–7.

[87] The complex personal and musical relationship between Mahler and Bruckner is scrutinised in Benjamin Korstvedt's analysis of the changes Mahler made to Bruckner's Fourth Symphony in his performing scores. As Korstvedt suggests, Mahler had thoroughly reworked the Finale of Bruckner's Fourth Symphony, and interestingly, struck out the central section of the development (bars 295–384) that

♭$\hat{6}$ by injecting a C major cadence in bars 328–329 and discharging the Phrygian ♭$\hat{2}$ through a cadential progression that drives towards the victorious E♭ major. Although the potential E♭ major cadence in bars 335–336 is undermined by a chromatic redirection to E major, the utilisation of the chorale topic installs the quality of transcendence into the negated main theme, propounding the idea of transfiguration that is eventually earned in the coda with a Phrygian descent from ♭$\hat{6}$ in the bass through ♭$\hat{2}$ to $\hat{1}$ (bars 525–535) as an ultimate resolution leading up to the brilliant E♭ major ending.[88] In Brucknerian sonata developments, the breakthrough henceforth functions not only as an expressive device precipitating an exalted moment of retreat or a climatic intrusion that turns around the music's negativity, but also, more importantly, as an essential structural watershed signifying a formal change from a process of destabilisation to a quest for resolution.

The use of topics/tropes in conjunction with an unexpected tonal move postulates a kind of breakthrough syntax that is peculiar to the nineteenth century; this has become part of the Austro-German stylistic tradition from which Mahler drew. The exemplary breakthrough in the development of the finale of the First Symphony (bars 375–428), for example, plunges into an immediate D major triumph from the resistive C-minor main theme (F minor in exposition) that denied the previous breakthrough attempt in C major (bars 290–316). The ascendancy of positivity is secured by the full launch of the fanfare-chorale trope over the march-like rhythm in the bass, which subdues the preceding funeral-inspired tropes of dance and march. This early success foreshadows the final breakthrough (bars 623–731, also in D major) that fails to achieve the F-minor formal resolution and yet transfigures the turmoil of the multi-movement narrative built upon D; as Mahler wrote, this solution is 'merely apparent (in the full sense a "false conclusion"), and a change and breaking of the whole essence is needed before a true "victory" can be won after such a struggle'.[89] Similarly, in the

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contains the breakthrough. See Benjamin Korstvedt, 'Mahler's Bruckner, Between Devotion and Misprision', *Journal of the American Musicological Society* 70, no. 2 (2017): 357–432.

[88] For detailed analyses of Bruckner's usage of disjunctions in relation to formal process, see Hatten, 'The Expressive Role of Disjunction'; also Warren Darcy, 'Bruckner's Sonata Deformations', in *Bruckner Studies*, eds. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press), 256–77 for a categorisation of Bruckner's formal/dramatic trajectories.

[89] Herta Blaukopf, ed., *Gustav Mahler-Richard Strauss: Correspondence 1888–1911* (Chicago: University of Chicago Press, 1996), 37. Here I adopted Buhler's translation in Buhler, "Breakthrough" as Critique of Form', 126. This victory is however a qualified one, because the key of the main theme has to

second movement of the Fifth, the D-major breakthrough (bars 464–519) in the reca-pitulation encroaches on the formal process in order to recover from the sonata form's failure to establish an A-minor tonic ESC in the subordinate theme, and also to func-tion as what Adorno calls a 'celestial apparition' of the glorious D-major finale.[90] This premonition projects the victorious vision by invoking the brilliant style in the strings (characterised by constantly ascending motion) and the chorale in the brasses, which manifests a sharp contrast to the preceding lament descending tetrachords and in turn generates expressive meaning.[91]

On top of the unanticipated, alien tonal shift, the Mahlerian breakthrough is thus also characterised by a rift in the topical discourse, a situation where a group of topics forcibly replaces the existing group and demands hermeneutic reorientation.[92] In the first movement of the Tenth, the chorale in the woodwinds and the brasses, as well as the brilliant-style runs in the strings shows a complete incongruity with the ongoing topical discourse in the Adagio. Characterised by Margaret Notley as a con-dition in which melodic process prevails over formal articulations and distorts the so-nata conception, the preceding *unendliche Melodie*, being an essential quality of the late nineteenth-century Adagio, is superseded by the trope of chorale and brilliant style in the breakthrough; together they signify transcendence of the stylistic tension be-tween sonata form and the Adagio.[93] Intruded upon by the grandiose chorale and bril-liant runs, the originally elevated Adagio is forced to address its other identity as a

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be sacrificed to achieve it.

[90] Adorno, *Mahler*, 12. See also Monahan, 'Success and Failure', 45–8 for further discussion on the breakthrough in relation to the formal expression in the First's finale and the Fifth's second movement.

[91] The lament style is being theorised as a schematic descending tetrachord by Caplin, in which he also relates the lament schema to formal functions. See William E. Caplin, 'Topics and Formal Functions: The Case of Lament', in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 415–52.

[92] Cecchi formulates topical transformation ('secondary parameter' in his terms, following Agawu) in a similar way drawing on Ernst Kurth's 'energetic' theory of form and Adorno's material analytical cate-gories. He also construes the breakthrough as the highpoint in the topical discourse in Mahler's First Symphony. See Alessandro Cecchi, 'Forming Form Through Force: Bruckner, Mahler, and the Struc-tural Function of Highpoints', in *Rethinking Mahler*, ed. Jeremy Barham (New York: Oxford University Press), 85–104, esp. 96–101.

[93] Notley's characterisation of the Adagio as a particular stylistic expression indicates its topical signif-icance: 'many nineteenth-century musicians appear to have regarded Adagio less as an example of a formal type than as a work grasped more basically a tempo or texture, as an Adagio—that also happened to be in a modified sonata form. The Adagio often seems to constitute an elevated genre unto itself, distinguished not only by its tempo but also by its melodic style and quality of expression'. See Margaret Notley, 'Late-Nineteenth-Century Chamber Music and the Cult of the Classical Adagio', *19th-Century Music* 23, no. 1 (1999): 35, 37–8.

first-movement sonata form, demanding a response to the question 'Who am I?' that Adolf Bernhard Marx considered as essential to the Adagio slow movement.[94] Along with the perturbing A♭ minor, the deployment of the transcendent trope indicates the breakthrough's hermeneutic significance to deal with the obstacles in the formal process and rescue the sonata procedure. By swapping the *unendliche Melodie* for the transcendent trope and reverting to a chiefly diatonic system, the music pronounces a hermeneutic perspectival shift towards a concealed agent—that is, the diatonic sonata first movement. The hermeneutic demand engendered by the transcendent trope thereby enables the inversion of the tonal hierarchy, which fully annexes the double-hierarchical tonal structure to the immanent sonata logic and in turn upholds the ongoing formal operation, circumventing a complete failure of the sonata process. In such a way, the tonal-hierarchical reversal avoids what Hepokoski might possibly consider as a non-resolving recapitulation as propounded by the D major elicitation in bars 221–224; this allusion to submediant, together with the much truncated main theme, would otherwise posit an unearned ESC in bars 229–230 and offload the generic responsibility of tonal closure to a functionally enhanced coda outside of the so-called 'rhetorical sonata-space', as in the renowned example of the *Egmont* Overture.[95]

The overturned system induced by the transcendent breakthrough addresses the persisting problem of tonal resolution and the peculiar D-orbit allusion engendered by A minor and E♭ major in the pre-core of the development (see Figure 3.2). While the arrival of the breakthrough signals a transcendent suspension of the ongoing formal logic, the A♭ minor section turns aside from the hexatonic tension and relocates to the northern system in the hexatonic cycles, distancing itself from the southern orbital constellation. This generates a moment of crisis, in which the breakthrough is disconnected from the continuing orbital contest in the southern system, which nevertheless solicits the intrusion of hermeneutics. Thanks to the transcendent critique that admits diatonicism as the primary tonal principle, the breakthrough now stands

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[94] Adolf Bernhard Marx, *Ludwig van Beethoven: Leben und Schaffen*, vol. 1 (Berlin: Verlag von Otto Janke, 1859). See also Notley, 'Late-Nineteenth-Century Chamber Music', 35.

[95] The concept of non-resolving recapitulation as a sonata-deformational procedure was first proposed in Hepokoski, *Sibelius* and culminated in James Hepokoski, 'Back and Forth from *Egmont*: Beethoven, Mozart, and the Nonresolving Recapitulation', *19th-Century Music* 25, no. 2–3 (2001): 127–54, where Hepokoski considers the rhetorical and hermeneutic issues of the concept and systematically categorises different types of nonresolution.

in the northern system and overturns the tonal hierarchy between hexatonic and diatonic relations: it reinterprets the hexatonic relations in the movement retrospectively in diatonic terms in the fashion of functional reinterpretation.

To recall the formulation in Chapter One: form-functional reinterpretation is defined as the situation where the initial formal function is brought into a dialectical process with a second function, which prevails at the end as the epistemological priority of the formal unit.[96] Appropriated for describing the transformation of a triad's 'harmonic-syntactic function'—by which I mean the ability for a triad to behave according to both hexatonic syntax (voice-leading parsimony) and diatonic syntax (scale-degree tendency) depending on the context—I propose a concept of 'tonal-syntactic functional reinterpretation' to address large-scale tonal-syntactic transformations as comparable to form-functional reinterpretation. This notion of harmonic-syntactic function has its root in different formulations of transformational theory as well as theory of chromatic harmony in general. As early as in 1920, Ernst Kurth suggested the possibility 'to hear one and the same phenomenon in two and more ways', which Romantic composers exploited.[97] With a similar perspective, recent theorists of chromatic harmony have made subsequent attempts to develop a geometry capable of modelling both hexatonic and diatonic tonal spaces simultaneously evoked in 'one and the same' triad. Hyer, for instance, presents a convertible *Tonnetz* that connects each triad to its L, P and R (relative) associates, as well as to its modally matched fifth to account for both hexatonic and diatonic hearings of triadic relations.[98] Steven Rings otherwise discards this distinction; he mobilises Lewin's Generalised Interval Systems (GIS) in his theorisation of 'oriented (transformational) networks' in order to model all diatonic and chromatic tonal relationships.[99] These approaches culminate in Cohn's concept of double syntax, which draws on the linguistic practice of code-switching to explain the alternation between hexatonic and diatonic syntaxes. Following Patrick McCreless's evolutionary postulate that a triad is preadapted for a second

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[96] See also Martin and Vande Moortele, 'Formal Functions and Retrospective Reinterpretation', 148.

[97] Ernst Kurth, *Ernst Kurth: Selected Writings*, ed. and trans. Lee A. Rothfarb (Cambridge: Cambridge University Press, 1991), 134. This idea of alternative hearings can again be traced back to nineteenth-century dualistic harmonic theories, which bore on Hermann von Helmholtz's physiological and acoustic findings. See Klumpenhouwer, 'Dualist Tonal Space and Transformation'.

[98] Hyer, 'Tonal Intuitions'.

[99] Steven Rings, *Tonality and Transformation* (New York: Oxford University Press, 2011).

role, Cohn argues that 'triads are preadapted to play the role of voice-leading optimiz-ers by virtue of their near-evenness, which manifests in both diatonic 7-space and chromatic 12-space'[100]—that is to say, the consonant triad, while exploiting its voice-leading properties according to the principle of parsimony (the extent varies in hex-atonic and diatonic spaces), can thereby subscribe to different harmonic-syntactic functions through lexical transformation.

Cohn strove, in his 2012 monograph, to demonstrate double syntax as inherent in the consonant triad's two natures; his formulation hence emphasises voice-leading efficiency as characteristic of chromatic harmony, or the triad's 'second nature'. The idea of double syntax, however, posits the concomitance of two completely different conceptions of tonal hierarchy. When the music is encapsulated by diatonicism, chro-matic tones function with respect to diatonic ones, which are orientated towards the triadic tones controlled by the ultimate tonic; this hierarchy is represented by the ex-pression 'chromatic (12+) → diatonic (7) → triad (3) → tonic (1)', in which the paren-thesised numbers refer to cardinality. While chromaticism takes charge of the pitch collection, the entire order flips; each individual tone is orientated towards the triad of which it is a constituent, which functions with respect to the chromatic collection, as captured by the expression 'chromatic (12) ← triad (3) ← tone (1)'.[101] This arrow rever-sal, as Cohn admits, indicates a complete reversal of all of the relations of subordina-tion, causality and orientation, and thus manifests two utterly distinct tonal-hierar-chical constructions that seem arduous to reconcile. Although Cohn attempts to ad-dress their discrepancy by foregrounding the triad's role as voice-leading optimiser, the coexistence of diatonic and chromatic syntaxes may at best remain at a local level. As Lewin explicitly declares, while 'the two spaces may coexist locally without appar-ent conflict', *the nature and logic of Riemannian tonal space are not isomorphic with the nature and logic of scale-degree space* [...] they are essentially different objects and relations, embedded in an essentially different geometry'.[102] Taken as a global tonal-

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[100] Cohn, *Audacious Euphony*, 206. See also Patrick McCreless, 'An Evolutionary Perspective on Nine-teenth-Century Semitonal Relations', in *The Second Practice of Nineteenth-Century Tonality*, eds. Wil-liam Kinderman and Harald Krebs (Lincoln, NE: University of Nebraska Press, 1996), 87–113.

[101] Cohn, *Audacious Euphony*, 204.

[102] David Lewin, 'Amfortas's Prayer to Titurel and the Role of D in "Parsifal": The Tonal Spaces of the Drama and the Enharmonic C♭/B', *19th-Century Music* 7, no. 3 (1984): 345.

syntactic phenomenon, the idea of double syntax is confronted with the issue of coherence if we are to consider it in sonata form; the prioritisation of tonic closure, represented by the ESC, and thereby the tonic-predicated tonal hierarchy, makes the conflation of diatonic and chromatic spaces inoperable in a large-scale formal context.

In the Adagio, the form-syntactic prioritisation of diatonicism over chromaticism as the global logic of the sonata-tonal space hence necessitates a tonal-syntactic functional reinterpretation—precipitated by the breakthrough—that reorientates the 'Riemannian tonal space' to the alternative 'nature and logic of scale-degree space' in order to accommodate the movement's sonata design. Before the breakthrough, the music is controlled by a chromatic triadic practice, the purest form of which is hexatonicism. Reappraising its double-hierarchical tonal structure using Cohn's directional expression, the hexatonic system in the pre-breakthrough space is denoted by chromatic (12) ← triad (3) ← tone (1) and its subordinate diatonic networks is represented by tonic (1) ← triad (3) ← diatonic (7) ← chromatic (12); together they generate a chromatically orientated double tonal hierarchy, which is symbolised as chromatic (12) ← triad (3) ← tone (1) | tonic (1) ← triad (3) ← diatonic (7) ← chromatic (12+). The A♭ minor breakthrough, being a significant formal event that segregates from the ongoing hexatonic space, subsequently enacts a process of tonal-syntactic functional reinterpretation, whereby the two levels in the double tonal hierarchy invert: the chromatically orientated double tonal hierarchy becomes a diatonically orientated double tonal hierarchy and the tonic assumes control of the pitch collection, reordering the hierarchical relations as tonic (1) ← triad (3) ← diatonic (7) ← chromatic (12+) | chromatic (12) ← triad (3) ← tone (1), as illustrated in Figure 3.8.[103]

This process of tonal-syntactic functional reinterpretation converts the hexatonic orbital systems back to Cohn's diatonic functional regions.[104] Under such a conception, the A minor and E♭ major passages that are previously denied any association

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[103] This inversion is possible because a diatonically orientated tonal structure is also highly chromaticised in a dualistic tonal system. See Kofi Agawu, 'Extended Tonality in Mahler and Strauss', in *Richard Strauss: New Perspectives on the Composer and His Work*, ed. Bryan Gilliam (Durham, NC: Duke University Press, 1992), 55–75 for examples of a diatonically orientated tonal structure with a highly chromaticised foreground. Some other non-sonata-form examples from the *fin de siècle* nevertheless postulate a chromatic background. See Deborah J. Stein, *Hugo Wolf's Lieder and Extensions of Tonality* (Ann Arbor, MI: UMI Research Press, 1985).

[104] Cohn, 'As Wonderful as Star Clusters'.

	hexatonic orbit	*diatonic region*
		tonic (1)
is heard in terms of	chromatic (12)	triad (3)
is oriented towards	triad (3)	diatonic (7)
functions with respect to	tone (1)	chromatic (12+)
	tonic (1)	chromatic (12)
is generated/controlled by	triad (3)	triad (3)
is hierarchically subordinate to	diatonic (7)	tone (1)
	chromatic (12+)	
	diatonic system	*hexatonic relations*
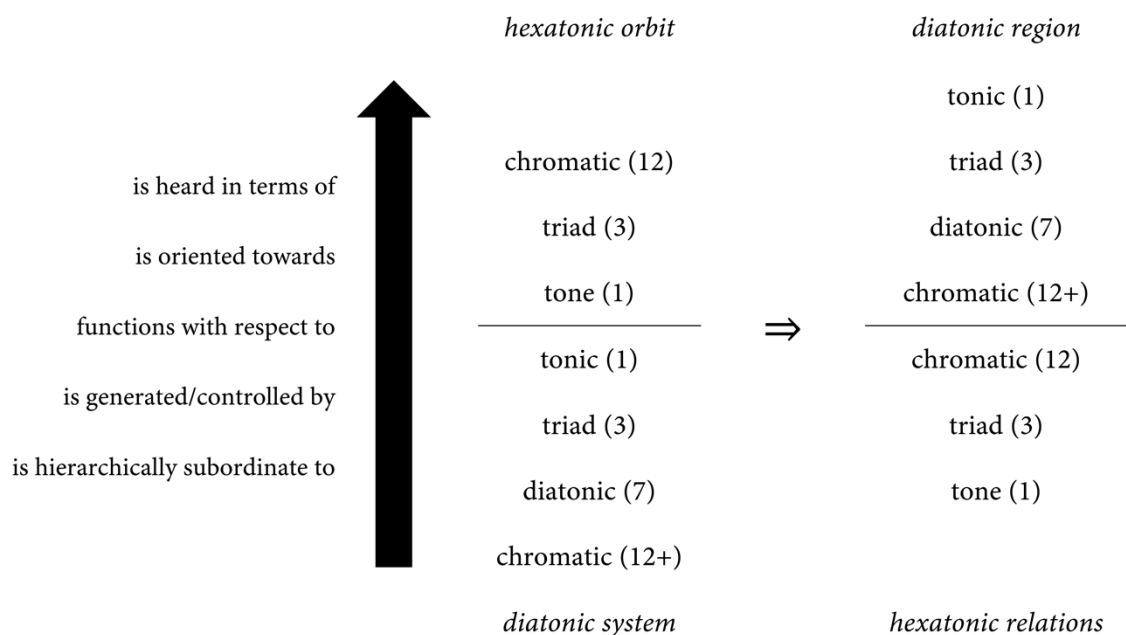
Figure 3.8   Mahler, Symphony No. 10, Adagio, Tonal-Syntactic Functional Reinterpretation

with form-driving orbital opposition now claim respectively the dominant and the subdominant functions and are legitimatised as part of the formal-tonal process (see Figure 3.7). The hexatonic tension is also transcended in this process of tonal-syntactic functional reinterpretation; the F♯ and B♭ that constitute the centres of the main-theme/subordinate-theme dualism are reorientated to the southern system, which represents the tonic function and thereby signifies a resolution of the ongoing hexatonic tension. The disengagement from hexatonic tension is validated by the breakthrough's final nine-note outburst in bars 206–208 (see Example 3.1), or what I would refer to as the *Augenblick*, which consists of superimposed thirds that add up to dominant ninths of F♯ and B♭: the combined dominants foreground the F♯–B♭ conflict while simultaneously spotlighting their tonic-defining diatonic dominant relations; this projects the tonic-functioning region as the musical home, which consequently allows the hexatonic relations to be reconstructed in diatonic terms.[105] The reconceptualisation of tonal hierarchy triggered by the breakthrough hence fulfils the generic

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[105] On the concept of *Augenblick*, see Chapter Two. The dialectical implications of this tension between chromatic and diatonic syntaxes will be scrutinised in Chapter Four. Kaplan, 'The Interaction of Diatonic Collections' and Agawu, 'Tonal Strategy' share the same interpretation of this nine-note chord. They have also recognised the exposure of the F♯–B♭ conflict but have yet to address its relation to a diatonic functional resolution. Such a polytonal phenomenon is understood by both Daniel Chua and

expectation of rendering a proper resolution—though in a very different way—and removes the obstacles to completing the sonata process. In other words, the Adagio officially becomes a sonata movement by means of the breakthrough.

While the breakthrough finally confirms a sonata reading of the Adagio, it also has formal ramifications for the subsequent music. As Hepokoski describes, the breakthrough 'typically renders a normative, largely symmetrical recapitulation invalid' in an attempt to 'avoid a potentially redundant recapitulation'.[106] The Adagio is no exception. The remodelling of the F♯–B♭ polarity to tonic function discards the burden of the recapitulation to produce a tonal resolution. The recapitulation thus appears on a much condensed scale (31 bars) compared to the exposition (112 bars). It cannot and does not have to restore the balance required by the sonata design, as explained in Adorno's account of the first movement of Mahler's First Symphony:

> The recapitulation to which it [the breakthrough] leads cannot restore the balance demanded by sonata form. It shrinks to a hasty epilogue. The young composer's sense of form treats it as a coda, without thematic development of its own; the memory of the main idea drives the music swiftly to its end. But the abbreviation of the recapitulation is prepared by the exposition, which dispenses with multiplicity of forms and the traditional thematic dualism and so needs no complex restitution.[107]

After the breakthrough reinterpretation, the hexatonic progression in the exposition can be construed as shifting within the tonic-functioning southern system. This thereby dispenses with the traditional tonal dualism and demands no complex reprise, but rather an abbreviated recapitulation. With the hexatonic tension being transcended, the recapitulation serves only to confirm the tonal resolution and complete the leftover tasks of the sonata trajectory. The recapitulatory subordinate theme is no

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Kenneth Smith—in relation to their respective studies of the *Rite of Spring* and Skryabin's piano music—as an act of deterritorising the implied tonalities from their original context. The combined dominant ninths here could also be interpreted in such a way, in which the polytonal chord detaches itself from the existing context of the F♯–B♭ hexatonic tension. This again points to a reorientation of tonal relationships. See Daniel K. L. Chua, 'Rioting with Stravinsky: a Particular Analysis of the Rite of Spring', *Music Analysis* 26, no. 1–2 (2007): 73; and Kenneth M. Smith, '"A Science of Tonal Love?" Drive and Desire in Twentieth-Century Harmony: the Erotics of Skryabin', *Music Analysis* 29, no. 1–3 (2010): 244–5.

[106] Hepokoski, *Sibelius*, 6.

[107] Adorno, *Mahler*, 6, 13.
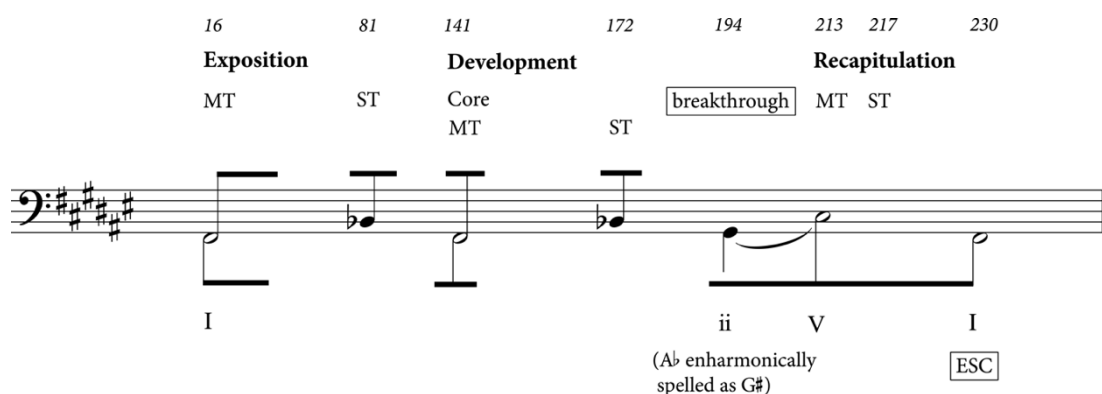
Figure 3.9   Mahler, Symphony No. 10, Adagio, Large-Scale Bass Diagram

longer required to offset the F♯–B♭ tension. Rather, it stabilises the tonic earned as an outcome of the unexpected transcendent breakthrough and carries out the central generic task of the sonata, that is, producing the ESC in F♯ major (bars 229–230). That said, the F♯+ – D+ – F♯+ progression across the recapitulatory main theme and subordinate theme syntactically retraces the F♯+ – F♯- – B♭- arrangement that establishes the hexatonic tension in the exposition, exhibiting a rhetorical gesture of tonal resolution (see Figure 3.2); while the evocation of the tonic-functioning D major recalls the D-orbit reference, the revamp of the B♭ minor subordinate theme in F♯ major, secured by the ESC, alludes to a tonal resolution analogous to that in a classical sonata form. This evinces the Adagio's structural diatonic background: as Figure 3.9 illustrates, the bass motion from the beginning leading up to the ESC can be construed as underpinning a large-scale I–ii–V–I progression, where the F♯ major tonic depends initially upon its hexatonic relations as the teleological agency and later recovers its diatonic association via the supertonic A♭/G♯ minor breakthrough. The subsequent nine-note chord then initiates a dominant prolongation with its C♯ bass and this is eventually resolved to the tonic at the arrival of the ESC. The coda launches with a last-minute manifestation of the E♭ major subdominant substitution, suggesting a plagal gesture that affirms the transcendent resolution. It thereafter prolongs the tonic harmony and ends the movement with a genuine cadential closure, which then dissolves into silence.

The intrusion of hermeneutics brought about by the breakthrough sets itself apart from the ongoing sonata procedure and creates a unique space that allows non-sonata operations to take place—the breakthrough thereby assumes the formal func-

tion as a locus of syntactic reappraisal. In the Adagio, the breakthrough permits a ret-rospective reinterpretation of hexatonic relations in diatonic terms, which secures a tonal resolution for the hexatonic tension; the diatonic system takes charge as the pri-mary tonal principle of the Adagio and this rescues the non-resolving hexatonic sonata process. In short, the breakthrough 'motorises' the sonata process: the Adagio only becomes a sonata movement in its entirety after undergoing the breakthrough's syn-tactic critique. This idea of breakthrough as a structural turning point retraces the for-mal syntax characteristic of early Mahlerian developments, albeit in an unorthodox manner. As Adorno describes, the enactment of the transcendent vision within the breakthrough itself causes the whole piece to orientate towards it, resulting in 'some-thing new' in the reprise that it evokes.[108] In the Adagio, the diatonic ideal is activated within and through the breakthrough, engendering a reorientation of the tonal hier-archy and a much condensed recapitulation. This realisation of the ideal corresponds to what a Mahlerian breakthrough typically renders, which therefore manifests a con-tinuity in Mahler's formal logic.

Towards a Model

The Adagio presents a case whereby the sonata process is discerned in an entirely un-conventional manner. Appropriating a hexatonic collection as the source of large-scale tonal relationships, the Adagio displays the potential of a hexatonically orientated con-ception of sonata form propounded in the model of hexatonic tension. Founded upon the chromatic tonal space, this sonata process corresponds to Cohn's proposition that the music framed by classical cadences may not be coherently tonal, for which he refers to Abbate's analysis of Wotan's monologue from *Die Walküre*, where 'cadence points are detached from the musical matter that they punctuate'.[109] Such a formulation, however, is confronted with the sonata design that takes root in the diatonic collection, which prioritises tonic closure as the music's central generic task. The tension between

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[108] *Ibid.*, 12–3.

[109] Richard Cohn, 'Introduction to Neo-Riemannian Theory: A Survey and a Historical Perspective', *Journal of Music Theory*, 42, no. 2 (1998): 169; Abbate, *Unsung Voices*, 192.

hexatonicism and diatonicism culminates in the breakthrough, in which its philosophical connotation, tonal alienation and topical discourse all point towards a formal function of structural reorientation: it enacts the process of tonal-syntactic functional reinterpretation and overturns the hierarchical relationship between hexatonicism and diatonicism. Since the pitch collection is reorientated towards the ultimate tonic after the breakthrough, sonata form's generic task of producing an ESC can then be fulfilled; this in turns converts the potential candidate of hexatonic sonata form into a special kind of diatonic sonata form. In sum, the Adagio begins as a hexatonic sonata form and ends as a diatonic sonata form; the formal process is housed under the all-in-one concept of 'form coming into being', which is brought to the fore by the breakthrough.[110]

Although the Adagio fails to testify to a coherent, complete model of hexatonic sonata form, it reveals the conflation of hexatonicism with large-scale key relationships as a common tonal practice in music at the *fin de siècle*, which in turn attests to the methodological limitations of the diatonically orientated new *Formenlehre* as a theory of tonal form. Hepokoski's 1993 formulation of sonata deformation, for example, would conceive hexatonic tonality as a 'deformation' of the *Formenlehre* model of sonata form, despite its effort to embrace unorthodox procedures as 'familiar, "post-sonata" generic subtypes'. This notion of deformation, however, excludes the possibility that hexatonicism can be part of the formal design; it understates hexatonicism as an important tonal strategy at the *fin de siècle* and risks neglecting its interaction with diatonicism and consequently with classical formal practice. Likewise, Caplin's form-functional theory is codified exclusively as a theory of Viennese classical form. Although formal function is a mobile concept, the formal articulation that defines it is repertoire-specific and therefore unadaptable to music of a different style. As Caplin demonstrates, the early Romantic treatment of cadential closure has already departed significantly from its classical predecessor—in the case of *fin-de-siècle* modernist form, we simply need another set of criteria that outline formal functions in a hexatonically

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[110] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 10. See also Chapter One.

conflated tonal space.[111] In view of these shortcomings, Horton and Vande Moortele systematically pin down characteristic aspects of Romantic syntax as the initial stage towards a theory of Romantic form. Some of these Romantic syntactic habits could be understood as precursors of the formal traits exhibited in the Adagio: Horton's theorisation of chromatic tonal relationships as species of deep-structural bass phenomenon anticipates the hexatonic⇒diatonic conception of form,[112] while Vande Moortele's idea of sonaticisation, defined as the situation where 'significant portions of the form do adopt local sonata-form procedures, even though they appear outside of the framework of a complete sonata form', foreshadows the model of hexatonic tension that displays sonata-form procedures outside of a traditional scheme.[113] Considering that the *fin-de-siècle* modernist formal practice admittedly develops and concurrently departs from these Romantic syntactic habits, I recalibrate Caplin's form-functional theory and Hepokoski's breakthrough deformation for the Adagio, by proposing a different manifestation of Horton's model of orbital tonality and explicating the formal function of breakthrough as a locus of syntactic reappraisal through Cohn's notion of double syntax and a modified version of Janet Schmalfeldt's concept of 'becoming'.[114] This leads to the formulation of hexatonic tension and a hexatonic⇒diatonic conception of form, both of which signify a *fin-de-siècle* turn of the new *Formenlehre*.[115]

This chapter hence addresses the tonal-harmonic implications of the dilemma

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[111] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum* 40, no. 1 (2018): 1–26. Caplin identifies the problems with determining formal closures in early Romantic repertoire, including 1) an ambiguity between sequential and cadential harmonies; 2) a lack of cadential closures for thematic units; and 3) an ambiguity between penultimate and ultimate harmonies at points of potential cadence. While Horton (see Horton, *Brahms' Piano Concerto No. 2*) suggests that themes in the later nineteenth century increasingly neither follow nor project a cadential function, the Adagio seems to mobilise particular closing gestures as stated earlier. But again, a more substantial theory of *fin-de-siècle* formal closures is yet to be developed.

[112] Horton, *Brahms' Piano Concerto No. 2*, 56–64.

[113] Vande Moortele, *The Romantic Overture*, 73. See also Chapter One.

[114] Schmalfeldt, *In the Process of Becoming*. On the two species of 'becoming', see Chapter One.

[115] This corresponds to Adorno's material conception of Mahlerian form, in which the abstractly constructed hexatonicism becomes the bearer of meaning while the material diatonic-formal principles offer the unified framework, which is realised upon the advent of the material breakthrough: 'In Mahler the usual abstract formal categories are overlaid with material ones; sometimes the former becomes specifically the bearer of meaning; sometimes material formal principles are constituted beside or below the abstract ones, which, while continuing to provide the framework and to support the unity, no longer themselves supply a connection in terms of musical meaning'. See Adorno, *Mahler*, 44–5; also Cecchi, 'Forming Form Through Force', 96–7 for the relevant discussion.

between a 'positive' and a 'negative' approach to nineteenth-century form (or post-classical form in general) by spotlighting the interaction between diatonicism and hexatonicism as essential to the Adagio's form. [116] Combining both perspectives, I acknowledge hexatonic tonal relations as the chief tonal lexicon in the Adagio, while at the same time considering them in light of existing categories in the new *Formenlehre*, which I modify to accommodate the hexatonic syntax. The diatonic alternative is nevertheless foregrounded in response to the hermeneutic and syntactic pressure exerted by the breakthrough as both a philosophical idea and a deformational procedure, which brings hexatonicism into contact with diatonicism and the classical formal tradition, and in turn generates the process by which hexatonic form becomes diatonic form. It is in this context that I crystallise the concept of breakthrough into a distinctive formal function that precipitates a process of structural reorientation, or in the current case, tonal-syntactic functional reinterpretation, which shuffles the listeners' hearing and transfers their perception of the tonal universe from a star cluster to a solar system. Construing this syntactic conflict in relation to what Schmalfeldt calls the Beethoven-Hegelian critical tradition, the breakthrough could be understood as the result of the dualistic tension between diatonicism and hexatonicism: it attests to a dialectical conception of tonality whereby diatonic and hexatonic syntaxes are in constant opposition, which produces the condition of becoming that otherwise informs the aesthetic and stylistic incongruities, or the 'in-betweenness' in Mahler's music. [117] Mindful of the increasingly frequent dialogue between diatonicism and hexatonicism in music at the *fin de siècle*, I contemplate that this replaces the traditional tonic/non-tonic dualism as a special type of *fin-de-siècle* sonata teleology, where large-scale functional transformations emerge as crucial to formal praxis. The formulation of a chromatically inflected model of sonata form, enabled by tonal-syntactic functional reinterpretation, is however only the first step towards a theory of *fin-de-siècle* modernist symphonic form.

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[116] Steven Vande Moortele, 'In Search of Romantic Form', *Music Analysis* 32, no. 3 (2013): 408–11. See also Chapter One for the relevant discussion.

[117] On the Beethoven-Hegelian tradition, see Chapter Two. As mentioned earlier, the aesthetic and stylistic incongruities are also manifested in the Adagio via the breakthrough, in which its trope of chorale and brilliant style causes a rift in the ongoing topical discourse that is characterised by the *unendliche Melodie*.

Chapter Four

Schmidt's Second Symphony and Time Travelling in Dualistic Space

Unity in Diversity

Following David Lewin's revival of Hugo Riemann's triadic transformations, the formulation of neo-Riemannian theory over the last three decades has remarkably reshaped the understanding of nineteenth-century harmonic practices in the English-language music-theoretical scholarship.[1] Theorists such as Brian Hyer and Richard Cohn conceive Riemann's transformations independently of their dualistic premise and foreground proximate voice leading as essential to chromatic harmonic relations, positing voice-leading parsimony as an alternative syntactic principle to scale-degree tendency in nineteenth-century tonality.[2] Triads ascribed to such a syntactic phenomenon are said to operate in alternation with those that underlie diatonic tonality, producing what Cohn describes as the 'double syntax' that characterises nineteenth-century harmonic practice.[3]

The concept of double syntax, however, conflicts with the issue of coherence fundamental to the construction of sonata form. In his critique of neo-Riemannian theory, Fred Lerdahl asserts that it is psychologically implausible for listeners to

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[1] See David Lewin, 'A Formal Theory of Generalized Tonal Functions', *Journal of Music Theory* 26, no. 1 (1982): 23–60 and David Lewin, *Generalized Musical Intervals and Transformations* (New York: Oxford University Press, 2007).

[2] Hyer's initial effort in reformulating Riemann's transformations as independent from his theory of tonality (as evidenced in Hyer's recuperation of the *Tonnetz*) has anticipated the subsequent development of neo-Riemannian theory. See Brian Hyer, 'Tonal Intuitions in *Tristan und Isolde*' (PhD diss., Yale University, 1989) and Brian Hyer, 'Reimag(in)ing Riemann', *Journal of Music Theory* 39, no. 1 (1995): 101–38. For an overview of this history, see also Richard Cohn, 'Introduction to Neo-Riemannian Theory: A Survey and A Historical Perspective', *Journal of Music Theory* 42, no. 2 (1998): 167–80.

[3] Richard Cohn, *Audacious Euphony: Chromaticism and the Triad's Second Nature* (New York: Oxford University Press, 2012), 195–210.

'switch between two system…It is problematic in particular for late tonal music, which moves smoothly between diatonicism and chromaticism even within a single phrase'.[4] Any operational theory for such music, he maintains, 'must be capable of treating its chromatic and diatonic elements with comparable smoothness'.[5] Lerdahl's critique points to an underlying problem of double syntax, namely the coalescence of two completely distinct conceptions of tonal orientation inherent in diatonicism and chromaticism. When the music is encapsulated by diatonicism, the pitch collection is ultimately oriented towards the tonic; in Cohn's formulation, this conception is represented by the expression 'chromatic (12+) → diatonic (7) → triad (3) → tonic (1)'. When chromaticism assumes control, the entire order flips: each individual tone functions with respect to the chromatic collection, the relation of which is captured by the expression 'chromatic (12) ← triad (3) ← tonic (1)'. The arrow reversal signifies a complete reversal of all the relations of subordination, and therefore manifests two utterly different tonal orientations.[6] In attempt to address this discrepancy, Cohn emphasises the consonant triad's role as voice-leading optimiser that can subscribe to both diatonic and chromatic practices. Yet, as illustrated in Chapter Three, the amalgam works at best at a local level; the claim that it operates at a structural level challenges the epistemological basis of tonality—above all, the idea of a single tonic that generates unity and coherence. Once more, in Lewin's words, 'the two spaces may coexist locally without apparent conflict', but '*the nature and logic of Riemannian tonal space are not isomorphic with the nature and logic of scale-degree space*…they are essentially different objects and relations, embedded in an essentially different geometry'.[7]

Such a conflict has its precursor in Riemann's idea of harmonic functions. His formulation is predicated upon the idea that the act of listening is a 'manifestation of the logical functions of human intellect',[8] by which he referred to the cadential order

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[4] Fred Lerdahl, *Tonal Pitch Space* (New York: Oxford University Press, 2001), 85.

[5] *Ibid.*

[6] Cohn, *Audacious Euphony*, 204.

[7] David Lewin, 'Amfortas's Prayer to Titurel and the Role of D in *Parsifal*: The Tonal Space of the Drama and the Enharmonic C♭/B', *19th-Century Music* 7, no. 3 (1984): 345.

[8] Hugo Riemann, 'Ideas for a Study "On the Imagination of Tone"', trans. Robert Wason and Elizabeth West Marvin, *Journal of Music Theory* 36, no. 1 (1992): 81. Originally published as 'Ideen zu einer Lehre von den Tonvorstellungen', *Jahrbuch der MusikBibliothek Peters* 21/22 (1914–15): 1–22.

I–IV–I–V–I that he exalted as the 'prototype of all musical form'.[9] Taking the cadential model as the basis of harmonic structure, Riemann considered all the chords as reducible to the functions of tonic, dominant and subdominant, in which functionality is based upon the 'orientation towards the current tonic [*Stellung zur jeweiligen Tonika*]'.[10] While fifth relations are said to have laid the foundation for his theory of function, he proceeded to address the role of third relations via a consideration of what he called '*Scheinkonsonanzen*' [apparent consonances], whereby the third-related triads extending from tonic, dominant and subdominant (through a *Parallel* or a *Leittonwechsel* relation) are conceived as ellipses of dissonant chords originated from these principal triads.[11] For example, in the context of C major, the A-minor triad is understood as deriving from either the dissonant configuration, A–C–E–G, in which the triadic fifth G is suppressed and displaced by the sixth A, or the dissonant collection, F–A–C–E, where the *Hauptton* F is stifled and replaced by the leading tone E. The third-related triads hence only 'appear' to be consonant, and yet for the same reason, they remain adhere to the functions of their dissonant origins and can then be construed in terms of fifth relations as substitutions.[12] The postulate of *Scheinkonsonanzen*, nevertheless, contradicts Riemann's own concept of harmonic functions. As Carl Dahlhaus contended, these secondary triads, while assuming the same functions as the primary triads, 'do not participate in the relationships that determine the

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[9] Hugo Riemann (pseudonym Hugibert Ries), 'Musical Logic: A Contribution to the Theory of Music', trans. Kevin Mooney, *Journal of Music Theory* 44, no. 1 (2000): 102. Originally published as 'Musikalische Logic: Ein Beitrag zur Theorie der Musik', *Neue Zeitschrift für Musik* 66 (1872): 279–82, 287–8, 353–5, 363–4, 373–4; revised version in *Preludien und Studien: Gesammelte Aufsätze zur Ästhetik, Theorie und Geschichte der Musik*, vol. 3 (Leipzig: Hermann Seeman, 1901), 1–22.

[10] Hugo Riemann, 'Funktionsbezeichnung', in *Musik-Lexikon*, 7th ed. (Leipzig: Max Hesse, 1909), 441. Translation adopted from Carl Dahlhaus, *Studies on the Origin of Harmonic Tonality*, trans. Robert O. Gjerdingen (Princeton, NJ: Princeton University Press, 1990), 54.

[11] Here *Parallel* is understood in relation to Riemann's original formulation, by which he meant the exchange of the fifth above the *Hauptton* for the sixth in the major system (e.g. in the context of C major, C major [C-E-G] to A minor [C-E-A]), and the swap of the fifth below the *Hauptton* for the sixth below in the minor system (e.g. in the context of C-minor, F minor [C-A♭-F] to A♭ major [C-A♭-E♭]).

[12] In the given example, the A-minor triad is thus identified as either a 'tonic *Parallelklang*' derived from the substitution of the fifth of the tonic triad by the sixth, or a 'subdominant *Leittonwechselklang*' resulted from the exchange of the *Hauptton* for the leading tone. See Hugo Riemann, *Katechismus der Harmonielehre* (Berlin: Max Hesse, 1890), 22–23; and Hugo Riemann, 'Dissonanz', in *Musik-Lexikon*, 7th ed. (Leipzig: Max Hesse, 1909), 328–30. On the concept of *Scheinkonsonanzen*, see David Kopp, *Chromatic Transformations in Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2002), 85–6; also Edward Gollin and Alexander Rehding, eds., *The Oxford Handbook of Neo-Riemannian Music Theories* (New York: Oxford University Press, 2011), 580–1.

content of the concepts of dominant and subdominant'.[13] In other words, they cannot acquire harmonic functionality without the fifth-related primary triads, a problem which is evinced in Riemann's reluctance to apply two *Scheinkonsonanzen* in a row in his own analyses.[14] Moreover, the functional substitution based on *Scheinkonsonanzen* presumes that 'the key is well established to which the chord should relate'.[15] Yet triadic transformations do not necessarily ascribe to a tonal centre and can thereby repudiate harmonic functionality: the correlation of a C major triad with a E minor triad as a *Leittonwechsel*, for instance, does not require having first to determine the tonic. Therefore, paraphrasing Lewin, Riemann failed to reconcile the nature and logic of his own tonal space with the nature and logic of scale-degree space; such issues in turn render the neo-Riemannian theorists to conceive triadic transformations as a separate theory and logic independent of harmonic functions.

Although Riemann's attempt to integrate of third relations into his theory of functions is admittedly problematic, his proposed system attests to the aesthetic principle underlying his inherently double-syntactic conception of tonality that heralded the later development of the neo-Riemannian theory—namely, 'unity in diversity [*Einheit in der Mannigfaltigkeit*]'. In his lecture on 'Form-giving Principles: Harmony and Rhythm' (first published in 1888 as part of *Wie hören wir Musik?*), Riemann made explicit reference to the idea as the guiding principle that allows a wide range of harmonic possibilities:

> …We gained a great amount of aesthetic enjoyment in the manifold natural relation of tones, which we were able to reduce essentially to *two principles opposite to each other like poles*, namely the *major and minor harmony*, the former *rising brightly and vigorously*, the latter *point downwards mournfully and gravely*. Through these means of easily comparing the degrees of rising and falling we attained the possibility of the construction of larger forms, that is the possibility of greater climaxes and contrasts.…The guide through this apparent labyrinth of possibilities of relations of tones is

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[13] Carl Dahlhaus, *Studies on the Origin of Harmonic Tonality*, trans. Robert O. Gjerdingen (Princeton, NJ: Princeton University Press, 1990), 54.

[14] Alexander Rehding suggests that this is a deliberate act in order to retain a unified concept of tonality. See Alexander Rehding, 'Tonality between Rule and Repertory; Or, Riemann's Functions—Beethoven's Function', *Music Theory Spectrum* 33, no. 2 (2011): 113–5. For the problem of double *Scheinkonsonanzen*, see also Kopp, *Chromatic Transformations*, 90–1.

[15] Dahlhaus, *Origin of Harmonic Tonality*, 55.

Unity in Variety,
the highest law in all artistic creation generally.[16]

By 'unity in variety'—or its more frequently used equivalence, 'unity in diversity' [*Einheit in der Vielgestaltigkeit*]—Riemann referred to the conception of major and minor triads as inverted expressions of each other, or the notion of harmonic dualism, which lays the foundation of his theory of tonality.[17] Riemann's dualistic formulation of tonality is rooted in the understanding of harmonic entities as—first an acoustical, and later a psychological—phenomenon deriving from the *Klang*, which generates both the major and the minor triads.[18] While the major triad is built upon a fifth and a major third above the prime tone, the minor triad is conceived as constructed from the same intervals below. This dualistic view of harmony is subsequently taken up in Riemann's functional theory, whereby 'dominant and subdominant harmonies become reciprocally generated from the tonic Klang: the dominant as based upon the "over" fifth [hence the *Oberdominant*], and the subdominant based upon the "under" fifth [thus the *Unterdominant*]'.[19] Mindful of the idea of *Scheinkonsonanzen*, individual chords are attributed to one of these functional prototypes, and the relations between such chords are modelled through the *Schritt* [step] and the *Wechsel* [exchange] transformations.[20] This dualistic model of functional theory, according to Thomas Christensen, is then adopted to describe large-scale tonal relationships, in which 'each new key is really to be understood in relation to the main key in the same sense as the harmonic

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[16] Hugo Riemann, *Catechism of Musical Aesthetics*, trans. Heinrich Bewerunge (Cambridge: Cambridge University Press, 2013), 40; cf. Hugo Riemann, *Wie hören wir Musik* (Leipzig: Max Hasse, 1888), 54–5. Here I replicated the formatting used in the first edition of the text, where the phrase 'Unity in Diversity' is deliberately emphasised. Italics are mine.

[17] See Hugo Riemann, *Handbuch der Harmonielehre*, 2nd ed. (Leipzig: Breitkopf und Härtel, 1887) and Hugo Riemann, *Die Elemente der musikalischen Aesthetik* (Berlin und Stuttgart: W. Seemann, 1990).

[18] On the epistemological shift of Riemann's basis for harmonic dualism, see Ian Bent, 'The Problem of Harmonic Dualism: A Translation and Commentary', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 167–93.

[19] David W. Bernstein, 'Nineteenth-Century Harmonic Theory: The Austro-German Legacy', in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 796.

[20] For a detailed discussion of Riemann's dualistic conception of tonality, see Henry Klumpenhouwer, 'Dualist Tonal Space and Transformation in Nineteenth-Century Musical Thought', in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 465–73.

succession of dominant and tonic is in the most narrow context'.[21] By extension, 'the forms which characterise sonata movements, rondos, etc.', Christensen suggests, echoing Riemann, 'can all be understood as large-scale paradigms of the three essential functions', elucidating 'much of their inherent dynamism and organic unity', which is predicated upon harmonic dualism.[22]

Christensen's assertion points to the dualistic manifestations of functions as the source of unity, or the 'large-scale paradigm' of form, in a double-syntactic tonal environment. Such an aspiration is picked up and pursued in much more detail in Alexander Rehding's 'Dualistic Forms'. Similar to Christensen, Rehding notes that Riemann's conception of form is based on a dualistic understanding of tonal relations, a decision which led to his postulate of all forms as reducible to the basic pattern of A-B-A.[23] Construed from this perspective, musical forms, for Riemann, were less about 'distinct formal schemes or types' but more of 'an abstract notion of formal process', in which 'the basis of all musical form was the restoration of an original unity at higher level, by means of the resolution of a contrast or conflict':[24]

> No art can do away with form, which is nothing but the combination of the parts of the artwork into a whole. Such a combination is only possible if the diverse elements are in a deep inner relation to one another. If not, the result is merely an external unity, a succession. The supreme demand for all form, including musical form, is unity. Its aesthetic effect can only fully unfold in the context of opposition, as contrast and contradiction (conflict).[25]

Such an organicist approach to form, Rehding argues, shows a direct inheritance from Moritz Hauptmann's musical dialectics. With this in mind, he proceeds to reconstruct

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[21] Thomas Christensen, 'Riemann's *Schichtenlehre*', *In Theory Only* 6, no. 4 (1982): 42; also Hugo Riemann, *Handbuch der Harmonielehre*, 10th ed (Leipzig: Breitkopf und Härtel, 1929), 215. Translation adopted from Christensen, 'Riemann's *Schichtenlehre*', 43.

[22] Christensen, 'Riemann's *Schichtenlehre*', 43.

[23] Alexander Rehding, 'Dualistic Forms', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 219–20. Riemann nevertheless proposed four abstract formal types based on the A-B-A pattern, resembling respectively a two-part song form ('first form'), a minuet and trio ('second form'), a rondo form ('third form') and a sonata form ('fourth form'). See Hugo Riemann, *Katechismus der Kompositionslehre* (Berlin: Max Hesse, 1889), 95–7.

[24] Rehding, 'Dualistic Forms', 220–1.

[25] Hugo Riemann, 'Formen (musikalische)', in *Musik-Lexikon*, 4th ed. (Berlin: Max Hesse, 1894), 310–1. Translated adopted from Rehding, 'Dualistic Forms', 221.

a Riemannian theory of dualistic forms 'that never was, but could have been'.[26] Evoking Riemann's concept of *Klangvertretung* [tone representation], Rehding first establishes the transference of tonic value over a 'prolonged' tone (e.g. the E in the succession of A minor–C major–E minor) as the basis for a dualistic model of form via a consideration of the first movement of Brahms's Clarinet Trio, Op. 114.[27] The movement between the fifth-related functions (third relations are conceived as functional substitutions, or *Scheinkonsonanzen*) is subsequently related to a dialectical concept of tonality inherent in Riemann's dualistic framework: in the given example, one might ask, is A minor the subdominant of E minor? Or is E minor the minor dominant of A minor?[28] Such properties are then explicated through Hauptmann's 'triad of triads' (or 'triad of keys'), which manifests 'essentially the logical process from an unmediated major [or minor] triad to its dialectically asserted position as the centre of a tonality'.[29] The result is a dualistic view of form founded upon the dialectics between the key's epistemic self as a tonic and the consciousness of an 'other', an *Oberdominant* and an *Unterdominant*, a process which directs at the dualistic synthesis—or a mediated understanding of the tonic—as its teleological goal, manifesting a Hegelian dialectic of self-consciousness.[30]

Rehding's dualistic theory of forms offers a useful model through which large-scale tonal relationship could be accounted in a double-syntactic tonal situation. In spite of Dahlhaus's criticism, it foregrounds the dialectical assertion of the tonic (and thus tonality) as the basis of formal trajectory, wherein (chromatic) third relations are integrated into an overarching diatonic structure manifested by means of the fifth-related functions. Such a model is particularly pertinent to *fin-de-siècle* symphonic sonata movements, in which the form concerns essentially the institution of diatonic syntax that serves to confirm the tonic, as with the first movements of Zemlinsky's

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[26] Rehding, 'Dualistic Forms', 222.

[27] For an exploration of the notion of *Klangvertretung*, see Suzannah Clark, 'On the Imagination of Tone in Schubert's *Liedesend* (D473), *Trost* (D523), and *Gretchens Bitte* (D564)', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 294–321.

[28] C major in this case is heard as either *Tonikaparallele* or *Dominantleittonwechsel*, depending on whether one takes the perspective of the tonic or the dominant.

[29] Rehding, 'Dualistic Forms', 229.

[30] See Chapter Two for a discussion of Hegel's dialectic of self-consciousness.

Symphony in B♭ and Mahler's Tenth Symphony.[31] Yet its underlying 'hard dualism'—characterised, according to Henry Klumpenhouwer, by the strict treatment of major and minor triads as mirrored expressions of one another and thereby the conception of tonal system in terms of the ideas of inversion, reversal or mirroring—remains an issue still, if one intends to make this theoretical endeavour work for more general analytical scrutiny.[32] As Rehding admits, 'most dualistic theorising in the nineteenth century…had comparatively few examples to draw on', and this causes the pure dualistic approach to be 'reproached for its insensitivity to musical concerns'.[33]

Taking Rehding's proposal as the point of departure, the present chapter examines the implications of a dialectical idea of tonality on the double-syntactic/becoming theory of form. In reference to Riemann's and Hauptmann's dialectical thoughts, I root the dualism pursued in the previous chapter back in its dialectical premise, contending that dialectics serves as the underlying musical logic that gives rise to coherence in tonality and form: it posits an understanding of unity that treats the incongruity of chromatic and diatonic syntaxes as a manifestation of tonality's dialectical nature, recovering a mode of thinking that neo-Riemannian theorists abandoned in their overhauls of Riemann's theoretical systems. The chapter is divided into four parts. Building on Rehding's study, I first delve into Riemann's and Hauptmann's dialectical ideas of tonality, identifying the special qualities that inform the temporal approaches taken by these 'time travellers' in their accounts of dualism, which is invariably a spatial construct.[34] This brings about the reformulation of the dialectic of tonality as one that centres on the tension between chromaticism and diatonicism, a process which is considered in relation to the dualistic model of hexatonic tension proposed in Chapter Three. Viewing the construction of tonal orbits as an expression of such dialectics, I then reassess the orbital tonal system drawing on the function concept and distinguish

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[31] See Chapter Two and Chapter Three for the analyses of these two movements.

[32] Henry Klumpenhouwer, 'Harmonic Dualism as Historical and Structural Imperative', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 196–7.

[33] Rehding, 'Dualistic Forms', 222.

[34] It is worth noting that I do not intend to create a chronological historical account of Riemann and Hauptmann's ideas but rather to draw on aspects of their dialectical thoughts as inspiration for theory building.

between orbits of determinate and indeterminate nature by adapting William E. Caplin's notion of syntactical cadential strength.[35] This is illustrated via an analysis of the first movement of Franz Schmidt's Second Symphony (1911–13), which I regard as a representative case of the hexatonic–diatonic dialectic. While these theoretical formulations concern ultimately the closing mechanism, I proceed to address the moment of *Augenblick* located in the breakthrough of Schmidt's movement, which shows a modulating cadential function that exposes the hexatonic–diatonic dialectic and signals the assertion of a diatonic logic by means of a structural dominant—as the time-space moment, the *Augenblick* crystallises the unmediated tonic and the ongoing dominant bass phenomena into an underlying diatonic structure, attesting to a negative dialectic in lieu of the Hegelian dialectic that Riemann and Hauptmann would have envisaged. This eventually culminates in a fully fledged manifestation of dialectical form—one that displays a 'unity in diversity'—which amounts to the elements of a theory of *fin-de-siècle* symphonic sonata form.

The Time Travellers and Their Triad

Although neo-Riemannian theorists often assume the tonic *a priori*, both Riemann and Hauptmann considered it necessary for a chord to be mediated in order to qualify as a full-grown tonic. In his 1872 article 'Musikalische Logik', Riemann proposed a dialectical understanding of harmony via he called the *große Cadenz*—the cadential progression I–IV–I–V–I which joins the plagal cadence (I–IV–I) and the authentic cadence (I–V–I), as presented in Example 4.1—arguing that it comprises the basic musical logic. Resorting to Hegelian concepts, he devised a three-stage scheme for such a progression wherein the tonic is dialectically expressed: 'thesis is the first tonic, antithesis the lower dominant along with the tonic six-four, and synthesis the upper dominant along with the final root-position tonic'.[36] For Riemann, the difference between the plagal and the authentic cadences is what underlies the dialectical nature of this progression.[37] He declared that whereas the plagal cadence 'sounds weak and free

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[35] See Chapter Three for the relevant discussion of orbital tonality.

[36] Riemann, 'Musical Logic', 102.

[37] This is also the starting point of Riemann's discussion of harmony, in which he criticised Hauptmann for not distinguishing between the *Unterdominant* and the *Oberdominant*.
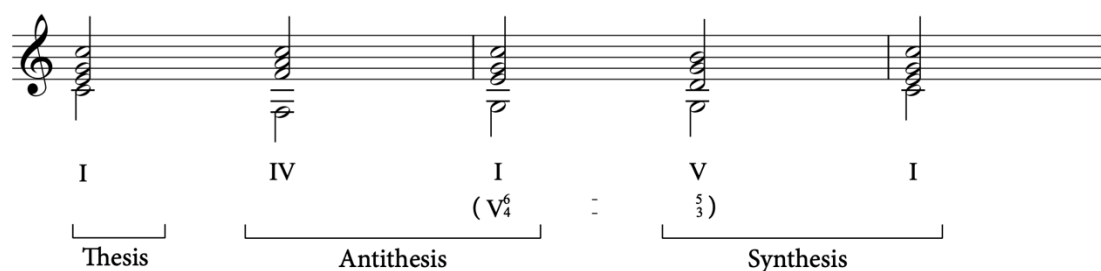
Example 4.1   Riemann's Dialectical *große Cadenz*
(reproduced from Rehding, *Hugo Riemann and the Birth of
Modern Musical Thought*)

of tension [*mager und kalt*]' as the tonic is retained throughout, the authentic cadence makes it 'complete and satisfying', because 'the tonic is suppressed completely so as to be summoned categorically by the third or leading tone of the upper dominant'.[38] With the plagal cadence, the tonic's primary status as the root of I is opposed by its subordinate status as the fifth of IV and the fourth of I6/4; the first appearance of I thus constitutes the thesis, while the IV and the I6/4 amount to the antithesis.[39] Since the I6/4 is unable to claim a full closure, it brings about the authentic cadence, in which the tonic is 'suppressed completely' by the V so that it could be reinstated afterwards as the root of I; the V together with the final appearance of I therefore function as the synthesis.[40] Through this process, the assumed tonic thesis turns into the tonic antithesis via the *Unterdominant*, and eventually becomes the mediated tonic synthesis by way of the *Oberdominant*. With explicit reference to Hauptmann, Riemann wrote, 'I see in this second appearance of the tonic the fifth-concept, which opposes the unity-concept of the first appearance and which, through the agency of the upper dominant, finds third-unification again in tonic harmony, now in root position'.[41] This causes Riemann to locate the dialectical stages in the single chords, since each of the chords (except for the initial unmediated tonic) is embedded within itself the imagination of its fifth-related triads: 'thetic is the tonic, antithetic the lower dominant, synthetic the

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[38] Riemann, 'Musical Logic', 101.

[39] Contrary to the usual understanding, Riemann construed the supposedly cadential 6/4 as a tonic harmony resulted from the plagal cadence, which renders the tonic to come into in conflict with itself. Rehding suspects that this could be due to Riemann's overall suspicion of voice leading. See Alexander Rehding, *Hugo Riemann and the Birth of Modern Musical Thought* (Cambridge: Cambridge University Press, 2003), 69–70.

[40] Riemann, 'Musical Logic', 101

[41] *Ibid.*, 101–2. See also n. 11.

upper dominant'—IV–I6/4 thereby forms the 'fifth concept', while V–I composes the 'third-unification'.[42]

Riemann dropped his dialectical reasoning later on as he turned towards the nature of chordal connections as part of a broader project that sought to address issues with harmonic dualism.[43] Yet the dialectical logic in his *große Cadenz* could be expounded further in dualistic terms in light of Hauptmann's 'triad of triads', to which his formulation was indebted. Despite the criticism levelled at the relevance of his Hegelian language, Hauptmann's approach to harmony nevertheless exhibits a clear dialectical structure.[44] In his 1853 treatise *Die Natur der Hamonik und der Metrik*, Hauptmann first distinguished between three classes of interval that make up the major triad, namely 'Octave', 'Fifth' and 'Third' (indicated respectively by I, II and III in Hauptmann's theoretical systems). Each of these terms represents not only the intervallic content, but also its logical meaning in the construction of the major triad: 'The Octave is the expression for unity; the Fifth expresses duality or separation; the Third, unity of duality or union. The Third is the union of Octave and Fifth'.[45] Such a tripartite scheme of thesis, antithesis and synthesis points to a Hegelian dialectical process,

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[42] *Ibid.*, 102. This way of thinking also resembles Hauptmann's dialectical understanding of harmony. For a similar explanation of Riemann's decision, see Kevin Mooney, 'Hugo Riemann's Debut as a Music Theorist', *Journal of Music Theory* 44, no. 1 (2000): 85–6. Rehding suggests that this could be a prefiguration of the concept of *Tonvorstellungen* [the imagination of tone], which Riemann did not fully develop until the final years of his life See Rehding, *Hugo Riemann*, 71–2. This connection between Riemann's early works and his later formulation of *Tonvorstellungen* is scrutinised in Youn Kim, 'Theories of Musical Hearing, 1863–1931: Helmholtz, Stumpf, Riemann and Kurth in Historical Context' (PhD diss., Columbia University, 2003), 178–92.

[43] Soon after the publication of the revised and complete version of 'Musikalische Logik' as a monograph with the same title in 1874, Riemann became occupied with the minor problem in harmonic dualism as a result of his critical engagement with Arthur von Oettingen's work, and this leads him to focus on the relations of tones in *Musikalische Syntaxis* (1877). For a complete account of the development of Riemann's idea of dualism, see Daniel Harrison, *Harmonic Function in Chromatic Music: A Renewed Dualist Theory and an Account of Its Precedents* (Chicago and London: University of Chicago Press, 1994), 254–65. See also Hugo Riemann, *Musikalische Logik: Hauptzüge der physiologischen und psychologischen Begründung unseres Musiksystems* (Leipzig: C. F. Kahnt, 1874) and Hugo Riemann, *Musikalische Syntaxis: Grundriss einer harmonischen Satzbildungslehre* (Leipzig: Breitkopf und Härtel, 1877).

[44] Critics of Hauptmann's Hegelian lineage often foreground dualism as *the* essential genesis of his theoretical systems and treat his idealist predispositions as external to theoretical formulations. But their accounts often tend to square Hauptmann's theory into an overarching historical narrative of dualistic thought (which is based on a spatial and positivist understanding of dualism) rather than accepting his ideological derivation as it is. For examples, I have in mind Harrison, *Harmonic Function*, 221–2 and Klumpenhouwer, 'Dualist Tonal Space', 459. For an insightful account that situates Hauptmann's dialectical approach in a Hegelian context, see Maryam A. Moshaver, 'Structure as Process: Rereading Hauptmann's Use of Dialectical Form', *Music Theory Spectrum* 31, no. 2 (2009): 262–83.

[45] Moritz Hauptmann, *Die Natur der Harmonik und der Metrik: Zur Theorie der Musik* (Leipzig:

I

I – III – II

C   e   G

I   —   II

I – III – II   I – III – II

F   a   C   e   G   C   e   G   b   D

I – III – II   I – III – II

I   —   III   —   II

I – III – II   I – III – II

F   a   C   e   G   b   D

I – III – II
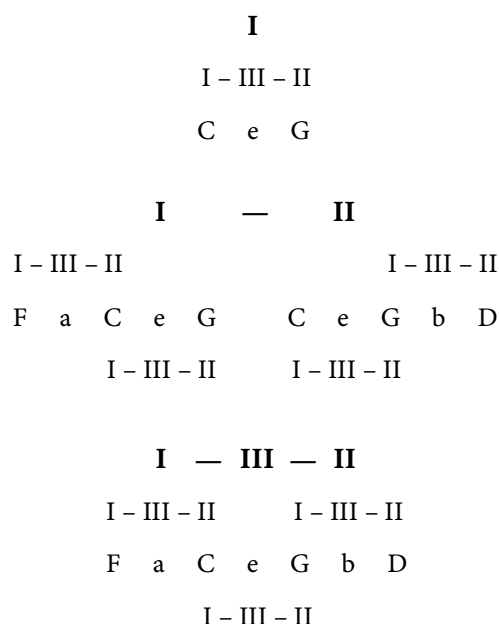
Figure 4.1   Hauptmann's 'Triad of Triads'

whereby the notions of unity (I) and duality (II) are to be understood in relation to the
self-consciousness of being as 'being undifferentiated with oneself [*das ununterschie-
dene mit sich Eins-sein*]' and 'being different to oneself [*das von Sich-verschieden-
sein*]', while their union (III) is to be grasped as the 'reality [*die Wirklichkeit*]' that
'corresponds to the concept of real being [*entspricht erst dem Begriffe des wirklichen
Seins*]'.[46] The three classes and their dialectical connotations were then integrated into
Hauptmann's theory of tonality as the basic logical framework. Figure 4.1 graphs his
'triad of triads' in these terms, assuming C major as the unmediated tonic.[47] After the
C major triad is initially formed (**I**), it '*splits up*' *within itself* into the *Unterdominant*,
F major, and the *Oberdominant*, G major, of which the former contains the root of the
C major triad as its fifth, while the latter consists of the fifth of the C-major triad as its
root.[48] When either one of them is introduced, the status of C major as tonic is brought

[46] Hauptmann, *Die Natur der Harmonik*, 23–4; cf. Hauptmann, *The Nature of Harmony*, 7. Transla-
tion modified.

[47] For an appropriation of this model for the minor system, see Rehding, 'Dualistic Forms', 229.

[48] Hauptmann, *Die Natur der Harmonik*, 25; cf. Hauptmann, *The Nature of Harmony*, 8. Following
Rehding, the dialectical stages of key relations are indicated in bold.

into question, since it is impossible to determine—for instance, in the case of the *Ober-dominant*—whether the relation of C major–G major should be understood, in a dualistic realm, as tonic–dominant or subdominant–tonic (the Fifth-concept hence expresses duality). In such a way, C major becomes conscious of its 'otherness' that possesses the same three-stage triadic structure, engendering an opposition with itself that takes the form of either of the two possibilities of (**II**).[49] It is only when the other fifth-related triad arises that the centricity and the tonic status of C major is reinstated—it now *has* a dominant and *is* a dominant. That the mediated tonic brings together these dualistic 'others' consequently produces a 'unity of a triad of triads', which denotes 'not the uniting middle triad in itself [i.e. the mediated tonic], but the union as a whole' (**III**).[50]

For Hauptmann, as for Riemann, the triad's conflict with its epistemic self forms the basis of a dialectical conception of tonality.[51] As with Hegel's being, the triad becomes self-conscious of its status as the tonic via a consciousness of its otherness; the recognition of the duality (**II**) of the unmediated tonic (**I**) is necessary before its tonicity could be reasserted as the reality (**III**). While this 'internal opposition' is fundamental to the institution of tonality, it also informs the dualistic understanding of the consonant triad that arguably underlies the phenomenon of double syntax. To recall Cohn's formulation, the idea of double syntax is founded upon the proposition that 'the consonant triad has two natures, and that those two natures lead to two syntaxes'.[52] Despite their disparate foundations, the code-switching between chromatic and diatonic syntaxes is made possible by the fact that 'triads are preadapted to play the role

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[49] See Chapter Two for the role of consciousness in a Hegelian dialectic.

[50] '…in der Tonart, nicht der verbindende mittlere Dreiklang an sich, sondern die Verbindung selbst ist es, was man als dem Terzbegriff entsprechend sich zu denken hat'. See Hauptmann, *Die Natur der Harmonik*, 27; cf. Hauptmann, *The Nature of Harmony*, 10. Translation modified.

[51] Apart from the obvious idealist traces, this view towards the consonant triad as embedded within itself the imagination of triads emanated from the same individual note has its other root in early music psychology, which emerged around the mid-nineteenth century with notably the work of Hermann von Helmholtz. For studies of this historical intersection between music theory and music psychology, see Kim, 'Theories of Musical Hearing'; and Youn Kim, '"Boundaries" and "Thresholds": Conceptual Models of the Musical Mind in the History of Music Psychology', *Psychology of Music* 42, no. 5 (2014): 671–91.

[52] Cohn, *Audacious Euphony*, 208. By two natures Cohn refers to 1) the consonant triad's acoustic properties and 2) its ability to voice-lead smoothly to each other. See also Chapter Three.

of voice-leading optimizers by virtue of their near evenness'[53]—or from a dualist perspective, it arises from the triads' invertible intervallic properties, which produce their major and minor forms, as well as the whole range of diatonic/chromatic possibilities, including the duality of fifth relations.[54] Given that both syntaxes are native to the consonant triad, we end up facing essentially the same internal opposition in the dialectical construction of tonality as Hauptmann's and Riemann's Fifth-concept: after its initial statement (**I**), the unmediated tonic is torn between its two natures and thereby the two syntaxes to which it should orientate. When a system of tonal relations is gradually established, the tonic finds itself functioning with respect to one syntax as a higher-level organising principle, while at the same time confronting the other syntax as a lower-level logical phenomenon (**II**)—in a post-Wagnerian context, chromatic syntax is often first prioritised for its ability to generate a tonally indeterminate structure that permits the duality of syntaxes. As Cohn suggests, such a syntactic conflict is already prefigured in diatonic space when triads 'cease to exploit the orienting, or "summoning", capacity of that scale's tritone' and instead exercise their capacity for 'intertriadic stepwise voice leading', and this dynamic is only 'replicated and intensified in chromatic space', in which 'intertriadic voice leading proves capable of even greater parsimony'.[55] Yet though emanating from the same source, the dialectic of tonal syntaxes does not lead towards a synthesis. Just as the I6/4 in Riemann's *große Cadenz* is incapable of representing a full closure, the chromatic syntax is unable to establish tonality on its own; to qualify as a tonal system it requires tonic definition.[56]

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[53] *Ibid.*, 206.

[54] Cohn bases his theorisation of chromatic syntax on the concept of what Dmitri Tymoczko calls 'near evenness', in which major and minor triads are considered as a single semitonal displacement apart from the 'perfectly even' augmented triads that serve as 'the invisible axes about which pan-triadic progressions spin'. This is in contrast to the dualist point of view that treats the invertibility of the consonant triad as the foundation of chromatic syntax. In either case, both perspectives attest to the two natures of the consonant triad on which my dialectical reading rests. For the notion of 'near evenness' and its relation to minimal voice leading, see *Ibid.*, 33–7; and Dmitri Tymoczko, *A Geometry of Music: Harmony and Counterpoint in the Extended Common Practice* (New York: Oxford University Press, 2011), 61–4.

[55] Cohn, *Audacious Euphony*, 206–7.

[56] The way in which a particular pitch class manifests tonicity varies in music of different styles/genres. But in a purely parsimonious voice-leading environment one can hardly perceive a hierarchy of pitch classes, which define tonicity. For further discussion on this matter, see Steven Rings, 'Tonic', in *The Oxford Handbook of Critical Concepts in Music Theory*, eds. Alexander Rehding and Steven Rings (New York: Oxford University Press, 2019), 106–35; and Brian Hyer, 'Tonality', in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 726–52.

Thus, notwithstanding the post-structuralist impulse surrounding the formation of neo-Riemannian theory, a (re)assertion of diatonic syntax as the epistemological basis of the triads and the structure they generated is needed to confirm the tonic and complete the institution of tonality (**III**).[57] This is admittedly professed by Cohn, whose taxonomy assumes the tonic *a priori*:

> The tonic status of a triad requires confirmation, weakly through the remaining tones of its associated diatonic collections; more strongly by arranging those tones into a local cadence; more strongly yet by repeating that cadence, perhaps with supplementary rhetorical packaging, at the end of the movement or composition.…Until such a collection emerges and is cadentially crowned, the triadic progressions are diatonically indeterminate.[58]

Different from the Riemann-Hauptmannian formulation, the conflict between the triad's two natures thereby results in a negative dialectic rather than a Hegelian dialectic, for the synthesis is deprived in effort to rescue the tonic. This is largely due to the fact that the two natures of the consonant triad do not share the same status from the start: whereas diatonic syntax is derived from the acoustic properties of the triad that lay the foundation of the tonal system, chromatic syntax is based on a voice-leading *logic* that does not participate in the construction of tonality.[59] This is why, despite that chromatic syntax assumes the role of a dialectical subject, it demands a reorientation towards diatonic syntax in order for the very idea of tonality to be objectified.

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[57] The rise of neo-Riemannian theory in the 1990s could be seen as a response to New Musicology's critique of the insistence on unity in music theory and analysis, for their communal emphasis on deconstructionist/post-structuralist ideals such as disunity and fragmentation. While I do not seek to engage in the debate here (nor I could do it justice within this limited scope), Cohn's profession nevertheless seems to attest to an epistemological problem in deconstructionist/post-structuralist approaches, in which the so-called disunity somehow demonstrates a kind of unity. On the correlation between neo-Riemannian theory and post-structuralism, see Cohn, 'Introduction to Neo-Riemannian Theory', 167–9; and Steven Rings, 'Riemannian Analytical Values, Paleo- and Neo-', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 498–9. A brief summary of the New Musicology movement and its critique of theory and analysis can be found in Chapter Three.

[58] Cohn, *Audacious Euphony*, 9.

[59] That said, I make no claim in dismissing any *listening strategies* associated with chromatic syntax (e.g. harmonic dualism or parsimonious voice leading). The main point here is that these strategies often do not involve in the acoustic properties that define tonality. The parameters of which one uses to make out such acoustic properties varies (owing to them being a historical construct, as Hyer reminds us), but they are essentially rooted in diatonic practices. See Hyer, 'Tonality'. For a recent account of the origin of tonality, see Megan Kaes Long, *Hearing Homophony: Tonal Expectation at the Turn of the Seventeenth Century* (New York: Oxford University Press, 2020), esp. Chapter One.

The recalibration of Riemann's and Hauptmann's dialectical ideas of tonality for double syntax in turn unites the two distinct conceptions of tonal orientation. By foregrounding the triad's role as a dialectical field that houses the conflict between the two syntaxes, it attests to a unity in diversity, whereby the allegedly abrupt code-switching is conceived as an expression of the dialectic. The negative dialectical turn towards diatonic syntax as the final epistemological verdict also supports the overall tonal coherence that renders the sonata order viable: after the (re)assertion of diatonic syntax as the governing structural logic, tonal/harmonic relations generated by chromatic syntax are understood with respect to the fifth-related functions that give rise to tonality, in the same way as the large-scale dualistic manifestations of functions posited by Christensen and Rehding. The distinction of whether chromatic or diatonic syntax is at work at a global level is however predicated on the notion of closure, which I shall now interrogate in connection with the system of orbital tonality and its related model of hexatonic tension—both of which are representative of deep-level chromatic syntax.

Syntactic Dialectics and Orbital Determination

The dialectics of tonal syntax centres on the ratification of the tonic as its teleological goal, and this is closely connected to how orbital tonality operates. To reiterate Julian Horton's formulation, tonal orbits are construed as independent dualistic systems that comprise respectively 'a centre and a set of locally tonic-defining diatonic relations', in which the centres are related by voice-leading proximity crystallised in hexatonic terms: in other words, intra-orbital relations are originated from diatonic syntax, while inter-orbital relations are governed by chromatic syntax.[60] Together they make up what I call an orbital constellation, and the tonal process it produces—one that directs at tonic confirmation—could therefore be understood as a manifestation of the syntactic dialectic. Yet orbital tonality presumes the governing status of chromatic syntax and depends on the idea of tonic orientation as the final affirmation of one of the orbits via cadential and/or rhetorical gestures—it does not address the interaction between

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[60] Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', *Music Analysis* 37, no. 3 (2018): 280.

chromaticism and diatonicism underlying the syntactic dialectic and in turn its implications for the orbit as a systematic construct. This is especially pertinent to an orbital environment informed by the model of hexatonic tension, since the installation of orbits correlates closely with the presentation of the main-theme and the subordinate-theme functions, and one could derive from there two types of sonata teleology that is based on either 1) the contest between independent orbital systems, which attests to a chromatic conception of sonata form; or 2) the conflict between the two syntaxes, which demonstrates a double-syntactic/becoming notion of form. Horton has relatively little to say about the syntactic interplay, since Bruckner's mature works, which orbital tonality is originally designed for, often exhibit the first type by dispersing the responsibility of orbital institution across the foreground. But his formulation gives us the clue as to how the orbital systems might manifest the second type. Explaining how orbital tonality differs from a 'monotonal' conception of tonality, he writes:

> The difference between this [orbital tonality] and a monotonal reading is clarified when we consider the role of modulation. In a monotonal context, tonicisations of B and A♭ would both constitute modulations in relation to a governing E tonic; in a double orbital complex centred on E and A♭, B and E stand within the same orbit, *which they both represent*, whereas A♭ orientates a different orbit. To modulate from E to B in this context is to change key *within* one system; to move from E to A♭ is to move between systems.[61]

By construing modulations as movement 'within one system' and keys as representatives of the orbit, Horton emphasises each orbit's autonomy as 'one entire classically diatonic tonal universe'—as 'a system in itself'.[62] His formulation thereby points to the idea of an orbit as a *function*—conceived in a Riemannian sense as 'an *interpretation* of a chord' that 'objects fall under', as Hyer explains—towards which a harmony or key orientates:[63] in Horton's example, B and E could then be described as

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[61] *Ibid.* Italics are mine.

[62] *Ibid.*

[63] Hyer elucidates Riemann's tonal functions as what Gottlob Frege describes as 'first-level concepts' which 'objects fall under'. See Brian Hyer, 'What *Is* a Function?', in *The Oxford Handbook of Neo-Riemannian Music Theories*, eds. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 112–27; cf. Gottlob Frege, 'On Concept and Object (1892)', in *The Frege Reader*, ed. Michael Beaney, trans. Peter Geach (Oxford: Blackwell, 1997), 189. The phrase 'an *interpretation* of chord' is adopted from Rehding, *Hugo Riemann*, 57.

functioning with respect to the E orbit, and the modulation from E to A♭ could be regarded as a *logical* progression between functions. In this understanding, orbits are like Riemann's tonal functions, which, according to Hyer, 'gives rise to more or less set-theoretical elaborations of transformationally related harmonies as chordal complex in which each tonal function determines a set class'[64]—in an orbital conception, these harmonies are related by their acoustic properties (i.e. scale-degree tendency) and the set class which an orbital function determines is instead a diatonic collection based on its centre. As orbit stems from the diatonic collection, its functionality is also conditioned by the defining features of a diatonic system; it requires its centre or tonic to be instated in order to claim the status as an independent diatonic system. Mindful of the fact that orbital tonal process concerns primarily competing *systems*, the definition of such centres is thereby crucial to the formation of orbital tonality. To be sure, this is not always what happens: while orbital centres are established by means of tonic-defining cadences, it is often the case that one or more orbits are referenced without any cadential confirmation. As such, the orbit is only surmised; it shows an indeterminate systematic construct as opposed to the determinate orbits with a pledged centre. What orbital indeterminacy implies is the speculative nature of its system. When one or more orbits are indeterminate, there lies not the contest between orbits—because the system(s) to which a harmony or key should relate is not crystallised—but a syntactic ambiguity, since the status of chromatic syntax as the governing principle of orbital tonality, which arises from the relations between systems, remains conjectural. In other words, orbital indeterminacy is emblematic of an ongoing syntactic dialectic where the tonal-hierarchical orientation towards chromaticism is provisional, and this engenders the sonata teleology based on the conflict between the two syntaxes.

Before addressing how the syntactic dialectic is manifested in orbital tonal process, it is necessary to first clarify the way in which closures mark the distinction between determinate and indeterminate orbits. We should therefore turn to Caplin's notion of syntactical cadential strength for a moment. Caplin distinguishes between three basic types of cadences that exhibit varying degrees of 'syntactic cadential strength', by

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[64] Hyer, 'What *Is* a Function?', 127.

which he refers to the understanding of cadences based on their 'harmonic-melodic content exclusively'.[65] In his taxonomy, the perfect authentic cadence is ranked the strongest, followed by the imperfect authentic cadence, and the half cadence is considered the weakest.[66] He contends that, for at least music in the classical style, 'differences in syntactic strength manifestly relate to the expression of formal *functionality*', and 'as agents of formal *definition*, any cadence representative of a given type is equally strong or weak in relation to any cadence of another type'.[67] Although Caplin's model focuses on classical form, the same could apply to the orbital systems, given that his formulation is based on the syntactic principles of diatonic tonality. This is evident in his understanding of the subordinate theme. For Caplin, the subordinate theme serves to articulate the subordinate key; it resides in 'a contrasting tonal *region*, one that engenders large-scale dissonance with the home key'.[68] In order for that region to be established—or in Caplin's words, 'for that key to acquire sufficient weight to vie for prominence with the home key', the subordinate theme 'must be fully confirmed by a perfect authentic cadence'.[69] This points to the significance of the PAC as an essential criterion for the inception of diatonic tonality and thus the orbital systems. Considering also the paramount role of the PAC that underlies thematic expansion, Vande Moortele puts forward a 'PAC axiom' for Romantic music, by which he refers to the assumption that 'no cadence type other than a PAC can end a subordinate theme and that any other cadence thus keeps the theme "open"'.[70] Adapting it for assessing orbital

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[65] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', *Journal of the American Musicological Society* 57, no. 1 (2004): 107.

[66] This hierarchical model is corroborated by empirical studies on cadential closure. See David Sears, William E. Caplin, and Stephen McAdams, 'Perceiving the Classical Cadence', *Music Perception* 31, no. 5 (2014): 397–417; and David Sears, 'The Perception of Cadential Closure', in *What Is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, eds. Markus Neuwirth and Pieter Bergé (Leuven: Leuven University Press, 2015), 253–86.

[67] Caplin, 'The Classical Cadence', 107. Italics are mine.

[68] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York; Oxford University Press, 1998), 97. Italics are mine.

[69] *Ibid.*

[70] Vande Moortele's formulation is modified from the PAC axiom common to both Caplin's and Hepokoski and Darcy's theories of classical form: 'A subordinate theme can end only with a PAC; as long as there has not been a PAC, in other words, the theme is not over yet, regardless of what happens on the surface of the music'. He argues that Caplin's and Hepokoski and Darcy's classical PAC axiom does not account for the realities of Romantic form and is thereby in need of a reformulation. See Steven Vande Moortele, 'Expansion and Recomposition in Mendelssohn's Symphonic Sonata Forms', in *Rethinking Mendelssohn*, ed. Benedict Taylor (New York: Oxford University Press, 2020), 213–4. As we shall see in a moment, the Romantic PAC axiom still applies to some of *fin-de-siècle* symphonic sonata forms,

Bars	1–21	22–48	49–56	57–80	81–90	91–112	113–134
Large-scale functions	Exposition (open-ended)					Development	
Inter-thematic functions 1	INT⇔MT	MT⇒TR	ST-Prefix	ST⇒C	C	Pre-Core	
Inter-thematic functions 2						INT⇔MT	MT⇒TR
Inter-thematic end functions	Standing on the V	i: PAC MC (bar 41)	♭VI: HC	♭VI : PC	prolongation of ♭VI	III: HC (c. 19th) (standing on the V/III)	prolongation of vi
Tonal process	E♭+		B+			E♭+ → G+	G+ → C-

Measures	135–146	147–154	155–162	163–174	175–181	182–184	185–197
Large-scale functions	Development (*cont.*)				Breakthrough		
Inter-thematic functions 1	Core				Pre-*Augenblick* complication	*Augenblick*	Post-*Augenblick* corrective
Inter-thematic functions 2	Prefix (INT⇔MT based)	ST		ST-Suffix	PC-progression based		TR (continuation) based
Inter-thematic end functions	IV: PAC	♭VI : ProC	ii: ProC	ii: vii°⁷	?	V: AC	III: HC
Tonal process	A♭+		B+	F-	F?	→B♭+	→ V/G+

Measures	198–212	213–233	234–260	261–268	269–292	293–302	303–318	319–334	335–349
Large-scale functions	Development (*cont.*)	Recapitulation					Coda		
Inter-thematic functions 1	RT	INT⇒MT	TR	ST-Prefix	ST⇒C	C	*Augenblick* echo	ST⇒MT	TR
Inter-thematic functions 2	TR (presentation) based								
Inter-thematic end functions	prolongation of V/III	V⁷/♭VI	iii: IAC MC (m.253)	i: HC	I: minor PC	prolongation of I	#IV: vii°⁷	I: HC	I: PAC
Tonal process	V/G+	G+	E♭+				?	→E♭+	E♭+

Table 4.1   Schmidt, Symphony No. 2, First Movement, Formal Synopsis

determination, the PAC axiom could be reformulated as follows: no cadence type other than a PAC can establish an orbital system and that any other cadence thus keeps the system open—it is the attainment of the PAC that brings about the distinction between determinate and indeterminate orbits, and consequently, between the sonata teleology based on orbital contest and that based on syntactic dialectic.

The correlation between syntactic dialectic and orbital indeterminacy is made plain in the first movement of Schmidt's Second Symphony. Comparison of Table 4.1 and Figure 4.2 captures the way this dialectically inflected orbital tonal process operates in the movement. Here the orbital constellation derives from the Western hexatonic cycle, meaning that the three orbital functions (or at least two of them) sprung

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since the manifestation of orbital tonality often correlates with the presentation of the main-theme and the subordinate-theme functions, as illustrated by the model of hexatonic tension.

(inactive)

G orbit

Western Orbital Constellation

B orbit
Subordinate Theme

Eb orbit
Main Theme
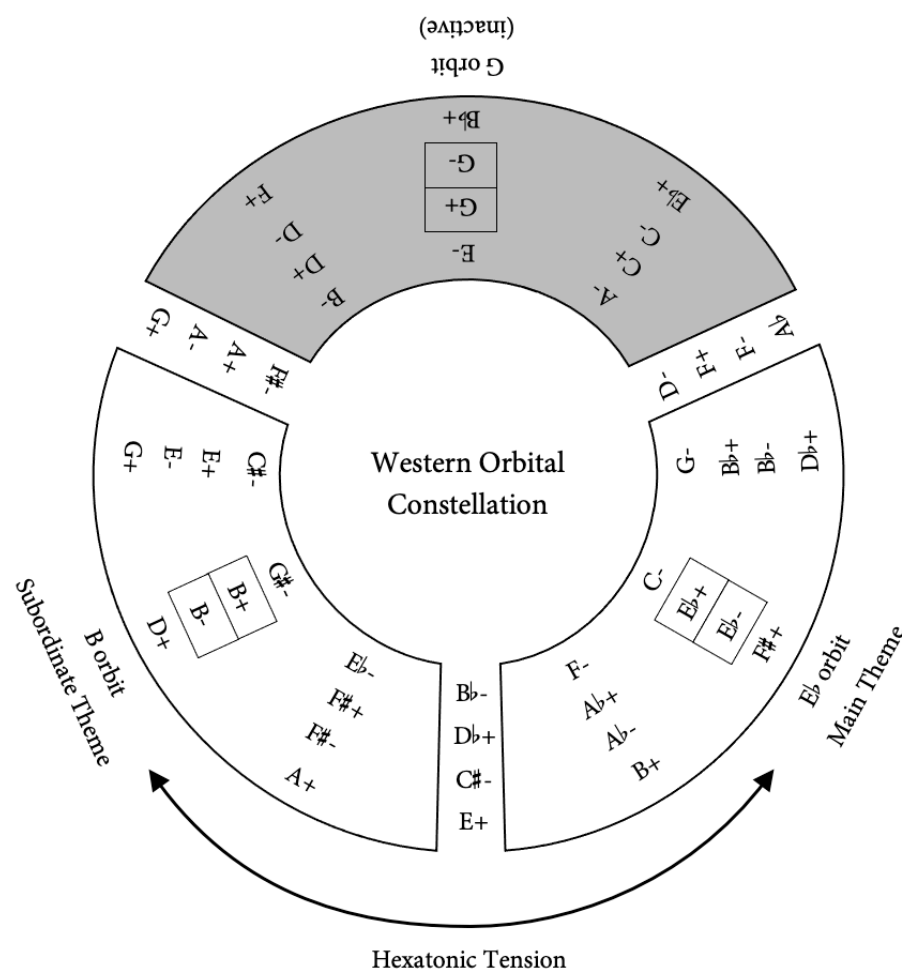
Hexatonic Tension

Figure 4.2   Schmidt, Symphony No. 2, First Movement,
Western Orbital Constellation

from that cycle should, in principle, possess their own dualistic diatonic systems. Following the model of hexatonic tension, the exposition sets out to fulfil its task of installing the orbital systems by mobilising respectively, in its first and second parts, the Eb and the B orbits, which are at once tonally disjunct but related in proximate voice-leading terms by a hexatonic PL transformation.[71] In spite of its form-functional fluidity, the first part (bars 1–48) retraces a classical intra-thematic harmonic design and establishes Eb as the orbital centre by way of local diatonic fifth relations. As Example

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[71] The dualistic understanding of Eb and its implications for the subsequent tonal relations in Schmidt's movement is also explored by Harold Truscott, albeit not in relation to a coherent framework of tonal organisation. See Harold Truscott, *The Music of Franz Schmidt, Volume One: Orchestral Music* (London: Toccata Press, 1984), 61–2, 65. Gottfried Scholz also points out that the hexatonic third relations becomes 'modulation-determining [*modulationsbestimmend*]' in this movement. See Gottfried Scholz, *Die 2. Symphonie von Franz Schmidt: Eine Untersuchung der thematischen Einheit und variativen Vielfalt* (Vienna: Doblinger, 1985), 5.

4.2 illustrates, the opening form-functional unit (bars 1–21) instills the E♭ orbit with a tonic PAC and a standing on the dominant, which give rise to a compound hybrid theme that consists of a sentential antecedent and a hybrid continuation and produce the impression of an oscillation between the introduction and the main theme.[72] The institution of the E♭ orbit thereby asserts E♭ as the unmediated tonic, attesting to stage (**I**) of the syntactic dialectic. The second part (bars 49–90) however does not follow the same harmonic strategy. Although the local harmonic progression insinuates B as the orbital centre, such an orientation is not ratified by a PAC. As Example 4.3 shows, the proliferated sentential subordinate theme (bars 57–80) comprises only an HC and a plagal cadence (PC) in B major, the latter of which replaces the anticipated EEC and causes the subordinate theme to become a closing section, leaving the exposition in an open-ended form. The second part of the exposition therefore only speculates the B orbit, which manifests an indeterminate systematic construct in comparison with the determinate E♭ orbit.

While the B orbit is deprived of its authentic cadential definition, its role as a competing system to the determinate orbit remains putative: although the B-major tonal area could be understood in orbital terms, this conception is qualified by the preference for a plagal cadence to end the orbital installation in the subordinate theme (there exists no PAC in B major in the remaining music). The premise that the Western hexatonic cycle controls the diatonic systems is hence called into question, and this evinces the ongoing syntactic dialectic: with E♭ being posited as the potential tonic by its diatonic fifth relations, B major could serve as either the centre of a diatonic orbital system subordinate to a hexatonic syntax, or a hexatonic phenomenon functioned with respect to a diatonic syntax. Because of the indeterminate B orbit, the E♭, being the provisional tonic, is caught between its two natures, crystallised into the two syntaxes, thereby imparting stage (**II**) of the syntactic dialectic. As a result, owing to the large-scale disjointed tonal motion from E♭ to B, Schmidt's exposition foregrounds

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[72] On the concept of form-functional oscillation, see Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33, no. 2 (2014): 130–55. See also Chapter One for the distinction between different species of form-functional transformation. Scholz also notes the form-functional ambiguity of the opening unit. See Scholz, *Die 2. Symphonie*, 4.

Example 4.2   Schmidt, Symphony No. 2, First Movement,
Introduction⇔Main Theme

Example 4.2   Schmidt, Symphony No. 2, First Movement,
Introduction⇔Main Theme (*cont.*)

Example 4.3   Schmidt, Symphony No. 2, First Movement, Subordinate Theme

Example 4.3   Schmidt, Symphony No. 2, First Movement, Subordinate Theme (*cont.*)

hexatonic logic as the interim global syntax and concurrently puts in place the dialectics between hexatonic and diatonic syntaxes, a process which is encapsulated in the plagal cadence that indicates the B orbit's inability to function as a self-contained diatonic system. While the harmonies or keys are said to function provisionally with respect to hexatonic syntax as the global logic, they are nevertheless compelled to reorientate towards diatonic syntax to confirm the tonic and resolve the dialectical conflict. The reassertion of diatonic syntax, or stage (**III**), requires the elicitation of a structural dominant to reinstate diatonic superiority. Yet this does not occur until the advent of the breakthrough in the development, within which lies the *Augenblick* that divulges the syntactic dialectic in disguise and recollects the diatonic moments of the dominant in the blink of an eye—all of which take place in the form of a modulating cadential function.

The Prinner's Glance at Dualistic Space

While retracing a thematic layout identical to the exposition, the development travels through the tonal areas associated with E♭ and B orbits and evokes the remaining G orbit in passing, before settling on F that launches the breakthrough (bars 175–197). The breakthrough's formal span is distributed across the harmonic fields of F minor, B♭ major and G minor, as shown in Example 4.4. Despite its harmonic instability, the model and sequences suggest a F orientation with a mixture of dominant seventh, diminished seventh and combined chords over a F pedal. The F sonority subsequently gives rise to a modulating cadential progression, which I regard as the *Augenblick* of the movement.[73]

A detailed examination of the construction of this modulating cadential function would illuminate how it reveals the syntactic dialectic and asserts diatonic syntax

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[73] Corresponding to the formulation of breakthrough function in Chapter Three, the F sonority belongs to the tritone functional region (arisen from the Eastern hexatonic cycle) in a diatonic functional matrix. In terms of bass progression, it serves as a preparatory ii that should lead the music straight back to the tonic—a situation which, as we shall see, does not occur in Schmidt's case.

Example 4.4   Schmidt, Symphony No. 2, First Movement, Breakthrough

as the underlying structural force. As Example 4.5 illustrates, the cadential phrase displays a modulation from B♭ major to G minor, in which a B♭ major abandoned cadence is mobilised in order to bring forward a G minor HC that closes the formal unit. This technique of modulation had its historical precedent in the concept of '*vermiedene Kadenz* [avoided cadence]' proposed by Johann Georg Sulzer in *Allgemeine Theorie*

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Example 4.5   Schmidt, Symphony No. 2, First Movement,
Cadential Phrase in the Breakthrough

der schönen Künste (1771).[74] As Markus Neuwirth explains, the *vermiedene Kadenz* involves transforming the tonic of an authentic cadence into an applied dominant by adding a lowered seventh (e.g. I⁷ becomes V⁷/IV), and the applied dominant therefore 'groups forward with the following unit, in which we expect a new key to receive cadential confirmation'.[75] Owing to its modulatory capacity, the *vermiedene Kadenz* 'was often used in compositional practice to articulate the boundaries between the "development proper" and the retransition'.[76] With reference to a number of examples from Haydn, Neuwirth declares that 'the deceptive goal [of the *vermiedene Kadenz*] serves as a secondary dominant that enables the composer to modulate from the key of vi back to the home key within the transition'.[77] Though with a different configuration, this is essentially the case with Schmidt's progression: it begins with the dominant of B♭ major, which is then modified with an added ninth and an sharpened fifth before turning into a dominant seventh. This is followed by a B♭ major tonic ninth that resolves to its triadic form afterwards. This tonic triad is nevertheless reinterpreted as the mediant of G minor—in a similar fashion as the deceptive goal of the *vermiedene*

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[74] Johann Georg Sulzer, 'Cadenz', in *Allgemeine Theorise der schönen Künste*, vol. 1 (Leipzig: Weidmanns Erben und Reich, 1771), 186.

[75] Markus Neuwirth, '*Fuggir la Cadenza*, or the Art of Avoiding Cadential Closure: Physiognomy and Functions od Deceptive Cadences in the Classical Repertoire', in *What Is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, eds. Markus Neuwirth and Pieter Bergé (Leuven: Leuven University Press, 2015), 147.

[76] *Ibid.*

[77] *Ibid.*, 147–8.
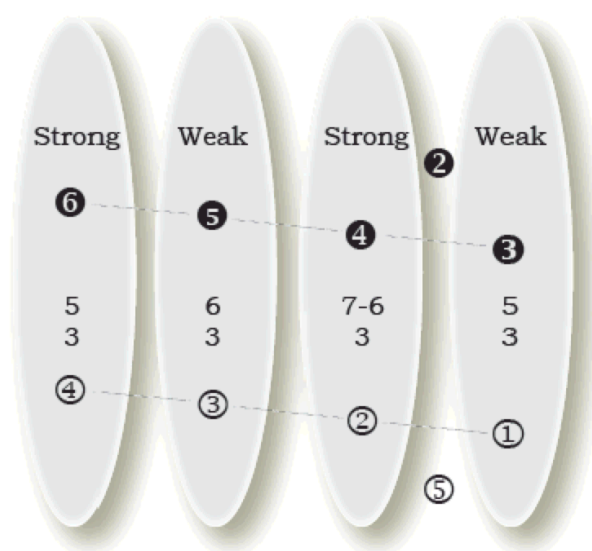
Figure 4.3   The 'Prinner' Prototype (reproduced from Gjerdingen, *Music in the Galant Style*)

Kadenz—that leads to the dominant. The B♭ major PAC is hence abandoned and exchanged for a G minor HC, and this effects a modulation in an effort to redirect the music to the dominant of G minor to prepare for the arrival of the recapitulation in the same key, exhibiting a procedure that plays on the idea of cadential avoidance in a novel way comparing to its eighteenth-century forebears.

While such a progression might be described as an instance of Janet Schmalfeldt's 'one more time' technique, a closer look at its schematic design would repudiate this reading.[78] The overall voice-leading work in the cadential progression could be understood in relation to the Prinner schema in Robert O. Gjerdingen's terms, a prototype of which is given in Figure 4.3.[79] In Gjerdingen's account, the Prinner is characterised by a soprano line descent from scale-degree ❻ to ❸ that matches with a bass line descent from ④ to ①.[80] Interrogating the form-functional aptitude of the Prinner,

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[78] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', *Journal of Musicological Research* 12, no. 1–2 (1992): 1–52.

[79] Robert O. Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007), 45–60.

[80] Following Gjerdingen, I use black circles to indicate the schema's melody and white circles to denote its bass. See *Ibid*., 20.

Example 4.6   Schmidt, Symphony No. 2, First Movement
A 'Prinner' Reading of the Cadential Phrase

Caplin argues that, being a riposte, the Prinner can assume both medial and ending functions.[81] Spotlighting its ending capacity, he suggests that the Prinner can produce a cadential progression and give rise to a special form of the IAC, namely the 'Prinner cadence', by adding a bass ⑤ between ② and ①.[82] Although, just like other galant schemata, the use of the Prinner cadence went into a rapid decline after the galant era, 'memory of their earlier ubiquity lingers long', and so 'we should not be surprised to find the occasional recollection of the Prinner cadence in later musical styles'.[83] Among the Romantic realisations, Caplin refers to two instances where the Prinner departs significantly from galant and classical practices in 1) its adoption of chromatic passing chords as embellishments and 2) the placement of its melody in the alto voice, which engenders a PAC instead of a Prinner cadence. With this in mind, Schmidt's modulating cadential progression could be perceived as conveying a Prinner, though it is an abandoned one inherent in the inner voices.[84] Example 4.6 presents a Prinner

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[81] William E. Caplin, 'Harmony and Cadence in Gjerdingen's "Prinner"', in *What Is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire*, eds. Markus Neuwirth and Pieter Bergé (Leuven: Leuven University Press, 2015), 18.

[82] *Ibid.*, 30–1.

[83] *Ibid.*, 52. See also Chapter Two for a relevant discussion on the *le–sol–fi–sol* schema in reference to Vasili Byros' work.

[84] That the first movement might be based on an earlier plan for a piano sonata supports this Prinner reading, given how the formation of galant schemata is rooted in the partimento tradition. See Scholz, *Die 2. Symphonie*, 4. For a fascinating account that traces the history of the partimento tradition from the galant era till as far as the early twentieth century, see Robert O. Gjerdingen, *Child Composers in*

reading of the cadential phrase. Emanating from the key of B♭ major, the Prinner starts

off by producing the abandoned cadence (AC) with a soprano descent from ❻ to ❺

and an alto descent from ④ to ③. While the supposed tonic of the AC emerges and is

reinterpreted as the mediant of G minor, the Prinner melody nonetheless stays in B♭

major and goes into the alto voice; the two voices of the Prinner are now housed in the

alto in two parts (❺ and ③), and the soprano is being replaced by a voice-leading

movement that prepares for the G minor HC. The Prinner melody then continues into

the HC (❹ and ❸, with a preceding chromatic passing tone), and yet its lower voice

ceases to progress after ② and substitutes its anticipated ① for ③, or the note D,

which is the root of the G minor dominant—in other words, the Prinner, like its asso-

ciated B♭ major, is abandoned to give way to the G minor HC, and the entire phrase

attests to a unified modulating cadential function motivated by the Prinner rather than

a cadential repetition resulted from the 'one more time' technique.[85]

Despite its inability to generate a proper cadence in its key of origin, the Prinner,

while expressing an ending function, holds onto B♭ major until the very last moment.

Although its effort to establish B♭ major is in vain, this 'nearly completed' schema,

often obscured by the voice-leading work that engenders the G minor HC, has its own

syntactic significance. While the hexatonically related tonal orbits have tentatively

seized control of the pitch collection, the breakthrough's progression from F to B♭ dis-

plays a strong intent to initiate a standing on the dominant at the arrival of the retran-

sition that would bring us back to the tonic E♭ in the recapitulation, pointing to the

retrieval of a global diatonic syntax. Such a vision is implied in the long anticipated V–

I bass motion in B♭ major that produces the AC: in an ideal world, the inner-voice

Prinner would subsequently give rise to a B♭ major PAC as a corrective, just as its Ro-

mantic deviation, and this PAC would retrospectively be recognised as a reinterpreted

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the Old Conservatories: How Orphans Became Elite Musicians (New York: Oxford University Press, 2020).

[85] Scholz also points out the significance of the 'moving middle voices [*bewegte Mittelstimmen*]' and the B♭ orientation in the breakthrough, though he has not explicated their connections. See Scholz, *Die 2. Symphonie*, 6–7. A similar modulating cadential phenomenon is interrogated in Frank Lehman, 'Hollywood Cadences: Music and the Structure of Cinematic Expectation', *Music Theory Online* 19, no. 4 (2013), https://mtosmt.org/issues/mto.13.19.4/mto.13.19.4.lehman.html.
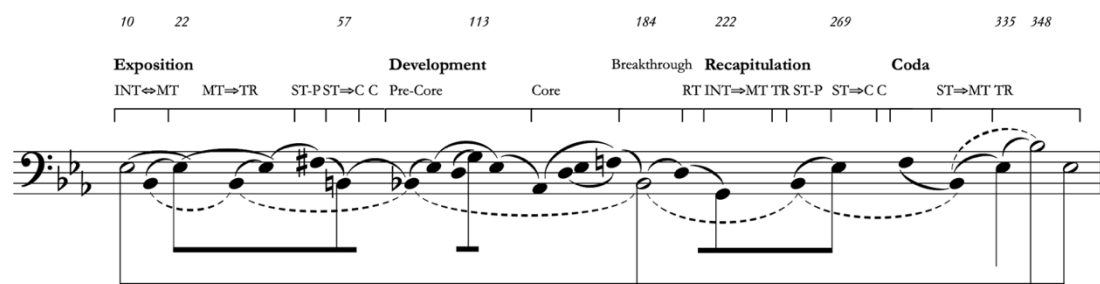
Example 4.7   Schmidt, Symphony No. 2, First Movement, Large-Scale Bass Diagram

HC in E♭ in a broader formal context that leads the music back to the tonic. Yet this is impeded by the precipitate advent of the G minor HC, which seeks to restore the hexatonic syntax and thus exposes the syntactic dialectic. In spite of that, the Prinner offers a glimpse of a diatonic conception of the movement. By positing the first B♭ orientation in the music, the Prinner relates the moments of B♭ to this *Augenblick* and asserts it as the structural dominant, which is materialised as the bass note B♭ that, in Schenkerian terms, has been prolonged as an underlying structural phenomenon that is yet veiled by the hexatonic inter-orbital relations. As Example 4.7 shows, the emergence of the structural dominant in the *Augenblick* displaces the large-scale hexatonic progression, which is retrospectively reinterpreted as subsumed under a global diatonic structure. This in turn occasions a reshuffling of tonal-hierarchical relations: hexatonic relations are now construed in terms of diatonic functions, inducing a tonal-syntactic functional reinterpretation that turns the conjectural orbital systems into diatonic functional regions, as presented in Figure 4.4.[86] The inversion of tonal-hierarchical relations hence avers diatonic syntax as the epistemological priority of tonality, signifying the advent of stage (**III**) of the syntactic dialectic, which paves the way for the affirmation of the tonic in the subsequent music.

As the *Augenblick*, the Prinner's glance at dualistic tonal space prompts the collapse of the time-space distinction: the double-syntactic dialectical journey is united with the diatonically orientated dualistic space. Though diatonic syntax is asserted as

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[86] See Chapter Three for the concept of 'tonal-syntactic functional reinterpretation'. On the diatonic functional regions, see Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th-Century Music* 22, no. 3 (1999): 213–32.

eastern

ii - breakthrough

F+/F-

D♭+/C♯-

A+/A-

reinterprets

IV		I		V
A♭+/A♭-	- - - - -	E♭+/E♭-	- - - - -	B♭+/B♭-
E+/E-	- - - - -	B+/B-	- - - - -	F♯+/F♯-
C+/C-	- - - - -	G+/G-	- - - - -	D+/D-

northern   western   southern
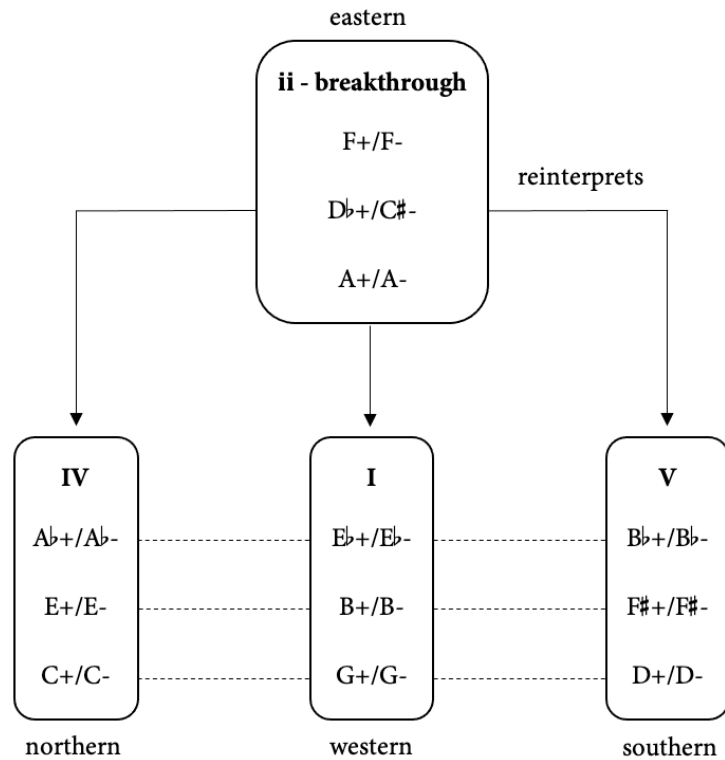
Figure 4.4   Schmidt, Symphony No. 2, First Movement,
                Diatonic Functional Regions

the overall structural logic, it is yet to be ratified by a tonic PAC that defines diatonic tonality, and so the syntactic dialectic continues with the diatonic functional regions being the conjectural tonal system. Unlike the Adagio of Mahler's Tenth, in which the tonic PAC is quickly attained in the form of the ESC in a much-reduced recapitulation, the institution of tonic occupies a formal span twice as long as the exposition for Schmidt, as if the *Augenblick* has lapsed. After the redirection to G minor, the reprise of the opening formal unit (bars 213–233) establishes the same key as its centre with a premature PAC (bars 222–223), referencing again the Western hexatonic cycle which now assumes the role as the tonic function. Yet this time, it closes with a B major HC rather than a standing on the dominant. This triggers the perception of a main theme to supplant that of an introduction, and consequently, the next unit to take on a full form-functional role as the transition (bars 234–260). The second part (bars 261–302) of the recapitulation retraces both the thematic and harmonic design of its counterpart in the exposition, except that it is now in the supposed tonic E♭: just when tonic defi-nition is expected, it once more ends on a plagal cadence and leaves the recapitulation 'open', relaying such a responsibility to the coda. While the coda (bars 303–349)

evokes a reminiscence of the *Augenblick* and recalls the syntactic dialectic it revealed via allusions to the relevant key areas in a highly unstable harmonic environment, the tonic covertly makes its way through the chromatic foreground and supplies an HC in preparation for the tonic clarification. This is eventually crystallised into a triumphal final statement, in which the closing PAC serves to verify the tonicity of E♭. It is with this ultimate confirmation that diatonic syntax is corroborated as the controlling force of the dualistic tonal system, a belated validation which brings the long overdue stage (**III**) of the syntactic dialectic to a completion.

A *Fin-de-Siècle* Viennese Sonata Trajectory

In conclusion: the consonant triad's two natures generate the two syntaxes, the dialectics of which serves as the teleological drive of the tonal process, which in turn has formal ramifications. At the intra-thematic level, the alternation between the two syntaxes unsettles the definitions of formal functions that are founded upon a diatonic premise:[87] in the case of the modulating cadential function, the *vermiedene Kadenz* is utilised as a modulatory technique that is intertwined with the use of an inner-voice Prinner as a vehicle for formal functionality. Such phenomena subsequently lead to a revamped sonata process, which is contingent on the manifestation of the orbital systems that often correlates with the expression of inter-thematic formal functionality. While the main theme unequivocally establishes one orbit as the unmediated tonic, the subordinate theme, though evoking a different orbit, bespeaks instead the tension between hexatonic and diatonic syntaxes, which is evinced in its defiance of key definition for both the orbital system and the subordinate theme by consistently evading a PAC in favour of other cadential formulae. The exposition's function to institute the tonal polarity between the two keys is thus replaced by the initiation of the syntactic

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[87] While, as Caplin suggests, the chromatic syntax does not always involve mechanisms of thematic closures 'where the expression of functional tonality is paramount', there are cases in which the intra-thematic harmonic design is highly chromaticised and shows no sign of functional tonality. This in turn affects the syntactic *context* that determines the functionality of cadences. Bruckner, for example, took the phenomenon of double syntax to an extreme. For Caplin's discussion of the impact of chromaticism on nineteenth-century form, see William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum* 40, no. 1 (2018): 4. On the manifestation of double syntax in Bruckner's intra-thematic design, see Horton, 'Form and Orbital Tonality'; and Miguel Ramirez, 'Chromatic-Third Relations in the Music of Bruckner: A Neo-Riemannian Perspective', *Music Analysis* 32, no. 2 (2013): 155–209.

dialectic, which is predicated on keeping the orbital system and the subordinate theme 'open'.[88] In some cases, this renders the analytical reliance on the concept of the EEC—the supposed generic and tonal goal of the exposition—unproductive, since its attainment is doomed to fail in a chromatic environment informed by the syntactic dialectic.[89]

The syntactic dialectic, in disguise as the orbital tonal process, thereby lays the foundation of the sonata trajectory, whose goal is to instate the diatonic syntax and reassert the tonic. While the development is mobilised in pursuit of this task, the tonally indeterminate structure that the hexatonic syntax generates necessitates an overturn of the tonal-hierarchical relations.[90] This precipitates the structural breakthrough at the end of the core, which functions as a locus of syntactic reappraisal, or a 'diversion' from the ongoing formal discourse, as per Theodor W. Adorno's formulation.[91] Within the breakthrough, the *Augenblick*, which offers the gateway for the beholder to glance at the totality, appears in a blink; it often takes the form of a cadential progression spotlighting the structural dominant that has significant syntactic implications—in Mahler's Adagio, it is the combined dominant ninth chords that brings the F♯–B♭ conflict to the fore; and in Schmidt's Second, it is the B♭-orientated Prinner that supports the modulating cadential function. In most instances, such a structural dominant fails to materialise and the cadential progression is either deflected to another key or abandoned altogether. But the eye's glance at the totality, the alternative diatonic orientation, effects a fundamental change of our tonal perception that sees a tonal-syntactic functional reinterpretation, relocating the tonal universe to a diatonic

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[88] This happens much more frequently with post-1900 tonal repertoire (with the exception of Bruckner) in the Austro-German sphere, possibly due to the prevalence of the musical ideals—above all, the idea of musical drama—advocated by the members of the New German School and their successors in *fin-de-siècle* Vienna. See Chapter Five for a brief account of this history in relation to the development of the tonal idiom.

[89] In this formulation, the Adagio of Mahler's Tenth presents an interesting case, in which the role of the main theme and that of the subordinate theme swap: whereas the subordinate theme closes with a PAC and establishes its associated orbital system, the main theme receives no cadential confirmation, despite that it references the orbital system of what is supposed to be the unmediated tonic.

[90] See also Chapter Three for the distinction between an orbital tonal process and a neo-Riemannian account of large-scale tonal progression.

[91] Theodor W. Adorno, 'Mahler (Centenary Address, Vienna 1960)', in *Quasi Una Fantasia*, trans. Rodney Livingstone (London: Verso, 1998), 102–3. See also Chapter Three.

solar system that appears as diatonic functional regions. In this manner, diatonic syntax is asserted as the governing tonal force that induces the underlying diatonic structure, and the ratification of the tonic (via a PAC) is hence only a matter of time: in a condensed recapitulation (with the main theme often stated in the tonic), it often takes place at the point of the ESC, whereas in a 'regular' recapitulation (with the main theme usually presented in a non-tonic key), that responsibility is always passed on to the coda.[92]

Grounded in the syntactic dialectic, such a process attests to a special model of sonata trajectory peculiar to *fin-de-siècle* Viennese symphonic first movements, in which I divide the sonata process into three stages in accordance with the syntactic dialectic and distinguish between determinate and indeterminate tonal orbits, the difference of which is critical to the perception of the dialectical process. To summarise: stage (**I**) denotes the unmediated assertion of the tonic, a task which is extended from the introduction till as far as the transition. Tonally, the transition is often joined up with the main theme in the presentation of the first orbit, resulting in form-functional ambiguity as with Schmidt's movement. The inter-orbital progression subsequently brings about stage (**II**), the instigation of the syntactic dialectic. In this stage, at least one of the orbits is established by the end of the exposition to posit orbital tonality as the speculative tonal system and chromatic syntax as the controlling tonal force. The shift of orbital systems in effect creates a 'two-part exposition', to use James Hepokoski and Warren Darcy's terms, but such a divide is motivated by the tonal disjunction rather than the medial caesura.[93] The second stage lasts until the *Augenblick*, where the reorientation of tonal-hierarchical relations signals the initiation of stage (**III**), rendering either a reduced recapitulation that restores the tonic via the ESC, or a normal-size recapitulation that leaves this task till the coda. Overall, such a trajectory en-

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[92] The former corresponds to James Hepokoski's notion of breakthrough deformation. See James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 6.

[93] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 23–36. Tonal disjunction appears to be a more prevalent device that marks the arrival of the subordinate theme for this repertoire, while the medial caesura, as a textual and rhythmic device, only serves to *reinforce* this tonal process. For a recent study that challenges the claim that the medial caesura is a necessary condition for the appearance of the subordinate theme, see William E. Caplin and Nathan John Martin, 'The "Continuous Exposition" and the Concept of Subordinate Theme', *Music Analysis* 35, no. 1 (2016): 1–43.

capsulates a double-syntactic conception of sonata process, in which syntactic 'becoming' is foregrounded as central to the manifestation of dialectical form, or the experience of a negative dialectic.[94]

This model captures the interaction between time and space, process and structure, in a post-Wagnerian tonal context, which I consider as the foundation of a theory of *fin-de-siècle* symphonic sonata form. While more substantial work is required to pin down the different realisations of the model and their associated formal praxis, Schmidt's movement presents a prototype of how the syntactic dialectic operates in sonata form—it evinces a sonata process built upon a set of hexatonically related orbital functions described by neo-Riemannian labels, which are later revealed as supported by an underlying diatonic bass structure that could be understood in relation to Simon Sechter's *Stufentheorie*.[95] All of this is yet made possible only by the triad's two natures, the dialectic of which was arguably first uncloaked in Schubert's music. In Diether de la Motte's words: 'in this music of Schubert, so gorgeous and so tonally secure to the foregrounded ear, the position of the tonic as functional centre is placed into question for the first time, like a soft revolution'.[96] Almost a century later, the same revolution is continued by his Viennese successors, albeit on the brink of collapse.

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[94] On the relation between 'becoming' and negative dialectic, see Chapter One.

[95] In spite of the highly chromatic foreground, the bass progression in this repertoire often shows a clear diatonic orientation after the *Augenblick*, and this could be a result of the Viennese *Stufentheorie* tradition that passed on from Sechter to Bruckner. On Sechter's *Stufentheorie* and its chromatic extension, see Robert W. Wason, *Viennese Harmonic Theory from Albrechtsberger to Schenker and Schoenberg* (Rochester, NY: University of Rochester Press, 1985), 33–60. See also 67–111 for the *fin-de-siècle* reception of the *Stufentheorie*.

[96] 'Schon in dieser so wohlklingenden und dem vordergründigen Ohr eindeutig tonal gesichert erscheinenden Musik Schuberts ereignet sich als sanfte Revolution ein erstes Infragestellen der Tonika als Funktionszentrum'. See Diether de la Motte, *Harmonielehre* (Kassel: Bärenreiter, 1976), 167. Translation adopted from Cohn, *Audacious Euphony*, 205.

Chapter Five

Dialectics of Everything in
Pelleas und Melisande

The Symphony and the Drama in the Symphonic Poem

From its conception, the genre of the symphonic poem has had an intricate relationship with its epistemic self. It was invented as a product through which Liszt crystallised his vision for programme music as part of the nineteenth-century dispute over the superiority of absolute or programme music. In 'Berlioz und seine Harold-Symphonie', Liszt distinguished between composers of absolute music and programme music, designating them respectively as 'mere musician' (*bloßer Musiker*) and 'tone-poet' (*Tondichter*).[1] He then denounced the former for only 'manipulating, grouping, and connecting the tones according to certain established rules', while praising the latter for 'reproducing his impressions and the adventures of his soul in order to communicate them'.[2] This characterisation of the 'tone-poet' is subsequently extended to the 'poet-symphonist' (*dichtende Symphonist*), who expresses his or her poetic ideas in the symphony by means of a programme that can 'lead to instrumental music characteristics corresponding almost exactly to the various poetic forms'.[3] The creation of the symphonic poem thus coincides with Liszt's agenda of championing the programmatic symphony, which, in his view, 'is destined to gain firm footing in the present art

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[1] Franz Liszt, 'Berlioz and His 'Harold' Symphony (1855)', in *Source Readings in Music History: From Classical Antiquity to the Romantic Era,* ed. Oliver Strunk (New York: W. W. Norton & Company Inc., 1950), 861–2. The full text in German can be found in Franz Liszt, 'Berlioz und seine Harold-Symphonie', in *Sammlung Musikalischer Vorträge*, vol. 3, ed. Paul Graf Waldersee (Leipzig: Breitkopf & Härtel, 1881}, 319–405. The complete autograph manuscript is lost. The cited text is in Lina Ramann's edition.

[2] *Ibid.*

[3] Liszt, 'Berlioz and His "Harold" Symphony (1855)', 863. 864; *cf.* German text, 363. 365. 'Poet-symphonist' is my own translation.

period and to attain an importance comparable to that of the oratorio and cantata'.[4] Construing the symphonic poem as a conflation of symphonic form and programme however posits two different understandings of such music: 1) the symphonic poem as a symphonic genre, which is associated with the tradition of symphonic form since Beethoven; 2) the symphonic poem as a dramatic genre, one that takes its inspiration from poetry, opera and melodrama.[5] These two overlapping yet divergent conceptions in turn point to a fundamental issue in the study of the symphonic poem: to what extent should one consider its symphonic formal design? And how much should one take into account its programmatic content?

The divide between proponents of absolute and programme music eventually arrived at a state of reconciliation at the *fin de siècle*. As Mark Evan Bonds asserts, composers in their early career at the time 'tended to adopt a less polarizing attitude' towards the issue.[6] While the polemics over the superiority of absolute and programme music have apparently gone into history, the supposed dichotomy has nevertheless continued to haunt the analytical reception of the symphonic poem. In view of the two conceptions identified above, studies of the symphonic poem often fail to take full account of both its form and content as a unified whole. Commentators frequently underscore its engagement with either the Beethovenian symphonic practices or the programme's literary sources, instead of the synthesis of the two as a single organising principle peculiar to the genre. Steven Vande Moortele, for instance, treats 'symphonic poems as if they were absolute music', with the intention to show what they 'have in common with a number of compositions that unequivocally belong to absolute music', by which he means 'the kinship of the symphonic poem to the symphony […] in terms of formal organisation'.[7] Joanne Cormac however challenges such a position. She relates Liszt's conception of the symphonic poem to Hegel's idea of drama and situates

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[4] Liszt, 'Berlioz and His "Harold" Symphony (1855)', 863; *cf.* German text, 364.

[5] The symphonic poem emerged in Liszt's musical thought as a lyric genre before it eventually materialised as a dramatic genre. See Joanne Cormac, *Liszt and the Symphonic Poem* (Cambridge: Cambridge University Press, 2007) for a thorough study on the development of Liszt's conception of the symphonic poem in relation to his musical activities during the Weimar period.

[6] Mark Evan Bonds, *Absolute Music: The History of an Idea* (New York: Oxford University Press, 2004, see also chap. 10–12 for a historical overview of the absolute-programme debate.

[7] Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 59, 60, 63.

its genesis within the history of theatre instead, contending that the genre 'is often more indebted to the dramatic music of opera and melodrama than the symphonic tradition, even in its formal features'.[8] Taking a more balanced perspective, both James Hepokoski and Vera Micznik acknowledge the inextricable nature of form and programme in their respective case studies.[9] They adhere to a two-step investigation in which they first attend to issues of form and structure, and subsequently consider their relation to programmatic meaning. Yet this seemingly mixed approach essentially maps the programme onto an assumed formal-structural foundation rather than integrating them as structural imperatives; or, in other words, it conceives the symphonic poem as manifesting a musical logic that is capable of expressing poetic content, as opposed to a logic that encompasses both form and content. Underlying such an issue is perhaps a default understanding of the symphonic poem as a kind of programmatic symphony, whereby the programme does not gain a structural importance comparable to the putative absolute symphonic form. But in order to achieve a comprehensive understanding of the symphonic poem as a coalescent symphonic-dramatic genre that embraces the multiple symphonic and literary connotations, we require a methodology that admits both form and programme as the two coordinates of its structural logic. While it is established that the sonata design—understood as both form and cycle—plays a significant role in the symphonic poem,[10] the question now becomes: what is the musical vehicle for the programme?

In theorising the concept of pitch-space path, Fred Lerdahl demonstrates the potential for tonal progressions to embody expressive meaning. He takes Wagner's *Parsifal* as an example and declares that 'trajectories in tonal space have symbolic significance, functioning as superleitmotives, so to speak, that govern small and large

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[8] Cormac, *Liszt and the Symphonic Poem*, 339.

[9] See James Hepokoski, 'Fiery-Pulsed Libertine or Domestic Hero: Strauss's *Don Juan* Revisited', in *Richard Strauss: New Perspectives on the Composer and His Work*, ed. Bryan Gilliam (Durham, NC: Duke University Press, 1992), 135–75 and Vera Micznik, 'The Absolute Limitations of Programme Music: The Case of Liszt's "Die Ideale"', *Music & Letters* 80, no. 2 (1999): 207–40.

[10] Apart from the works cited above, see also Richard Kaplan, 'Sonata Form in the Orchestral Works of Liszt: The Revolutionary Reconsidered', *19th-Century Music* 8, no. 2 (1984): 142–52; Daniel M. Grimley, 'The Tone Poems: Genre, Landscape and Structural Perspective', in *The Cambridge Companion to Sibelius*, ed. Daniel M. Grimley (Cambridge: Cambridge University Press, 2004), 95–116; Aidan J. Thomson, 'Unmaking *The Music Maker*', *Elgar Studies*, eds. J. P. E. Harper-Scott and Julian Rushton (Cambridge, Cambridge University Press, 2007), 99–134.

stretches of musical progression'.[11] These trajectories are modelled through Gottfried Weber's regional space, where directions of the tonal path are associated with symbolic categories devised from the plot.[12] Such an approach connects tonal journey to the unfolding of a narrative, whereby tonal events are conceived as direct expression of dramatic occurrences. This indicates the structural correlation between tonal progression and the programme in constructing expressive means for dramatic genres, a point which is corroborated by a comparison between the semantics of a sentence and the narrative of a story. As Lerdahl writes, 'all kinds of verbal utterances depend tacitly on concepts of spatial location and motion […] an utterance, a narrative, and a musical passage all share an abstraction, that of objects and paths moving in time through space'.[13] Lerdahl's framework thereby provides a context for modelling the programme in terms of tonal progression in the symphonic poem. The ensuing tonal narrative constitutes the other coordinate of the symphonic poem's structural logic, and its interaction with the formal process attests to a union of symphonic and dramatic genres that characterises the symphonic poem.[14]

This understanding is however interlaced with the ostensible tension between

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[11] Fred Lerdahl, *Tonal Pitch Space* (New York, Oxford University Press, 2001), 119. See also Gottfried Weber, *Versuch einer geordeneten Theorie der Tonsetzkunst* (Mainz: B. Schotts Söhne, 1817-1821).

[12] For a complete discussion on how the pitch-space path operates in relation to the narrative in *Parsifal*, see Lerdahl, *Tonal Pitch Space*, 119–38, also chap. 2 for a thorough study of diatonic tonal space.

[13] Lerdahl draws on Ray Jackendoff's semantic theory of conceptual structure to make his point. See *Ibid.*, 140–1; see also Ray Jackendoff, *Semantics and Cognition* (Cambridge, MA: MIT Press, 1982).

[14] This idea of tonal narrative as the chief musical agency for the programme demonstrates a fundamental difference between mid-nineteenth-century and *fin-de-siècle* symphonic poems, in which topical discourse and motivic transformation in the former often play a more important role in modelling the programmatic content. I consider such a '*fin-de-siècle* turn' as arising from the influence of the Wagnerian model of musical drama, which is predicated on the use of *Leitmotiven* and extended tonal practice. For the mid-nineteenth-century treatment of programme in the symphonic poem, see Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley, CA: University of California Press, 1989), 236–44; and for more case studies of how post-Wagnerian tonal drama operates, see William Kinderman and Harald Krebs, eds., *The Second Practice of Nineteenth-Century Tonality* (Lincoln, NE: University of Nebraska Press, 1996). With reference to Liszt's piano music, Márta Garbócz also points out that 'meaningful relations in the tonal system' can evoke dramatic associations. See Márta Garbócz, 'Die Wirkung des Programms auf die Entwicklung der instrumentalen Formen in Liszts Klavierwerken', *Studia Musicologica Academiae Scientiarum Hungaricae*, 22 (1980): 305–6. There are other attempts that seek to integrate dramatic/poetic form with musical form to account for the interaction between form and programme in the symphonic poem. See for example, Mathieu Schneider, *Destins croisés: du rapport entre musique et litterature dans les œuvres symphoniques de Gustav Mahler et Richard Strauss* (Waldkirch, Edition Gorz, 2005), esp. chap. 4. But these approaches often pay insufficient attention to the issue of extended tonality, which I regard as crucial to the understanding of drama in *fin-de-siècle* symphonic poems.

form and tonality, an issue which pertains especially to music at the *fin de siècle*. Similar to the divergent symphonic and dramatic readings of the symphonic poem, the analytical reception of post-Romantic music infrequently gives sonata form and extended tonal practice equal consideration. This inequality perhaps reflects the longstanding antithetical conception of the relationship between post-Romantic tonality and classical formal tradition. The prevailing analytical discourse of post-Romantic music has been dominated by studies of the so-called 'second practice of nineteenth-century tonality' stemming from research undertaken in the 1980s and the early 1990s, in conjunction with the formation of neo-Riemannian theory. Theorists such as Richard Bass and Matthew BaileyShea address the extended tonal procedures of chromatic transformations and double-tonic complex in post-Romantic music, while rarely attending to the issue of form that hinges on the music's tonal organisation.[15] For these authors, the primary concern is the broader late-nineteenth-century extended tonal practice, which seems to contradict the very idea of sonata form as a monotonal construction. Conversely, practitioners of the new *Formenlehre* tend to foreground departures from formal orthodoxy rather than the generative responsibility of tonal content as essential to sonata forms at the *fin de siècle*. Hepokoski, for example, would conceive such tonal unconventionality as a 'deformation' of the *Formenlehre* model of sonata form, which embraces 'familiar, "post-sonata" generic subtypes'.[16] This notion of deformation nevertheless excludes the possibility of extended tonality as part of the formal design, understating its significance as the primary tonal strategy at the *fin de siècle*. As a result, neither of these approaches can fully illuminate post-Romantic dualities between form and tonality, nor can they take into account form-tonality interactions, both of which are crucial to the understanding of the symphonic poem as a symphonic-dramatic amalgam.

This chapter proposes a methodology for analysing *fin-de-siècle* symphonic poems that gives equal consideration to the genre's essential properties of absolute and programme, symphony and drama, and form and content, all of which are housed in

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[15] Richard Bass, 'Half-Diminished Functions and Transformations in Late Romantic Music', *Music Theory Spectrum* 23, no. 1 (2001): 41–60; Matthew BaileyShea, 'The Hexatonic and the Double Tonic: Wolf's *Christmas Rose*', *Journal of Music Theory* 51, no. 2 (2007): 187–210.

[16] James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 5. See also Chapter Three for the relevant discussion.

the intertwining of sonata design and tonal procedure as a single structural logic. I consider the allegedly conflicted relationship between post-Romantic form and tonality as a problem of tonal understanding, arguing that the concomitance of diatonic sonata design and extended tonal practice attests to Richard Cohn's concept of double syntax and displays a dialectical discourse that addresses both formal and programmatic concerns.[17] The case in point is Schoenberg's *Pelleas und Melisande*, Op. 5, a symphonic poem that models its programme through the interaction of diatonic sonata design and extended tonality, or in Schoenberg's own words, a piece that 'taught me to express my characters in precisely formulated units'.[18] In what follows, I first revisit Alban Berg's analysis of *Pelleas und Melisande*, pinpointing how the absolute-programme dichotomy once again shapes the contemporary reception of the piece and subsequently leads to an emphasis on either form or content in the existing scholarship.[19] In response, I relate its sonata design and chromatic tonality to a dialectical discourse, in which I mobilise and modify Vande Moortele's two-dimensional sonata form and Cohn's hexatonic cycles to formulate an analytical model in order to account for its post-Romantic tonal practice, as well as the form-programme interplay.[20] Such a dialectic represents form as an extensive process of what Janet Schmalfeldt terms 'becoming', where the advent of a structural chord posits an attempted synthesis of the form-tonality dualities.[21] In view of the hermeneutic significance of this chord suggested by its associated *Leitmotiv*, I designate it as 'the chord of fate' and formulate a notion of 'sequential dissonances' in line with Schoenberg's own concept of sequence to elucidate the function of its recurrence. Conceived after the model of dialectical

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[17] Richard Cohn, *Audacious Euphony: Chromaticism and the Triad's Second Nature* (New York: Oxford University Press, 2012), 195–210.

[18] Arnold Schoenberg, 'VR53: Foreword to a Broadcast of the Capitol Recording of Pelleas and Melisande', Arnold Schönberg Center, https://www.schoenberg.at/index.php/en/archiv-2/schoenberg-spricht?id=1206, accessed 9 July 2019. I thank Philip Stoecker for pointing me to this radio recording.

[19] Alban Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5: Kurze Thematische Analyse* (Vienna and Leipzig, Universal Edition, 1920). I use the English translation by Mark Devoto throughout the chapter. See Alban Berg, 'Pelleas and Melisande Guide', trans. Mark Devoto, *Journal of the Arnold Schoenberg Institute* 16, no. 1–2 (1993): 270–94.

[20] Vande Moortele, *Two-Dimensional Sonata Form*; Richard Cohn, 'Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions', *Music Analysis* 15, no. 1 (1996); 9–40; Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th-Century Music* 22, no. 3 (1999): 213–32; Cohn, *Audacious Euphony*.

[21] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011).

form, the chord of fate's structural appearance serves as a critical formal event, which exposes the epistemological precedence of sonata order as a dialectical reality, rendering a re-conception of the entire movement or piece retrospectively as a sonata form, concurrent with large-scale form-functional reinterpretations at different formal levels.[22] This moment thereby displays the endgame of the dialectical process, which also has programmatic implications and in turn testifies to an analytical model that treats form and programme as an integrated whole.

Alban Berg's *Pelleas und Melisande*

Pelleas und Melisande, composed in 1902–1903 and based on Maurice Maeterlinck's play, is Schoenberg's first mature composition that is set to what Hepokoski describes as the deformational procedure of 'multimovement forms within a single movement'.[23] Already in 1897, Schoenberg was fascinated by this multimovement formal design advanced by Richard Strauss and recalled that he began 'composing symphonic poems of one uninterrupted movement' under the Straussian influence.[24] Preceded by the string sextet *Verklärte Nacht* (1899), the multimovement sonata layout in *Pelleas und Melisande* was only made explicit in Alban Berg's renowned analytical study from 1920, which is summarised in Table 5.1. Berg conceived bars 1–160 as a sonata first movement, albeit without a development and a substantial recapitulation.[25] He identified a section of 'developmental recapitulation', which points to the continuous nature of the multimovement formal design. Bars 161–301 constitute the episodic second movement. Each of the episodes corresponds to the scenes from Maeterlinck's play, as indicated in Table 5.1. This is followed by a slow movement that contains a 'developmental introduction' in bars 302–328 and an extended Adagio in bars 329–360. The finale, in bars 461–646, comprises a reprise of the first movement's introduction and main theme, as well as the theme from the slow movement. After an episodic interpolation, the music concludes with an extensive epilogue in ternary form.

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[22] See Chapter Two for the model of dialectical form.

[23] Hepokoski, *Sibelius*, 7.

[24] Arnold Schoenberg, 'Notes on the Four String Quartets (1949)', in *Schönberg, Berg, Webern: Die Streichquartette der Wiener Schule*, ed. Ursula von Rauchhaupt (Munich: Ellerman, 1971), 37.

[25] Berg, *Arnold Schönberg, Pelleas und Melisande, Op. 5*, 3–12; *cf.* Berg, 'Pelleas and Melisande Guide', 276–92; and Vande Moortele, *Two-Dimensional Sonata Form*, 105.

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∘1–160: FIRST MOVEMENT
        ∘1–43: INTRODUCTION (Im Walde [In the Forest])
        44–136: EXPOSITION
                44–74: main theme group (Golo macht Melisanden zu seiner
                Frau und bringt sie in das Schloß [Golaud makes Melisande his
                wife and brings her to the castle of his grandfather, the King])
                75–88: transition
                89–123: subordinate theme group (Im Schlosse lernt Melisande
                den jungen Stiefbruder Golos kennen [In the castle Melisande
                makes the acquaintance of Golaud's young stepbrother)
                124–136: closing group
        137–160: DEVELOPMENTAL RECAPITULATION

161–301: SECOND MOVEMENT
        ∘161–216: [episode] (scherzo-like) (Szene am Springbrunnen [Scene at
        the Fountain)
        217–243: epilogue
        244–282: [episode] (Szene am Schloßturm [Scene at the Castle Tower])
        283–301: [episode] (Szene in den Gewölben unter dem Schlosse [Scene
        in the Vaults under the Castle)

302–460: SLOW MOVEMENT
        302–328: developmental introduction
        329–460: adagio (Abschieds- und Liebesszene zwischen Pelleas und
        Melisande [Farewell- and Love-Scene between Pelleas and Melisande])

∘461–646: FINALE – RECAPITULATION
        ∘461–504: recapitulation of introduction
        505–514: recapitulation of main theme group
        515–540: recapitulation of slow-movement theme
        541–565: [episode] (Das Sterbegemach Melisandens [Melisande's
        Deathbed)
        566–646: epilogue (ternary)
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Table 5.1   Alban Berg's Formal Overview of Pelleas und Melisande
                 (reproduced from Vande Moortele, *Two-Dimensional Sonata Form*)

Berg's analysis elicited a multimovement formal conception of *Pelleas und Melisande*, especially with his inclusion of a sonata recapitulation in the finale. This is, however, not uncontentious. Although later studies have drawn on Berg's account as a starting point, few have fully embraced his multimovement sonata reading, thanks to his apparent treatment of the piece as absolute music. Derrick Puffett, for instance, deems Berg's proposal of a multimovement sonata construction as an aesthetically subversive act that 'seeks to turn a piece of *fin-de-siècle* programme music into something "pure" and "abstract"', going against the profound notion of 'free construction' for dramatic use prevailing at the time.[26] Following a similar line of argument, Ethan

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[26] Derrick Puffett, '"Music That Echoes within One" for a Lifetime: Berg's Reception of Schoenberg's

Haimo offers an even more dismissive account: he suspects that Berg operated as Schoenberg's ghostwriter and imposed the multimovement formal layout on his behalf to discharge *Pelleas und Melisande* from the aesthetic burden of programme music, which was no longer popular after World War I; Berg's 'absolutist' analysis is therefore 'farcical. Everything is wrong about it'.[27]

That Berg intended to downplay the programmatic elements of *Pelleas und Melisande* for the sake of enforcing his multimovement sonata reading does not seem to hold true. For one thing, Berg included the corresponding scenes from Maeterlinck's play in his formal synopsis and denoted the associative meaning of various *Leitmotiven*.[28] As Vande Moortele notes, Berg's analysis is presented as a constant alternation of: 1) formal categories; 2) references to musical examples; 3) analytical comments or programmatic labels; 4) quotations from the German translation of Maeterlinck's play; and 5) Berg's own narrative of the story, which in turn suggests that he did take into account the programmatic elements.[29] Berg also made clear that he did not see form and programme as mutually exclusive in the opening remarks of his analysis:

> Schoenberg's music – supported by the idea and the inner happening of this drama – renders the outer plot only in very broad gestures. It is never purely descriptive; the symphonic form of absolute music is always maintained [...] How such a purely musical form nevertheless agrees with Maeterlinck's drama, and how a few scenes of the play also achieve representation within these movements, are shown in the following analysis.[30]

More importantly, Schoenberg did not reject Berg's sonata reading when he was writ-

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"Pelleas und Melisande"', *Music & Letters* 76, no. 2 (1995): 216–7.

[27] Ethan Haimo, *Schoenberg's Transformation of Musical Language* (New York: Cambridge University Press, 2006), 92–6.

[28] Berg, 'Thementafel', in *Arnold Schönberg, Pelleas und Melisande, Op. 5*; *cf.* Berg, 'Pelleas and Melisande Guide', 292.

[29] Vande Moortele, *Two-Dimensional Sonata Form*, p. 106; *cf.* Berg, *Arnold Schönberg, Pelleas und Melisande, Op. 5*.

[30] Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, p. 3; *cf.* Berg, 'Pelleas and Melisande Guide', 273.

ing his own note on *Pelleas und Melisande*, even though he seemed reluctant to endorse it.[31] The claim that Berg deliberately downplayed the programmatic elements therefore appears to be too bold. What these accounts illustrate is again recent critics' antithetical conception of the relationship between form (which is denoted by multi-movement form) and programme (which is embodied in tonal drama); they consider the dualism as a binary opposition and patently give the upper hand to the programme. This attitude can be seen in Haimo's account of *Pelleas und Melisande*, in which he regards the piece as 'Schoenberg's last avowedly programmatic composition' and claims that soon after its completion, Schoenberg 'quickly bent with the prevailing wind and became – at least in the public – a committed advocate of absolute music'.[32]

Although Berg's analysis is not entirely convincing, it is nevertheless far from being 'farcical'.[33] As a response to Haimo's unsympathetic view, Vande Moortele attempts to balance out his approaches to form and programme and recover Berg's analysis by mapping it on to what he calls 'two-dimensional sonata form'. Two-dimensional sonata form distinguishes between the dimensions of sonata cycle (movements) and overarching sonata form (form). The two dimensions coincide when the same formal unit simultaneously functions as a movement in the sonata cycle and as one or several units in the overarching sonata form. When a movement of the cycle is 'interpolated' into the overarching sonata form, the dimension of the form is suspended. Similarly, if a unit belongs to the overarching form exclusively, the dimension of the cycle remains inactive and the unit is therefore 'exocyclic'.[34] Table 5.2 presents Vande Moortele's two-dimensional reading of *Pelleas und Melisande*. Vande Moortele contends that the problem with Berg's analysis lies in his ambiguous allusion to two-dimensionality without further explanation, and elucidates his formal layout by re-orientating the formal units to the dimensions of cycle and form. In Vande Moortele's formulation, the 'first movement' is identified simultaneously as both a sonata movement in the cycle and the exposition together with the first half of the development in

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[31] Arnold Schoenberg, Liner notes for *The Music of Arnold Schoenberg*, vol. 2, dated December 1949, CBC Symphony Orchestra, Robert Craft, Columbia M2L 294, 2 LPs, 1963 (cited in Puffett, '"Music That Echoes within One" for a Lifetime', 234).

[32] Haimo, *Schoenberg's Transformation of Musical Language*, 92–3.

[33] *Ibid.*, 94.

[34] Vande Moortele, *Two-Dimensional Sonata Form*, 24–6, see esp. chap. 1 for a comprehensive discussion of the theory of two-dimensional sonata form.

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INTRODUCTION	EXPOSITION			DEVELOPMENT (beginning)		
(d/F?) (f/F?)						Series of episodes
	Main theme	Transition	Subordinate theme group	Development segment 1		
	F	A	E		F	
o1–43	44–54	55–88	89–112	113–136	137–160	o161–328
	F	A	E			A
	Main theme	Transition	Subordinate theme group			
INTRODUCTION	DEVELOPMENT				RECAPITULATION	'SCHERZO'
	FIRST MOVEMENT					

DEVELOPMENT (continued)	RECAPITULATION				CODA	
Return of introduction		Main theme	Slow-movement theme	Episode	d	d
C# (?)	d		E		eb	
o329–460	461–481	482–504	505–514	515–540	541–565	566–646
		c#				
		Episode				
E						
SLOW MOVEMENT						FINALE

Table 5.2   Vande Moortele's Two-Dimensional Reading of *Pelleas und Melisande* (reproduced from Vande Moortele, *Two-Dimensional Sonata Form*)

the form. This is followed by an interpolated Scherzo second movement and slow movement in the cycle. The last movement continues the development in the overarching sonata form and remains exocyclic until the coda, where it carries the function of a finale in the cycle as well. Despite certain discrepancies, Vande Moortele successfully explicates Berg's analysis into a unified conceptual framework of two-dimensional sonata form. He also pinpoints the projection of A major and E major as the chief tonal contrast, and the recovery of D minor as the tonic in the overarching recapitulation in an attempt to restore the balance between form and programme, which is constituted largely by the tonal drama.

Yet Vande Moortele does not seem to have weighted form and tonality equally. He sacrifices the narrative exhibited by both tonal procedure and motivic transformation for the sake of recalibrating Berg's multimovement formal conception using his theory of two-dimensional sonata form. He situates *Pelleas und Melisande*'s large-scale tonal organisation within the framework of two-dimensional sonata form, arguing that the setting of the overarching recapitulatory main theme (and subsequently the coda-finale) in D minor, in contrast to the local sonata form outlined by F major, helps differentiate the dimension of form from that of cycle. Such a reading, however, considers D minor only as a formal phenomenon that supports the two-dimensional construction and understates its importance as an underlying tonal force, which confronts the dominance of F major as the possible tonic and eventually seizes control of the music in the coda-finale; all of which are anticipated in the introduction, which oscillates between D minor and F major. That said, Vande Moortele's particular attention to form is justifiable. For one thing, he construes the negative reception of Berg's account as more 'a problem of form than of content' and strives to revive the multimovement formal reading of *Pelleas und Melisande*.[35] His inequitable treatment of form and tonality nevertheless overlooks certain important aspects in the music, including: 1) the tension between hexatonicism and diatonicism as manifested in the interrelations between D minor, F major, A major and E major; 2) formal functions and articulations elicited by these relations, both of which are also issues yet to be addressed in Vande Moortele's formulation of two-dimensional sonata form; and 3) the

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[35] *Ibid.*, 107.

breakthroughs signified by a D-minor 6/3 chord (albeit inflected with the disruptive neighbour notes C♯ and G♯, creating pitch-class set 5-22) over the 'fate' *Leitmotiv*, or a Tristan chord over the 'love' *Leitmotiv*; both of which function importantly as structural interference but remain unaddressed in Vande Moortele's analysis. In the light of these issues, I reconsider the relationship between form and tonality as a dialectical discourse, which permits a reconceptualisation of sonata design and extended tonality as a unified whole and thereby reintegrates the programme as a structural imperative parallel to the symphonic tradition. The interplay between form and tonality is understood in relation to the model of dialectical form. I draw on Vande Moortele's two-dimensional formal approach and yet spotlight the tonal organisation's programmatic connotations as essential, which in turn has implications for the formal operation in *Pelleas und Melisande*. Such a reciprocity underlies the concept of musical form in *Pelleas und Melisande* that, according to Carl Dahlhaus, 'is able to accommodate the literary subject without abandoning its own autonomy'.[36] As we shall see, however, the dialectical process reaches an endgame with the advent of a structural breakthrough, which thereafter renders a restoration of formal functionality to the overarching form.

Diatonic Eros and Hexatonic Anteros

Figure 5.1 presents an expanded version of the model of dialectical form, mindful of the dialectics between absolute and programme. Under this conception, the relationship between sonata design and extended tonality is construed through Hegelian dialectical thought; diatonic sonata design is thus defined through its opposition to extended tonal practice.[37] Relevant historical concepts housed in the formal discourse

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[36] Carl Dahlhaus, 'Schoenberg and Programme Music', in *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 99. Dahlhaus conceives the 'content' of a programmatic work as resulting from 'a mediation between subject and musical form' and thereby regards the coordination between 'a succession of musical scenes', 'the changing configurations of leitmotifs', the overarching sonata form and the multimovement cycle as the key to the understanding of musical form in programme music (with specific reference to *Pelleas und Melisande*). See 97–9.

[37] Berthold Hoeckner shares a similar point of view, in which he also treats the opposition of absolute and programme music as a dialectic. See Berthold Hoeckner, *Programming the Absolute: Nineteenth-Century German Music and the Hermeneutics of the Moment* (Princeton, NJ: Princeton University Press, 2002).
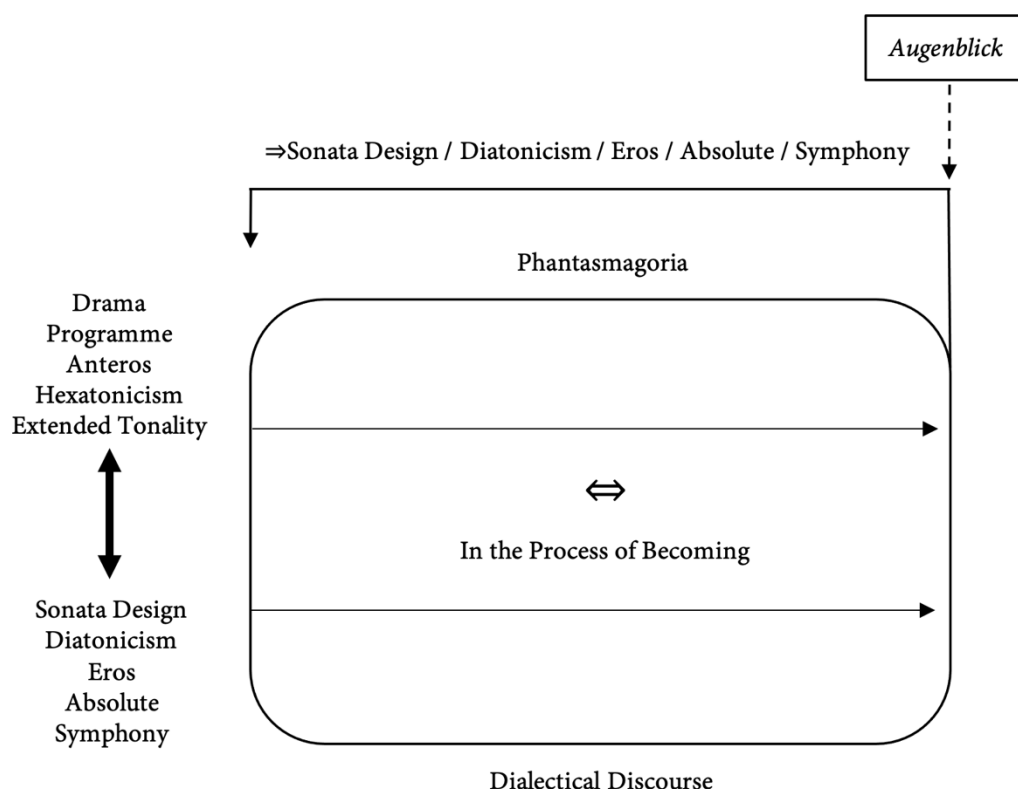
Figure 5.1   An Expanded Model of Dialectical Form

are also included on the two sides of the dialectic. The attempted synthesis of the two, which some *fin-de-siècle* composers strove to achieve, produces the condition of becoming; such a process is theorised by Schmalfeldt as essential to Romantic form.[38] This is however revealed as a failure upon the arrival of the structural breakthrough (bars 450–451), which could be understood in connection with the Adornian notion of the *Augenblick*.

To recall Adorno's formulation, the *Augenblick* is closely connected to his aesthetics of the particular, which is manifested in his formulation of a negative dialectic that negates the totality of the Hegelian dialectic. Whereas Hegel focused on the speculative synthesis posited by dialectic, Adorno contended that such an 'identity' of the universal has occurred negatively at the expense of particularity. He argued, instead, that dialectics 'is the consistent sense of non-identity' between the particular and the universal.[39] While Adorno endeavoured to spotlight the non-identical particular, his

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[38] See Schmalfeldt, *In the Process of Becoming*, 17.

[39] Theodor W. Adorno, *Negative Dialectics*, trans. E. B. Ashton (New York and London: Continuum,

conception of the particular is paradoxically characterised by the totalising logic of non-identity. Mindful of Adorno's proposition that 'every artwork is a moment (*Augenblick*); every successful artwork is an instant, a momentary suspension of its process, as this process reveals itself to the persistent eye',[40] the Adornian *Augenblick* partakes of a structural revelation of non-identity of the particular and the universal as the dialectical reality. This epistemological shift from identity to non-identity as the truth of dialectic consequently leads to Adorno's prioritisation of the object. He subjected idealist philosophy to critique for its affirmation of identity between subject and object and thereby the priority of subject as the epistemic basis. Considering that an object's nature is always 'something other than the subject', Adorno declared that the epistemic subject is objectively constructed by society without which it could not exist; the object therefore 'takes precedence […] [though it] does not cut off the subject-object dialectics'.[41] In other words, the Adornian *Augenblick* not only manifests non-identity as the totalising logic, but also signifies the object's precedence as the epistemological foundation of dialectic. Conceiving the model of dialectical form through this aesthetic formulation, the non-identity of sonata design and extended tonality is exposed as the dialectical reality upon the advent of the *Augenblick*, which turns the Hegelian dialectic into an Adornian negative dialectic.[42] While the non-identical nature of dialectic is asserted, the *Augenblick* spotlights the irreconcilable difference between sonata design and extended tonality and hence inverts the epistemological priority; the sonata logic, objectified by the diatonic formal order, assumes precedence over extended tonality.[43] The *Augenblick* in turn renders a re-conception of the entire piece retrospectively as a sonata form; or as Adorno described, it allows one to hear the music 'multidimensionally, forwards and backwards at the same time'.[44] In short,

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1973), 5.

[40] Theodor W. Adorno, *Aesthetic Theory*, ed. Gretel Adorno and Rolf Tiedemann, trans. Robert Hullot-Kentor (London: Bloomsbury, 2013), 7–8. Here I use Hoeckner's more idiomatic translation, see Hoeckner, *Programming the Absolute*, 15.

[41] Adorno, *Negative Dialectics*, 183, 186.

[42] For a detailed study of the relationship between Hegel's and Adorno's dialectical thought and music analysis, see Julian Horton, 'Dialectics and Musical Analysis', in *Aesthetics of Music: Musicological Perspectives*, ed. Stephen Downes (New York: Routledge, 2014), 111–43.

[43] See also Chapters Three and Four.

[44] Theodor W. Adorno, *Hegel: Three Studies*, trans. Shierry Weber Nicholsen (Cambridge, MA: The MIT Press, 1993), 136. See also Daniel K. L. Chua, *Beethoven & Freedom* (New York: Oxford University Press, 2017), 64–6.

the *Augenblick* is conceived as a structural moment that enables retrospective reinterpretation of the ongoing formal discourse as a sonata process, which engenders a reconceptualisation of the global formal and/or tonal syntax.

A comparison of Figure 5.1 with Figure 5.2 and Tables 5.3–5.5 captures the way this model of dialectical form operates in *Pelleas und Melisande*. Considering Schoenberg's consistent theoretical engagement with the concept of tonal space, I draw on Lerdahl's approach and conceive the tonal trajectory as the musical vehicle for the programme.[45] But in place of Weber's regional chart, I adopt Cohn's hexatonic cycles as the basic tonal-spatial model, within which I highlight networks of diatonic relations in order to emphasise the difference between diatonic and hexatonic systems as essentially two distinct kinds of syntax that engage in a dialectical discourse, attesting to Cohn's concept of double syntax.[46] Mindful of Schoenberg's admiration for Wagner in his early career, I argue that such tonal systems bear hermeneutic significance in a way that is similar to Lerdahl's interpretation of *Parsifal*: the diatonic system represents Eros, the god of love and desire in Greek mythology, while the hexatonic system designates Anteros, the brother of Eros and the god of requited love, who also acts as the punisher of unrequited love.[47] Eros and Anteros are often conceived as a pair of

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[45] Schoenberg used first an equivalent of David Kellner's regional circle (1737) in *Theory of Harmony* and later an equivalent of Weber's regional chart in *Structural Functions of Harmony* to account for tonal relations. It is not clear whether Schoenberg was aware of these historical precedents but David Bernstein suggests that Schoenberg was influenced by a chart in Hermann Erph's *Studien zur Harmonie-und Klangtechnik der Neuen Musik* (1927) that corresponds to Weber's space. See Lerdahl, *Tonal Pitch Space*, 71; also David Kellner, *Treulicher Unterricht im General-Bass* (Hamburg: Christian Herold, 1737); Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley, CA: University of California Press, 1978); Weber, *Versuch einer geordeneten Theorie der Tonsetzkunst*; Arnold Schoenberg, *Structural Functions of Harmony*, ed. Leonard Stein (London: Ernest Benn Ltd., 1969); David W. Bernstein, 'Arnold Schoenberg and the Austro-German Theoretical Legacy: Stufen, Regions, and the Theory of Tonal Functions', paper delivered at the joint meeting of the Arnold Schoenberg Institute and the Music Theory Society of New York State, New York, 1991 (cited in Lerdahl, *Tonal Pitch Space*, 71); and Hermann Erph, *Studien zur Harmonie-und Klangtechnik der Neuen Musik* (Leipzig: Breitkopf & Härtel, 1927).

[46] See Chapter Three for the theoretical underpinning of double syntax. In addition to the cited works, Ariane Jeßulat also explores the possibility of bringing together diatonic and chromatic theories (with specific references to the works of Carl Friedrich Weitzmann and Simon Sechter) to address the phenomenon of double syntax in nineteenth-century music. See Ariane Jeßulat, 'Parsimonious Voice Leading and the *Stimmführungsmodelle*', *Music Theory Online* 24, no. 4 (2018), https://mtosmt.org/issues/mto.18.24.4/mto.18.24.4.jessulat.html, accessed 2 March 2020.

[47] Schoenberg declared that he became an 'equally confirmed addict' to both Brahms and Wagner around the time when he composed *Verklärte Nacht* (1899). See Arnold Schoenberg, 'My Evolution (1949)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 80.

opposites, in which Eros causes people to fall in love while Anteros punishes those who scorn the love of others. This tension between Anteros/hexatonicism and Eros/diatonicism persists throughout the piece and underlies the central theme of Maeterlinck's play.[48] Within the hexatonic realm, the southern and the eastern hexatonic cycles symbolise order and disorder in the plot respectively. They are related through what Cohn theorises as a Weitzmann region, which encompasses both D minor and F major from the beginning.[49] The overall tonal drama between hexatonicism and diatonicism is conceived in line with the formal design presented in Table 5.3, which manifests a special kind of two-dimensional sonata form where the dimension of overarching sonata form remains largely inoperative (indicated by the grey areas) before the structural breakthrough, or the *Augenblick*. The interpretation of specific programmatic actions in a formal unit is based on the tonal syntax or system that it adheres to, as well as the *Leitmotiven* that Schoenberg designated—the former signifies the dramatic states, while the latter denotes the characters involved and their psychological conditions.[50]

Figure 5.2 graphs the tonal relations before the *Augenblick*. The tension between hexatonicism and diatonicism is denoted by the juxtaposition of the hexatonic cycles with diatonic relations; the diatonic fifth relations (embracing modal mixture) are expressed by the hyphenated line stretching from D minor through A major to E major, which falls outside of the eastern hexatonic cycle. The exposition of both form and cycle begins with a destabilisation of the possible tonics, D minor and F major. While the introduction (bars 1–43) fails to establish either D minor or F major (bars 44–54),

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[48] The interaction between Eros and Anteros is the key to Maeterlinck's original play. See Bettina L. Knapp, *French Fairy Tales: A Jungian Approach* (Albany, NY: State University of New York Press, 2003), 300–1.

[49] D minor and F major are related to the same augmented triad, C♯-F-A, by a single semitonal displacement and thereby belong to the same Weitzmann region. See Richard Cohn, 'Weitzmann's Regions, My Cycles, and Douthett's Dancing Cubes', *Music Theory Spectrum* 22, no. 1 (2000): 89-103.

[50] The list of *Leitmotiven* in *Pelleas und Melisande* is given by Schoenberg in his own analysis; see Arnold Schoenberg, 'Analyse von Pelleas und Melisande', in *Stil und Gedanke: Aufsätze zur Musik* (*Gesammelte Schriften* 1), ed. Ivan Vojtěch (Frankfurt am Main: S. Fischer, 1976), 437–9. See also Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, for a more detailed thematic analysis in relation to these *Leitmotiven*. It is also worth noting that although tonal-spatial models are mobilised to represent tonal trajectory in the subsequent analysis, it is the interaction between diatonic and hexatonic syntaxes and the tonal relations within such systems that bear the dramatic associations, rather than the geometric properties implied in such models.

	EXPOSITION							DEVELOPMENT⇒C (after *Augenblick*)	
Form									
Formal function	INTRO	MT	TR			ST		⇒C (after *Augenblick*)	
Thematic function									
Tonal process	D- or F+?	F+	A+	Chord of Fate		E+	F♯: IAC EEC?	?	F+
Scene	In the forest	Golaud makes Melisande his wife and takes her to the castle				In the castle Melisande meets Pelleas			
Bar	1	44	55	75–79	80	89	112	113	137
Thematic function	intro	MT	TR	breakthrough		ST		Core?	MT⇒?
Formal function			exposition					development	DEVELOPMENT⇒ recapitulation?
Cycle									
Movement	First Movement								

Table 5.3   Schoenberg, *Pelleas und Melisande*, Formal Synopsis (First Movement)

Figure 5.2   Schoenberg, *Pelleas und Melisande*,
            Tonal Relations before the *Augenblick*

the main theme exhibits a relatively secure F major, which gives rise to the temporary suspension of the southern cycle elicited by D major. The F major main theme is however short-lived; its stability is also undermined by the lack of cadential confirmation, which appears to abandon the task of setting up the tonic altogether. The ensuing A minor transition complicates the exposition further by instituting broader tonal- and formal-syntactic ambiguities. Although it is hexatonically connected to the F major main theme, its subsequent progression to the E major subordinate theme (bars 89–112) signifies a diatonic orientation, indicating a tonal-syntactic uncertainty that discharges the diatonic sonata design's responsibility for the formal process. This ambivalence in tonal syntax has programmatic implications. According to Berg's programmatic guide, the exposition depicts the scenes of Golaud and Melisande's marriage, as well as Pelleas and Melisande's acquaintance (see Table 5.3), an interpretation which is supported by the respective appearances of Golaud's and Melisande's *Leitmotiven* in the introduction and the main theme, and Pelleas's and Melisande's *Leitmotiven* in the subordinate theme, as presented in Examples 5.1–5.3.[51] With the tonal-syntactic ambiguity, the exposition thereby exposes the conflict between Anteros and Eros. While the hexatonic F–A relation indicates Anteros's influence on Golaud's longing

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[51] Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, 5–6; *cf.* Berg, 'Pelleas and Melisande Guide', 277, 279. Motivic ideas from Melisande's *Leitmotiv* are arguably incorporated in Pelleas's theme.

Example 5.1   Schoenberg, *Pelleas und Melisande*, Melisande's *Leitmotiv*

Example 5.2   Schoenberg, *Pelleas und Melisande*, Golaud's *Leitmotiv*

Example 5.3   Schoenberg, *Pelleas und Melisande*, Pelleas's *Leitmotiv*

for Melisande's returned love, the E major subordinate theme foregrounds the diatonic-syntactic orientation and Eros's incitement to Pelleas and Melisande's love. Eros's force brought forth by E major nevertheless takes effect outside of the reality of order or disorder symbolised by the southern and the eastern hexatonic cycles, and this signifies the ideal nature of Pelleas and Melisande's affair.

After the development (bars 113–136) and the recapitulation (bars 137–160) in the first movement of the sonata cycle that affirms F major as the provisional tonic, the Scherzo (bars 161–329) is interpolated within the formal process and suspends the dimension of overarching sonata form (see Table 5.4). As Berg suggested, the Scherzo characterises 'Golaud's suspicion and jealousy' of Pelleas and Melisande's intimate relationship in view of their interaction.[52] This reading is corroborated by the consistent return of what Schoenberg called the *Leitmotiv* of 'Golaud's jealousy' (*Golauds Eifersucht*), as shown in Example 5.4.[53] The A major in the Scherzo once again alludes to the diatonic fifth relations, indicating Eros's effect on Pelleas and Melisande in spite of Golaud's suspicion. While the dimension of overarching sonata form that addresses the triangular relationship between Golaud, Pelleas and Melisande is set aside, the ideal E major, the motto key of Pelleas and Melisande's love from the subordinate

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[52] See Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, 7; *cf.* Berg, 'Pelleas and Melisande Guide', 281.
[53] Schoenberg, 'Analyse von Pelleas und Melisande', 437–9.

Form	Formal function	⇒DEVELOPMENT (after *Augenblick*)												
	Thematic function	⇒Pre-Core (after *Augenblick*)								⇒Core (after *Augenblick*)				
Tonal process		A+			?					E+		Tristan chord/B		between
Scene		Scene at the fountain	Postlude	Scene at the castle tower		Scene the	Chord of Fate — in the vaults castle	under	At the fountain	Farewell– and Pelleas and		Love-Scene Melisande		
Bar		161	217	244	265	284	295–298	299	303	330	356	373–377	378	391
							breakthrough					breakthrough		
Cycle	Thematic function	Scherzo⇒DEVELOPMENT (after *Augenblick*)								Slow Movement⇒DEVELOPMENT (after *Augenblick*)				
	Formal function													
	Movement													

Table 5.4   Schoenberg, *Pelleas und Melisande*, Formal Synopsis (from Scherzo to post-*Augenblick* Introduction)

	422–435	436	446	450–451	452	461	483	492	495–497	498	503
Form — Formal function	⇒DEVELOPMENT (after *Augenblick*)			*Augenblick*				INTRO			
Thematic function	⇒RT (after *Augenblick*)			breakthrough					breakthrough		
Tonal process	Tristan chord/B			Chord of Fate	Tristan chord/Bb	C♯-			Chord of Fate		
Scene	Farewell- and Love-Pelleas and	Scene between Melisande	Golaud kills Pelleas								
Bar	422–435	436	446	450–451	452	461	483	492	495–497	498	503
Cycle — Thematic function	breakthrough										
Formal function											
Movement	Slow Movement⇒DEVELOPMENT (after *Augenblick*)										

Collapsed after *Augenblick*

Table 5.4   Schoenberg, *Pelleas und Melisande*, Formal Synopsis (from Scherzo to post-*Augenblick* Introduction) (*cont.*)

Example 5.4   Schoenberg, *Pelleas und Melisande*, *Leitmotiv* of Golaud's Jealousy

theme, emerges with the slow movement of the sonata cycle, which Berg described as the 'Farewell- and Love-Scene between Pelleas and Melisande'.[54] Staying in E major throughout, the slow movement (bars 330–445) denotes an utopian other world remote from the hexatonic reality of order and disorder.[55] Similar to the subordinate theme, it extends the diatonic relation to a paradisiacal sphere, attesting to Eros's ascendancy over the unethical couple; the *Leitmotiven* of Pelleas and Melisande are set in a constant dialogue, sometimes overlapped, in order to signify the intensity of their relationship. This is however interrupted twice by the same Tristan-chord breakthrough (bars 373–377 and bars 422–435) over what I term the 'love' *Leitmotiv*, which combines the intervals of minor second, minor third and octave characteristic of the *Leitmotiven* of Pelleas and Melisande. Together with the chromatically inflected D-minor 6/3 chord (with C♯ and G♯ added, pitch-class set 5-22)—or 'the chord of fate' as I call it—over what Schoenberg regarded as the 'fate' *Leitmotiv*, these 'sequences' of breakthrough repeatedly intrude into the formal-dramatic process throughout the piece and eventually lead to the *Augenblick* in both the form and the programme, engendering a structural reorientation of formal functions and representing the fatal scene where Golaud kills Pelleas. In order to elucidate the correlations between these events, I shall now turn to Schoenberg's notion of sequence and its relation to his understanding of *Leitmotiv*, through which I formulate a concept of 'sequential dissonances' that helps illuminate the formal and dramatic functions of such chords.

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[54] Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, 9; *cf.* Berg, 'Pelleas and Melisande Guide', 285. Schoenberg likewise characterised this as the love scene (*Die Liebesszene*); see Schoenberg, 'Analyse von Pelleas und Melisande'.

[55] The E-major shift here demonstrates what Dahlhaus might regard as a 'second' diatonicism—the case in which the music's investment in diatonicism is considered 'illusory' and 'dreamlike' as opposed to its chromatic background. This understanding corresponds to the utopian nature of Pelleas and Melisande's love. See Carl Dahlhaus, *Richard Wagner's Music Dramas*, trans. Mary Whittall (Cambridge: Cambridge University Press, 1979), 74–5.

Sequential Dissonances and the Moment of Fate

Schoenberg conceived sequence as inherent to the construction of *Leitmotiv*, contending that it aids the music's cohesion and comprehensibility.[56] While he pronounced that sequences 'made up a considerable contribution towards achieving the necessary expense of the presentation' in a large part of *Pelleas und Melisande*, it is yet necessary first to unravel the tangled interrelationship between sequence, *Leitmotiv* and cohesion suggested in the scattered references spread across Schoenberg's theoretical writings, before we scrutinise his utilisation of sequence in connection with the Tristan chord and the chord of fate.[57] In *Structural Functions of Harmony*, Schoenberg defined sequence as 'an exact repetition of a segment (or the model) transposed to another degree […] [which] offers the technical advantage of being a repetition and yet producing a slight contrast by the use of another [tonal] region'.[58] He distinguished between unvaried and varied sequence and expressed preference for the latter, which is 'of higher value aesthetically […] in which variations produce an even stronger effect without endangering the memorability of the model'.[59] In 'Criteria for the Evaluation of Music', Schoenberg nevertheless indicated that sequence is not favoured by composers of the Brahmsian School and dismissed altogether this technique of the New German School as 'inferior' and 'primitive'.[60] Although Schoenberg had a rather negative impression of sequence, he pointed out that it serves to make the themes memorable, as exemplified notably in the opening of Wagner's *Tristan und Isolde*. He subsequently related sequence to the use of *Leitmotiv*, whereby a *Leitmotiv*, being the model, is followed by a sequence that usually required only a liquidating addition of one or two bars. This concise use of space, as Schoenberg proclaimed, could gain 'an aesthetic merit' if properly employed.[61]

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[56] See Arnold Schoenberg, 'Linear Counterpoint (1931)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 293.

[57] Arnold Schoenberg, 'A Self-Analysis (1948)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 78.

[58] Schoenberg, *Structural Functions of Harmony*, 125.

[59] *Ibid.*, 134.

[60] Arnold Schoenberg, 'Criteria for the Evaluation of Music (1946)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 129. See also Schoenberg, *Structural Functions of Harmony*, 125–6.

[61] Schoenberg, 'Criteria for the Evaluation of Music (1946)', 129–31.

Schoenberg established here the connection between sequence and *Leitmotiv* via the principle of concision. In his formulation, the 'proper' application of *Leitmotiv* is dependent upon that of sequence in which the *Leitmotiv* constructs its motivic identity through sequential reappearance(s), and the concision in the use of sequence is essential to avoiding redundancy, or what Schoenberg called 'cheap' unvaried repetition.[62] Such a relation is made explicit in his choice of *Tristan und Isolde* as an exemplar of Wagnerian sequences, where the usage of *Leitmotiv* and sequence are intertwined in the presentation of the Tristan chord. The concision achieved through the collaboration of *Leitmotiv* and sequence produces thematic memorability, which is then related to another important Schoenbergian condition of comprehensibility.

Conceived as a kind of repetition, sequence, according to Schoenberg, 'is one of the means to promote the comprehensibility of the idea presented', or the *Leitmotiv* in our present discussion.[63] He considered comprehensibility as an essential condition for the arts, proclaiming that artistic value demands comprehensibility for both intellectual and emotional satisfaction.[64] For Schoenberg, comprehensibility is often closely connected to memorability engendered by repetition, which results in cohesion. On that account, sequence is the key that brings together these crucial musical qualities, in which it 'creates cohesion through repetition and aids comprehensibility'.[65] Similarly, the *Leitmotiv* technique functions to support the music's thematic cohesion. It fulfils an organisational task in the music and promotes comprehensibility, forging what Schoenberg described as a 'formalistic' structure that draws upon 'one single creative moment'.[66] These perspectives on sequence and *Leitmotiv* culminate in Schoenberg's criteria for musical form. He declared that form 'serves to bring about comprehensibility through memorability';[67] its principal function is 'to advance our understanding', and it produces beauty by providing comprehensibility.[68] In sum, *Leitmotiv*

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[62] *Ibid.,* 131.

[63] Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. Patricia Carpenter and Severine Neff (Bloomington, IN: Indiana University Press, 2006), 199.

[64] See Arnold Schoenberg, 'Composition with Twelve Tones (1) (1941)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 215.

[65] Schoenberg, 'Linear Counterpoint (1931)', 293.

[66] Arnold Schoenberg, 'Brahms the Progressive (1947)', in *Style and Idea: Selected Writings*, ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 405.

[67] *Ibid.*, 399. See also Schoenberg, 'Composition with Twelve Tones (1) (1941)', 215.

[68] Arnold Schoenberg, "Eartraining Through Composing (1939)", in *Style and Idea: Selected Writings*,

and sequence together generate thematic memorability, which underpins comprehensibility and leads to cohesion; this in turn contributes to the formal organisation of the music, which also aims at comprehensibility.

This Schoenbergian understanding of sequence is manifested in the sequential treatment of the 'fate' and 'love' *Leitmotiven*, albeit in a much more developed manner than Schoenberg propounded theoretically. Such sequences operate at a 'meta-thematic level', by which I mean the overarching connection between remote thematic content.[69] In line with Schoenberg's theoretical formulation, the 'fate' and 'love' *Leitmotiven* and their distant sequential variants are related by the quality of memorability achieved through sequence and repetition; together they constitute the breakthroughs (see Tables 5.3 and 5.4), or what I call 'sequential dissonances', that take place mainly across the pre-*Augenblick* formal span. Each of these *Leitmotiven* and their respective meta-sequences could be understood as a direct intervention from either Anteros (fate) or Eros (love), and this has important programmatic implications leading up to the *Augenblick*. Example 5.5 spotlights the model unit of the 'fate' *Leitmotiv* group in the transition (bars 75–79), located after Golaud and Melisande's marriage in Berg's programmatic guide. The model unit embraces the 'fate' *Leitmotiv* and a counter-motif 'a', both of which derive their intervallic content from the chord of fate. While the 'fate' *Leitmotiv* is repeated twice to establish the memorability of the *Leitmotiv* group, motif 'a' nevertheless adopts a varied sequence after its repetition; this demonstrates a loose sequential treatment and creates unrest that necessitates further motion of the 'fate' *Leitmotiv* group, insinuating Anteros's warning against the unrequited love between Golaud and Melisande, which arises nevertheless as a result of Pelleas and Melisande's subsequent acquaintance. Example 5.6 presents its 'meta-sequence' in the Scherzo (bars 295–298), which characterises Golaud's suspicion and jealousy. The previously six-bar model unit is truncated to a four-bar sequential unit, which compels another repetition of the 'fate' *Leitmotiv* in order for the group to retain its memorability. Motif 'a', however, reappears as another varied sequence that is repeated immediately

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ed. Leonard Stein, trans. Leo Black (Berkeley, CA: University of California Press, 2010), 380.

[69] This idea of 'meta-sequences' resembles Alfred Lorenz's concept of '*potenzierte Form*', by which he referred to the projection of a formal pattern from a lower level onto a higher level in musical form. See Alfred Lorenz, *Das Geheimnis der Form bei Richard Wagner*, vol. 1 (*Der musikalische Aufbau des Bühnenfestspiels Der Ring des Nibelungen*) (Tutzing: Schneider, 1966), 160.

Example 5.5   Schoenberg, *Pelleas und Melisande*,
                Model Unit of the 'Fate' *Leitmotiv* Group (bars 74–80)

Example 5.6   Schoenberg, *Pelleas und Melisande*,
                Meta-Sequence of the 'Fate' *Leitmotiv* Group (bars 294–298)

Example 5.7   Schoenberg, *Pelleas und Melisande*,
Model Unit of the 'Love' *Leitmotiv* Group (bars 373–377)

afterwards. It further unsettles the meta-sequential construction, despite the fact that the 'fate' *Leitmotiv* underpins cohesion throughout the model unit and its meta-sequence over the chord of fate. This once again serves as Anteros's admonition for Pelleas and Melisande, reminding them of their possible fate in the light of Golaud's reaction. Example 5.7 exhibits the model unit of the 'love' *Leitmotiv* group in the slow movement, or the 'love scene' (bars 373–377). Likewise, the 'love' *Leitmotiv* is countered by an accompanying motif 'b' over the Tristan chord with repetitions, indicating Eros's kindling of Pelleas and Melisande's undesirable romance in the manner of *Tristan und Isolde*. Its meta-sequence in Example 5.8 (bars 422-435) subsequently brings about sequences of both the 'love' *Leitmotiv* and motif 'b' above a series of Tristan chords, following the typical Schoenbergian model and sequence at a meta-thematic level. This signifies the unstoppable intensification of Pelleas and Melisande's passion

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Example 5.8   Schoenberg, *Pelleas und Melisande*,
Meta-Sequence of the 'Love' *Leitmotiv* Group (bars 422–429)
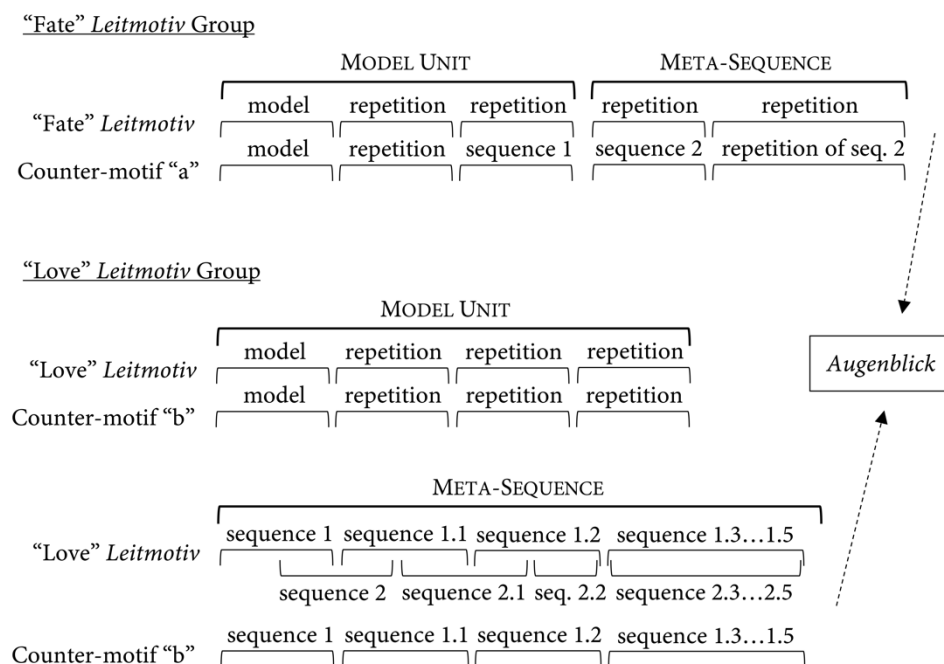
Figure 5.3   Schoenberg, *Pelleas und Melisande*, Sequential Dissonances before the *Augenblick*

under Eros's influence, leading eventually towards destruction. The meta-sequential construction of the 'fate' and 'love' *Leitmotiv* groups is summarised in Figure 5.3.[70] The use of sequence and repetition in combination here generates cohesion, or in Schoenberg's terms, makes known the importance of the *Gestalten*, while simultaneously escalating the sequential tension of the *Leitmotiven* in conjunction with the unsettled chords of fate and Tristan chords. The suggested meaning of the *Leitmotiven* and the unresolved chords propounds a tragic end of Pelleas and Melisande's forbidden love, constituting sequential dissonances that culminate in the *Augenblick*.

The *Augenblick* (bars 450–451) emerges as a condensed meta-sequence of the 'fate' *Leitmotiv* group built upon the chord of fate, as presented in Example 5.9. In comparison to the six-bar model unit and the previous four-bar meta-sequence, the *Augenblick*'s two-bar length reveals an ongoing process of meta-sequential truncation.

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[70] Vande Moortele finds a similar double-hierarchical intra-thematic organisation in Liszt's Weimar symphonic poems, where he conceives the lower-level unit as a formal type and the higher-level unit as a formal function. I make the same distinction between formal type and formal function in my categorisation of model/sequence (type) and model unit/meta-sequence (function), albeit my formulation deals with remote (intra-)thematic connections. See Steven Vande Moortele, 'Sentences, Sentence Chains, and Sentence Replication: Intra- and Interthematic Formal Functions in Liszt's Weimar Symphonic Poems', *Intégral* 25 (2011): 121–58.

Example 5.9   Schoenberg, *Pelleas und Melisande*, *Augenblick* (the Chord of Fate)
(bars 450–451)

Its immediate progression from the chord of fate to the Tristan chord over B♭ spot-lights the irreconcilable difference between diatonic sonata design and hexatonic tonal practice, alluding to the antagonism between Eros and Anteros. This also suggests an intertextual reference to *Tristan und Isolde* and thereby a fatal outcome of Pelleas and Melisande's relationship. As Example 5.10 demonstrates, the disruptive neighbours C♯ and G♯ in the chord of fate are held in the Tristan chord over the F pedal, turning the otherwise B♭ diminished chord into a Tristan chord by installing the interval of aug-mented sixth into the chord through the G♯. Contrary to some of the current perspec-tives on the Tristan chord as either 1) a functional half-diminished seventh chord, 2) a minor triad with an added sixth, 3) some sort of 'pre-dominant' sonority, 4) a domi-nant-functioned harmony, or 5) a sonority defying tonal classification, this setting of the suspended C♯ and G♯ highlights the augmented sixth and forces the Tristan chord, while being a half-diminished seventh chord, to be enharmonically reinterpreted to function as an augmented sixth.[71] This echoes Nathan John Martin's same interpreta-tion of the Tristan chord as an augmented-functioned chord based upon Moritz

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[71] See Nathan John Martin, 'The Tristan Chord Resolved', *Intersections: Canadian Journal of Music* 28, no. 2 (2008): 7. For a summary of the contemporary perspectives on the Tristan chord, see 7-15; *cf.* for example Jean-Jacques Nattiez, 'The Concepts of Plot and Seriation Process in Music Analysis', trans. Catherine Dale, *Music Analysis* 4, no. 1-2 (1985): 107–18; Robert Bailey, 'An Analytical Study of the Sketches and Drafts', in *Prelude and Transfiguration from "Tristan and Isolde"*, ed. Robert Bailey (New York: W. W. Norton, 1985), 113–46; John Rothgeb, 'The Tristan Chord: Identity and Origin', *Music Theory Online* 1, no. 1 (1995), https://mtosmt.org/issues/mto.95.1.1/mto.95.1.1.rothgeb.html, accessed 15 August 2019; William Mitchell, 'The *Tristan* Prelude', *Music Forum* 1 (1967): 163–203; Robert Gauldin, 'The DOUTH2 Relation as a Dramatic Signifier in Wagner's Music Dramas', *Music Analysis*

Example 5.10   Schoenberg, *Pelleas und Melisande*, Harmonic Progression
from the Chord of Fate to the Tristan Chord

Hauptmann's treatment of half-diminished seventh, albeit with a different formulation.[72] The Tristan chord as a pre-dominant augmented sixth thus posits a subsequent dominant seventh as the resolution. Restricted by the C♯–G♯ suspension, the possible resolution is limited to the dominant seventh of F major, which points to a settlement in F major that mediates between Eros/diatonicism and Anteros/hexatonicism. Such an ideal resolution, however, exists only in the imagination; Schoenberg truncated the expected progression to the dominant seventh and made the Tristan chord the 'resolution' to the chord of fate, signifying the failure of mediation. By enforcing a pre-dominant functioning Tristan chord without resolution, the *Augenblick* objectifies and highlights diatonicism, previously indicated by the fifth relations, as the epistemological priority of dialectical form. This also denotes the endgame of Eros and Anteros' opposition represented by the polarity between diatonic and hexatonic syntaxes: in view of Pelleas and Melisande's immoral affair, Anteros turns into the avenger of unrequited love and causes Golaud to kill Pelleas. As a result, the *Augenblick* reveals the diatonic overarching sonata form as the form-dimensional reality, compelling multiple functional reinterpretations across dimensions where the inner movements in the sonata cycle assume the formal function of the overarching development leading up to the *Augenblick*, as represented by the rightwards double arrow (⇒) in Tables 5.3 and 5.4. This engenders a restoration of full formal functionality for the overarching sonata form and consequently precipitates the collapse of two-dimensionality, which

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20, no. 2 (2001): 179–92.

[72] See Martin, 'The Tristan Chord Resolved', 15-24. See also Moritz Hauptmann, *The Nature of Harmony and Meter*, trans. William E. Heathcote (London, S. Sonnenschein, 1888).
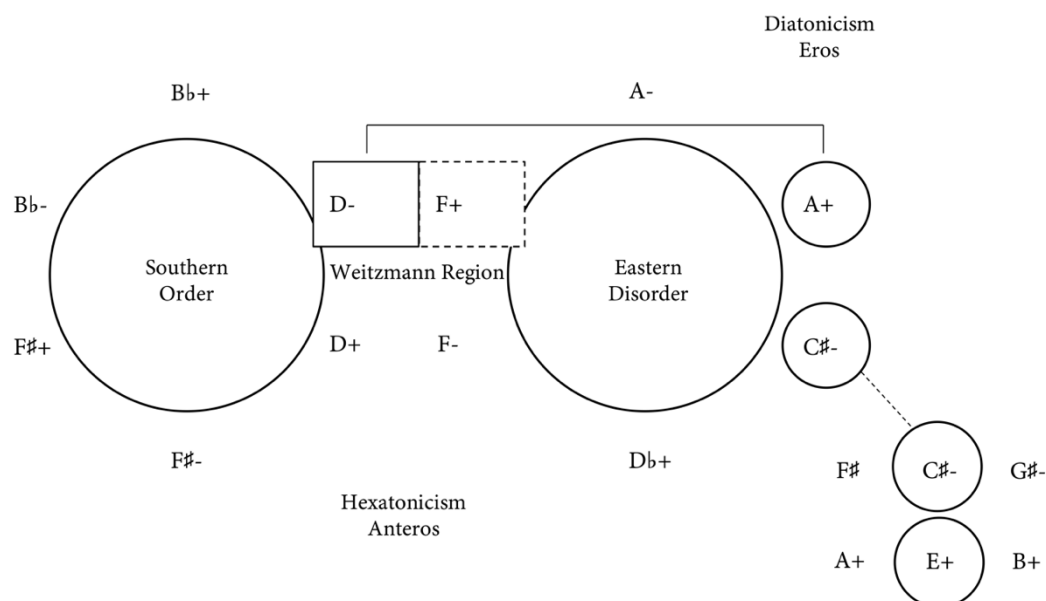
Figure 5.4   Schoenberg, *Pelleas und Melisande*,
            Tonal Relations after the *Augenblick*

signifies the denial of the couple's love developed in the dimension of sonata cycle.[73]

That the diatonic sonata order takes precedence over hexatonicism renders a reorientation of tonal relations after the *Augenblick*. Although the pre-dominant-functioning Tristan chord seems to imply F major as the global tonic, the dominant seventh of F major fails to materialise, leading to a reconsideration of D minor, which has been obscured since the introduction, as the tonic suggested by its dominant

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[73] At this point, the overarching sonata form could also be understood as the broader narrative scheme that houses the overall dramatic plot. Following Grabócz's formulation of narrative grammar in sonata form, the large-scale formal functions could be considered as articulating the narrative syntax of pre-supposition-negation-implication, conceived after Algirdas Julien Greimas's semiotic square: the exposition presupposes Golaud and Melisande's orthodox relationship (Anteros/hexatonicism) and Pelleas and Melisande's immoral relationship (Eros/diatonicism) (the relation of contrariety); the development negates the former with Golaud's suspicion, and the latter with the unethical couple's utopian love (the relation of contradiction); and the recapitulation implies that Golaud's suspicion presupposes Pelleas and Melisande's immoral relationship, and Pelleas and Melisande's utopian love presupposes Golaud and Melisande's orthodox relationship (the relation of complementarity), both of which are revealed via the fatal event signified by the *Augenblick*. See Márta Grabócz, 'A. J. Greima's Narrative Grammar and the Analysis of Sonata Form", *Intégral* 12 (1998): 1-23; for the original French version, see Márta Grabócz, 'Application de certaines règles de la sémantique structurale de Greimas à l'approche analytique de la forme sonate: analyse du premier mouvement de la sonate op. 2 nᵒ 3 de Beethoven', in *Analyse musicale et perception*, ed. Danièle Pistone and Jean-Pierre Mialaret (Paris: Université de Paris-Sorbonne, 1994), 117-137. See also Algirdas J. Greimas and Joseph Courtés, *Sémiotique: dictionnaire raisonné de la théorie du langage*, vol. 1 (Paris: Hachette, 1979); and Algirdas J. Greimas, 'Eléments d'une grammaire narrative', *L'Homme* 9, no. 3 (1969): 71-92.

Example 5.11   Schoenberg, *Pelleas und Melisande*, the 'Death' *Leitmotiv*

A major from the transition and the Scherzo (now reinterpreted as the part of the development's pre-core). While D minor's tonic functionality is gradually restored through the post-*Augenblick* formal span, the hexatonic system/Anteros remains in operation in order to offer correctives to the issues that arose before the *Augenblick*; it also programmatically represents the aftermath of the tragedy. Figure 5.4 presents the tonal relations after the *Augenblick*. The southern system extending from D minor is now enacted, signalling the reinstatement of order after Pelleas's death. F major and A major are retrospectively conceived in relation to D minor as the third- and fifth-related keys, albeit the D-minor tonic and its implied diatonic syntax still await to be fully regained over the course of the recapitulation and coda. The E major that is originally external to the eastern system is reorientated to the subordinating diatonic network stemming from C♯ minor, which is immediately supplied in the post-*Augenblick* introduction (bars 461–491). The re-conception of E major as the relative major of C♯ minor brings Pelleas and Melisande's utopian love under the control of hexatonic reality, relocating it to the eastern system as a disorder. This is affirmed by the reappearance of the chord of fate over the 'fate' *Leitmotiv* (bars 496–497) alongside a new 'death' *Leitmotiv* presented in Example 5.11, which Schoenberg specified for the 'death scene' (*Tondesszene*).[74] Here the 'fate' *Leitmotiv* is further compressed into a one-bar unit with a repetition, which marks the end of the process of meta-sequential truncation. It however leaves out the Tristan chord and offers no resolution to the sequential dissonances, conveying the fate of Pelleas and Melisande.

The recapitulation sets out to institute D minor as the global tonic, which serves to confirm the diatonic system's tonal-syntactic priority and in turn resolve the tension between diatonicism and hexatonicism. It begins by restoring D minor to the main theme (bars 505–515) that represents Golaud and Melisande's marriage, declaring it as the tonic for the very first time and reinstalling order to the plot (see Table 5.5).

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[74] Schoenberg, 'Analyse von Pelleas und Melisande', 437–9.

Form		RECAPITULATION						CODA	
	Formal function	RECAPITULATION						CODA	
	Thematic function	MT	Slow Movement Theme	C (hermeneutic rift)			MT	ST⇒Slow Movement Theme	MT⇒ C
	Tonal process	D-	E+ — D-	Eb-	Bb-: PC	D-	E+: PAC	E+ ⇒ D-	D-
	Scene		Melisande's deathbed			Epilogue			Immortal returns of the "Fate" *Leitmotiv*
	Bar	505	516	542	565–566	567	583–584	584	602
Cycle	Thematic function								
	Formal function								
	Movement								

Collapsed after *Augenblick*

Table 5.5   Schoenberg, *Pelleas und Melisande*, Formal Synopsis (Recapitulation and Coda)
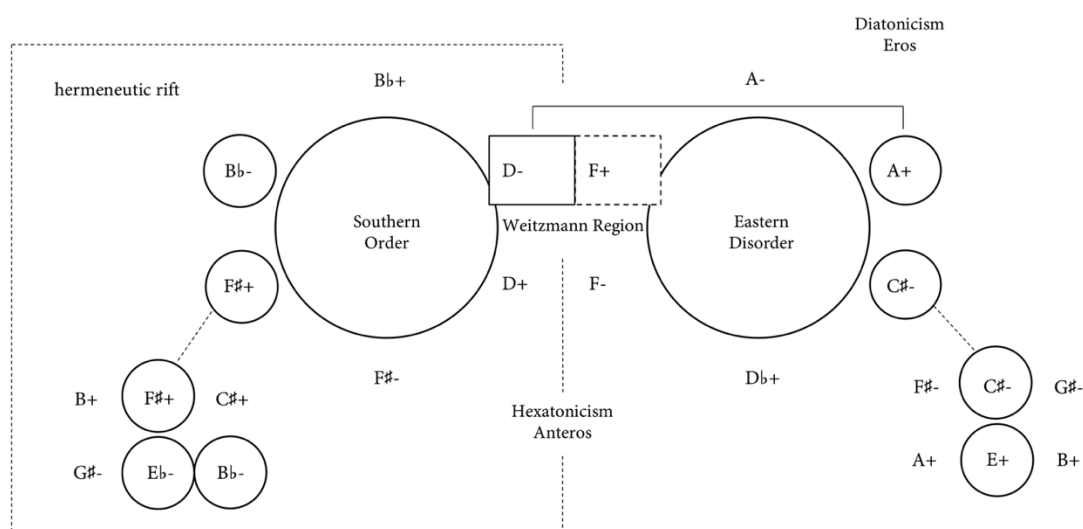
Figure 5.5   Schoenberg, *Pelleas und Melisande*,
               Tonal Relations after the Recapitulatory Subordinate Theme

While omitting the A-major transition from the exposition, Schoenberg replaces the subordinate theme that characterises Pelleas and Melisande's acquaintance with a transformed theme from the beginning of the slow movement (bars 516–541); Pelleas's *Leitmotiv* is expunged as a consequence of his death, and the 'death' *Leitmotiv* is incorporated to foreshadow Melisande's melancholy demise. This is supported by the conflation of the E-major slow-movement theme with D minor, indicating the intent to draw a tonal closure over the replaced theme and thereby announcing the cessation of Pelleas and Melisande's doomed romance. This E major–D minor conflict is however left unresolved due to its inability to produce the ESC that validates D minor as the tonic. The couple's improper affair is yet to be rectified, and this offloads the burden of resolution to the closing section and the coda. As Figure 5.5 illustrates, the closing section (C, bars 542–566) opens up the southern system's associative diatonic network with E♭ minor as a corrective act to balance out the diatonic network brought about by the E major in the eastern system. This 'hermeneutic rift', as I term it, is driven by programmatic impulse: As Berg asserted, the closing section portrays the scene of 'Melisande's Deathbed' (*Das Sterbegemach Melisandens*), a reading supported by the setting of Melisande's *Leitmotiv* as the theme and the 'death' *Leitmotiv* as the counter-motif.[75] While E major, the motto key of Pelleas and Melisande's love,

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[75] Berg, *Arnold Schönberg, Pelleas und Melisande, op. 5*, 11; *cf.* Berg, 'Pelleas and Melisande Guide', 289.

is reconceived as the relative major of C♯ minor and situated in the eastern system of the disordered space, the utilisation of E♭ minor at the same location of the opposite ordered space has an important symbolic meaning, denoting Melisande's death as a disentanglement of the lovers' mortal romance. Such a process is ended with a plagal cadence in B♭ minor (bars 565–566), which transcends the conflict between the trio of protagonists, bringing us back to the southern world of order in preparation for the final D minor homecoming.

The coda exhibits a similar layout to the recapitulation in which unsettled events are redressed. The main theme (bars 567–584) affirms the D minor tonic and yet brings forward an E major PAC as closure, recalling the E major–D minor dualism in the recapitulation. The subsequent E major inter-thematic unit (bars 584–611) renders both thematic and tonal transformations as ultimate solutions to obliterate the emblematic E major: the lovers-related E major subordinate theme 'becomes' the death-associated D minor slow-movement theme, suggesting the ultimate end to the disordered events. After all the complications, D minor is eventually confirmed as the tonic in the final formal unit (bars 602–647). This ratifies diatonic sonata order as the music's tonal-syntactic epistemological priority, asserting Eros, or the human desire, as the fundamental drive of the trio of protagonists, who in turn cause the drama. The D minor tonic proclamation also admits the chord of fate—being a chromatically twisted D minor 6/3 chord—as a kind of musical home itself, contending the affliction it implied as a necessary outcome of the desire. While the formal unit displays a strong D minor orientation, the structural cadence absent from the recapitulation is however not retrieved here. The dialectics between Eros and Anteros are thereby left in eternity, as connoted by the immortal returns of the 'fate' *Leitmotiv* towards the end.

A Genre of Third Space

Overall, this analysis extends the usage of the model of dialectical form to address the interplay between absolute and programme posited in Berg's account of *Pelleas und Melisande* by reimagining the relationship between form and tonality as a dialectical discourse. I first mobilise the hexatonic cycles as the tonal-spatial basis for tracing tonal/narrative paths and pinpoint the diatonic relations inherent in such systems in

order to underscore the tension between hexatonic and diatonic syntaxes as essential to the music's form and programme. The hexatonic-diatonic conflict is integrated into the formal process informed by a restricted two-dimensional sonata form (with the overarching sonata form mostly suspended before the *Augenblick*), in which hexatonicism challenges the diatonic foundation of sonata form, foregrounding the restoration of a diatonic sonata order as the form's teleological goal. Such a process concurrently expresses a drama of Eros and Anteros, which, in cooperation with the *Leitmotiven*, supplies meaning for the local tonal/dramatic events that in turn affect the form. I relate this dichotomy between diatonic sonata form and hexatonic tonality to dialectical form, contending that it displays an Adornian negative-dialectical process in which the diatonic sonata order is given epistemological priority with the advent of the *Augenblick*, crystallised as the chord of fate. Emerging as the culmination of the sequential dissonances distributed across the preceding formal span, the *Augenblick*, compelled by the succeeding Tristan chord, reveals a diatonic-syntactic tendency that reorientates our conception of the entire piece respectively as a diatonic sonata form. This corresponds to the climax of Maeterlinck's play, where Anteros turns into the punisher of unrequited love and induces Golaud to kill Pelleas. The inner movements in the sonata cycle, previously associated with Pelleas and Melisande's affair, are thereby functionally reinterpreted as the development in an overarching sonata form that drives towards the *Augenblick*, which serves as the structural moment of change. This precipitates the collapse of two-dimensionality, followed by a process of reinstalling diatonic sonata order that simultaneously seeks to address the disorderly issues in the drama. Diatonicism however does not assume functionality until the very end, and the absence of structural cadence indicates that the tonic is not completely secured, despite the epistemological preference for diatonic sonata order. This suggests the perpetual nature of dialectics that informs the relationships between Eros and Anteros, diatonic and hexatonic syntaxes, form and tonality, symphony and drama, and absolute and programme, all of which are housed in the symphonic poem as a single generic type.

This case study in turn illustrates a novel model for analysing *fin-de-siècle* symphonic poems that considers the dualities of form and tonality, or absolute and pro-

gramme, as two sides of the same coin. Drawing on an array of approaches, I demonstrate how these concerns are housed in a single structural logic predicated on the dialectics between form and tonality. Construing tonality as the musical agency for the programme in a Wagnerian fashion, I spotlight tonal trajectory as the representation of dramatic states or events, which are entwined with the sonata-formal process as a coherent whole, acknowledging both the symphonic and the dramatic origins of the symphonic poem. This approach thus emphasises the symphonic poem as a distinctive genre different from the symphony and incidental music. Although the symphonic poem exhibits qualities intrinsic to respective genres of the symphony and the drama, such a coalescence essentially generates a third space that characterises the symphonic poem as an individual generic type. Countering the binary attitude prevailing in the literature, analysis of the symphonic poem should therefore reflect considerations of both its symphonic and dramatic elements and reveal how they interweave to create an ecosystem of relations peculiar to the genre. This understanding of the symphonic poem thereby corresponds to Hegel's original formulation of 'spiritual content' (*geistige Inhalt*),[76] which arguably underlies the two conceptions of the genre: while Hanslick foregrounded the 'spirit' as expressing through the material and Liszt highlighted the 'content' as conveying via the programme, Hegel stressed the importance of 'spiritual content and expression' as a unified condition for music to become a 'true art', in which he wrote, 'music is […] more profound when the composer gives the same attention […] to both sides, to the expression of a content, and to the musical structure'.[77] While the symphonic poem evinces an aesthetic union of absolute and programme, it is then the analyst's responsibility to give equal treatment to both form and content in order to illuminate its 'spiritual content'.

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[76] Georg Wilhelm Friedrich Hegel, *Aesthetics: Lectures on Fine Art*, vol. 2, trans. Thomas W. Knox (London: Oxford University Press, 1975), 901–2.

[77] *Ibid.*, 954. For a detailed discussion of Hanslick's and Liszt's divergent aesthetic interpretations of Hegel's idea, see Jee-Weon Cha, '*Ton* versus *Dichtung*: Two Aesthetic Theories of the Symphonic Poem and Their Sources', *Journal of Musicological Research* 26, no. 4 (2007): 377–403. See also Eduard Hanslick, *On the Musically Beautiful*, trans. Geoffrey Payzant (Indianapolis, IN: Hackett Publishing, 1986), 31; and Liszt, 'Berlioz and His "Harold" Symphony (1855)', 867.

Chapter Six

An Existential Journey
through the *Alpen(sinfonie)*

The Reverse Arrow

When theorising form-functional reinterpretation, Nathan John Martin and Steven Vande Moortele allude to a third symbol, a leftwards double arrow (⇐), which they intend as a substitution for the rightwards double arrow to indicate syntactic regression of form-functional profile. In their formulation, a formal unit that begins as a closing group (C) but ends as a subordinate theme (ST) is regarded as an example of form-functional reinterpretation, which can be denoted by 'closing group⇒subordinate theme', or to embrace also the regression to the earlier state of the normal functional order, 'subordinate theme⇐closing group'.[1] In other words, for the two authors, reinterpretation and regression manifest the *same* logical process, and their difference lies merely in the experience of time—the former shows progression, whereas the latter connotes reversion.[2]

This purely time-based understanding, however, does not take into account the role of syntax as a time demarcator in musical form: while reinterpretation entails a genuine progression from one syntactic category to another (e.g. subordinate theme to closing section), regression requires an initial syntactic category to be established to which a second syntactic category can revert: in order for the closing section to regress to the subordinate theme, the subordinate theme needs to be instated in the first place.

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[1] Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33, no. 2 (2014): 148.

[2] This conception is made plain recently by Kenneth M. Smith, who understands Martin and Vande Moortele's leftwards double arrow as '"reversed" in time' and devises a similar symbol (⇐) to describe the regression of tonal function. See Kenneth M. Smith, *Desire in Chromatic Harmony: A Psychodynamic Exploration of* Fin-de-Siècle *Tonality* (New York: Oxford University Press, 2020), 119–22.

In symbolic expression, regression is represented by the formula 'ST⇒C⇒ST', simpli-fied as 'ST⇐C' (to capture the reversion in time), as opposed to 'C⇒ST' that Martin and Vande Moortele otherwise suggest.[3] The equation of regression with reinterpre-tation thereby risks obscuring such a distinct logical process and its ensuing form-functional scenario. This is especially pertinent to the manifestation of what Vande Moortele terms 'two-dimensional sonata form', where a local form-functional trans-formation often regresses to its initial profile at a higher formal level.[4]

In view of this logical divergence, the present chapter theorises the idea of re-gression in formal terms and scrutinises what it could mean for the understanding of form as process. It posits regression as a special form-functional logic that engenders an alternative realisation of dialectical form, arguing that it constitutes another possi-ble sonata trajectory that *fin-de-siècle* composers pursued in the face of the crisis of tonality, which is materialised in the dialectics between diatonic and chromatic syn-taxes.[5] The discussion centres around Richard Strauss's *Eine Alpensinfonie* (1915), which I consider as the quintessence of formal regression as well as the apotheosis of the absolute–programme dialectic. Mindful of the ontological bearing of the idea of form as process, I first draw on Martin Heidegger's ontology of Dasein [there-being] to explicate the form-functional implications of regression.[6] Such a form-functional situation is exemplified via an analysis of '*Eintritt in den Wald* [Entry into the Forest]', where a local form-functional oscillation is retrospectively reinterpreted as reversing to its initial profile at an overarching level, exposing the epistemological primacy of

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[3] See Chapter Two for a manifestation of this logical process in the first movement of Mendelssohn's 'Italian' Symphony.

[4] Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement In-strumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), esp. 20–8 for an overview of the theory of two-dimensional sonata form. I have otherwise offered a summary in Chapter Five.

[5] See Chapter Two for the model of dialectical form and Chapter Four for the dialectics of tonal syntax.

[6] I thank J. P. E. Harper-Scott for pointing me to Heidegger, whose philosophy sheds important light on the formal questions arising from the phenomenon of regression. Michael P. Steinberg also makes this connection between Strauss and Heidegger with a focus on the politics of their *Geiste*. Although there is no apparent historical relation between Strauss and Heidegger, one could trace the sources of their philosophical ideas back to Friedrich Hölderlin and Friedrich Nietzsche. The latter's influence on the *Alpensinfonie* would be considered in relation to the programmatic connotations in due course. See Michael P. Steinberg, 'Richard Strauss and the Question', in *Richard Strauss and His World*, ed. Bryan Gilliam (Princeton, NJ: Princeton University Press, 1992), 164–89, esp. 168–76.

the subject.[7] This regressive logic is then conceived as underlying the formal organisation of the entire work: I proceed to address how it informs the form-functional and tonal systematic issues in the *Alpensinfonie* through a consideration of the thematic and tonal processes from the beginning till as far as '*Auf dem Gipfel* [On the Summit]'. Construed as the *Augenblick*, I relate the C major theme in the Summit to Heidegger's 'moment of vision', within which the form is clarified, and the diatonic subject is prompted to make choice over the tonal system and decide on how the syntactic interplay shall move forward. This in turn gives rise to a programmatic reading, where I mobilise the tonal-spatial model unveiled in the *Augenblick* to expound the central theme of 'human versus nature' in a similar manner as the hermeneutic approach developed in Chapter Five. Such an interpretation leads up to a Heideggerian reading of regression as a critique of Nietzsche's nihilism—one that also accounts for the relations between human and nature, and absolute and programme.[8]

Heidegger's Regression, or Dasein's Expedition

In situations of regression, the form-functional being's emphasis on its subjective experience finds its counterpart in Heidegger's ontology of Being. Seeking to revive the question of Being that 'has today been forgotten', Heidegger proposed to begin with the notion of Dasein, which he conceived as the distinctive way of Being realised by humans.[9] In his seminal text *Being and Time*, Heidegger proclaimed that 'Dasein is ontically distinguished by the fact that, in its very Being, that Being is an *issue* for it',

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[7] Taking an Adornian perspective, here (and in a few other instances in the first part of this chapter) I refer to Heidegger's ontology as a manifestation of a subject-orientated epistemology in order to align his ideas with the dialectical thinking pursued in this thesis. That said, unlike Adorno, I refrain from making judgment on Heidegger's emphasis on the subject (or Dasein) and instead treat it as a historical mode of musical thought that began to gain its structural prominence—concurrent with negative dialectics—at the *fin de siècle*. For a discussion of Adorno's and Heidegger's relations to epistemology, see Brian O'Conner, 'Adorno, Heidegger and the Critique of Epistemology', *Philosophy & Social Criticism* 24, no. 4 (1998): 43–62. See also Adorno, *Negative Dialectics*, 79 for his critique of Heidegger's subjectivity; and Iain Macdonald, 'Ethics and Authenticity: Conscience and Non-Identity in Heidegger and Adorno, with a Glance at Hegel', in *Adorno and Heidegger: Philosophical Questions*, eds. Iain Macdonald and Krzysztof Ziarek (Stanford, CA: Stanford University Press, 2008), 6–21 for an analysis of the Adorno-Heidegger debate.

[8] As the aim of this chapter is to explicate 'regression' as a distinctive formal logic, the consideration of Nietzsche's philosophy is limited. Apart from certain programmatic allusions, Nietzsche's influence is addressed only via a Heideggerian lens in the final section.

[9] Martin Heidegger, *Being and Time*, trans. John Macquarrie and Edward Robinson (New York: Harper Perennial, 2008), 21.

by which he meant—as Stephen Mulhall explains—that 'only Dasein exists in the sense that the continued living of its life, as well as the form that its life will take, is something with which it must concern itself', because 'only human creatures *lead* their lives'.[10] By virtue of this defining characteristic, Dasein is the being 'who inquires into the Being of all beings', a quality which is manifested in the everyday activities we pursue.[11] An investigation of Dasein's modes of engagement with other entities, or what Heidegger called 'an existential analytic of Dasein', would therefore be a step forward to accessing the underlying meaning of Being.[12] In Heidegger's original account:

> …To Dasein, Being in a world is something that belongs essentially. Thus Dasein's understanding of Being pertains with equal primordiality both to an understanding of something like a 'world', and to the understanding of the Being of those entities which become accessible within the world. So whenever an ontology takes for its theme entities whose character of Being is other than that of Dasein, it has its own foundation and motivation in Dasein's own ontical structure, in which a pre-ontological understanding of Being is comprised as a definite characteristic.
>
> Therefore *fundamental ontology*, from which alone all other ontologies can take their rise, must be sought in the *existential analytic of Dasein*.[13]

Heidegger set off the existential analytic by stating that we do not encounter entities as 'mere Things', but as 'equipment [*Zeug*]'—that is, something that is used 'in-order-to' carry out tasks such as writing, sewing and working.[14] While equipment is used to perform an activity, its entity is not *grasped* as 'an occurring Thing, nor is the

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[10] *Ibid.*, 32; Stephen Mulhall, *Heidegger and* Being and Time, 2nd ed. (Abingdon: Routledge, 2005), 15.

[11] Mulhall, *Heidegger and* Being and Time, 15.

[12] Heidegger, *Being and Time*, 33. In Heidegger's understanding, Dasein takes precedence over other entities for 1) it is an entity 'whose Being has the determinate character of existence' (an ontical priority); 2) it 'possesses—as constitutive for its understanding of existence—an understanding of the Being of all entities of a character other than its own' (an ontological priority); and 3) it therefore provides 'the ontico-ontological condition for the possibility of any ontologies'. As such, Dasein should 'in principle…be *interrogated* beforehand as to its Being' as 'the pre-ontological understanding of Being'. See *Ibid.*, 34–5.

[13] *Ibid.*, 33–4. Heidegger's focus on Dasein is also motivated by his view that Dasein and the world are inseparable; Dasein is thus 'Being-in-the-world'. This perspective renders Heidegger to reject the traditional subject/object epistemology as the basic way of encounter. For a detailed commentary on this matter, see Hubert L. Dreyfus, *Being-in-the-World: A Commentary on Heidegger's* Being and Time, *Division I* (Cambridge, MA: The MIT Press, 1991), chap. 3.

[14] Heidegger, *Being and Time*, 97. In order for something to function as equipment, it must refer to other equipment (by its involvement in the concerned task) to form an 'equipmental whole', e.g. ink and pen in writing.

equipment-structure known as such even in the using'.[15] Rather, we achieve a 'primordial' (closest) relationship with it by putting it in use: in Heidegger's example, when hammering with a hammer, 'the less we just stare at the hammer-Thing, and the more we seize hold of it and use it, the more primordial does our relationship to it become, and the more unveiledly is it encountered as that which it is—as equipment'. In this manner, hammering as an activity uncovers 'the specific manipulability [*Handlichkeit*]' of the hammer, and such a way of being, where entities are defined by their *use*, is what Heidegger called 'ready-to-hand [*zuhanden*]'.[16] In this phenomenological state, our primary concern is the ongoing task, and since the equipment is optimally manipulated, we are not aware of it as an entity that possesses determinate properties; as Hubert L. Dreyfus elucidates, 'precisely when it is most genuinely appropriated equipment becomes transparent'.[17] In other words, there is only the experience of the task under way—not only does Dasein have no consciousness of the equipment as independent object, it also does not recognise itself as a subject, because, by engaging in the concerned activity, Dasein too becomes absorbed as part of the phenomenon.[18]

Although, for Heidegger, the traditional subject/object intentionality does not partake in Dasein's ordinary encounter of entities as ready-to-hand, the consciousness of such categories emerge where there is a disturbance to the ongoing task that in turn brings about a collapse of the absorbed totality—that is, when deliberate attention is required. According to Dreyfus, the disturbance emanates from the breakdown of equipment, which gives rise to two new ways of beings of entities.[19] In the first, the

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[15] *Ibid.*, 98.

[16] *Ibid.*

[17] Dreyfus, *Being-in-the-World*, 65. See also Heidegger, *Being and Time*, 99: 'The peculiarity of what is proximally ready-to-hand is that, in its readiness-to-hand, it must, as it were withdraw [*zurückzuziehen*] in order to be ready-to-hand quite authentically. That with which our everyday dealings proximally dwell is not the tools themselves [*die Werkzeuge selbst*]. On the contrary, that with which we concern ourselves primarily is the work—that which is produced at the time; and this is accordingly ready-to-hand too'.

[18] This is also related to what Heidegger called 'circumspection [*Umsicht*]', which he used to denote our everyday 'looking around' that does not involve deliberate consciousness: 'Dealings with equipment subordinate themselves to the manifold assignments of the "in-order-to". And the sight with which they thus accommodate themselves is *circumspection*'. See Heidegger, *Being and Time*, 98. For a more detailed explication of this phenomenological state, see Dreyfus, *Being-in-the-World*, 66–9.

[19] Heidegger proposed three modes of breakdown, among which obstinacy and obtrusiveness are responsible for the two new ways of being of entities, while conspicuousness offers a preview of the two modes. For an in-depth examination of these modes, see *Ibid.*, 70–83; also Heidegger, *Being and Time*, 104.

activity in progress is interrupted by *defective* or *incomplete* equipment (e.g. the hammer is broken). In the wake of such a deficiency, we are forced to pay deliberate attention to what is going on, and the previously transparent entities are thus made 'explicitly manifest', or in Heidegger's terms, 'un-ready-to-hand'.[20] With malfunctioning entities revealed as objects of encounter, Dasein becomes conscious and assumes the role of a subject, which tries to 'fix or improve it[s equipment] and get going again'.[21] At this stage, however, such entities are not fully fledged objects, since they are still defined in relation to an equipmental context.[22] As Heidegger declared: 'When something cannot be used—when, for instance, a tool definitely refuses to work—it can be conspicuous only in and for dealings [i.e. tasks] in which something is manipulated'.[23] That is to say, a broken hammer appears to Dasein as a faulty item of equipment still, which causes *temporary* disruption to hammering as an *ongoing* activity.

Once the task in progress is *permanently* interrupted due to the deficiency in equipment, entities are deprived of their equipmental context and become *objects with properties*, leading to a transition from un-ready-to-hand to 'present-at-hand [*vorhanden*]'—the second way of beings of entities arisen from disturbance. By virtue of the cessation of the absorbed activity, we take 'a new, detached theoretical stance towards things and try to explain their underlying casual properties'.[24] As Heidegger asserted, 'If knowing is to be possible as a way of determining the nature of the present-at-hand by observing it, then there must first be a *deficiency* in our having-to-do with the world concernfully'.[25] Under such a phenomenological condition, entities are recalibrated to a new context as objects of scrutiny, and their properties 'can be quantified and related by scientific covering laws and thus taken as evidence for theoretical entities'.[26] In other words, we see the broken hammer as a hammer with its head detached, and considering it together with other items of equipment involved in the assignment (such as nails), we might hypothetically construct a theory of hammering.

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[20] Dreyfus, *Being-in-the-World*, 72.

[21] *Ibid.*, 84.

[22] *Ibid.*, 76–7.

[23] Heidegger, *Being and Time*, 406.

[24] Dreyfus, *Being-in-the-World*, 79.

[25] Heidegger, *Being and Time*, 88.

[26] Dreyfus, *Being-in-the-World*, 81.

While entities are isolated from their everyday context, they however remain part of Dasein's existential concern, or 'Being-in'. [27] This view is clarified in Heidegger's explication of the changeover from (un-)ready-to-hand to present-at-hand:

> When in the course of *existential ontological* analysis we ask how theoretical discovery 'arises' out of *circumspective* concern, this implies already that we are not making a problem of the *ontical* history and development of science, or of the factual occasions for it, or of its proximate goals. In seeking the *ontological genesis* of the theoretical attitude, we are asking which of those conditions implied in Dasein's state of Being are existentially necessary for the possibility of Dasein's existing in the way of scientific research. This formulation of the question is aimed at an *existential conception of science.…*The existential conception understands science as a way of existence and thus a mode of Being-in-the-world, which discovers or discloses either entities or Being.[28]

As beings-in-the-world, entities present-at-hand are manifestations of Being that remains an issue for Dasein. Dasein is thereby said to have continued its involvement in the world, albeit with a change of focus. This evinces a foundational principle in Heidegger's ontology, in which Dasein and world are understood as indivisible—they are two sides of the same coin, whereby, in Heidegger's words, 'Dasein exhibits itself as an entity which is in its world but at the same time is by virtue of the world in which it is'.[29] And since Dasein has emerged as the subject via its worldly encounter, present-at-hand can then be construed from the perspective of Dasein as part of its subjective inquiry into the question of Being. As Heidegger pronounced:

> There is world only insofar as Dasein exists. But then is world not something 'subjective'? In fact it is! Only one may not at this point reintroduce a common, subjectivistic concept of 'subject'. Instead, the task is to see that being-in-the-world, …fundamentally transforms the concept of subjectivity and of the subjective.[30]

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[27] 'Being-in' denotes a sense of concern or involvement in Heidegger's usage. See *Ibid*., 40–5.

[28] Heidegger, *Being and Time*, 408.

[29] Martin Heidegger, *History of the Concept of Time: Prolegomena*, trans. Theodore Kisiel (Bloomington, IN: Indiana University Press, 1985), 202. For an elucidation of the interdependence of Dasein and world, see Dreyfus, *Being-in-the-World*, 96–9.

[30] Martin Heidegger, *The Metaphysical Foundations of Logic*, trans. Michael Heim (Bloomington, IN: Indiana University Press, 1984), 195. It is important to note that Heidegger did not consider the subject

Taken as a whole, Dasein's journey through the three modes of encounters corresponds to the form-functional being's experience in scenarios of regression.[31] To begin with, I compare 1) the initial form-functional profile (which is often conditioned by formal syntax) to Dasein on the grounds of their similar quest for Being; and 2) the given formal span to the world of encounter in which Dasein inquires and dwells.[32] In spite of the analogy, however, I do not *equate* the human Dasein with form-functional being. Rather, I consider music as a medium through which the composer (or the listener) probes into the question of Being via formal function, the temporal existence of which is akin to that of Dasein. The term 'Dasein', when applied in this context, then, signifies *only* the temporal existence of *formal function*. In such instances, I refer to Dasein as 'form-functional Dasein' (or 'formal Dasein' in a larger context) in order to distinguish it from its original usage as the human mode of Being.

Figure 6.3 outlines the (onto)logical process of form-functional regression, conceived after the existential analytic of Dasein. In the beginning, despite entering with a given syntactic profile, the form-functional Dasein has no consciousness of another entity as an independent object, nor itself as a subject. There is only the ongoing 'task', or the form-functional process, and the material 'equipment' that leads the process is hence 'ready-to-hand'.[33] It is not until there is a disturbance—a material inconsistency that suggests a different form-functional profile—that the form-functional Dasein becomes aware of another objective entity and assumes the status of a subject. At this point, the malfunctioning material equipment is also shown to be 'un-ready-to-hand', and the form-functional Dasein in turn attempts to 'solve the problem' and restore the smoothness of the activity. Such an effort is proven to be in vain at the end. The process

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as self-conscious (as with the Cartesian tradition) but it is rather a status to be gained via social practices. See Dreyfus, *Being-in-the-World*, 13–4.

[31] This is related to Heidegger's temporal reading of Dasein's existential constitution. See Heidegger, *Being and Time*, chap. 4, esp. 403–18.

[32] For the phenomenological basis of comparing music to Dasein, see J. P. E. Harper-Scott, *Edward Elgar, Modernist* (Cambridge: Cambridge University Press, 2006), chap. 2. On top of the similarities between the temporalities of music and Dasein, the programme of the *Alpensinfonie* also contributes to this interpretation and will be addressed in due course. As we shall see, although the initial form-functional profile is determined by formal syntax in most cases, there are occasions where thematic process overrides formal syntax and posits a different initial form-functional profile (albeit in retrospect), especially in two-dimensional sonata form. An elaboration of such a case will soon follow.

[33] The material equipment often takes the form of a motivic process. See Chapter Two for the interplay between syntax and process.
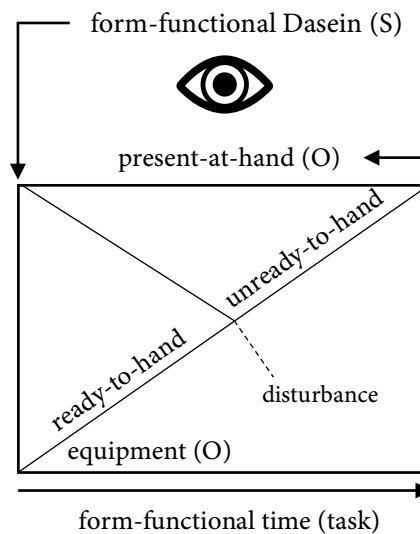
Figure 6.3 Experience of Time in Form-Functional Reinterpretation

is terminated by a thematic closure, while the material equipment stays 'defective'. The form-functional Dasein then begins to see the material equipment as an object with properties, or 'present-at-hand', and proceeds to theorise its encounter in the given formal span: the 'faulty' material equipment elicits a second formal function that disrupts the form-functional Dasein's doing, a situation which brings about either a form-functional oscillation (the form-functional Dasein tries to 'fix the problem') or a form-functional reinterpretation (the form-functional Dasein tries to fix the problem but fails). Such a local form-functional phenomenon however turns out to be a manifestation of the form-functional Dasein's quest for Being, a higher perspective which is materialised in the constraint(s) imposed by the form-functional attributes of the initial profile (e.g. a closing PAC would compel the otherwise 'subordinate theme⇒ closing section' resulted from the lack of closure to be reconsidered as a subordinate theme).[34] This ultimately gives rise to an overall syntactic regression, which brings the form-functional Dasein back to its starting point—Being is an issue for it.

The Heideggerian conception of regression is best illustrated in the *Alpensinfonie*, where an existential analytic of Dasein would help illuminate its perplexing form-functional issues. Table 6.1 summarises the form of the *Alpensinfonie*. Similar

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[34] See Chapter Two for the specific analysis of this phenomenon in the first movement of Mendelssohn's 'Italian' Symphony.

to Schoenberg's *Pelleas und Melisande*, the *Alpensinfonie* displays a special kind of two-dimensional sonata form, where the activation of the formal dimension correlates with the collapse of the cyclic dimension at the arrival of the summit.[35] The phenomenon of form-functional regression is specifically evoked in the two-part '*Eintritt in den Wald*' (bars 147³–261³) in the exposition of the cyclic first movement. While the first part (bars 147³–229⁴) exemplifies an 'ordinary' scenario in which a subordinate theme 'reverses' to a transition, the second part (bars 229⁴–268²), given in Example 6.3, manifests a unique case of regression that operates across dimensions and temporarily forces open the otherwise concealed dimension of form.[36] Preceded by a medial caesura, the A♭ major formal unit exhibits a monumental hybrid thematic design with a hybrid antecedent (bars 229⁴–237³) and a tremendously expanded continuation (bars 237³–261³), or alternatively, a small ternary (ABA') in William E. Caplin's terms.[37] The antecedent consists of a compound basic idea (bars 229⁴–233³) that reintroduces the main theme's compound basic idea (*x*, see also Example 6.4), as well as a continuation (plus cadential) phrase (bars 233³–237³) with new materials (*y*), positing the unit as the subordinate theme of a monothematic exposition. While a 'wrong-key' G minor PAC (bars 257–258) is deployed to end the antecedent, *y* is nevertheless taken as the model for the subsequent sequences in the larger continuation. In spite of the fragmented reappearances of the dotted-rhythm motif derived from *x*, *y* is grown into a sequential chain that is three times as large as the antecedent—it strives to replace *x* as the main material that conveys the formal functionality of the unit. Such an opportunity arises at the advent of what Caplin might consider as a 'prolongation closure' (bar 249):[38] this closing gesture could be seen as marking off the overall hybrid's continuation, and the sequential materials in the following formal span (bars 249³–261³) can then be construed as a new sentence, in which *y* could gain the status as the main

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[35] See Chapter Five for the relevant discussion on *Pelleas und Melisande*.

[36] I refer to the 'subordinate theme' here as a 'subordinate-theme *locum*', or 'ST-l', since these inter-thematic units only function as temporal substitutions for the subordinate theme. The 'real' subordinate theme with full functionality does not appear until '*Auf dem Gipfel*'.

[37] On the small ternary, see Caplin, *Classical Form*, 71–86.

[38] By 'prolongational closure' Caplin refers to cases where formal units that 'close not with cadential progressions, but prolongational ones instead'. See William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum* 40, no. 1 (2018): 14–6, and 1–2 for the distinction between cadential and prolongational progressions.

Form

Large-scale function	INTRO				EXPOSITION⇐ (after *Augenblick*)				
Inter-thematic function	Before-the-beginning	Beginning	Middle	End	Subrotation 1⇐				
					MT1	MT1-Suffix	TR1		
Tonal process	B♭-		A+	D♭+	E♭+		C-	A+	E♭+
Scene	*Nacht*		*Sonnenaufgang*		*Der Anstieg*		*Eintritt in den Wald*		
Measure	1	9	46	60	73⁴	122	147³	200	212

Cycle

Inter-thematic function	Before-the-beginning	Beginning	Middle	End	MT	MT-Suffix	TR⇐ST-l		
Large-scale function	intro				exposition				
Movement	First Movement								

Form

Large-scale function	EXPOSITION (*cont.*)⇐ (after *Augenblick*)					
Inter-thematic function	Subrotation 2⇐					
	MT2⇐			MT2-Suffix⇐	TR2⇐	
Tonal process	A♭+	False EEC: A♭+		C-	D+	
Scene	*Eintritt in den Wald*			*Wanderung neben dem Bache*	*Am Wasserfall*	*Erscheinung*
Measure	229⁴	260–261³	261³	268³	271³	292	301

Cycle

Inter-thematic function	MT⇔ST-l			ST-l⇒C	C⇒Scherzo	
Large-scale function	exposition (*cont.*)					
Movement	First Movement (*cont.*)					Scherzo

Form

Large-scale function	EXPOSITION (*cont.*)⇐ (after *Augenblick*)					
Inter-thematic function	Subrotation 3⇐				Subrotation 4⇐	
	MT3⇐	MT3-Suffix⇐		TR3⇐	MT4⇐	MT4-Suffix⇐
Tonal process	B+	E♭+		?	D-	?
Scene	*Auf blumigen Wiesen*	*Auf der Alm*		*Durch Dickicht und Gestrüpp auf Irrwegen*	*Auf dem Gletscher*	*Gefahrvolle Augenblicke*
Measure	333	366	415	436	490	521

Cycle

Inter-thematic function	Pre-Core		ST-l	Core		RT
Large-scale function	development		ST-l⇒development	development		
Movement	Scherzo (*cont.*)		Trio⇒ST-l	First Movement (*cont.*)		

Table 6.1   Strauss, *Eine Alpensinfonie*, Formal Synopsis

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Table 6.1 (first section)

Form			EXPOSITION⇐							DEVELOPMENT
	Large-scale function									
	Inter-thematic function	Breakthrough	*Augenblick* (sublime)		C					Pre-Core
		TR4⇐	ST							
Tonal process		F+	C+	EEC: C+	C+	?	A♭+⇒?	E+⇒?	B♭-	
Scene		*Auf dem Gipfel*				*Vision*			*Nebel steigen auf*	
Measure		565	599	632–633	633^4	653	673	706	729	
Cycle	Inter-thematic function	intro								
	Large-scale function	recapitulation			collapsed after *Augenblick*					
	Movement									

Table 6.1 (second section)

Form		DEVELOPMENT (*cont.*)									
	Large-scale function										
	Inter-thematic function	Pre-Core (*cont.*)				Core					
Tonal process		B♭+	F#-	D-?	?⇒B♭-	B♭, D-	F#-	?	C-	E♭+, A♭+	B♭-
Scene		*Die Sonne verdüstert sich allmählich*	*Elegie*		*Stille vor dem Sturm*	*Gewitter und Sturm, Abstieg*					
Measure		737	755	778	790	847	878	886	892	930	944
Cycle	Inter-thematic function	collapsed after *Augenblick*									
	Large-scale function										
	Movement										

Table 6.1 (third section)

Form		DEVELOPMENT (*cont.*)		RECAPITULATION (reversed)			CODA	
	Large-scale function							
	Inter-thematic function	Core (*cont.*)	RT	ST	TR⇒ST	MT	Before-the-beginning	Beginning
Tonal process		B♭-: DC	G♭+, E♭-, B+	E♭+		ESC: E♭+	E♭+	B♭-
Scene		(*cont.*)	*Sonnenuntergang*	*Ausklang*			*Nacht*	
Measure		981–982	985^3	1036	1073^4	1104–05^3	1105^3	1131	1139
Cycle	Inter-thematic function	collapsed after *Augenblick*						
	Large-scale function							
	Movement							

Table 6.1   Strauss, *Eine Alpensinfonie*, Formal Synopsis (*cont.*)

Example 6.3   Strauss, *Eine Alpensinfonie*, the Second Part of *Eintritt in den Wald*

Example 6.3   Strauss, *Eine Alpensinfonie*, the Second Part of *Eintritt in den Wald* (*cont.*)

Example 6.4   Strauss, *Eine Alpensinfonie*, Compound Basic Idea of the Main Theme

event of the unit. Yet the immediate return of *x* after the prolongational closure suggests that it remains in force—what it reveals is instead the tension between *x* and *y*, with each of them expresses a different formal function.

Though at this point one might expect the two functions to be 'subordinate theme' and 'closing section' and describe the unit as 'subordinate theme⇔closing section', a consideration of the generic conventions of the symphonic poem (which are closely related to the defining features of two-dimensional sonata form) in line with the ongoing two-dimensional sonata process would suggest otherwise. As Carl Dahlhaus noted, Liszt's invention of the symphonic poem came with 'a change in formal thinking', which is materialised in not only two-dimensional sonata form, but also 'the technique of motivic transformation'.[39] He contended that Liszt mobilised motivic transformation to 'combine the divergent sections of his forms' and related 'passages that seemed separate and distinct by virtue of their contrasting tempos and moods'.[40] In other words, motivic transformation is often used to retain coherence in two-dimensional sonata form, for it amounts to a process that is 'indirectly connected with the programmatic content of the symphonic poem, being a counterfoil to the sharp contrast of tempo and mood which invites programmatic interpretation'—in a post-Wagnerian context, such interrelations between motifs or themes were made apparent, as they emerged as the bearers of expressive content in the form of leitmotifs.[41] In view

[39] Carl Dahlhaus, *Nineteenth-Century Music.* trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), 239. Here the term 'motivic transformation' refers to the same phenomenon as 'thematic transformation', which is discussed briefly in Chapter Two.

[40] *Ibid.*, 240. This use of motivic transformation to maintain coherence in programmatic genres however did not begin with Liszt but rather with Beethoven, whose dramatic music had inspired Liszt's formal approach to the symphonic poem in many ways. I have sketched the connection between Beethoven's formal-dramatic strategies and Liszt's conception of two-dimensional sonata form elsewhere. See Kelvin H. F. Lee, 'Beethoven's *Egmont* and the Pre-History of Two-Dimensional Sonata Form', in *Beethoven-Perspektiven (Schiften zur Beethoven-Forschung)*, ed. Jürgen May (Bonn: Verlag Beethoven-Haus Bonn, forthcoming).

[41] *Ibid.*, 241. Motivic connection plays an important role in delivering the programmatic content in post-Wagnerian symphonic poems. See for example the discussion on 'sequential dissonances' and its

of this generic/formal attribute, the conflict between x and y needs to be understood in a broader context as one between thematic process and sonata syntax: the reintroduction of the basic idea of the main theme as x signifies an ongoing thematic process and thus the main theme's question of its own being. While there is no actual subordinate theme at this point, the formal unit could possibly be interpreted as the A' of a vastly proliferated small-ternary main theme.[42] The appearance of x hence elicits the function of the main theme, which competes with y for the assumption of formal functionality.

The form-functional situation here can be further explicated in relation to an existential analytic of Dasein. Mindful of its continuous inquiry into the issue of Being, the main-theme function could be seen as the form-functional Dasein. To reappraise what happened in the formal unit in Heideggerian terms: the main-theme Dasein, represented by x, enters the unit without realising 1) itself as a subject, and 2) that there exists another entity, or y, which is prefigured in the *singend* viola part (bars 229^4–233^3) as the supporting material to x. There is only 'process', and y, being 'equipment' which the form-functional Dasein uses to execute the task of producing the process, is therefore 'ready-to-hand'. As the music continues, the extensive sequential treatment of y seems increasingly likely to hinder the ongoing task, with the equipment getting much bigger than its optimal condition.[43] This 'breakdown' of the y equipment eventually occurs at the arrival of the prolongational closure, where y gains the opportunity to establish itself as the main event of the unit and consequently disturbs the task. At this point, the main-theme Dasein becomes conscious of itself as a subject and y as an 'unready-to-hand' equipment. It then seeks to solve the problem—as we can see, in the subsequent formal span, the main-theme Dasein reappears in an attempt to rescue its status as the main event that conveys the formal functionality of the unit. Such an effort, along with the ongoing task, ceases as a closing PAC emerges towards the end (bars 260–261^3). Not until then the form-functional Dasein is able to take a theoretical stance—to grasp the task as a totality—and view the y equipment as a fully fledged

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programmatic implications in Chapter Five.

[42] In this reading, the 'transition⇐subordinate theme' could be construed as the contrasting middle (B) of the small ternary.

[43] This arguably disrupts the balance of the overall hybrid, given that there is only a four-bar, abridged presentation based on x, while the rest of the material (sixteenth bars up to the prolongational closure) is derived from y.

object, or 'present-at-hand', that posits a subordinate-theme function. And since its effort to try 'fixing' the problem is halted, the unit thereby propounds a form-functional oscillation between main theme and subordinate theme. For the form-functional Dasein, the passed formal span is yet only part of its broader engagement with the issue of Being, as evinced in the overarching thematic process that centres on the main theme; this leads to a form-functional regression (main theme⇐subordinate theme) as the final verdict.[44] Because a return to the main theme after the transition is syntactically not possible within the cyclic first movement, the form-functional regression hence opens up the concealed dimension of form in a blink, offering an early glimpse of the overarching formal regression as a whole.

The existential analytic of the main-theme Dasein sheds light on a special case of form-functional regression that fleetingly reveals the otherwise hidden two-dimensionality. By spotlighting the role of x as part of an overarching thematic process, it also makes known the overall expedition of the main theme as the formal Dasein: while the *Alpensinfonie* depicts a human being's encounter with nature, the main theme, emerging along with '*Der Anstieg* [The Ascent]' (bars 73^4–147^2), is emblematic of the protagonist, who goes on a journey to the world in search for the meaning of life. Although its first experience with nature in '*Eintritt in den Wald*' has already heralded a monistic regression as the result, it is not until the formal Dasein has reached the Summit that it comes to discover what it is up to—an endless 'care' (*Sorge*) for Being-in-the-world.[45] Such an existential pursuit is imparted in not only the thematic process, but also the tonal progression, both of which culminate in the Heideggerian *Augenblick*—the moment of vision.

The Moment of Vision

With the exception of the glimpse in '*Eintritt in den Wald*', the formal process prior to '*Auf dem Gipfel*' takes place solely in the sonata cycle (see Table 6.1). As the form-

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[44] This is different from the form-functional regression in an ordinary 'Type-3' sonata in which the dimension of form plays a determinative role as the syntax-regulating force in two-dimensional sonata form (in this case, the overarching thematic process is what governs the form), whereas in a 'Type-3' sonata it is the sonata syntax that assumes the higher order.

[45] In Heideggerian terms, 'care' is an ontological concept that refers to Dasein's relationship with the world, since Being is itself an issue for Dasein. See Dreyfus, *Being-in-the-World*, chap. 14.

functional regression manifests, the basic idea of the main theme is subject to an over-arching thematic process, and this triggers a series of form-functional issues: while the A♭ major unit in '*Eintritt in den Wald*' might now be construed as the A' of a small-ternary main theme, the *x*-precipitated regression however leads to the absence of an 'actual' subordinate theme. Although the next formal unit ('*Wandering neben dem Bache* [Wandering by the Brook]', bars 268³–292¹) begins with a lyrical basic idea that once again evokes the function of a subordinate theme, its functionality is disrupted by a variant of *x*, which prompts the unit to be reinterpreted as a closing section—without full functionality such units remain merely 'candidates' for the subordinate theme, or what I call 'subordinate-theme *locums*', which are distinguished from the 'real' subordinate theme that is due to appear.

The cyclic first movement is left unfinished as the closing section plunges into a clearly delineated scherzo ('*Erscheinung* [Apparition]', bars 301–332) through '*Am Wasserfall* [At the Waterfall]' (bars 292–300). Yet *x* continues to permeate the subsequent formal span while the music carries on its search for the subordinate theme, and this gives rise to the coalescence of formal functions at different levels across movements of the cycle: after the '*Erscheinung*', the antecedent of the main theme is re-launched in full in the cellos amid the scherzando background in '*Auf blumigen Wiesen* [On Flowering Meadows]' (bars 333–365). The reintroduction of the main-theme material in turn elicits the function of a developmental pre-core, which oscillates with the ongoing scherzo profile.[46] This is followed by a two-part trio ('*Auf der Alm* [On the Alpine Pasture]', bars 366–435), wherein the new theme in its second part generates the impression of a subordinate theme, which is quickly superseded by the extensive sequential treatment of the thematic material that yields another form-functional reinterpretation of the unit as the core of the development.[47] While the first-movement sonata process is retrieved afterwards, the thematic process predicated on *x* continues

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[46] For the characteristics of the pre-core, see Caplin, *Classical Form*, 151–5.

[47] The extensive use of the model–sequence technique is a marked feature of the core of a development. See *Ibid.*, 142–4. The scherzo as a whole could also be seen as embedded within the first movement of the sonata cycle. What this interpretation implies is that there is no 'actual' cycle but a first-movement sonata form with limited functionality embedded with a larger sonata form that is revealed at the Summit. For a similar case in Wagner's Overture to *Tannhäuser*, see Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), 187–9.

F-	C-	G-		D+		A+
Ab+	Eb+	Bb+		D-		A-
Ab-	Eb-	Bb-				
B+	Gb+	Db+				
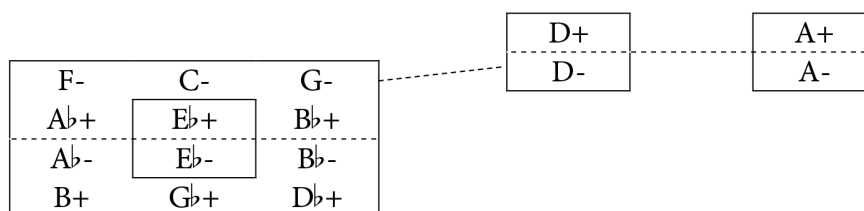
Figure 6.4   Strauss, *Eine Alpensinfonie*,
Tonal Relations from the Introduction till the Scherzo

to pervade the rest of the development, and nonetheless there is still no sign of a fully functional subordinate theme. On the arrival of the Summit, the 'mountain' motif from the slow introduction (bars 599–603[1]) is brought back in preparation for the potential reprise, and one might wonder, at this point, whether there is any stable subordinate theme at all.

Alongside the issues with the potentially missing subordinate theme, the tonal process before the Summit also generates questions over the integrity of its system. Figure 6.4 outlines the tonal relations from the introduction ('*Nacht* [Night]') till the scherzo ('*Erscheinung*'). The problem with the tonal system is instituted right from the beginning (see Table 6.1). Although Bb minor and Db major from the introduction are both within the tonic-defining relationships that posit Eb—the key of the main theme—as the centre of a modally mixed diatonic system, A major, which represents the '*Sonnenaufgang* [Sunrise]', fails to integrate into the system and hence remains an opposing force to Eb throughout the pre-Summit formal span: while C minor (relative key to Eb) is deployed after the main theme to reinforce the tonicity of Eb, A major reappears immediately afterwards to restate its resistance to diatonic systemic definition before the music settles back in Eb major, exhibiting altogether an octatonic progression with a PRP transformation (C minor to A major) followed by a tritonal RPR transformation (A major to Eb major). Counteracting such a chromatic tendency, the subdominant Ab major and the relative key C minor are then mobilised to reaffirm the Eb orientation. This is nevertheless confronted once more by D major, which effects the immature shift to the scherzo and offers support to A major as a fifth-related member of the opposing tonal force.

Whereas A minor and D major constitute the contender from outside of the system, the Eb diatonic orientation also faces challenge from within. Having relocated to

IV	Sublime	A♭+	G♯-	C+	C-	E+	E-	(northern)
I	Human	E♭+	E♭-	G+	G-	B+	B-	(western)
V	Nature	B♭+	B♭-	D+	D-	F♯+	F♯-	(southern)
ii	Breakthrough	F+	F-	A+	A-	D♭+	C♯-	(eastern)

(arrows labelled 8, 7, 4, 9, 5, 11, 12, (DEV) 10, 6, (INT) 1, (EXP) 3, 2, 13)
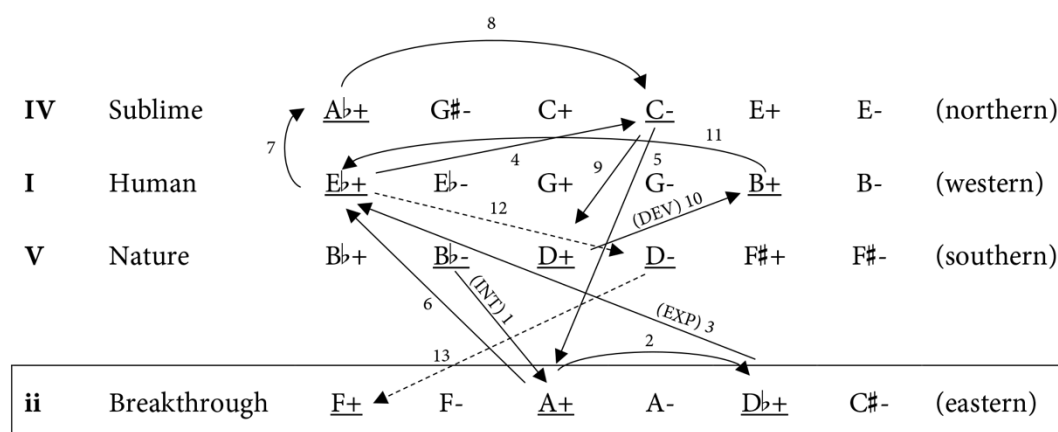
Figure 6.5 Strauss, *Eine Alpensinfonie*,
Reinterpreted Tonal Relations at the Breakthrough

B major for the Flowering Meadows that imbricates the developmental pre-core over the scherzo, the music proceeds to another Alpine pasture—where the scherzo crumbles back into the development—via a hexatonic LP transformation to E♭ major.[48] Here the reference to hexatonic syntax poses danger to the E♭ diatonic conception as a whole: despite the evocation of various diatonic key relations that points to E♭ as the centre of gravity, there has been no structural dominant that ratifies the diatonic-syntactic orientation. Taking into account that the governing tonal syntax is not determined, this setting of a hexatonic progression from B major to E♭ major could be construed as positing a hyper-hexatonic system as an alternative tonal universe that could in turn assimilate the otherwise excluded A minor and D major into its system.[49] Such an idea is however left in the air. As the developmental process returns, E♭ major gradually gives way to the tonally unstable core resulted from the extensive model–sequence technique. Although D minor temporarily emerges with '*Auf dem Gletscher* [On the Glacier]' (bars 490–520), it serves to reassert the D–A relation as an opposing force rather than articulating a different systematic construct. This ultimately leads to

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[48] The use of hexatonic progression (i.e. parsimonious voice leading) here corresponds to the minimal change of scene from the flowering meadow to the Alpine pasture. It also correlates with the temporal digression to the scherzo (and trio) that is reintegrated into the first-movement sonata process afterwards.

[49] On the concept of 'hyper-hexatonic system', see Richard Cohn, 'Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions', *Music Analysis* 15, no. 1 (1996): 23–30. See also Chapter Four for the discussion on the determination of syntactic orientation.

Example 6.5   Strauss, *Eine Alpensinfonie*, the Subordinate Theme
(with the preceding 'Nature' and 'mountain' motifs)

an anticipatory, tonally indeterminate retransition (bars 521–564), whose *ombra* posture seems to pave the way for gigantic arrival of the Summit.[50] As it stands, however, there appears to be no single tonal system that is able to account for the tonal relations before the Summit.

Such thematic and tonal problems all serve to set the scene for the large-scale formal regression, which takes effect as the 'mountain' theme emerges in the Summit. Landing on F major for the first time, the arrival of the Summit is announced by way of the 'Nature' motif adapted from *Also sprach Zarathustra*, recalling 'Zarathustra's experience of the mountain sunrise', as Charles Youmans suggests.[51] F major here functions as the structural breakthrough, through which the tonal relations are reorganised as diatonic functional hexatonic systems to embrace both the diatonic and

[50] Following Clive McClelland, I distinguish between *ombra* and *tempesta* topics instead of adopting the traditional 'Sturm und Drang' as an all-embracing topical label for these two different styles. See Clive McClelland, '*Ombra* and *Tempesta*', in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 279–300.

[51] Charles Youmans, *Richard Strauss's Orchestral Music and the German Intellectual Tradition: The Philosophical Roots of Musical Modernism* (Bloomington, IN: Indiana University Press, 2005), 221.

chromatic tendencies of the previous progression and thus reintegrate the D–A relation into the tonal system.[52] Figure 6.5 graphs the reinterpreted tonal relations in these terms. The completion of this diatonically charged hyper hexatonic system is motivated by the gradual unfolding of one of the diatonic functions (I, IV, V and ii) and at least one of its hexatonically related keys (assuming modal parallelism) from each of the hexatonic cycles, as a minimum of two keys is needed in order to detect parsimonious voice leading (or hexatonic logic), and accordingly, claim a system as 'hexatonic'. With this in mind, the pre-Summit tonal process could be construed as an exemplification of such a procedure, which is mapped out in Figure 6.5. To briefly summarise: the introduction first institutes the V function and foreshadows the ii function, which signifies the breakthrough, via its hexatonic constituents in the *Sonnenaufgang*; the exposition then installs the I and IV functions and presents the hexatonic members of the IV and V regions; this is followed by the scherzo and the development, which engenders the hexatonic LP transformation within the I region; and the breakthrough spotlights the remaining ii function, which reveals the diatonic functional hexatonic regions as the ultimate tonal system.

F major's status as the key of clarity is made plain by the ensuing sequential treatment of the 'sunrise' motif, which leads up to yet another moment of epiphany— the 'mountain' motif.[53] Preceded by the 'Nature' ascent that produces a VI: PAC MC (bars 596–597), the 'mountain' motif serves as a prefix (or 'thematic introduction') to the long awaited subordinate theme.[54] As Example 6.5 shows, the presentation of this C major new theme is, for the first time ever, free from the interference of the *x*-generated thematic process—the characteristic minor third and perfect fourth from the dotted figure of *x* are instead used as the material foundation of the subordinate theme's compound basic idea, which, in combination with a continuation based on

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[52] See Chapter Three for the formal function of the breakthrough. On the diatonic functional hexatonic systems, see Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th-Century Music* 22, no. 3 (1999): 213–32.

[53] The 'mountain' motif is labelled by Strauss himself. For the motivic connotations included Strauss's sketches, see Walter Werbeck, *Die Tondichtungen von Richard Strauss* (Tutzing: Hans Schneider, 1996), 183–207.

[54] The 'Nature' and the 'mountain' motifs might be regarded as the 'MC-fill' in James Hepokoski and Warren Darcy's terms. See James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 40–5. On the thematic introduction, see Caplin, *Classical Form*, 15. I opt for the term 'prefix' here to avoid potential confusion with the slow introduction, which is located at the inter-thematic level.

fragments adopted from the previous subordinate-theme *locums*, constitute a distinctive, synthetic thematic apotheosis that transcends the ongoing obstacles to establishing the subordinate theme. The subordinate theme here is therefore no longer a *locum*, but rather one with full formal functionality, and this engenders a reconceptualisation of the entire work as an overarching sonata form, which precipitates a large-scale formal regression: with a fully functional subordinate theme, the pre-Summit formal span is now revealed as a monumental exposition (with a slow introduction) that displays multiple attempts to establish the subordinate theme, a procedure that is well captured by James Hepokoski's concept of rotational form.[55] As Table 6.1 illustrates, the overarching exposition is understood as expressing four subrotations, each of which consists of a main theme, its suffix and a transition; this reorientation of form-functional perception in turn renders the movement functions in the cycle (concurrent with their component inter-thematic functions) to regress *in* time to one of the subrotations in the form.[56] Underlying such a rotational outlook is indeed a paratactic formal process, which could be discerned in relation to what Anne Hyland, following Edward T. Cone, terms 'formal stratification', defined as 'the separation in musical space of ideas—or better, of musical areas—juxtaposed in time: the interruption is the mark of their separation'.[57] This notion bears direct relevance to the thematic process

[55] James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 23–6. I refer to Hepokoski's more flexible understanding of the rotational principle here rather than the sonata charged definition associated with sonata theory. Such a rotational projection is often found in *fin-de-siècle* repertoire and seems to be closely related to the early modernist aesthetic concerns. For an analysis that addresses these connections (with regard to Webern and *Zarathustra*, which informs Strauss's philosophical pursuit in the *Alpensinfonie*), see Sebastian Wedler, 'Thus Spoke the Early Modernist: *Zarathustra* and Rotational Form in Webern's String Quartet (1905)', *Twentieth-Century Music* 12, no. 2 (2015): 225–51.

[56] As we shall see, the use of the rotational concept here is programmatically driven, since it is syntactically problematic to leave out the subordinate theme. I hesitate to embrace the view that there can be a sonata form without a subordinate theme based on the composition of the thematic material, since, as I have illustrated in Chapter Two, form, to my mind, is a totality of musical experience within a given time span conditioned by the syntax of the concerned form (though the syntax can be 'interrupted' owing to deficiency in the material that supports the functionality). For a recent take on such issues, see William E. Caplin and Nathan John Martin, 'The "Continuous Exposition" and the Concept of Subordinate Theme', *Music Analysis* 35, no. 1 (2016): 4–43. I will thereby offer a form-functional interpretation shortly to explain the syntactic issues underlying such a rotational project.

[57] Anne Hyland, 'In Search of Liberated Time: Schubert's Quartet in G Major, D. 887: Once More Between Sonata and Variation', *Music Theory Spectrum* 38, no. 1 (2016): 98, n. 66; and Edward T. Cone, 'Stravinsky: The Progress of a Method', *Perspectives of New Music* 1, no. 1 (1962): 19. See also Anne Hyland, 'The "Tightened Bow": Analysing the Juxtaposition of Drama and Lyricism in Schubert's Paratactic Sonata-Form Movements', in *Irish Musical Analysis*, Irish Musical Studies 11, eds. Gareth Cox
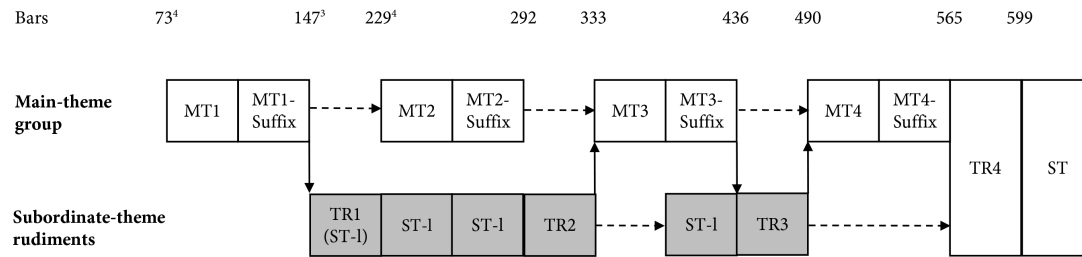
Bars 73⁴   147³ 229⁴   292 333   436 490   565 599

Main-theme group: | MT1 | MT1-Suffix | ⇢ | MT2 | MT2-Suffix | ⇢ | MT3 | MT3-Suffix | ⇢ | MT4 | MT4-Suffix | | |
... | | | | | | | | | | | | TR4 | ST |

Subordinate-theme rudiments: | TR1 (ST-l) | ST-l | ST-l | TR2 | ⇢ | ST-l | TR3 | ⇢ |

Figure 6.6   Strauss, *Eine Alpensinfonie*, Paratactic Thematic Process

founded on *x* as well as the parallel search for the subordinate theme. As Figure 6.6 demonstrates, the *x*-led process gives rise to a colossal main-theme group that occupies the main stratum, while the subordinate-theme *locums* and other episodic formal units (where motifs from either the main theme or the subordinate-theme *locums* are subject to fragmentation and/or liquidation to prepare for the thematic synthesis) constitute the rudiments of the subordinate theme that afford another stratum.[58] The two paths sometimes overlay, creating situations such as 'main theme⇐(main theme⇔ subordinate theme *locum*)' in *Eintritt in den Wald*, whereas in other times they pursue their respective tasks. Together they amount to a double trajectory, which culminates in the subordinate theme as the telos.[59]

Having clarified what happens in the form, it is perhaps an appropriate time to retrieve the question we have since left aside: what do all of these mean for the formal Dasein? Conceived as the *Augenblick*, the subordinate theme, which Youmans considers as representing the '"Worship [*Anbetung*] of the natural world', reveals the formal Dasein's relationship to the world that is central to the understanding of regression as a unique formal logic.[60] To precis Heidegger's formulation: the *Augenblick*, in

and Julian Horton (Dublin: Four Courts Press, 2014), 17–40 for a detailed examination such a phenomenon in Schubert's music.

[58] For a similar case in the Finale of Bruckner's Seventh Symphony where a paratactic formal process points towards a thematic apotheosis as its teleological goal, see Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', *Music Analysis* 37, no. 3 (2018): 294–8. The paratactic formal process from this point onwards can also be seen as displaying a cyclic procedure that carries through the entire piece.

[59] This paratactic process is different from the collision of sonata form and rondo-variation in the Adagio of Mahler's Tenth Symphony (see Chapter Three), in which the Adagio displays a linear single sonata trajectory that projects a rondo-variation, whereas the pre-Summit formal span shows a non-linear double trajectory that embraces essentially disjunct strata.

[60] Youmans, *Richard Strauss's Orchestral Music*, 222.

Heideggerian terms, is closely related to his conception of temporality, which is divided into three 'ecstases' (i.e. states of Dasein stepping 'outside itself')—past, present and future.[61] Each of the 'ecstases' has its own 'authentic' (*eigentlich*) and 'inauthentic' (*uneigentlich*) modes, in which 'authentic' Dasein makes its own existential choices, whereas 'inauthentic' Dasein gives way to the 'They' [*das Man*].[62] Drawing on these categories, Heidegger construed the *Augenblick*, or the 'moment of vision', as the 'Present which is held in authentic temporality and which is *authentic* itself'.[63] He proclaimed that the *Augenblick*, as an ecstasis, signifies 'the resolute rapture with which Dasein is carried away to whatever possibilities and circumstances are encountered in the Situation as possible objects of concern, but a rapture which is *held* in resoluteness'.[64] What this means is that past 'possibilities' encountered in the present 'Situation' transforms the passive, 'awaiting' future into an active, 'anticipating' one, of which Dasein takes control—that is to say, in the *Augenblick*, 'the Present is not only brought back from distraction with the objects of one's closest [or immediate] concern, but it gets held in the future and in having been [i.e. the authentic past]'.[65] 'As an authentic Present or walking-towards [*Gegen-wart*]', then, Heidegger concluded, the *Augenblick* 'permits us *to encounter for the first time* what can be "in a time" as ready-to-hand or present-at-hand'.[66] In this moment of vision 'nothing can occur'.[67] As Dreyfus elucidates, it is 'the moment of the total gestalt switch of Dasein's way of being-in-the-world from inauthenticity to authenticity'. The *Augenblick* enacts only 'a transformation in the *form*', or the way in which a thing appears, and leaves the *content* or the material unchanged, and this results in the authentic appropriation—or in Heidegger's words, an *anticipating 'repetition'*—of *all* of Dasein's past absorbed involved activity.[68]

Combining with the perspectives on Dasein's encounter with the world, the

[61] Dreyfus, *Being-in-the-World*, 244.

[62] *Ibid.*, 25–8, 192–4.

[63] Heidegger, *Being and Time*, 387.

[64] *Ibid.*

[65] *Ibid.*

[66] *Ibid.*, 388.

[67] *Ibid.*

[68] Dreyfus, *Being-in-the-World*, 322. See also Heidegger, *Being and Time*, 388; and Mulhall, *Heidegger and* Being and Time, 165–6.

Heideggerian *Augenblick* attests to a regressive formal logic that is founded on the notion of anticipating repetition, in which the formal Dasein comes to discern past possibilities as determinative of the present and 'anticipates' the future by resolutely 'repeating' (or perhaps better, projecting itself onto) such possibilities in a creative way.[69] In the *Alpensinfonie*, this anticipating repetition of past thematic and tonal possibilities holds fast to the subordinate-theme *Augenblick*. To reassess its form in these terms, the past thematic and tonal possibilities are integral to the main-theme Dasein's ascent to the summit and yet obscured by its preoccupation with the 'objects' of immediate concern. To begin with, the E♭ major main theme, or the formal Dasein, emerged with Being being an issue for it: as an unmediated tonic (or a consonant triad), it is not clear about its nature, i.e. whether it should behave according to its acoustic properties or its ability to voice-lead smoothly, nor if it is the tonic at all; as an *a priori* main theme, it does not know whether it actually functions as a main theme in a sonata form, an identity which is conditioned by the appearance of a subordinate theme, nor if it is subject to any process.[70] As the music proceeded, the formal Dasein became engrossed in its activities of immediate concern, materialised tonally into the pursuit of an explanation for the D–A relation outside the E♭ diatonic system (which the formal Dasein takes on as its entity, after the disturbance caused by the D–A relation), and thematically into the search for the subordinate theme. Although the octatonic and hexatonic progressions and the form-functional regression had offered different 'possibilities', the formal Dasein was so absorbed into its tasks that it did not take notice. It is only in the *Augenblick* that the formal Dasein catches a glimpse of the total gestalt, and so the unity of the past, present and future: entering the Summit with F major, the formal Dasein's ascent is revealed as a nest of hexatonic relations assumed by different diatonic forces (see Figure 6.5). As a diatonically defined entity, the formal Dasein begins to see its encounter with the world as hexatonic phenomena and comes to realise that they are inseparable as generated from the two natures of the E♭ consonant triad, which embodies the formal Dasein's Being-in-the-world. Yet it is not until

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[69] By 'repetition' Heidegger by no means referred to the exact repetition of the past but rather the way in which one can appropriate past possibilities to make existential choices. See Heidegger, *Being and Time*, 388; also Mulhall, *Heidegger and* Being and Time 165–6.

[70] See Chapter Four for the discussion of the two natures of the consonant triad and how it impacts on the definition of the tonic.

the 'mountain' theme that the formal Dasein gains a full view of the totality—the over-all form. Standing on C major, the formal Dasein is directed to the past and the possibilities it encountered, and the material content that precipitates the formal and tonal issues now has completely new significance as the constituent of a titanic exposition, which defines the formal Dasein's present by way of the diatonic functional regions and the paratactic formal process. What comes in this moment of vision is also the formal Dasein's anticipation of future, which it resolutely takes it into its own hands by authentic appropriation of the past thematic and tonal possibilities; it might project these possibilities in various ways, but they remain contingent on the past as part of the diatonic functional regions or the paratactic formal process disclosed in the present. This is how I wish to define regression as a formal logic—rather than the exact regression in time, it describes a formal process that 'reverts' to the past via the present in which the future is anticipated. And different from a negative dialectic, the goal of such a process is not manifest in the present; all we know is that it is dependent on the past and within the possibilities revealed in the present.[71] This evinces a kind of absolutised temporality, or in Heidegger's words: 'The future is not later than having been, and having-been is not earlier than the Present. Temporality temporalizes itself as a future which makes present in a process of having been'.[72] Such a unitary conception of time is however only grasped in the *Augenblick*, in which, as J. P. E. Harper-Scott declares, 'past possibilities – from this musical work or from the entire tradition – are considered for their possible uses in moulding an individual shape for the rest of the piece'.[73]

Human Versus Nature

The unity of past, present and future of the overall form in the *Augenblick* in turn makes it possible for a programmatic reading. As is well-known, the *Alpensinfonie* is organised around a programme that depicts an Alpine adventure, with its ascent and

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[71] Apart from the logical process, the Heideggerian *Augenblick* is also different from an Adornian one in that 'nothing [intrusive] can occur'; it emerges as the result of a natural process, just as how Strauss prepared this moment of vision in the *Alpensinfonie* with the entire ascent.

[72] Heidegger, *Being and Time*, 401.

[73] Harper-Scott, *Edward Elgar*, 63. Though with a different theoretical lens, my understanding here in principle concurs with Harper-Scott's Scherkerian reading, except that I relate it to a regressive logic.
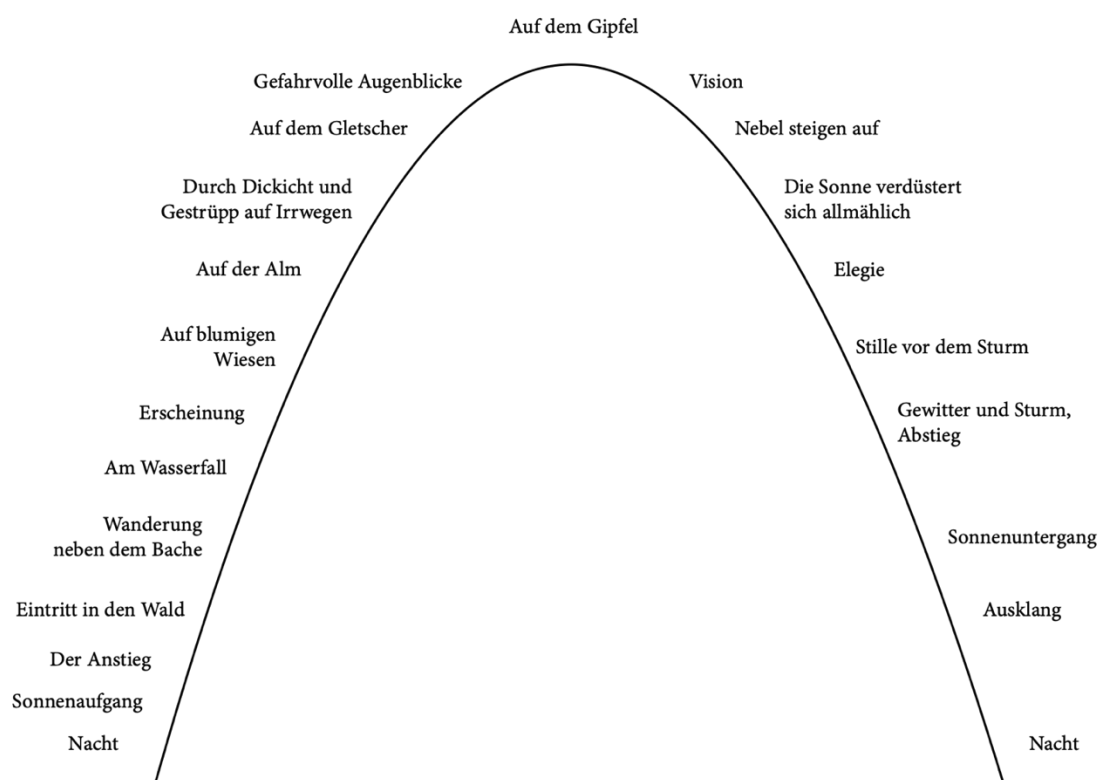
Auf dem Gipfel

Gefahrvolle Augenblicke   Vision

Auf dem Gletscher   Nebel steigen auf

Durch Dickicht und   Die Sonne verdüstert
Gestrüpp auf Irrwegen   sich allmählich

Auf der Alm   Elegie

Auf blumigen   Stille vor dem Sturm
Wiesen

Erscheinung   Gewitter und Sturm,
                    Abstieg

Am Wasserfall

Wanderung   Sonnenuntergang
neben dem Bache

Eintritt in den Wald   Ausklang

Der Anstieg

Sonnenaufgang

Nacht   Nacht

Figure 6.7   Strauss, *Eine Alpensinfonie*,
                 Overarching Formal/Programmatic Symmetry

descent delineated by the Summit.[74] A comparison of Table 6.1 with Figure 6.7 illustrates this conception. The forces that are held in tension are expressed by diatonic functions, in which I represents human, IV denotes sublime, V signifies nature and ii connotes breakthrough, as indicated in Figure 6.5.[75] Prior to the Summit, the portrayal centres on the climber's encounter with the natural world. The day begins with the slow introduction that sets the scene for the climb. Passing through the *Nacht* in B♭ minor, the break of dawn is announced in *Sonnenaufgang* with A major and D♭ major,

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[74] The composition of the *Alpensinfonie* began as early as 1900 and had undergone several changes (with regard to both its compositional plan and the programme) before it was completed in 1915, though the Alpine journey had remained the subject matter throughout. My interpretation thereby focuses on the Alpine journey and the aesthetic concepts relevant to such a climb. The Nietzschean influence is instead viewed as an overall conceptual framework. The other possible Nietzschean references are included in the footnotes. On the compositional genesis of the *Alpensinfonie*, see Rainer Bayreuther, *Richard Strauss' Alpensinfonie: Entstehung, Analyse und Interpretation* (Hildesheim: Georg Olms, 1997).

[75] I adopt a Kantian reading and understand sublime as a state of mind elicited by the IV functioning hexatonic cycle (supported by the topical posture) rather than a specific event shaped by certain musical gestures. On the issues of the attempts to define sublime in a topical sense, see Wye J. Allanbrook, 'Is the Sublime a Musical Topos?', *Eighteenth-Century Music* 7, no. 2 (2010): 263–79. See also Immanuel Kant, *Critique of Judgment*, trans. Werner S. Pluhar (Indianapolis, IN: Hackett Publishing, 1987), 97–100.

which act as the ii substitutions that foretell the vision to be gained in the Summit. Preceded by a last-minute gear change to a standing on the dominant, the climber assumes the main-theme Dasein and embarks on their journey in *Der Anstieg* with E♭ major, the key of the heroic theme in Beethoven's 'Eroica' symphony, suggesting the Alpine journey as a Promethean striving of the humankind.[76] They first enter the forest, transitioning through C minor, A major, E♭ major before arriving at A♭ major in *Eintritt in den Wald*.[77] While the temporary retrieval of A major reminds one of the sunlight, the IV functioning C minor and A♭ major point to the forest as a sublime place, which, concurrent with the form-functional regression, gives rise to a 'thought of its totality', or the formal Dasein's Being-in-the-world.[78] After such a sublime state is carried into *Wandering neben dem Bache* with C major, the climber faces, for the first time in their expedition, the nature over which they seek to assert superiority in the scherzando *Am Wasserfall* and *Erscheinung* in D major. Although they seem to have surpassed that by recouping their thematic selves in full in *Auf blumigen Wiesen* and *Auf der Alm* with the I functioning B major and E♭ major, the natural force materialises again in the D-minor *Auf dem Gletscher* after the climber went on a wrong path (*Durch Dickicht und Gestrüpp auf Irrwegen* [Through Thickets and Undergrowth on the Wrong Path]). Despite being perturbed by the *Gefahrvolle Augenblicke* [Dangerous Moments], this leads our Promethean hero to the Summit.

The arrival of the Summit is characterised by the key of daybreak (or breakthrough), F major, and the 'Nature' motif from the mountain sunrise in *Zarathustra*, 'drawing a parallel between this climb and Zarathustra's own return to the mountain',

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[76] Apart from the key, the intervallic content of the main theme also resembles that of the 'Eroica' symphony. As Werbeck notes, Strauss had already included a 'heroic theme in E♭ [*Heroisches Thema in Es*]' even in the early sketches. See Werbeck, *Die Tondichtungen von Richard Strauss*, 187, n. 372. For a thorough study of Beethoven's heroic style, see Scott Burnham, *Beethoven Hero* (Princeton, NJ: Princeton University Press, 1995), esp. 4–28 for a detailed examination of the 'Eroica' symphony.

[77] In *Thus Spoke Zarathustra*, the forest is also the first thing Zarathustra encounters after he departs from his mountain home. Strauss used the same A♭ major in *Also sprach Zarathustra* to represent the forest scene '*Von den Hinterweltiern* [Of the Backworldmen]', which describes the forest hermit who warns against Zarathustra for leaving the nature for humankind. This connection is also acknowledged in Youmans, *Richard Strauss's Orchestral Music*, 221.

[78] Kant, *Critique of Judgment*, 98. Here it is a mathematical sublime in Kantian terms. See *Ibid.*, 103–17. Julian Young relates the Kantian sublime to Heidegger's *Ereignis*, his term for an enchanting ecstasis that discloses the awesomeness or 'magic' of Being. It is in this sense I refer to the Kantian sublime, which aligns with my Heideggerian reading of the piece. See Julian Young, 'Death and Transfiguration: Kant, Schopenhauer and Heidegger on the Sublime', *Inquiry* 48, no. 2 (2005): 131–44.

as Youmans contends.[79] This reading is corroborated by the subsequent sequential treatment of the 'sunrise' motif, which brings about the VI: PAC MC that relaunches the 'Nature' and the 'mountain' motifs as prefix to the subordinate theme (see Example 6.5). As explained, the subordinate theme synthesises the characteristic intervallic content from the main theme and the fragments from its *locums*. Together with the C major key, it represents a state of sublime where in the thought of totality, according to Immanent Kant, one 'found in their power of reason, a different and nonsensible standard that has this infinity itself under it as a unit; and since in contrast to this standard everything in nature is small, one found in their mind a superiority over nature itself in its immensity'—or to adopt Julian Young's Heideggerian conception of the sublime, 'one becomes aware of one's world as Being's magnificent venture'.[80] Having attained such boundless horizons, the climber reflects on their previous attempts to overcome nature (denoted by the subrotations) and thinks they have acquired a state of calm, or an 'authentic resoluteness', in spite of the obstacles based on their past experiences. In other words, the subordinate theme, rather than opposing the main theme, equips it with the necessary perspectives to be ready for the upcoming challenges.

After the personal transformation on the Summit, the climber bids farewell to their past selves in the closing section, *Vision* (bars 653–728), as the subordinate-theme material undergoes a process of fragmentation, along with the destabilisation of the IV functioning keys associated with the sublime. This then brings on the overarching development, organised in a *Sturm und Drang* fashion, where the cruelty of nature awaits our hero. Preceded by a distorted 'mountain' motif that lands on a B♭ minor IAC, the climber continues their journey into the pre-core as the mists rise [*Nebel steigen auf*] (bars 729–736) with an anticipatory triplet motif. Despite the evocation of the 'sunrise' motif in *Die Sonne verdüstert sich allmählich* [The Sun Gradually Becomes Obscured] (bars 737–754) and *Stille vor dem Sturm* [Calm before the Storm] (bars 790–846) and the 'Nature' motif in *Elegie* [Elegy] (bars 755–789), the anticipa-

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[79] Youmans, *Richard Strauss's Orchestral Music*, 221.

[80] Kant, *Critique of Judgment*, 120. Pronouns are modified in accordance with the ongoing narrative. The subordinate theme can be understood as a dynamical sublime in Kant's formulation. See *Ibid.*, 119–40. For Young's Heideggerian reading of the sublime, see Young, 'Death and Transfiguration', 141.

tory motif is carried through the entire pre-core, imparting a strong sense of uncertainty which, considered together with the hexatonic progression within the V functioning cycle, presages the coming of a mighty disruption caused by nature. After the final ray of sunlight (marked by the fragmentation of the 'sunrise' motif), the calm before the storm eventually brings forward the *Gewitter und Sturm, Abstieg* [Thunder and Tempest, Descent] (bars 847–985²), in which the climber, as the title suggests, begins their descent in confrontation with nature. This is signified by the reintroduction of the variant of the main theme amid the *tempesta* background. Though the V functioning keys of nature assumes most part of the core, the equipped climber stays resolute against all odds: surrounded by the fearful *tempesta*, they stand still 'without being afraid of it' and thus experience sublime, a quality which is denoted by the evocation of C minor and A♭ major that frames the transient recovery of the E♭ major main theme in its original form (bars 930–935).[81] After B♭ minor reconvenes and ignites the last wave of the storm, the 'mountain' motif reappears to produce a B♭ minor deceptive cadence that brings forth the retransition, or the *Sonnenuntergang* [Sunset] (bars 985³–1035). There the climber, having gone through the tempest, dwells on their way of Being: they travel from the cycle of nature with G♭ major back to the region of human with E♭ minor and B major, and eventually settle in the tonic E♭ major, which signals the arrival of the recapitulation—the final phase of the Alpine adventure.

Titled *Ausklang* [End] (bars 1036–1130), the recapitulation is characterised by what Youmans describes as 'functional inadequacies', by which he refers to 'the inversion of sonata procedure', or the formal phenomenon of 'reserved recapitulation'.[82] Here the syntactic order of main theme and subordinate theme swaps with an intermediary transition being reinterpreted as subordinate theme. Although it might seem problematic in syntactic terms, such a reading expresses the end of the climber's journey: introduced by the '*Nacht*' theme from the very beginning, the subordinate theme

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[81] *Ibid.*, 119.

[82] Youmans, *Richard Strauss's Orchestral Music*, 223–4. The recapitulation has often been a problem in Strauss's symphonic poems. For a survey of Strauss's approaches to the recapitulation, see Hartmut Schick, '"Neue Gedanken müssen sich neue Formen suchen": Die Tondichtungen von Richard Strauss und Das Reprisenproblem', in *Richard Strauss – Der Komponist und sein Werk: Überlieferung, Interpretation, Rezeption*, eds. Sebastian Bolz, Adrian Kech and Hartmut Schick (Munich: Allitera Verlag, 2017), 135–66.

sets off the recapitulation in place of the main theme.[83] Its sublimity is yet absorbed by E♭ major, in which the climber takes in their sublime experiences of nature and is manifested as 'Being-in-the-world' in the union of the human E♭ major and the subordinate theme. While a tonic IAC (bars 1073–1074) and the return of the variant of the main theme seems to mark off the subordinate theme and elicit the function of a transition, the subsequent appearance of a tonic PAC (bars 1104–1105³), which could be seen as the 'essential structural closure', overrides this perception and causes 'the transition⇒the subordinate theme'. At this point, the subordinate theme, being the thematic synthesis, might appear to have integrated the initiating, medial and ending functions of the recapitulation and claim them as its own—the thematic synthesis might render the reprise of main theme and transition unnecessary, because the subordinate theme has already imbibed their thematic identities. In other words, the recapitulation could be understood as containing merely the subordinate theme, and the temporal functions of the subordinate theme are hence those of the recapitulation. With the following *tempo primo*, however, the main theme (bars 1105³–1130) comes back and unsettles what has been done to secure the E♭ major tonic, producing ultimately a B♭ minor PAC (bars 1130–1131) that redirects the music back to the minor dominant. This use of the main theme as a modulatory device at the end of the recapitulation has significant programmatic connotations: although the climber's journey has evidently finished, Being's venture continues—the ensuing '*Nacht*' (bars 1139–1153) returns with the 'mountain' motif, which brings forth, at the end, the same polytonal chord from the beginning where the dominants of G♭ and C♭ merges, recalling the dialectics between human and nature. As the chord fades, nature however remains, 'anticipating' the next Promethean hero of the humankind.[84]

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[83] Hepokoski and Darcy repudiate the concept of reserved recapitulation and favour what they call a 'Type-2' sonata, since the 'recapitulation' in this case cannot function as a self-standing rotation (and the main theme after the ESC would fall out of the 'sonata space'). As Horton recently argues (in a reappraisal of Timothy L. Jackson's initial formulation of 'reserved recapitulation'), however, reversed recapitulations are possible in situations where 'the Classical calibration of cadence, design and rhetoric breaks down' and 'sonata space is not demarcated by sonata theory's EST'. In the *Alpensinfonie*, the 'reversed recapitulation' is bolstered by the formal stratification of the main-theme and the subordinate-theme processes. See Hepokoski and Darcy, *Elements of Sonata Theory*, 353–87; Horton, 'Form and Orbital Tonality', 275; cf. Timothy L. Jackson, 'The Finale of Bruckner's Seventh Symphony and the Tragic Reversed Sonata Form', in *Bruckner Studies*, eds. Paul Hawkshaw and Timothy L. Jackson (Cambridge: Cambridge University Press, 1997), 140–208.

[84] The anticipation of human's return corresponds to Heidegger's characterisation of Dasein, for which Being is always an issue. Stefan Keym also alludes this ambivalence between the end of the (human)

An Eternal Return

The *Alpensinfonie* was previously intended as a two-part work that bears the same title as Friedrich Nietzsche's 1888 treatise *Der Antichrist*. Like the philosopher, Strauss sought to criticise Schopenhauer and Christianity in his *Der Antichrist* for misguiding Wagner and Mahler to the question of metaphysics, stating that 'the German nation will achieve new energy only by liberating itself from Christianity'.[85] Resorting to nature as a response, he aspired to express 'moral purification through one's own strength, liberation through work, worship of eternal, magnificent nature' in his Alpine symphony.[86] Though the title *Der Antichrist* was later dropped, the critique of metaphysics is retained, as Strauss reiterated after the premiere of the *Alpensinfonie* that metaphysics is unproductive, since it replaces 'production with speculation'.[87] Yet the eventual withdrawal of *Der Antichrist* as his paratextual reference also marked Strauss's departure from Nietzsche's worldview. As Youmans proclaims, Strauss had gone further than Nietzsche in envisaging a life 'radically purged of metaphysics'—one that, according to Bryan Gilliam, embraces 'Nature as a primary, life-affirming source'.[88] In other words, what Strauss put forward in the *Alpensinfonie* is not a pessimistic, devalued mode of being but a positive Being-in-the-world, a perspective which resonates with Heidegger's critique of Nietzsche's nihilism—crystallised by Strauss into formal regression—that informs the human–nature interplay and gives rise to the reversed recapitulation, as well as the feeling of eternal return. For Heidegger, perhaps for Strauss too, Nietzsche's conception of nihilism—wherein 'the highest values [e.g. the suprasensory, or the God] devalue themselves'—involves an effort to overcome

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journey and the eternal return (of Being) beyond the work, albeit in different terms. See Stefan Keym, 'Ausklang oder offenes Ende? Dramaturgien der Schlussgestaltung in den Tondichtungen von Richard Strauss und ihr historischer Kontext', in *Richard Strauss – Der Komponist und sein Werk: Überlieferung, Interpretation, Rezeption*, eds. Sebastian Bolz, Adrian Kech and Hartmut Schick (Munich: Allitera Verlag, 2017), 188.

[85] See Stephan Kohler, 'Richard Strauss: Eine Alpensinfonie, op. 64', *Neue Zeitschrift für Musik* 143, no. 11 (1982): 42–6 for the facsimile of this dairy entry. The translation here is adopted from Bryan Gilliam, *The Life of Richard Strauss* (Cambridge: Cambridge University Press, 1999), 93.

[86] *Ibid.* The German original reads: 'sittliche Reinigung aus eigener Kraft, Befreiung durch die Arbeit, Anbetung der ewigen herrlichen Natur'.

[87] This is from Strauss's '*braunes Tagebuch*' in the *Richard Strauss Archiv,* cited in Youmans, *Richard Strauss's Orchestral Music*, 220.

[88] Youmans, *Richard Strauss's Orchestral Music*, 222; Gilliam, *The Life of Richard Strauss*, 95.

the nihilist experience by 'revaluing' all values via the 'will to power', the driving force of human actions.[89] While this elevates will to power to the status of Being and postulates an overcoming of metaphysics, Heidegger argued that such an equation evinces value-thinking, since the will to power, as the principle of the revaluing of all values, becomes value-positing and attests to a subjective solution to the problem of nihilism. It therefore 'does not let Being be Being, does not let it be what it is as Being itself, then this supposed overcoming is above all the consummation of nihilism', where the Being of all beings is assumed by the metaphysics of the will to power.[90] The history of metaphysics, which Heidegger levelled against throughout his philosophical enterprise, is then the history of nihilism, and as Daniel W. Conway elucidates, it 'reaches its final stage of development in Nietzsche's doctrine of the will to power'.[91] Nietzsche is thereby, for Heidegger, the last metaphysical thinker, whose nihilism is also the nihilism of metaphysics that he strove to suppress in his existential inquiry.

This will to surmount the haunting of metaphysics arguably underlies both Heidegger's and Strauss's projects. As Heidegger illustrated with his existential analytic of Dasein, however, overcoming the nihilism of metaphysics needs not be a struggle over the concern of values, i.e. the anxiety that the highest values are lost and have to be regained.[92] Rather, it is the perspectival transformation, the recognition of Dasein's Being-in-the-world, that liberates our thinking from the constraints of the subject–object epistemology, as well as a teleological conception of time. The same line of thought also rendered Strauss to pursue a different path from some of his contemporaries: after decades of engagement with Nietzsche's philosophy, Strauss summed up his views on metaphysics with the *Alpensinfonie*: he presented a regressive formal logic that directs at the present, or the reflection of the past as its goal—one that is discharged from the syntactic dialectic and embraces *both* natures of the consonant

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[89] Friedrich Nietzsche, *The Will to Power*, ed. Walter Kaufmann, trans. Walter Kaufmann and R. J. Hollingdale (New York: Vintage Books, 1968), 9.

[90] Martin Heidegger, 'The Word of Nietzsche: "God is Dead"', in *The Question Concerning Technology and Other Essays*, trans. William Lovitt (New York and London: Garland Publishing, 1977), 104–5, see also 95–6.

[91] Daniel W. Conway, 'Heidegger, Nietzsche, and the Origins of Nihilism', *Journal of Nietzsche Studies* 3 (1992): 20.

[92] On the concern of values and its relation to cultural practices, see Hubert L. Dreyfus, 'Heidegger on the Connection between Nihilism, Art, Technology, and Politics', in *The Cambridge Companion to Heidegger*, ed. Charles B. Guignon, 2nd ed. (Cambridge: Cambridge University Press, 2006), 345–72.

triad. Though, as Harper-Scott declares, the *Augenblick* 'does not guarantee a happy ending', the authentic resoluteness gained in the moment provides the necessary positive energy for envisioning the future, whether it is the relations between diatonicism and chromaticism, absolute and programme, or human and nature.[93] In these terms, a sonata trajectory founded on a regressive logic is hence characterised by a double-syntactic tonal structure that might not lead towards the tonic, but instead, after the *Augenblick*, creatively explores its past tonal syntactic possibilities. The resulting progression is encapsulated in Dika Newlin's concept of progressive tonality, in which the practice of ending in a non-tonic key creates a sense of eternal return—and yet different from Nietzsche's doctrine, it is an 'anticipating repetition'.[94] In the face of the breakdown of tonality, then, while composers following the dialectical path of Beethoven-Hegelianism lamented its melancholy end, Strauss lighted the way of how the tonal tradition might go on, a seed which had already grown elsewhere in Europe and the world.[95]

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[93] Harper-Scott, *Edward Elgar*, 37. In line with my Heideggerian reading, the *Alpensinfonie* is also *both* a symphony and a symphonic poem. The fact that the *Alpensinfonie* is Strauss's last symphonic work might reinforce the idea that it is his summative essay on the issues that had been concerning him since his early career. For the generic issues of the symphonic poem, see Chapter Five.

[94] Dika Newlin, *Bruckner, Mahler, Schoenberg* (New York: W. W. Norton, 1978). Newlin's formulation of progressive tonality is closely associated with the tonal drama in Mahler's works.

[95] Post-1900 tonal practice flourished most prominently in Northern Europe in countries such as Britain, Denmark and Finland, and it has since spread across the globe. For a recent study that deal with form in a progressive tonal environment, I have in mind Christopher Tarrant, 'Structural Acceleration in Nielsen's *Sinfonia espansiva*', *Music Analysis* 38, no. 3 (2019): 358–86.

Afterword

The Moment of Modernism
and the Truth of Form

> Both Cohn's *Tonnetz* (and more generally his hexatonic reading) and my Schenkerian graph are distortions of the opening of *Peter and the Wolf* which fail to properly acknowledge the dialectical tension in the music – and specifically a *negative dialectics* in Adorno's sense, since these two positions mediate each other forever, refusing to form a synthesis.[1]

In his 2014 review of *Tonality 1900–1950* (perhaps more of the subject than of the book) and subsequently in his debate with Richard Cohn, J. P. E. Harper-Scott writes specifically of the need of a negative dialectical analytical method, 'one which holds diatonic and non-diatonic processes in mediating balance'.[2] Evoking Carl Dahlhaus's ideas of 'centrifugal' and 'centripetal' forces, Harper-Scott argues that both forces—by which he refers to tonal phenomena derived from the symmetrical properties of the triad ('centrifugal') and those sprung from the acoustic ones ('centripetal')—coexist in early twentieth-century music, and favouring either one over the other will 'exaggerate the reading of a piece's tonality in one way or another'.[3] Such an issue is especially pertinent to the study of *fin-de-siècle* sonata form. Conceiving form as a totality, we need a model that acknowledges both chromatic and diatonic syntaxes as its constructive vehicles. As Harper-Scott suggests, neither Schenkerian analysis nor neo-Riemannian theory does the job, for their alignment with a 'negative approach' (in Steven Vande Moortele's sense) that minimises the contribution of one another.[4] This is also

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[1] J. P. E. Harper-Scott, 'Review of Felix Wörner, Ullrich Scheideler and Philip Rupprecht (eds), *Tonality 1900–1950: Concept and Practice*', *Music Analysis* 33, no. 3 (2014): 399.

[2] Richard Cohn and J. P. E. Harper-Scott, 'On Hexatonic Poles', *Music Analysis* 35, no. 1 (2016): 137.

[3] Harper-Scott, '*Tonality 1900–1950*', 394; cf. Carl Dahlhaus, *Between Romanticism and Modernism: Four Studies in the Music of the Later Nineteenth Century* (Berkeley, CA: University of California Press, 1980), 74.

[4] Steven Vande Moortele, 'In Search of Romantic Form', *Music Analysis* 32, no. 3 (2013): 408. See also Chapter One. Readers at this point should have sensed my reluctance to include a Schenkerian graph

the starting point of this project. Subscribing to neither theory, I locate the crux of *fin-de-siècle* tonality at the two natures of the consonant triad discerned by Cohn, construing them in terms of structural hierarchy as a dialectical process that unfolds in time. Circumscribed by the syntax of sonata form that rests upon the tonal system determined by the very idea of a tonic, the diatonic syntax is destined to take hold of the structure. That moment comes in the glance of the eye—at that point, time and space reunites (or collapses), and the rest is just what is made known in the present. In such a way, the model of dialectical form mediates the chromatic and the diatonic syntaxes by understanding their dialectic as sonata teleology, which gives rise to a negative or a regressive sonata trajectory that had gradually outgrown the obsolete 'essential sonata trajectory' at the *fin de siècle.*

This however tells only half of the story. In the previous chapters, I have referred to the *Augenblick* as not only the moment of form and tonality, but also the moment of modernism—one that is characterised by the disclosure of the melancholy truth that the reconciliation of the chromatic proletarian and the diatonic bourgeoisie fails, or of the assured truth that such a failure compels the diatonic bourgeoisie to reflect on its past socio-musical relations with the chromatic proletarian as a way forward; in the other words, the perspective of a revolutionary or that of a progressive. This formulation of the moment finds its conceptual counterpart in Harper-Scott's 'Event' model of musical modernism. With reference to Alain Badiou's theory of history, Harper-Scott mobilises a threefold conception of modernism, which he regards as the 'Event'—in a Badiouian sense, an 'excess' that exceeds the bounds of the occurrence and creates the possibility for a new order to which the following incidents belong. In this model, there requires 1) the '*trace*', the 'mark' that the Event leaves in a situation as an indication that it has been 'proposed'; then 2) the '*body*', the presentation of the Event in the world; and 3) the '*present*', or 'Evental present', the set of consequences that the Event has 'acted on a world'.[5] Such an 'Event', as a whole, is also the truth,

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or a *Tonnetz*. This is not because of their associations with the theories but what they represent: a complete Schenkerian graph might give a wrong impression that diatonic syntax prevails right from where the *Kopfton* starts (several voice-leading graphs are possible but not always practical if one intends to capture changing perceptions of structural events in multiple stages); and a *Tonnetz* expresses mainly progression but not orientation—it does not show clearly where the triads or the keys derive their meaning from, an important aspect which underlies the issues pursued in this study.

[5] J. P. E. Harper-Scott, *The Quilting Points of Musical Modernism: Revolution, Reaction, and William Walton* (Cambridge: Cambridge University Press, 2012), 159. See also Alain Badiou, *Logics of Worlds:*

which is only made known in the situation by a 'local' rupture, or in Badiou's words, '*an immanent break*'.[6] For Harper-Scott, the trace of the Event of musical modernism is the emancipation of dissonance (as a phenomenon rather than Schoenberg's pronouncement in 1926), for 'it is constituted as an excess to tonality, the system of musical organization – the musical world, the discourse of that world – before the advent of modernism'.[7] The body, then, comprises a series of musical works in which the emancipation of dissonance is evidenced—above all, according to Harper-Scott (and Badiou), *Pierrot lunaire* (1912).[8] As a result, the present is both the tonal and post-tonal responses to the emancipation of dissonance, or what Harper-Scott terms 'reactive modernism', encompassing composers of both Schoenberg's generation (Elgar, Mahler, Strauss, Debussy, Sibelius, etc.) and Stravinsky's generation (Bartók, Szymanowski, Webern, Hindemith, Milhaud, etc.).[9]

In line with the model of dialectical form pursued in this project, one that Harper-Scott elsewhere deems necessary, I propose a slight revision to the place of the Event of modernism. While I agree broadly with Harper-Scott's paradigm, the trace of the Event is perhaps better located in the musical *Augenblick*. As Badiou contends, the Event, or the truth, is divulged in the immanent break—'"Immanent" because a truth proceeds *in* the situation, and nowhere else…"Break" because what enables the truth-process – the event – means nothing according to the prevailing language and established knowledge of the situation'.[10] Mindful of the nature of dialectical form as a socio-musical discourse, the *Augenblick* is where this immanent break—one between chromatic and diatonic syntaxes—occurs. As a local rupture, what it discloses is an excess to the form and the tonal system, an incomprehensibility that makes the 'prevailing language and established knowledge in the situation', including the sonata and tonal tradition, void. The truth it traces is the unbearableness of the socio-musical

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Being and Event, 2, trans. Alberto Toscano (London and New York: Continuum, 2009), 49–62, 80–9.

[6] Alain Badiou, *Ethics: An Essay on the Understanding of Evil*, trans. Peter Hallward (London and New York: Verso: 2001), 42–3. For Badiou, the Event is only incorporated into the situation via 'a local situated configuration', which he refers to as the 'subject'. See Alain Badiou, *Being and Event*, trans. Oliver Feltham (London and New York: Continuum, 2005), 391–409.

[7] Harper-Scott, *The Quilting Points*, 172–83.

[8] *Ibid.*, 74–5, 157. See also Badiou, *Being and Event*, 395.

[9] Harper-Scott, *The Quilting Points*, 178–81.

[10] Badiou, *Ethics*, 42–3.

structure, provoked by the irreconcilability of the chromatic proletarian and the diatonic bourgeoisie, or individual and society. It is this truth of form to which, I argue, reactive modernists reacts, and the moment of form is, therefore, *the* moment of modernism. Although such a material truth might not sit well with postmodern music historiography, the music speaks. After all, the notes are real.

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