Modal Conflicts, Harmonic Complexes, and Paratactic Lyricism in Anton Bruckner's Sixth Symphony

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Abstract

Anton Bruckner's Sixth Symphony is considered the 'boldest' work by the composer and generations of scholars, yet it continues to suffer analytical neglect due to the lack of appropriate theories that can explicate its harmonic logic, especially in the first movement. Consequently, the form of the outer movements remains under-explored. Contra-Carl Dahlhaus's claim that Bruckner's symphonic style is primarily rhythmic rather than diastematic, this thesis reveals Bruckner's unconventional organization of pitch relationships as the foundation of its cyclical outer movements by examining Bruckner's extensive use of harmonic complexes and his intricate deployment of motivic elements. Adapting Julian Horton's concept of 'orbital tonality', this thesis introduces a three-dimensional prismatic model to account for the first theme in the first movement. It also formulates a series of concept, including 'applied subdominant' and 'plagal complex' to illuminate the omnipresent plagal progressions in the Symphony as one of the main counterparts to the traditional tonic-defining dominant relationship. The thesis argues that Bruckner's Sixth Symphony is a watershed in his development as a composer of large-scale instrumental form because he echoed the lyrical spirit and compositional approaches of Schubert by systematically replacing dominant relationships with an organic combination of Phrygian and plagal elements to create a cyclical symphony that is unique among the Romantic oeuvres. Many of the compositional approaches developed in this symphony paved the way for his later symphonies and composers of later generations. It is also wished that the theoretical concepts developed in this thesis can contribute to the study of related works, especially that of Bruckner, Schubert and Mahler.

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Table of Contents

Declaration

This thesis is solely the work of the author, Ruixue Hu under the supervision of Prof. Julian Horton and Prof. Ian Dickson.

Acknowledgements

Despite severe disruptions wrought by the COVID, the last two years have been the most productive years I have ever had. I decided to switch my academic focus from composition to theory, as I realised that my true passion lies in nineteenth-century music. I search for beauty, for love, for inspiration; this thirst has been satisfied partially with Bruckner's Sixth Symphony, a masterpiece I have been working on during my time at Durham. I can never forget the gratification I had when I discovered the connections between the notes and represented them with geometric models.

I can never thank Prof. Julian Horton enough. Julian has been a great mentor and a colleague whose immense knowledge and passion for Bruckner I admire. He guided me and saw me develop from a layman of theory into someone who can produce original thoughts in the field. Prof. Ian Dickson's care for me and the extra-musical conversations we had are of equal importance, as we realise, better than ever, our need for connections with other people. This work will be incomplete without Prof. Crawford Howie and Prof. Thomas Eerola, whose suggestions play a critical role in my research on Bruckner and Schubert. There are two persons who, despite I never met, supported me in spirit during the difficult times. Maestro Daniel Barenboim, the very person whose transcendental performances inspired me for a music career. Mr Yu-Ching Fei, whose singing consoled my spirit all the time.

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Chapter 1: Analytical Problems in Bruckner's Sixth Symphony

> Musical logic, the 'developing variation' of musical ideas (as it was called by Schoenberg, who admired Brahms and belittled Bruckner), rested on a premise considered so self-evident as to be beneath mention: that the central parameter of art music is its 'diastematic', or pitch, structure...Bruckner's symphonic style, however, unlike that of Brahms's chamber music or Wagner's music dramas, is primarily rhythmic rather than diastematic, and thus seems to stand the usual hierarchy of tonal properties on its head.[1]

Carl Dahlhaus's claim prefaces a discussion of Anton Bruckner's Sixth Symphony from a mainly rhythmic perspective. It is not my intention to contest Dahlhaus's view that rhythm is a critical element in Bruckner's music since it often serves as the basis of thematical association. The Sixth Symphony abounds with cases where Bruckner relies on rhythmic connections to secure thematic coherence. For instance, as William Carragan points out, the rhythmic association between the first and the third themes in the first movement provides 'a sense of organization which gives the movement structural logic'[2]: Both themes can be understood as derivatives of the so-called 'Bruckner rhythm', namely a combination of duplets and triplets.

However, I must contend that Dahlhaus (and by extension, Schoenberg and anyone else who holds, or implies, that pitch-relationships are not *the most important* element in Bruckner) is incorrect in viewing the Sixth Symphony from a primarily rhythmic perspective. This thesis will demonstrate that Bruckner's Sixth Symphony is so uniquely oriented towards a diastematic organization that its formal design and hermeneutic implications cannot be understood without a detailed examination of its pitch relationships, including motivic, modal and harmonic structures from individual notes to thematic zones as organic wholes. Based on pitch-relationship analyses, this thesis will

1 Carl Dahlhaus, *19th-Century Music*, trans. J. Bradford Robinson (Berkeley and Los Angeles: University of California Press, 1989), 272.
2 William Carragan, *The Red Book of Anton Bruckner Eleven Symphonies: A Guide to the Versions* (Windsor, CT: Bruckner Society of America, 2020), 142–43.

also explore two key aspects of the Symphony: 1) Bruckner's musical logic, especially the unorthodox sonata forms in the outer movements; and 2) paratactic syntax and lyricism that Bruckner inherited from Schubert and developed in novel ways with significant personalization.

1.1 Problems in Pitch Relationships: Harmonic Complexes and Modes

Lying between the gigantic Fifth and Seventh, Bruckner's Sixth Symphony has long been misconstrued as the weakest among his mature symphonies, and its performances and recordings remain infrequent today.[3] The Sixth's 'weakness' can be understood from at least two aspects. In terms of orchestration and proportions, it is more compact than his other mature symphonies. When compared to the Fifth, Seventh and Eighth, its unfathomable harmony appears to be weak as it is unable to satisfy the classical ideal of a symphonic-sonata work, the non-dominant-to-tonic ending in the outer movements furnishing particular evidence for this. Nevertheless, the Sixth Symphony's 'boldness', as both the composer himself and many scholars put it, has no rival in his entire canon. Bruckner himself is often quoted as remarking, 'Die Sechste, die keckste' (literally 'the Sixth, the boldest'), although Miguel Ramirez has cast doubt on the authenticity of this remark, pointing out that Hans-Hubert Schönzeler reported it without giving a source.[4] Still, there is no denying the Sixth Symphony's originality. One of the 'only [symphonies] in which he never made wholesale revisions', it is a work that '[represents] Bruckner's period of greatest confidence as a composer', as Robert Simpson rightfully comments: 'Bruckner's Sixth makes an instant impression of rich and individual expressiveness. Its

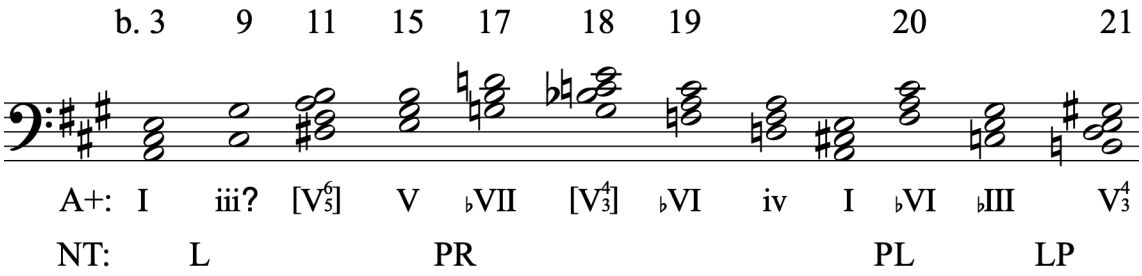
3 Miguel Ramirez, "Chromatic-Third Relations in the Music of Bruckner: A Neo-Riemannian Perspective," *Music Analysis* 32, no. 2 (2013): 155. Benjamin Korstvedt held a similar opinion based on the performance frequency of the Sixth by the Royal Concertgebouw Orchestra. See Korstvedt, "'Harmonic Daring' and Symphonic Design in the Sixth Symphony: An Essay in Historical Musical Analysis," in *Perspectives on Anton Bruckner*, ed. Crawford Howie, Paul Hawkshaw and Timothy Jackson (New York: Ashgate Publishing, 2001), 185.

4 Ramirez, "Chromatic-Third Relations in Bruckner," 160.

themes are of exceptional beauty and plasticity, its harmony is both bold and subtle, its instrumentation is the most imaginative he had yet achieved'.[5]

Taking cues from Simpson's comment above, this thesis concentrates on the pitch relationships and their formal and expressive implications, mainly in the outer movements of the Sixth Symphony to reveal the reasons Bruckner called it his 'boldest' work. While scholars have often agreed with Bruckner in describing this symphony as innovative, even peculiar, few have attempted to provide a cogent analysis to demonstrate its uniqueness and expressiveness. Many have referred to its eccentricities in terms of pitch relationships, but only descriptively or to a superficial degree. Simpson's account of the opening of the first movement is representative in this respect: '[Although] the key is A major when the theme enters below, the mystery is heightened by notes foreign to the tonality...the G is simply a flat seventh, but the B flat and F natural are Neapolitan inflections of the melody, and they have full-scale tonal effects later in the symphony, after they have persistently coloured the harmony of the first movement.'[6] Similar observations of Neapolitan inflection are made by Philip Barford (1978)[7] and A. Peter Brown (2003)[8] among others; none of them provides in-depth insight into the structural importance of Neapolitan relationships. As will become clear, it is impossible to understand the outer movements with only Neapolitan inflections in mind, as Bruckner's innovation in the sonata form entails a systematic and organic reconstruction of the tonal ideology through a web of not only harmonies but motivic and modal elements.

5 Robert Simpson, *The Essence of Bruckner: An Essay Towards the Understanding of His Music* (London: Victor Gollancz Ltd, 1977), 123.
6 Ibid, 125.
7 Philip Barford, *Bruckner Symphonies* (London: BBC, 1978), 50–51.
8 A. Peter Brown, *The Symphonic Repertoire Vol. IV:The Second Golden Age of the Viennese Symphony* (Blommington: Indiana University Press, 2003), 254–55.



Example 1: Bruckner 6/I, bb. 3–24, Harmonic Reduction

To this day, harmony remains the main obstacle for researchers seeking to understand the Sixth Symphony, because the current theories of harmony, including functional theory and neo-Riemannian theory, are not fully capable of explaining Bruckner's music. Take the first statement of the first theme in the first movement as an example: shown as a harmonic reduction (Example 1), it is undeniable that diatonic harmonies frame the statement: tonic at the beginning and dominant at the end. In the middle of this statement, we also find the tonic and the dominant, along with several harmonies built on the flat side of the scale, indicating a mixture of A major and A minor. It must be pointed out that, adding to the harmonic complexity is the accompanying motivic and melodic inflections which are not shown in Example 1; the harmonic analysis will not be complete without considering their influence.

More problematic than the stand-alone harmonies are the progressions between them: the Roman numerals in the middle are rather confounding. For instance, the progressions in bb. 15–19 do not follow tonal harmonic logic as two root-positioned major triads built on the flat side of the scale are flanked by the dominant and the minor subdominant that moves to the tonic: it is impossible to determine their function in a tonal context. Further, the many triads in root position make a rather awkward contour of the bass line, which is not ideal from a traditional perspective. Given that Bruckner is widely acknowledged as a proficient polyphonic composer, this unusual bassline is another hint that Bruckner's harmonic logic here is not traditional.

At best, diatonically, one can argue that A major, C♯ minor (assumed),[9] and E major in the first 15 bars constitute an ascending I-iii-V arpeggio that is familiar to Schenkerians as a *Terzteiler*. For the rest of the statement, however, diatonic methods struggle to organize the harmonies *under* the tonic, A major. By choosing the word 'under', I refer to the common concept that the traditional means of establishing the tonic implies a hierarchical tonal organization. The axis of tonic–dominant not only exerts its power in securing local tonal zones in the form of Perfect Authentic Cadences (PAC) but also, at the structural level of the sonata form, dictates a hierarchy where the first theme, usually in the tonic, controls the tonal scheme of the entire sonata. My analysis will show, however, that Bruckner employs a different means to unify the harmonies in his first theme; this process fundamentally changes the whole Symphony.

In the middle of the statement where diatonic analysis is inadequate, neo-Riemannian methods can better explain some of the progressions. Transformations (**P**arallel, ***L****eittonwechsel,* and **R**elative) below the Roman numeral analysis, especially **PL** and **LP** at the end, provide an alternative to the less meaningful functional denotations.[10] The problem persists nonetheless: the transformations alone are insufficient to unify the harmonies. A crisis arises: using existing methods, we find ourselves unable to comprehend the harmonic organization of the first theme in the first movement of a Symphony in A major. Yet, this excerpt is but one of the many confounding passages in Bruckner's music where the harmonic organization is nebulous seen through a diatonic or neo-Riemannian lens. An even more serious problem also

9 For a compelling retrospective conjecture, see bb. 213–14 which is the corresponding place in the recapitulation where the alto trombone and the second horn provide the pitch E to fully establish C♯ minor. As with many other cases in the Sixth Symphony, Bruckner frequently sets up an empty chord and supplies the quality-defining third later. For another example, see bb. 25–8 in the first movement where the first two bars contain no C♯ and the horn (again) supplies the A major arpeggio that contains the pitch C♯ in b. 27.

10 Neo-Riemannian transformations are adapted by Brian Hyer from David Lewin. See Lewin, *Generalized Musical Intervals and Transformations* (New Haven and London: Yale University Press, 1987); Hyer, "Re-imag(in)ing Riemann," *Journal of Music Theory* 39, no. 1 (1995): 101–38.

comes to our attention: not a single PAC can be found in the span of the first theme. In fact, the claimed tonic A major is never articulated by a PAC in the entire work. How would Bruckner establish the tonic without this seemingly irreplaceable device?

The lack of PACs in the tonic also has consequences for our understanding of the form. Thematically, the first movement exhibits the characteristics of a sonata form, yet the unorthodox harmonic logic in the first theme seems to imply the otherwise, given that a sonata first theme is expected to present and secure the tonic and provide an anchor for the entire movement and the Symphony. On the other hand, while a crucial PAC is lacking, we can still feel that the harmonies in the first theme are attracted to A major: in addition to the A–C♯–E framework, the very fact that most of the harmonies can be understood as being built on scale degrees of A major adds to this feeling. If we, as mentioned earlier, consider the popular option of modal mixture in the nineteenth century, then all the harmonies can be organized under an A major–A minor mixture with two applied dominants (B dominant seventh in first inversion, b. 11 and C dominant seventh in second inversion, b. 18; both applied dominants resolve immediately in the next bar). It seems, however, that Bruckner organized the harmonies in a way that differs from all the previous methods.

One of the main objectives of this thesis is, therefore, to find the best way possible to account for the Sixth Symphony's harmonic progressions, building on recent contributions to the analysis of Bruckner's music. Two decades after Simpson, Benjamin Korstvedt proposed the concept of 'dissonant tonal complex' in a more detailed analysis of the Sixth, in which he regards the frequently discussed opening of the Symphony as articulating 'not a stable tonic key area' but the musical embryo of 'a coherent large-scale process of dissonance and resolution'.[11] In the last decade, Miguel Ramirez further

11 Korstvedt, 'Harmonic Daring', 186–90.

examined neo-Riemannian relationships in Bruckner's Sixth, especially in the coda of the first movement, which mingles diatonic and hexatonic progressions.[12] Korstvedt pointed out a new direction in understanding Bruckner's harmony, that is, to consider a thematic area, not in a simple key but being built on a harmonic complex. More importantly, Bruckner's use of harmonic complexes as the basis of his themes also alters the sonata form in the first movement, which grants the Sixth Symphony its unique expressiveness. Ramirez, on the other hand, demonstrates in his analysis how Bruckner combines diatonic and neo-Riemannian progressions. Their ideas lay the foundations for Julian Horton's concept of orbital tonality,[13] which seeks to understand the interaction between harmonic progressions and sonata form in the Finale of Bruckner's Seventh Symphony. I extend and refine Horton's orbital tonality and propose a coloured prismatic model that is both a theoretical representation of orbital tonality and an analytical tool not only useful for Bruckner's first movement but also potentially for other late-nineteenth-century works.

The concepts mentioned are, however, concerned only with pitch relationships in the vertical. As stated earlier, the melodic inflections in the first theme are of equal importance if we are to fully understand Bruckner's harmony. Among the limited studies concerning the horizontal aspect of Bruckner's Sixth, Anthony Carver's survey of the use of Phrygian mode in Bruckner's music is critical. Different from those who focus on local relationships and claim that the first theme is inflected by Neapolitan harmonies, Carver takes a holistic view and claims that 'the essence [of the Finale of Bruckner's Sixth] is, in fact, the intrusion into the tonal spectrum of the Phrygian mode'.[14] This thesis will take Carver's Phrygian observation further, combining it with Daniel Harrison's function theory to reveal the connection between the horizontal Phrygian inflections and the

12 Ramirez, 'Chromatic-Third Relations in Bruckner', 160–69.
13 Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', *Music Analysis* 37, no. 3 (2018): 271–309.
14 Anthony F. Carver, 'Bruckner and the Phrygian Mode', *Music and Letters* 86, no. 1 (2005): 93.

vertical plagal harmonies that are widespread in the Symphony. Inspired by Korstvedt and Carver, I devise the concept of 'plagal complex' to account for the second theme, where plagal harmonies support a paratactic intrathematic form. This means that, in Bruckner's Sixth Symphony, harmony and mode are not separate forces but function together as an organic whole, and, contrary to the traditional diatonic modes and harmony, Bruckner's Phrygian mode and hexatonic harmonies will also support a very different type of sonata form.

1.2 Special Features in Bruckner's Sonata Form

In their seminal treatise on sonata form, James Hepokoski and Warren Darcy employed the hierarchical terms, '*primary* theme' and '*secondary* theme'.[15] For Classical sonata forms, these terms are legitimate, since almost every Classical sonata articulates the first theme that appears in the tonic around which the entire sonata structure is oriented; this is a practice in which the first theme enjoys primacy over other themes and zones thanks to its tonic affiliation. In the more complicated *fin-de-siècle* context, however, such terminologies can be vulnerable. Among various factors, it is primarily the fact that the 'genre-defining' procedures[16] such as the Essential Expositional Closure (EEC) and the Essential Structural Closure (ESC) rely so much on satisfactory PACs that renders these hierarchical terminologies problematic in Bruckner's Sixth Symphony. As mentioned earlier, there are no such PACs to articulate the tonic, nor any of these clear formal junctures. Thematic hierarchy is further challenged by Bruckner's unconventional harmonic organization in and between themes. For example, in the first movement, none of the three themes exhibits an unequivocal harmonic centre in the traditional sense, and

15 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), passim.
16 Ibid, 14-22.

interthematic diatonic relationships such as I–V commonly found in Classical sonatas are also absent. Therefore, the following discussion employs hierarchy-neutral terms: *first* theme*, second* theme*,* and *third* theme that only concerns chronological order.

Primarily based on Classical practices, sonata theory is inevitably limited by its Classical scope, but it still holds value in understanding late-Romantic sonata forms. The inadequacies mentioned above reflect the dialectical relationship between abstract models of sonata form and the diverse individualities of late-Romantic works: a relationship that gives rise to Hepokoski's deformation theory.[17] In the late-nineteenth century, however, distorting the norm can be precarious. In the 1880s, Bruckner's deviations in symphonic practices provoked the critical polarization of attacks and support on him in Vienna as part of the 'cultural war'.[18] As Korstvedt distinguishes, Bruckner's early critics can be divided into three groups, two of which denigrated his music as either 'formless' or 'too formal' in rather extreme ways. Notable proponents of the 'formless' accusation include Brahms champions Eduard Hanslick and Gustav Dömpke, who refused to acknowledge the merit in Bruckner's sonata forms.[19] Another group of critics, such as Rudolf Louis, considered Bruckner's formal structures 'slavish'.[20] Even Franz Schalk, a 'long-standing' supporter[21] and student of Bruckner, had commented on his formal practices with reservations: 'Bruckner fabricated a very simple schema for his movements, and never speculated about it and held to it regularly in all of his symphonies'.[22] Chapter 2 will demonstrate how Bruckner's paratactic sonata form belies its traditional schema.

17 For representative works, see James Hepokoski, *Sibelius: Symphony No.5* (Cambridge: Cambridge University Press, 1993), 19–30; 'Back and Forth from *Egmont*: Beethoven, Mozart and the Nonresolving Recapitulation', *Nineteenth-Century Music* 25 (2002): 127–54.
18 Margaret Notley, 'Bruckner and Viennese Wagnerism', In *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (New York: Cambridge University Press, 1997), 55–56.
19 Benjamin Korstvedt, 'Between Formlessness and Formality: Aspects of Bruckner's Approach to Symphonic Form', In *Companion to Bruckner*, 170–71.
20 Ibid.
21 Notley, 'Bruckner and Viennese Wagnerism', 59–60.
22 Korstvedt, 'Between Formlessness and Formality', 171.

Different from these opinions are later supporting voices. As 'two great Bruckner champions of the early twentieth century', August Halm and Ernst Kurth viewed Bruckner's sonata form as a synthesis of 'Bach and Beethoven' and 'Bach and Wagner', respectively.[23] Their opinions anticipate the deformation theory, in that they understand Bruckner's sonata form as a dialectical practice that stems from the Classical model yet is intrinsically personalized: For Halm, Bruckner surpasses Brahms for his elaborate themes and episodic forms that contribute to the *Körperlichkeit,* or corporeality of his music.[24] As Nicholas Steinwand noticed, Halm understands Bruckner's teleological process as different from that of Beethoven and Brahms: 'rather than a more organic teleological drive, Bruckner's unfolds in a succession of different scenes or episodes, each with its own character and function', and such a conception was 'influential on Kurth's notion of symphonic waves'.[25] Not only is Bruckner's sonata form episodic but also his intrathematic form: the second themes in the outer movements are also constructed with episodes that maintain a high degree of individuality from each other.

Modern theorists' attempts to understand Bruckner's sonata form are still deeply rooted in the idea of contrasting his approach to the Classical paradigm. Darcy, for example, illustrates the applicability of deformation categories to Bruckner with the premise that he was 'well versed in standard nineteenth-century *Formenlehre* prescriptions'.[26] Darcy's remark is corroborated by Paul Hawkshaw's investigation of Bruckner's study materials: The *Kitzler Studienbuch*, which is the portfolio of Bruckner's exercises produced during his studies under Otto Kitzler, systematically testifies that,

23 August Halm, *Von zwei Kulturen der Musik* (Munich: 1912; 3rd edition, Stuttgart: 1947), 253; quoted in Carl Dahlhaus, *The Idea of Absolute Music*, trans. Roger Lustig (Chicago and London: The University of Chicago Press, 1989), 123–24; Ernst Kurth, *Bruckner* (Berlin, 1925; reprint Hildesheim and New York: 1971), vol I, 369–71. Quoted in Korstvedt, 'Between Formlessness and Formality', 171.

24 Lee Rothfarb, 'August Halm on Body and Spirit in Music', *19th-Century Music* 29, no. 2 (2005): 121–41.

25 Nicholas Steinwand, *The First Movements of Bruckner's Third, Sixth and Seventh Symphonies: A moment-by-moment Approach to Form* (Ph.D. diss., University of British Columbia, 2015), 12.

26 Warren Darcy, 'Bruckner's Sonata Deformations', In *Bruckner Studies*, 256–77.

apart from rigorous exercises in harmony and orchestration, Bruckner also received abundant training in *Formenlehre*.[27] Bruckner's use of the nomenclature of Johann Christian Lobe and Ernst Richter also reflects his paratactic conception of the sonata: the famous *Gesangsperiode* appears in the *Studienbuch* with terms such as *Themagruppe* and *Schlußgruppe*.[28] Corroborating Steinwand's remark above, these terms are descriptive rather than hierarchical: they originate from the characteristics (*Gesang*-singing), content (*Thema*-theme), and function (*Schluß*-closing) of the sections. Moreover, contrasting the hierarchical tonal relationship found in Classical sonatas, Bruckner's terms originate from the function and the content of the themes rather than their tonal hierarchy; this will also be discussed in detail in Chapter 2.

Nevertheless, the applicability of deformation theory to Bruckner is challenged by Horton. As Hepokoski and Darcy themselves admit, the very idea of generalizing the vast spectrum of sonata practice in the long nineteenth century is questionable.[29] Without a 'normative' sonata form against which the 'deviations' are measured, the concept of deformation stands on shaky ground.[30] Horton addresses theorists' reluctance to read '[large-scale nineteenth-century instrumental forms] as stylistically, formally or systematically distinct', positing that while Beethoven's paradigmatic sonata practice might have shackled later composers, it also emancipated the sonata form from the 'relative homogeneity of the classical style'.[31] He takes a nuanced view by reconciling the Beethovenian epitome of sonata and the compositional liberty of the post-Beethovenian composers, construing nineteenth-century sonata forms as 'simultaneously [acknowledging] and [superseding] the high-classical model… as a synthetic whole'.[32] A

27 Paul Hawkshaw, 'A Composer Learns His Craft: Anton Bruckner's Lessons in Form and Orchestration, 1861–63', *The Musical Quarterly* 82, no. 2 (1998): 336–61.
28 Hawkshaw, 'Bruckner's Lessons', 352–54.
29 Hepokoski and Darcy, *Elements of Sonata*, 3–6.
30 Julian Horton, 'Bruckner's Symphonies and Sonata Deformation Theory', *Journal of the Society for Musicology in Ireland* 1 (2005): 7.
31 Ibid, 11.
32 Ibid, 11–12.

dialectical relationship emerges from the discussions on Bruckner's deformations. Schalk's reservations about Bruckner's form, while risking over-generalization and naiveté, are not wholly baseless: in many ways, Bruckner does adhere to specific formal plots such as the three-part exposition and the distortions in the recapitulation, as Korstevdt summarizes.[33] If the principles of deformation consistently manifest themselves throughout Bruckner's sonata forms, then they might better be understood as Bruckner's personalized versions of the sonata principles rather than 'deviations from the norm'.

In his discussion of the alleged 'formlessness', Korstvedt also points out that the concept of form in Bruckner's time might not be identical to ours, since the term formless 'undoubtedly referred in part to matters – including novelties of harmony, syntax, and motivic work – that are not aspects of "form" in the modern sense, as well as to Bruckner's divergence from conventional *Formenlehre* paradigms'.[34] This observation reveals that Bruckner's then-idiosyncratic extra-formal practices contributed to the 'formless' accusation. Of all these extra-formal elements that can influence our perception of the form, motives are perhaps the most palpable. In Bruckner's Sixth, formal structures still essentially depend on corresponding harmonies. Unlike High-Classical sonatas, however, a single tonic that rules a section is rare, and cadences are also scarce. Thus, motivic works can replace harmonies and cadences as the demarcating factor between formal areas, as Carl Dahlhaus claims: 'Bruckner's symphonic style is primarily rhythmic rather than diastematic'. His example is the first and second theme groups in the first movement, in which he finds the rhythm 'as rigorously unified internally as it contrasts externally'.[35]

33 Korstvedt, 'Between Formlessness and Formality', 172–88.
34 Ibid, 170. In the 2001 article, he articulated similar points. See Korstvedt, 'Harmonic Daring', 199–202.
35 Dahlhaus, *Nineteenth-Century Music*, 272.

The third theme in the first movement is an even more extreme case: it consists entirely of parallel harmonies, which, at best, constitute an ascending and descending pattern, for which it is difficult, if not impossible, to speak of a tonic. The burden of establishing the theme is taken over by the powerfully punctuated rhythmic motive, typical of Bruckner. The mainly monophonic orchestration also highlights the individuality of the third theme, not only by reinforcing its motivic character but also by contrasting the polyphonic setting in the second theme. Instead of harmonies and cadences, it is the unmistakable distinctiveness of its main motive, along with the unison texture, and the considerable span that establishes the third theme as a theme on its own: a technique that served Bruckner's other mature symphonies as well. It must be noted, however, that while Dahlhaus rightfully noticed the importance of rhythm, it would be excessive to champion rhythm over pitch relationships, at least in the Sixth, for my following analysis will show the fundamental status of Bruckner's pitch relationships.

Modal elements also play a significant role in distinguishing theme areas: in stark contrast to the Phrygian-laden first themes, both second themes in the outer movements are free from Phrygian inflections. Aside from associating modal inflections with particular themes, Bruckner's use of the Phrygian mode is of structural depth. Carver argues that the formal effect of Phrygian modality in the Finale is 'to destabilize the [diatonic] tonality that a symphony that begins in supreme confidence ends by appearing to cling to the tonic major by the skin of its teeth'.[36] It is questionable that the Sixth begins in 'supreme confidence' given the extreme ambiguity, but it is without a doubt that the Phrygian mode is one of the sources of conflict in Bruckner's form since it contrasts with the major mode for its flattened supertonic and leading tone.

36 Carver, 'Bruckner and the Phrygian Mode', 91.

Above all, Bruckner's labyrinthine forms owe much to his harmonies. William Benjamin holds that the harmonic deviations in nineteenth-century music may be viewed as thematizations to avoid damage to the analytical coherence. He states that the harmony itself could be thematized and 'become part of the colour of a theme… to reinforce networks of themes in their transformational interrelations'. From a historical perspective, he elaborates:

> The thematization of harmony, in turn, implies that the field of large-scale structure is partially vacated, left open to new shaping forces, and helps to explain the progressive shift in the second half of the century from a preoccupation with structures defined in terms of a conventional syntax (of harmony, meter and phrase structure) to one with structures whose dimensions are natural, continuous, and scaled by intensity (dynamics, density, and aspects of timbre).[37]

While it is true that the thematization of harmony allowed other musical forces to define the form, it is worth noticing that Bruckner, from time to time, still exploits the structural function of harmony in a more traditional sense, in which respect the false recapitulation in the first movement is exemplary: in b. 195, the fully orchestrated first theme decisively strikes in E♭ (with Phrygian inflections), a key remote to the home key of A major. Eric Lai observes that this event 'initiates a heightened tonal tension that is resolved in the subsequent return of the home key at the true recapitulation [and acting] not as a recapitulatory crisis, but rather as an intensification towards the affirmed tonic presence'.[38]

Cyclical form is another apparent trait in the Sixth Symphony. A notable example is the return of the *Hauptthema* at the final bars of the Finale. Derek Watson, Korstvedt,

37 William E. Benjamin, 'Tonal Dualism in Bruckner's Eighth Symphony', In *The Second Practice of Nineteenth-Century Tonality*, ed. William Kinderman and Harald Krebs (Lincoln and London: University of Nebraska Press, 1996), 237–38.

38 Eric Lai, 'The Formal Ramifications of Bruckner's Bipartite Sonata Form', *Music Analysis* 37, no. 3 (2018): 346.

and John Williamson, just to name a few, have all noticed its concluding function,[39] while Simpson and Derek B. Scott blame the Sixth's 'inconclusiveness' on it.[40] Paradoxically, the two opposite opinions are both reasonable, and I will return to this issue. In the Sixth Symphony, similar examples of using thematic blocks as the basis of cyclical association are not rare. Unlike other composers, however, Bruckner's cyclical technique in the Sixth Symphony is more abstract. Horton deems that the 'otherness' of Bruckner's symphonic style in the Austro-German tradition 'resides not in the vocality of his style, but in the relationship between pitch and rhythm as motivic parameters'.[41] In this respect, Dahlhaus's view that Bruckner's Sixth Symphony is rhythmically driven (see the opening of this thesis) has also been challenged by Horton, who refers to the equal importance of rhythmic and diastematic aspects of the main motive in Beethoven's Fifth Symphony.[42] Horton further discusses Bruckner's Fifth Symphony in which the outer movements are associated by harmonic attributions.[43]

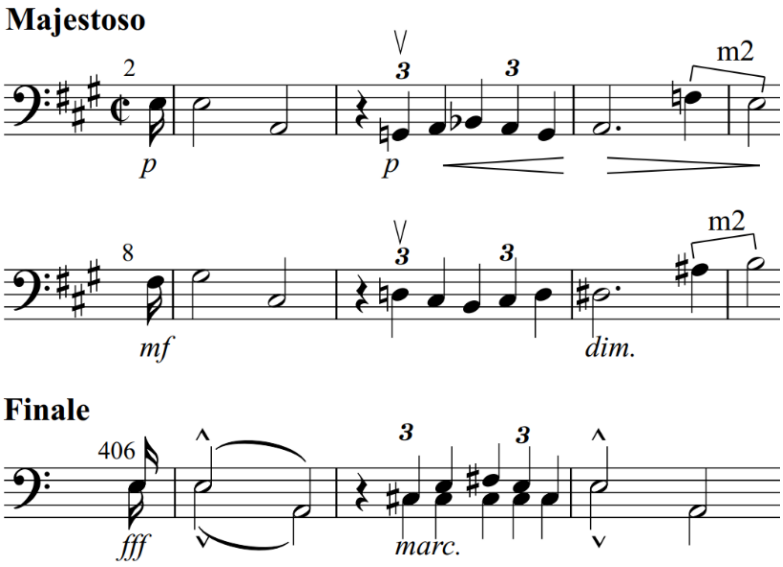
Even more complex than the Fifth's cyclical form, the Sixth's cyclical form resides in a diastematic integration that concerns more than thematic blocks and harmonies. As stated in the beginning, one of the thesis's main objectives is to reveal the central status of pitch relationships in the cyclical form of the Sixth Symphony. On the one hand, he deploys an organic web of pitch relationships both in the horizontal and the vertical against the traditional diatonicism, namely Phrygian elements, plagal and hexatonic harmonies. Bruckner's deployment of these novel pitch relationships is at the motivic level, which I will survey in Chapter 2 and 3. On the other hand, contrary to the

39 Derek Watson, *Bruckner* (London: J. M. Dent & Sons Ltd, 1975), 116; Korstvedt, 'Harmonic Daring', 193; John Williamson, 'The Brucknerian Symphony: an overview', in *The Cambridge Companion to Bruckner* (New York: Cambridge University Press, 2004), 86.
40 Simpson, *The Essence of Bruckner*, 140; Derek B. Scott, 'Bruckner's Symphonies – a reinterpretation', in *Companion to Bruckner*, 104.
41 Julian Horton, 'Cyclical Thematic Processes in the nineteenth-century Symphony', in *The Cambridge Companion to the Symphony* (Cambridge: University of Cambridge Press, 2012), 211.
42 Ibid, 212.
43 Ibid, 216-19.

commonly used hierarchical formal structures, Bruckner heavily employs paratactic structures in the Sixth Symphony, which depends on the pitch relationships mentioned above. The paratactic sonata forms in the outer movements are also part of the cyclical process in the Sixth Symphony, and are discussed in Chapters 3 and 4. In Chapter 4, I also invoke Schubert's lyricism and parataxis in his sonata forms to compare with that of Bruckner to examine Bruckner's development of Schubert's heritage and the difference between their lyrical devices.

Chapter 2: Harmonic Complexes and Sonata Procedures in the First Movement

2.1 The First Theme: Phrygian-Plagal Duality and the Orbital Complex



Example 2: Bruckner 6, *Hauptthema* and its transformations

The opening bars distinguish Bruckner's Sixth from his other symphonies, partly because of the vivid rhythmic gesture derived from the Bruckner rhythm[44] and partly because of their harmonic ambiguity. A two-bar introduction based on C♯, the third of A major, lays the rhythmic foundation of the symphony. Immediately the repetitive pitch C♯ causes ambiguity because it floats alone without grounding bass pitches that can help to anchor the tonality. As we shall see, the pitch C♯ and the harmonies it implies are of grave importance in the Sixth Symphony, as is the interval of a major third that it forms with the claimed tonic, A.

When the melody enters, A major is ephemerally formed in b. 3 between the C♯ ostinati and the pitches E and A in the bass, but this fragile tonic is immediately destabilized in the following passage. The melody presented in the lower strings in bb. 2–6 will be referred to as the *Hauptthema* from now on. Many scholars, including Barford,

44 Williamson, 'The Brucknerian Symphony: an overview', 79.

Korstvedt, A. Peter Brown, and Simpson, recognize the harmonic peculiarity of the *Hauptthema*, where the supposed G♯, B, and F♯, members of the claimed tonic A major are flattened into G, B♭, and F, respectively (see Example 2). Like-minded, they argue that such inflections result from Neapolitan relationships, which have a profound impact on the entire Symphony. These inflections are indeed vital, but the term Neapolitan proves to be inadequate in fully describing them. First, these authors do not elaborate on the whereabouts of the Neapolitan harmony (B♭ major, in the context of A major) nor on a dominant harmony on which the Neapolitan harmony depends.[45] In fact, Bruckner never deploys a dominant harmony with incontrovertible dominant function in A major throughout the Sixth Symphony, and the term Neapolitan loses its meaning because it is ordinarily categorized as a predominant harmony. Second, Neapolitan harmony does potentially explain the B♭ in b. 4 and the F♮ in b. 6, but not the G♮ in b. 5. Among the three inflected pitches, the G♮ is indeed the most problematic, as it serves as the lower neighbour to A, a role that is supposed to be played by G♯ if the tonic is A. Under diatonic premises, this implies that A is not the local tonic–an implication that also negates the possibility of Neapolitan harmony.

Further, the use of the term Neapolitan already implies that the overall modal context is diatonic. This reading ignores the prominent presence of the Phrygian mode and also fails to address the conflict between the major mode and the Phrygian mode, which is a decisive force in the Finale as we shall see. Anthony Carver identifies these inflections as 'Phrygian intrusions': 'The Phrygian mode is hinted at in the opening theme of the first movement, first on A, then on E, and subsequently on C sharp.'[46] In other

45 The attributes of Neapolitan harmony are commonly discussed by harmony textbooks. See, for example, *Harmony and Voice Leading* by Edward Aldwell and Carl Schachter (New York: Schirmer, Cengage Learning, 2011), 536–38.

46 Carver, 'Bruckner and the Phrygian Mode', 92. Judging from his Example 12, Carver construed the bass melody in b. 4 as in A Phrygian and b. 5 in E Phrygian, but he did not elaborate on the C♯ Phrygian. Presumably, he regards the bass melody in b. 10 as in C♯ Phrygian, due to the B♮ and D♮.

words, the fleeting A major formed in b. 3 is 'intruded' by the subsequent Phrygian pitches G♮, B♭, and F♮. This observation can accommodate all the three problematic pitches at once, as the A-Phrygian scale comprises pitches A, B♭, C, D, E, F, G. Moreover, the leading tone/lower neighbour tone problem associated with G♮–A dissolves from a Phrygian viewpoint where, alternatively, we can take B♭ as the Phrygian leading tone to the tonic. Carver extends the claim to point out the ubiquity of the Phrygian mode in the other three movements. For example, the beginning of both the Adagio and the Finale features Phrygian scales.[47] Carver's perspective is more horizontal than vertical, centring on melodies and voice leading: aspects that are sometimes insufficiently covered by harmonic analyses. Not coincidentally, the extensive use of the Phrygian mode relates closely to the widespread hexatonicism in the Sixth: they both emphasize the horizontal dimension of the music, which, as will become clear, is crucial in Bruckner's construction of the form.

(Apparently) different from both the Neapolitan and the Phrygian perspectives, Ernst Kurth identifies the dichotomy between the C♯ ostinati and the flattened pitches in the bass, as a major-minor conflict.[48] Kurth claims that D minor is implied at the beginning because the music in bb. 2–5 could as well serve as the dominant for D minor. This reading suggests a *latent* plagal relationship in the context of A major, and it will prove penetrating for the rest of the Sixth Symphony. Synthesizing Carver's Phrygian view and Kurth's plagal reading, I would like to highlight a critical quality inherent to the two relationships. I term it 'Phrygian-Plagal Duality', in that the Phrygian and plagal relationships are two related manifestations of the same set of pitch relationships between the pair of tonalities, in this case, D minor and A major. This is why I understand Kurth's

47 Ibid.
48 Kurth, *Bruckner*, vol. 1, 545–46, note. Quoted in Ramirez, 'Chromatic-Third Relations in Bruckner', 161.

observation as 'apparently' different from that of Carver's: they describe the same modal–harmonic relationship, one from a melodic perspective, the other from a harmonic one.

The basis of such a duality is the fact that the A-Phrygian scale and D-natural minor scale share the same pitch content (A, B♭, C, D, E, F, G). Furthermore, the pitch B♭ is simultaneously the flat-submediant in D-natural minor and the flat-supertonic in A-Phrygian. Playing important roles in both modes, B♭ links the two modes with a plagal relationship: I extend Daniel Harrison's concept of 'characteristic semitone' [49] to the flat-supertonic in the Phrygian mode, whose ♭2–1 progression is comparable to the 7–8 progression in the major mode. (And, of course, the 6–5 progression in the minor mode as well.) Both progressions are based on the interval of a semitone and, more importantly, function as the tonic-locating gesture. In light of Harrison's theorization of the fundamental association between the natural minor mode and the plagal function,[50] Bruckner's unconventional devices can be unified: as the 'two strongest possible counterparts to the major mode', [51] the Phrygian mode, the natural minor mode, and their concomitant plagal function can be understood as the same set of pitch-relationships and they become the alternatives to the major mode and the dominant function.

In addition to the more straightforward antitheses between the Phrygian-diatonic modes and the plagal-dominant functions, Bruckner also employs a more elusive yet comprehensive way of organizing the harmonies in the first theme, an alternative to the diatonic method. Let us return to the *Hauptthema*: the opening statement is answered by French horn before being transposed a major third higher, starting with a hollow C♯ without the quality-defining third. After fragmentation and harmonic acceleration, to

49 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), 26–27.
50 Ibid, 25–32.
51 Ibid, 25.

borrow William Caplin's terms,[52] it finds a temporary repose on the dominant seventh of A major in second inversion. The music in bb. 2–24 prominently resembles what Caplin defines as a sentence barring the lack of meaningful cadences: two statements of the basic idea (the *Hauptthema*) followed by fragmentations and harmonic acceleration. The full-orchestral reprise of this sentential phrase (b. 25 ff.) balances the somewhat dynamically restrained opening and completes the first theme, making sense of Bruckner's marking, 'Majestoso'. Without cadences, and therefore having failed to secure the tonic yet again, the reprise phrase dissolves into the second theme (starting from b. 49). Highly symmetrical in structure, the first theme makes the impression of what Hepokoski and Darcy define as a 'grand period',[53] with its antecedent and consequent articulated as smaller-scale sentences.

In stark contrast to the (apparently) conventional formal structure, the harmony in the first theme appears to be much less orthodox. Its formal structure is symmetrical enough to offset some of the ambiguity caused by the harmony, and the textural and harmonic contrasts between the first and the second themes help to establish the sense of two distinct themes. Nevertheless, the first theme still stands on shaky ground, because the claimed tonic, A major, is unstable from a conventional point of view, as discussed in Chapter 1. A question consequently arises: how does it qualify as a sonata first theme? By definition, a sonata first theme carries the burden of establishing the tonic, usually by a PAC, which is absent here. A major is only vaguely suggested at the openings of the statements,[54] and the rest of the theme merely alludes to the tonic with closely related harmonies such as E major rather than confirming it. The harmonic logic established here

52 William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press), passim.
53 Hepokoski and Darcy, *Elements of Sonata*, 77–80.
54 For an account of tonic-establishing rhetoric, see Harrison, *Harmonic Function*, 75–90. In this case, the tonic rhetoric is weak because only Harrison's Technique 2 ('Tonic begins compositional sections', see 79–80) applies to the music in question.

is essentially different from the Classical paradigm. It becomes clear that a new theoretical model is required to account for the harmonic logic in the first theme, on which Korstevdt remarks:

> Here [in the Sixth Symphony] Bruckner created an underlying dynamic of dissonance and resolution based not so much on the classical scheme of key relations as on a unique fusion of thematic and tonal processes. In short, the first statement of the primary theme exposes not a stable tonic key area, but a dissonant tonal complex, and in the course of the movement this dissonance is incrementally resolved. [55]

Crucial in this statement is that, instead of a single tonic, Korstvedt proposes the concept of 'tonal complex' to explain Bruckner's harmonic logic. I will demonstrate, however, that while the first theme may seem 'dissonant' in a traditional sense, it is perfectly organized as a harmonic system that would better be described as 'dynamic' or 'organic'. He also outlines a large scale V–I resolution between the prominent C♯ in the first theme and the F♯ (submediant of the alluded tonic) in the recapitulation of the second theme. For Korstvedt, this V–I relationship can partly establish A major, since '[the] blending of tonic and submediant is typical of late nineteenth-century harmony', [56] which is doubtlessly buttressed by the closely connected A and F♯ iterations of the *Hauptthema* at the beginning of the coda in the first movement.

Seeking to account for both the diatonic and non-diatonic harmonies and harmonic-formal interactions in the Finale of Bruckner's Seventh Symphony, Horton develops a concept of 'orbital tonality', which blends Korstvedt's dissonant tonal complex and Richard Cohn's hexatonic systems.[57] Illuminated by the writings of Robert Bailey, Christopher Lewis, Deborah Stein, Matthew Bribitzer-Stull, and Matthew

55 Korstvedt, 'Harmonic Daring', 188.
56 Ibid, 188–99.
57 For discussions of hexatonic systems, see Richard Cohn, 'Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions', *Music Analysis* 15 (1996): 16–20.

BaileyShea,[58] Horton's 'orbital tonality' neither maintains 'the monotonal notion of a unifying, hierarchically privileged key' nor resembles what Bailey construed in the Prelude to *Tristan und Isolde* a 'double-tonic complex'.[59] According to Horton, in the Finale of the Seventh Symphony, Bruckner manipulates a complex of tonalities by '[dispersing] the foreground across [three] tonal orbits' rather than securing a surface-level, manifestly stable tonic, and the harmonic entities within a specific musical space are intimately connected to the orbital centre in the neo-Riemannian sense of distance: they dwell in proximity on a transformed version of the *Tonnetz*. 'Properly speaking, not a system, but a "hyper-system",' Horton's orbital model enharmonically unifies all the twenty-four major and minor triads within three inter-connecting 'harmonic fields', 'none of which is privileged'.[60] It is worth noting that although the model itself is not biased toward any orbit, in actual music, the orbits can receive different emphasis through dynamics, texture, orchestration and relative length of relevant harmonies.

Horton's orbital tonality can and should contribute to the analysis of the Sixth Symphony, which inspired Korstevdt's concept of dissonant tonal complex in the first place. As will become clear, in the Sixth Symphony, orbital tonality is not yet fully-fledged to the extent that spans an entire movement like in Horton's example. It is, nevertheless, clearly embodied in the first theme of the first movement, and it also

58 Robert Bailey, 'An Analytical Study of the Sketches and Drafts', in Robert Bailey (ed.), *Wagner: Prelude and Transfiguration from 'Tristan und Isolde'* (New York: Norton, 1985), 113–48; Christopher Lewis, *Tonal Coherence in Mahler's Ninth Symphony*, Ph.D. diss., Eastman School of Music (Ann Arbor: UMI Press, 1984); Lewis, 'Mirrors and Metaphors: Reflections on Schoenberg and Ninettenth-Century Tonality', *19th-Century Music* 11/i (1987): 26–42; Lewis, 'The Mind's Chronology: Narrative Time and Harmonic Disruption in Postromantic Music', in *The Second Practice of Nineteenth-Century Tonality*, 114–49; Deborah Stein, *Hugo Wolf's 'Lieder' and Extensions of Tonality*, Ph.D. diss., Yale University (Ann Arbor: UMI Press, 1985); Matthew Bribtzer-Stull, 'The End of *Die Feen* and Wagner's Beginnings: Multiple Approaches to an Early Example of Double-Tonic Complex, Associative Theme and Wagnerian Form', *Music Analysis* 25/iii (2006): 315–40; Bribtzer-Stull, 'The A♭-C-E Complex: The Origin and Function of Chromatic Major-Third Collections in Nineteenth-Century Music', *Music Theory Spectrum* 28/ii (2006): 167–90 and Matthew BaileyShea, 'The Hexatonic and the Double Tonic: Wolf's "Christmas Rose"', *Journal of Music Theory* 51/ii (2007): 187–210. The above sources are quoted in Horton, 'Orbital Harmony', 278–82.

59 Horton, 'Orbital Harmony', 278–282.

60 Ibid, 280.

anticipates the hexatonicism in the rest of the Symphony, especially in the Finale, because hexatonicism is inherent in the orbital model.

C-	G-	D-	A-	E-	B-	F♯-	C♯-	G♯-	E♭-	B♭-	F-	C-
E♭+	B♭+	F+	C+	G+	D+	A+	E+	B+	G♭+	D♭+	A♭+	E♭+
E♭-	B♭-	F-	C-	G-	D-	A-	E-	B-	F♯-	C♯-	G♯-	E♭-
G♭+	D♭+	A♭+	E♭+	B♭+	F+	C+	G+	D+	A+	E+	B+	G♭+

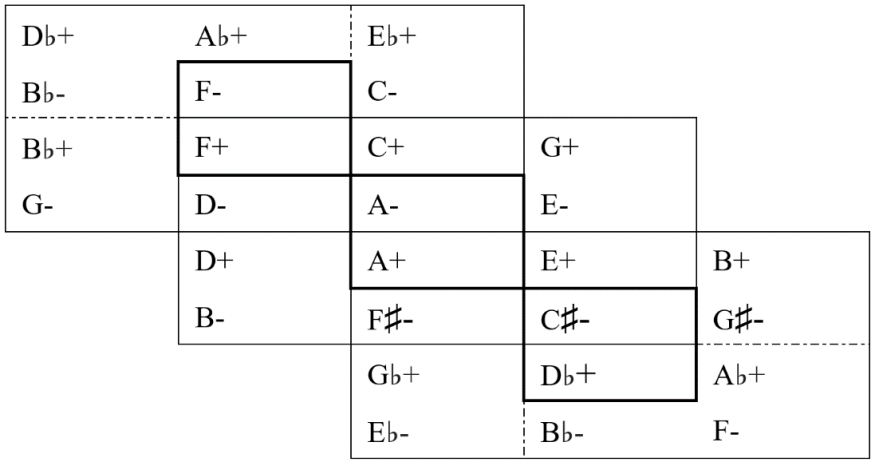
Example 3: A-F-C♯ Orbits

Adapting Horton's tabular representation of the orbits[61] and adjusting it to fit the context of Bruckner's Sixth result in Example 3, with which the harmonic progressions in the first twenty-four bars can easily be clarified. The harmonies in the antecedent all fall into the A-orbit except for the diatonically behaving applied dominant sevenths in bb. 11–14 and b. 18. Starting from the implied C♯ minor, the music traverses E major, G major, F major and D minor before it steps out from this anti-clockwise pattern of motion and concludes on E dominant seventh in second inversion. On the one hand, these harmonies articulate *around* the A-orbit, compensating for the dearth of satisfactory cadences to confirm the tonic for the theme and the entire Symphony. On the other hand, bb. 9–11 and bb. 17–20 touch the other two orbits of the F-A-C♯ system, namely C♯ and F, respectively, for that they contain the shared triads (C♯ minor and F major) with the other two orbits.

The above analysis seems reasonable, yet it is prone to being destabilised by alternative viewpoints because those shared triads can be problematic. For instance, one can question the above reasoning because A major, C♯ minor, and E major are not only present in the A-orbit but also the C♯-orbit: how can we determine whether they revolve around the A-orbit or the C♯-orbit? This is a crucial question because if we consider the three harmonies to represent the C♯-orbit, Bruckner's first theme might as well be in C♯:

61 Ibid, 282.

the whole analysis of the Symphony will be challenged. According to Horton, the orbital system itself is not biased toward any one of the three orbits. In other words, to say that A major, C♯ minor, and E major represent not the A-orbit but the C♯-orbit is also reasonable. Bruckner's theme, however, does sound like it is somehow *in* A major, or at least, *around* A major. Is there any underlying relationship that can tilt the scale?



Example 4: Overlapping Orbits of the A-F-C♯ System

To solve this problem, I invoke another planar presentation of the orbital system in Example 4, which is adapted from Horton's Figure 2.[62] Bold squares indicate orbit centres and dotted lines include the shared harmonies between the F-orbit and the C♯-orbit (D♭+, A♭+, B♭- and F-), which can be folded to overlap at both corners of the table, namely the top-left and the bottom-right. Notice how each orbit connects with another: for the twelve triads within a given orbit, four are exclusive to the orbit, and eight, including both the major and minor orbital centres, are shared with the other two orbits, four triads each. A major, C♯ minor, and E major are among the four triads that connect the A-orbit and the C♯-orbit. Even on this version of the table, we cannot easily allocate the three triads to one orbit since the competing orbits claim equal governance of the three harmonies.

62 Ibid.

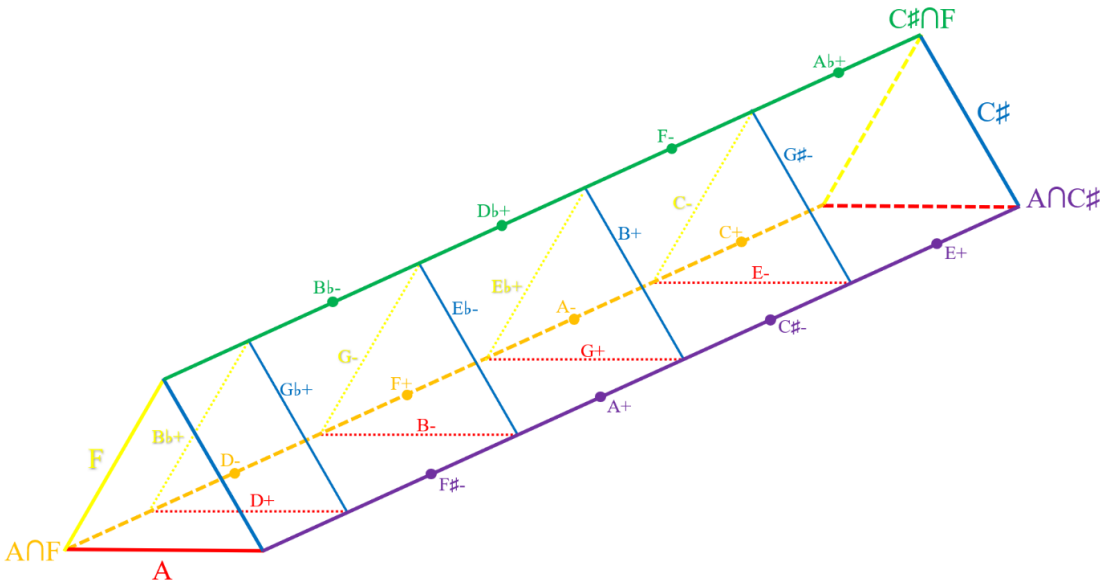
Further examining the qualities of the triads solves the problem. For any given orbital system, the twenty-four triads are equally divided into two sets: the ones that are shared between orbits and the ones that are exclusively controlled by one orbit. Since there is a total of three orbits, for any given triad, there is only one of six possible categories to which it can belong: three categories of shared triads between orbits and three categories of exclusive triads. Each orbit, therefore, claims two categories of shared triads and one category of its exclusive triads. These categories equally divide all the twenty-four major and minor triads into groups of four, each containing two major triads and two minor triads, which are two pairs of relatives a fifth apart. They are all related by **R** and **L** transformations: for instance, the exclusive triads of the A-orbit, namely D major, B minor, G major, and E minor are related as follows: [D+]–[B-] (**R**), [B-]–[G+] (**L**) and [G+]–[E-] (**R**). The two kinds of transformations result from the fundamental *Tonnetz* organization of these triads, and they reveal the diatonic-hexatonic dual nature of the orbital system. As Example 4 shows, for each orbit, the two triads at the top-right and the two at the bottom-left are exclusive, and all the rest are shared. As an alternative to the traditional tonic-defining procedures such as PACs, these exclusive triads take over the important role of determining the orbit to which its surrounding shared harmonies belong.

Geometrical representations of the orbital system prove to be even more effective. I imagine the three orbits as the edges of an equilateral triangle, in which the edges represent the exclusive triads, and the vertices where the edges intersect represent the shared triads. Adding the dimension of time into the triangle results in a triangular prism, which acquires its ultimate strength if appropriate colours are applied. Echoing the characteristics of the orbital system, I take the three basic colours (Red, Yellow, and Blue) and the three mixed colours thereof (Orange, Purple, and Green) to denote the exclusive and shared triads, respectively.[63] The result is shown in Example 5. To further distinguish

63 For legibility reasons, yellow characters are shadowed.

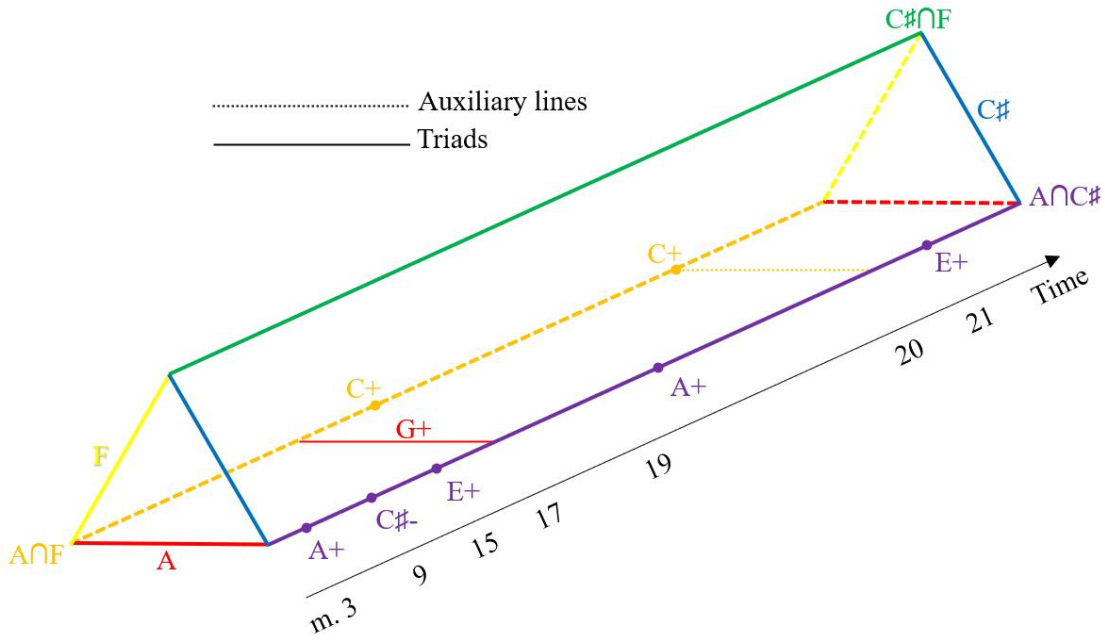
the exclusive and the shared triads on the basis that they are already differentiated by their position on the planes or the edges, I use line segments perpendicular to the long edges[64] to denote the exclusive triads whereas I use dots on the three long edges to denote the shared triads. Borrowing from set theory in mathematics, the edges are denoted by the intersection symbol (∩), for they contain the shared triads.

The main function of the orbital prism is to demonstrate the distribution of harmonies across the orbits. Owing to its geometric qualities, the distribution can be more effectively shown than in the tables. As Example 6 shows (auxiliary lines are used for showing the order of triads located on the back of the prism), although the harmonies in bb. 3–24 are not all exclusive triads of the A-orbit, they are controlled by the A-orbit since all the harmonies shared with the other two orbits fall onto the A-orbit plane, which is reinforced by one exclusive triad, the G major in b. 18. This is how Bruckner secures A major as the tonic without traditional devices such as PACs.

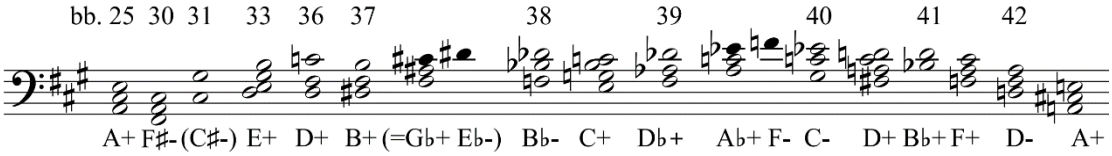


Example 5: Prismatic Representation of the A-F-C♯ System

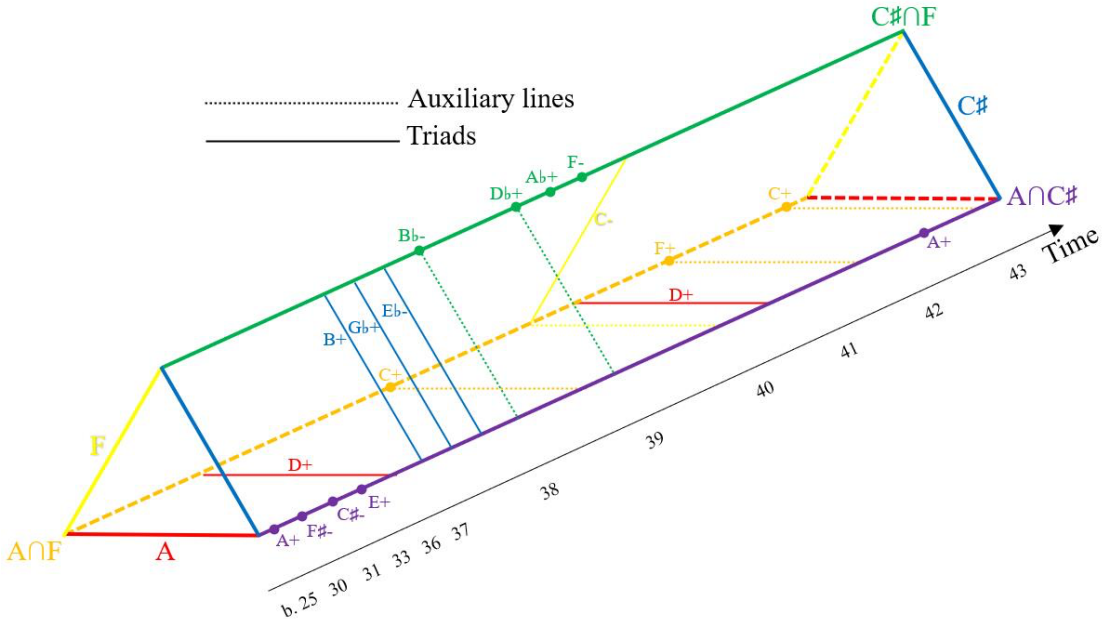
64 Those at the back will be dotted as appropriate for a 3-D model.



Example 6: Bruckner 6/I, bb. 3–24, Prismatic Representation



Example 7: Bruckner 6/I, bb. 25–48, Harmonic Reduction



Example 8: Bruckner 6/I, bb. 25–48, Prismatic Representation

The complex harmonic reduction of the second statement (bb. 25–48) in Example 7 is translated into Example 8: the harmonies in bb. 25–36 correspond to the opening of the first statement and revolve around the A-orbit; the accelerated harmonies in bb. 37–38 fall into the C♯-orbit and swerve to the F-orbit in its last two triads, B♭ minor and C major. Bruckner then transposes the relationships in bb. 37–38 to produce bb. 39–40, which articulate the F-orbit and then proceed back into the A-orbit. The last four harmonies fall onto the A-orbit plane to secure the tonic status of A major in a delicate balance.[65] Hinting at the larger-scale hexatonicism of the Sixth Symphony, the second statement rounds off the first theme by projecting all the three orbits, with particular emphasis on the A-orbit. Notice that while both statements articulate A major as the tonic in an orbital way, the first statement is more stable than the second, as all its harmonies fall on the A-orbit plane while the harmonies in the second statement are dispersed on three orbits. This difference will be discussed later in connection with the deformations at the transition between the first and the second themes.

2.2 The Second Theme: Plagal Complex

Bruckner's themes are often referred to as self-contained, and it is usually the thematic individuality of the themes that gives such an impression. While the second theme in the first movement also distinguishes itself from the first theme through its distinctive rhythmic figures, orchestration and dynamics, the underlying harmonic structure is indeed the most decisive force that grants the theme individuality and differentiates it from the first theme. The second theme is undergirded by what I call a 'Plagal Complex', another

65 Notice that four harmonies are excised from the prisms, two each: the D minor in b. 19 and the F major in b. 20 from Example 6; the B♭ major (lacking a fifth) in b. 41 and the D minor in b. 42 from Example 8. The removed harmonies are what I call 'applied subdominants' which function not unlike that of the applied dominants, and a more systematic discussion of this issue can be found in Chapter 4.

type of harmonic complex that does not adhere to one straightforward tonic. To understand the second theme's harmony, it is necessary to demarcate it into several episodes, as its form is complicated by the paratactic interpolation of sub-themes and even transitions.

bb.	49–52	53–56	57–60	61–68	69–72	73–80	81–93
Thematic Content	ST 1	ST 2	ST 1	ST 2	ST 3	RT	ST 1 + TR
Harmonic Content	A minor E minor	F♯ major	A minor E minor	D♭ major	D major F major		E major

Example 9: Bruckner 6/I, Formal Structure of the second theme in the Exposition

Above is a table of the intrathematic formal structure of the second theme in the exposition. The second theme comprises three sub-themes distinctive in orchestration, thematic association and harmony which I refer to as ST 1, ST 2 and ST 3. Without a doubt, ST 1 is the main sub-theme of the second theme, and it has three iterations with different dynamics: the first two, bb. 49–52 and bb. 57–60 are soft and the last iteration, bb. 81–87 is much stronger. ST 2 comes in two iterations in bb. 53–56 and bb. 61–68 whereas ST 3 appears only once. An intrathematic transition in bb. 73–80 bridges ST 3 and the last iteration of ST 1. The sub-themes are highly individualized and somewhat self-contained just like the second theme: even the retransition (RT) in bb.73–80 is distinctive from the rest of the second theme. Thus, the demarcations are made based on the thematic contrasts between each sub-theme and are supported by the repetitions of ST 1 and ST 2. The repetitions of ST 1 and ST 2 are shaded blue and green respectively to assist the reader, as the following harmonic analysis relies on the association between each thematic iteration.

The idea of plagal complex was inspired by the concept of tonal complex, and I use this term to describe specifically ST 1 and ST 2. Starting from Simpson, scholars have

designated E minor to be the key of the second theme as a whole; this is still the case in the most recent major publication on Bruckner, Carragan's *Red Book*.[66] This designation is problematic in at least three ways: first, it ignores the complicated inner form of the second theme, whose sub-themes cannot be unified under E minor. For example, the two iterations of ST 2 are in F♯ and D♭ major, respectively; both tonalities are remote from E minor. Second, the first two iterations of ST 1, the closest to anything in E minor, does not contain PACs to secure E minor: a problem similar to that of the first theme. Third, ST 1 undergoes a crucial transformation in its third iteration where it becomes more in E major rather than in E minor, and the strength of this final iteration overwhelms that of the first two iterations. To be brief, a straightforward designation of E minor cannot capture the harmonic gist of the second theme, but a harmonic complex might be able to.

The episodic nature of the second theme suggests that the harmonic analysis should treat each sub-theme and the transition separately, and I will start with the first two iterations of ST 1. Moderate variations aside, the second iteration is indeed a repetition of the first. Presumably, the first violin's melody in bb. 49–50 and the B major seventh harmony formed in the middle of b. 51 and the E minor harmony that immediately ensues are the main reasons that previous scholars designated E minor to the second theme. The first element, namely the F♯ in the first violin, is a member of the E minor scale collection and is part of both an E–G and E–B melodic ascends that outline E minor. The dominant seventh progressing into the E minor, despite both in inversions, provide a limited sense of the tonality of E minor. Both elements are rather weak, nevertheless: the F♯ is immediately challenged by the F♮ in the second violin in b. 52, and the B–E progression only happens on the weak beats within a sequential passage, namely a chain of suspensions in bb. 51–52, not to mention that both sonorities are inverted and the bass

66 Carragan *Red Book*, 196.

does not contain a V–I. Like many other cases in the Sixth Symphony, especially in the Finale, such contained, inverted and weakly articulated dominant-to-tonic progressions do not have the power to establish the tonic. Another detail in the second iteration of ST 1 provides limited support to the tonality of E minor: in bb. 57–58 the oboe plays an additional D♯–E standard leading tone progression compared to the first iteration of ST 1. Still, this gesture is weak and ephemeral, and the note E does not form a complete sonority of E minor with the rest of the orchestra: at its immediate presence, the strings all play E and the missing G only appears in the next beat when the bass is already altered into C.

While E minor is not secured, leaving the tonal space open for possible competitors, the forces of A minor (and, of course, its relative, C major) can be discerned in the first two iterations of ST 1. The main source for A minor is in the bassline: notice how, counter the E–G and E–B in the first violin, the bassline in b. 49 delineates a falling fifth, E–A with the Phrygian leading tone (enharmonically) of A and the standard leading tone progression G♯–A from the end of b. 50 to the beginning of b. 51. Rhythmically, unlike the weak D♯–E in the oboe, the G♯–A in the bass also supports a dominant–tonic progression, albeit not a cadence, for the dominant of A minor is in first inversion and a seventh is attached to the A minor that immediately follows. Compared to the circumstances for E minor, however, this stronger progression allows A minor to appear at the downbeat of b. 51 whereas E minor never appears at comparable spots of rhythmic significance. In terms of hypermeter, the A minor falls on the third beat (bar) of the quadruple hypermeter, thus also receiving additional emphasis. Therefore, I contend that it is more reasonable to call the first two iterations of ST 1 ‘A minor–E minor Plagal Complexes’ instead of simply E minor because they simultaneously contain elements of both tonalities and neither is secured by a PAC. Without the determining progression,

they are in an ambiguous state, in which the forces of the two tonalities rival and mingle with each other; the concept of 'Plagal Complex' is suitable for describing this interplay.

The dynamic state of these two iterations is another example of Kostvedt's general idea of tonal complex at a more local level, whose resolution happens only in the last iteration of ST 1. The term 'Plagal Complex' is not a result of randomly choosing plagal over dominant for the interval of fifth between A minor and E minor. Rather, I employ 'Plagal Complex' because Bruckner offers an unequivocal solution to the complex in the last iteration of ST 1 where he assertively favours the tonality of E, this time transformed into E major. Not only does he summon the whole orchestra for this iteration but he also enhances the dynamics into a *forte* and added several layers of melody and textures to reinforce this climax of the entire second theme. In addition to the melodic lines that feature pitches of the E major scale, the sonority of E major is finally able to occupy two downbeats uninterrupted in bb. 81–82; the first of them is also a hypermetrical downbeat. Therefore, despite once more lacking a PAC, a tonic is secure to mark the last iteration of ST 1 in E major. The dynamic A minor–E minor complex find a resolution that favours E over A, hence 'Plagal Complex' instead of 'Dominant Complex'. This is also an example of the versatility (or weakness) of plagal progressions: while dominant progressions require both the standard leading tone and the falling fifth in the bass, the plagal progression does not require a leading tone. Therefore, unlike dominant progressions that require the dominant to be a major chord, plagal progressions do not dictate the quality of the participating harmonies, and it is this quality that allows Bruckner to combine Phrygian and plagal forces.

Frequently we tend to find meaningful relationships between adjacent thematic zones, but in the second theme one will be surprised by the shift of emphasis onto the relationship between the iterations of the sub-themes: the two iterations of the contrasting ST 2 also form a plagal complex, although they are more static compared to the dynamic

ST 1: The first iteration of ST 2 in bb. 53–56 contains two sonorities, F♯ major and its minor alternative, and the second iteration in bb. 61–68 contains only one sonority of D♭ major. Despite the unresolved sevenths in both iterations, there is minimum harmonic activity in ST 2 apart from the oscillation between inversions of F♯ in the first iteration. Enharmonically, the association between ST 2's iterations is plagal: the iterations of ST 1 and ST 2 interpolate into each other that the truly meaningful relationship will only become visible if we associate iterations of the same theme: the three iterations of ST 1 form a dynamic process of resolving a plagal complex and the two iterations of ST 2 constitute a plagal relationship as well.

It becomes clear that the second theme is centred around ST 1, which has been regarded as the second theme per se in many previous works. It is the most extensive and powerful sub-theme among the three and its iterations frame the rest of the second theme, which, as I have shown, are interpolations into the iterations of ST 1. Furthermore, the form-within-form and the gesture of ST 1's apotheosis anticipate the more fundamental process of the restoration of the *Hauptthema* throughout the entire Sixth Symphony, which grants further significance to ST 1. Therefore, despite the inner complications, I suggest that it is more reasonable to designate E major to the second theme as a whole, since E major is the tonality of the local apotheosis of ST 1, and it is hierarchically superior to the rest of the episodes in the second theme. This designation will become the basis of my following discussion on the paratactic sonata form in the first movement.

2.3 Deformations and Paratactic Sonata Form in the First Movement

As the crux of the Symphony, the first theme has been clarified. First, the harmonies in its first statement revolve around the tonic, A major, albeit in an unconventional way. The orbital system is a representative example where Bruckner bridges tonality and atonality;

despite that the tonic is established less securely compared to the traditional methods, the orbital system makes it possible to supply much more harmonic colours while maintaining the integrity of the tonal system. Still, the listener expects the tonic to be confirmed more decisively due to the discrepancy between the thematic and harmonic structures of the first theme. As a symphonic first theme with a highly conventional formal design, its unstable melodic and harmonic activities clash with the Classical paradigm in which the first theme should be clear and stable in securing the tonic.

Second, the *Hauptthema* generates the motivic seeds for the overarching cyclical form in the outer movements. Rhythmically, the *Hauptthema* contains a triplet figure (b. 4) and a dotted figure (b. 5) and its accompaniment played by the upper strings provides the transformed 'Bruckner rhythm'; all will be extensively used across the entire Symphony to provide thematic coherence, as discussed in Chapter 1. Melodically, aside from the apparent Phrygian elements, there is a pair of intervallic elements worthy of special attention. The first statement of the *Hauptthema* (bb. 3–6) ends with an F approaching the E from above (bb. 5–6), while the second statement (bb. 9–12) ends with A♯ to B from below (bb. 11–12). The two opposite leading-tone gestures subtly indicate the conflict between Phrygian and diatonic modes: the first represents the Phrygian, whereas the second, the diatonic. A similar pair of gestures can be found in the fragmentation process of the *Hauptthema* in bb. 15–18, where the endings of the two-bar phrases are F♯–E and A♭–G, respectively. Simpson suggests that the latter in b. 18 can resolve into F minor, yet the overall orbital relationship seems to suggest the otherwise, as F major, not F minor, is potentially a member of the A-orbit (see Example 4 and 5). F major realizes its potential in the Adagio where it is secured by a PAC (which is rare in the Sixth Symphony). Since the harmonies that support the two gestures are E major and C major (with seventh), respectively, it is more reasonable to consider the A♭ a Phrygian inflection contrasting with the F♯–E diatonic gesture in a similar manner to that in the

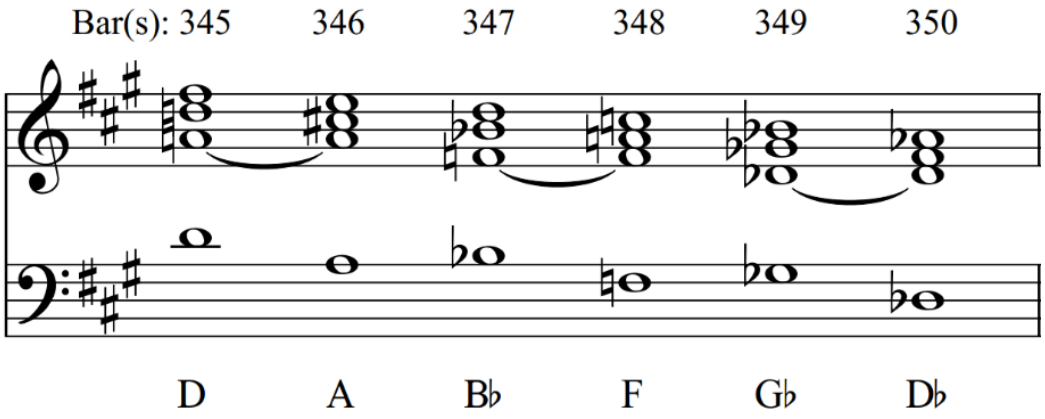
two statements of the *Hauptthema*. The diatonic and Phrygian leading tone gestures will reappear in the Finale with higher density to represent the conflict between the diatonic and the Phrygian modes.

Harmonically, within the *Hauptthema*, the implied D minor, which emerges from the affinity between A Phrygian and D natural minor scales, supplies another motive: the plagal relationship to the alluded tonic, A major. In between the statements of the *Hauptthema*, the very distance of a major third (A–C♯) lays the foundation for the prevailing hexatonicism in the Symphony. Last but not least, the consequent phrase of the first theme outlines once more the overall hexatonic logic by dispersing the harmonies across the three orbits while still maintains the central status of the A-orbit by opening and closing in it. Although the first theme does not control the other themes by diatonic relationships, it contains the rhythmic, intervallic and harmonic motives that are the source of the cyclical form in the outer movements, as it assigns two tasks to the following music: one, to purge the *Hauptthema* of Phrygian influence; and the other, to secure the *Hauptthema*, and ultimately the Symphony, in A major. In this respect, it is appropriate to even call it the 'primary theme' of the Sixth Symphony.

The rest of the first movement, of course, does not complete these two tasks. The progression closest to a PAC in A major, or more specifically, a standing-on-V resolving to I in the first movement (bb. 305–308) does not confirm the tonic but rather indecisively introduces with a *diminuendo,* the coda, which has invoked much discussion, most notably the neo-Riemannian analysis conducted by Ramirez.[67] Its sheer length (61 bars, roughly a sixth of the length of the first movement) is hard to ignore, but its harmonic progressions are even more intriguing. Two apparent diatonic relationships merit special attention. First, as stated earlier, the proximity of A major in bb. 309–312 and its

67 Ramirez, 'Chromatic Third Relations in Bruckner', 162–69.

submediant, F♯ minor in bb. 313–316 corroborates Korstvedt's statement that the remote V–I relationship formed by C♯ at the beginning of the Symphony and F♯ at the recapitulation of the second theme obliquely confirms the tonic.



Example 10: Bruckner 6/I, bb. 345–350, Harmonic Reduction

The other significant diatonic relationships are the permeating plagal progressions in the coda, as noticed by Ramirez. Plagal progressions not only accompany hexatonic progressions, for instance, in bb. 345–352 (see Example 10; bb. 351–352 are omitted since they are an enharmonic reprise of bb. 349–350), but also conclude the movement. Ramirez, rather strangely, understands the progressions in Example 10 as an interlocking chain of 'interrupted [cadences] involving modal mixture, i.e., I–V–♭VI…whereby ♭VI is reinterpreted as I in the next iteration'.[68] Another interpretation is perhaps more coherent within the overall context: every two bars form a plagal pair, and each pair is a major third away from another. This reading not only highlights the plagal progressions but also reveals the fundamental harmonic plot of the Sixth Symphony when the concept of 'applied subdominant' is formulated in the same way as applied dominant: if we regard the D, B♭, and G♭ as 'applied subdominants' to A, F, and D♭, the Eastern hexatonic system, which is fundamental to the Sixth and its orbital system, emerges from this progression.

68 Ibid, 164–66.

The voice leading of the second violin (denoted by sustained notes in Example 9) also bolsters this hexatonic reading.

What is more convincing is that the concluding progression in the coda, a large-scale plagal cadence from D to A, encompassed D minor *en route*. These plagal progressions substantiate Kurth's reading of the underlying D minor harmony in the context of A major. In addition, with the concept of applied subdominant in mind, we can better understand the function of the B♭ major and its subsequent harmonies at the end of the first theme. On the one hand, B♭ major and D minor are attached to F major and A major, on which Bruckner also put additional emphasis by allocating longer-valued notes to them. The F–A major third relationship critical for the orbital system and hexatonicism comes under notice when B♭ major and D minor become some kind of applied 'prefixes'. If the B♭ major was omitted, the security of the A-orbit would be further enhanced (Example 6). On the other hand, the early presence of D minor as the 'applied subdominant' to A major adds even more strength to Kurth's reading.

Nevertheless, the ending of the coda, notwithstanding its grandiosity, fails to fulfil the thematic-harmonic tasks of the *Hauptthema*. From the very beginning, it is expected that the *Hauptthema* will be transformed into a stable version, which is free from Phrygian inflections and underpinned by the tonic A major. The gigantic plagal cadence, however, presents the *Hauptthema* with influence from D minor/D major (again!) in bb. 362, 364, and 365–367. The plagal cadence is indecisive as a tonality-securing progression, let alone serving at the very end of a symphonic work. What further exacerbates the situation is that the recapitulation, which is part of the sonata space as defined by Hepokoski and Darcy, had already failed to transform the first theme.[69] This failure naturally leaves the burden of thematically and harmonically transforming the *Hauptthema* to the coda, a

69 For the concept of sonata space, see Hepokoski and Darcy, *Elements of Sonata*, 14–22.

parageneric space outside of the EST. When the coda failed yet again to transform the *Hauptthema*, the formal argument stretches out of the first movement.

These stretchings can be explicated by extending Darcy's concept of 'redemption paradigm', which is the process that 'rescues' a minor-mode first theme with a second theme and is 'often postponed until the Finale [if] the first movement "fails" to deliver the promised redemption'.[70] The first movement sets up the fundamentals of the cyclical form by starting with a first theme filled with musical conflicts and by concluding without resolving these conflicts. As Dermot Gault notes, the inner movements of Bruckner's Sixth continue to demonstrate the principle of 'tonic deferral' since 'the home key [of the Adagio] is only confirmed with the second group recapitulation' and A minor, the tonic of the Scherzo, is never confirmed.[71] As a result, the burden of confirming the tonic and resolving the motivic-modal-tonal conflicts fall on the Finale, which is the subject of the following section.

While the first theme's function for the entire Symphony has become clear, its status for the first movement requires further exploration. I would like to return to Korstvedt's penetrating statement that Bruckner created a 'unique fusion of tonal and thematic processes'[72] in the Sixth Symphony. The first theme, both in the exposition and the recapitulation, is a representative example, where the tonal process lyrically transforms the thematic structure. As noted earlier, in the exposition, the first theme's thematic structure largely corresponds with what Hepokoski and Darcy call a 'grand period'. In many cases, the second part of the grand period, namely the consequent, functions not as part of the first theme but as the transition to the second theme. On the first glimpse, we might consider Bruckner's consequent a transition as well, for it exhibits

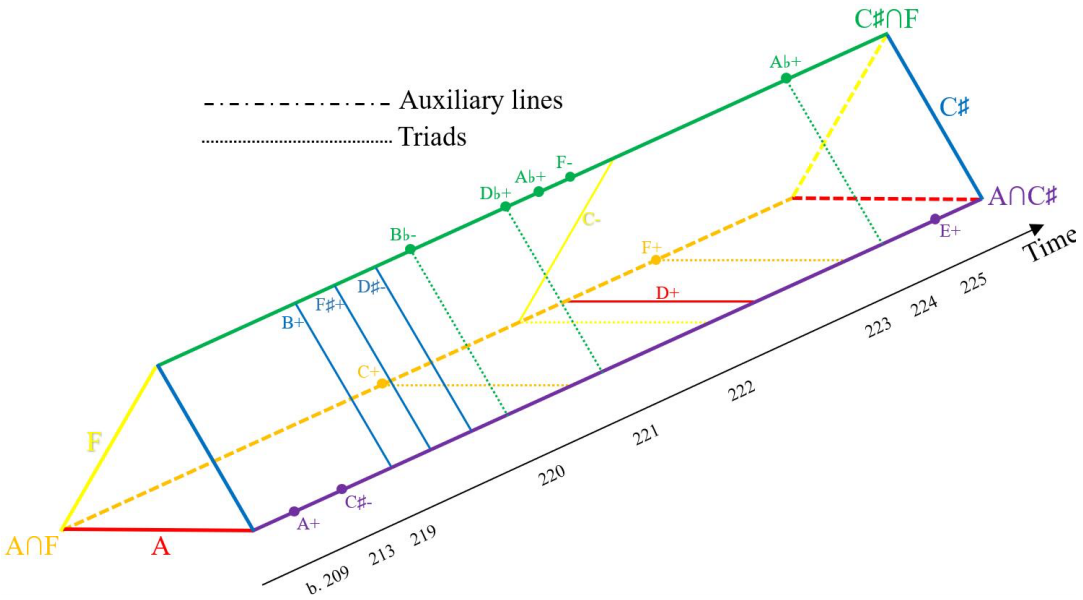
70 Warren Darcy, 'Bruckner's Sonata Deformations', 259.
71 Dermot Gault, *The New Bruckner: Compositional Development and the Dynamics of Revision* (Abingdon and New York: Routledge, 2016), 106.
72 Korstvedt, 'Harmonic Daring,' 188.

all the characteristics of a transitional consequent: starting from b. 37, the bass melody from the antecedent is taken over by the upper voices and the harmonic rhythm is significantly accelerated (two to three harmonies per bar in bb. 37–40 compared to one harmony for every two bars in bb. 15–18); an obvious process of fragmentation and liquidation ensues into the tiny two-bar bridge in bb. 47–48 that dissipates into the second theme. All these processes, according to Hepokoski and Darcy, can be used to destabilise the tonic and the first theme it supports to open up space for a secondary tonality and the second theme.

In a traditional sense, the tonal process in bb. 37–48 also destabilises the first theme. After a fleeting string of harmonies, and, of course, no PACs in A major, the consequent lingers on a C major dominant seventh that is remote to A major. The tonal space is as open as it can be, and therefore the transitional function of the consequent seems beyond question. However, it is exactly the delicate orbital setting of the harmonies that belies the transitional function exhibited thematically, because, as discussed above, the last several harmonies of the consequent fall on the A-orbit plane despite their apparent remoteness to the tonic A major. This tonal process is critical to the thematic structure, as it reveals that the true transition between the first and the second themes is the tiny bridge in bb. 47–48. Notice how Bruckner manipulates this transition to imply hexatonicism once more: effectively containing the shared pitches between the C major dominant seventh and the E minor (as part of the A–E Plagal complex), namely E and G, the transition is an embodiment of the ***L****eittonwechsel* transformation between the two harmonies it connects.

More importantly, the interaction between the orbital tonality and the grand period thematic structure ‘seals off’ the first theme zone, making it indeed like a normal period that tends to be self-contained. Reflecting on the sonata process in the first movement, this means that the connection between the first and the second theme is abrupt and weak.

Unlike more traditional sonata forms where the first and the second themes are hierarchically associated through the tonic-dominant relationship, Bruckner's two block-like thematic zones are rather placed next to each other with minimal interference between each other. This transitional gesture naturally reminds one of Schubert, especially the last two symphonies: I shall return to this issue in Chapter 4.



Example 11: Bruckner 6/I, bb. 209–229, Prismatic Representation

To reveal a more profound impact on the sonata form in the first movement, it is necessary to examine the recapitulation and compare it to the exposition. We might believe that the recapitulation proper of the first theme begins on b. 195, as Bruckner designates 'Tempo wie anfangs' (Tempo as the beginning) to a restatement of the *Hauptthema* with the full orchestra and *fortissimo* in dynamics. However, as identified by Lai, this restatement is a false recapitulation because the tonality that supports it is E♭ major, which is as alien to A major as possible. A tritone away from A major, this tonality spans for ten bars and its minor subdominant (A♭ minor) is 'corrected' into E major dominant seventh in first inversion in bb. 205–207 through another ***L****eittonwechsel* transformation by converting A♭ into an enharmonic leading tone. The recapitulation

proper in b. 209 is marked *fortissisimo* to distinguish it from the false one. Henceforward the harmonic progression nearly copies that of the exposition until b. 224: the A major in the exposition is now replaced by A♭ major, so is its applied subdominant (D minor replaced by D♭ major). The implication of this one-semitone replacement can be clarified using the prismatic model: as seen in Example 11, in the exposition the last four harmonies secure the plane of A-orbit whereas the replacement of A♭ opens up the orbital space: in bb. 223–228, the three harmonies, namely F major, A♭ major and E major occupy the three edges of the orbital prism respectively.

This replacement, despite its delicacy, has a profound influence on the structure of the recapitulation. By reversing the order of the antecedent and the consequent in the recapitulation, Bruckner makes the consequent a proper transition into the second theme. Ensuing from a more energetic antecedent, this consequent carries the quiet dynamics similar to that of the antecedent in the exposition (bb. 3–24), therefore, it likewise represents a decline in power, thus conforming to the Classical expectation of a transition. Harmonically, however, its transitional function depends on the replacement made in the antecedent, for its opening A major (b. 229) risks being confirmed by the E dominant seventh (bb. 225–228) that immediately precedes. Thanks to the replacement made before the E dominant seventh, the A-orbit has already been destabilised when the A major arrives in b. 229. The quiet dynamics throughout and the inner conflicts in the *Hauptthema* also help to establish the transitional figure of the consequent.

The consequent phrase varies from the antecedent in the exposition as Bruckner abandoned the latter half while keeping the critically important A–C♯ major third relationship between the two statements of the *Hauptthema*. Short of the triplet and dotted figures, the statement in C♯ is transformed into a C♯ dominant ninth chord that is sustained for six bars leading into the second theme. This V–I progression, although not

a cadence, is significantly different from the ***L**eittonwechsel* transformation in the exposition: first, it is a diatonic progression, more precisely a standing-on-the-dominant progression that implies traditional tonal hierarchy; this is one of the spots at which the C♯ pitches and harmony in the opening of the first movement resolve into F♯, as Korstvedt discussed. Second, by connecting the two themes this way, Bruckner makes them much more closely related in the recapitulation compared to the exposition. In other words, the self-containment of the first and second themes and the ***L**eittonwechsel* connection distinguish the exposition from a traditional one, whereas the V–I progression and the openness of the consequent of the first theme in the recapitulation makes it closer to a traditional one. Moreover, the removal of the two salient motivic figures from the consequent corroborates its transitional status.

The change in the closeness between the two themes in the exposition and the recapitulation, defined by traditional tonal hierarchy, is perhaps the most important relationship in the sonata form of the first movement. Based on this relationship, I term the form of this movement 'paratactic sonata form'. In contrast with the hypotactic, or hierarchical 'norm' of the Classical sonata style, parataxis 'is frequently associated with lyric poetry'.[73] While Schubert's use of parataxis as a lyrical device often entail repetitive schemes in the syntactical level (e.g., symmetrical periods and repetitive variations),[74] Bruckner's use is elevated to a formal level. This term contrasts with the traditional sonata idiom: as discussed in Chapter 1, a conventional sonata form is dominated by the duality of the first theme and the tonic. The dynamic process of recapitulation entails that the second theme be 'corrected' or 'restored' into a tonic version, and the first theme and the tonic function as the anchor of the correction process. The traditional sonata form is, therefore, a hierarchical form because of the centricity of the thematic-tonal duality, as

73 Suyin Mak, *Schubert's Lyricism Reconsidered: Structure, Design and Rhetoric* (Saarbrücken: Lap Lambert Academic Publishing, 2010), 31.
74 Ibid, 33.

all the other procedures in the form need to take this central duality as the point of reference. Thematically, recapitulation is a process whereby the non-tonic materials gravitate towards the tonic.

	1st Theme	TR.	2nd Theme	3rd Theme
Expo.	A–Orbital Complex	PL	A-/E- ~ E+	C+ ~ D+

	1st Theme	(Consequent⇒)TR.	2nd Theme	3rd Theme
Recap.	A–Orbital Complex	V–I (C♯–F♯)	B-/F♯- ~ F♯+	D+ ~ E+

Example 12: Bruckner 6/I, Sonata Form Framework

In Bruckner's case, while the first theme and the orbital tonality that is associated with it still occupy a crucial spot in the form, they no longer control the correction process in the recapitulation as they would in a traditional sonata form. In the above analysis, I have established that the first theme in both the exposition and the recapitulation is controlled by the A–F–C♯ orbital system, with stress in the A orbit, and the second theme is transposed a major second higher from E major in the exposition to F♯ major in the recapitulation (see Example 12). Otherwise unfathomable, the major second interval between the two occurrences of the second theme results from Bruckner's central compositional idea in the Sixth Symphony: that is, to favour chromatic third relationships over fifths.

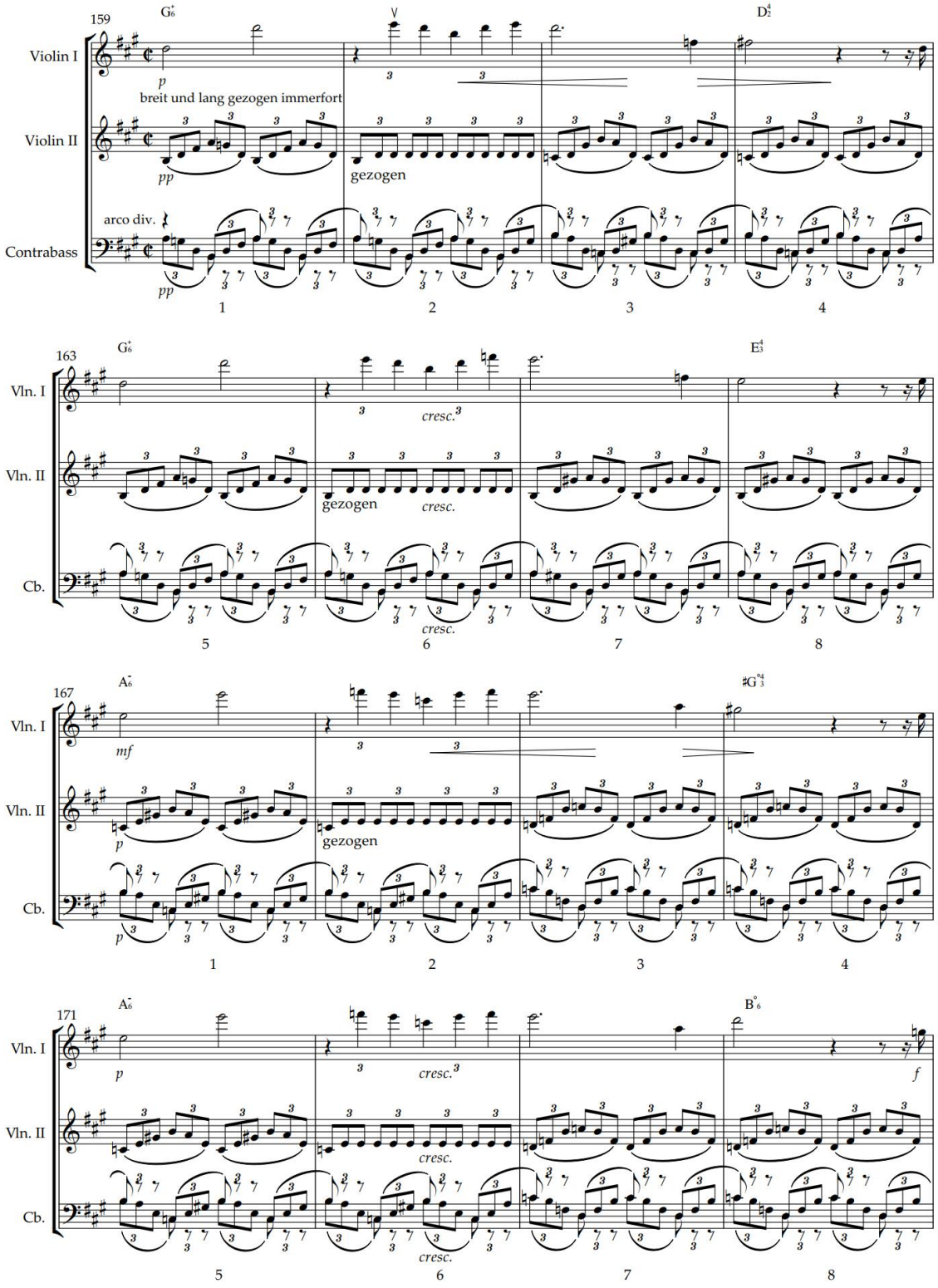
Unlike in the exposition where the second theme's interthematic tonality E major is hierarchically associated with the overall tonic A major, in the recapitulation, the place of correction, Bruckner further promoted the individuality of the second theme by transposing it a major second higher to F♯ major, which is a minor third away from the tonic: considering modal mixture, this tonality is the relative of the tonic, meaning that it claims a near-equal status with the tonic, and by extension, the first theme. Harmonically, in the antecedent phrase of the recapitulation, the replacement of A major with A♭ major

further weakens the first theme as such a process opens the tonal space both in a traditional sense and in orbital terms, thus permitting the consequent to transform into a transition leading into, or strengthening the second theme.

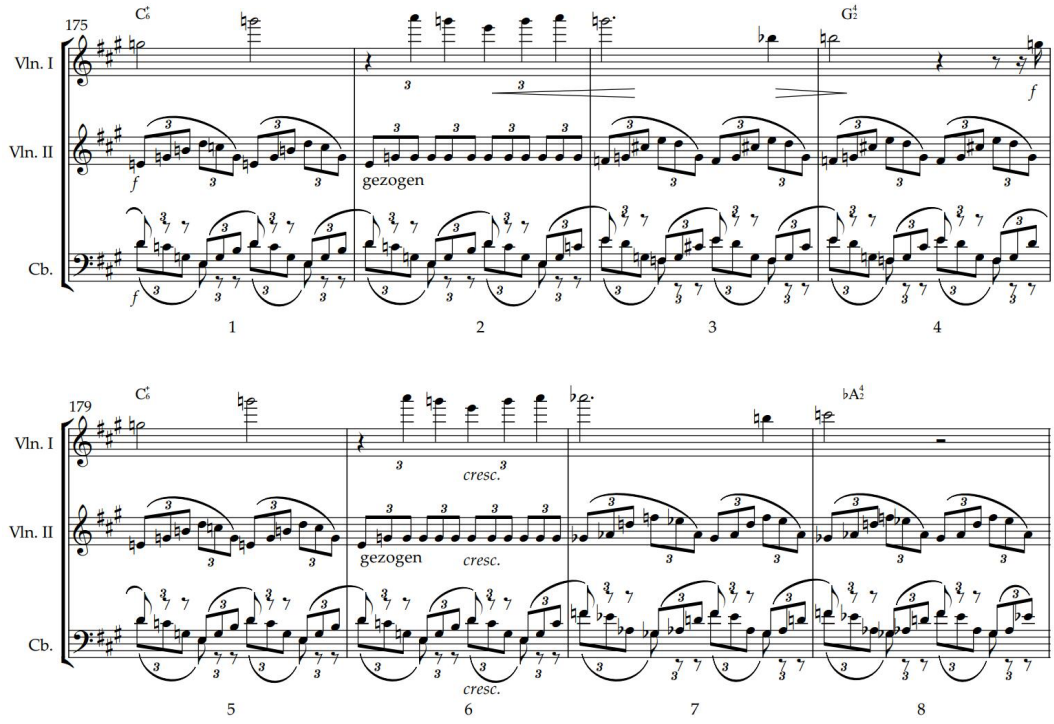
Bruckner's paratactic sonata form in the first movement is an organic setting that largely depends on the separation of the first and second themes, especially in the exposition, where the first theme is self-contained in the A–F–C♯ orbital complex and its connection to the second theme is a Schubertian single-voice **L** transformation, which is weak and remote. On top of that, the second theme is also a highly autonomous theme that has a harmonic complex distinctive from that of the first theme. To further promote its individuality, Bruckner incorporates an apotheosis process within the second theme, making it a diminutive anticipation of the apotheosis of the *Hauptthema* at the very end of the Sixth Symphony. With a considerably complicated intrathematic form, the second theme gains further individuality.

Another feature is at play in supporting Bruckner's paratactic sonata form. As mentioned earlier, throughout the Sixth Symphony, Bruckner favours chromatic thirds over fifths, and this is especially so with the tonic, A major, which never receives confirmation through a PAC in the entire Symphony. Three apparent exceptions exist in the third and the outer movements. The Scherzo, despite sounding in A minor, is highly unstable, because that the opening harmony presents the tonic in second inversion, not root position: another example of Bruckner's deliberate weakening of the tonality of A. In bb. 97–110, it seems that the Scherzo is finally able to establish the tonic in its parallel, A major through an E–A progression. A closer look, however, reveals that A major's preceding sonority is A minor in second inversion, mirroring the very beginning of the movement. In addition to the lack of the crucial leading tone G♯, notice that all the Bs are functioning as passing tones to A. In other words, this is but a self-correction from A minor to A major, not a confirmation through a PAC.

In the first movement, examples abound of Bruckner's limit on associating fifths with the tonic. To take the intrathematic transition from the second theme's ST 3 to ST 1 in the exposition (bb. 73–80) as an example: after Bruckner introduces A major (not vertically but horizontally through broken chords) in b. 73, the overall tonic, now contained in the second theme's own form and suppressed as part of a transition, does not last long before Bruckner turns it into a D♯ diminished seventh in second inversion in b. 77. The bass note A is sustained for four bars and is plagally resolved into the E major in the third iteration of ST 1. Considering the relationship between A major and E major in the exposition, it can even be argued that this 'standing-on-the-subdominant' is a reversal of the status of the second theme's tonality as the subordinate of the first theme. This procedure is drastically altered in the recapitulation, where the last three harmonies of ST 3 is replaced so that the final one becomes C♯ major that leads directly into ST 1, now in F♯ major. Such a straightforward V–I on a non-tonic tonality, albeit not a PAC, contrasts with the suppression of A major in the exposition. On the one hand, it shows that a V–I progression can easily be applied to tonalities other than A major, in this case, a tonality that is on a par in status with A major; on the other hand, it is also a reverberation of the C♯–F♯ progression from the transitional consequent of the first theme that signifies the weakening of the first theme-tonic duality. In this respect, also notice how the last harmony in the antecedent of the first theme in the exposition, the E dominant seventh, is inverted to avoid a V–I in A major, whereas in the recapitulation F♯ can be preceded by its dominant harmony.



Example 13: Bruckner 6/I, bb. 159–182, Reduction



Example 13 (Continued)

Even in the development, where the most freedom is allowed, Bruckner creates another paratactic structure to contain the tonality of A and promote chromatic thirds. Structured around the pre-core-RT principle described by Caplin, bb. 149–182 consists of three phrase groups, each containing a pair of four-bar phrases. Their orchestration, accompanimental figures and thematic organization, and most importantly paratactic structures, anticipates that of the coda of the first movement, which will be extensively discussed in Chapter 4. Example 13 provides a reduction of this passage. Here Bruckner continues with his frequently-used four-bar grid to create six well-defined phrases based on the *Hauptthema* and the triplet accompanimental figure, both sourced from the beginning of the movement. This passage is made further uniform as the overlapping *divisi* notes in the contrabass outline a stepwise rising bassline that runs throughout.

To fully understand the intricate harmonic setting of the six phrases, however, it is necessary to partition the passage into groups of two phrases, and this grouping pattern has been indicated by Bruckner through various means. The most decisive clue is that

Bruckner marked eight bars as one group using numbers under the bars on his manuscript. Starting from b. 159, he marked each bar with '1', '2' all the way to '8' and from b. 167 he started again with '1'; this pattern continues till b. 182, the last bar of Example 13.[75] A detailed discussion of the application and possible meaning of these numbers can be found in Chapter 4, where I use these numbers again to divide a highly similar passage, the coda of the first movement to make another paratactic analysis. Other evidence includes the three different dynamics markings (for the melodies, *piano* in b. 159, *mezzoforte* in b. 167 and *forte* in b.175) at the start of every eight bars and the harmonic and thematic resemblances between the first two bars of every pair in each group.

A harmonic analysis shows the reasons I deem this passage paratactic. It is not an easy task, however, to determine the harmony that supports each bar, because the triplet accompanimental figures that provide chord notes to the melody are rhythmically displaced. Since the bassline is played by cello plus contrabass whereas a similar accompanimental line is played by the second violins only, and the bass inherently carries more weight in forming harmonies, the chordal quality shall be decided by the notes in the bassline. Notice that, starting from the second note in b. 159, the bassline consists of two alternating arpeggios, G major (G–D–B) and D major (D–F♯–A); this displacement belies the emphasis created by the overlapping notes of the contrabass *divisi* at the start of each such triplet. In other words, the first note of each triplet figure is not a chord note of that triplet. Similarly, the second violins' line contains the same arpeggios with the same one-note displacement, although the order and the melodic contour of the arpeggios are reversed. The resulting effect is that the two lines contradict each other. When the bass forms a descending G major arpeggio, the violin forms an ascending D major arpeggio and vice versa. This setting reminds one of the plagal complex discussed earlier, as such two chords can potentially be plagally related. Given the weight of the bassline,

75 Bruckner, *VI Symphonie A-Dur (Manuscript)*, A. 19478 (Vienna: Nationalbibliothek), 36–39.

it is more likely that the opening harmony is G major as it appears before D major in the bass, thereby receiving relatively more emphasis rhythmically.

In b. 160 the changes in the melody and the second violin confirm G major as the opening harmony, as they introduce additional B notes, which are a member of G major. In the third bar, both the bassline and the second violin line vary, but the harmony is only confirmed in the fourth bar, as the F note introduced by the melodic lines in b. 161 turns out to be an appoggiatura to the F♯ in the next bar, which is the true chord tone to the pattern specified by the bassline. The remaining five phrases all follow the same pattern, hence there are a total of twelve harmonies involved in these phrases, and they are noted in Example 13 above the bars. The paratactic nature of this harmonic setting is obvious. While many harmonies progress into the next one smoothly through the stepwise bassline such as the E dominant seventh (second inversion) in b. 166, their connections within each group cannot go unnoticed. The first and the third groups share an inner process where chromatic thirds replace fifth relationships: in the first group, the G–D fifth relationship in the first phrase is replaced by a G–E minor third in the second phrase and the C–G in the third group is replaced by a major third, C–A♭. They complement each other to materialize Bruckner's preference of chromatic thirds over fifths.

Being flanked by the two chromatic third groups, the A minor group is different in harmonic setting, as the two harmonies attached to A minor are G♯ diminished seventh and B diminished triads, respectively. Bruckner demonstrates his intention to contain and suppress the tonic once again, perhaps with a little irony, that the two harmonies associated with A minor are *capable* of dominant functions. Their dominant functions were never realized as cadences and, due to the versatile nature of diminished sonorities, the B diminished triad functions as a pivot between A minor and its relative major, the ensuing C major. Furthermore, the A minor group is surrounded and contrasted by groups

that feature chromatic thirds. Similar harmonic schemes are to be found also in the coda of the first movement, the discussion of which is in Chapter 4.

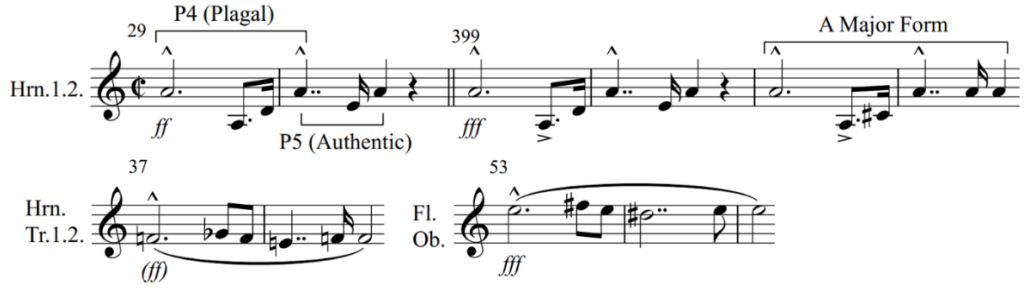
Bruckner's first movement distinguishes itself from other symphonic first movements in modal, harmonic and formal terms. Governed by an organic diastematic process that contrasts with the Classical tonal idiom that is based on diatonic modes and authentic progressions, Bruckner introduces his first theme with Phrygian inflections and a potential of plagal progressions. By means of juxtaposing a restatement a third higher, he lays hexatonicism as the harmonic foundation of the Sixth Symphony, which is further enhanced by the orbital harmonic setting displayed by the first theme in its entirety. Following a tiny transition built on an **L** transformation that results from hexatonic relationships, the second theme employs plagal relationships instead, featuring form-within-form with much complexity in harmonic details and expressive means, which help to contain the second theme and to provide contrast with the first theme. The recapitulation transforms the connection between the first and the second themes, revealing Bruckner's intention to avoid applying authentic progressions onto the tonic. A detailed analysis of the coda can be found in Chapter 4, where I add more insights to the Symphony's paratactic features and compare Bruckner's lyrical devices with that of Schubert.

With a mainly diastematic approach, the first movement of the Sixth Symphony sets up the cyclical form and presents a set of musical conflicts that call for resolution, which is to be realized in the Finale. Contrary to the traditional diatonic practice, Bruckner integrates Phrygian elements, plagal harmonies and hexatonicism (mainly in the form of orbital harmony) to replace diatonic modes and authentic functions in the crucial junctures in the sonata form, which, as a result of these integrated pitch relationships, has been altered to become paratactic, in that the thematic zones are no longer controlled by a single tonic and the intervallic relationships between the thematic zones are no longer

hierarchical. The next Chapter continues this line of investigation in the Finale to reveal Bruckner's paradoxical resolution of the conflicts he set up in the first movement.

Chapter 3: Paratactic Sonata Form and the Unattainable Tonic in the Finale

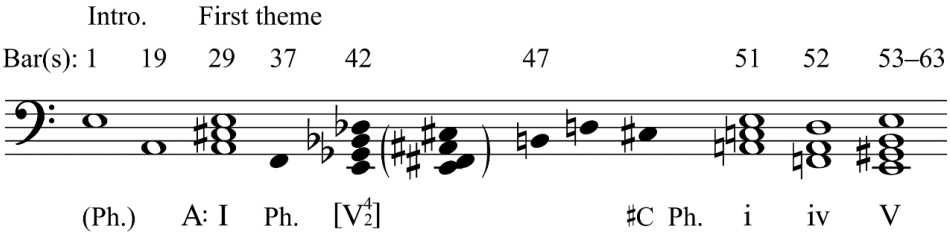
The first part of this Chapter is devoted to motivic and harmonic analysis, which prepares the ground for discussing the Finale's sonata trajectory. Unlike the first movement, the Finale begins with a much clearer context of modality and harmony: following a two-bar E tremolo, an introductory theme enters in E Phrygian and is then transposed to A Phrygian in b. 19, delineating a V–I relationship. It is tempting to think that this V–I relationship implies a long-expected confirmation of the tonic with a PAC. As will become clear, however, this is not the case.



Example 14: Motive A and B in the Finale

Similar to the first theme in the first movement, the Finale first theme comprises motives that represent its fundamental modal, harmonic, and formal argument. Most notable are the two motives carried by the horns (see Example 14), namely the march-like motive starting in b. 29 (the above one, hereafter motive A) and the motive in bb. 37–40 (the bottom one, hereafter motive B). Both originate from the *Hauptthema* and appear throughout the Finale, representing with their intervallic contents the plagal-authentic conflict and the leading-tones conflict, respectively. Motive A consists of two halves, the first half (b. 29) features an A–D–A plagal relationship, and the second half (b. 30) an A–E–A authentic relationship. Motive B, on the other hand, embodies the Phrygian-diatonic modal conflict through opposite leading tones in a way similar to the ending twists in the two statements of the *Hauptthema*. For instance, in bb. 37–38 where

the local context is F Phrygian, motive B sustains the pitch F with auxiliary notes, G♭ and E♮, which are the Phrygian and diatonic leading tones for F, respectively (Example 14).



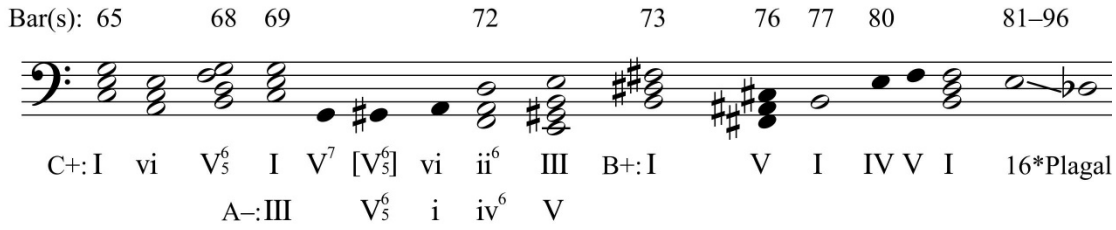
Example 15: Bruckner 6/IV, bb. 1–63, Harmonic Reduction

Harmonically, the first theme is much less problematic than its counterpart in the first movement, as shown in Example 15: it begins assertively in A major from b. 29, traversing F Phrygian in bb. 37–42. After accumulating momentum, motive A bursts out in b. 47 on the pitch B by reinterpreting the harmony in bb. 42–45 as a dominant seventh (shown in brackets). With the orchestration contracted into a monophonic setting, it then proceeds to establish the local goal, E major, with the only structural cadence in the theme, i.e., the Phrygian cadence in bb. 51–53. It is worth noting that, with the *fortississimo* articulation of E major, motive B is transformed into a major-mode version with F♯ and D♯ (see Example 14): it is as if the mighty E major has temporarily surmounted its Phrygian opponent by articulating a medial caesura built on a half cadence in the tonic, A major.

A tiny bridge (again!) of three bars (bb. 63–65) connects the first theme to the second. In terms of orchestration and dynamics, and above all, harmonic relationships, this transition is a replica of the transition in the first movement of Schubert's D. 759, the 'Unfinished' Symphony.[76] It is also akin to the transition of the 'Great' Symphony, D. 944: both Schubert symphonies feature an **L** transformation (B minor to G major in D.

76 Horton also noticed Bruckner's extensive use of this Schubertian transition, for instance, the transition between the first and second themes in the first movement of Bruckner's Fourth Symphony. See Julian Horton, *Bruckner's Symphonies: Analysis, Reception and Cultural Politics* (Cambridge: Cambridge University Press, 2004), 178.

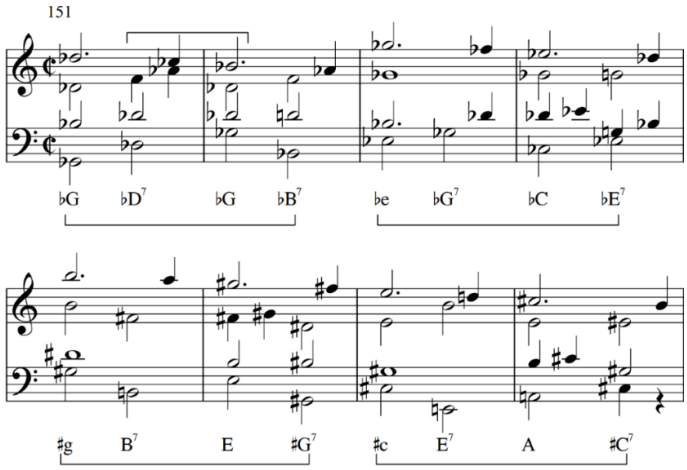
759, C major to E minor in D. 944) between first and second themes, and Bruckner's transformation here is PL (E major to C major). Like the first movement's case, the textural gestures and the chromatic-third relationship are of equal significance: while, as is often the case in Schubert, the abrupt textural shift highlights the self-containment of the thematic blocks, the major-third relationship between the themes reinforces the overall hexatonic context. In addition to these gestures external to the second theme block, internal features such as the conventional use of harmony, the cadential confirmations, the smooth bass line, and the regular phrasing also stabilize and isolate the second theme to some extent.



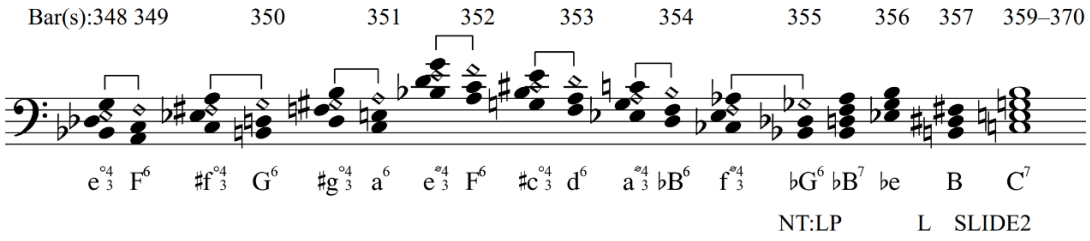
Example 16: Bruckner 6/IV, bb. 65–96, Harmonic Reduction

The opening of the second theme readdresses the tonic-submediant blending discussed previously by featuring a mixture of C major and A minor which ends with another Phrygian cadence on E (see Example 16). Its second section (bb. 73–80) swerves to B major in which a pronounced PAC is articulated. Not only is this PAC in a key other than the tonic but it is also contained in the second theme, thereby losing the potential of structural significance. The third section (bb. 81–96) challenges the common-sense perception that a progression shall not be used repeatedly to avoid monotony. Kevin Swinden views it as a developmental passage that '[uses] a strong, tangible progression (read: back-relating dominants) to reinforce individual chords, and to move that pattern

around in a network of third relations'.[77] Alternatively, based on the overall context, I view it as a bold series of a total of sixteen pairs of plagal progressions that explore the tonal spectrum.[78] Since the overall trajectory is more important than the inner intricacies for discussions on formal structure, I abbreviate this section's inner progressions and represent it by its opening and closing harmony connected with a slash (see Example 16), echoing Fetis's words: 'At the moment that the sequence is recognized, the "law of tonality" is placed in abeyance, as our cognition is submitted to a "law of uniformity"'.[79]



Example 17: Bruckner 6/IV, bb. 151-158, Reduction



Example 18: Bruckner 6/IV, bb. 348–370, Harmonic Reduction

77 Kevin Swinden, 'Bruckner and Harmony', in *The Cambridge Companion to Bruckner* (New York: Cambridge University Press, 2004), 215–17. I differentiate my reading in that, whereas Swinden's 'fifths' are understood as back-relating dominants, I consider them to be applied plagal relationships as propounded earlier.

78 The A major in first inversion in b. 90 is to be accounted in when the inversion is overlooked. Bruckner probably used this inversion to avoid consecutive assertions of root-positioned A harmonies in the downbeats of bb. 89–91. His treatment in the recapitulation is the same, see bb. 323–325.

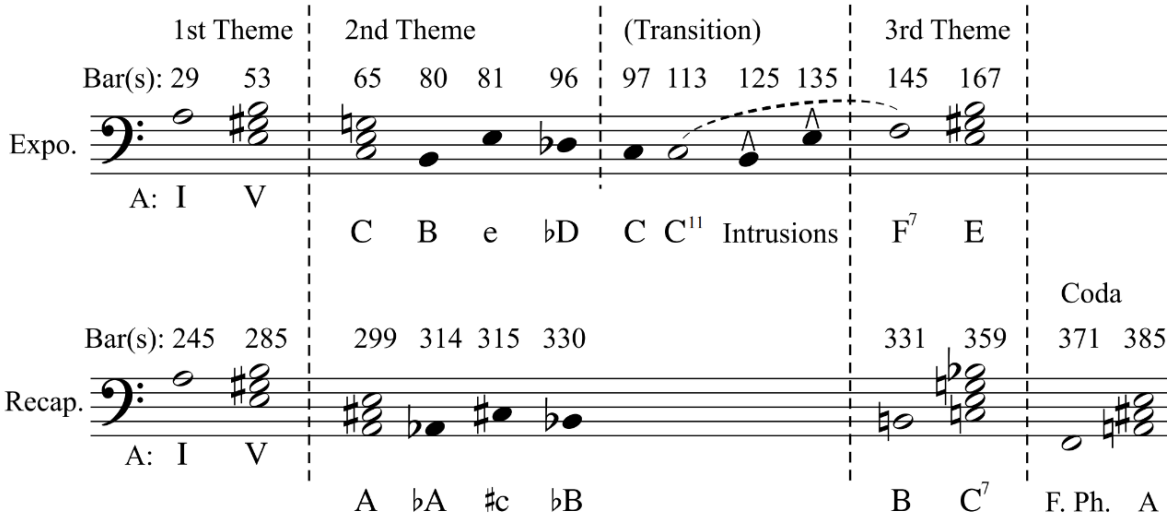
79 François-Joseph Fétis, *Complete Treatise on the Theory and Practice of Harmony*, trans. Peter M. Landey (New York: Pendragon, 2008[1844]), 223–43. Quoted in Richard Cohn, *Audacious Euphony: Chromaticism and the Triad's Second Nature* (New York: Oxford University Press, 2012), 47.

The third theme proper is also highly concentrated in motivic workings. When it arrives through what Horton terms a SLIDE2 transformation[80] (E to F) in b. 145, its opening harmony does not last long. What follows is a highly patterned passage (bb. 151–158) in which each bar's second harmony and the subsequent bar's first harmony form V–I relationships, reinforced with sevenths (see Example 17). Moreover, every two bars also form a group that distributes four harmonies, the basses of which form G♭ major, C♭ major (enharmonically B major), E major, and A major. These bass arpeggiations also constitute a series of descending fifths. The recapitulation of the third theme is even more sequential: Bars 333–336 comprise two pairs of descending fifth over the B bass: B–E and C♯–F♯. This pattern is expanded in bb. 340–348 in a way similar to bb. 151–158, starting with the second half of b. 340: every two half-bars form a pair of descending fifths, and the basses in every four half-bars form major sevenths which, of course, also establish a pattern of descending fifth. Bars 348–355 constitutes yet another sequence: starting with the upbeat to b. 349, the roots of the harmonies (marked with diamond noteheads) at the upbeat and the beginning of the ensuing bar form an ascending minor second (see Example 18), which embodies the diatonic leading tone motive and anticipating the ascending SLIDE2 transformation in bb. 357–359, through which the third theme is reinvigorated by the use of a C dominant seventh and reaches the apex in b. 367. Foreseeing the famous motivic recollection in Bruckner's Eighth Symphony, the rhythmic ostinato in the opening of the Symphony returns in this section: in bb. 348–356 in woodwinds and bb. 367–370 in woodwinds and horns.

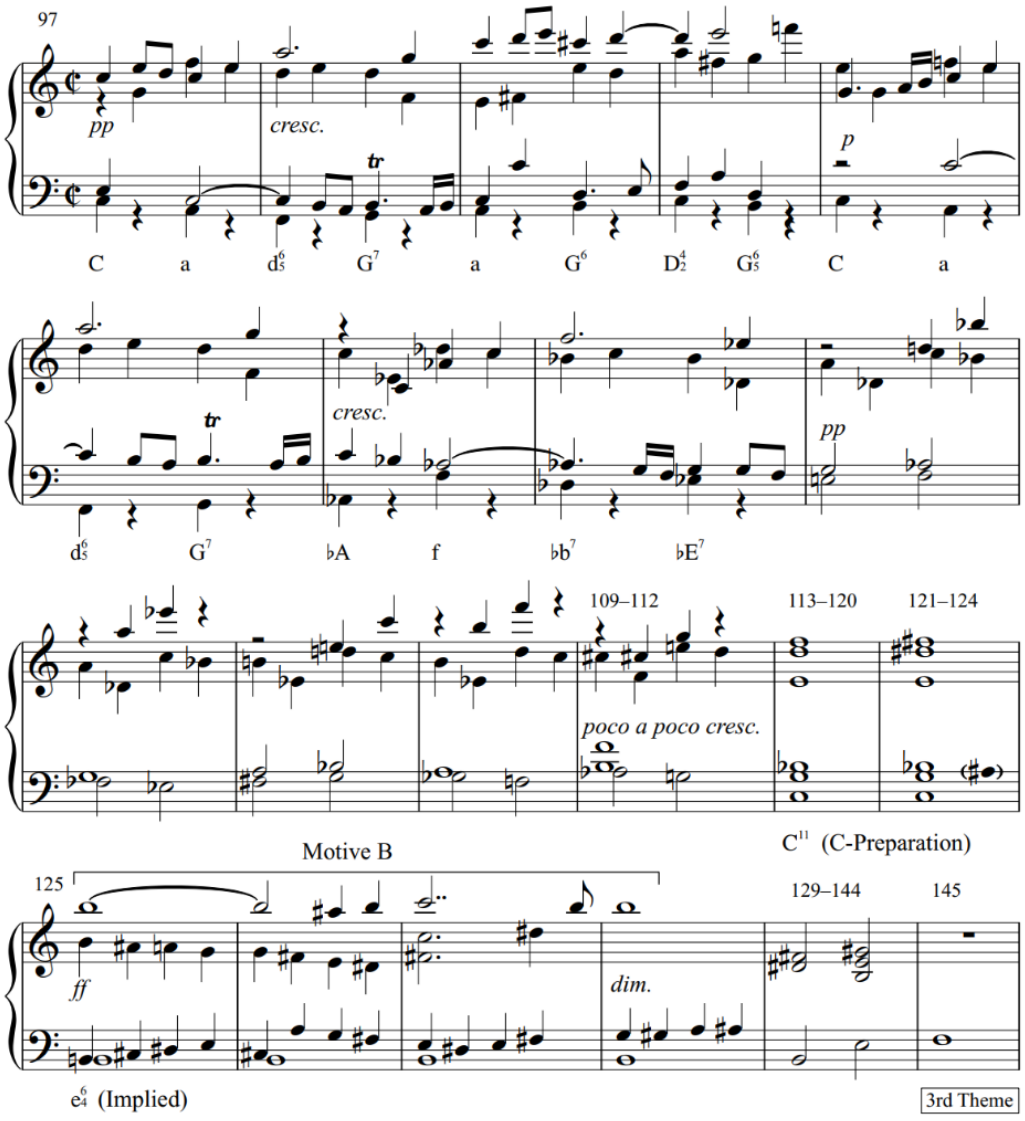
The above analysis shows that Phrygian–diatonic and plagal–authentic conflicts are elaborated in different motivic forms throughout the Finale. In addition to the embodiment of the conflicts into the intervallic content of motives A and B, thematic

80 Horton expands David Lewin's term SLIDE, see Horton, 'Orbital Harmony', 281. For Lewin's conception of SLIDE transformation, see *Generalized Musical Intervals and Transformations*, 170.

areas are also tightly associated with motivic intervals. In the second and third themes, Bruckner lavishly deploys ascending fifths and their counterpart, descending fifths, respectively, yet, being confined into sequential passages, both intervals lose their functional power and become embodiments of the modal-harmonic conflicts. Bruckner favours the plagal relationship: while almost all the instances of descending fifth and diatonic leading tones in the entire Symphony are contained in the third theme, the ascending fifths occur with much more freedom and significance both in and beyond the second theme.



Example 19: Bruckner 6/IV, Sonata Trajectory



Example 20: Reduction of bb. 97–145 of the Finale

The second part examines the Finale's formal scheme. Example 19 summarizes the overall harmonic contour and sonata trajectory of the exposition and the recapitulation, where the vertical broken lines divide theme zones. Korstvedt uses 'harmonic pillars', i.e., the opening and ending harmonies, to represent the third theme in first movement.[81] Similarly, crucial junctures in the sonata form are denoted by the corresponding harmonies. Sequential passages, such as bb. 81–96 and bb. 315–330, are also abbreviated and represented by their departure and arrival harmonies in the same way as in Example 16. What immediately attracts attention is the thematically unstable passage in the

81 Korstvedt, 'Harmonic Daring', 190–94.

exposition, i.e., bb. 97–145 (see Example 20). Observed on its own, bb. 97–104 looks like a varied reprise of the first section (bb. 65–72) of the second theme. Notwithstanding the twist in its ending harmonies, it can be regarded as rounding off a small ternary design of the second theme, since its melodic contour, texture, and orchestration are very similar to the second theme's first phrase, bb. 65–72. Its surrounding music, however, provides an alternative reading on its formal function.

In light of Janet Schmalfeldt's concept of 'becoming',[82] bb. 97–104 can be retrospectively interpreted as a part of the transition from the second theme to the third theme. As considered before, Bruckner, among many composers, often deploys a large-scale periodic structure for his first themes, the antecedent and consequent being sentential themselves, and the consequent often functions as the transition as well. This knowledge sheds light on the reading of bb. 97–104 once the motive in the C-preparation is traced back to the motive in the same instrument in the second theme: from b. 105, the motive in clarinets and second violins derives from its preceding passage, which is a good reason to consider bb. 97–104 as stemming from the transition instead of being part of the second theme proper. The local context buttresses this reading as well: bb. 97–104 do articulate harmonies a fifth apart at the end of every four bars, but unlike those in b. 72 or b. 80, these harmonies are all in inversions and have sevenths attached to them. Therefore, they do not acquire cadential status. Moreover, the C major harmonies in b. 97 and b. 113 frame this section, further suggesting the transitional function of bb. 97–104. Such a reading is denoted in Example 19 by the C in black notehead before the C in open notehead.

The ensuing passage in bb. 105–124 is unmistakeably a transitional passage, in which the accretions of orchestration and dynamics are distinctively Brucknerian.

82 Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 23–57.

Interestingly, what enters at its zenith in b. 125 is not the third theme proper but an intrusion based on the motives of the first theme. Motive B in the winds (see Example 20) brings back the dichotomy between the two leading tones where the strings articulate E minor over a B bass. The abruptly tranquil passage in bb. 129–134 features B major and E major/minor, which leads back to the resurgence of the first theme-based passage in B/E (bb. 135-144). Broadly speaking, the relationship between the C-preparation (bb. 113–124) and the E minor passage (bb. 125–144) can be understood as an **L** transformation. The parsimonious connection belies its nature as an intrusion, however, as the opening harmony and gesture of the third theme suggests.

By its nature, the first half of the C-preparation (bb. 113–120) has an overwhelming tendency to cadence into F, and it is only altered to include D♯ and F♯ in the second half (bb. 121–124) to proceed to E minor. Thus, we may consider bb. 125–144 as an intrusive interpolation: imagine if bb. 125–144 is excised from the Finale. The broken curve in Example 19 indicates the potential of resolving the C-preparation directly to F. If the C-preparation were to seamlessly segue into the third theme proper in b. 145, both the harmonic progression and the striking textural-dynamic contrast will resemble that in the first movement of the Seventh Symphony. Thus, it suggests that Bruckner neglected the option to allow the C-preparation to lead to F directly through a large-scale V–I progression. Instead, he chose to establish a C-E major third relationship, which is also Phrygian because of the bassline motion from C to B in b. 125. By doing so, he further enhanced the hexatonic relationships over the diatonic. Harrison's function theory also reveals the plagal effect of the alteration of D♯ and F♯: by introducing the agent and associate of the dominant of E minor, Bruckner transforms the dominantness of the C-eleventh harmony into subdominantness and activates the flat-sixth potential of the bass C, which now descends by a semitone to B, thereby creating a highly plagal effect.[83] In

83 For Harrison's theorization of harmonic function and discharge, see *Harmonic Function*, 90–126.

other words, Bruckner promotes hexatonic and plagal relationships over diatonic and authentic ones with this single gesture.

Although expanded in the recapitulation, the first theme is still denoted by the same I–V progression in A major as in the exposition (Example 19). The intrathematic relationships of the second theme are also straightforward, for they are only transposed down a minor third from those in the exposition. Transpositions like this are prime examples of the 'self-containment' of Bruckner's thematic sections, as noticed by Halm and Korstvedt.[84] The inner elements of the second theme do not interact with the surrounding music, but function as a self-contained unit and form relationships with the neighbouring sections, such as the large-scale SLIDE2 transformation. But the recapitulation of the second theme gives rise to an analytical paradox owing to its interthematic intervallic relationship with the exposition.

Given that Bruckner preserved the intrathematical harmonic relationships and orchestration of the second theme when recapitulating it, we expect that the second theme is transposed down a major third, thus ending in A major, to establish the tonic and to underscore the prevailing hexatonicism. In reality, the second theme is transposed down a minor third (compare bb. 65–96 and bb. 299–330), which not only disturbs the large-scale hexatonic relationship but also undermines the sonata trajectory. The fact that it begins with A major is insufficient to compensate for leading the recapitulation to B♭ major (or minor, because the quality-defining third is missing) in its end, b. 330. As my analysis in the Epilogue will demonstrate, however, this minor third transposition is indeed Bruckner's tour de force in the overarching cyclical form.

The crux of the Symphony lies in the coda, which, by Bruckner's standard, is brief. Nonetheless, it carries the ultimate responsibility of accomplishing the tasks given by the

84 Korstvedt, 'Between Formlessness and Formality', 175.

first movement. The coda comprises two juxtaposed sections: the first section (bb. 371–384) brings back the introductory theme in F Phrygian and the second section, i.e., the rest of the coda is governed by A major. On the one hand, without any intervening transition, the two sections reinforce the overall hexatonic reading of the entire Symphony. On the other hand, a crucial PAC for the tonic is still missing: the C dominant seventh in bb. 359–370 leads to F rather than A. This is yet another illustration of Bruckner's intention to promote hexatonicism by distorting and limiting the function of V–I relationships.

The most important motivic transformation in the Sixth Symphony occurs in the coda as well, in which motive A is finally transformed into an unmistakable 'tonic form (see Example 14)'. In bb. 385–388 and 399–402, motive A still features the plagal-authentic conflict through its intervals of perfect fourths and fifths, but from b. 401, it finally yielded to A major, and the pitch content becomes A-C♯-E, the components of A major and the anchors of the first movement's first theme. Most importantly, the *Hauptthema* also returns in its A major form from b. 406 till the end of the Symphony. Bruckner takes the span of the entire Symphony to achieve this hard-won apotheosis, but the long-expected PAC in the tonic is never realized. Throughout the coda, A major and E major frequently appear together as alternating tonics and dominants, but most of the time E major is inverted. In the limited cases where E–A occurs in the bass, such as in b. 390, the two harmonies appear in the second half of the bar and thus cannot be considered as a proper cadence. The final appearance of the *Hauptthema* in its tonic form is preceded by a Phrygian F passage (bb. 395–98) instead of E major: yet another reinforcement of the hexatonicism and reverberation of the Phrygian influence in the Sixth Symphony.

Though different from the first movement in structural details, the Finale shares the essence of the first movement as it presents once more a paratactic sonata form. Like the first theme in the first movement, the first theme in the Finale defines its tonality

without a PAC, and the second theme in the Finale further creates a paradox in the sonata form because of a self-containment that is secured by near-identical transposition. If Bruckner recapitulates the second theme with A major, he ends up in an alien tonality; if he does so in a way that ensures a correct end, the recapitulated second theme will begin in an alien key. Because the second theme is harmonically unstable in a traditional sense, and because it is harmonically too stable given the transposition, the Finale will never resolve the conflicts generated in the first movement. What Bruckner does is to employ two pairs of the opposite leading-tone gestures in the junctures of the solid thematic blocks to engineer a rebalance, not in the traditional sense but only in the unique context of the Sixth Symphony. The coda, though appearing to be confident, does not satisfy the traditional expectation either because it does not furnish the crucial PAC in the tonic. Bruckner does not need a PAC in the tonic after all, as the cyclical replacement of authentic progressions by Phrygian, plagal and hexatonic elements is one of the objectives dictated by the *Hauptthema* from the very beginning of the Symphony. These diastematic devices, their resulting paratactic sonata form and Bruckner's lyricism will be discussed in the next Chapter in comparison and connection with Schubert.

Chapter 4: Lyricism in Bruckner's Sixth Symphony

> A principal challenge for Bruckner scholarship is a reassessment of the music and its historical position. That the composer remains cloaked in an almost exclusively Wagnerian mantle is no longer justifiable...All evidence indicates that during periods of self-analysis Bruckner turned to the music of Mozart, Beethoven and *Schubert* rather than to Wagner.[85]

The last several decades have seen a bloom in Bruckner and Schubert studies in the disciplines of both theory and history. Despite the striking similarities of the two composers' musical styles in many aspects such as episodic themes, lavishly developed sonata forms, and deeply rooted lyricism, the two threads of research barely intersect in Anglophone scholarship, as extended English-language studies that examine the influence of Schubert on Bruckner remain scarce. This chapter does not attempt a comprehensive examination of the Schubert-Bruckner link. Instead, it focuses on lyricism, which is, as my analysis will demonstrate, an essential part of Bruckner's expressive sonata style.

The first part of this Chapter gleans records of Bruckner's knowledge of Schubert to reimagine his understanding of Schubert's lyricism and contextualises his systematic borrowing from Schubert with several pairs of representative examples by both composers where Bruckner's harmonic, textural and dramatic approaches are obviously indebted to Schubert. The coda to the first movement of the Sixth Symphony will then be analysed in detail to illuminate the Schubertian lyrical approaches at play both within the coda and regarding the entire movement.

85 Italics mine. Paul Hawkshaw and Timothy L. Jackson, 'Bruckner, (Joseph) Anton', in *Grove Music Online*, 28.

4.1 The Schubert-Bruckner Link: A Historical Review

The entry 'Bruckner' in *Grove Music Online* opens with a familiar comment: '[Bruckner's] music is rooted in the formal traditions of Beethoven and Schubert and inflected with Wagnerian harmony and orchestration'.[86] Caution must be given to Schubert among the three composers cited here: while Beethoven's music was established in the European repertoire long before Bruckner was born, and Wagner had had many documented interactions with Bruckner,[87] Schubert's connection to Bruckner is much more opaque, not least because he endured considerable obscurity in the several decades after his death, particularly in terms of his instrumental music. Even when citing Schubert's fame as a Lied composer, Christopher H. Gibbs uses "less extreme terms such as 'struggling' and 'undiscovered'" (as opposed to 'neglected', which Gibbs advises against) to describe the reception of Schubert at the time of his death: '[Schubert] was beginning to be recognized beyond his circle of friends and native Vienna'.[88]

Some ten years after Schubert's death, Schumann and Mendelssohn revived Schubert's 'Great' C major Symphony, and it is especially Schumann's 'championing [of the "Great"]' that is 'widely celebrated as a pivotal moment in Schubert's reception history".[89] Schumann's commentary not only centred the limelight on Schubert but also focused on instrumental music instead of the then-more-commonly discussed Lieder.[90] However, as Anne M. Hyland points out, Schumann's famous epithet, the 'heavenly lengths' of the C major Symphony, came to be considered an 'apology' for Schubert's

86 Ibid, 1.
87 For a representative essay on the political and ideological relationship between Bruckner and Wagner, see Notley, 'Bruckner and Viennese Wagnerism', 54–71.
88 Christopher H. Gibbs, '"Poor Schubert": Images and Legends of the Composer', in Christopher H. Gibbs (ed.), *The Cambridge Companion to* Schubert (Cambridge: Cambridge University Press, 1997), 47–48. Quoted in Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), 8.
89 Anne M. Hyland, '[Un]Himmlische Länge: editorial intervention as reception history', in Lorraine Byrne Bodley and Julian Horton (ed.), *Schubert's Late Music: History, Theory, Style* (Cambridge: Cambridge University Press, 2016), 52.
90 Christopher H. Gibbs, 'German reception: Schubert's "journey to immortality"', in *Companion to Schubert*, 247.

'flaws' in the 'Great'; Schubert's instrumental music in general 'is too long, it was argued, because of its meandering tendencies, its shocking, underprepared modulations, its propensity towards small- and large-scale repetition and its inexpert employment of form'.[91] Similar but more brutal accusations were later thrown at Bruckner in an even more relentless way, as discussed in Chapter 1. For most contemporary critics, nevertheless, 'heavenly length', just as it literally suggests, no longer carries negative connotations. Derek Watson even names 'heavenly length' as a common trait between the two composers.[92]

Still, one could hardly ignore the difficulties the 'Great' faced in striving for recognition and consider its initial revival a success. Its epic proportions and demanding orchestration deterred both players and listeners, which is perhaps why Vienna, Schubert's home city, 'did not hear it in its entirety until 1850'[93] even though this work was dedicated to the Vienna *Gesellschaft der Musikfreunde*. Hence Dermot Gault's precaution: 'This is one case where one has to ask when Bruckner could have become acquainted with [the "Great" (first published in 1849)], given its relatively limited exposure in the mid-nineteenth century'.[94] Several authors, nevertheless, assume 'the Great' a model on which Bruckner developed his symphonies. Robert Simpson, for example, advocates that the 'rhythmic power and the exhilarating spin of its self-repeating string figures' in the coda of the Finale of Bruckner's First Symphony (1866) 'recall the last movement of [the "Great"]'.[95]

91 Ibid, 52–54.
92 Derek Watson, *Bruckner*, 77.
93 Eduard Hanslick, *Geschichte des Concertwesens in Wien* (Vienna: Wilhelm Braumiller, 1869–70; reprint, Hildesheim: Georg Olms Verlag, 1979), vol. 1, 284–85. Quoted in John M. Gingerich, '"Classical" music and Viennese resistance to Schubert's Beethoven Project', in *Schubert's Late Music*, 30–31.
94 Gault, *The New Bruckner*, 23.
95 Simpson, *The Essence*, 43.

Dissemination of Schubert's other late instrumental works was even more delayed. For instance, the G-major String Quartet was published in 1851[96] and the C-Major String Quintet in 1853.[97] The 'Unfinished' Symphony was not performed until 1865 by Johann von Herbeck (1831–1877),[98] who, albeit seven years younger than Bruckner, was the key figure who smoothed Bruckner's transfer from Linz to Vienna and 'remained one of Bruckner's staunchest supporters during [Bruckner's] first ten years in Vienna'.[99] Best known for his efforts to bring Schubert's 'Unfinished' Symphony to light, Herbeck had been consistently engaging with Schubert's compositions, including symphonies, chamber music, sonatas, and, especially, vocal music.[100] As proposed by Stephen Johnson, it is very likely that Bruckner, if not from any other sources, would have known the 'Unfinished' Symphony through Herbeck.[101] The delayed unveiling of Schubert's best-loved instrumental work 'powerfully underscores how relatively unknown Schubert was'.[102] Nevertheless, the discussion of Schubert's influence on Bruckner's Sixth Symphony will not be hampered too much by the delayed publication of Schubert's late instrumental music, as Bruckner's earliest sketches are dated 1879, by which time the majority of Schubert's late sonatas, quartets, and symphonies were published. Even for works as delayed as the 'Unfinished' Symphony, instances can be found across Bruckner's compositions starting from the Fourth Symphony (First Version 1874) that corroborates Bruckner's acquaintance with it, as discussed below.

96 Maurice Brown and Eric Sams, *The New Grove Schubert* (London: W.W. Norton & Company: 1997), 72.
97 Christopher H. Gibbs, 'Chronology', in *Companion to Schubert*, xi–xii.
98 A. Peter Brown, *The Symphonic Repertoire: The First Golden Age of the Viennese Symphony: Haydn, Mozart, Beethoven, and Schubert* (Bloomington: Indiana University Press, 2001), 622.
99 Crawford Howie, 'Johann von Herbeck (1831–1877): an important link between Schubert and Bruckner', in Theophil Antonicek et. al., Andreas Lindner and Klaus Petermayr (ed.), *Bruckner Jahrbuch 2006–2010* (Linz: Anton Bruckner Institut, 2011), 178–79.
100 Ibid, 165–176.
101 Stephen Johnson, *Bruckner Remembered* (London: Faber and Faber, 1998), 157. Quoted in Horton, *Bruckner's Symphonie*s, 174.
102 Gibbs, 'Poor Schubert', 43–44.

It would still be beneficial, if not necessary, to investigate Bruckner's acquaintance with Schubert's works from the inception of his career. It is certain that Bruckner had known Schubert's music since his formative years. According to Crawford Howie, St. Florian Abbey Library stored Schubert works that were available to Bruckner, who had a life-long association with the monastery. It is difficult to find out exactly what works were stored at St. Florian and were studied by Bruckner, but what is beyond dispute is that there was 'a large number of early editions of many of Schubert's songs and chamber music works' available, as Schubert himself testifies with pleasure.[103] These works were acquired by Prelate Michael Arneth, who was 'one of the first people outside Vienna to recognize Schubert's genius'.[104] Bruckner's early communications also confirm his knowledge of Schubert's music through St. Florian, especially the vocal music that has long been praised for their lyrical sensibilities.[105] In this respect, Johnson even claims that 'as a child, [Bruckner] was inspired to become a composer by hearing Schubert Lieder sung at St. Florian'.[106]

One notable work among the St. Florian collection is Schubert's Piano Sonata in A Minor, D. 845,[107] a copy of which is also found in Bruckner's estate.[108] Two of Schubert's mature piano sonatas, at least those known, are in the key of A minor, the other one being D. 759, which, according to A. Peter Brown, is Schubert's most influential work on Bruckner. Brown claims that the 'slow progression of time' in the

103 Crawford Howie, *Anton Bruckner: A Documentary Biography* (Online Revised Edition), Ch.2, 2. URL: https://www.abruckner.com/articles/articlesEnglish/HowieBrucknerBio/.
104 Friedrich Buchmayr, 'Arneth, Michael v.', in *Biographisch-Bibliographisches Kirchenlexikon* (Nordhausen: Traugott Bautz, 1998), 14: 720–23. Quoted in Paul Hakwshaw, 'Anton Bruckner's Counterpoint Studies at the Monastery of Saint Florian, 1845–55', *The Musical Quarterly* 90 (2007): 122.
105 For example, see Anton Bruckner, *Briefe: Band I, 1852–1886* (ed. Andrea Harrandt, second revised edition) (Vienna: Musikwissenschaftlicher Verlag, 2009), 56 and 158.
106 Johnson, *Bruckner Remembered*, 64.
107 Franz Zamazal, 'Oberösterreich als Schubert-Quelle: Was kannte Bruckner von Schubert?' in Uwe Harten et. al. (ed.), *Bruckner-Symposion Linz 1997* (Vienna: Musikwissenschaftlicher Verlag, 1999), 119–20. For Bruckner's inventory of Schubert scores, see also August Göllerich and Max Auer, *Anton Bruckner, Ein Lebens- Und Schaffens-Bild* 2/1 (Regensburg: G. Bosse, 1937), 336 and 338 f.
108 Göllerich and Auer, *Bruckner*, 2/1, 338–39. Quoted in Erich Wolfgang Partsch, 'Bruckner und Schubert: Zu Interpretation und Kritik einer vielbehaupteten Beziehung', in *BSL 1997*, 82.

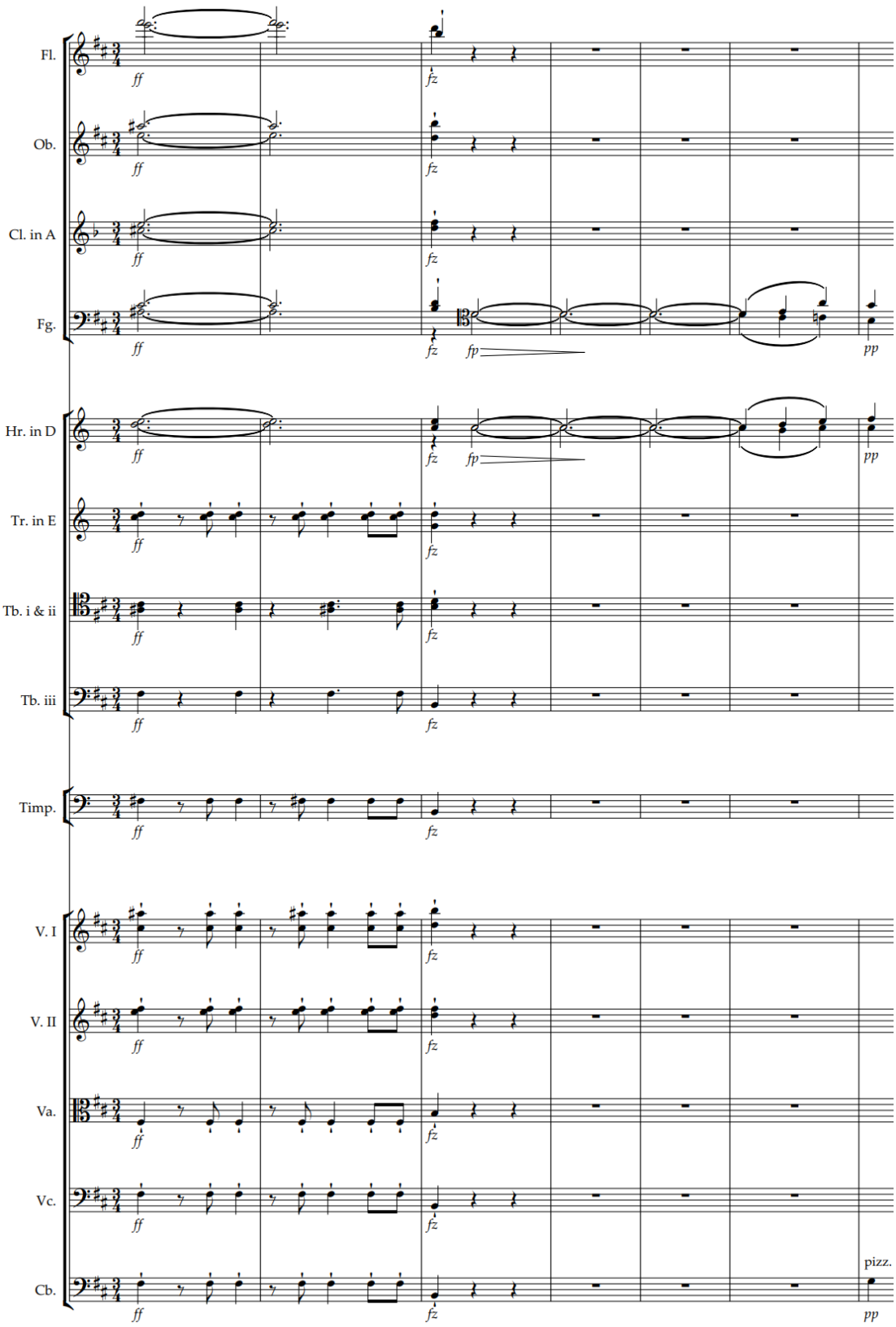
first movement of D. 759, which is a result of 'long-note surface rhythms, pauses, slow harmonic rhythms and small dimension repetitions' is a feature that 'foretells something of Bruckner's distinctive style'.[109] Apart from the fact that all the special elements Brown enumerated in D. 759 are present, if not elevated to a higher level, in D. 845, Schubert also displayed a clear fondness of plagal relationships – one of Bruckner's favourite elements, especially in the Sixth Symphony – in all four movements, the most famous instance being the ending plagal cadence in the Adagio. Indeed, as a significant work that can 'probably be compared only with the greatest and freest of Beethoven's sonatas' for its 'freedom and originality,'[110] D. 845 might have a stronger claim to the idealized sonata precedent for Bruckner.

Another early-period connection commonly cited is that, during his time in Steyr (ca. 1843), Bruckner came to know Karoline Eberstaller, who played piano duos with Schubert and is believed to have introduced some Schubert duos to Bruckner.[111] Scholars, however, are getting more and more suspicious of this alleged connection. It is most extensively challenged by Janet I. Wasserman, whose review of the bibliographical materials on Schubert, Eberstaller, and Bruckner shows no valid documentation of Eberstaller's connection to either Schubert or Bruckner.[112] Wasserman stresses that the Schubert-Bruckner link remains valid, nevertheless, since that 'Bruckner was, quite obviously, capable of learning and appreciating the music of Schubert without the claimed intervention of someone whose musical education and pianistic abilities remain a mystery'.[113]

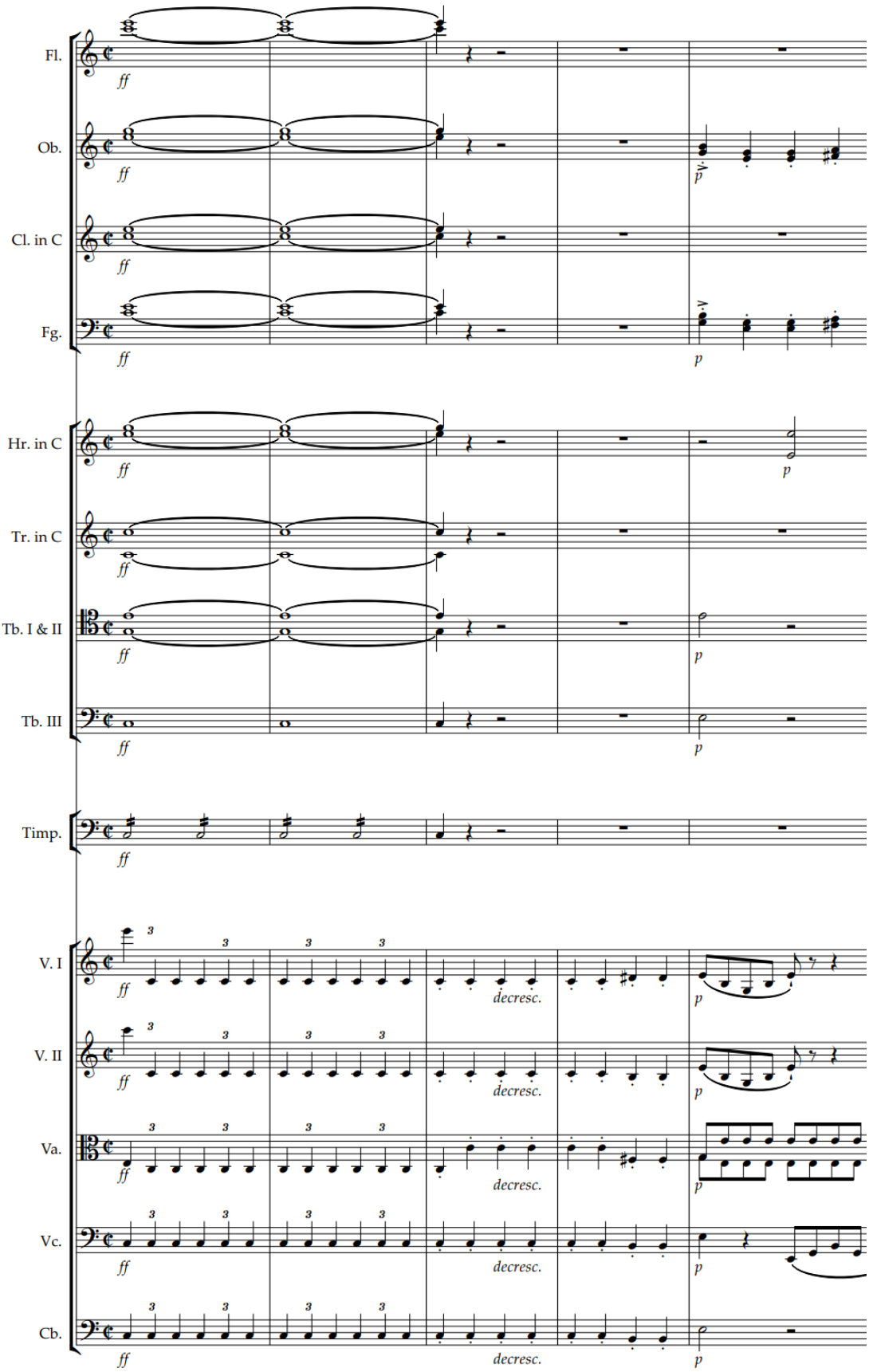
109 Brown, *The Symphonic Repertoire: The Second Golden* Age, 146.
110 Otto Erich Deutsch, *Schubert: A Documentary Biography*, trans. Erick Blom (London: Dent, 1946), 512. Quoted in Gibbs, 'German reception', 244.
111 Watson, *Bruckner*, 8. According to Janet I. Wasserman, the 'ultimate printed source of the Eberstaller legend' seems to be Göllerich and Auer's *Bruckner*. See Janet I. Wasserman, *Karoline Eberstaller: Is She the Real Link between Franz Schubert and Anton Bruckner?* (Working Paper) (Minneapolis: Center for Austrian Studies at the University of Minnesota, 2004), 3 ff.
112 Wasserman, *Eberstaller*.
113 Ibid, 10.

More information is available regarding Bruckner's Vienna period (from 1868). While Schubert was mainly known for his vocal compositions in the early nineteenth century, by the time Bruckner moved to Vienna, his fame as an instrumental composer capable of writing symphonies of the highest standards had also grown to a substantial extent. It is also during this period that the reception of Schubert was entangled in the 'culture war' that is 'frequently reduced to a split between Wagnerians and anti-Wagnerians'[114] – the war that later deeply affected Bruckner, 'who was largely unable to defend himself'.[115] The gradual discovery and dissemination of Schubert's music, especially the late works, became a challenge to Wagner's success because they 'revealed the ideal synthesis of the Classical with a new "spiritual substance"'.[116] Although it is problematic to attribute Bruckner as one of the 'Wagnerians', Leon Botstein rightfully makes an exception of Bruckner among the 'Wagnerians' who 'often derided Schubert'.[117] Bruckner is reported to have said the following when he felt 'dejected' as a result of the attacks from his opponents: 'Even if I can't compare myself to Schubert and the other great Masters, I still know I'm "somebody" and that what I do matters'.[118] It is without a doubt that Bruckner was heavily influenced by Wagner, but such a remark reveals that he held Schubert as a paradigmatic composer, perhaps even greater than Wagner. Small wonder that Robert S. Hatten claims that Schubert is Bruckner's favourite composer.[119]

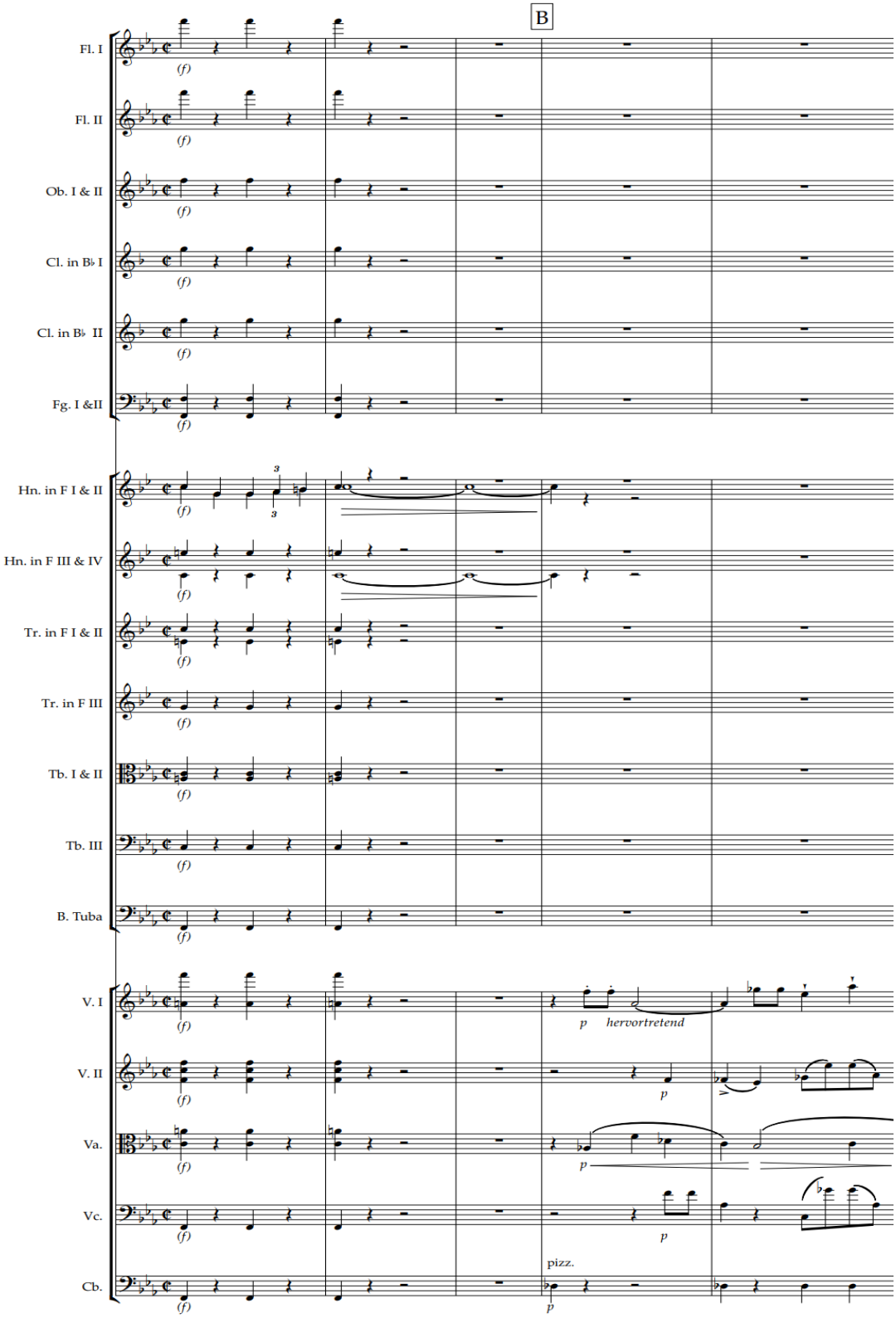
114 Leon Botstein, 'Schubert in History', in *Franz Schubert and His World*, ed. Christopher H. Gibbs and Morten Solvik (Princeton and Woodstock: Princeton University Press, 2014), 299.
115 Dahlhaus, *Nineteenth-Century Music*, 271.
116 Botstein, 'Schubert in History', 305.
117 Ibid, 308.
118 Göllerich and Auer, *Bruckner*, 4/2, 132-33. Translated and quoted in Johnson, *Bruckner Remembered*, 157.
119 Robert S. Hatten, 'The expressive role of disjunction: a semiotic approach to form and meaning in the Fourth and Fifth Symphonies', in *Perspectives*, 147.



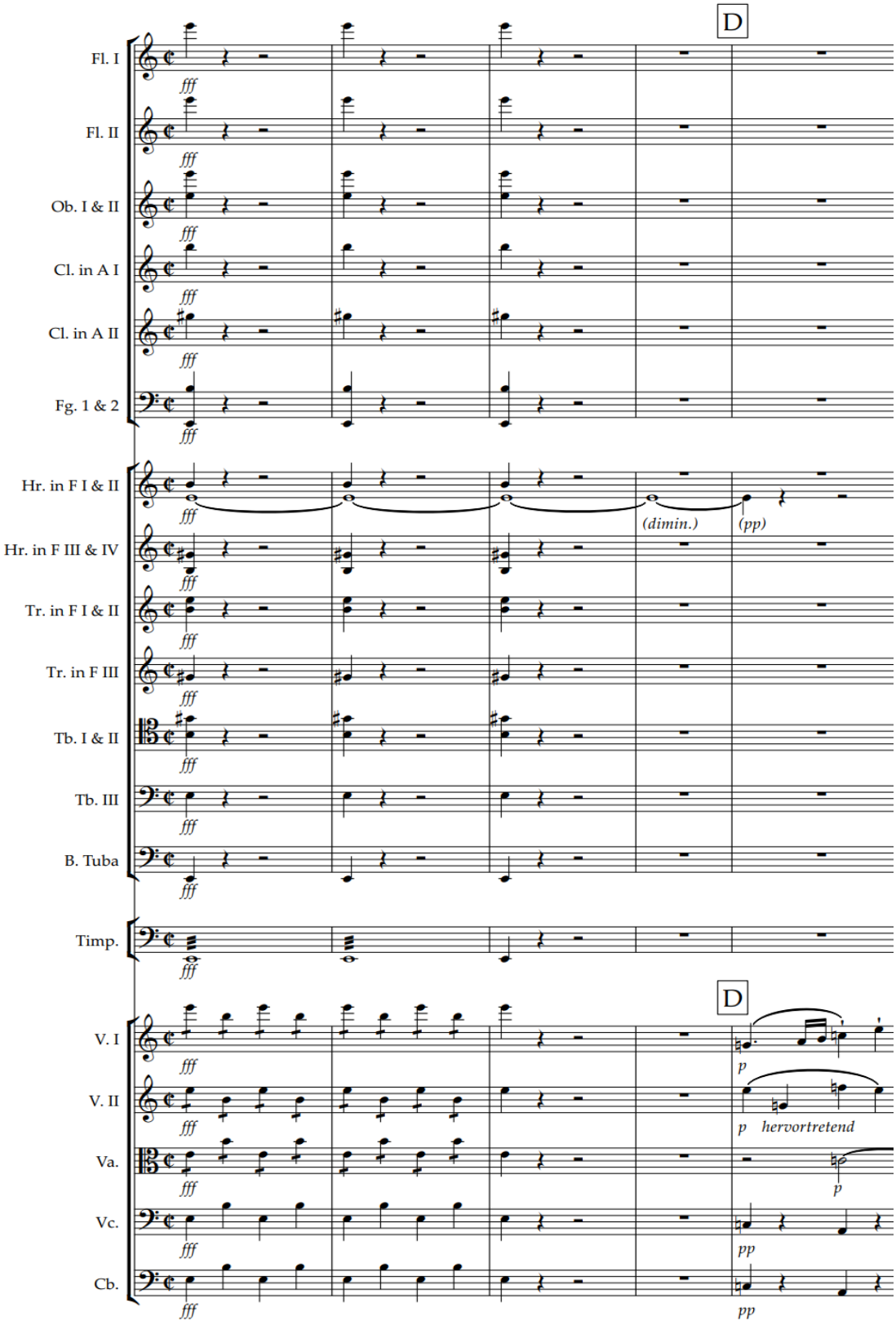
Example 21: Schubert, ‘Unfinished’ Symphony, D. 759/I, bb. 36–41



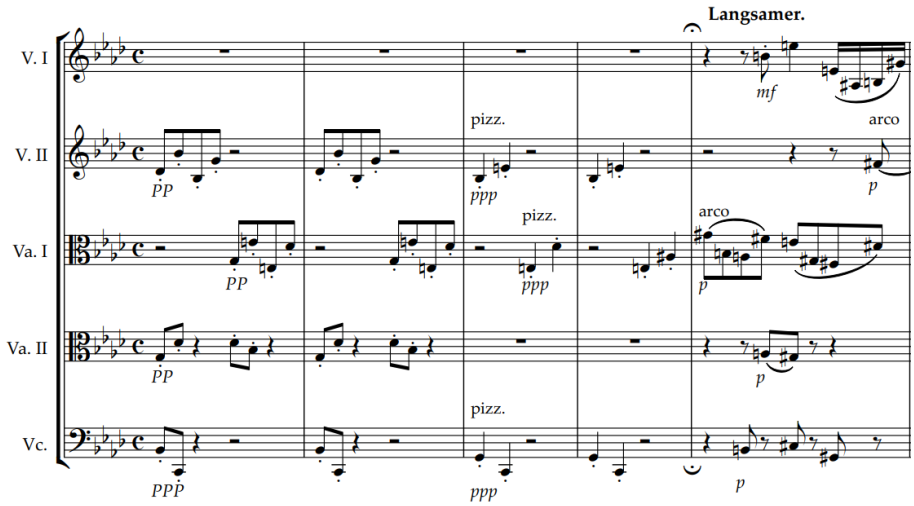
Example 22: Schubert, the ‘Great’ Symphony, D. 944/I, bb. 130–134



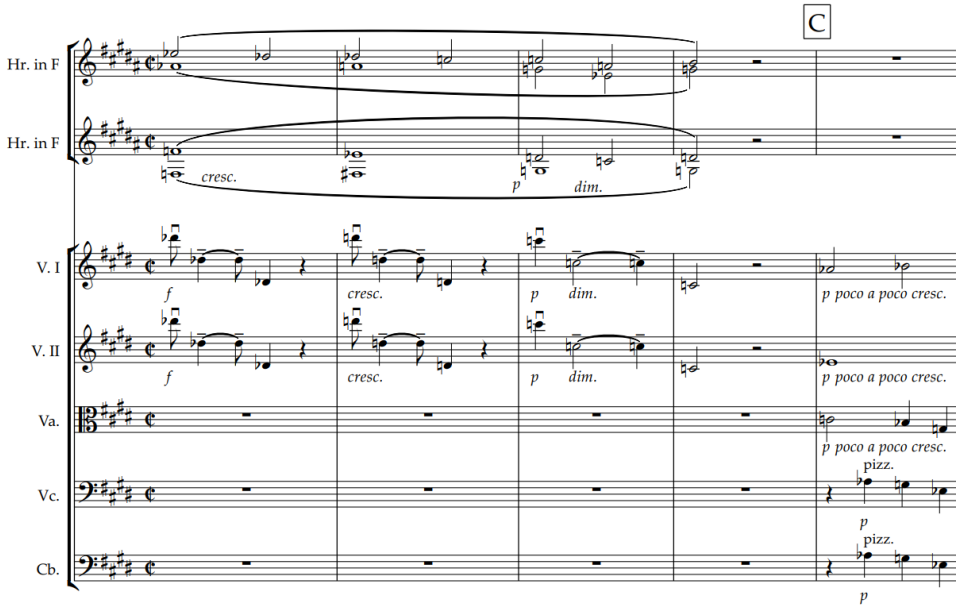
Example 23: Bruckner Symphony No. 4 (Version 1880)/I, bb. 72–76



Example 24: Bruckner Symphony No. 6/IV, bb. 61–65



Example 25: Bruckner String Quintet/IV, bb. 29–33



Example 26: Bruckner Symphony No. 7/IV, bb. 31–35

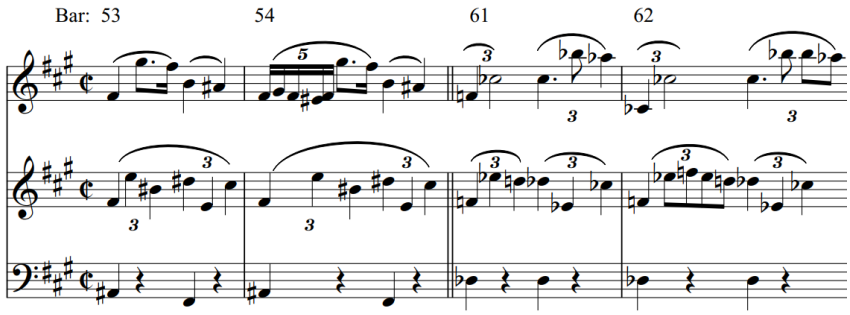
In addition to verbal expressions, Bruckner's affinity with Schubert is manifested musically, including almost-verbatim quotations. For example, as Julian Horton points out, Bruckner's Fourth Symphony contains a transition (Example 23) that is almost a replica of that of Schubert's 'Unfinished' Symphony (Example 21),[120] a point that I have also reinforced in Chapter 3 with the Finale's transition in Bruckner's Sixth Symphony (Example 24). It is commonly held that Schubert continued to use a similar transitional scheme in the "Great" Symphony (Example 22). Less obvious, yet still discernable use

120 Horton, *Bruckner's Symphonies*, 178.

of this kind of transition also appear in Bruckner's other works of the same period, such as the transitions of the Finales of the String Quintet (Example 25) and the Seventh Symphony (Example 26): both adopt a combination of P and L transformations as the harmonic foundation. Moreover, as Xavier Hascher points out, 'the falling interval of a fifth [in the opening theme of Schubert's "Unfinished Symphony"] characteristic of the kind of *Naturthemen* [is to be found] later in Bruckner, which also float above the persistent backdrop of the strings (*tremolo*)'.[121] To furnish examples, both Bruckner's Fourth and Sixth symphonies – precisely the two symphonies just discussed – feature a falling fifth in the first theme. Apart from the harmonic relationships, Bruckner's gestural allusion to the Schubert transition can be traced to his 'Nullte' Symphony (1869), in which Bruckner's transition is 'nothing more than a winding-down of [the first theme that] reminds one of the first-movement expositions of [Schubert's last two symphonies]'.[122]

Critics have noticed such a connection as early as in Bruckner's time. For example, the Fourth Symphony had invoked Schubert for many listeners since its creation. At its premiere on February 20th, 1881, one of Bruckner's advocates, Eduard Kremser, referred to Bruckner as "a Schubert of our time," praising his subtle sensations and richness of his spirit.[123] It was also reported that Bruckner was impressed by Herbeck's praise of the Fourth: 'In September 1877, just before [Herbeck's] death, we played through the second movement of my Fourth (Romantic) Symphony, and he made the unforgettable comment: "Schubert could have written that; one can have nothing but respect for a composer who can write something like that"'.[124]

121 Xavier Hascher, 'Narrative Dislocations in the First Movement of Schubert's "Unfinished Symphony"', in Lorraine Byrne Bodley and Julian Horton (ed.), *Rethinking Schubert* (New York: Oxford University Press, 2016), 131.
122 Brown, *The Symphonic Repertoire Volume IV*, 185.
123 Norbert Tschulik, *Anton Bruckner im Spiegel seiner Zeit* (Vienna: Bergland, 1955): 38–40, translated and quoted in Brown, *The Symphonic Repertoire Volume IV*, 244.
124 Ludwig Herbeck, *Johann Herbeck: Ein Lebensbild* (Vienna: A. J. Gutmann, 1885), 233. Quoted in Howie, 'Herbeck', 181.



Example 27: Bruckner 6/I, bb.53–54 and 61–62, Reduction[125]

Twentieth-century scholars pointed out Schubertian traits prevalent in Bruckner. German composer Richard Wetz (1875–1935) claimed that it was 'only through Bruckner's art that he came to understand Bach and Schubert'[126] – a tribute that highlights Bruckner's polyphonic texture and lyricism. Later commentators tend to supply more specific examples: Carl Dahlhaus, for instance, provided a detailed analysis of the second theme in the first movement of the Sixth where he contrasts Bruckner's episodic juxtaposition to Schoenberg's concept of 'developing variation' in which 'each variant represents a consequence of the preceding one and a prerequisite for the next one'.[127] To bolster my analysis regarding the association between the episodes and the plagal relationship between the iterations of ST 2 in Chapter 2, Dahlhaus deems that Bruckner's interchangeable episodes (Example 27) function as such: 'the later version seems like a written-out memory image of the earlier one'. [128] Dahlhaus does not directly pronounce that name, but by such an analogy he alludes to Schubert, whose late instrumental works, such as D. 887 and D. 960 often invoke memory, whose relationship to lyricism will be further explored in the following section.

125 This example is reproduced for a better presentation from Example 49 in Dahlhaus, *Nineteenth-Century Music*, 273.
126 Erik Levi, 'Richard Wetz (1875–1935): a Brucknerian composer', in *Perspectives*, 367.
127 Dahlhaus, *Nineteenth-Century Music*, 273.
128 Ibid.

The German scholarship of the Schubert-Bruckner link culminates in *Bruckner Symposion Linz (BSL) 1997*, which is themed 'Bruckner – Vorbilder und Traditionen'. Scattered accounts of Bruckner's quotation of Schubert, or, put in broader terms, his affinity for Schubert, can be found across the collection. For instance, Hartmut Krones speaks of one of Bruckner's frequently used figures, the '*chromatischen Quartfall* (descending chromatic fourth)' that is also often associated with Schubert,[129] especially in the late instrumental works such as the G-Major String Quartet. Three essays in this collection merit special attention, the first being 'Bruckner und Schubert' by Erich Wolfgang Partsch.[130] In general, Partsch is reluctant to embrace fully the idea that Schubert had a profound influence on Bruckner. Apart from the fact that musical influences are usually difficult to trace due to their abstract nature, Partsch cites several bibliographical reasons against taking Schubert as a major factor of influence on Bruckner, including the very limited references to Schubert from Bruckner and his friend-circle and the absence of mentioning Schubert in Bruckner's lecture materials and personal letters.[131] Partsch claims that Schubert played a minor role for Bruckner compared to Beethoven or Wagner, although he acknowledges that the majority of Bruckner's mentions of Schubert indicates adoration.[132]

Despite the reservation in general, Partsch's essay firmly supports the idea that the "Great" Symphony was a critical model for Bruckner. He not only quotes secondary sources saying that 'Bruckner owes a lot to the "Great" Symphony harmonically and structurally'[133] but also furnishes a concrete example showing the melodic resemblance between the second theme in the middle section (read: after Rehearsal E) of the Scherzo

129 Hartmut Krones, 'Musiksprachliche Elemente aus Renaissance und Barock bei Anton Bruckner', in *BSL 1997*, 67.
130 Partsch, 'Bruckner und Schubert', in *BSL 1997*, 79–97.
131 Ibid, 82.
132 Ibid, 83.
133 August Stradal, 'Erinnerungen aus Bruckners letzter Zeit', in *Zeitschrift für Musik* 99 (1932): 972. Quoted in Partsch, 'Bruckner und Schubert', 83.

of Bruckner's Ninth Symphony and the 'oboe melody' in the Scherzo of the 'Great'.[134] It is not unusual for a work as late as Bruckner's Ninth to contain quotations from Schubert, but the melodic association between Bruckner's *Steiermärker* (ca. 1850) to Schubert's famous *Trauerwalzer*, D. 365/2, as shown in Partsch's example,[135] is a good demonstration of Bruckner's early knowledge of Schubert. The second essay by Hans-Joachim Hinrichsen addresses the 'expansiveness' in both Schubert and Bruckner's symphonic forms: a critical topos that was first associated with the accusation of 'formlessness' for both composers.[136] The third essay by Franz Zamazal offers an extensive review of Bruckner's knowledge of Schubert during his Upper-Austria time, i.e., the formative years.[137] What Zamazal shows is that during this period, the majority of Schubert's works that Bruckner had experienced fall into the categories of Lieder and church music, in other words, vocal music in general. Other sorts of works such as chamber music and piano solo pieces (e.g., D. 845) are much less mentioned; this perception aligns with the relative obscurity of Schubert's instrumental music in the mid-nineteenth century.

Although there are no extensive English-language essays that are comparable to that of German scholarship, scattered discussions of the Schubert-Bruckner link can still be found in Anglophone scholarship. Robert Simpson touches on Schubert in his seminal treatise, although his dispersed references to Schubert are only supplementary to his argument. He discerns several features in Bruckner's symphonies, especially the Sixth, as pertaining to Schubert. For instance, he refers to Bruckner's 'favourite' transitional progression, that is, reinterpreting a dominant seventh as a German sixth in a new key, 'a

134 Ibid, 91–93.
135 Ibid, 90.
136 Hans-Joachim Hinrichsen, '"Himmlische Länge" und "symphonische Strom", Bruckner, Schubert und das Problem der "Form"', in *BSL 1997*, 99–100.
137 Zamazal, 'Was kannte Bruckner von Schubert', 117–176.

delight he shares with Schubert'.[138] Later in the same chapter, he recognizes Bruckner's second theme in the Adagio as 'yet another distinguished example of the Schubertian-Brucknerian second group that contains its own transition'.[139] Whilst Simpson correctly points to the profound Schubertian influence on Bruckner, his fragmentary accounts of the Schubert-Bruckner link has oddly become stylistic for later English-speaking commentators.

Eight years after Simpson, Derek Watson joins the discourse on the Schubert-Bruckner link with his monograph. Similar to Simpson, Watson's one specific example is also about Bruckner's Sixth. Apart from reinforcing the lyricism in the *Gesangsperiode* in the Adagio of the Sixth, Watson also points out that the 'quality of peasant dances and *Ländler*' in the Scherzo is 'an affinity with Schubert'.[140] In a more general discussion that follows, Watson remarks that 'harmony and tonality are [Bruckner's] most striking points in common with Schubert', by which he refers to the mediant relationship between the first and the second themes. But Watson was careful enough to advise that 'it is doubtful whether all the elements of kinship between Schubert and Bruckner were the direct result of Bruckner's knowledge of Schubert's work'.[141] This warning has two implications: that Bruckner might have developed similar approaches independent of Schubert, or Bruckner was indirectly influenced by Schubert through some mediator, for example, Schumann or Otto Kitzler. The first implication is hard to testify, but the second will be explored in a later section.

Interestingly, and paralleling the German thread, Anglophone scholarship also frequently addresses the Schubertian flavour in Bruckner's Fourth. As early as the mid-twentieth century, Donald N. Ferguson found that in the second theme of the first

138 Simpson, *Essence*, 125.
139 Ibid, 131.
140 Watson, *Bruckner*, 76.
141 Ibid, 77.

movement, the 'string [accompaniment], the whole fabric and the heartfelt song' are indebted to Schubert.[142] Approaching this connection from an analytical perspective, Hatten claims that the 'oblique dissonances' formed between the bassline and the E♭ sustained by the horn in the Finale, bb. 427–30 are 'typical of Schubert', for which he gives Piano Sonata in A major, D. 959 as an example.[143] As Chapter 2 shows, the harmonic scheme in the first movement of D. 959 also fits well into the A–C♯–F orbital system: perhaps this is not a coincidence.

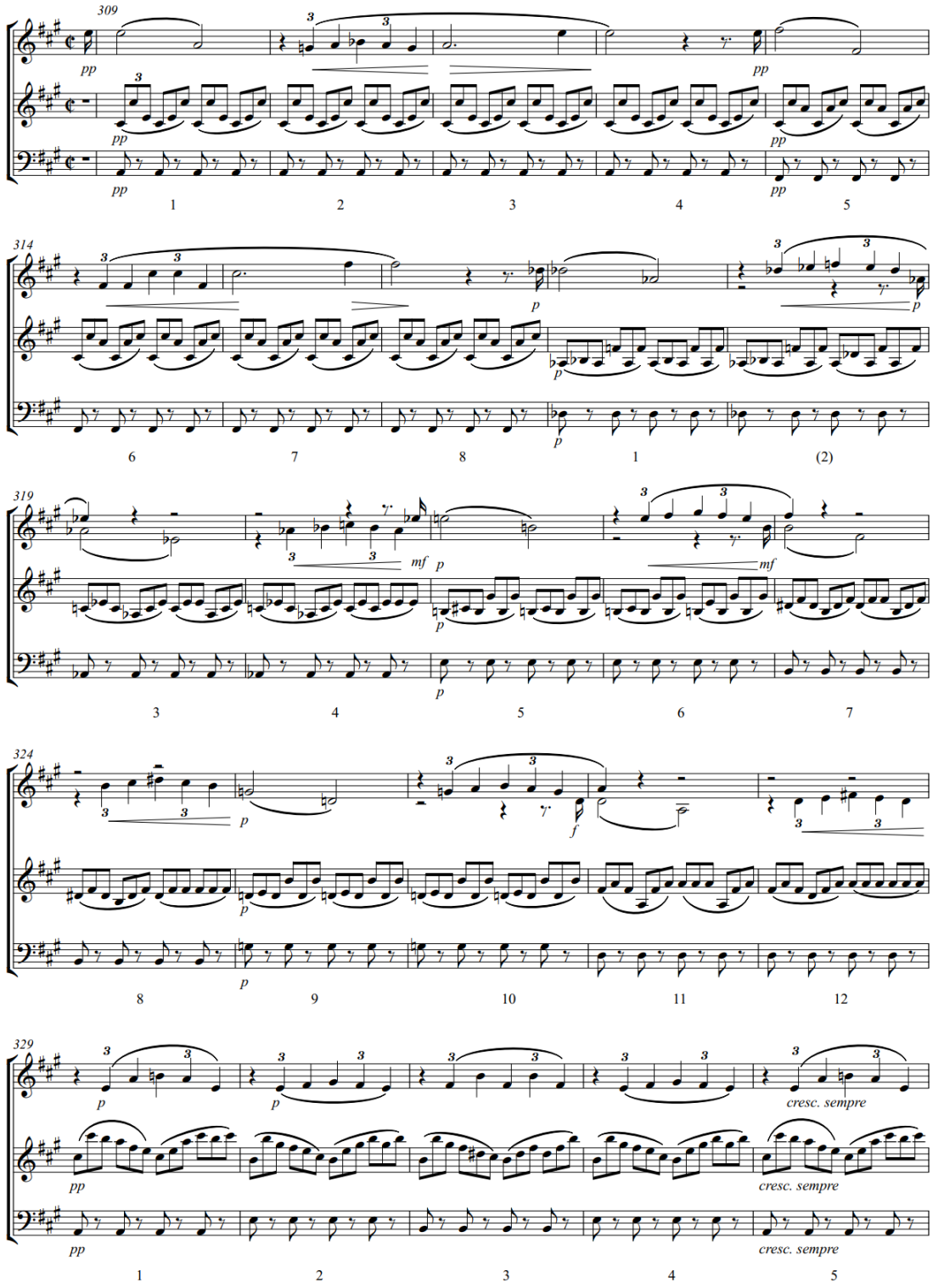
In a more recent book, Dermot Gault devotes a short chapter titled 'The Legacy of the Classics – Mozart, Beethoven, and Schubert' to the issue. His accounts of Schubert's influence on Bruckner are centred around Schubert's last two symphonies and the Piano Sonata, D. 960.[144] Gault's discussion includes brief comparisons, for example, between the treatments of the opening themes in Schubert's 'Unfinished' Symphony and Bruckner's Third Symphony. Later in the book, Gault also uses Schubert to illustrate Bruckner's compositional approach, most notably in the latter's Ninth: 'The Ninth is also Bruckner's last homage to Schubert, for the last completed movement of Bruckner's unfinished symphony is also a solemn E major processional'.[145] However, such a claim risks being cursory for two reasons: first, the relationship between E major and the overall tonality is not the same in the two symphonies since the two tonics are in B minor and D minor, respectively; second, Bruckner's Ninth was incomplete not because he did not attempt to finish the work but because he died, whereas Schubert had some six years to complete the 'Unfinished' (started in 1822) if he so wished.[146] It cannot go unnoticed that both German and Anglophone scholarships tend to address the Schubert-Bruckner link

142 Donald N. Ferguson, Anton Bruckner (1824–1896), in *Masterworks of the Orchestral Repertoire: A Guide for Listeners* (Minneapolis: University of Minnesota Press, 1954): 186.
143 Hatten, 'The expressive role of disjunction', in *Perspectives*, 176.
144 Gault, *The New Bruckner*, 23–24.
145 Ibid,190.
146 For the timeline of Schubert's 'Unfinished', see Werner Aderhold, 'Vorwort', in Werner Aderhold (ed.), *Schubert: Sinfonie Nr.7 in h 'Unvollendete', D. 759* (Kassel: Bärenreiter, 1997), III–V.

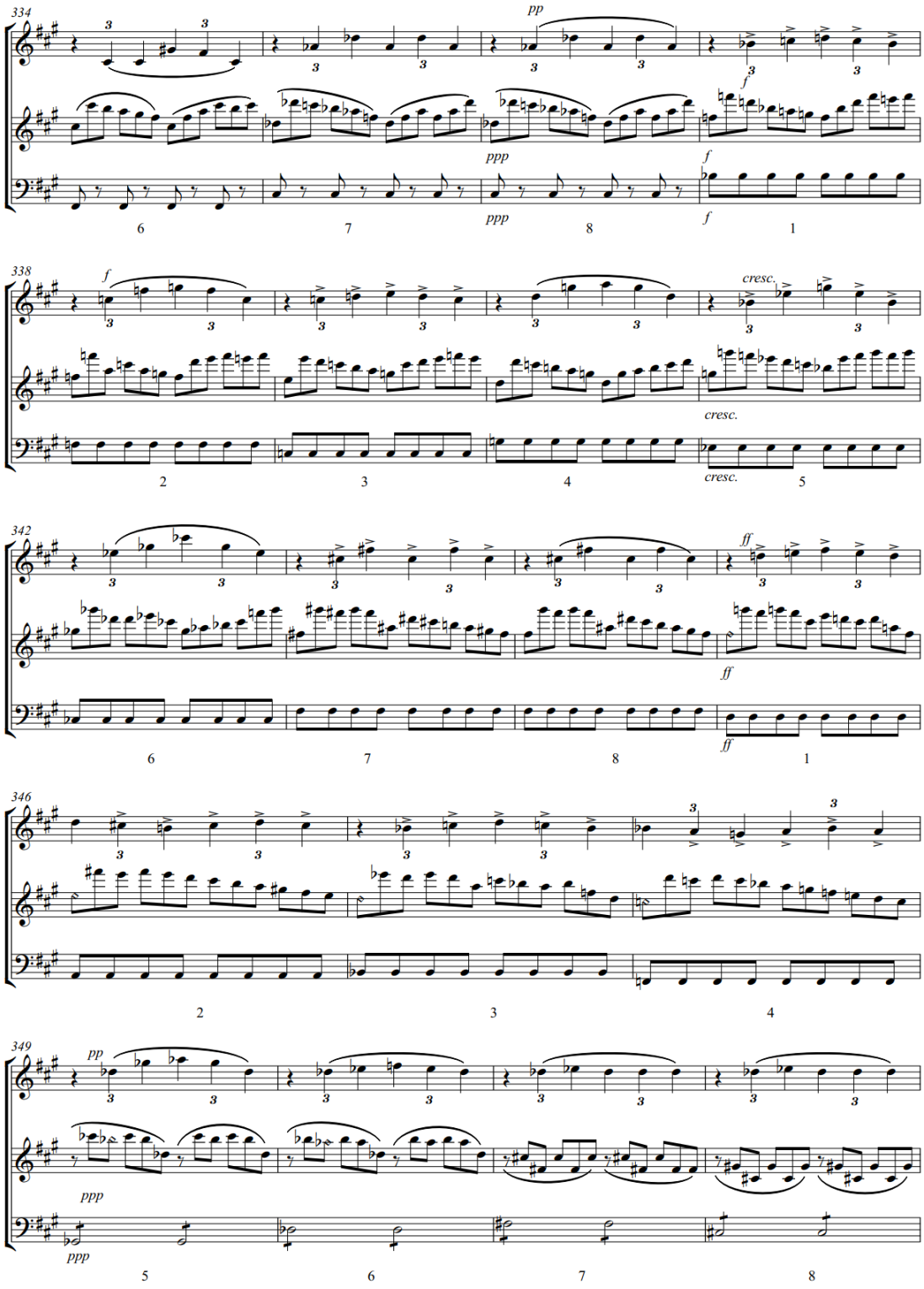
with many historical accounts but few analyses, as Julian Horton deems.[147] As a result, the following section attempts to provide more substantial analyses. After each analysis, I will relate Bruckner's lyrical compositional devices to those of Schubert to illustrate their relationship.

147 Horton, *Bruckner Symphonies*, 162–64.

4.2 Recollective Lyricism in The Coda of The First Movement



Example 28: Bruckner VI/1, Coda Reduction (bb. 308–352)



Example 28 (Continued): Bruckner 6/I, Coda Reduction (bb. 308–352)

Bar(s)	Harmony	Relation to following harmony
305–308	E+	Dominant
309–312	A+	Relative
313–316	F♯-	Plagal
317–318	D♭+	Plagal
319–320	A♭+	Descending M3
321–322	E+	Plagal
323–324	B+	Descending M3
325–326	G+	Plagal
327–328	D+	Plagal
329	A+	Plagal
330	E+	Plagal
331	B+	Dominant
332	E+	Dominant
333	A+	Relative
334	F♯-	Plagal
335–336	D♭+	Descending m3

Bar(s)	Harmony	Relation to following harmony
337	B♭+	Plagal
338	F+	Plagal
339	C+	Plagal
340	G+	Descending M3
341	E♭+	Descending M3
342	C♭+/B+	Plagal
343–344	F♯+	Descending M3
345	D+	Plagal
346	A+	SLIDE2
347	B♭+	Plagal
348	F+	SLIDE2
349	G♭+	Plagal
350	D♭+	
351	F♯+	
352	C♯+	SLIDE2
353–369	D–A	Plagal Cadence

Example 29: Bruckner VI/1, Coda Summary

Chapter 2 has considered the coda of the first movement of Bruckner's Sixth Symphony as a part of the overarching cyclical form with a particular focus on the abundant plagal progressions it contains. In this case study, I provide a complete analysis of the coda to explicate: 1) Bruckner's harmonic organization, 2) Bruckner's grouping pattern, and 3) The relationship between Bruckner's formal syntax, harmonic organization, and lyricism. Example 28 is a reduction of bb. 308–352; the gigantic plagal cadence at the end is not included for brevity. The orchestral score is reduced into three staves where the iterations of the *Hauptthema* occupy the top stave, the violin accompaniment figures the middle, and the bass the bottom. A brief survey of the coda reveals that: 1) the coda consists of 61 bars, in which the vast majority of harmonies are root-position major triads; 2) the duple (or its multiples) grouping pattern of bars is consistent throughout the coda and 3) the coda is woven by plagal and chromatic third relationships. These harmonic contents

and relationships are summarized in Example 29. The only exceptions to the harmonic quality are the F♯ minor in bb. 313–316 and b. 334, and the D minor in the plagal cadence that is embellished by a full-diminished seventh over D in bb. 353–360. Both exceptions have been illustrated in Chapter 2: the F♯ minor is the relative of the tonic, A major. As shown in Example 8, both appearances of the F♯ minor immediately follow the tonic, with which it forms a tonic-relative complex; such a 'blending of tonic and submediant is, of course, typical of late nineteenth-century harmony'.[148] The D minor stems from the C♯ ostinati at the beginning and the Phrygian-inflected *Hauptthema* since A-Phrygian and D-natural minor scales have the same pitch composition.

The neo-Riemannian transformations in Table 1 are adopted from Miguel Ramirez.[149] Although applying multiple theories to one instance of music may reveal more details, as I did in Chapter 2, some theories are, by their nature, unable to function for this coda. By investigating and comparing the perspectives of Richard Cohn, David Kopp, Steven Rings, and Yosef Goldenberg, Ramirez summarizes that the relationship between Schenkerian and Neo-Riemannian theories should neither be regarded as complementary nor competitive, especially when dealing with late nineteenth-century music. However, 'In Bruckner's case, submitting his works to Schenkerian analysis has yet to show itself as a fruitful analytical strategy' because either the whole Schenkerian approach is to be heavily altered to be able to explain Bruckner's music or 'Schenker was correct in his view of Bruckner as a composer incapable of establishing meaningful tonal relations beyond the foreground'.[150]

This is especially true in this case where no articulation of the dominant function is to be found in its 61-bar span; the two dominant relationships in bb. 331–333, as will

148 Korstvedt, 'Harmonic Daring', 195.
149 Ramirez, 'Chromatic-Third Relations', 155–69.
150 Ibid, 155–60.

become clear, are not dominant articulations. In addition to pointing out the ineptness of Schenkerian methods for this coda, Ramirez deems that the "traditional notion" of the coda is undermined due to its lack of E major and A major harmonies. The situation is further exacerbated because 'none of the few E major and A major harmonies in the passage have clear dominant or tonic functions'.[151] In this respect, Ramirez provides an analysis using Neo-Riemannian methods instead of Schenkerian. Besides the neo-Riemannian transformations, I adopt three vital features Ramirez discerned: first, he points out that the fifths and the chromatic thirds as introduced in the *Hauptthema* are essential, not only for the coda but for the entire Symphony.[152] Second, he illustrates how the alternations of 'tertian and plagal relationships' are connected by the common tones between the triads.[153] Third, he also makes an analytical division according to the 'harmonic pillars' of the coda into three sections: (A) bb. 309–345, (B) bb. 345–353, and (C) bb. 353–369.

Still, my analysis is significantly different. Two of Ramirez's perspectives seem contradictory: on the one hand, he understands the coda as a 'single intensification towards the final apotheosis', which implies a Beethovenian dramatic model; on the other hand, following Simpson, he describes it as a 'tonal kaleidoscope' because of the 'relentless recurrence of the main motive in ever-shifting keys'.[154] Informed readers will immediately recognize that similar metaphors such as 'star clusters' are frequently applied to Schubert's music as well, and they also interestingly originate from Tovey.[155]

151 Ibid, 162–63.
152 Ibid, 162.
153 Ibid, 168.
154 Ibid, 165. For Simpson's description of the harmonies here as 'wonderful iridescent colours', see *Essence*, 129. Simpson's description is indebted to Donald Francis Tovey, see *Essays in Musical Analysis*, vol. 2 (Oxford: Oxford University Press, 1936), 81.
155 The most significant example is Donald Francis Tovey, 'Tonality', in *Music and Letters* 9 (1928): 362. Many Schubert scholars later followed the lead of Tovey, for example, see Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', in *19th-Century Music* 22 (1999): 213–232. For an intriguing account of kaleidoscope and Schubert, see Clark, *Analysing Schubert*, 1–5.

The common trait between kaleidoscopes and star clusters, or Schubert's and Bruckner's music is the anti-dramatic lyrical tendency. Following my analysis in Chapter 2, I argue that Bruckner displays the tonal kaleidoscope here rather than prepares for an apotheosis, which is reserved until the very end of the Symphony. Besides, I shall further explore the grouping patterns and the deep-level connections between these triads and the intervallic content in the *Hauptthema* to illuminate Bruckner's approach to lyricism.

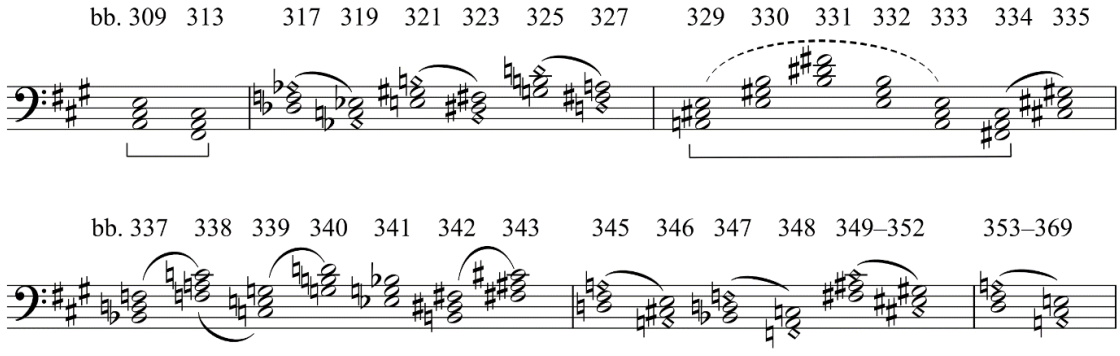
First, any further analysis requires a satisfactory explanation of Bruckner's use of all the plagal progressions in this coda. As I have proposed in Chapter 2, I coin the term 'applied subdominant' to explicate their function. The most accessible articulation of the plagal relationship is the plagal cadence at the end of the coda, which only provides limited stability compared to a PAC. It is as if Bruckner deliberately substituted the dominant with the subdominant to delay the resolution of the tonal-modal argument: 'Ideologically, [plagal cadences] were consonant with the Romantic valuing of openness, because they create less decisive closure than authentic cadences'.[156] The 'openness' of the plagal cadence allows Bruckner to further explore the tonal spectrum without accumulating forward-driving impetus.

Contrary to Ramirez's reading of I–V for these harmonies such as in bb. 345–352, and being more specific than Kevin Swinden's definition of the plagal relationship as DP (**D**ominant **P**reparation) – T (**T**onic),[157] I understand Bruckner's plagal progressions, at least in the Sixth Symphony, as IV–I: an understanding that can be bolstered by the implied D minor (Phrygian inflected version of IV) at the beginning of the movement and the large D–A cadence at the end of the coda. With such a concept, I argue that, of the

156 Leonard Meyer, *Style and Music: Theory, History and Ideoogy* (Philadelphia: University of Pennsylvania Press, 1989), 285. Quoted in Heather Platt, 'Unrequited Love and Unrealized Dominants', *Intégral* 7 (1993): 119.

157 Kevin Swinden, *Harmonic Tropes and Plagal Dominant Structures in the Music of Anton* Bruckner, Ph.D. diss. (1997), State University of New York, Buffalo, 6–14. For the term Dominant Preparation, see Allen Forte, *Tonal Harmony in Concept and Practice*, 3rd ed. (New York: Holt, Reinhardt and Winston, 1979).

two components that form an applied subdominant, the analytical focus should be given to the latter, namely the 'tonic'. The main reason is that unlike the V–I progressions in which there are no shared pitches, the IV–I progressions inherently entail the shared tonic pitch between IV and I. Therefore, unlike the forward-driving potential of the V–I progressions, the plagal progressions have a static quality because the tonic is already anticipated in the IV harmonies.



Example 30: Bruckner 6/I, Coda Phrasing Structure

The second step is to divide the coda, as the dynamic, harmonic, and orchestration patterns throughout the coda suggest a sectional design. Going further than Ramirez, I divide the coda into six sections, as shown in Example 30, in which the 'barlines' indicate phrases, the brackets below the stave denote the tonic-submediant complex, the slurs indicate the applied plagal pairs, and the diamond notes represent the common tones held between the harmonies. Unlike the voice-leading example of Ramirez, Example 30 does not include common tones across phrases because my analysis will show an even more important connection between the phrases. Such a division is supported by arguably the most powerful evidence for any musical analysis, namely the composer's numbering below the score, which is reproduced in Example 28.[158]

158 Bruckner, *VI Symphonie A-Dur (Manuscript)*, A. 19478 (Vienna: Nationalbibliothek), 58–65.

The function(s) of these numbers have long ignited debates among scholars. One of the common views is that these numbers are used to indicate phrasing.[159] Timothy Jackson has proposed that these numbers are used to show the 'all-encompassing "metrical grid"', and the 'downbeat' of the phrases,[160] although Nicholas Steinwand challenges this proposition: 'Jackson does not clearly define what he means by "metrical grid" or "downbeat"'.[161] Steinwand then remarks: 'Nevertheless, if Bruckner counted every measure, and if he started each time with a "1" at or near the beginning of a phrase, it would appear that Bruckner may instead have made an effort to indicate the length of phrases, rather than to specifically locate the downbeat'.[162] At least in the coda, it is without a doubt that they are used to indicate phrasing since the numberings run parallel with the span of the phrases as demarcated by dynamic, harmonic, and orchestration patterns. It can be seen in Example 28 that each bar with the numbering '1' is articulated by a new dynamic expression, for example, the *pianissimo* in b. 317 and 329, which conveys a sense of beginning a new syntactical unit. For the last three phrases, as divided in Example 30, different orchestral settings indicate the boundaries of the phrases. More decisively, this phrasing structure matches perfectly to Bruckner's numbering pattern.

With the phrasing structure clarified, the following analysis focus on the inner workings of each phrase. Just as the analytical attention is given to the harmonies when one finds that the thematic content in the coda is unified by the *Hauptthema*, attention is shifted to intervals between the basses of these harmonies when they are mostly root-position major harmonies. The beginning eight bars of the coda reiterates the *Hauptthema* in A major and F♯ minor, portraying the tonic-submediant mixture. As Ramirez notices,

159 For debates on these numbers, Nicholas Steinwand has provided a comprehensive review, see Steinwand, *The First Movements*, 32–37. For works that advocate the phrasing function of the numbers, see, for example, Edward Murphy, 'Bruckner's Use of Numbers to Indicate Phrase Lengths', in Othmar Wessely et. al. (ed.), *Bruckner Jahrbuch 1987/88* (Vienna: Musikwissenschaftlischer Verlag, 1990), 39–52.
160 Timothy L. Jackson, 'Bruckner's Metrical Numbers', *19th-Century Music* 14, no. 2 (1990): 102.
161 Steinwand, *A Moment-by-Moment Approach*, 35.
162 Ibid, 35–36.

'the inception of the coda does not coincide exactly with the stabilization – or diatonicization – of the motive because the thematic recapitulation in bb. 309–312 still retains some of the modal, tonally ambiguous [i.e., Phrygian] elements of the opening theme'.[163] Traces of the Phrygian elements in the first iteration of the *Hauptthema* lend extra weight to the reading of the E harmony preceding the coda as introducing a new section rather than articulating the tonic as a dominant.

As clarified in Chapter 2, the reason Bruckner abandoned dominant functions in the coda is to enlarge the conflicts inherent in the *Hauptthema* and to extend the symphonic argument into the Finale. As for the E–A progression in bb. 305–312 (see Example 29), Ramirez claims that although bb. 305–308 are certainly E harmony over a bass pedal E, their function as dominant harmony can only be understood retrospectively because it is preceded by a highly chromatic passage (specifically, the third theme). However, he also notices the textual and dynamical change from the third theme into this E harmony.[164] I contend that Bruckner arranged the contrast in terms of texture and dynamics here to suit a bifocal purpose: on the one hand, he needs to attain some degree of confirmation between the two extensively chromatic passages, namely to anchor the A major (and, importantly, the F♯ minor that follows) with the E harmony; on the other hand, he uses such delicate settings to confine the power of the dominant function so that this articulation does not grow into a PAC since a PAC, or a concluding gesture can spoil the outer movement's cyclical form and limit the extensive lyricism in the coda.

As Bruckner's numberings indicate, the second phrase lasts twelve bars, with every two bars containing a truncated *Hauptthema* supported by root-positioned major harmonies. Every two such harmonies form a plagal pair, as shown in Example 30. It becomes evident that the distance between each pair is a minor third, and, since the focus

163 Ramirez, 'Chromatic-Third in Bruckner', 164.
164 Ibid.

is on the second harmony within the plagal pairs, A♭ major, B major, and D major are highlighted. Similar to the situation in the fifth phrase, which I have discussed in Chapter 2, Bruckner's voice-leading of the trumpet (not shown here) emphasizes the root pitches: in bb. 317–320, the trumpet sustains the pitch A♭, and for the other two four-bar groups B and D. Such a voice-leading structure is also the natural result of the shared local tonic pitch between IV and I harmonies. It is not a mere coincidence that the roots of the latter harmonies, namely A♭, B, and D enharmonically form the leading-tone diminished triad of A major, which is prolonged in the first part of the next phrase as if the leading-tone diminished triad latently 'resolves' to it.

The third phrase reverts to eight bars' length, in which the first five harmonies (A–E–B–E–A) are grouped with a broken slur in Example 30. Again, Bruckner uses intervallic devices to imply the grouping within the third phrase: notice that the violin accompaniment (see Example 28) in these five bars is based on major pentatonic scales built on the root of the underlying harmonies. For example, the accompaniment in b. 329 contains the pitches A, B, C♯, E, F♯ that forms the A major pentatonic scale. The use of pentatonic elements unify the first five bars and also contributes to the coda's kaleidoscopic effect. The only two falling fifth progressions in the coda, namely B–E and E–A appear in the last three bars of this five-bar arch. As indicated previously, they do not acquire dominant articulation because they are contained in the symmetrical process of prolonging the tonic: they follow the two plagal progressions starting on A major in b. 329, and they counterbalance the plagal progressions and restore the music to A major, which is to be followed by its submediant, F♯ minor.

The third phrase ends with the plagal progression from F♯ minor to C♯ major, the latter of which leads to the fourth phrase. Two features require attention: first, the opening rhythmic ostinato figure returns enlarged in the woodwinds in b. 337. The ostinato will

be restored to its original proportions in the fifth phrase as accompaniment. Second, there is again a division within the phrase, for that the first four harmonies form a succession of plagal progressions and the end of which, G major, initiates a descending major third sequence that is rounded off with another plagal progression. Thus, the fourth phrase also contains two sub-phrases, each featuring one intervallic element: the first half plagal and the second half major third.

With the fifth phrase already discussed and the last phrase being self-explanatory, my analysis of the individual phrases is complete. As heard in the coda, Bruckner's plagal progressions have at least three different functions: 1) prefix, 2) suffix and 3) prolongation. All these functions are context-dependent due to the relatively weak nature of plagal progressions. The prefix and suffix functions are different manifestations of the same quality of plagal progressions, namely the indecisive cadential power resulting from the shared tonic pitch. The prefix function, i.e. the 'applied subdominant', is most clearly seen in phrases 2 and 5, where the regular pairing pattern and the consistent interval between each pair indicate such a function. In an extreme view, the gigantic plagal cadence at the end can also be categorized as a prefix. The suffix function applies to the two plagal progressions at the end of the third and fourth phrases, in which the last harmony is extended from the penultimate. The F♯ minor in b. 334 and the C♭ major in b. 342 are not prefixes because their association with the preceding harmonies is much stronger: the F♯ minor is part of the A–F♯ complex, and the C♭ major is part of the G–E♭–C♭ descending major third sequence. The last of the three functions, the prolongation function, is only to be perceived together with the corresponding authentic progressions that they counterbalance, such as in the third phrase.

The six phrases exhibit a paratactic construction where each phrase contains one or two of the fundamental intervals that Ramirez points out, namely the fifth and

chromatic thirds. Removing all the plagal prefixes in the second and fifth phrases, a clear pattern of organization emerges: the first phrase embodies the minor third with the tonic-submediant complex; the second phrase manipulates the minor thirds differently by projecting an underlying diminished triad which only dissolves into the prolonged tonic in the next phrase in a dormant way; the third phrase mainly features the two forms of the fifth relationship to explore its potential of prolongation; the fourth phrase combines the plagal progressions and the major thirds, and the fifth phrase most prominently features the major thirds.

Attention should also be given to the connection between phrases. Following the same logic, I contend that the intervals formed between the roots of the outer harmonies of the phrases are the key to understanding Bruckner's delicate manipulation of phrase connections. The intervals between the phrases are (enharmonically): descending fourth (equals ascending fifth), descending fifth, minor third, major third, and finally, minor second. Little surprise that these intervals between the phrases are the same fundamental intervals originated from the *Hauptthema*, as my analysis in Chapter 2 shows. Therefore, Bruckner's phrasing structure is not a random exploration of the tonal kaleidoscope but a carefully planned disintegration of the *Hauptthema* into intervallic elements and a paratactic recollection of them: a process in which these intervals underpin both intra-phrase and inter-phrase relationships.

There are two additional points to make regarding the entirety of the coda. The root-positioned major harmonies in the coda encompassed all the twelve major harmonies available, which is perhaps why this coda is referred to as a 'tonal kaleidoscope'. For the harmonies in the fourth and fifth phrases that are the only two phrases featuring major third progressions, their roots form a complete palette of all the twelve tones barring E and G♯. Again, this is not a mere coincidence, for the two pitches are the dominant and the leading tone for the tonic, respectively. The two phrases are not only jointed by the

orchestration but also the motivic details, for that the opening rhythmic ostinato is first reiterated in the fourth phrase and then in the fifth. Given their position just before the plagal cadence on the tonic, it is arguable that Bruckner's harmonic planning reveals once again his intention of promoting hexatonic relationships over the traditional means of the dominant.

4.3 Recollective Lyricism in Bruckner and Schubert

The dictionary definition of lyricism is 'an intense personal quality expressive of feeling or emotion in an art'.[165] For musicologists, Schubert's lyricism in his sonata form is often a combined result of musical gestures and styles concerning harmony, syntax, and form. As Suyin Mak summarizes, anti-dramatic features such as 'three-key expositions, transpositional key schemes, non-tonic recapitulations and closed and repetitive periods' are identified as lyrical features since the earliest Schubert scholarship.[166] Mak further points out that Donald Francis Tovey and Felix Salzer measured Schubert's lyrical sonata form against the Classical paradigm, which is a 'dramatic model', and thereby considered Schubert a weak composer unable to master large-scale instrumental form.[167] While Schubert's lyrical approaches are highly regarded today, the following discussion still attempts to consolidate their merit by demonstrating how Bruckner constructs this coda informed by Schubert's influence.

As stated above, by the time Bruckner started to compose the Sixth Symphony (1879), the Quartet was published (in 1851) for twenty-eight years and therefore was readily available to Bruckner. Based on such a premise, one of my central speculations is that Schubert's G major String Quartet, D. 887, especially its first movement, is an

165 *Merriam-Webster*. https://www.merriam-webster.com/dictionary/lyricism
166 Mak, *Schubert's Lyricism Reconsidered*, 1.
167 Ibid, 2.

important model on which Bruckner developed this coda. Although Bruckner's coda makes no direct reference to the G-Major Quartet, it shares with the Quartet many of the lyrical compositional approaches, such as variation principle, thematic recollection, and paratactic syntax. These lyrical devices, if considered individually, were by no means exclusive to Schubert, nor the Quartet, but a systematic combination of them found in Bruckner's coda would suggest the Quartet's influence on Bruckner in no small measure.

What I intend to draw from the many discussions on the Quartet is most succinctly summarized in Mak's analysis of the first movement. Mak observes that in the first theme group, 'the tremolos saturate the musical surface with micro-rhythmic articulations against the slow and steady harmonic rhythm of the chord progression to suggest multiple levels of temporality'.[168] In a recent study, Hyland also proposes the concept of 'form-functional multiplicity' in the first moment. With the aid of William Caplin's theory of formal function and Janet Schmalfeldt's theory of retrospective reinterpretation, her analysis also shows multiple temporalities in Schubert's first movement in terms of syntactic structure rather than rhythm.[169] The juxtaposition of 'competing temporal perspectives'[170] denotes Schubert's engagement with and manipulation of both the sonata and variation principles, the latter of which finds the former a referential point.

In light of Mak's observation, I propose that Bruckner's coda develops an even more complex structure of temporality by combining the 'grouping' and 'mixture' principles identified by Horton.[171] In the Sixth Symphony, Bruckner also employs the principle that Horton refers to as 'instrumental and rhythmic stratification', which is 'applied most expansively in the coda'.[172] Horton's analysis shows that the 'rhythmic

168 Ibid, 113.
169 Anne M. Hyland, 'In Search of Liberated Time, or Schubert's Quartet in G Major, D. 887', *Music Theory Spectrum* 38 (2016): 58–108.
170 Ibid, 106.
171 Julian Horton, 'Bruckner and the Symphony Orchestra', in *Companion to Bruckner*, 155.
172 Ibid, 141–155.

space' in the coda is filled by distinctive elements such as the rhythmic figures from the opening ostinato, triplet fragment from the *Hauptthema*, tremolos in the violas and quavers in the bass and the combinations thereof. The overlaid instrumental and rhythmic strata can invoke the sense of multi-dimensionality alongside the iridescent harmonic palette that should be approached from 'so many different viewpoints from which to absorb the basic material'.[173]

What is more important is that Mak agrees with Felix Salzer by addressing the 'loosely constructed series of repeated motivic units' in the second theme.[174] Salzer's famous quote, albeit in a different context, contains critical ideas that can be applied to Bruckner's coda as well: 'the lyrical tendency to expand by repeating the group of motives' results in 'a unified construction that exists for its own sake, since it does not appear to have been formed with regard to an artistic synthesis with different ideas'.[175] Mak comments on this quote that the lyrical tendency 'towards self-contained expansiveness, repetition, and sectional subdivision' is incompatible with the forward-driving sonata aesthetic.[176] These lyrical features are all clearly shown in Bruckner's coda, in which the well-defined phrases (sectional subdivision) are all based on the *Hauptthema* motive (repetition), and each phrase presents the *Hauptthema* above a specific configuration of harmonic backgrounds – a series of non-diatonic relationships which is essentially non-dramatic (self-contained).

While the coda is considered a 'parageneric' attachment to the sonata trajectory,[177] Bruckner's coda is unusual since it is at once an indecisive attachment to the first movement and an irreplaceable part of the overall cyclical form. In general, Schubert's

173 Deryck Cooke, 'Anton Bruckner', in *The New Grove: Late Romantic Masters* (New York: Norton, 1985), 50.
174 Mak, *Schubert's Lyricism Reconsidered*, 117.
175 Felix Salzer, 'Die Sonateform bei Franz Schubert', *Studien zur Musikwissenschaft* 15 (1928), 88. Quoted and translated in Mak, *Schubert's Lyricism Reconsidered*, 117.
176 Ibid, 36–37.
177 Hepokoski and Darcy, *Elements of Sonata*, 281–83.

'[realization of] harmonic goals in a lyrical, nonaggressive fashion'[178] finds its successor in Bruckner's coda: it can be argued paradoxically that the lyricism in the coda 'exists for its own sake' as a colourful reminiscence of the *Hauptthema*, and it also not only 'exists for its own sake' by serving, in a higher level, Bruckner's purpose of delaying the realization of his large-scale cyclical form – and it serves this purpose well by 'existing for its own sake'.

On the other hand, Carl Dahlhaus famously reconciles the forward-pressing drive of the sonata model and the repetitive tendency demonstrated in the Quartet, in which the 'consistent musical logic' and the 'relaxed pace' coexist.[179] Dahlhaus describes the first theme group as 'drawing ever-expanding circles around the theme', and 'the variation principle as such is not goal-oriented, but rather resembles a commentary "meandering" about the theme, illuminating it from different sides'.[180] As noted above, similar descriptions such as Simpson's 'tonal kaleidoscope' have been applied to Bruckner's coda, which certainly satisfies Elaine Sisman's definition of variations as 'a form founded on repetition... in which a discrete theme is repeated several or many times with various modifications'.[181] Both Dahlhaus's and Simpson's rhetorical devices for variations are not new. Long before them, Gioseffo Zarlino associated variation with [chromatic] colours, and such an association can even be traced back to general antique usage of the etymological roots of the word 'variation'.[182]

Relating to variations and lyricism, one notable feature that has been frequently pointed out in the Quartet is the allusion to memory, which is also an essential feature in

178 Poundie Burstein, 'Lyricism, Structure, and Gender in Schubert's G Major String Quartet', *The Musical Quarterly* 81 (1997): 54.
179 Carl Dahlhaus, 'Sonata Form in Schubert: The First Movement of the G-Major String Quartet, Op.161 (D.887)', trans. Thilo Reinhard, in Walter Frisch (ed.), *Schubert: Critical and Analytical Studies* (Lincoln: University of Nebraska Press, 1986), 1–12.
180 Ibid, 2.
181 Elaine Sisman, 'Variations', in *Grove Music Online*, 1. https://doi.org/10.1093/gmo/9781561592630.article.29050. Retrived on 15 October 2020.
182 Ibid, 4.

Bruckner's coda. For example, the echoing of the horns and trumpets in the first four phrases is a typical topic in the nineteenth century that has the connotation of pastoral life and memory of the past.[183] Bruckner had long used topical allusions to memory: according to Hatten, as early as in Bruckner's *Erinnerung* ('Reminiscence', composed ca. 1868), 'echo-like imitations' suggest 'self-reflective reminiscence'.[184] But what is more pertinent to the Quartet and the Coda is Scott Burnham's observation that Schubert established an 'inward, private' and 'psychedelic' effect in the Quartet, in which the 'landscape-like' themes are repeated in an 'illusory' way.[185] Burnham's last two examples feature an unfolding of keys 'as stations along the diminished-seventh sonority' to create the 'ex-centric, wandering [effect], where every step is as close to the centre as the last'.[186] This cyclic scheme of harmonic stations is reinvented in that of Bruckner's second and fourth phrases in the coda, where the second phrase unfolds a diminished triad and the fourth an augmented triad, albeit in a more elaborate way because of the additional layer of applied subdominants.

More important than topical implications are the coda's thematic recollection and paratactic syntax. As my analysis shows, the coda's two primary materials, namely the repetitive melodic fragment and the intervallic elements in the bass, both originate in the *Hauptthema*. The coda displays a process in which the motivic elements in the *Hauptthema* disintegrate and recollect: the organic unity of the *Hauptthema* is now broken into musical elements such as the chromatic thirds, and Bruckner rearranges them to be juxtaposed to each other in the phrases in a way that corresponds to the paratactic syntax commonly found in Schubert's late music, especially the Quartet. Such a process invokes a sense of reminiscence, in which elements from a single past event can emerge

183 Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), passim.
184 Hatten, 'The expressive role of disjunction', 148.
185 Scott Burnham, 'Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition', *19th-Century Music* 29 (2005), 31–41.
186 Ibid, 36.

one by one and becomes a series of recollected fragments placed next to each other. Instances of smaller scales can also be found in the coda. For instance, the symmetrical prolongation of the tonic in the third phrase invokes the sense of 'home-coming' or 'reminiscence' after a plagal excursion away from the tonic.

Regarding the lyrical 'home–excursion' trope frequently discussed in Schubert, another example exists in the coda.[187] As discussed above, the six phrases involve the intervallic progression from minor third to major third and finally, descending fourth (plagal cadence) in the bass. The progression moves from familiarity to foreignness: while the minor thirds in the first three phrases and the fifths in the third phrase signify the common device of modal mixture (that is, in this case, the mixture of I and vi) and prolongation, the major thirds in the last two phrases denote Bruckner's novel harmonic progressions. The fourth phrase, with descending fourths in the first half and major thirds in the second half, acts as a transition between familiarity and foreignness. A similar passage can be found in the development (bb. 167–174), which is discussed in Chapter 2.

Bruckner's coda involves another dimension of memory in the phrasing structure regarding the development section in the first movement. Whereas 'the allusive nature of Schubert's discourse' in the first movement of the Quartet projects 'a "past" that has existed even before the piece began' owing to the 'topical references to the French overture and the Classical slow introduction',[188] Bruckner's coda not only shares the four-bar-based phrasing structure with the development section of the same movement but also the motivic organization: its first three phrases are orchestrated in a highly similar way as the development's core and its sequential repetitions, to borrow Caplin's terms,[189] which

187 Too many works can be cited here. For a notable example that discusses the parallel between Schubert's piano sonata D. 960 and his literary fantasy 'Mein Traum', see Peter Pesic, 'Schubert's Dream', *19th-Century Music* 23 (1999): 136–144.

188 Mak, *Schubert's Lyricism Reconsidered*, 116–17. The topical references are quoted from Walter Frisch, '"You must remember this": Memory and Structure in Schubert's String Quartet in G Major, D. 887', *Musical Quarterly* 84 (2000), 582–87.

189 Caplin, *Classical form*, 141–55.

are also based on the *Hauptthema*. Bruckner's development and coda both conform to François de Médicis's argument that 'the development of one or more motives through sequencing and fragmentation necessarily produces great motivic redundancy, and this, in turn, will produce strong uniformity of surface groupings and accentuation'.[190] Therefore, it can be argued that the coda is also a memory of a past event – the development, especially its core section, which is itself unusual for its lyrical presentation of the *Hauptthema* instead of the Sturm und Drang topics that are commonly associated with first development cores.[191] Consequently, the sense of recollection is further enhanced by the fact that the "past" that the coda is memorizing, i.e. the *Hauptthema* and the development section, is not in the same realm as the coda itself: the parageneric coda is recollecting the materials in the generic sonata space.

Although I do not attempt to substantially introduce neurosciences into my reading of the coda, recent psychological studies related to memory and dream – two common activities associated with romanticism – do shed light on Bruckner's paratactic arrangement of his intervallic elements. According to Erin J. Wamsley and Robert Stickgold, dreaming can be viewed as 'one of several forms of spontaneous offline cognition involving the reactivation and processing of memory'.[192] In other words, the two Romantic activities are indeed intimately associated, and some of their fundamental processes are also similar. By offline activation, the authors mean 'memory consolidation' or 'replay of memory', i.e., the dream contains thoughts and imagery related to previous experience.[193] Most importantly, as the authors point out, the exact replication of a 'particular waking event' is rare, while is it often the case that '*elements* of a waking

190 François de Médicis, '"Heavenly Length" in Schubert's Instrumental Music', in Steven Vande Moortele, Julie Pedneault-Deslauriers and Nathan John Martin (ed.), *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno* (Rochester: University of Rochester Press and Suffolk: Boydell & Brewer, 2015), 210.
191 Ibid, 202.
192 Erin J. Wamsley and Robert Stickgold, 'Dreaming and offline memory processing', in *Current Biology* 20 (2010): 1010–1013.
193 Ibid, 1011.

experience, perhaps a character or theme, are typically integrated into the dream'.[194] The fragmentary nature of the re-appearance of one's personal life history, or autobiographical memory (AM), and its relation to dreams are also discussed by Caroline L. Horton and Josie E. Malinowski.[195]

I shall limit myself from further discussing psychological and neuroscientific sources here, but suffice it to say that the disintegration and recollection of past events, whether in a dream or a memory, is not only a shared experience among us but also a substantially corroborated process in science. The coda's recollection of the metrical and textural settings of the development is a form of 'reminiscence', although it is the intervallic recollection of the *Hauptthema* that best illustrates the neuroscientific phenomena cited above. Whether or not Bruckner composed the coda with a conscious allusion to the activities of memory or dream, the disintegration of the *Hauptthema* into intervallic elements and the paratactic recollection of such elements can invoke lyrical topics such as dreams and memory. In the process of such a recollection, Bruckner recalls the late instrumental music of Schubert by using a combination of a significant number of techniques that Schubert also used in some of his most representative works. This discussion also calls for further study that explores Bruckner, Schubert, or any other lyrical composers' possible allusion to dream and memory concerning neuroscience.

194 Ibid, 1011.

195 Caroline L. Horton and Josie E. Malinowski, 'Autobiographical memory and hyperassociativity in the dreaming brain: implications for memory consolidation in sleep', in *Frontiers in Psychology* 6, no. 874.

Epilogue

Bruckner had already demonstrated his mastery of the cyclical form in the Fifth Symphony, in which the motivic works unify the movements and transcend in the gargantuan coda of the Finale. The Sixth Symphony represents a further step towards refining his command of the cyclical form. What is most progressive in his techniques is the combination of motivic, modal, and harmonic elements to establish a paratactic cyclical form in the deliberate absence of the most critical conventional device, the PACs. In the outer movements, Phrygian-diatonic and plagal-authentic oppositions and hexatonic harmony are the fundamental forces of integration. The Phrygian mode prevails in the Adagio, and the hexatonic relationship undergirds the Scherzo, but it is only in the outer movements that these generative elements are thoroughly interwoven to undergird the cyclical form.

Above all, the crux of the Symphony is the *Hauptthema*. The descending fifth in b. 3 has the potential to develop into a full PAC in the tonic, but it never does. Its two statements are related by an L transformation that implies the hexatonicism and the derived orbital system, which unifies the non-diatonic harmonies in the first theme. From the very opening till the end, the Sixth Symphony strives to restore the *Hauptthema* into its tonic form, and Bruckner manages to defer the restoration, again and again, thereby extending the cyclical form to unify the outer movements. The first movement had three chances to accomplish the tasks. First, it could recapitulate the second theme in A major. If the second theme was transposed down a fifth into A major, Bruckner will at once achieve a conventional recapitulation and obtain the tonic. Recapitulated in F♯ minor instead, the second theme does form a V–I relationship with the C♯ pitches and harmonies in the first theme, as Korstvedt deems. As the relative minor to the tonic, however, it can only partially confirm the tonic. Second, the recapitulated third theme leads to an E

dominant seventh in bb. 305–308, which does, no matter how weakly, progress into A major, although the first theme harks back to the Phrygian-inflections at the start of the coda. The third chance lies within the rest of the coda, which could not resist the influence of the plagal progressions either.

Compared to the Phrygian and plagal-laden first movement, the Finale features a harmonically more pellucid first theme and confines most of the plagal progressions in the relatively isolated second theme. Still, it fails to restore the tonic with a PAC, and Bruckner also deliberately confines the dominant relationships into the third theme. That said, a structural 'redemption' paradigm described by Darcy is exemplified in the Finale. As discussed, the biggest challenge is that the second theme is transposed down a minor third instead of the desired major third. Thus, the burden of 'redemption' falls on the third theme. While in the exposition, a highly elaborated transition connects the second and third themes, there is virtually no such transition in the recapitulation. The C harmonies in bb. 113–124 remotely land the third theme in F, which eventually slips to the dominant, E major. Two large-scale *descending* SLIDE2 relationships are involved: the first occurs between the end of the second theme and the start of the transition, and the second between the start and the end of the third theme. Likewise, the recapitulation delineates two *ascending* structural SLIDE2 transformations, one between the second theme and the third theme, and the other within the third theme. The descending and ascending minor seconds projected by the two pairs of SLIDE2 transformations effectively enlarge the Phrygian and diatonic leading tones at the corresponding structural positions in the exposition and recapitulation.

Darcy's 'redemption paradigm' concerns the use of a second theme to 'correct' the main theme into proper tonality, usually tonic major. I argue that such a concept can be extended to incorporate intervallic, thematic, and formal elements to account for Bruckner's sonata trajectory in the Finale. In terms of intervallic relationships, the second

theme is ‘misplaced’ down a minor third and thus becomes a formal disturbance. To mitigate this formal crisis, the transition in the recapitulation is excised, and Bruckner reversed the direction of the two structural SLIDE2 transformations, by which he not only brought the ending harmony of the third theme to C, which is a major third away from E in the exposition but also offset, albeit not completely, the Phrygian influence of the ‘structural’ leading tones. C major seventh is not the ideal harmony to end the recapitulation with, but the hexatonic relationship it forms with the E major at the end of the exposition obtains significance in the context of Bruckner’s Sixth. The harmonies that form the SLIDE2 transformations are all of major quality and are in root position, which is another reason to consider them as projections and focus on the intervals formed between their basses. After the ascending SLIDE2s, the *Hauptthema* is restored to the long-awaited A major status. This apotheosis is the ultimate goal of the Symphony and its cyclical form, by which Bruckner provides an alternative way of achieving symphonic monumentality, that is, by means of an integrated web of pitch relationships that contrasts with the diatonic Classical idiom.

Bruckner’s Sixth Symphony is a milestone in his symphonic canon. Its unconventional pitch relationships such as the Phrygian and hexatonic harmonies are at once the source of conflicts and the force of resolution. Moreover, it is through the cyclical deployment of the motives of opposite leading tones and plagal-authentic relationships that Bruckner embodies Phrygian-diatonic and Hexatonic-diatonic conflicts that extend the central argument of the *Hauptthema* into the very end of the Finale and achieves the apotheosis of the theme without the traditional means of the PAC. Such a delicate manipulation of motivic elements at all levels attests that Bruckner is indeed a master of symphonic forms, for it is the systematic organization of all the unorthodox pitch relationships that made the unusual sonata forms in the outer movements possible.

Bruckner elevated Schubert's paratactic syntax to a higher level where his theme zones are distinguished from each other by their harmonic complexes. Like Schubert, Bruckner's phrases are usually closed and repetitive; the development and the coda in the first movement are representative examples. Further to Schubert, Bruckner's thematic zones are also self-contained because of the different harmonic complexes and motivic compositions in each theme. Bruckner's parataxis is, of course, not limited to theme zones: Not only are the harmonic complexes in the first movement based on the alternative pitch relationships prepared in the *Hauptthema* but also are the hexatonic progressions connecting the first and the second themes in the outer movements, not to mentioned that, in the Finale, the leading tone motives play the role of 'rescuing' the paradoxical second theme. Even in the codas (which is not considered part of the sonata space) of the outer movements, Phrygian, plagal and hexatonic relationships undergird the paratactic structure. In all the crucial junctures of sonata form, Bruckner avoids using authentic progressions. Instead, he juxtaposes the phrases, the thematic zones and the sonata modules based on one central idea: to motivically unify the musical blocks 'around' the tonic, A major, with intervallic and harmonic motives from the *Hauptthema* throughout the cyclical outer movements.

Revealing a paratactic sonata form that is different from the Beethovenian model, this study calls for further investigation into the late-Romantic oeuvre where alternative pitch organizations to the diatonic modes and authentic progressions and paratactic structures can be used to support large-scale instrumental forms. The connection between Schubert and Bruckner requires more examination especially regarding the inheritance and development of paratactic structures. It is hoped that the insights into Bruckner's harmonic and formal approaches may contribute to further study into the interaction between pitch relationships and form in late-nineteenth-century works.

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