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Sonata Form as Temporal Process:
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Bruckner's
Symphonic First Movements

A thesis presented for the degree of
Doctor of Philosophy
by
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2023

Abstract

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Sunbin Kim

The clichéd view that Bruckner's sonata form is a motionless architecture devoid of dynamic processes has long contributed to detaching his form from the mainstream post-Beethovenian tradition. In aiming to overcome this view, this study seeks to elucidate processual aspects of Bruckner's form with a modified form-functional approach, which conceptualises sonata form as a hierarchical temporal process based on the dialectical interaction between stability and instability. By shedding light on Bruckner's exceptional care for formal syntax on various levels and its close association with the overarching tonal plot, this study reveals that the expression of continuous temporality occurring across discrete formal entities is Bruckner's fundamental tool for reinvigorating sonata form's inherent temporal process in the post-Romantic context. Bruckner's treatment of low-level syntax in the opening themes indicates that he often employs prematurely harmonic instability, which in turn contributes to the linear expression of the beginning–middle–end temporal cycle inherent in sentence construction. At the higher level, the inter-thematic beginning, middle and end in the exposition are redistributed to the three theme groups, which express their unique temporal domain involving a dialectic interaction between teleology and recursion while delineating a gradual and continuous tonal journey from the home key to the subordinate key. The rest of the movement is arranged as a gradual homecoming journey, with each subsequent large-scale part making meaningful contributions and addressing the previously suggested tonal instability. These findings suggest how meticulous Bruckner was in his attention to the inherent dynamic process of sonata form by skilfully arranging the hierarchical form-functional syntax to align with the teleological tonal discourse.

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Abbreviations

b.i. – basic idea

c.i. – contrasting idea

c.b.i. – compound basic idea

pres. – presentation phrase

cont. – continuation phrase

ant. – antecedent phrase

cons. – consequent phrase

s.o.d. – standing on the dominant

seq. – sequence

frag. – fragmentation

comp. – compressed

ext. – extended

trunc. – truncated

inv. – inverted

TR – transition

RT – retransition

MC – medial caesura

PAC – perfect authentic cadence

IAC – imperfect authentic cadence

HC – half cadence

PC – plagal cadence

⇒ – retrospective re-interpretation

→ – change of state (or transition) from one to another/fast-modulating unstable harmonic areas

Statement of Copyright

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Acknowledgements

I wish to express my sincere gratitude for the generous support of Durham University through the Durham Doctoral Studentship (DDS) that funded this work. I am deeply thankful to Professor Julian Horton for his invaluable guidance and expertise, as well as for his kindness and generosity of time. I would like to extend my sincere appreciation to Dr Erin Johnson-Williams for her insightful contributions and support. I am also grateful to my music-analysis cohort at Durham University for the lively and inspiring discussions.

This work could not have been achieved without enduring support from my family. I owe a debt of gratitude to my parents and parents-in-law, whose unwavering love and prayers sustained me throughout this journey. Finally, I would like to express my deepest thanks to my wife Jihye Kim, whose love, support, and patience were instrumental in enabling me to complete my PhD.

Chapter 1: Introduction

Reception of Brucknerian Form

In the first edition of *The New Grove Dictionary of Music and Musicians* (1980), Deryck Cooke wrote in his 'Bruckner' entry as follows:

Sonata form is a dynamic, humanistic process, always going somewhere, constantly trying to arrive; but with Bruckner firm in his religious faith, the music has no need to go anywhere, no need to find a point of arrival, because it is already there. [...] Experiencing Bruckner's symphonic music is more like walking round a cathedral, and taking in each aspect of it, than like setting out on a journey to some hoped-for goal. (Cooke 1980, 366)

Cooke's remark reveals two stereotypical sentiments (which are related to each other) about Brucknerian form, which have been influential in Bruckner reception. One is the clichéd idea of likening his form to a motionless architecture – especially a 'cathedral', by which to imply the alleged religious connotation of Bruckner's music as well – thus promoting a static conception of Brucknerian form, which allegedly lacks dynamic processes. The other is the habit of detaching Bruckner from the mainstream sonata tradition. Although this is only subtly suggested in Cooke's comment, he contrasts the conventional conception of sonata form, which is 'a dynamic, humanistic process', 'going somewhere' and 'trying to arrive', with Bruckner's music, which he thinks is far from facilitating such 'a journey to some hoped-for goal'. This allusion is also related to the tendency to stereotype Bruckner as an ahistorical or anachronistic figure having a premodern mentality, a view not only implied in Cooke's 'cathedral' metaphor but also underpinning, for instance, in another of Cook's well-known comments that Bruckner's 'stance is not Romantic, but medieval' (Cooke 1985, 50).¹

Similar attitudes are already found in some early comments from Bruckner's contemporaries, usually in the way of complaining about the alleged schematism and seemingly disjunct formal sections in Bruckner's music. Such criticism is, for instance, found in Gustav Dömpke's review of a

¹ This kind of view is also found in some commentaries by Bruckner's contemporaries: for example, Franz Schalk associated Bruckner's symphony with the 'medieval, monasterial concept of humankind and life'. See Schalk 1935, 76 and 87ff., as quoted in Floros 2001, 289.

performance of the Seventh Symphony: he wrote that ‘Bruckner lacks the feeling for the basic elements of any musical structure and for the combination of a series of integral harmonic and melodic parts’ (*Wiener Allgemeine Zeitung*, 30 March 1886; trans. in Howie 2002, 508). Similarly, Heinrich Schenker, once Bruckner’s student at the University of Vienna, criticised that in his teacher’s music, ‘the sense of sonata form is merely to present ideas in succession, no matter how and wherefore a potpourri could not also possess the value of an organic whole’ (Schenker 1908, trans. by Lee Rothfarb at *Schenker Documents Online*).² For him, Bruckner only possessed a kind of textbook understanding of form without the ‘instinct for form’ the old masters such as Haydn, Mozart and Beethoven owned (*ibid.*). Even Franz Schalk, one of the most important proponents of Bruckner, betrayed a similar bias when he wrote: ‘Nothing is more primitive than Brucknerian form [...] Bruckner fabricated a very simple schema for his movements, and never speculated about it and held to it regularly in all of his symphonies’ (cited and trans. in Korstvedt 2004, 171). This line of thought has constantly reproduced an image of Bruckner in which, as Horton (2014) well summarises, ‘he is deemed to embody a kind of pre-Enlightenment spiritual certainty [...] and this drew his symphonic aesthetic [...] away from Beethovenian dynamism and towards a kind of passive or static conception’ (79).³

There were, of course, some pioneering figures, who resisted such framing of Brucknerian form and attempted to reveal its dynamic, processual aspects, thus reconsidering Bruckner’s historical significance. August Halm and Ernst Kurth were two of the most influential apologists in the early twentieth century who held such a view. As Giselher Schubert (2010) points out, Halm approaches Bruckner’s music as an ‘expressive temporal art’ [*nachdrücklichen Zeitkunst*] (65), deliberately distancing himself from the schematic understanding of form. While acknowledging the seemingly episodic character of Bruckner’s form, Halm recognises that such episodic elements are unfolded in the

² https://schenkerdocumentsonline.org/documents/correspondence/OJ-5-15_4.html

³ This kind of stance has been especially prevalent in the English-speaking world for a long time, as exemplified in some writings of earlier influential commentators such as Donald Tovey. For him, Bruckner’s ‘pyramidal style’ is nothing more than the outcome of a mismatch of the Wagnerian style and the superficially understood sonata outline. See Tovey (1935), especially 74. A similar sentiment is shared by Robert Simpson in his *The Essence of Bruckner* (1992). Although having a more favourable attitude towards Bruckner with many thoughtful insights, he still betrays a view that detaches Bruckner’s form from the Beethovenian dynamic paradigm, especially when he defines Bruckner’s music as the ‘patient search for pacification’ (232). For more extensive discussions on the British reception of Bruckner, see Horton 2018a.

manner of what he calls the ‘epic succession’ [*die epische Aufeinanderfolge*] (Halm 1914, 56). This temporal mode may be seen as different from Beethoven’s dialectic kind of dynamics, but still retains, for Halm, a high degree of ‘consequentiality’ [*Folgerichtigkeit*],⁴ as is especially evident in ‘the overarching dynamic shapes arising mostly from harmonic but also thematic processes that carry the music through its epic succession of escalatory and balancing de-escalatory phases’ (Rothfarb 2009, 121). The mode of epic succession enables both a high degree of thematic individuality and a sense of forward motion (albeit it is closer to a serene kind of temporal progress) at the same time, thus appealing to what he calls ‘corporeality’ [*Körperlichkeit*], the quality which he values highly in musical arts.⁵ Thus, Bruckner could lead sonata form to another new phase, establishing what Halm calls ‘the third culture’ of musical form, which synthesises the culture of themes (exemplified by Bach’s fugue) and the culture of harmony (exemplified by Beethoven’s sonata).

The processual conception of Brucknerian form that Halm explored was further developed by Kurth (1925, 1991).⁶ He consistently refused a static or schematic understanding of form and instead explained Bruckner’s form in terms of what he called ‘wave dynamics’, the musical embodiment of energy creating processes of intensification and de-intensification. In these terms, our sense of form in Bruckner’s music is created by a real-time perception of wave formations at different hierarchical levels, where ‘everything is vitally directed toward coming events’ (Kurth 1991, edited

⁴ Halm differentiates consequentiality from mere sequentiality. For him, ‘the more sequentiality [*Aufeinanderfolge*] becomes consequentiality [*Folgerichtigkeit*] [...] the better is the sonata’ (cited and trans. in Rothfarb 2009, 114). Halm’s comparison between Mozart and Beethoven is especially telling in this respect: for him, while Mozart’s sonata forms often ‘lack formal consequentiality and temporal differentiation among closural passages’ (ibid., 114), Beethoven’s music more often ‘drives relentlessly forward, without interruptive, closural cadences’ (ibid., 78) until it settles down, for instance, at the very end of the exposition. It is notable that such avoidance of closure, which results in generating forward drive, is also one of Bruckner’s important formal strategies, which will be addressed in my later discussions.

⁵ For a comprehensive discussion on Halm’s concept of ‘corporeality’, see Rothfarb 2005. According to Rothfarb, Halm contrasts the concept of ‘corporeality’ with ‘spirituality’ [*Geistigkeit*] and places more value on the former. For Halm, ‘music is sufficiently spiritual by nature and therefore does not need further spiritualization through compositional means’ (ibid., 124). This view demonstrates the point where he greatly disagrees with Schenker: for Halm, Schenker’s theory (especially with the concept of *Ursatz*) is too ‘spiritual’ or even ‘esoteric’, underrating too much the aspect of ‘aural immediacy’ generated from the musical surface. This dispute led them to the completely opposite opinions about Bruckner and Brahms. In a response to Schenker’s criticism of Bruckner as ‘too much a foreground designer’, Halm rather praised Bruckner’s ability to delineate such a vivid musical surface directly appealing to a listener’s perception (ibid., 122). On the other hand, Halm did not share Schenker’s reverence for Brahms, whose music, for Halm, often lacks corporeality.

⁶ Ernst Kurth’s two-volume monograph *Bruckner* (1925) has still remained one of the most important large-scale studies on Bruckner’s symphonies in the German-speaking world. Although its full translation into English has never yet been undertaken, some essential parts of the book, which reveal Kurth’s core ideas, are translated and edited by Lee Rothfarb in *Ernst Kurth: Selective Writings* (1991).

and trans. by Rothfarb, 154). It is notable that Kurth often mobilises spatial metaphors, as Rothfarb points out, adding to Halm's temporal perspective 'a spatial shaping, a metaphorical nearness or remoteness (sonic perspective) created, for instance, by means of register or instrumental timbre' (ibid., 191). However, far from a static conception (such as Cooke's 'cathedral'), the sense of space in Bruckner, for Kurth, is 'evoked by formal processes in the first place', 'contingent upon the particular, stylistically variable type of formal processes for the nature of its aural experience' (ibid.). What is essential in Kurth's spatial understanding is the constantly moving and changing kinetic imageries, rather than the architectural schema, following the certain logic of hierarchically constructed ebb and flows.

Although shedding new light on the processual logic of Bruckner's form, Halm's and Kurth's approaches did not reach systematic theorisations. As Rothfarb (2005) notes, 'Halm is an unsystematic, largely nontheoretical analyst who focuses on music's dramalike traits and highlights its underlying dynamic characteristics' (132). This leads to a question about the applicability of his concepts to the modern theoretical discussions, for instance, as Thomas Christensen (2011) points out, about 'how we are to apply concepts such as "consequentiality", "intensification", or "epic succession" to our own analyses of music with any empirical rigor' ([27]). Likewise, Kurth's analytical discussions 'relied primarily on intuition, rather than established methodology' (Rothfarb 1988, 18), using metaphysical and theoretically vague terms with psychological implications, which are 'descriptive rather than explanatory' (Hyer 1990, 90). Even his central concept of 'wave dynamics' did not attain robust theoretical definitions in his writings as it is still ambiguous to determine what exactly constitutes such waves. For Kurth, '[tracing the undulation] is simple to the point of being self-evident since it corresponds to the creative process, which should not at all be thought of as "calculative"' (Kurth 1991, 156). While it has some reasonable grounds, his argument also reflects the practical difficulty of formulating a solid theory for the so-called 'secondary parameters' (Meyer 1980) such as the literal dynamics (their increase and decrease), melodic contour (ascending and descending) or the degree of textural density, all of which could be suggested as the elements of wave formation in Kurth's approach. This leads to a concern about the undermining of the pitch-based 'primary parameters': as Miguel Ramirez (2009) points out, in Kurth's studies of Bruckner, 'he did not attempt

to integrate harmony and tonality as central elements in his energeticist approach to Bruckner's oeuvre' (13). Because most modern theories on musical form regard tonal/harmonic factors as the most crucial, understanding Bruckner's form solely based on the Kurthian energeticist view runs the risk of further alienating Bruckner from the mainstream tradition around sonata form. Walter Frisch's following account of Bruckner (in comparison with Brahms) implicitly exemplifies such a case, as he uses Kurth's formulation of wave dynamics to emphasise Bruckner's 'otherness', which could allegedly require radically different formal notions from the post-Beethovenian tradition.

Bruckner's harmonic procedures bear little resemblance to the conventions of the Beethoven–Mendelssohn–Schumann symphonic tradition that Brahms inherited. Although they owe something to Schubert and even more to Wagner, who – together with Beethoven – was Bruckner's great idol, these techniques also represent an idiosyncratic use of what were aptly characterised by the early twentieth-century writer Ernst Kurth as 'symphonic waves'. It is these waves or wave forms, rather than conventional Classic–Romantic phrase structures and harmonic progressions, that in Bruckner's best music fill the musical space (another Kurthian metaphor) so compellingly. (Frisch 2003, 27)

The reception of Brucknerian form, as summarised above, may explain the relative scarcity of serious analytical investigations for a long time, especially among Anglophone music theorists, despite the dramatically growing popularity of Bruckner's symphonies in concert halls in the second half of the last century, thus reflecting a kind of disagreement about their canonical status between theory and practice. For some theorists, Bruckner's form may have been considered too obvious or too schematic, lacking interesting dynamics or meaningful inner relations, thus not worthy enough to pay attention to through the lens of established modern approaches. For others, Bruckner's form may have been too unique to capture its essence by any means other than 'non-theoretical' approaches like those of Halm and Kurth.

Recent Scholarship on Brucknerian Form

Mindful of these circumstances around Bruckner reception, my study seeks an approach that can adequately elucidate the processual aspects of Brucknerian form but in theoretically reliable terms, especially with attention to pitch construction. Recent music-theoretical discussions around the issue of musical form set up a favourable climate for this task. The development of Hepokoski and Darcy's

Sonata Theory (2006) and Caplin's theory of formal functions (1998, 2013) has triggered this trend – often called the 'new *Formenlehre*' since the late 1990s.⁷ It is notable that both approaches, moving away from merely schematic views of form, try to emphasise processual details in form: the former traces a large-scale teleology driven by the expression of closure; the latter directly addresses musical form's strong temporal associations by using the 'beginning–middle–end paradigm'.⁸ In accordance with this academic trend, we have also witnessed meaningful developments in Bruckner scholarship concerning the issue of form during the last three decades. There has been an encouraging number of studies that attempt to explain Brucknerian form in relation to tonal and harmonic aspects. Notably, one of the main concerns they share is to find alternative formal principles in Bruckner's sonata trajectory in the seeming absence of the Classical kind of 'sonata principle' (Cone 1968), which involves a tonal opposition in the exposition and its resolution in the recapitulation. The issue of the second theme is especially crucial in this respect: early criticisms likely stem from the observation that Bruckner's overtly contrasting second theme is not only central to the sense of formal disjunction (something like 'potpourri' as Schenker claimed) generated from the composer's three-theme conception (delineated in self-sufficient formal blocks) but also often tonally arbitrary by not fulfilling its expected tonal task of resolution.

Warren Darcy's pioneering study (1997) suggests the paradigm of norms and deformations – one of the core concepts of what is further developed by Hepokoski and Darcy as Sonata Theory – to explain Bruckner's peculiar formal strategies in a way that differentiates them from Classical sonata logic. According to this frame, Bruckner intentionally deforms the conventional sonata principle to express a 'failure' and 'redemption from outside' (277).⁹ This results in the suspension of the expected sonata process and the deferred resolution in the coda. An essential agent to generate such suspension is the concept of what Darcy calls 'the alienated secondary theme'. He points out that with its repetitive and circular formal design, Bruckner's second theme often conveys a sense of

⁷ The term 'new *Formenlehre*' is first used by Matthew Riley (2010).

⁸ Caplin (2010, 25) acknowledges that the beginning–middle–end paradigm was originally suggested by Kofi Agawu (1991).

⁹ Similar to Cooke, Darcy also associates this sense of redemption with Bruckner's religious faith, suggesting that Bruckner's form 'may be interpreted as a statement of the inadequacy of merely human activity and the necessity of redemption from outside' (277).

isolation. This is strengthened by Bruckner's strategic 'tonal alienation', which demonstrates unexpected tonal areas that appear to be detached from the main sonata discourse, thus also failing to secure the home key in the recapitulation. The redemptive coda emerges as the inevitable 'telos', which corrects such a failure in the recapitulation. Thus, in Darcy's frame, the alleged fragmentary formal practice of Bruckner, especially caused by the alienated second theme, is partly justified as a means of expression, which contributes to a teleological narrative.

Benjamin Korstvedt (2001) provides another breakthrough study by reassessing the importance of tonal process in Brucknerian sonata form in a novel way. He postulates that what mainly propels Brucknerian sonata process is not the tonal opposition between the primary and secondary theme as suggested by the sonata principle, but what he calls the 'dissonant tonal complex' planted in the primary theme. His analysis of the first movement from Bruckner's Sixth Symphony demonstrates that the first statement of the opening theme already includes some dissonant elements, which unsettle the sense of tonic key; the later restatements of the theme (such as those in the recapitulation and coda) gradually purge and resolve such elements, thereby expressing a process of large-scale dissonance and its resolution in a way that is quite different from the sonata principle. What other formal areas such as the second-theme group do in relation to this kind of formal process however still remains inadequately explained. Similar to Darcy, Korstvedt also notes that the second group in VI/1 'does seem to stand in splendid isolation', while it displays only a slight connection to the large-scale process in that 'the tonic/dominant relationship established between primary and secondary thematic passages in the exposition helps establish A as the tonal centre, and the recapitulation of the second theme group in F# helps to resolve the structural dissonance centred on C#' (199). In another important essay on Brucknerian form (2004), Korstvedt seeks to explain Bruckner's firm reliance on the three-theme conception and the existence of such isolated second themes by using the concept of what Charles Rosen (1995) calls the 'Romantic fragment', a type of which 'is, or should be, a finished form: it is the content that is incomplete – or, rather, that develops further with each reading' (Korstvedt 2004, 188, citing Rosen 1995, 50). For Korstvedt, because Bruckner's second themes are 'self-subsisting units whose meaning, but not form, "develops further

with each reading” Bruckner’s theme groups can return essentially unchanged, if often tonally alienated, yet still with new meaning in the recapitulation’ (ibid.).

A series of studies by Julian Horton on Bruckner’s form productively respond to both Darcy and Korstvedt’s contributions. In his monograph *Bruckner’s Symphonies* (2004), Horton, expanding Korstvedt’s notion of ‘dissonant tonal complex’, proposes a more generalised concept, what he terms ‘dissonant counter-structure’, which explains the tonal events in the vast majority of Bruckner’s later symphonies, at least from the Fourth onwards.¹⁰ According to him, starting as the dissonant element within the first theme, this counter-structure grows to the extent that it affects deeper-level tonal processes that encompass large-scale formal sections (such as the exposition and recapitulation), and sometimes even inter-movement tonal relations. Horton notes that ‘the tonal strategy will thus take on characteristics of a “double-tonic” structure’, often moving ‘between the ultimate tonic and a chromatically related counter-structure’ (119).¹¹ Overcoming the influence of this counter-structure and conceding to the tonic key constitutes a significant part of the teleological tonal process in Bruckner’s sonata form. Horton’s assertion on Bruckner’s tonal strategy paves the way to incorporating some seemingly arbitrary tonal motions in Bruckner’s sonata form into the explainable domain.

As for Darcy’s approach to Bruckner’s form, Horton (2005) holds a more sceptical attitude towards the concept of deformations. He points out that while the notion of deformation postulates the presence of a standard model, in reality, it is not possible to reconstruct such a model that various post-Classical composers may have had in mind, whether it is a theoretical *Formenlehre* model or its related canonical repertoire. For Horton, the seeming deformational practices are better understood ‘as part of a general process of post-Beethovenian diversification: it is not that nineteenth-century

¹⁰ Horton borrows the term ‘counter-structure’ from Christopher Wintle (1985).

¹¹ The idea of the ‘double-tonic complex’ or ‘tonal pairing’ is first introduced by Robert Bailey (1985), who grasps the A minor/C major pairing as the major tonal feature in Wagner’s *Tristan*: ‘the two elements are linked together in such a way that either triad can serve as the local representative of the tonic complex. Within that complex itself, however, one of the two elements is at any moment in the primary position while the other remains subordinate to it’ (121–22). Christopher Lewis (1996) applies this notion to the Adagio of Bruckner’s Seventh Symphony, which, according to him, ‘is founded on a principal tonal pairing of C# and E enunciated in the opening four measures’ (124). More recently, Peter H. Smith (2013) addresses the implication of tonal pairing in broader nineteenth-century repertoire including Beethoven, Schubert, Schumann and Brahms, asserting that tonal pairing ‘may function as a driving force within avowedly monotonal contexts’ (98).

sonata forms fall within the shadow of a theorised high-classical principle that they can only distort, but that the Beethovenian achievement enables a diversity of formal procedures that the relative homogeneity of the classical style constrains' (11). Thus, he contends that sonata procedures in Bruckner's form (or the nineteenth-century form in general) are 'not deformations, but rather reformations of the classical principles', which can be understood dialectically in that 'they simultaneously acknowledge and supersede the high-classical model, whilst presenting the result as a syntactic whole' (12).¹² This assumption later leads him to call for a theoretical approach that 'needs to accommodate the changing conditions of tonality and the generative relationship between material and form, as well as the evolution of form-functional habits' (Horton 2017a, 190). Accordingly, in his later essay, Horton (2018b) proposes an analytical model based on what he calls 'orbital tonality' to illuminate the close coordination between tonality, harmony and formal functions in the finale from Bruckner's Seventh Symphony. In this movement, the music traverses three different tonal orbits that are hexatonically related (E, Ab, C) to each other in close conjunction with both the intra- and inter-thematic functions, generating a teleological process in which the E orbit gradually loses its hegemony to the other orbits in the exposition, while the opposite happens through the reversed recapitulation, confirming the primacy of the E tonality only at the end through the first-theme recapitulation.

Finally, there are two more recent studies that are noteworthy. Nathan Pell (2018) attempts to reappraise Bruckner's tonal plans for sonata exposition, also paying attention to the issue of the second theme with its alleged disconnection from other formal areas. He asserts that 'Bruckner's treatment of sonata form is a natural continuation of earlier approaches' ([2.6]), also countering the view of isolating Bruckner from the mainstream symphonic tradition. This perspective leads him to criticise Darcy's concept of 'alienated secondary theme', which, according to Pell, overlooks the fact that the seemingly remote second key actually 'starts us on a journey towards a goal – the dominant', which is eventually realised by the third theme. For him, this teleological process with tonal continuity is guaranteed through voice-leading content, which is chromatically saturated but still

¹² Horton mentions that the term 'reformation' is suggested by Nicholas Marston in their private communication.

within the influence of the tonic diatony ([4.2]). Although his application of Schenkerian theory to Bruckner is debatable, his study makes a meaningful point by being attentive to the tonal continuity encompassing discrete thematic blocks.

Another study in the same year by Eric Lai (2018) focuses on the issue of the onset of the recapitulation, another often problematised formal area in Brucknerian sonata form.¹³ According to him, although Bruckner's tendency of blurring the boundary between the development and recapitulation seems to be unconventional at first glance from the modern tripartite perspective of sonata form, this can actually be understood in light of Bruckner's educational background: the composer's study of musical form with Otto Kitzler primarily relied on the bipartite paradigm of sonata form as suggested by Ernst Friedrich Richter and Johann Christian Lobe rather than Adolf Bernhard Marx's tripartite model of sonata form.¹⁴ As Lai asserts, this conception certainly gave Bruckner the freedom to explore the possibility of delineating the development and recapitulation as a unified formal space, but it does not mean that the composer radically deviates from 'the norm of sonata form as we understand it today' (361). That way, Lai also attempts to place Bruckner's sonata form in the context of the continuing post-Beethovenian tradition rather than relying on 'the wild-card category of "deformation" because of their innovative formal approaches' (362).

Aims and Stances

This overview of recent Bruckner scholarship on the issue of form demonstrates a gradually changing attitude: from emphasising the distance of Brucknerian form from 'normative' formal practices, towards recognising its inner logic and principles (especially in relation to tonal aspects) as well as its contribution to the mainstream sonata tradition. It is also notable that most of these studies are attentive to the processual, teleological nature of Bruckner's form, distanced from mere schematic understanding. In line with this trend, I aim to present an in-depth analytical study that covers all first

¹³ For instance, Korstvedt (2004) finds the recapitulation to be 'the most problematic element of sonata form, that Bruckner breaks most decisively with formal convention' (181) because Bruckner's recapitulations often avoid mere fulfilment of the 'double return' of the first theme and tonic key, as well as the second-theme restatement in the tonic key, especially in his later symphonies.

¹⁴ According to Lai, Richter's *Die Grundzüge der musikalischen Formen und ihre Analyse* (1851–2) and Lobe's *Lehrbuch der musikalischen Komposition* (1850, revised 1858), volume 1 were Bruckner's most consulted *Formenlehre* manuals during his study with Otto Kitzler.

movements of Bruckner's symphonies by approaching his sonata form in terms of musical temporality generated by harmonic–formal syntax at various levels. My central premise is that the processual nature of Brucknerian form can be captured adequately by exploring how Bruckner expresses hierarchically arranged musical time intrinsic to sonata form, which he inherited from his Classical predecessors but also adjusted to be compatible with late-nineteenth-century musical idioms. To this end, Caplin's (1998) form-functional theory, with its beginning–middle–end paradigm, provides an essential framework that enables us to unearth the hierarchical disposition of formal syntax. In addition, from a desire to make the form-functional approach more flexibly applicable to the late-nineteenth-century repertoire, I also adopt Matthew Arndt's (2018) recent reconception of formal functionality using his framework of eight structural functions. Full details of these theoretical preliminaries are further discussed in Chapter 2. The following chapters are largely arranged in a way that enables us to explore Bruckner's formal strategies from the lowest level to higher levels within the chronological order of sonata form. Chapter 3 examines Bruckner's treatment of the lowest-level intra-thematic syntax by investigating the opening themes. Chapters 4–6 explore Bruckner's three expositional theme groups respectively, focusing on their internal structures, namely, on the way of constructing the higher-level intra-thematic syntax in each theme group. The following three chapters discuss the formal organisation of larger sections. Chapter 7 provides an overview of the exposition, examining the inter-thematic relations of three theme groups in accordance with their involvement in the tonal process. Chapter 8 investigates Bruckner's approach to the development section, focusing on how Bruckner expresses large-scale instability while achieving the development's organic relation with other large sections. Chapter 9 covers the recapitulation and coda, especially concentrating on how they engage in the large-scale tonal discourse.

The following points further clarify this study's stances and notable features.

- 1) This study posits that pitch content (harmony and tonality) is the primary determinant of formal syntax and its temporal implications, following the main assumption of the Caplinian form-functional

approach.¹⁵ Horton (2018b) asserts that ‘Caplin’s insistence that formal function depends upon harmonic progression remains critical for Bruckner’, but with a caveat that ‘the extremity of Bruckner’s intra-thematic modulations dislocates the Classical tonal relationship between presentation and closure, as well as the prolongational integration of the ultimate tonic and the keys premised by intra-thematic functions’ (279). In order to alleviate the problem arising from this distance between Brucknerian and Classical harmonic practice, in this study, the temporal implications of beginning–middle–end are based on more abstract relationships between harmonic stability and instability, which are gauged relative to each other, rather than relying on a rigorously defined system of harmonic progressions, such as prolongational, sequential and cadential as explained in Caplin (1998, 23–31). In my study, Horton’s concept of ‘dissonant counter-structure’ is treated importantly in this respect. As will be revealed in the later chapters, such a counter-structure, often chromatically conceived, plays a major role in creating instability in the context of formal syntax on various hierarchical levels. The emphasis on pitch content is what mainly sets my approach apart from Kurth’s, which emphasises ‘wave dynamics’ as the most important factor in Brucknerian form. While I give due attention to wave dynamics in my discussions and recognise the significance of dynamic and textural elements in Brucknerian form, I view these aspects essentially as secondary factors that assist the harmony-based formal syntax, enhancing our perception of its generating musical temporality.¹⁶

¹⁵ Caplin (2010) asserts that ‘[a]t lower levels, the primary criterion [to determine formal functions] is the kind of harmonic progression’ (34); ‘[t]urning now from the lower-level phrase functions to the differentiation of higher-level thematic functions, the essential criterion is one of tonality, as confirmed by cadential articulation’ (35). The application of this pitch-centred approach to Bruckner may contrast with Dahlhaus’ (1989, 271–72) view that the essence of Bruckner’s music lies in the composer’s thematic process, primarily based on rhythmic elements, rather than following the pitch-based musical logic found in Brahms’ music. However, Horton (2014) contests this view by demonstrating, through a comparative analysis of Brahms’ First Symphony and Bruckner’s Sixth Symphony, that ‘Brahms’ technique is not exclusively “diastematic”; and Bruckner’s is not exclusively rhythmic’ (103).

¹⁶ One could advocate the application of Schenkerian theory (with its graphic demonstrations) to this pitch-based formal approach, as Pell (2018) attempts. However, whether the voice-leading and harmonic phenomena in Bruckner’s music can be adequately explained by the Schenkerian concept of prolongation is still subject to debate and requires further thorough examination. Putting aside Schenker’s own objection to Bruckner, numerous commentators, including Puffett (1999), Horton (2004, 2018b) and Ramirez (2013), have expressed scepticism about applying a Schenkerian approach to Bruckner’s music for various reasons, such as the lack of an orthodox fundamental structure (*Ursatz*), the rarity of clear authentic cadences and the extensive use of chromaticism. This study, also distancing itself from a full application of the Schenkerian perspective, may contain some bass diagrams, but only to illuminate some salient harmonic/tonal or voice-leading events, which may not necessarily be prolongational in a strict Schenkerian sense. I posit that such salient tonal features can

2) This study basically takes a bottom-up approach to form. The following statement from Caplin expresses this attitude well.

I see classical form arising out of a common set of formal functions, which are deployed in different ways to create multiple full-movement types. The common element is not sonata form per se, but rather the functions that make up the various forms. (Caplin, 2010, 32)

I believe that this approach is also beneficial for the analysis of Romantic form because it gives analysts a certain degree of flexibility to explore post-Classical formal principles, with some modifications, by starting from microscopic musical syntax and proceeding towards large-scale layout based on what is actually happening in real-time (Vande Moortele 2017, 10; Horton 2015, 80). This bottom-up model stands in sharp contrast to Hepokoski and Darcy's Sonata Theory, which is basically a top-down approach based on the 'norm and deformation' paradigm.¹⁷ This approach postulates a normative formal archetype first, and then measures individual pieces against it to identify deviations from the norm. When some normative elements are absent in a given piece, 'such absence should be understood as essential constituents of the piece's meaning' (Hepokoski and Darcy 2006, v).

The preference for a form-functional bottom-up approach over a Sonata-Theoretical top-down approach serves well my study's main purpose, which is to trace the processual formal aspects in Brucknerian form in close to real-time, rather than approaching it from a perspective of predefined architectonic models. Thus, Sonata Theory's main concerns, such as sonata typology or hermeneutic explanation based on the concept of dialogic form are not addressed in my study. Although my analytical discussions may inevitably include some comparisons between conventional practices and Bruckner's, they are used only to address the uniqueness and the logical implications of such practices

be meaningful when considered in the context of formal syntax. Bruckner's consistent adherence to the hierarchical dispositions of formal syntax likely replaces the fundamental structure's role as a means of retaining coherent continuity in a listener's perception.

¹⁷ Steven Vande Moortele (2013) also contrasts form-functional theory with Sonata Theory by describing them as a 'positive' and a 'negative' approach respectively. See 407-408.

in given formal contexts, not in order to assume that Bruckner purposely deviates from certain ideal archetypes to aim at particular expressions such as failure and redemption, as Darcy argues.¹⁸

3) This study seeks to address general features and principles in Brucknerian form but with a high degree of attention to specific cases. Following this, each chapter usually explains Bruckner's typical form-functional traits and strategies in certain formal stages first (sometimes with a case study) and then proceeds to individual cases (usually in chronological order, albeit not always) to see how they are realised in specific contexts. This approach allows us to grasp Bruckner's stylistic changes or developments through his symphonic output, which could challenge the claim that Bruckner repeatedly used the same formal schema (as in Franz Schalk's aforementioned comment) for all his symphonies.

4) The focus of this study is solely on the first movements of Bruckner's symphonies. It is worth noting that Bruckner's finale movements are usually even more irregular and capricious in form than the first movements, making them trickier to generalise and codify. It appears that Bruckner presents a more regular model of his sonata conception in the first movement and pursues more freedom in the finale by deviating from such a model to some extent. Examining the finale movements would also require addressing inter-movement relations, a topic that is far beyond the scope of this study, which solely concentrates on intra-movement sonata processes. To investigate the complex issues surrounding the sonata form of Bruckner's finales thoroughly, a large-scale study similar in size to this one would be necessary. Therefore, it is a reasonable strategy to concentrate on the first-movement form first, leaving investigation of the finale for future research.

5) Finally, this study seldom deals with the notoriously complex textual issues in Bruckner's symphonies. Such a topic would also require another exclusive in-depth investigation beyond the limit my study can cover. For practical reasons, I have based my analyses on the versions most widely used currently (both in scholarship and performance). The versions/editions used in this study are

¹⁸ Still, I do not completely exclude from my discussions the usage of some Sonata-Theoretical concepts and terminologies such as EEC (essential expositional closure), ESC (essential structural closure), MC (medial caesura) and rotational principles in some circumstances. Although these concepts are very often problematised in Bruckner's formal practices, they can still be helpful in explaining some formal phenomena, whether they are actually there or not.

listed in Table 1.1. If needed, I may include some comments about differences between different versions in the footnotes, but it should be noted that at least for the first movements, formal differences between the versions or editions are not substantial in most cases.

Table 1.1. Versions/editions used for my analyses

'Study Symphony' in F minor	1863 version (ed. Nowak)
Symphony No. 1 in C minor	1865–6 'Linz' version (ed. Nowak)
Symphony in D minor 'Nullte'	1869 version (ed. Nowak)
Symphony No. 2 in C minor	1877 version (ed. Carragan)
Symphony No. 3 in D minor	1877 version (ed. Nowak)
Symphony No. 4 in E \flat major	1878–80 version (ed. Nowak)
Symphony No. 5 in B \flat major	1878 version (ed. Nowak)
Symphony No. 6 in A major	1881 version (ed. Nowak)
Symphony No. 7 in E major	1885 version (ed. Nowak)
Symphony No. 8 in C minor	1890 version (ed. Nowak)
Symphony No. 9 in D minor	1894 version (ed. Nowak)

Chapter 2: Theoretical Preliminaries

Sonata Form's Temporal Aspects and the Theory of Formal Functions

There is no doubt that music is temporal in nature, occupying a linear time strand of past, present and future. However, the idea that music itself can more actively construct time only arose relatively recently in human history, as Karol Berger (2007) claims:

[I]n the later eighteenth century European art music began to take seriously the flow of time from past to future. Until then music was simply 'in time'; it 'took time' – events had somehow to be arranged successively, but the distinction between past and future, 'earlier' and 'later', mattered little to the way the music was experienced and understood. From that point on music added the experience of linear time, of time's arrow, to its essential subject matter. Music could no longer be experienced with understanding unless one recognised the temporal ordering of events. (Berger 2007, 9)

This shift in ways of thinking about the relationship between music and time in the late eighteenth century is nowhere more evident than in the rise of sonata form, which is often considered the culmination of musical forms in Western art music. For Berger, '[t]he disposition of events in a sonata [...], the temporal order in which they appear, is essential: to tamper with it is to drastically change, or destroy, the meaning of the work' (ibid., 7). In other words, as Benedict Taylor (2016) also points out, 'a sense of musical time governed by the constant restitution of the past as the present is replaced by irreversible, cumulative movement towards an altered future' (57–58). Thus, in sonata form, 'the present calls a future into being' and '[t]his future is genuinely responsive to the past' (Greene 1980, 18).

Sonata form's inherently temporal logic has been suggested (albeit not always explicitly) in various theoretical discussions about sonata form. For example, A. B. Marx's influential theory of sonata form, as summarised by Scott Burnham (1989), is based on the principle of 'a primary opposition between the state of rest and that of motion' (249), which implies that the impulse towards motion and a desire to seek rest again propels indispensable temporal successions in sonata form. The twentieth-century concept of the 'sonata principle' also alludes to linear temporal

unfolding by suggesting a teleological process driven by a tonal opposition in the exposition and its resolution in the recapitulation. Even Hepokoski and Darcy's *Sonata Theory* (2006), despite its mainly spatial conceptions, includes some temporal implications in that the theory mainly engages with teleological trajectories towards what they call 'essential expositional closure' (EEC) and 'essential structural closure' (ESC).¹⁹ Among those who more explicitly try to situate sonata form in temporal contexts, David Greene (1980) suggests 'balance and forward thrust' as two pervading elements of sonata form (20), which are demonstrated as a will to form paired sections with differentiated closures at every level. In a similar spirit, Berger (1996, 2007) also attempts to reframe sonata form as a 'punctuation form', which relies heavily on the sense of an ending at various hierarchical levels, generated by differing rhetorical strengths of closural moments.

However, it was probably not until the advent of William Caplin's form-functional theory that the issue of musical temporality came to the fore as the primary concern in a comprehensive theoretical framework for sonata form.²⁰ The importance of musical temporality in Caplin's theory is illustrated well in his definition of formal function as

[t]he specific role played by a particular musical passage in the formal organization of a work. It generally expresses a temporal sense of beginning, middle, end, before-the-beginning, or after-the-end. More specifically, it can express a wide variety of formal characteristics and relationships. (Caplin 1998, 254–55)

This view construes sonata form as something constantly being generated in real time through temporal manifestations at various levels, rather than as a predefined architectonic schema. For Caplin, at least three hierarchical levels exist. The beginning, middle and end at the intra-thematic level are expressed, for example, in the case of a sentential theme, by the presentation, continuation and cadential functions, respectively. At the inter-thematic level, they are expressed by the main

¹⁹ However, as Hyland (2009) points out, for *Sonata Theory*, such temporal goals exist 'only in relation to the spatial elements of the form': in other words, the theory 'subordinat[es] a temporal process to the principles of a prefabricated, spatially defined mould' (112).

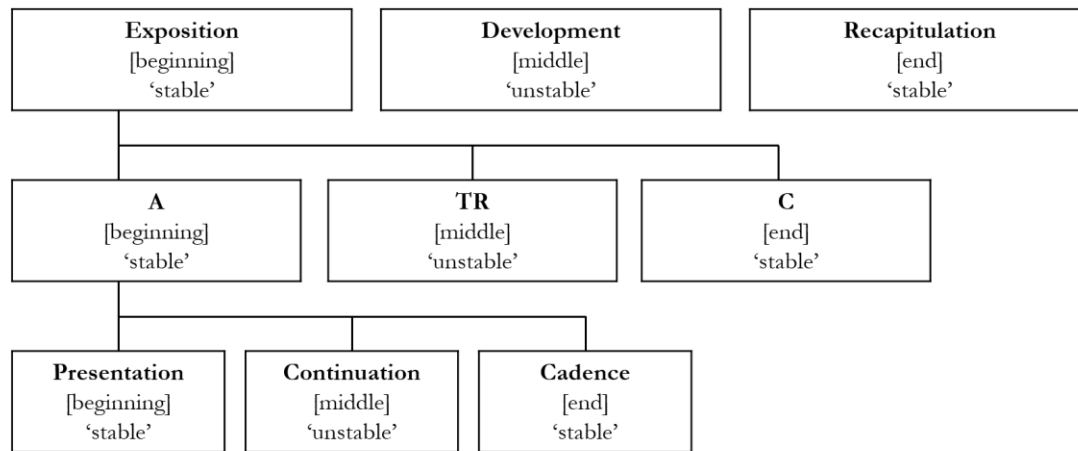
²⁰ Caplin acknowledges that his theory is inspired by Arnold Schoenberg (1967) and Erwin Ratz (1973), whose ideas on form are based on the notion that 'formal units of a work play specific roles in articulating its overall structure' (Caplin 1998, 3).

theme, transition and subordinate theme, respectively. Finally, the exposition, development and recapitulation respectively express the large-scale beginning, middle and end.

Figure 2.1 suggests an abstract model for this kind of temporal process. The underlying principle here is the dialectical relationship between stability and instability occurring at every formal level – reminiscent of Marx’s dialectic formulation of ‘rest’ and ‘motion’. As Caplin (1998) himself notes, ‘local harmonic progression is held to be the most important factor in expressing formal functions in themes’ (4). A thematic initiation is associated with a state of being stable, usually through tonic prolongation. This stability summons a desire to make a change, resulting in a destabilising process usually achieved through more intensified harmonic activities such as sequential progression, which produces a medial function.²¹ The unstable state again generates a need for stability, which is fulfilled through tonal confirmation by cadence. Then, the main theme (A) as a whole is established in a state of being stable at its given formal level by confirming the tonic key, and summons another unstable state at the equivalent level, a transition (TR), which destabilises the tonic usually through modulations. This unstable section, of course, calls for further stability at the same level, which is expressed by the subordinate theme (B) articulating the expositional end. However, this ‘end’ is not complete and not 100 per cent stable since it is expressed in a different key from the original tonic key. This necessitates two more large sections. The development acts as a large-scale expression of instability, responding to the relatively stable exposition as a whole. The recapitulation directly responds to this instability as a large-scale stable section balancing the highly unstable development, but it also reacts to the exposition’s incomplete sense of stability, usually by presenting the subordinate theme in the tonic key.

²¹ Aside from sequential progression, Caplin suggests acceleration in harmonic rhythm, phrase-structural fragmentation and increasing surface rhythm as the features of continuation (medial) function. See Caplin 1998, 10–12.

Figure 2.1. A model for the temporal process in Classical sonata form



Towards a Modified Form-functional Framework

Such an understanding of sonata form as a hierarchically disposed temporal process can provide an effective framework for Bruckner, given his careful attention to musical temporality on various formal levels, the aspect which is partly captured by Halm and Kurth. However, as a late Romantic composer, Bruckner's handling of form has quite a few challenging aspects for the application of Caplin's theory, which has been developed to explain Classical form.

First, while many of Caplin's core concepts are based on Classical harmonic contexts, Bruckner's harmonic language exceeds very often such Classical boundaries thanks to his extensive use of chromaticism, frequent modulations and the scarcity of cadences. The impact of these practices on formal syntax is especially clear when we consider the initiating and concluding functions. When Caplin defines the concept of the sentence, for instance, he requires that the presentation function should be based on tonic prolongation, and the closure should be supported by a proper cadential progression.²² Although Bruckner's themes still start with the tonic in most cases, it is often soon threatened by non-tonic (often chromatic) elements, thus not expressing unequivocal tonic prolongation in the thematic beginning. Thematic closure is equally problematic. While almost all Classical themes close with a PAC, IAC, or HC, Bruckner prefers to end themes without such

²² Caplin 1998, 10–11.

cadential articulations. Caplin (2018) recently addressed the issue of closure in early-Romantic music, proposing the concept of ‘prolongational closure’, referring to the situation where thematic units ‘close not with cadential progressions, but with prolongational ones instead’ (14), for example involving inverted dominants or tonics. Although this concept explains some cases in Bruckner, he also adopts various other means of non-cadential thematic ending.²³

Second, Bruckner’s three-theme conception reformulates the inter-thematic temporal cycle. While Classical inter-thematic beginning, middle and end are expressed by A, TR and B (often with the ‘after-the-end’ closing part), respectively, as illustrated in Figure 2.1, Bruckner’s expositional beginning–middle–end is delineated through three theme groups – A, B and C groups – while the transition between these groups is reduced to a local-level formal event (as will be discussed in Chapter 4). With this, the expression of inter-thematic-level instability may be distributed across these three theme groups through Bruckner’s typical constant tonal mobility.

Finally, Bruckner’s expansive formal conception usually generates more formal layers than Classical sonata form, especially evident in the further division of intra-thematic levels, requiring the distinction of theme groups and thematic units. Table 2.1 demonstrates a simplified model for thematic organisation with two intra-thematic levels, which are typically found in Bruckner. Essential to understanding this formulation is the distinction between the thematic unit, which expresses the smallest temporal cycle of beginning–middle–end,²⁴ and the theme group, which also has its own temporal cycle expressed by its constituent thematic units.²⁵ The existence of a theme group having multiple intra-thematic levels that fully express their own meaningful temporal cycles can be regarded

²³ This aspect will be discussed in more detail in Chapter 3.

²⁴ According to Caplin’s definition (1998), the concept of the ‘thematic unit’ includes a ‘theme’ and a ‘themelike unit’: a theme is a unit ‘consisting of a conventional set of initiating, medial, and ending intrathematic functions’, which ‘must close with a cadence’; a theme-like unit, on the other hand, ‘resembles a theme in formal organization but is usually looser and is not required to close with a cadence’ (157). My usage of the term ‘thematic unit’ primarily conforms to Caplin’s definition, but a strict distinction between a theme and a theme-like unit based upon cadential closure is not favoured here in that a cadence is quite a rare event in Bruckner, such that its strict application would make the majority of Bruckner’s expositional thematic units just theme-like units rather than themes proper.

²⁵ The way theme groups are treated in Bruckner’s sonata form is somewhat different from what Caplin describes in a Classical context when he defines the ‘theme group’. According to Caplin (1998), a subordinate-theme group, for instance, is ‘two or more successive subordinate themes, each ending with a perfect authentic cadence’ (257). These multiple themes do not necessarily bond closely with each other thematically or texturally, which means that they usually exist autonomously. In Bruckner, a theme group is always a group of thematic units that share strong continuity without PACs between them.

as one of the general trends of formal expansion from the early nineteenth century.²⁶ However, Bruckner is more consistent than other composers in establishing a systematic relation between theme groups and thematic units throughout his symphonic sonata forms, as revealed in Bruckner’s strategy for differentiating theme groups in terms of their internal structures.

Table 2.1. A model for formal organisation in Bruckner’s theme groups

Inter-thematic level	Theme group			
Intra-thematic level 1	Thematic unit 1 [beginning]		Thematic unit 2 [middle/end]	
Intra-thematic level 2	pres.[beginning]	cont.[middle/end]	pres.[beginning]	cont.[middle/end]

This situation necessitates a modified framework, in which formal functionality can be expressed in a more flexible way to cover Bruckner’s late-nineteenth-century harmony and formal expansion. For this purpose, Matthew Arndt’s (2018) recent reconception of formal functionality offers promising insights. He points out that Caplin’s terminology for formal functions, such as presentation, standing on the dominant or main theme, can be better understood as referring to ‘types of parts (*Teile*)’ (ibid., 210). Instead, he argues that what the parts are doing, namely what he calls their ‘structural functions’, should be the focus for understanding formal functionality. Based on Schoenberg’s formal concepts, as found in his incomplete treatise *The Musical Idea* (1995), Arndt reformulates formal functionality by suggesting eight structural functions. They can be defined as follows:

1) *Establishment* is ‘to put the musical idea into a comprehensible form’ (Arndt 2018, 212); when the idea is repeated or reappears later, it can be called re-establishment.

2) *Confrontation* is to bring contrast or something different from what has preceded.

²⁶ Earlier examples of this kind of structure can be found in some of Schubert’s late instrumental pieces. For example, the first theme group from the first movement of String Quartet in G major, D. 887, has three thematic units (bars 15–24, 24–33 and 33–54 respectively), which themselves are sentences, but also form a large sentential structure together: the first two units (each ending with an elided IAC) function as a large basic idea and its repetition (so expressing the beginning of the theme group) and the last unit functions as a large continuation including a PAC (so expressing the middle and end of the group). This formal issue is thoroughly addressed in Hyland (2016); see especially 89–92.

- 3) *Connection* is to provide mediation between different parts.
- 4) *Dissolution* is the opposite of establishment. It may involve melodic fragmentation or liquidation as well as harmonic destabilisation, usually undermining the established tonic through modulations or sequences.²⁷
- 5) *Delimitation* offers formal articulation so that we can distinguish different formal chunks. It is closely related to the sense of the ending of formal units (e.g. a cadence).²⁸ Schoenberg likens this function to that of the skin (Schoenberg 1995, 225).
- 6) *Elaboration* is to situate the musical idea in new contexts (e.g. variation technique).²⁹
- 7) *Preparation* is ‘getting ready for a following member’ (Arndt 2018, 214).
- 8) *Stabilisation* is ‘making a harmony firm, generally after a cadence or other harmonic arrival’ (ibid.).

Because these are universal functional categories that are not necessarily bound to the strict Classical harmonic contexts, they are applicable to a broader repertoire. Furthermore, the distinction between the types of parts and what the parts are doing enables these functions to operate at every level, bringing additional flexibility. For instance, whereas what Caplin terms ‘presentation’ can mean both ‘presentation function’ and ‘presentation phrase’, according to Arndt’s system, we can say that the presentation phrase has an establishment function. If we apply the same function to higher levels, the main theme operates the establishment function at the inter-thematic level, and the exposition also expresses the establishment function at the large-scale level. This approach is highly effective for exploring Bruckner’s complex and expanded formal organisation.

Another important benefit of this system is that it can help in the exploration of more subtle and specified temporal implications thanks to the potential for the combination or hybridisation of

²⁷ In my analysis, this function is treated as one of the two elements (the other is elaboration) that create the process of what we usually call ‘development’, thus playing an essential role in creating the temporal middle.

²⁸ It should be noted that the concept of delimitation does not necessarily require a full realisation of a cadence. This concept is useful as an alternative concept that may replace cadence, especially in late-Romantic repertoire such as Bruckner, given the growing tendency for non-cadential formal articulations that rely on melodic, textural or dynamic aspects.

²⁹ Along with ‘dissolution’, ‘elaboration’ can constitute a process of development. While the dissolution function may convey a sense of ‘chopping up’ or acceleration, the elaboration function is usually expressed through a given musical idea’s mere mutation or variation.

structural functions, each of which has its own temporal ramifications. The establishment and delimitation functions are associated with the temporal beginning and the end, respectively; the confrontation, elaboration and dissolution usually involve the middle by conveying a sense of instability, although the temporal qualities created by those functions may differ from each other.³⁰ The preparation and stabilisation are usually tied to the before-the-beginning or the after-the-end framing functions. The connection function, depending on the situation, may mostly express the after-the-end function, but sometimes the middle or the end as well. Combined in various ways, they can address more complex temporal qualities beyond the mere beginning, middle and end.

In my analysis, I use familiar Caplinian terms like presentation, continuation or basic idea to refer only to types of formal parts, while their functions – the formal tasks they perform – are expressed by eight structural functions, following Arndt. However, my analysis aims to go beyond merely identifying these structural functions to explore the various temporal implications that they mobilise, revealing the vividly processual nature of Brucknerian form.

To discuss these temporal implications of formal syntax in various cases more effectively, I identify four general types of formal/temporal construction that can occur at various formal levels in Bruckner's sonata form, as illustrated in Figure 2.2. The sentential type represents in abstract form the general temporal quality that can happen in a sentence or any similar formal unit with continuation parts. They could include some types of what Caplin calls hybrid themes (such as the compound basic idea + continuation or antecedent + continuation types) and any even higher-level formal structures having similar sentential logic.³¹ This type of formal construction generates the most linear and hypotactic kind of temporality: the beginning is expressed by the establishment function, and the middle by the dissolution and elaboration, followed by delimitation at the end. On the other hand, the periodic type, characterised as the two-part construction having thematic parallelism and cadential differentiation between each part, lacks a medial function, thus creating a relatively more discontinuous kind of musical time occupied only by the beginning and end with two

³⁰ For instance, the middle created by a confrontation may emphasise a sense of discontinuity, while a dissolution may promote a more continuous kind of sense of middle.

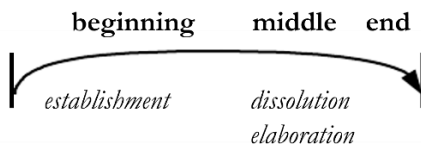
³¹ For the concept of hybrid themes and their categorisation, see Caplin 1998, 59–63.

delimitations, usually one weaker and one stronger.³² It could be said that the periodic type is relatively less hypotactic or teleological than the sentential type, although the existence of cadences with different strengths could still suggest a kind of directionality to some extent. Like the sentential type, the ternary type has three clear phases of beginning, middle and end, but its medial function is generated by the confrontation rather than the dissolution function. Thus, the musical temporality of the ternary type can be regarded as less continuous than the sentential types, although retaining some degree of teleological logic with a reprise of the initial material. The variational type occurs when the initial formal unit is repeated at least three times or more, with some changes (so operating repeatedly the re-establishment and elaboration functions). This type may challenge the application of the beginning–middle–end paradigm since it basically expresses temporal stasis through recurring thematic statements. As the music progresses, we do not know where exactly we are located on the temporal line of beginning–middle–end until we finally arrive at the very end of the variational procedure. The passage of time can only be perceived implicitly via varied repetition of the referential unit, although this kind of temporal experience could be felt non-directionally compared to other types. In other words, as Figure 2.3 suggests, while other types are more or less teleological with the sense of moving forward – the sentential type is the most teleological and continuous, and the ternary and periodic types less so – the variational type is, in principle, highly static and not teleological at all. As will be revealed in later chapters, the internal organisation and temporal mode of Bruckner’s three theme groups (A, B and C) in his first-movement sonata forms can be largely understood in light of this categorisation. The A group is mostly occupied by the sentential kind of temporality, but often with a slight periodic implication. The sentential type may occupy the C group even more strongly but with much looser organisation. The B group is usually variational, but it may also demonstrate an unusual combination with the ternary type of temporality. This temporal differentiation between each theme group creates an interesting temporal discourse, which is essential to Bruckner’s sonata conception.

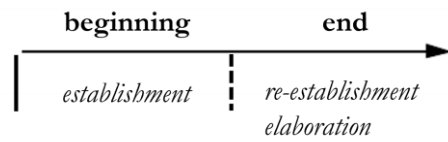
³² Although this ‘weak–strong’ cadential order would create the most standard form of this type (for instance, a period having the antecedent ending with an HC and the consequent with a PAC), formal constructions having the reversed order of ‘strong–weak’ may be categorised in this type.

Figure 2.2. Four types of formal/temporal construction

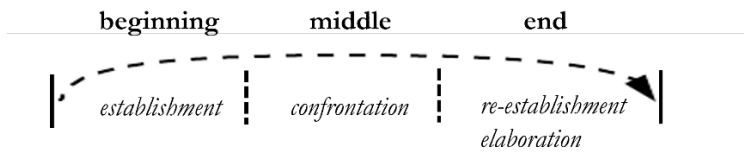
a) Sentential



b) Periodic



c) Ternary



d) Variational

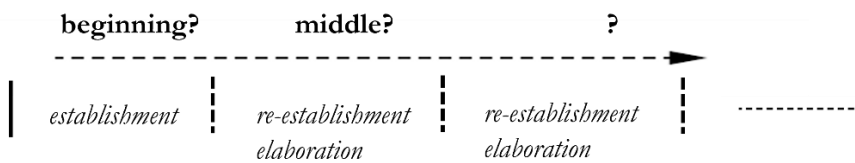
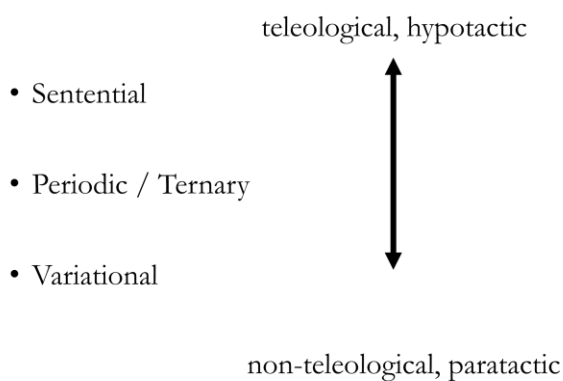


Figure 2.3. Degree of teleology in the four types



Finally, it is worth clarifying some labelling systems that will be used in my analyses. As commented earlier, Bruckner's formal expansion creates more intra-thematic formal levels than in Classical practices, making it important to distinguish between thematic units and theme groups.

While I will use ‘A group’, ‘B group’ and ‘C group’ for the first, second and third theme groups, respectively, their constituent thematic units are expressed by adding an integer.³³ For example, B1 means the first thematic unit in the second theme group; B1' represents a restatement or reprise of the B1 unit; B2 represents a new thematic unit with different materials from B1 but still located within the B group. In addition to this nomenclature for formal indications, this article also employs a notational convention using the alphabetical representation: major and minor keys/triads are represented by capital letters and lowercase letters, respectively, unless accompanied by the suffix ‘major’ or ‘minor’. To refer to individual movements of Bruckner’s symphonies in abbreviation, I adopt a labelling system employed by Darcy (1997) and Lai (2018), such as ‘VI/1’, which means the first movement of Bruckner’s Sixth Symphony. For the cases of Bruckner’s unnumbered symphonies, such as his ‘Study Symphony’ in F minor and Symphony ‘Nullte’ in D minor, I will use 00/1 and 0/1, respectively.

³³ The use of this labelling with A, B and C (over Caplin’s system with MT and ST), which is also instantiated by Horton (2015, 2018b) and Hyland (2016), is motivated by my intention to accommodate more conveniently Bruckner’s obvious tendency of using three distinctive theme groups. The sonata-theoretical labelling convention with the primary theme (P), secondary theme (S) and closing theme (C), despite its application in some Bruckner studies (most notably Darcy 1997), also risks some confusion, since in many cases, Bruckner’s third theme does not begin with an authentic cadence, which is the fundamental requirement that defines Hepokoski and Darcy’s concept of a ‘closing zone’ as a post-EEC zone.

Chapter 3: Thematic Syntax in the Opening Themes

Bruckner's symphonies are famous for their seemingly invariable ways of opening, often characterised as conveying the sense of growth from nothing to something concrete. Redlich's (1955) comment on Bruckner's typical symphonic opening highlights this trait: he wrote that '[o]ne of the essential features of Bruckner's first movements is their primordial character and their gradual emergence from the sonorous nebulae of fundamental harmony' (55). Korstvedt (2004) also provides a similar general description of the dynamic aspect of Bruckner's opening themes by noting that 'the primary theme group begins piano before presenting a contrastingly louder section' (175). Apart from this rhetorical character, however, little attention has been paid to the aspect of intra-thematic formal syntax in Bruckner's symphonic openings, although the composer's obvious tendency towards sentential thematic construction is closely in line with this sense of growth. Through inspection of the first thematic units (A1) in the first movements of Bruckner's symphonies, this chapter goes into detail on how Bruckner generally treats the lowest-level intra-thematic syntax, which mostly embodies the sentential logic in various ways. I begin with a case study of the opening theme from VI/1, which shows a paradigmatic example of Brucknerian thematic syntax. Based on some generalised features extracted from that case, I examine other individual cases of the opening theme, which display some meaningful changes throughout Bruckner's symphonic output.

A Case Study: Symphony No. 6, First Movement, A1

The phrase structure of the opening thematic unit (A1, bars 1–24) from VI/1 indicates clear sentential rhetoric easily discernible via the beginning–middle–end paradigm. However, the harmony is somewhat elusive compared to Classical clear-cut harmonic progressions. This is deeply related to the issue of what Korstvedt (2001) terms the 'dissonant tonal complex' – or 'dissonant counter-structure' in Horton's term (2004). As mentioned earlier, Korstvedt identifies in this opening theme tonally unstable elements that work as influential forces governing the form. These elements include the expression of the pitch A surrounded by G♯ and B♭, thus alluding to V of D minor (bar 3), and the emphasis on C♯, $\hat{3}$ of A major, which would, however, also work potentially as the dominant of F♯. Miguel Ramirez (2013) further elaborates on the source of tonal tension in VI/1 by pointing out

'harmonic and tonal relations by both fifths and chromatic thirds' (162). According to him, the tension between A major and D minor (and C# and F#) suggests a fifth relation, while A major and C# together form a chromatic third relation. I further expand these premises by identifying four major tonal-harmonic forces influential not only in this theme but throughout the whole movement, as follows.

1) The fifth relation between tonic and dominant

Despite being undermined by some unconventional harmony, this traditional tonal relation still works as a compelling agent, at least in a vestigial form. This is well demonstrated by the large-scale tonal scheme, which suggests a departure from A major to E major in the exposition and then a return to A major in the rest of the movement. This relation is also influential (although again in limited ways) at the intra-thematic level, especially when formal articulations are involved.³⁴

2) The fifth relation between tonic and subdominant

This other fifth relation further complicates the tonal issue in this movement. A pull from the tonic to the subdominant is implicated in the A theme's G# and Bb, for instance, while the opposite pull (from the subdominant to the tonic) is instantiated by the impressive plagal cadences in the exposition and coda.

3) The tonal instability caused by C# and/or F# (or the C#/F# element)

Although this element undoubtedly acts as an undermining force against the tonic, it expresses a relatively mild degree of instability since it usually appears in largely diatonic contexts (C# as iii or V/vi and F# as vi).

³⁴ Although the majority of such formal articulations occur non-cadentially, they still tend to come with V and/or I.

4) The tonal instability caused by C \sharp and/or F \sharp (or the C/F element)

This unstable element brings more explicit chromatic tension while also alluding to a modal mixture to some extent. It is notable that C and F form hexatonic third relations with the dominant (E) and tonic (A), respectively.³⁵

All these elements closely interact with A1's form-functional details, as illustrated in Example 3.1. The presentation phrase (bars 3–14), marking A1's beginning portion, largely involves the establishment and re-establishment of a basic idea. However, the emphasis on elaboration function over re-establishment in the second half of the presentation (bars 9–15) arises from the basic idea's quasi-sequential repetition on C \sharp (iii) and V $\frac{6}{5}$ /V, thus challenging Caplin's notion of tonic prolongation for the presentation. The initial statement of the basic idea itself suggests the tonic harmony only in an ambiguous way. It is prefaced by a two-bar thematic introduction (bars 1–2) with a preparation function (so occupying the before-the-beginning location), which introduces a rhythmic motive (a0) that consists of a combination of dotted and triplet rhythms as a constant background momentum of the theme (and ultimately of the whole movement). However, the repetition of C \sharp (instead of A or E as usually expected) here brings some harmonic ambiguity, foreshadowing the C \sharp /F \sharp element coming later. Its status as $\hat{3}$ of A major is only retrospectively confirmed when the theme proper enters at bar 3 on the A-major tonic, emphasising perfect fifths both descending and ascending, the motives designated as a1 and a1', respectively. As Korstvedt (2001) and Ramirez (2013) point out, however, the triplet motive (a2) in bar 4 (which may be seen rhythmically as an augmented variant of a0) still indicates tonal vagueness by temporarily alluding to V 7 of D minor (along with a Phrygian implication), which suggests an implicit pull to the minor subdominant. This basic idea has a two-bar extension (conveyed by the echoing horn gesture in bars 7–8), which further expresses two structural functions at the lower level: the elaboration of motive a1' through its

³⁵ It is also worth noting that F forms a hexatonic cycle with A and C \sharp . The tension between F and A appears in a more radical form in the finale, where F minor and A major are juxtaposed in the coda, thus expressing a 'hexatonic polar' relation (Cohn 1996) as discussed in Ramirez (2013, 169). A more large-scale hexatonic implication can be found in VII/4; Horton (2018b) grasps it as generated from three tonal orbits of E, A \flat and C.

transposition to C# (implying V⁷/f# momentarily with the pitch B); and, with this C#, a connection to the next segment (from bar 9), which further crystallises the C# harmony.³⁶ In other words, the first half of the presentation already displays a certain kind of developmental process, which is realised more confidently through the above-mentioned basic idea's quasi-sequential repetition (bars 9–14) entailing the inversion of motive a2 (bar 10). The presentation phrase as a whole displays a sense of gradual growth with this premature developing process (which is usually associated with the continuation). The sense of beginning is, in this way, gradually eroded by the subtle permeation of the sense of middle, which is facilitated by the harmonic setting, where the weakly articulated tonic is immediately challenged by the C#/F# element while effectively supporting motivic developments.

Example 3.1. Symphony No. 6 in A major, first movement, A1, bars 1–24

A1
 intro [before-the-beginning] preparation
 presentation [beginning] establishment
 basic idea establishment
 (extension) elaboration, connection

Majestoso

a0
 pp (Vn. VI)
 a1
 p (Vlc. D.b.)
 A: I
 a2
 p
 a1'
 (Hrn) p
 cresc.
 iii? (V⁷/vi?)
 mf

basic idea
 elaboration, re-establishment
 (extension) elaboration, connection

iii
 V⁷/V
 p
 dim.
 pp

³⁶ Interestingly, Bruckner removes the implication of V⁷ of vi (so lacking the pitch B) from bar 9 so that it sounds closer to a genuine iii, although the lack of third still mystifies the exact quality of this chord.

continuation [middle/end]
dissolution, elaboration, confrontation

15 (Fl., Ob.) *p* *mf* *f* (Tpt., Cl.)
p poco e poco cresc. *cresc. sempre*
mf poco e poco cresc.
 V (E+) F: V/V (G+) V⁶ -₃ I V/vi
 (PR)

(standing on the dominant)
stabilisation, dissolution, delimitation

20 cresc. *pp* *ppp* (Cl.)
 I V A: V⁷
 (C+) (E+) (LP)

This developmental process is more intensified in the continuation phrase, which conveys dissolution and elaboration functions, along with a confrontation function to some extent because motive a₃, which is actually an elaboration of a₁' (absorbing the dotted rhythm derived from a₀), also gives an impression of novelty. This motive is immediately fragmented by its echo in the winds (bar 16) and undergoes further sequence (bars 17–18) and fragmentation (from bar 19), thus generating more tension in accordance with the literal dynamic growth.³⁷ The harmony here is largely characterised by the intrusion of the C/F element. It is probably not impossible to see the harmonic region (bars 17–20) that is largely formed around a tonicisation of F (with a bit of emphasis on its local dominant, C) as a neighbouring ^bVI of A major (with a modal mixture), which connects the two dominant chords placed in bars 15 and 21, respectively. However, the way it is approached and exited significantly undermines such a prolongational interpretation due to the presence of chromatic third

³⁷ It is also worth noting that the echoing gesture at bars 15–16 is, in its much-reduced temporal span, reminiscent of the antiphonal structure between the low strings and the horn (bars 3–8) in the presentation. What is subject to the dissolution process here is not only motivic elements but also the antiphonal gesture itself.

progressions that can be better captured in terms of Neo-Riemannian transformations: a PR transformation between E and G triads (bars 16–17) and an LP transformation between C and E triads (bars 20–21).³⁸ Therefore, despite the attained V at bar 30, the lack of a clear half-cadential progression preceding it undermines the sense of ending, which is only weakly retained through the standing on the dominant, with the aid of non-harmonic elements such as melodic liquidation and a reduction in texture and dynamics.

The Caplinian formulation of Classical harmonic progressions, such as prolongational–sequential–cadential, which support formal functions, may not be entirely suitable here, but the underlying principle of stable–unstable–stable still operates, albeit as a kind of vestige of Classical harmonic–formal syntax. At least, this theme starts with the tonic and ends with the dominant (albeit both are weakly articulated), thus keeping the minimum sense of beginning and end within the boundary of the diatonic fifth relation. The presentation and continuation are still harmonically differentiated by their relative degree of harmonic instability. The presentation phrase’s C#/F# element is, albeit destabilising the tonic, still understandable in the context of diatonic tonality, denoting that a sense of middle prematurely permeates the formal beginning. In contrast, the continuation phrase’s C/F element leads to more radical progressions based on chromatic third relations, thus promoting a higher degree of instability with a more determined sense of middle. In sum, A1 expresses the beginning–middle–end paradigm as a seamless temporal continuum, especially with the emphasis on the middle over the beginning and end, facilitating a processual and dynamic quality.

³⁸ In this sense, the relation between the two dominants in this phrase can be described as ‘associative’ rather than ‘prolongational’, following Horton’s (2018b) remark (in his explanation of the system of tonal orbits in Bruckner) that ‘the connections between tonally consistent non-adjacent segments are *associative*, because the intervening music interrupts rather than reinforces prolongation’ (288). For more extensive discussions on the distinction between ‘association’ and ‘prolongation’, see also Joseph N. Straus 1987. Ramirez (2013) also explains chromatic third progressions in this movement (although primarily focusing on the coda without specific comments on this passage) by using Neo-Riemannian terminologies developed by Hyer (1995) and Cohn (2012), such as L (leading-note exchange), R (relative), P (parallel) and their combinations, the system which my study also adopts. Other cases of the application of the Neo-Riemannian theory to Bruckner can be found in several of Horton’s studies (for instance, 2004, 2017 and 2018b).

General Features

As we have seen in the case of VI/1, Bruckner's opening themes generally begin with a premature sense of development, the middle expressing further instability with intensifying effects (in terms of harmony and/or rhetoric) and the end often weakened (with non-cadential delimitation), which altogether contribute to the sense of gradual growth and relentless forward motion. These features are more or less applicable to other cases of Bruckner's opening thematic units, albeit to different degrees.

The differences between the individual cases of Bruckner's opening themes mostly lie in the way the theme's beginning part is expressed. Table 3.1 charts the way each opening thematic unit (A1) begins. According to Caplin (1998, 37–39), the pattern of repeating the basic idea in a sentential theme's presentation phrase can be categorised into three types: exact, statement–response and sequential. If we strictly apply this categorisation to Bruckner's opening thematic units, there is no strict statement–response type, by which Caplin refers to the case where two iterations of basic ideas are expressed in tonic and dominant versions respectively, and only the A1 from II/1 falls into the exact type and only the one from V/1 into the sequential type. Many other cases are placed in a grey area, but it is possible to say that the cases from I/1, 0/1 and IV/1 are closer to the exact repetition types, whereas those from 00/1, VI/1 and VIII/1 are closer to the sequential types. As shown in Table 3.1, we can find differences in repetition types between the sentential themes from the earlier and the later symphonies. The sense of premature development in the sentential beginning, as we have seen in the case of VI/1, is more profound in the later cases from V/I (except for the case of 00/1), in which the sequential repetition expresses the elaboration function more prominently than the re-establishment function. In those cases, the sequential repetition is often arranged to express the dissonant counter-structure, which will affect later tonal events. The earlier cases with exact repetition types generally facilitate tonic prolongation like Classical sentences, but the sense of gradual growth is still present (albeit to a lesser extent) through various means, as will be discussed soon. There are three remaining cases (III/1, VII/1 and IX/1), which belong to what Caplin calls hybrid theme types. In these cases, a basic idea and a contrasting idea (with an HC in the case of IX/1)

constitute the thematic beginning, which is followed by the continuation with the medial function, thus largely retaining the sentential kind of teleological temporality.

Table 3.1. Types of the beginning part of Bruckner's opening thematic units





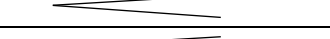

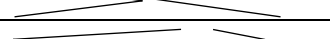

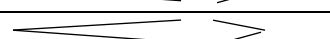

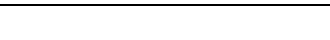
Sentence	Exact repetition of basic idea (strictly)	II/1
	Exact repetition of (compound) basic idea (approximately)	I/1, 0/1, IV/1
	Sequential repetition of basic idea (approximately)	00/1, VI/1, VIII/1
	Sequential repetition of basic idea (strictly)	V/1
Hybrid	Compound basic idea (basic idea + contrasting idea)	III/1, VII/1
	Antecedent (basic idea + contrasting idea with HC)	IX/1

The temporal quality of 'being-in-the-middle' of the continuation is most closely associated with its dissolution function, which is realised by fragmentation and harmonic destabilisation. The way Bruckner expresses the medial function in his opening themes is not too different from Classical practices.³⁹ However, the degree of harmonic instability often goes beyond the conventional standards. It is very normal (except for the cases in I/1 and III/1) for Bruckner's opening theme to deviate from the home key in the middle and only come back to it just before the thematic ending. Such internal modulations often lead to touching unexpectedly distant keys, albeit temporarily, as found in IV/1 (A major against the home key E \flat major) and VIII/1 (B major against the home key C minor). In an extreme case from IX/1, the opening theme's lengthy continuation part is almost wholly occupied by the succession of chromatic linear chords, so it is hard to grasp any specific keys. The process of harmonic destabilisation naturally accompanies the growth of momentum in terms of dynamics. As shown in Table 3.2, except for the case of 0/1, the continuations of Bruckner's A1 units display an overall tendency towards dynamic intensification. This is deeply related to the overall structure of the entire A group, in which A1 is followed by either A2 or A1', which will be discussed in detail in the next chapter. The cases belonging to the former category generally convey the most direct crescendo rhetoric (as in III/1, IV/1 and IX/1) so that A2 emerges as the teleological goal of the intensification in A1. In most other instances within to the latter category, the intensification

³⁹ Caplin (1998, 41–42) identifies four compositional devices that are commonly used to express continuation function: 1) phrase-structural fragmentation; 2) acceleration of harmonic rhythm; 3) increase in surface rhythm; 4) harmonic sequence. These traits mostly apply to Bruckner's cases as well.

process results in A1's restatement, usually with stronger orchestral forces. This is most evident in V/1, where the dynamics initially appear to decrease in the first continuation, but the second continuation phrase eventually leads the music with a huge crescendo to the climactic A1'. In his later symphonies, Bruckner refines these crescendo dynamics with a slight drop of the volume at the end while keeping the overall intensifying effect, thereby making the entry of A1' more sudden and dramatic (VI/1 and VIII/1) or providing smooth connection to A1' (VII/1). This dynamic scheme is often combined with Bruckner's tendency towards the expanded middle, which is sometimes disproportionately long in comparison to the thematic beginning, thus producing a widely stretched intensification process. As shown in Table 3.2, this is realised either through the internal expansion in one grouping or through the employment of multiple continuation phrases. Especially in the latter cases, the different continuation phrases may display different harmonic patterns or different motivic ideas but usually in a way that strengthens the increasing momentum. Not only does this expansion contribute to the stretched intensification and the resulting sense of maximising the temporal middle, but it also secures the time that can accommodate Bruckner's complex harmony as well as some motivic developments (especially as in II/1 and IX/1).

Table 3.2. Dynamic changes and expansion techniques used in the continuations of Bruckner's opening thematic units

	Dynamics	Expansion technique	Following unit
00/1		internal expansion	A1'
I/1		x	A1b(contrasting middle)
0/1		internal expansion	A1'
II/1		multiple continuations	A1'
III/1		internal expansion	A2
IV/1		multiple continuations	A2(TR)
V/1		multiple continuations	A1'
VI/1		x	A1'
VII/1		internal expansion	A1'
VIII/1		multiple continuations	A1'
IX/1		multiple continuations	A2

The most problematic aspect of Bruckner's thematic syntax from a Classical viewpoint is probably its end part. Although the cadence is the most important marker to decide where a theme

ends in the Classical context, Bruckner's themes avoid such a cadential formal articulation very often. Table 3.3 illustrates various closural types of Bruckner's opening thematic units in the first movements of his symphonies. Unequivocal PACs only occur in II/1 and IV/1. A1 from IX ends with something close to a PAC, although it is slightly undermined by the premature appearance of a tonic pedal (from bar 59). Still, this 'quasi-PAC' brings about a striking effect as it occurs after the long-stretched continuation part with the almost endless chromatic harmony. An HC takes place in VII/1 but in the dominant key before being soon abandoned in favour of $V\frac{4}{3}/E$ to return to the home key. Apart from these cases, Bruckner avoids accomplishing a genuine cadence through various means. The opening thematic units from 00/1, I/1 and V/1 end with 'prolongational closure', which Caplin (2018) refers to as the case where inverted dominants or tonics are involved. In some closures, cadences are just implied but never fully realised, as in the cases of III/1 and VIII/1. In the former, an implied V^7-I progression is overridden by a persistent tonic pedal; in the latter, the expected tonic bass note is just removed. As discussed above, A1 from VI/1 ends on the dominant chord but without a proper half-cadential progression. Despite the general tendency towards weakening the sense of thematic ending, it is also obvious that all themes end either on the tonic or on the dominant chord of the home key, thereby fulfilling the first theme's tonal function, the establishment of the home key at least to the minimum degree. Of course, the weak closure suggests that such a tonic establishment is not firm, functioning more as a point of departure in the long tonal journey throughout the movement rather than as an unequivocal premise. This practice also demonstrates one aspect of Bruckner's end-orientated concept of sonata form: by expressing the tonic just in an incomplete state in the opening theme, Bruckner increases a desire for further events to compensate or resolve the incompleteness, although this is only resolved fully at the very end by the unmistakable tonic confirmation.

Table 3.3. Various ways of closure in Bruckner's opening thematic units

	Home key	Chord progression at the point of closure	Type of closure	Following unit
00/1	f	f: IV ⁶ -V ⁶	prolongational closure	A1'
I/1	c	c: vii [♭] ₅ /V-V ⁶	prolongational closure	A1b
0/1	d	F: V ⁶ -d: V	dominant arrival without HC	A1'
II/1	c	c: Ger. ⁺⁶ -V ⁶⁻⁵ ₄₋₃ -i	PAC	A1'
III/1	d	d: [V ⁷](ped.)-I	implied IAC, elided	A2
IV/1	E ^b	E ^b : ii-V-I	PAC, elided	TR (A2)
V/1	B ^b	B ^b : vii [♭] ₅ -V ⁴ ₃ -i	prolongational closure	A1'
VI/1	A	F: V-A:V ⁷	dominant arrival without HC	A1'
VII/1	E	B: I ⁶ -V⇒(E: V ⁴ ₃)	V:HC abandoned	A1'
VIII/1	c	c: iv-V ⁷ -i(?)	implied PAC (failed)	A1'
IX/1	d	d: V ⁷ -i	quasi-PAC, elided	A2

Other Individual Cases

The opening thematic unit (A1, bars 1–47) of 00/1 already displays a case of the thematic beginning with the premature developing quality. This boldly expansive sentential theme has a fourteen-bar presentation phrase (Example 3.2), which consists of a compound basic idea (bars 1–7) and its sequential repetition (bars 8–14). The initial statement of this compound basic idea delineates the progression from i to vii^{♭7}, which is not too unusual. When it is repeated, we would normally expect a harmonic motion in the opposite direction, such as one from vii^{♭7} to i, which would achieve tonic prolongation in the way that Caplin (1998) categorises as the ‘statement–response’ type. However, instead of this conventional path, Bruckner arranges the compound basic idea’s elaborated second statement so as to proceed to vii^{♭7}/iv. The expected tonic prolongation is here compromised in favour of some degree of premature destabilisation, which emphasises a sense of growth and forward motion rather than the unproblematic tonic assertion. This is followed by a lengthy continuation (bars 15–47), which conveys a sense of dissolution and instability with free elaborations of the basic idea based on its fragmentation and some degree of harmonic destabilisation. This harmonic excursion in the continuation results in temporary tonicisation of VII (E^b) and III (A^b) in bars 23–26, although soon returning to the F-minor domain and concluding with V⁶ in that key (bar 47), which can be seen as prolongational closure.

Example 3.2. 'Study Symphony' in F minor, first movement, A1's presentation, bars 1–14

presentation [beginning]
establishment

compound basic idea
establishment

b.i. c.i.

f: i VI vii°₃ VI vii°⁷

compound basic idea
elaboration, re-establishment

8 VI⁶ vii°₃ vii°⁷/iv

In the subsequent cases from I/1 to IV/1, Bruckner seems to conform more to Classical practices in organising the opening theme's beginning part since it is generally supported by tonic prolongation. Nevertheless, some sense of developmental quality is still observable in most cases. Example 3.3 illustrates the opening theme (A1a, bars 1–17) from I/1.⁴⁰ Although it is possible to categorise the presentation as a normative type with exact repetition of the basic idea, the subtle melodic change of the repetition in bar 7 (with the higher C replacing the previous Ab) brings a more considerable intensifying effect than a mere repetition. Moreover, at the same time, the bass starts to diverge from the tonic to proceed towards the Ab (bar 10) via a linear progression, thus undermining the tonic prolongation to some extent. The continuation (from bar 11) further continues the linear progression along with the increased harmonic rhythm and the dynamic intensification. This theme also ends weakly with the prolongational closure (on V⁶) in bar 17, although the textural drop here assists its delimitation function.

⁴⁰ This theme, however, turns out soon to be further expanded with a contrasting middle (A1b, bars 18–27) and a reprise (A1a', bars 28–44). These will be discussed in detail in the next chapter.

Example 3.3. Symphony No. 1 in C minor, first movement, A1a, bars 1–17

A similar intensifying effect through the basic idea's repetition can also be found in the opening theme of 0/1, where the basic idea solely consisting of arpeggios (bars 3–4) is adjusted in its varied repetition (bars 5–6) to occupy a higher register by replacing the initial note, A, with the higher D. The ensuing continuation expresses a modest climax prematurely (bars 7–8) with the subdominant chord, after which, exceptionally for Bruckner's continuations, promotes an impression of dynamic de-intensification, although the harmony still promotes instability by veering away from the home key and inclining towards F major (bars 10–13) then F minor (bar 14). The theme is almost about to conclude in that key with V^6 . However, with a kind of last-minute change, it closes on the fourth beat in bar 16 with the single note, A, which implies V in D minor to prepare A1's restatement in the home key.

The presentation phrase (bars 3–6) of A1 (bars 1–26, Example 3.4) from II/1, on the other hand, repeats the basic idea only with the addition of some diminutions, not showing explicit intensification or development, which is the closest case to the Classical exact repetition type. However, even here, Bruckner still pursues gradual temporal continuity between the presentation and

continuation by reserving an explicit fragmentation process – the most typical continuational feature – until bar 10 in the first continuation phrase (bars 7–11). As a result, bars 7–11 can also be heard as a large varied repetition of bars 3–6, which can sound retrospectively as a large basic idea. A more thorough continuational process occurs from the second continuation phrase (bars 12–15). Hence, while bars 3–6 and 12–15 exclusively belong to the beginning and middle portions respectively, the temporal quality of bars 7–11 probably lies somewhere between those two. A1's highly extended continuation part (bars 7–26), which shows the earliest example of intensification through multiple continuation phrases, is worth further investigation. This theme has four continuation phrases, which have slightly different functions from each other. The first continuation (bars 7–10) mainly elaborates the basic idea, but, as already discussed, the fragmentation process is not apparent until bar 10, the case resonating with the concept of what Forrest and Santa (2014) term 'the sentence with delayed fragmentation'. The dissolution/elaboration process is more intensified in the second continuation (bars 12–15) with literal fragmentation and a chromatic ascending bass progression, but it also operates a confrontation function with a new dotted rhythm element. The harmony arrives at the subdominant area in bar 16 and resides for a moment, thereby producing the third continuation phrase (bars 16–19) with a stabilisation function. The final continuation phrase (bars 20–26) further prolongs the pre-dominant region, eventually forming a full authentic cadential progression. Interestingly, this phrase introduces a new motive played by the trumpet, which plays a role as the motto theme throughout the entire movement. This can be seen as derived from the dotted rhythm element in the previous phrases. In sum, Bruckner's peculiar expansion technique employing multiple continuation phrases here enables the continuation part of a theme to encompass newly developed ideas while executing its major duties – dissolution and elaboration.

Example 3.4. Symphony No. 2 in C minor, first movement, A1, bars 3–26 (main melody lines)

The musical score is divided into four sections with the following labels and descriptions:

- presentation [beginning]**: establishment
- continuation 1 [(beginning->) middle]**: elaboration, dissolution
- continuation 2 [middle]**: dissolution, elaboration, confrontation
- continuation 3 [middle]**: dissolution, elaboration, stabilisation
- continuation 4 [=cadential] [middle/end]**: dissolution, elaboration, confrontation, delimitation

Chord symbols and figured bass notation are provided below the staves:

- Bar 3: c: i
- Bar 11: iii (E♭: I)
- Bar 13: ♯VI
- Bar 15: vii^{o7}/V
- Bar 17: V
- Bar 19: vii^{o7}/IV
- Bar 21: Ger.⁴⁶
- Bar 23: ii⁶₃
- Bar 25: V³/V
- Bar 27: i³₃
- Bar 29: V³/iv
- Bar 31: iv
- Bar 33: Ger.⁴⁶
- Bar 35: i
- Bar 37: ♯II -⁶
- Bar 39: V(³)
- Bar 41: i

A1 from III/1 (Example 3.5) is the first instance of a hybrid theme. Still, similar to other cases, a sense of gradual progression and development in the intra-thematic beginning can also be perceived here. The basic idea and the contrasting idea (bars 5–12) do not show too strong a contrast as they are rather closely related to each other, in that the downward motion of D–A–D in the b.i. is just simply reversed in the c.i. with some melodic embellishments. In other words, the elaboration function is more emphasised than the confrontation function here. Moreover, Bruckner again blurs the boundary between the beginning and middle parts by inserting a counter-melody by woodwinds (bar 11), which anticipates the horn’s new idea (bar 13) starting the long-stretched continuation phrase (bars 13–30). In this continuation, the horn melody is gradually dissolved into the repeating semitonal figure (F–E) with a strong sense of acceleration.⁴¹ The sense of seamless continuity is also reinforced by the constant tonic pedal occupying the entire theme (bars 1–30), resulting in some degree of instability expressed by the tonic–dominant conflation, which underlies the teleological intensification towards the elided beginning of A2 on the tonic in D minor.

⁴¹ It is notable that this F–E motion also prefigures the subsequent A2’s main melody (from bar 31), which starts with the same pitches.

Example 3.5. Symphony No. 3 in D minor, first movement, A1, bars 5–18 (main melody lines)

The image shows a musical score for the first movement of Bruckner's Symphony No. 3 in D minor, first movement, A1, bars 5–18. The score is divided into two systems. The first system (bars 5–18) is for the Trumpet (Tpt) and features a 'compound basic idea [beginning]' with 'establishment' and 'basic idea establishment' phases, followed by a 'contrasting idea' with 'confrontation, elaboration'. The second system (bars 13–18) is for the Horn (Hn) and features a 'continuation [middle/end]' with 'elaboration, dissolution, stabilisation'. The score includes various musical notations such as rests, notes, and dynamic markings.

In IV/1, the opening A1's presentation has a peculiar design, consisting of four iterations of a four-bar-length basic idea. As illustrated in Example 3.6, the first two basic ideas (bars 3–10) and the latter two (bars 11–18) form their own pairs respectively, which can be called 'double basic ideas' (or d.b.i.), borrowing the term from Vande Moortele (2011). This apparent thematic redundancy is offset by the introduction of some subtle contrasting elements such as the chromatic neighbour note C \flat in the first response part (bars 7–10), and the transposition of the basic idea down by a fifth along with the minor-mode subdominant harmony (also containing C \flat) in the second response part (bars 15–18). It is worth noting that this chromatic implication around C \flat along with its resulting semitonal motion plays an important role for the later tonal processes at various formal levels, as will be discussed later.⁴² In addition, each double basic idea also contrasts with the other in terms of harmonic rhythm, which is relatively static in the first d.b.i., becoming more active in the second d.b.i. It is also notable that, as in his Second Symphony, Bruckner achieves smooth temporal continuity between the presentation and continuation here by deferring explicit continuational features in a somewhat different way. In this case, the first continuation phrase (bars 19–42) can be seen as an example of what BaileyShea (2004) calls the 'continuation with dissolving third statement' in that it initially seems to re-establish the d.b.i. but soon dissolves into a sequential process along with chromatic harmony, which temporarily leads the music to further key areas such as A major (bars 35–

⁴² See especially Chapter 7, 163–164.

38), thus creating greater instability. While this first continuation phrase keeps elaborating the basic idea from the presentation part, the second continuation (bars 43–50) introduces a new figure with a duplet + triplet rhythm, emblematic of Bruckner's rhythmic style, at a considerably quickening pace with accelerated harmonic rhythm (this phrase also occupies only eight bars in contrast with 24 bars of the first continuation, and the four-bar-long basic idea is replaced with the new idea which is two bars in length). Since this new idea certainly anticipates the thematic material of the upcoming TR (from bar 51), the second continuation not only brings some sense of thematic and rhetorical contrast with the previous phrases but also provides a connection to the following section. In terms of harmony, this phrase plays the role of bringing the music, which has deviated far from the original key in the first continuation, back to the Eb major region. Interestingly, the melodic progression of Cb–Bb, which is suggested in the presentation, actively engages in this process as well, as found in the bass motion in bars 44–45 – with the progression of $iv^6-I^6_4$ in Eb major – and the top-voice motion in bars 46–47 – with an inverted German sixth (or diminished third) proceeding to I^6_4 – before soon achieving a strong PAC (elided) in bar 51.

Example 3.6. Symphony No. 4 in Eb major, first movement, A1, bars 1–51 (main melody lines)

A1
presentation [beginning]
establishment

double basic idea
establishment

double basic idea
re-establishment, elaboration

basic idea
establishment

basic idea
re-establishment, elaboration

basic idea
establishment

basic idea
re-establishment, elaboration

3 (Hn)
 Eb: I ii°4 I I4 vi bVI I4 iv I

continuation 1 [(beginning->) middle] (with dissolving third statement of d.b.i.)
elaboration, dissolution, (re-establishment)

d.b.i.

19 (Ww.) (Hn)
 I Ger.46 I vi6

31 (Vn)
 A: iii6 V4 5 (V4/Bb) (V4/Cb)

continuation 2 [middle/end]
elaboration, dissolution, delimitation

A2

43 (Vn) (Tutti)
 Eb: vii°4/IV iv6 I4 Ger.46(inv.) I4 vi ii V I

From the Fifth Symphony onwards, the opening theme more explicitly becomes a place that suggests tonal problems around a dissonant counter-structure, which will affect later tonal events throughout the movement. Thus, as we have already observed in the case of VI/1, it seems inevitable that A1's intra-thematic beginning tends to produce a more radical sense of motion towards instability, thus far from facilitating tonic prolongation. In the case of V/1, the underlying harmony in the A1's presentation (bars 55–62) is even more radical in some respects than in VI/1. As Example 3.7 suggests, the harmonic progression that underpins the first statement of the basic idea can be read as I–i–bVI–V⁶/V–V in Bb major, which is copied sequentially exactly a minor third higher in the

context of D \flat major in the second iteration of the basic idea. There are two prominent features here: the motion of approaching and tonicising the dominant by resolving a melodic diminished third, G \flat –F–E \sharp to F,⁴³ and the chromatic third progression with both hexatonic – through the frequent use of PL transformations – and octatonic – through the minor-third motion between B \flat and D \flat regions – implications. In contrast to the emphasis on the dominant and the third progression, the initial B \flat major tonic sounds highly weak and temporary because its entry (bar 55) is first heard as an outcome from a delayed deceptive resolution of the long pedal note A (as V/D, from bar 31 in the introduction), which is mediated by D in bars 53–54. The tonic status of the B \flat major chord is only retrospectively confirmed (but still not fully) by the V $\frac{4}{3}$ –I progression of B \flat major at the end of the thematic unit (bars 78–79). What the presentation phrase of A1 does here in terms of harmony is not to prolong and confirm the tonic. In relation to the upcoming continuation, it rather establishes a locally tonicised V led by the resolution of the melodic diminished third as a reference harmony subject to further development and intensification in the following continuation phrases. In a larger context, it proposes a chromatic third relation (especially between B \flat and G \flat) as a dissonant element affecting the whole movement.⁴⁴ The subsequent two continuation phrases display further instability in some distinctive patterns. Continuation 1 (bars 63–70) forms a chromatic descending line by reproducing the V/V–V pattern derived from the end of the presentation over and over again with a decrescendo, whereas continuation 2 (bars 71–78) uses a successive diminished seventh chord to achieve the similar chromatic descent but with a crescendo dynamic. Continuation 2 also employs a

⁴³ As Hatten (2001) observes, the G \flat –F–E \sharp motion has a direct connection with the bass line that appeared in bars 9–10 of the introduction section. According to him, this diminished third is ‘emblematic of the tragic’ while the allegro theme, with the same idea, ‘suggests the determined action and character of a motivated agent’ by resolving it immediately. See Hatten 2001, 153 and 155.

⁴⁴ This chromatic implication is already foreshadowed in the introduction. After its calm initial part (with pizzicatos) closes with an HC on V/B \flat in bar 14, the sudden fortissimo interruption of a tutti unison passage (bars 15–18) occurs in G \flat . This is then followed by a brass chorale passage (bars 18–22) foregrounding A as V/D before the reappearance of the unison passage (bars 23–25) restores B \flat . The chorale (bars 26–30) also then reappears, temporarily tonicising A (with its V on E) before it is connected to the long standing-on-the-dominant passage (from bar 31) with an A pedal (V/D). The resultant hexatonic implication around B \flat , G \flat and D not only governs the ensuing first theme and the whole movement but also the entire symphony. For further detailed discussions on the tonal process around this chromatic implication in Bruckner’s Fifth, see Horton 2004, 120–135.

different internal phrase structure with a kind of nested sentence, which establishes a new idea (bars 71–72) by repeating it (bars 73–74) and immediately fragmenting it (bars 75–78) while producing a constant dotted-rhythmic movement and a strong rhythmic drive to the next thematic unit (A1').

Example 3.7. Symphony No. 5 in Bb major, first movement, A1, bars 55–79

A1
presentation [beginning]
establishment

basic idea
establishment

basic idea
re-establishment, elaboration

55 *pp* (Vn) *p* (Vla, Vc.)

B: I i \flat VI $\text{V}^{\flat}/\text{V}$ V D: I i \flat VI $\text{V}^{\flat}/\text{V}$ V

(PL) (PL) (PL)

continuation 1 [middle]
dissolution, elaboration

63 *dim.* *p* *dim.* *pp* *dim.* *ppp*

(A \flat) (G) (G \flat) (F) ($\text{V}^{\flat}/\text{G}\flat$)

continuation 2 [middle/end]
dissolution, elaboration, delimitation

71 *pp* *p poco a poco cresc.* *smepre cresc.* *ff* (Tutti)

(succession of dim.7th chords) $\text{B}\flat:\text{vii}^{\flat}_3$ V^{\flat}_3 I

In VII/1, the opening A1 shows another case of a hybrid-theme type with a compound basic idea (bars 3–11) followed by a continuation (bars 12–24). As Example 3.7 displays, after the basic idea's broad arpeggiated melody, the ensuing contrasting idea, which moves mostly by steps with just a few skips, surely conveys a sense of confrontation. However, it is possible to regard this entire contrasting idea as an elaboration of the last note of the basic idea, B, thus probably contributing to an impression of continuous progress rather than a too sharp contrast. With this, the harmony effortlessly veers away from the initial tonic to proceed towards the dominant, which is itself

temporarily tonicised. This smooth motion from I to V is a defining factor prefiguring the constant pull towards the B tonality, the tendency which, as Simpson (1992) rightly observes, governs the whole exposition.⁴⁵ In other words, Bruckner sets up the B tonality as a mild degree of dissonant element (of a diatonic kind rather than chromatic), which arises as the structural tonal problem that should be overcome in the end, thereby affecting some later idiosyncratic tonal/formal events, as will be discussed in later chapters. The continuation conveys a typical sense of fragmentation based on the two-bar unit size via a sequential motion, which enables the temporary exploration of some local keys such as C# minor, G# minor and, via B, even D# minor (evoking a circle of fifths on the sharp side) in a gentle dynamic intensification. Its end point, however, turns out to be B major, and even an HC in that key is created in bar 23, thus reconfirming the presence of the pull towards the B tonality, although the half-cadential effect is soon abandoned in the next bar (bar 24), which suggests $V\frac{4}{3}/E$ with the change of A# into A \flat to prepare the A theme's restatement (A1') in the home key.

Example 3.8. Symphony No. 7 in E major, first movement, A1, bars 1–24

The musical score for Example 3.8 is presented in three systems. The first system (bars 1-8) includes an 'intro [before-the-beginning] preparation' and a 'compound basic idea [beginning] establishment'. The second system (bars 9-16) features a 'basic idea establishment' and a 'contrasting idea confrontation, elaboration'. The third system (bars 17-24) shows a 'continuation [middle/end] dissolution, elaboration, delimitation'. The score includes various dynamics such as *pp*, *mf*, *dim.*, and *poco a poco cresc.*, as well as articulations like *lang gezogen* and *gezogen*. Chord symbols and Roman numerals are provided for the piano part, including E: I, B: I, V, V⁷, c#: V, I, g#: vii^{o7}, V⁷, i, B: vii^{o7}, V, I, d#: vii^{o7}, i, B: IV, vii^{o7}, I, V (HC), E: IV, V $\frac{4}{3}$.

⁴⁵ Simpson (1992) wrote: '[t]hroughout the whole first part of the movement B major takes over, as it were, by stealth, in a manner remote from the muscular action of sonata' (172).

The most extreme case of the unstable thematic beginning is demonstrated by the opening theme of VIII/I (see Example 4.2 in the next chapter), which employs notoriously ambiguous harmony from the very beginning. The first statement of the basic idea implies at least three different tonalities within just four bars. The initial F pedal can be interpreted as V of B \flat minor with a neighbour note G \flat , but the resolution to the B \flat -minor tonic is abandoned by the subsequent melody evoking D \flat major, which then unexpectedly sidesteps to the C minor tonic. The apparent Phrygian inflexion produces a chromatic dichotomy of C–D \flat , which will play an important role throughout the entire work as the chromatic counter-structure, creating tensions between C- and D \flat -related keys. The loosely (and problematically) established C minor tonic is brought back to the domain of uncertainty in the freely varied next iteration of the basic idea by a peculiar harmonic progression implying $i^6-v-^6-vi^6(ab^6)$, which is smoothly connected to the even more chromatic realm of the following continuation phrase. The harmony in this presentation is the farthest from Classical practice in that it does not establish an unequivocal tonic basis. Rather, as Horton (2017a) notes, it constructs ‘an immediate tonal dialectic, which places C minor as the premise in direct conflict with D \flat as the counter-premise’ (181). The subsequent two continuations have different harmonic functions. Continuation 1 (bars 11–16) further facilitates tonal instability by exploring highly ambiguous chromatic progressions, which vaguely hover around the B tonality (suggested by B 7 and F $\sharp^{\frac{4}{3}}$ chords) thus re-addressing the semitonal implication originating from the presentation in a mirrored version. Continuation 2 (bars 17–22), on the other hand, brings the music back to the home key’s realm and even attempts to create a cadence, although the expected V–I progression is undermined by the removal of the tonic bass in bar 22.

IX/1’s opening theme (A1) is extraordinary in its expanded size, consisting of a 22-bar antecedent (14-bar basic idea + 8-bar contrasting idea) and three continuations, each occupying twelve bars. The basic idea (bars 4–18) itself, which is firmly based on the D minor tonic, can be seen as having its own sentential outlook featuring a four-bar lower-level basic idea, its varied repetition, and its melodic dissolution. The sense of stability evoked by the basic idea is severely challenged by

the ensuing contrasting idea (bars 19–26), which introduces, via an Eb^4_2 chord, the chromatic Cb major with the horn's sweeping motion (sharply contrasting with the basic idea's static motion) before moving to a V/Db , which creates a half cadence. As Horton (2004, 140–142) notes, this Cb element mediated by Eb functions as the crucial dissonant counter-structure throughout the movement. Similar to the case of VII/1, it seems that the adoption of a hybrid type for the opening theme of IX/1 comes from the desire to express in its beginning portion the tonal shift from the tonic to this dissonant element, which is detrimental for later tonal events, in a prefigured and summarised way. The subsequent three continuations embody a sense of teleological intensification at an unprecedentedly expanded scale through the long chromatic ascent, in which each continuation engages with different harmonic patterns: continuation 1 (bars 27–38) mostly features alternations of major-minor seventh chords ($4/3$ position) and triads (first inversion); continuation 2 (bars 39–50) a series of half-diminished seventh chords; continuation 3 a succession of major-minor seventh chords (with alternations of $4/2$ and $4/3$ positions), until V/d is secured in bar 59, which proceeds to the D minor climax, elided with $A2$. This unprecedentedly long span of the continuation part also allows a peculiar thematic process, traced in Example 3.9. Example 3.9(a) shows the last part of the antecedent phrase of $A1$, which creates motive X with descending step motion. Continuation 1 (Example 3.9(b)) elaborates this motive (X'), also producing the overlapping motive Y with a quaver rhythm. Continuation 2 (Example 3.9(c)) transforms motive Y to Y' with some intervallic adjustment while retaining the contour. Continuation 3 (Example 3.9(d)) introduces a chromatically descending four-note figure, Z , which is actually from the X motive's descending line, combined with the quaver rhythm brought from the Y motive. This is further fragmented as Z' , building up the music to a climax. Motive Z emerges as a key element in the subsequent thematic unit, $A2$, as shown in Example 3.9(e). In sum, the continuation of the $A1$, benefitting from the extremely enlarged span, works as space not only for dissolving initiating ideas but also for constantly morphing them until engendering new thematic ideas. This process is supported by extensive fragmentation and chromatic sequences, providing an impression that it never ends and maximising the temporal quality of the middle before its dramatic termination elided with the advent of $A2$.

Example 3.9. Symphony No. 9 in D minor, first movement, thematic process in A1

(a) Antecedent

(b) Continuation 1

(c) Continuation 2

(d) Continuation 3

(e) A2's beginning

Summary and Conclusion

In his analysis of the first theme from VIII/1, Horton (2017a) points out that ‘the harmonic syntax underpinning Caplin’s beginning–middle–end paradigm starts to unravel’ (181). Certainly, as my investigation of Bruckner’s opening themes above shows, the Classical harmonic–formal relation based on the notion of prolongation and cadence, as Caplin describes, often loses its ground, most especially in the cases from the later symphonies. However, it is also true that the linear expression of the beginning–middle–end inherent in sentential construction is still present in Brucknerian thematic syntax, often even more vividly than in Classical practices. The premature developing quality in the beginning is the key for such temporal linearity. In the case of earlier symphonies, the sense of gradual transitioning from the beginning to the middle is supported by subtle motivic elaboration or slight dynamic growth while generally retaining tonic prolongation. In the later symphonies, the presence of a dissonant counter-structure affects more strongly the premature medial quality in the opening theme’s beginning before its middle portion stages even more unstable harmony in the way of intensification. Despite temporary modulations in the middle, Bruckner’s opening thematic units usually end in the home key, thus preserving the minimum sense of establishing the home key. Still, Bruckner’s tendency towards non-cadential closure weakens the sense of ending, which is complemented by non-harmonic elements such as motivic liquidation and textural or dynamic manipulation. This weakly articulated ending is essential in Bruckner’s end-orientated formal conception, which reserves definitive cadences for later structural formal events. Through this practice, Bruckner maximally exploits the potential of the sentential form by combining it with late-Romantic harmonic languages. This serves well his symphonic conception for the first theme, which is devoted to expressing growth from nothing and relentless forward motion, or as Halm (1914) describes it, ‘the desire for the following, the spirit of the future’ [*der Wille zum Folgenden, die Geist der Zukunft*] (47).

Chapter 4: The First Theme Group as a Whole

Two Models: The Restatement Scheme and the Double-Theme Scheme

We have discussed in the previous chapter that Bruckner's opening thematic unit (A1) usually promotes a sense of growth with the sentential type of temporality. This observation may lead to a question of what comes next or what the result of such a growth is. Such a question is related to the issue of how Bruckner generally shapes the higher-level formal syntax. In the A group, this is realised in two ways: A1 is either followed by its immediate restatement (A1') or by a new thematic unit (A2). Those two types, which can be described as the 'restatement scheme' (or R-scheme) and the 'double-theme scheme' (or D-scheme), work as the basic principles to organise the whole A theme group.

As a paradigmatic example of the R-scheme, Table 4.1 illustrates the form-functional structure of the A group from VI/1. Under this scheme, A1 is restated as A1' with some modification to such an extent as to allow a modulation (usually through its continuation part) to a new key area, whereas the previous A1 eventually remains in the tonic key area. In other words, A1' fulfils a higher-level medial function by expressing elaboration and dissolution, which are typical of a transition unit (TR). This case resonates with the Classical model of what Hepokoski and Darcy (2006) categorise as 'dissolving restatement' or 'dissolving consequent'.⁴⁶ Or one could find Janet Schmalfeldt's (2011) concept of 'becoming', or 'functional transformation' as rephrased by Horton (2017b) useful in explaining this situation, which would be represented as $A1' \Rightarrow TR$. However, it should be noted that Bruckner's A1' usually keeps the original thematic syntax of A1 despite considerable harmonic tweaks that can cause a modulation. In other words, the re-establishment function of A1' is still strongly articulated and undamaged by other functions such as elaboration and dissolution, which suggest a transitional function.⁴⁷ With this, A1 and A1' together form an overarching temporal cycle of beginning–middle–end. Although a periodic structure (A1–A1') can be seen as a large-scale

⁴⁶ The decision between those two types depends on whether the previous P-module ends with a PAC or an HC. See Hepokoski and Darcy 2006, 100–102.

⁴⁷ It is possible to see this kind of thematic unit as both A1' (restatement of A1) and transition simultaneously. This situation seems to resonate with the modified concept of 'becoming' suggested by Martin and Vande Moortele (2014), which is represented by a double arrow (such as $A1' \Leftrightarrow TR$) that expresses 'a form-functional situation that is internally dynamic – one that bounces back and forth between conflicting form-functional profiles – but that in the larger scheme is entirely static' (148).

antecedent–consequent) is visible, the underlying temporality in this theme group leans more towards a sentential kind of temporality, with an emphasis on forward momentum. The temporal relationship of A1 and A1' is similar to that characterising the presentation and continuation phrases at the lower level. In other words, as Table 4.1 indicates, the beginning–middle/end relationship at the intra-thematic level 2 is copied at the intra-thematic level 1.

Table 4.2 presents the form–functional structure of the A group from IX/1, which is the representative case of the D-scheme. Under this scheme, the initial thematic unit (A1) is followed by a new unit with different material (A2), which emerges as the goal of the preceding one, forming a structural downbeat at the point of its entry so that it makes A1 sound somewhat preparatory in retrospect. Darcy (1997) describes this practice as the ‘teleological theme’, which comprises ‘P^{gen} (the generative crescendo) and P^{tel} (the telos)’.⁴⁸ Similarly to the case of R-scheme, A1 and A2 of the D-scheme together form an overarching temporal cycle, arguably occupying the beginning and the middle/end portions respectively, but the temporal quality engendered is not the same as that of the R-scheme since their structural functions work differently. Although A1’s main structural function is the establishment, one might find a preparation function as well to some extent, which contributes to a slight ‘before-the-beginning’ quality. As for A2, its middle function is, unlike A1' under the R-scheme, associated with the introduction of a new idea (thus ‘confrontation’) rather than the dissolution of A1. Despite this complex temporal implication, the overarching temporal cycle itself spanning over A1 and A2 is heard as even more seamless and explicit than in the R-scheme, due to the more obvious teleological intensification to the highpoint at the entry of A2. The full realisation of this double theme (A1–A2) is usually followed by a TR, which is differently treated in each case. In

⁴⁸ This term was originally used by James Hepokoski (1993). Hepokoski and Darcy revisit this concept more generally later in their *Elements of Sonata Theory* (2006, 91–92), citing the opening of Beethoven’s Ninth Symphony as the paradigmatic example. Darcy (1997) subcategorises this ‘teleological theme’ into two types: the ‘creation ex nihilo’ type, where P^{gen} is ‘shaped as a generative matrix within which motivic fragments materialize out of the void and gradually coalesce into the fully formed thematic statement of the telos’; and the ‘double-theme type’, in which P^{gen} ‘contains a more or less fully formed thematic statement’, while the P^{tel} ‘presents a different theme as goal’ (260). My understanding of the D-scheme’s A1–A2 structure is close to the latter type. In the former type, the P^{gen} is presented just as an introductory unit, which can hardly be designated ‘A1’, and this type often appears in the final movements of Bruckner’s symphonies but seldom occurs in the first movements. I disagree with Darcy’s view that the opening of IX/1 is an example of the first type. Although it is true that the ‘P^{gen}’ of XI/1 has some generative ideas that affect the P^{tel}’s motivic elements, its syntactic completeness (showing a clear beginning–middle–end) as a thematic unit makes it more plausible to regard this case as a double-theme type. See Darcy 1997, 260–261.

III/1, the TR involves a partial restatement of the A1–A2 in a different tonal and harmonic context; in IV/1, the seeming A2 ultimately functions as a TR; and in IX/1, the TR appears as a kind of suffix passage of the climactic A2, dissipating the energy and liquidating the thematic elements. Again, as in the R-scheme, the transitional process under the D-scheme is treated as a subordinated event happening within the larger context of the A theme group, especially in the cases of III/1 and IX/1. Only the TR of IV/1 can be seen as having its own domain, but it also has a strong thematic profile and a main theme-like function,⁴⁹ which make possible the claim for the existence of an overarching A theme group spanning over A1 and TR (or A2).⁵⁰

⁴⁹ Throughout the movement, this TR theme (employing Bruckner's emblematic duple-triplet rhythm) is emphasised as an important thematic idea subject to various elaborations. For example, it provides a primary thematic source to the third theme group and also reappears in a minor mode at the climax of development. It is not surprising that Darcy (1997, 20) even sees this theme as P^{tel}, rather than TR.

⁵⁰ This aspect is also corroborated by the strong textural continuity stretching over A1 and TR, mainly displayed by the string tremolo.

Table 4.1. Restatement scheme: Symphony No. 6 in A major, first movement, A group

Bar	1	3	15	25	37	47
Formal function (Inter-thematic level)	A [beginning] <i>establishment</i>					
(Intra-thematic level 1)	A1 [beginning] <i>establishment</i>			A1' [middle/end] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>		
(Intra-thematic level 2)	intro [before-the-beginning] <i>preparation</i>	presentation [beginning] <i>establishment</i>	continuation [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	presentation [beginning] <i>establishment</i>	continuation [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	link [after-the-end] <i>dissolution</i> <i>connection</i>
Tonal plot	A: I (iii) → V (F) V ⁷ I iii V ⁶ /V → F: V ⁷ (e: Ger. ⁺⁶)					

Table 4.2. Double-theme scheme: Symphony No. 9 in D minor, first movement, A group

Bar	1	5	27	39	51	63	71	77
Formal function (Inter-thematic level)	A [beginning] <i>establishment</i>							
(Intra-thematic level 1)	A1 [beginning (before-the-beginning?)] <i>establishment</i> (<i>preparation</i>)					A2 [middle/end] <i>confrontation</i> (<i>establishment of new idea</i>) <i>elaboration</i>		'TR (suffix) [after-the-end] <i>stabilisation</i> <i>dissolution</i> <i>connection</i> (<i>elaboration</i>)
(Intra-thematic level 2)	intro [before-the-beginning] <i>preparation</i>	antecedent [beginning] <i>establishment</i>	continuation 1 [middle] <i>dissolution</i> <i>elaboration</i>	continuation 2 [middle] <i>dissolution</i> <i>elaboration</i>	continuation 3 [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	c.b.i. [beginning] <i>establishment</i>	cadential [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	
Tonal plot	d Eb ⁴ Cb → V/Db (chromatic linear progression) → d: (V) i (Eb) (Cb) ii VII ii: ⁶ / ₅ V i (PAC)							

Table 4.3 provides an overview of how Bruckner constructs the A group in the individual cases, from the perspective of these two schemes. An interesting progression can be observed across all the first movements of his symphonies. It is evident that his earlier symphonies prior to V/1 oscillate between the two schemes and show more experimental attempts than the later ones, which ultimately settle down to one of the two schemes.

Table 4.3. Application of the R- and D-schemes in the individual cases of Bruckner's symphonies

	Overall structure of A group	Types used
00/1	A1–A1	R-scheme
I/1	A1a–A1b–A1a'	R-scheme, but interrupted by D-scheme rhetoric
0/1	A1–A1'	R-scheme, but with a slight allusion to D-scheme
II/1	A1–A1'	R-scheme
III/1	A1–A2–TR	D-scheme, but TR partly expresses R-scheme rhetoric
IV/1	A1–TR(A2)	D-scheme, but with a slight allusion to R-scheme
V/1	A1–A1'	R-scheme
VI/1	A1–A1'	R-scheme
VII/1	A1–A1'	R-scheme
VIII/1	A1–A1'	R-scheme
IX/1	A1–A2–TR	D-scheme

Such an experiment is clearly displayed in the A theme group from I/1, which explores the possibilities of both schemes. At first glance, it appears to take on some double-theme rhetoric since the continuation phrase (bars 11–17) of the opening thematic unit (bars 1–17) is, through intensification with teleological implication, connected to a new passage (from bar 18) with a tutti. Although this passage includes some elaboration of the dotted rhythm motive introduced by the previous unit, the emergence of new motives along with a sudden textural and topical change (from 'march' to 'tempesta') is so obvious that it can be potentially interpreted as a new thematic unit. The problem is that this passage lacks a complete thematic profile: in bars 18–22, it is just supported by a half-cadential progression (IV⁶–iv⁶–V) in E_b major, followed by a standing on the dominant (bars 22–26), thus expressing the temporal quality of middle, end and after-the-end, but no explicit beginning. In other words, the allusion to the double-theme scheme is undermined by its incomplete thematic quality. Moreover, this unit turns out to be a contrasting middle retrospectively because of the reappearance of the opening material (from bar 28) thereafter, subverting the teleological

expectation under the double-theme scheme. It is as though Bruckner initially tries to realise a double-theme scheme, but somehow gives up this option, and ends up employing a restatement scheme albeit in quite a peculiar way. Therefore, it would be more reasonable to grasp the whole A group as the outcome from the opening theme expanded into a ternary structure, which could be labelled 'A1a (bars 1–17)–A1b (bars 18–27)–A1a' (bars 28–44)'. This ternary structure of the first theme group is a one-off occasion, which never happens again in any of Bruckner's later first-movement sonata forms of his symphonies.

After this experimental attempt, Bruckner appears to adhere to the restatement scheme in the subsequent two symphonies (0/1 and II/1). Yet, in the A theme group from 0/1, we can also discern a subtle hint of a double-theme rhetoric when a full tutti erupts with a new fanfare-like material at bar 26. This event happens after a crescendo in the truncated continuation phrase (bars 23–25) of A1', supported by a temporary V–I progression in C major. The resulting new formal part (bars 26–32) can be interpreted as a suffix or, retrospectively, a linking passage to the B group, which means that Bruckner places the double-theme rhetoric in a rather unexpected location. On the other hand, Bruckner achieves a full realisation of the restatement scheme without doubt in II/1. He further confirms this by creating a strong formal articulation through cadences: A1 ends with a PAC, and A1' with an HC and a post-cadential standing on the dominant, which forms a clear I:HC MC.

The first full realisation of a double-theme scheme is accomplished in III/1 on an unprecedentedly grand scale. A1 (bars 1–30) with an expanded continuation is followed by A2 with an even longer span, which is a large compound sentence comprising two statements of a compound basic idea (bars 31–38 and 39–48, respectively) and two continuation phrases (bars 49–58 and 59–68 respectively). The degree of expansion is to such an extent that each compound basic idea itself has a local-level cadence.⁵¹ After achieving a strong HC at the end of A2, A1's primary motive re-emerges, giving the impression that a restatement of the A theme is underway. However, this potential A1 restatement (bars 69–89) occurs in the context of a standing on the dominant (V of D minor), expressing more instability than the original A1. This instability becomes more pronounced when the

⁵¹ These cadences (occurring in bar 36–37 and 44–45) can be seen as what Caplin (2013) terms cadences with limited scope.

subsequent reiteration of A2's c.b.i (from bars 89) appears in B \flat major and soon dissolves into fragmentation, leading to a modulation to F.⁵² Schmalfeldt's (2011) concept of 'becoming' is likely useful in identifying what is happening at this point: the apparent restatement of A1 and A2 'becomes' a transition in retrospect, thereby gradually incorporating tonal instability into a partial thematic restatement to facilitate a smooth connection to the key of the second theme. Through this process, Bruckner fuses the R-scheme rhetoric into the fully materialised D-scheme, which again contributes to the thematic maximalism Bruckner attempts in this symphony.

The A theme group from IV/1 employs a similar D-scheme rhetoric, including a long teleological crescendo in the continuation part (bars 19–59) of A1 and the elided PAC at the onset of seeming A2, which, however, turns out to be a modulating TR that ultimately reaches a V:HC MC at bar 74. In other words, Bruckner ingeniously combines the teleological discourse of the D-scheme with the most traditional kind of TR here. Another notable aspect is that Bruckner still creates a slight impression of an R-scheme. This sensation happens at bar 19, where the continuation part of A1 begins with the third statement of the double basic idea of the presentation phrase (see Example 3.6 in Chapter 3) after the subtle punctuation evoking some sense of a plagal cadence at bar 18.

Bruckner's symphonies after the Fourth show no sign of oscillation between the two schemes any more. The first theme groups from V/1 to VIII/1 exclusively rely on the restatement scheme. It appears that Bruckner, after completing his typical formal strategy for the A group, concentrates on refining it rather than doing further experiments. Interestingly, the cessation of such formal experiments in these symphonies accompanies the more audacious harmonic exploration and the increasing uses of weakly articulated closure (see Table 3.3 in the previous chapter). On the other hand, the A group from IX/1 (see Table 4.2 above) only relies on the double-theme scheme. Although this theme group evokes again the thematic maximalism seen in III/1, especially with the extremely large A1 (bars 1–62), the subsequent A2 (bars 63–75) is relatively short: it consists of a compound basic idea (bars 63–70), which interestingly recalls the E \flat /C \flat dissonant element

⁵² The B \flat reiteration of the A2 material here is reminiscent of the first movement of Beethoven's Ninth Symphony, in which the second statement of the first theme, or the 'P^{ted}' theme in Hepokoski and Darcy's (2006) terminology, also appears in B \flat major in response to the first statement in D minor.

originating from A1's beginning, and a cadential phrase (bars 71–76), which immediately dispels such a chromatic dissonance by a strong PAC in D major. The following TR, unlike the TR from III/1, shows no sign of thematic restatement, but rather behaves as a codetta-like suffix passage over the static D pedal, dissipating the energy. Indeed, this is the only case where we cannot find any trace of an R-scheme at all. With this strategic choice, the uniformity across A1–A2–TR as one thematic group is not carried out through a clear thematic restatement but through a chain-like gradual thematic process (as we have already seen in the continuation part of A1; see Example 3.7), which constantly morphs preceding ideas and generates something new.

Transitional Process within the A Group

In the current *Formenlehre* discussion, especially in the form-functional approach, the transition is normally treated as having an independent territory at the inter-thematic level, on par with the main theme or the subordinate theme. This inter-thematic status of the TR is most clearly demonstrated in Caplin's argument (2010, 28) that the main theme, the transition and the subordinate theme express the beginning, middle and end, respectively, within the exposition (as illustrated in Figure 2.1 in Chapter 2). However, this formulation is not adequate to explain Bruckner's formal practices, where the hierarchical position of the TR as an independent formal area is greatly undermined. This situation could be understood in the context of the growing nineteenth-century tendency to put emphasis on more substantial rhetorical and textural contrasts between the first and second themes, which often results in the impression of an undermined TR. Here, I address three examples from Beethoven, Schubert and Wagner, three important figures that had strong musical influences on Bruckner.⁵³

In the case of the first movement in Beethoven's Fifth Symphony, technically, the TR begins after the HC at bar 21, in the manner of a 'dissolving consequent' (Hepokoski and Darcy 2006). However, if we only count the rhetorical settings around this TR, the music, due to the continuing activity of the main motive, ongoing energetic atmosphere and late modulation, gives an impression that the first theme is still going on, and the famous horn passage (bars 59–62) emerges as though it

⁵³ For detailed analytical discussions of their multifaceted influences on Bruckner, see Horton 2004, 162–195.

is a true transition, which is extremely short. In the first movement of Schubert's 'Unfinished' Symphony, it is possible to interpret that the TR begins at bar 21 (again, as a dissolving consequent) and reaches a I:PAC MC at bar 38, as Hepokoski and Darcy (2006, 29) put it. Yet if one regards the PAC at bar 38 as the sign for the real ending of the first theme, then it is more plausible to think that only the short passage over bars 38–42 articulates the transitional process by connecting the first theme, through the common tone D, to the G major second theme. Caplin's model for the expositional beginning–middle–end does not fit well here because it could sound counter-intuitive to say that such a small linking passage carries the structural burden of the middle of the whole exposition. Another example is Wagner's Overture to *Der fliegende Holländer*, which Hepokoski and Darcy (2006, 146–147) demonstrate as being the first representative case showing the nineteenth-century idea (originating from A. B. Marx) of a masculine P-theme and feminine S-theme, which often generates 'separate blocks, each of which often displayed a relatively consistent, sometimes even monolithic character'. With this strong sense of polarising formal blocks, the presence of the transitional process is inevitably minimised. According to Vande Moortele's analysis (2017, 156–159), the first theme group of the exposition in this overture consists of the introductory opening (bars 1–12), the first sentential unit (bars 13–24) ending with the HC (bar 24), and the second sentential unit (bars 24–64) closing with another HC in the same key and the long post-cadential standing on the dominant. Although it is not completely impossible to see the second sentence as the TR, its strong thematic affiliation to the first sentence, syntactic completeness and non-modulating feature undermine this idea to a great extent. Moreover, this supposed 'TR' does not provide proper preparation or connection to the second theme group, questioning the TR status again: it ends with V of D minor, and the second theme just enters in F major. The common tone A works as a feeble pivot here, but it is even hindered by the literal gap of a one-bar pause.⁵⁴

Bruckner further developed this formal practice, focusing on organising more systematic multi-layered temporal discourses for the first theme group. As we have discussed in the previous

⁵⁴ Bruckner's II/1 employs a similar tonal and rhetorical setting when moving on to the B group from the A group in that the A group ends with V of C minor, and after the one-bar pause, the B group directly begins in Eb.

section, both the R- and D-schemes usually create the two syntactically complete formal units (A1–A1' or A1–A2), each of which displays its own beginning–middle–end, and these two units together form a higher-level temporal cycle governing the whole A theme group. The sense of uniformity across the A group is further corroborated by an overarching ‘dynamic wave’ (in Kurth’s term) of intensification and de-activation, in which the music reaches its climax in the A1' or A2 and soon dissipates until the end of the A group. With this procedure, the transitional process is fused into the overriding thematic presentation, or it just confines its role to provide a minimum connection to the following second theme group. This situation is also closely related to Bruckner’s formal conception of the expanded three-part exposition, in which the expositional temporal cycle is arranged differently from Caplin’s model (Figure 3.1(a)) where the transition is regarded as the expositional middle between the A and B themes. However, as Figure 3.1(b) suggests, Bruckner’s exposition delineates the inter-thematic-level temporal cycle through the almost equally proportionated three theme groups, while the transitions between theme groups are rather treated as local events.

Figure 3.1(a). A model for temporal functions in the exposition (after Caplin)

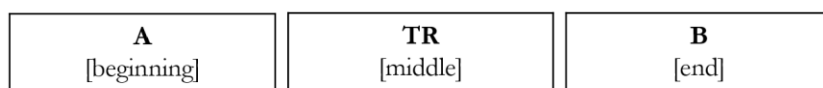
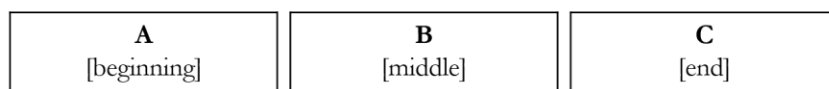


Figure 3.1(b). A modified model for temporal functions in the exposition (for Bruckner)



In this formal practice, the foremost task, from a compositional point of view, would be how to effectively express the transitional process while keeping the identity as the first theme group. This is especially crucial for the R-scheme where, as seen in Table 4.1, A1' preserves A1's syntactic completeness but still expresses dissolution/elaboration functions at the thematic-unit level. In this process, A1' may display some escalating effects but always end up with quiet dynamics, thereby completing one cycle of the dynamic wave that governs the whole first theme group.

One tactic is to rewrite the opening theme by adding some modulatory devices, as found in the A group from I/1. As discussed earlier, this group displays a small ternary structure (labelled A1a–A1b–A1a'). However, upon closer inspection, it becomes clear that some transitional features permeate this structure in a way that resonates with the concept of 'becoming'. The A1b unit (bars 18–27), although initially appearing as a transition-like passage that potentially facilitates a modulation to Eb major, retrospectively reveals itself as a contrasting middle when we encounter the reappearance of the opening theme (A1a'). Although the first four bars (bars 29–32) of A1a' fully retain the main melody of the parallel passage (bars 3–6) in A1a, they are supported by an Ab chord (as IV of Eb major or VI of C minor) instead of the C minor tonic, facilitating more tonal instability. This Ab chord is transformed into V⁷ of Db by the addition of Gb at bar 32, after which the music passes a loosely implied Bb minor region, but eventually reaches V⁶ of Gb major. This harmonic progression is underpinned by the chromatic ascending (Ab to Bb) and descending (Bb to F) bass lines. In this process, although the syntactic completeness of A1a' as a thematic unit is roughly retained, the continuation part of A1a is here replaced by a linking passage (bars 37–44) mostly comprising a standing on the dominant of Gb. It emphasises the liquidating effect rather than the intensifying one as A1a did, which is suitable to prepare the beginning of something new, that is, the second theme group. Once again, one could find an instance of functional transformation here: in the case of A1b, a transition *becomes* a contrasting middle; in A1a', a reprise of A1a *becomes* a transition.⁵⁵

0/1's A group also employs the modulating restatement scheme, although being less sophisticated. Here, the process of modulation occurs early when the basic idea is repeated (bars 21–22) with the introduction of an Eb chord, which prolongs over the continuation (bars 23–25) with a

⁵⁵ Schmalfeldt (2011, 164–170), using her concept of 'becoming', discusses a similar formal issue found in the first movement of Mendelssohn's Piano Trio No. 1, Op. 49, in which a seemingly transition-like passage (bars 39–67) *becomes* the contrasting middle of a small ternary, and a potential reprise (from bar 67) of the small ternary *becomes* a true transition proper. However, it is worth noting that Bruckner's case may be more complex and might not be fully explained in exactly the same way. While Mendelssohn employs a strong PAC at bar 67 to reconfirm the original key (D minor), which strongly negates the transition function of bars 39–67, there is no such authentic cadence in Bruckner's case, and the shift from A1b to A1a' occurs more evasively. The dominant of Eb major attained at bar 22 in A1b sustains for a while, and then the bass falls to Ab implying IV of Eb, over which A1a' enters. As a result, the sensation of Eb major still lingers on for a while even in A1a', not completely invalidating the impression of the previous A1b unit as a transition.

crescendo. Then, this Eb directly leads to a V-i progression in C minor (then C major), with which an unexpected fanfare passage (bars 26–29) abruptly enters with a fortissimo dynamic to form an apex. It is followed by a similar liquidating passage as found in I/1 to prepare for the onset of the B theme group.

VI/1 demonstrates a magnificent example of how Bruckner manages to convey the sense of destabilisation with a modulation while completely preserving the thematic identity of A1'. As illustrated in Table 4.1 above, the original structure consisting of a twelve-bar presentation and a ten-bar continuation of A1 is totally retained in A1' apart from the addition of a brief linking passage (bars 47–48). Meanwhile, considerable harmonic changes are carried out in a way that emphasises more strongly the presence of the dissonant counter-structures prefigured in A1. In the presentation phrase (bars 25–36), although the re-entrance of the A major tonic (bars 25–27), thanks to the preceding V (bars 21–24), provides more explicit confirmation of the tonic key than what is heard in bars 3–6 (but still not fully, because of the lack of $\hat{3}$ and the ongoing Phrygian and V/d implication), the permeation of temporal 'mediality' and tonal ambiguity intrinsic to the original thematic idea is still retained. The ensuing progression of V_{3-i}^4 in F# minor featured in the two-bar extension of the basic idea (bars 29–30) realises the potential of C# as V/vi, signifying the C#/F# dissonant element's stronger influence in A1'. The following continuation phrase (from bar 37) revisits the C/F element in a more complex way than A1's counterpart. As Example 4.1 displays, this phrase is wholly occupied by linear intervallic patterns, quickly implying a number of local keys (B major, F minor, Db major, G minor, Bb major, D minor), many of which have close relations to F major/minor, until finally arriving at V^7/F (bar 47). The ensuing standing on the dominant in bars 43–46 seems to form an end to the theme (but non-cadentially, similarly to the end of A1). Then a two-bar link appears at bar 47, first as a suffix of the theme with the still ongoing motivic dissolution process, but it eventually provides a connection to the B group by anticipating E minor and integrating the recurring dotted rhythm (motive a3) smoothly into the second-theme materials beginning at bar 49.⁵⁶ As a

⁵⁶ As Horton (2014) notes, Schenker's concept of 'linkage technique' (*Knüpftechnik*) may be applicable to this situation, which can be considered a counterexample against the complaint (including Schenker's own) about

result, the previous V⁷/F is retrospectively reinterpreted as a German sixth in E minor, the modulation mediated by the common tone E.⁵⁷

Example 4.1. Symphony No. 6, first movement, bars 37–42, harmonic reduction

(A: V/V⁶)

B: I⁶ V f: iv⁶ V⁶ D^b: I⁶ V g: ii⁶₂ V⁶ B^b: I V d: i V F: V⁷
 (°VI/F) (ii/F) (IV/F) (vi/F)

In some other cases, A1' remains non-modulatory in the end by returning to the initial key after exploring other temporarily tonicised areas. Although this strategy emphasises more the identity of A1' as a part of the main theme group rather than as an exclusively transitional area, the sense of destabilising is still manifest in A1' through the further introduction of chromatic elements, usually accompanied by intensifying dynamics, which leads to the first apex of the movement. In the A group from II/1, the second continuation phrase (bars 37–44) of A1' embodies this process with a hexatonic-based harmonic sequence, through which the music goes through A^b minor and E minor and finally reaches back to C major and minor. At the point of the tonic return (bar 41), the timpani enter with a fortissimo, signalling an apex. After arriving at V of C minor by a half cadence, a long standing-on-the-dominant passage takes up the role of liquidation until achieving a complete quietness at bar 62.

The use of hexatonicism for destabilising effects can also be found in A1' from VII/1, although this kind of harmonic progression enters slightly late, namely, shortly after reaching the apex at bar 39. Then, the ensuing passage explores the tonal areas that belong to the eastern hexatonic collection, C[#] minor, A major, F major and A major again. The final A major area (bar 43)

the alleged discontinuity in Brucknerian form. For more detailed discussion of the linear motivic process in the A group, including this passage, see Horton 2014, 98–100.

⁵⁷ This progression can also be identified as an L transformation, with the hexatonic implication reminiscent of the LP progression (between C major and E major triads) in bars 20–21, again exemplifying the tension and interaction between the fifth relation and the chromatic third relation.

retrospectively turns out to be the subdominant of E major, which begins an expanded cadential progression that leads to an elided Phrygian HC at bar 51, with which the second theme group begins in B major.⁵⁸ In the case of V/1, the implication of the dissonant counter-structure based on the chromatic-third relation is already manifest through several PL transformations in the presentation of A1, but when Bruckner rewrites this part in A1', he uses this kind of progression in a more direct and radical form. The varied repetition of the basic idea (bars 83–90) in A1' displays bold successive PL transformations, with which the music rapidly passes through the northern hexatonic area (C–Ab–E) before reaching V of E first, then V of Eb (or I of Bb). With this harmonic adjustment, this passage is expanded to eight bars by integrating some continuational features as represented by the model–sequence technique such that a strong sense of medial temporality disrupts the initiating function of the presentation. The ensuing continuation phrase (bars 91–100) is just based on the static Bb pedal while further fragmenting the main motivic idea with a diminuendo. Although A1' maintains the thematic identity and the syntactic completeness to some extent, both its harmony and phrase structure are reworked in a way to disrupt regularities and produce a sense of destabilisation, thereby fulfilling its dual role of re-establishing and dissolving the A theme.

The first theme group in VIII/1 can also be explained in a similar way, although the relationship between A1 and A1' is more complex than in other cases. Both A1 and A1' follow largely similar harmonic paths: after the very loosely established tonic (with a Phrygian implication) and the minor dominant of C minor (bars 1–8 and 23–30), they go astray to explore more highly chromatic harmonic fields (bars 9–18 and 31–39) and then return to the tonic key area for cadential attempts (bars 19ff and 40ff). The way chromaticism is treated in each unit is, however, slightly different. In A1, the chromatic middle area is mostly governed by B⁷ (V⁷ of E or I⁷ of B) and F^{#3} (V⁴ of B), which vaguely imply B major.⁵⁹ To enter this 'B major' realm, the ab⁶ chord at bar 9 functions as a pivot to mediate between C minor and B major, whereas G⁴₃ (as an inverted German sixth in B or V⁴₃ of C) at

⁵⁸ It is worth noting that the overall tonal motion from E to B in A1' also reinstates the pull to the dominant, which is the counter-structure prefigured in A1.

⁵⁹ As discussed in the previous chapter, this interference of B major elements can be interpreted as a counter-chromatic inflection to match the Phrygian implication (C–Db) in the presentation phrase.

bar 17 works as a pivot to return to C minor. Contrary to the relatively smooth harmonic connection found in A1, the harmonic progression in the parallel area of A1' is more abrupt and audacious. As Horton (2017a, 183) points out, a hexatonic and an octatonic progression play a role here: the PLP transformation (G-, B+) directly connects g to B⁷ (at bar 31) without the ab pivot, and the progression from B⁷ through d^{#o7} to d^{o7} (at bar 37) implies a PR transformation. This half-diminished chord is reinterpreted as a vii^{o7} of Eb major or ii^{o7} of C minor, which signals a return to the tonic key area.⁶⁰ Overall, it can be argued that A1' provides a sense of harmonic intensification compared to A1, albeit it is done in a subtle way. The more obvious transitional process occurs a bit later, from bar 40, where the expected cadential progression is replaced with a sequential modulation from C minor through F minor to V⁷ of Db. This final chord lingers for a while, expanding the continuation, but it is eventually reinterpreted as a German sixth chord in C minor (or a diminished third if the F[#] is taken as the bass in bar 50), which resolves into the G chord at the beginning of the B group, thus suggesting an elided HC. The resolution of the diminished third interval implied in the bass progression of Ab–G–F[#]–G in bars 50–51 can be seen as a response to the semitonal conflicts (C–Db and C–B) dominating the whole A group. With this process, Bruckner effectively closes the A theme group and prepares for a new formal phase.

⁶⁰ The reading of this half-diminished chord depends on the perception of the subsequent chord, Bb⁷ (bar 39). First, it is heard as the dominant of Eb, forming a progression of vii^{o7}–V⁷, which slightly alludes to a III:HC as in a conventional transition. However, this perception is cancelled out by the following V⁶₅ of C minor, with which the harmony in bars 37–40 could be reinterpreted as ii^{o7}–VII⁷–V⁶₅ in C minor. This aspect also plays a role in disrupting listener's expectations: until the very end of the first theme group, it is hardly possible to decide whether this A1' unit would veer away from the tonic key (as a transition) or reconfirm it (as part of the main theme).

Example 4.2. Symphony No. 8, first movement, A group, bars 1–52

A1 [beginning]
establishment

intro [beginning-before-beginning] *preparation* **presentation [beginning]** *establishment*

basic idea *establishment* **basic idea** *re-establishment, elaboration*

Allegro moderato
pp

c: iv? *pp* $^3II?$ i -6 v -6

continuation 1 [middle]
dissolution, elaboration

$^3vi^6?$ B: $vi^6?$ B: I^7 (or V^7/IV) $(vii^{\circ 2}/IV)$ V^4_3 *cresc. sempre*

continuation 2 [middle/end]
dissolution, elaboration, delimitation

Ger.+6(inv.) c: (i^6) V^6/iv iv V^7 i? *f* *dim.* *p dim.*

c: V^4_3

A2 [middle/end]
re-establishment, elaboration, dissolution, delimitation

intro [beginning-before-beginning] *preparation* **presentation [beginning]** *establishment*

basic idea *establishment* **basic idea** *re-establishment, elaboration*

c: iv? *ff* $^3II?$ i -6 v -6

continuation 1 [middle]
dissolution, elaboration

B: I^7 (or V^7/IV) $(vii^{\circ 7}/IV)$ c: $ii^{\circ 7}$ *dim.* *mf* *p* *sempre cresc.*

continuation 2 [middle/end]
dissolution, elaboration, delimitation

VII^7 V^6_5 i V f: III V^6_5 i *ff* *dim.* *p* *pp*

B1

D: V⁷
C: Ger.+⁶
V (HC)
G: I

The End of the A Group

Table 4.4. Final chords in the A groups of Bruckner's symphonies

	Home key	Final harmony of A group	Initiating key of B group
00/1	f	V ⁶ ₅ /A ^b (III:HC MC)	A ^b (III)
I/1	c	V ⁶ ₅ /bG	E ^b (III)
0/1	d	V/F(?)	A (V)
II/1	c	V (i:HC MC)	E ^b (III)
III/1	d	V ⁶ ₅ /G ^b (⇒ ct.+ ⁶ /F)	F (III)
IV/1	E ^b	V/B ^b (V:HC MC)	D ^b (bVII)
V/1	B ^b	I (or V/E ^b ?)	f (v)
VI/1	A	V ⁷ /F (⇒ ct.+ ⁶ /e)	e (v)
VII/1	E	V (elided I:HC)	B (V)
VIII/1	c	V (i:HC)	G (V)
IX/1	d	i	A (V)

The very end of Bruckner's A-theme group serves as a kind of connection point between the A and B groups, dissipating the energy in preparation for the onset of the B group. In this process, it is not difficult to find some conventional rhetoric that Caplin (1998, 2013) identifies as common for the close of the transition – such as ‘a liquidation of melodic-motivic material, a reduction in texture, and sometimes a break in rhythmic activity – a medial caesura’ (2013, 328).⁶¹ Apart from these rhetorical features, however, the tonal setting rarely follows the conventional models, which would ideally reach the dominant harmony of the subordinate key, with which the second theme would

⁶¹ Caplin accepts this Sonata-Theoretical concept as referring to a literal textural gap at the end of the transition, but not as a structural signpost that distinguishes between a so-called ‘two-part exposition’ and a ‘continuation exposition’. For him, that distinction is only ‘a matter of textural and rhythmic organization, with little functional (syntactical) significance’ (2013, 310). Caplin's point is also valid for Bruckner because, no matter whether a clear MC rhetoric is expressed or not, Bruckner's second theme group obviously exists as a separate and distinctive thematic area. Moreover, Bruckner's three-part exposition scheme (including a third theme group) also undermines the structural status of the MC, which divides the whole exposition into two parts in Hepokoski and Darcy's theory.

start. The only example that exactly follows this tonal path can be found in the first movement of Bruckner's 'Study Symphony' in F minor, where $V^{\frac{6}{5}}$ is attained at the end of A1' in the manner of a III:HC MC; thereafter the second theme group enters in $A\flat$ major. In most other cases, however, Bruckner employs various means to avoid this kind of conventional path and replaces it with a sudden, unexpected tonal shift, which leads to an impression of entering a completely new realm at the beginning of the B group.⁶² This effect resembling a scenic transformation articulates the onset of a new formal phase in a way that resonates with what Halm (1914) calls 'epic succession'. The procedures of achieving this can be categorised into the following five types:

1) Diversion through the key a minor third above the targeted subordinate key

This type is found in the early symphonies, including I/1 and 0/1. In the former case, when the music arrives at V of $E\flat$ at bar 22, a potential for the conventional option of III:HC MC arises.

However, this possibility is soon declined as the bass moves down to $A\flat$ in bar 26. Then, Bruckner rearranges the tonal route so that the music eventually resides in the $G\flat$ area (from bar 38), which is, through $V^{\frac{6}{5}}$ of $G\flat$, connected to the second theme group in $E\flat$ major. As a result of this tonal diversion, the $E\flat$ sounds new and fresh here, although it was already hinted at previously. In the case of 0/1, an MC-like rhetoric is found at bar 29 with an obvious textural gap. Although the C major chord here sounds like a local tonic rather than the dominant, one could perceive its potential for V/III so that the second theme could comfortably enter in F major. However, this expectation is subverted as the music proceeds into the unexpected A major (bar 33), which initiates the second theme. In both cases, the tonal diversion through the key a minor third above the subordinate key serves to de-familiarise our perception of the subordinate keys, although they are actually closely related to the home key.

2) Conventional MC rhetoric, but with an unconventional resolution to the subordinate key

⁶² Burnham (2005) points out the similar effect in Schubert, especially paying attention to the modulations by mediant, which he thinks 'can give us the sense of being instantly transported to another realm' (36). The modulations by mediant also work as crucial devices in Bruckner's cases, especially in the second type of ending the A group, as I will discuss shortly.

This type is exemplified in II/1 and IV/1, in both of which the final dominant chord in the A group moves to the harmony a major third below, which begins the B group. A famous precedent for this type is Schubert's String Quintet in C major, D. 956/I, in which the V of C major achieved by an HC at the end of the transition (so I:HC MC) is unexpectedly followed by the second theme's beginning in Eb major. This progression between G and Eb triads can be read as a PL transformation mediated by the sustained common tone, G. This functional change of G from $\hat{5}$ of C to $\hat{3}$ of Eb evokes a sense of remoteness or foreignness with a minimum connecting device, reinforcing our perception of entering new territory when we hear the beginning of the second theme. Bruckner adopts the same tonal plan in II/1 by employing a i:HC MC (V of C minor), which is connected to the mediant subordinate key (Eb major), but also situates this plan in his characteristic wave dynamics. As opposed to Schubert's very short caesura-fill (bars 58–59) after the MC, Bruckner's caesura-fill (bars 45–62) is much longer, such that it carries on fragmentation and liquidation processes on the dominant pedal until the accumulated energy is completely dissipated. With this expanded de-energising process, Bruckner effectively shapes the overall dynamic wave (having the apex at bars 40–41) over the A theme group. Then, the B group arises in the sense of starting anew in Eb major.

IV/1, which has the most traditional kind of transition, demonstrates a V:HC MC – what Hepokoski and Darcy (2006) regard as the first default option in Classical practices – also in a conventional manner of approaching the concluding dominant through a $\hat{4}-\sharp\hat{4}-\hat{5}$ bass line (see Hepokoski and Darcy 2006, 30). This MC is, very similarly to Schubert's case, followed by the complete drop-out of the texture and a sustained common tone (F), which forms a two-bar caesura-fill. However, the use of a V:HC MC option (V of Bb) – Hepokoski and Darcy's first default option – ironically leads to the modulation to an even more remote key by a descending third progression, which transforms the role of F from $\hat{5}$ of Bb major to $\hat{3}$ of Db major, the initiating key of the B theme group.⁶³ Due to the lack of the long-stretched de-energising process as in the case of II/1, this

⁶³ A similar case is preceded in the first movement of Mendelssohn's 'Lobgesang' Symphony in Bb major, which achieves a V:HC MC (V of F major), but unexpectedly initiates the second theme in Ab major.

entrance of D \flat major sounds more abrupt, thus producing an immediate contrast with the music of what precedes. This rhetorical difference – between the sudden change of mood in IV/1 and the ‘starting anew’ rhetoric in II/1 – could also be related to the exposition’s overall tonal strategy: unlike the E \flat major in II/1, the D \flat major in IV/1 has a more temporary status as it is eventually superseded by the more structural subordinate key, B \flat major, with the advent of the C theme group.⁶⁴ This tonal plan is well supported by Bruckner’s meticulous arrangement of formal and dynamic rhetoric surrounding the connection point between the A and B groups.

3) Common-tone augmented sixth chords of the subordinate key

In III/1 (D minor) and VI/1 (A major), the concluding harmony of the A group initially appears to be the dominant seventh of a remote key (V $\frac{6}{5}$ of G \flat in III/1; V $\frac{7}{4}$ of F in VI/1), but this chord eventually functions as a common-tone augmented sixth chord in relation to the initiating tonic harmony in the new key (F major in III/1; E minor in VI/1) at the beginning of the B group. This tonal setting can be deemed most ‘un-Classical’, truly one of the Romantic innovations.⁶⁵ Although this progression sounds more seamless compared to the cases in the first and second types, the transformation of the role of the common tone from $\hat{7}$ to $\hat{1}$ is no less effective to provide a sense of entering into a new space-time. In this procedure, the conventional MC effect is greatly undermined and replaced by the final stage of the constant de-energising process, although in the case in VI/1, it is possible to find a slight vestige of the MC rhetoric at bar 47, signalled by the ceasing of the constant ostinato rhythm and the textural gap, which is followed by a caesura-fill-like small linking passage played only by the flute solo (bars 47–48).

4) Elided I:HC (becoming the tonic of the second theme’s initiating key)

In this case – as found in VII/1 and VIII/1, both of which have a non-modulating type of A1' – the A theme group closes with a half cadence on the home-key dominant, which is elided with the onset

⁶⁴ The subsequent chapters will address this issue in more detail. See especially Chapter 5, 101 and Chapter 7, 162–63.

⁶⁵ One of the earliest precedented examples showing a similar harmonic setting for the onset of the second theme can be found in the first movement of Liszt’s *Faust Symphony*.

of the B theme group, retrospectively turning the dominant of the original key into the tonic of the B theme's initiating key.⁶⁶ The effect of 'entering into a new realm' is expressed by the sudden and unexpected functional change of $\hat{5}$ into $\hat{1}$ of the new key, while this scheme provides the smoothest connection between A and B groups among all the types, as it lacks a clear textural gap. Despite the relatively strong continuity, both VII/1 and VIII/1 have a moment that can be viewed similarly to what Hepokoski and Darcy (2006, 46–47) call a 'blocked MC'. In VII/1, it occurs with the apparent textural drop-out at bar 43, from which an A major chord resides for a while. Then this chord retrospectively turns out to be the subdominant, which ultimately contributes to forming a half cadence in the home key. In VIII/1, this kind of blocked MC rhetoric can be found at bar 43, from which the music hovers on the dominant of D \flat for a while in a similar manner to the case in VII/1. Likewise, this chord is retrospectively revealed as a German sixth, which leads to the elided I:HC. This procedure may serve to gain some time so as to completely dissipate the energy, thus opening up the ideal environment for the onset of the second theme.

5) Standing on the tonic pedal with attenuating dynamics

In both V/1 (B \flat major) and IX/1 (D minor), the A group ends with a long-stretched de-energising process in a similar manner to the case in II/1, but on the tonic pedal instead of the dominant. Then, without clear harmonic preparations, the B group just enters in the dominant key (F minor in V/1 and A major in IX/1). This scheme emphasises the strongest rhetorical discontinuity at the point of the scenic shift from the A group to the B group. In V/1, this process is realised through the continuation phrase (bars 91–100) of A1'. This passage not only involves a dynamic decay but also, as Hatten (2001, 156) points out, 'a liquidation of the thematic diminished third' expressed by the recurring C \flat and A, and their resolution to B \flat . In IX/1, a similar phenomenon of standing on the tonic pedal occurs throughout the TR unit (bars 77–96), which appears after the climactic A2 ends with a strong PAC in D major. At first glance, this TR comes across as a post-cadential codetta passage. However, despite the overriding tonic pedal, the harmony subtly hovers around different key

⁶⁶ This type is, although rare, not without some Classical precedents, such as the first movement of Haydn's String Quartet Op. 55 No. 1 (bars 29–30).

areas through the sequential procedure implying vii^{o7}/g , c^7 , f^7 and $\text{vii}^{o7}/\text{bb}$, which erodes the tonic key to some extent. D minor is somehow restored from bar 87, with V^{9b} implied, but the music closes the A group with a peculiar harmony (bars 93–96), which can be interpreted either as the French sixth chord (inverted) in D minor or V_5^7 in A major. This chord functions as a pivot to provide a feeble connection to the A major tonic chord of the B group, although it is hardly heard as a proper harmonic preparation for what comes next.

In sum, the examination of those five types for the end of A groups reveals that Bruckner intentionally avoids a conventional kind of hypotactic conjunction usually accomplished by the V–I relationship and replaces it with various kinds of tonal diversion along with carefully delineated dynamic and textural settings. As a result, the temporal end/the new beginning is so markedly articulated with almost pictorial effects that listeners may experience it as though they enter a completely different temporal domain for the B group.⁶⁷

Summary and Conclusion

In my investigation above, I have examined the key features of the formal organisation of Bruckner's A groups. Largely categorised into two types, which I call 'restatement scheme' (R-scheme) and 'double-theme scheme' (D-scheme), the first theme group as a whole promotes a forward-moving temporal mode – or 'spirit of future' in Halm's (1914) words – at every formal level. The D-scheme expresses the teleological spirit more directly in that A1 and A2, both with the sentential type of temporal construction, are themselves interconnected to each other in a strongly teleological way. The R-scheme arranges a kind of doubly sentential construction for the A group, albeit with a slight periodic implication, by restating the sentential A1 unit as A1', which largely maintains A1's original syntactic organisation but also introduces further tonal/harmonic instability at the same time. This strategy leads to the incorporation of the transition function into the A group in line with the post-

⁶⁷ Such an immediate kind of shift between the different musical worlds resonates with what Burnham (2014, 159) metaphorically terms 'threshold' to describe the way Schubert, in the second movement of his String Quintet, D. 956, leads from the peaceful E major opening section into the stormy F minor middle section, and from the middle back to the reprise section. His description of those passages – 'feel[ing] more like an astonishing transformation than a willed process of development' – may apply well to Bruckner's treatment of formal shifts between the first and second theme groups.

Classical tendency of minimising the transition's position in favour of achieving sharp rhetorical contrast between the first and second themes. This formal organisation is further assisted by Bruckner's typical use of wave dynamics. With its strong directionality, this dynamic arrangement strengthens the sense of the beginning–middle–end cycle over the entire A group, usually by expressing a dynamic intensification in A1 and an apex in A2 or A1' before soon dissipating until the A group's end. With this dynamic drop, the end of the A group articulates a paratactic connection to the B group, often facilitating a common-tone related modulation without a dominant preparation. The kind of connection is deliberately arranged to emphasise the different temporal modes between the theme groups, which will dialectically interact with each other in the end to create a meaningful temporal discourse encompassing the entire exposition. This aspect will be further elucidated in subsequent chapters.

Chapter 5: The Second Theme Group

The Issue of ‘Variations within Sonata Form’

The distinctive temporal and rhetorical quality of Bruckner’s second theme group, or, in his term, the ‘*Gesangsperiode*’, is described by a number of commentators in various tropes. For instance, Korstvedt (2004) states: ‘[o]f even more importance perhaps, are the grand contrasts created by the markedly different patterns of musical motion of the primary and closing groups, on one hand, and the *Gesangsperioden* on the other. These contribute greatly to Bruckner’s impressively extensive feeling of time’ (178). In a similar sense, Darcy (1997) mentions: ‘Bruckner’s *Gesangsperioden* frequently suggest that linear time has been temporarily suspended or defeated, creating “a suspension field” between the primary and closing zones’ (271). This trait is associated with the situation of what he describes as the ‘alienated secondary theme’, which results in ‘isolat[ing] the secondary theme zone from the main line of the default symphonic discourse’ (ibid.). Resonating with such a sense of suspended time, Hans-Joachim Hinrichsen (2010) describes the *Gesangsperiode*’s functions within the exposition as a ‘relaxation zone [*Beruhigungszone*] after the first highpoint of the first theme and arranging the anticipation of resuming the dynamic formal processes [in the third theme]’ (96). However, there are as yet few in-depth attempts to address the *Gesangsperiode*’s peculiar formal organisation, which, in many cases, evokes the issue of ‘variation form within sonata’, although this formal aspect is the fundamental factor generating such temporal implications.

Variations and sonata are usually considered polarised formal concepts. Elaine Sisman (2001) describes variations as ‘inherently paratactic, [...] comparable to the “choppy” as opposed to the “rounded” or periodic style of oratory (the latter is more characteristic of sonata form)’ (284). As Anne Hyland (2016) notes, this distinction sometimes ‘serves to propagate the lower aesthetic standing of the variation’s ostensibly arbitrary construction’ (88), as found in Jan LaRue’s (1970) description of variation as a ‘musical link sausage’ (174). This polarity is also evident when we consider the origins of these two forms. As Sisman (1986) asserts, the earliest traceable instances of variation form are found in some dance genres (such as Passamezzo and Romanesca) in the early sixteenth century, which display ‘the practice of repeating several times a strain of dance music,

retaining the bass and varying or changing the upper line(s)' (904). Improvisation might have played important roles in such prototypical variations, featuring various techniques such as melodic embellishments, rhythmic diminutions, and the change of tone colours and figurations by different instruments, closely responding to dancers' movements (Sisman 2001, 290–91). That variation form was deeply associated with improvisation in its origin reveals its paradoxical nature: although variations are rigorously generated from a firm, unchanging pattern, it also promotes some sense of unpredictability, more-or-less free of controlled directionality and temporal linearity. On the other hand, sonata form arose in the latter half of the eighteenth-century, where the hegemony of written compositions became evident in contrast with the declining practice of improvisation, and the principles of hypotaxis and directionality fully emerged as governing formal aesthetics in the Classical period. Due to this contrasting nature of variation form and sonata form, combining those two formal formats is bound to be a rare event, at least in Classical practices. Roman Ivanovitch (2010) finds such an exceptional case in the second movement of Mozart's String Quartet, K. 590, where the entire variation set is governed by sonata logic such that each variation simultaneously functions as sonata form's component parts (first theme, transition, second theme, closing section, development and so on). This experiment may have probably been motivated by the desire to control variation form's arbitrary and additive quality with the more logical directionality of sonata form.

However, it was Schubert who more seriously pioneered the possibility of hybridising these two forms by approaching this issue differently, namely, by incorporating variations into sonata allegro form. This strategy may be highly suitable to express in the sonata context the early-nineteenth century's prevalent poetics of lyric, which, according to Su Yin Mak (2006), 'tends to focus on a single vision, idea, or emotional state, and this "timelessness" makes it more amenable to paratactic structures' (278–79). A quintessential case of this is the first movement from String Quartet in G major, D. 887, the movement which Dahlhaus (1986) presents as a paradigmatic instance of Schubertian 'lyric-epic' sonata form. As Dahlhaus describes it as 'a sonata form that tends towards variation cycle' (*ibid.*, 4), variational impulses are universal in this movement, including both the first and second themes and the development section. However, it is worth noting that there is a difference in the degrees of such variation impulses among the sections, as is especially evident when

comparing the first and second expositional themes. While the first theme's three subsegments implicitly suggest a theme (bars 15–23) and two variations (bars 24–32 and 33–54 respectively), they together also display the large-scale sentential structure of a (large) basic idea, its varied repetition and continuation (ibid., 2; Hyland 2016, 89–94). On the other hand, the second theme displays a more unequivocal variation set (a theme and three variations but with intervening developmental episodes), in which each thematic statement closes with a V:PAC (except for the second variation having a PAC in Bb).⁶⁸ Hence, as Hyland (2016) comments, the second theme group creates 'self-referential circularity' in juxtaposition with the relatively more 'purposeful and teleological trajectories' of the first group (106).⁶⁹ In other words, while the first group still generally conforms to the hypotactic temporal mode of sonata form, the second group produces a more obvious paratactic and static temporal sense of variation form. By embedding such variational time within sonata time, Schubert creates a sense of temporal suspension that may invite listeners deep into a reflective, dream-like state, free of the forward-moving temporal sense in the outer world for a while.⁷⁰

Bruckner's use of variation form for his *Gesangsperiode* can be understood in this context discussed so far. The composer's practice can probably be associated with his professional background as a virtuoso organist, especially with his well-known excellence in improvisation.⁷¹ Given the connection of variation form to the spirit of improvisation as mentioned above, it would not be too far-reaching to speculate that the peculiar way Bruckner organised his *Gesangsperiode* is partly indebted to his improvisatory impulse. In addition, a Schubertian influence is certainly evident

⁶⁸ This formal interpretation follows Hyland's reading along with her labelling of 'developmental episodes' referring to the passages of bars 90–109 and bars 122–141 respectively. See ibid., 95–98. However, it is not impossible to see each episode as another variation in a loose form, the reading taken by Mak (2016), which interprets the second group as a theme and five variations (with a slight implication of double variation). See Mak 2016, 288–289, especially Table 14.3.

⁶⁹ The sense of circularity is expressed not only by the explicit variation structure itself but also by the tonal progress involving a cycle of major thirds: F# (just before the second theme)–D–Bb–F#–D. In addition, the way the last variation (third) is drawn after the developmental episode is the same as the way the second theme enters after the transition (with the F#–D progression), generating a sense of being 'trapped in a kind of distorted time loop' (Hyland 2016, 96).

⁷⁰ Another notable instance of Schubert incorporating variation elements into sonata form can be found in the first movement of his Piano Sonata in A major, D.958, where the second theme group comprises a theme (bars 39–53) and two variations (bars 54–67, and bars 67–85).

⁷¹ Before Bruckner established his reputation as a symphonist, he first gained his fame as an organ player. His improvisation skill, often practiced on well-known themes by classical masters, was usually the most appealing aspect of his performance. For a detailed description of how Bruckner's improvisation in his organ recitals deeply impressed even audiences in France and England, see Carner (1937).

as Bruckner's second group also projects a reflective temporal state in sharp contrast with the first group's more forward-moving mode, similar to the case of Schubert's D.887. However, as will be revealed soon, Bruckner goes further, beyond merely juxtaposing these contrasting temporal modes, by implementing a gradual sense of direction, which serves a large-scale teleology. This is enabled by his adoption of a more flexible and malleable kind of variations, which may also present Bruckner's improvisatory propensity to some extent, although more in line with his late-Romantic idioms, such as constant modulations and avoidance of cadences. To examine how these aspects are realised in a specific case, I start with a detailed analysis of the B group from III/1, the first instance of full-fledged variational *Gesangsperioden* in Bruckner's first movement form. Then, other instances will be discussed in light of the model the case from III/1 suggests.

A Case Study: Symphony No. 3, First Movement, B group

The B-theme group of III/1 (Table 5.1) has four thematic units, which form a theme and three variations. As shown in Example 5.1, the first thematic unit (B1, bars 103–114), or the variational theme, is in the form of a sentence with the unusual threefold statement of a two-bar-length basic idea, which comprises the presentation phrase (bars 103–108) standing on the tonic pedal, F, which blurs the alternation between I and V⁷. The basic idea contains two main motives, both of which utilise a so-called Bruckner rhythm, but with the order reversed: the first motive ('a') has a triplet + duplet rhythm; the second motive ('b') a duplet + triplet. The fragmentation process of the continuation phrase (bars 109–114) involves only motive 'a', while the F pedal is further sustained so as to transform I to i, then to bVI⁶, which works as a pivot to lead to a modulation to the key of Gb. The resultant V⁶–I progression in Gb, which is elided with the beginning of the next thematic unit (B1'), supports the delimitation function of the continuation phrase for B1, but only weakly. Although the temporal beginning–middle–end of this variational theme is largely discernible, the lack of clear cadential closure undermines the temporal end so significantly that the theme is heard as a more malleable kind of unit rather than an entirely closed theme as in a conventional variational set.⁷²

⁷² Note that in the aforementioned case of Schubert's D. 887, for example, each thematic statement in the second theme group has a PAC.

The modulation and elision also suggest that Bruckner intends to use a flexible type of variation set. Although Bruckner adopts a different type of temporality for the B group, which is more repetitive and less teleological than other theme groups, he still appears to strive for it not to sound completely atemporal by allowing subtle temporal progress.

B1' (bars 115–140), or variation 1, in which more instruments are added with richer texture, is greatly extended due to the use of two continuation phrases. In a similar way to B1, B1' starts with a tonic pedal (here, Gb), which occupies the whole presentation phrase (bars 115–120). Three iterations of the basic idea are kept here. Still, the harmony and the melody are subtly altered such that the last two are heard as a statement–response pair – the implied harmony in bars 119–120 is V–I rather than I–V as in B1 – thus bringing about more motion compared to the highly static B1. The subsequent continuation is replaced with a completely new phrase (continuation 1, bars 121–128), which this time uses motive b for fragmentation, and, with the introduction of a counter-melody in the cello (from bar 121), facilitates a downward movement and harmonic destabilisation. The descending motion (F–Eb–Db–Cb) of this cello melody is reproduced in a chromatically altered form (Bb–A–Ab–G) in the bass in bars 125–126, with a sudden fortissimo assisted by the entrance of the brass. Although this progression can be understood in the context of prolongation of the bass Gb, the unusual harmonic colourisation temporarily passing through unexpected tonal regions, D major and C major (with the modal mixture involving \hat{b}), considerably destabilises the basis of Gb. In the second continuation (bars 129–140),⁷³ which still operates a fragmentation process with the exclusive use of motive b, the harmony appears to reside in the dominant region of Gb (as $v\frac{6}{5}$ or $V\frac{6}{5}$) for a

⁷³ The exact boundary between continuations 1 and 2 can be disputed. My segmentation is based on the fact that bar 129 begins a new melodic idea on the cello as well as a new textural pattern especially supported by the addition of horn parts and the pizzicato accompaniment of the violas. The metrical number in Bruckner's manuscript of the 1877 version also conforms to this reading as he uses a new numbering from bar 129. However, the fortissimo passage with the brass (bars 125–126) is so marked that someone could hear it as a sign of delimitation between the two continuation phrases. In this case, the beginning of the second continuation could be either bar 125 or 127. This issue of ambiguity about the phrasal boundary is less prominent in the earlier 1873 version. First, the dynamics around the brass passage are less extreme: *f* is used in bars 156–157 as opposed to *ff* of the corresponding bars 125–126 in the 1877 version, and *p* in bar 158 as opposed to *ppp* of bars 127–128 (expanded to two bars from one bar) in the 1877 version. Second, the descending bass progression on the low strings stretches up to bar 158 without disruption while the legato passage of the woodwind (omitted in the 1877 version) also spans over bars 156–158, promoting continuity within a phrase.

while, although the insertion of a minor sound makes its dominant status ambiguous. At the same time, a new lyrical and expressive melody (bars 129²–133¹) emerges in the cello part, pushing out the first violin part playing motive b to the background. When this new idea is sequenced, the music passes through V^6_5 of F, and reaches a diminished seventh chord (bar 137), which eventually turns out to be vii^7 of E preparing for the beginning of variation 2 (B1^{''}) in E major at bar 141.

Example 5.1. Symphony No. 3 in D minor, first movement, B1 and B1', bars 103–140

B1 (Theme)

presentation [beginning]
establishment

continuation [middle/(end)]
dissolution, elaboration,
(delimitation)

B1' (Variation 1)

presentation [beginning]
establishment

continuation 1 [middle]
dissolution, elaboration

b.i.

119 *p* *cresc.* *mf* *ppp* *ff*

119 *cresc.* *f* *ppp* *ff*

119 *cresc.* *mf* *ppp* *ff* (Brass)

119 *cresc.* *f* *ppp* *ff*

(V⁹) I vi⁶ IV⁶ -₅ D: iv⁶ I⁶ C: ii⁶₃ I⁶

continuation 2 [middle/end] (or 'contrasting middle?')
dissolution, elaboration, confrontation, delimitation

127 *ppp* *pp* *mf* *cresc.* *dim.* *mf*

127 *ppp* *pp* *mf* *cresc.* *dim.* *mf*

127 *pp* *pp* *mf* *cresc.* *dim.* *mf*

127 *pp* (Hn) *pp* *mf* *cresc.* *dim.* *mf*

G^b: V³₂/V (ct.^{o7}) *pp* V⁶₃ V⁶ (ct.^{o7}) F: vii^{o7} V⁶ (ct.^{o7})

134 *cresc.* *p* *dim.* *cresc.* *dim.*

134 *mf* *cresc.* *dim.*

134 *dim. sempre* *dim. sempre* *dim.*

F: V⁶₃ *dim. sempre* *dim.* vii^{o7}/IV e: vii^{o7}

Table 5.1. Symphony No. 3 in D minor, first movement, B group

Bar	103	109	115	121	129	141	145	151	155	162	
Temporal implication	‘Beginning’			→	‘Middle’			→	‘End’		
Formal function (Intra-thematic level 1)	B1 (Theme) <i>establishment</i> <i>elaboration</i>		B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i>			B1'' (Var. 2) <i>re-establishment</i> <i>elaboration</i>		B1''' (Var. 3) <i>re-establishment</i> <i>elaboration</i> <i>delimitation</i>			
	(Intra-thematic level 2)	pres. <i>establishment</i>	cont. <i>dissolution</i> <i>elaboration</i> <i>(delimitation)</i>	pres. <i>establishment</i>	cont.1 <i>dissolution</i> <i>elaboration</i>	cont.2 <i>confrontation</i> <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	pres. <i>establishment</i>	cont. <i>dissolution</i> <i>elaboration</i> <i>(delimitation)</i>	pres. <i>establishment</i>	cont.1 <i>dissolution</i> <i>elaboration</i>	cont.2 (cad.) <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>
Tonal plot	F		Gb			→	vii ^{o7} /E E		F		V/F fPAC

Continuation 2 of B1' has a significant temporal implication for the whole B-theme group, as illustrated in Table 5.1. Certainly, the identity of this phrase as a smaller component of B1' is confirmed by its ongoing developmental process and the lack of any harmonic signs for closure in the previous phrase. However, it also partly betrays the quality of a contrasting middle section by suggesting a new distinctive melodic idea, which not only completely lacks the main rhythmic elements (i.e. duplet + triplet or vice versa) of the motives a and b but also creates a longer melodic unit with the four-bar length – as opposed to the two-bar basic idea or its one-bar unit fragmentation. Moreover, the ending gesture of B1' resembles a retransition of the contrasting middle since the arrival of the diminished seventh chord (bar 137) and its holding for four bars can be read as substitutes for the dominant arrival and standing on the dominant. The reduction of texture and dynamics at this moment also contributes to this impression, effectively preparing for the onset of B1" as the thematic reprise. This allusion to the middle section of the ternary form indicates that Bruckner gradually allows teleological time to permeate the variational logic, which is, in principle, repetitive and atemporal, thus transforming variation form into something compatible with the sonata discourse.

When the second variation (B1", bars 141–150) enters, it surely gives an impression of ternary recapitulation. Despite some substantial changes – the key of E major instead of F major, the omission of the third statement of the basic idea, and the increased rhythmic, textural complexity – parallelism between B1 and B1" is well supported by the similar progress – the sustained bass pedal note, the transformation into the minor mode and then the modulation half-step upward through VI⁶ as a pivot. With this process, the choice of a 'wrong' key in B1" is corrected by F major of variation 3 (B1"', bars 151–172), thereby completing a large-scale double-neighbour motion of the bass (F–Gb–E–F), which confirms the role of the B group as prolonging F major. As a result, the end function of ternary recapitulation is achieved in a gradual way, in accordance with the variational process: variation 2 expresses a thematic reprise, then variation 3 a tonal reprise. The teleological process becomes more apparent in variation 3. The second statement of the basic idea is replaced by a model–sequence of motive a (bars 153–154), directly connected to the intensification process of the first continuation (bars 155–161), which, with a drastic upsurge of dynamics, manages to arrive at the

structural dominant at bar 161 (but in the form of a 6/4 chord). This is the first root-position dominant of F in the B group, which suggests that we finally enter a more secure realm of F major after unstable tonal regions. The second continuation phrase restarts a longer crescendo on the dominant pedal, and finally achieves an authentic cadence (albeit in F minor rather than major), elided with the beginning of the C group (bar 173). In other words, this phrase also works as a transitional passage to the C group, displaying teleological rhetoric more strongly. At this point, it is clearly revealed that we fully exit the temporal world of variation and emerge back into teleological time.

The teleology suggested by the huge dominant preparation and its resolution at the last moment of the B group can also be seen as a compensatory response to the end of the A group, which lacks such a hypotactic connection by avoiding the expected dominant harmony, and rather links to the B group through a common-tone augmented sixth chord (bars 99–102) as discussed in the previous chapter. The unusual placement of teleology from a Classical viewpoint – before the C group instead of before the B group – is truly one of Bruckner's innovations. This belated establishment of a subordinate key through a dominant–tonic relation can also be well understood in the context of the large-scale temporal discourse: paratactic connections between the A and B groups are well suited to transitioning from the teleological time to the recursive time, while hypotactic connections between the B and C groups effectively articulate the return to the teleological time from the recursive time.

From the case of the B group from III/1, we can extract some essential features more generally applicable to other examples of Bruckner's *Gesangsperiode* with variation form, as follows.

1) Variations of the B group are constructed around a thematic unit with a considerably shorter span compared to thematic units from the A group. The basic idea of the B theme is usually two bars long as opposed to the four bars of the A theme. It is likely that Bruckner cares about a balanced proportion between the A and B groups by adopting for the B group the variational formal structure where a shorter thematic unit is repeated several times.

- 2) The variational theme of the B group is hardly in a strictly closed thematic form, but rather contains a high degree of flexibility with modulation and blurred closures. The following variations also constantly update the continuation phrases with new ones while the presentation parts retain the identity of the variational theme.
- 3) This flexibility enables Bruckner to gradually superimpose teleological time (of ternary form, usually) on variational time through the whole B group effectively. In this way, he presents a different kind of musical time – recursive and repetitive – in the B group, but without damaging the overall temporal flow of sonata form.
- 4) The last moment of the B group often includes a transitional passage with the huge dominant preparation, linking to the C group. This kind of process can be marked as the most teleological occasion in the exposition, signalling the complete return from variational time to sonata time. It also compensates for the lack of hypotactic connection between the A and B groups.
- 5) The tonal plot in the B group suggests another kind of concealed teleology, which involves the gradual completion of a large-scale bass neighbour motion and the belated confirmation of F tonality with its structural dominant.

Other Individual Cases

The way Bruckner treats the *Gesangsperiode* in III/1 remains a model for most of the first movements of Bruckner's subsequent symphonies (except for the case of VIII/1, which does not adopt variation form). However, in each case, Bruckner attempts something new in organising the second theme while tackling various formal or temporal issues depending on the tonal environments or individual characters of the symphonies.

(1) IV/1

The overall formal structure of the B group from IV/1 (Table 5.2) is highly similar to the one from the Third Symphony in that it also has a theme and three variations, and the second variation (B1^{''}) gives an impression of reprise after the contrasting middle-like expanded continuation of B1[']. Where they differ from each other most, however, is the tonal plans. Whereas the B group in III/1 begins

and ends in the same tonality, F, the B group in IV/1 is destined to move from the initiating key, D \flat , to the more ultimate goal key, B \flat . This might be one reason why Bruckner here adopts a different tonal logic to underpin the variation process: whereas the variations of III/1 are operated through a large-scale double-neighbour motion with chromatic half-step modulations, the tonal process supporting the variations in IV/1 strongly suggests the logic of the circle of fifths.

Table 5.2. Symphony No. 4 in E \flat major, first movement, B group

Bar	75	79	83	87	97	101	107	111
Temporal implication	‘Beginning’		→ ‘Middle’		→		‘End’	
Formal function	B1 (Theme) <i>establishment</i> <i>elaboration</i>		B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i> <i>confrontation</i> (cont.)		B1'' (Var. 2) <i>re-establishment</i> <i>elaboration</i>		B1''' (Var. 3) ⇒ TR <i>re-establishment</i> <i>elaboration</i> <i>delimitation</i> <i>connection</i>	
	pres.	cont.	pres.	cont.	pres.	cont.	pres.	cont. (cad.)
Tonal plot	D \flat		G \flat		→ V/E E		A V/D \flat V/B \flat B \flat :PAC	

Similar to the case of III/1, the variational theme (B1, bars 75–82) of the second group from IV/1, although closer to the standard type of eight-bar sentence, is also shaped as a flexible kind of thematic unit, avoiding a strictly closed form. It begins with the tonic pedal in the bass as in III/1, but, instead of the half-step modulation as in its counterpart, the pedal note, D \flat , is transformed into the dominant of G \flat at the end of the continuation phrase, which causes a modulation to the key a fifth below (from D \flat major to G \flat major). The end of B1 is articulated by a quasi-IAC effect (which might sound stronger than in the case of B1 from III/1) through a V⁺–I progression in G \flat elided with the beginning of B1', yet a full cadential effect is reserved here as well by the overriding impression of the sustained pedal, which suggests a weakened ending function to some extent. The first variation (B1', bars 83–96) has a greatly expanded continuation (bars 87–96), which operates a confrontation function by introducing a new descending melodic idea (with a slight implication of the contrasting middle), passes through a sequential progression with chromatic parallel sixth chords, and eventually arrives at B, again a fifth below G \flat (F \sharp), but as the dominant of E this time. This

dominant is sustained a while (bars 93–96), thereby effectively preparing for the advent of B1" in E major, which emerges as a thematic reprise and, like B1, undergoes the modulation to the key a perfect fifth below, A major. However, the progression by the circle of fifths (so far, Db–Gb–B–E–A) is not pursued further from this point. Instead, the A major chord (bar 105) is, through a linear 5–6 motion, unexpectedly led to a 6/4 chord on the dominant of Db, with which the final variation (B1"') starts. This B1"'' can be seen as partially playing the role of a tonal reprise – similar to the case of B1" from III/1 – although undermined by the dominant pedal. Moreover, the dominant of Db ultimately gives way to the dominant of Bb, which, with teleological intensification, finally achieves a PAC elided with the beginning of the C group. Accordingly, it is possible to interpret B1"'' as a whole becoming a transitional unit into the C group. This ‘transition’ also engages in a larger-scale teleology, as Horton (2005) points out that ‘it resumes and resolves the dominant preparation of V interrupted at the end of the first group’ (12).

In the B group of IV/1, the gradual shift from recursive to teleological time is realised not only in terms of thematic logic – through the quasi-contrasting middle-like effect of the continuation of B1' – but also in terms of tonal logic. The seemingly perpetual circle of fifths underpinning the variation process comes to a halt at the end of B1", thus signalling the end of the recursive, circular kind of time and the urge to return to the teleological time, which is achieved by the partial tonal reprise of B1"', and more ultimately, by the massive intensification on the dominant of Bb and its resolution by the PAC. In this way, Bruckner satisfactorily achieves the teleological tonal process from Db to Bb, the task arising from the three-key exposition scheme, I–bVII–V, while preserving the variational logic of the *Gesangsperiode*.⁷⁴

(2) V/1

In designing the B group from V/1 (Table 5.3), Bruckner introduces some new formal strategies.

Most noticeable is that he demonstrates a ternary structure more clearly than ever before by adopting

⁷⁴ This tonal plot is deeply related to the semitonal implication around the melodic progression Bb–Cb–Bb, which is prefigured in the opening theme. This aspect will be discussed again in Chapter 7.

a full-fledged contrasting middle section (B2, bars 131–144). In the context of variations, this section emerges as an intervening episode, framed by clear cadences – it starts with an elided IAC in Db and ends with an HC in F. This episode contrasts with the surrounding variations in several ways: tonally, through the key of Db; thematically, through introducing new ideas;⁷⁵ and phrase-structurally, through adopting a looser formal organisation than the outer sections, as the prevalent model–sequence technique suggests that B2 is exclusively continuational. After B2, variation 3 (B1''') returns in F minor, fulfilling its role as a tonal and thematic reprise, which unmistakably confirms the ternary structure of the whole B group. The topical aspects also play a role in corroborating this formal perception: as Hatten (2001, 156) puts it, the B2 unit suggests the ‘Romantic horn call’ as a topic, which is in stark contrast with the ‘pilgrim’s processional’ topic with the Baroque-like chorale prelude texture in the surrounding variational units. Compared to the cases in III/1 and IV/1, the way the temporal ‘middle’ is inserted during the variation procedure is far more direct in the B group of V/1 so that listeners may experience a more decisive superimposition of the ternary-type temporality onto the variational-type temporality.

Table 5.3. Symphony No. 5 in Bb major, first movement, B group

Bar	101	105	109	113	117	121	131	145	149
Formal function	Ternary exposition (large sentential structure) [beginning]						Contrasting middle [middle]	Ternary recapitulation [end]	
	‘presentation’ [beginning]				‘continuation’ [middle/end]				
	B1 (Theme) <i>establishment</i> <i>elaboration</i>		B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i>		B1'' (Var. 2) <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>		B2 (Episode) <i>confrontation</i> <i>stabilisation</i>		B1''' (Var. 3) <i>re-establishment</i> <i>elaboration</i> <i>delimitation</i>
	ant.	cons.	ant.	cons.	ant.	cons.	cont.	ant.	cons.
Tonal plot	f: i → HC → Ab:HC → f:HC → Ab:HC → g:HC → Db:IAC → f:HC → A:HC → f:HC								

⁷⁵ With a new arpeggiated accompaniment pattern in the clarinet and flute, the horns introduce a motive comprising the diminished third (Cb–A–Bb), which has already appeared as an important motivic element in the A group but can be regarded as ‘new’ within the context of the B group.

The main surrounding parts themselves also raise interesting formal, temporal issues. First of all, each thematic unit making up a theme and variations is built upon periodic structures rather than sentential. As shown in Example 5.2, the variational theme (B1, bars 101–108) demonstrates a unique combination of the first-species counterpoint and the quite adventurous tonal setting, which evokes octatonicism to some extent by exploring the keys a minor third apart (F–Ab–Cb). However, its phrase structure is firmly based on a regular-size (4 + 4) period consisting of two phrases, each punctuated by half cadences, first in F minor, second in Ab minor.⁷⁶ Thus, compared to the variational themes in the B groups from III/1 and IV/1, B1 of V/1 is conceived as a more self-contained and less malleable kind of variational theme with the paratactic nature more emphasised. However, if we look at the higher formal level, it is also revealed that the theme (B1) and the first two variations (B1' and B1'') together make up a large-scale sentential structure. Whereas B1' (bars 109–116) is largely based on a literal repetition of B1 apart from the addition of an expressive counter-melody – reminiscent of the *‘Einbau’* technique frequently used in Bach’s choral settings (as exemplified in the chorale prelude BWV 645, *‘Wachet auf’*), B1'' (variation 2) strongly promotes a sense of dissolution with relatively looser devices. Tonally, it explores new and various tonal regions including mainly G minor, Bb major and Db major, and temporarily D minor and F major as well. The regularity in the phrase structure is also disrupted: the consequent phrase is expanded to eight bars such that it entails a quasi-sequential pattern (the model in bars 121–122 and the sequence in bars 123–124) and a long cadential liquidation (bars 127–130). In other words, B1'' operates like a large-scale continuation after a large-scale basic idea (B1) and its varied repetition (B1').⁷⁷ In this way, Bruckner subtly superimposes another hypotactic and teleological kind of musical time, that is, the

⁷⁶ This reading could be contested if we strictly follow Caplin’s definition of the period. According to him, two phrases of the period should ‘exhibit a cadential differentiation of weak to strong’ (Caplin 2013, 75). However, he also admits that if two cadences of the period are of the same type, they can be differentiated by their rhetorical strength, which is determined by, for example, metrical positions, dynamics and textures (see *ibid.*, 80). In Bruckner’s case, whereas the first HC is placed on the third beat (bar 104), the second HC is played on the first beat (bar 108), which suggests stronger rhetorical strength. (The dominant of F minor on the fourth beat in bar 108 functions as the anacrusis to the next bar that begins B1', having less to do with the HC.)

⁷⁷ Similar precedented cases can be found in some of Schubert’s works, most notably in the subordinate theme group from his Symphony No. 9, first movement, as discussed in Martinkus (2018). Her comment about this instance that ‘variation shades into development, and paratactic into hypotactic thematic construction’ (196) also applies well to Bruckner’s case.

sentential type of temporality, on the variational process even before the interruption of the contrasting episode.

Example 5.2. Symphony No. 5 in Bb major, first movement, B1

B1 (Theme)

antecedent [beginning]
establishment

consequent [end]
re-establishment
elaboration

f: i V i V III A#: I bIII bVII i V (C#: I V vi) f: VII i V iv i VII III A#: I bIII bVI bIII iv i V (C#: I IV I ii vi) f: V

(HC) (HC)

The B group of V/1 demonstrates Bruckner's remarkable formal experiment. As shown in Table 5.3, as we observe the formal structure from the lowest level to the highest, we encounter periods, variations (with the chorale prelude style), a large-scale sentence and finally, a ternary form. As a result, parataxis and hypotaxis or static and teleological time are intermingled in a highly complex way. This experimental nature is also confirmed by the way the B group closes. The final thematic unit, B1^m, ends with an HC in F without a long transitional passage as found in III/1 and IV/1. Then, the C group enters in the unexpected key of Db (but anticipated in the contrasting middle of the B group), evoking a deceptive resolution. Indeed, this is the first case of a B-group ending without a PAC in Bruckner's first-movement sonata forms. The eventual fulfilment of the large-scale teleology, as Horton (2005, 13) notes, is transferred to the end of the C group. After the Fifth Symphony, weakening or even avoiding cadences at this point becomes a normal procedure in all the first movements of Bruckner's later symphonies. This stylistic change might be motivated by Bruckner's intention to confirm the C group's function of producing the definite end rather than occupying the after-the-end portion in the exposition, which will be thoroughly discussed in the next chapter.

(3) VI/1

The B group from VI/1 incorporates a ternary structure into the variation process in a similar way. As illustrated in Table 5.4, it also employs an interrupting episode (B2, bars 69–80), which ultimately works as the contrasting middle between the surrounding variations. However, it does not show a large-scale sentential structure as found in V/1. Instead, the sense of gradual temporal flow across variations is expressed more subtly through some tonal, metrical and topical tweaks while the essential phrase structure and thematic identity are largely preserved.

Example 5.3 illustrates the unique phrase structure of the variational theme (B1). The initial four-bar phrase can be read as a kind of ‘mini-sentence’. The first bar establishes two motivic ideas in E minor: one is the rising dotted-rhythmic figure (motive a) of the first violin; the other one is the bass accompaniment figure with two triplets, which evokes a processional character. These two elements cause a metric conflict of triple against duple, or 4/4 against 6/4. The next bar can be seen as a varied repetition of bar 49 with the re-establishment and elaboration functions: the rising figure (E–F#–G) of ‘b1’ is extended to reach the pitches A and B along with a varied rhythm (but retaining its duple character), while ‘b2’ is repeated almost intact apart from just a minor change. The dissolution and elaboration functions of the following two-bar continuation (bars 51–52) are expressed by transforming the triplet bass pattern of motive b2 to a zigzag figure (b2’), and by dissolving the E minor tonic through a sequential harmonic progression (a descending-third type). The sequence causes a modulation to B major with a half-cadential progression (bII⁶–V⁷ in B major), which marks the temporal end of a thematic unit. Thus, within only four bars, the smallest intra-thematic temporal cycle of beginning–middle–end is completed, which also corresponds to the dynamic curve of a crescendo and decrescendo on the first violin. The subsequent four-bar phrase occupies the after-the-end, mainly expressing a stabilisation function with a post-cadential standing on the dominant (V⁷ of B major) and recurring motivic ideas, in contrast to the brisk harmonic rhythm of the preceding phrase. However, this eventually becomes a bridge passage with a subtle harmonic change (at bar 55) that alters V⁷ of B to ii^{ø7} of e while preserving the bass, thus providing a seamless harmonic connection to the next thematic unit (B1’) in E minor. Meanwhile, the zigzag

figure (b2') is elaborated further to provide a repetitive accompaniment background, and a new dotted rhythmic motive (b3) arising as the main melody contributes to a confrontation function, along with the temporal stasis in contrast with the quickening pace of the preceding phrase.

Example 5.3. Symphony No. 6 in A major, first movement, B1, bars 49–56

B1
mini-sentence
[beginning]
establishment *re-establishment, elaboration* **[middle/end]**
dissoluton, elaboration, delimitation

Bedeutend langsamer

e: i ii^{o6} i V⁶/iv iv V⁶ i⁶
 c: iii⁶ IV^{M7} V⁶ I⁶
B: ²II⁶

suffix (standing on the dominant) => link (to B1')
[after-the-end]
stabilisation, confrontation, elaboration, connection

B: V⁷
 (HC?) e: ii^{o7}

Table 5.4. Symphony No. 6 in A major, first movement, B group

Bar	49	53	57	61	69	73	81	87	95	
Formal function	Ternary exposition [beginning]				Contrasting middle [middle]		Ternary recapitulation [end]			
	B1 (theme) <i>establishment</i>		B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i>		B2 (Episode) <i>confrontation</i> <i>elaboration</i>		B1" (Var. 2) <i>re-establishment</i> <i>elaboration</i> <i>delimitation</i>		TR <i>connection</i> <i>preparation</i> <i>delimitation</i>	
	'mini-sentence'	suffix	'mini-sentence'	suffix	pres.	suffix	'mini-sentence'	suffix		
Implied metre	4/4, 6/4		4/4 (only first two bars), 6/4		6/4		4/4, 6/4		4/4, 6/4	
Tonal plot	e → V/B		e → V/G		D (F) V/D		E → V/E		(DC)	

The unique phrase structure of B1 – four-bar mini-sentence ((1+1)+2) and four-bar suffix – and its peculiar temporal quality, comprising quick movement and stasis in a row, form the referential basis of all following thematic units. The first variation, B1', mostly retains this structure except that the suffix part is extended to eight bars but includes some notable changes. First, the triple rhythmic elements become more pervasive, whereas the duple rhythms fade away apart from the first two bars. Specifically, the suffix phrase (bars 61–69) fully evokes a sense of triple metre (i.e. 6/4) and even a dance-like mood (one could perceive the presence of the ‘Siciliana’ topic here). As a result, the metrical conflict between duple and triple beats disappears. Second, although starting in the same E minor, B1' eventually leads to a remoter key by unexpectedly reaching V⁷ of G♭ (enharmonically V of F♯) at bar 61, which is a fifth higher than the V⁷ of B at bar 53. The arrival at this dominant is achieved by more abrupt means compared to the relatively smooth progression in B1, thus undermining the sense of ending. This weakened ending is compensated by the expansion of the suffix phrase, with a longer stabilisation of the dominant and a further liquidation process, which, in effect, secures the thematic ending.

The following B2, which works as an intervening episode with the chorale-like homophonic texture, has an unusual phrase structure as well. The initial four-bar phrase (bars 69–72) seemingly has a presentation-like design with a two-bar basic idea in D major followed by its sequential repetition in F major. However, this phrase eventually ends with an unexpectedly early half cadence in D major. Due to this premature closure, the ‘presentation’ displays not only a beginning but also an end within its own temporal span. It is followed by an eight-bar suffix phrase (bars 73–80), which marks the after-the-end with a standing on the dominant in D major. Similarly to B1, this standing on the dominant is transformed into vii^o₃⁴ of E (ct.⁰⁷ in relation to D major) at bar 77, in order to provide the connection to the next thematic unit, B1". The underlying temporality of B2, summarised as a short and fast-moving temporal cycle followed by a long stasis (eight bars), is also similar to the temporal feature of surrounding variational units of the B group. This phrase-structural consistency, despite B2's obvious contrasting character, produces a sense of continuity to some extent, which is also supported by rhythmic aspects: the triplet processional pizzicato still lingers on in B2 and the

triple metre (6/4) is exclusively predominant here, which can be understood as the outcome from the continuing evolutionary process that gradually removes the duple–triple conflict since the start of the B group.

The final variation (B1^{''}, bars 81–94), which also serves as the reprise after the contrasting middle, restores metric and rhythmic complexity rather at the highest degree such that it emphasises its recapitulatory identity in a dramatic way. Various combinations of duple and triple rhythms appear across different parts at the same time, maximising the metric conflict between duple and triple beats. In addition, the heightened dynamics that accompany the stronger orchestral forces, along with the key of E major (instead of E minor), also contribute to the formation of the highpoint of the B group. The phrase structure is adjusted accordingly to support such a climactic expression: the continuation part of the original mini-sentential phrase is profoundly expanded here (from two bars to six bars, bars 83–88) with a two-bar internal expansion (bars 85–86), which involves a more extended sequential progression, and an additional two-bar interpolation (bars 87–88), which temporarily tonicises Eb (VII of E). This Eb chord, by a PL transformation, leads into a B chord at bar 89, which eventually acts as the dominant of E, forming a six-bar standing on the dominant. It is the first time that E major/minor finally has its dominant in root position within the entire B group. This tonal setting reflects a certain degree of directionality in the B group. Although each thematic statement always uses E as a starting key, the first two statements (B1 and B1[']) eventually display centrifugal tonal movement towards further keys (first, V/B, then V/F[♯]). It is only the final statement (B1^{''}) that provides the key of E with the more decisive status by securing V/E. This tonal discourse, along with the rhythmic-metrical process and the recapitulatory character of B1^{''} (attained by insertion of the contrasting middle) together, leads to a perception of a concealed teleology that gradually reveals itself. This teleology is fully materialised in the subsequent TR unit's intensification process (from bar 95) on the dominant of E (similarly to the cases from III/1 and IV/1), which builds up an expectation for the tonic resolution, although it is abandoned by the deceptive cadence (bar 101) elided with the beginning of the C group.

The B group of VI/1 demonstrates that Bruckner's skill in incorporating variation form into a sonata context reaches the highest level of mastery. Although the B group indeed evokes a sense of recursion contrasting with the surrounding theme groups, which are more explicitly teleological, there lies a kind of concealed teleology, not immediately recognisable but gradually revealed through the tonal, rhythmic and formal process, which makes the variational process highly compatible with the overarching sonata discourse. As a result, the final part of the B group is heard as an inevitable and logical consequence rather than as just another additive thematic statement.

(4) VII/1

The B group of VII/1 synthesises the important techniques of integrating variation form into a sonata movement, demonstrated so far in the previous symphonies, in a magnified formal outline. As shown in Table 5.5, the B group consists of a theme and four variations, the largest number of variations among Bruckner's second themes. Similar to the case from V/1, the first three thematic statements (B1, B1' and B1") together form a large-scale sentential structure, superimposing a hypotactic formal process onto the recursive variational logic. The presence of a ternary form is also explicit, as in the case of V/1 and VI/1, although this time, the contrasting middle emerges just as another variation rather than as an intervening episode. These complex formal processes are closely aligned with the unique harmonic environment Bruckner creates for this B group. As Horton (2004, 96–115) elucidates, this group pronounces the prevalence of harmony with chromatic third relations – which can be understood well in terms of hexatonic and octatonic systems as defined by the Neo-Riemannian transformational theory – but also combines it with the conventional diatonicism. Their interactions serve as the primary force to underpin the variation process as well as other formal implications.

Table 5.5. Symphony No. 7 in E major, first movement, B group

Bar	51	54	59	62	69	73	77	81	85	89	93	99	103
Formal function	Ternary exposition (large sentential structure) [beginning]						Contrasting middle [middle]			Ternary recapitulation [end]			
	'Presentation' [beginning]				'Continuation' [middle/(end)]								
	B1 (Theme) <i>establishment</i> <i>elaboration</i>		B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i>		B1'' (Var. 2) <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>		B1''' (Var. 3) <i>re-establishment</i> <i>elaboration</i> <i>confrontation</i>			B1'''' (Var. 4) <i>re-establishment</i> <i>elaboration</i>		TR <i>connection</i> <i>stabilisation</i> <i>elaboration</i> <i>delimitation</i>	
	pres.	cont.	pres.	cont.	(model)	(sequence)	pres.	cont.1	cont.2	pres.	cont.1	cont.2	s.o.d.
Tonal plot	B	→	C#	→	(B)	→	C	a	→	V/E(=B)	→	V/B	

Example 5.4. Symphony No. 7 in E major, first movement, B1, bars 51–59

B1 (Theme)
 presentation [beginning] establishment
 continuation [middle/end] dissolution, confrontation, (delimitation)

basic idea

a a' b

pp *mf* *dim.* *p*

B Bm G⁶ B^b F A^b E^b G^b D[#](C[#])
 (B:I) i VI^6 (B: I^6) V (A b : I^6) V (G b : I^6) V

(P) (L) (PR) (PR) (PR) (PR)

Example 5.4 illustrates the variational theme (B1), which is loosely constructed both tonally and phrase-structurally, magnifying the degree of flexibility typical of Bruckner’s variational B themes. Its thematic structure, resonating with what Richards (2011) terms the ‘monofold sentence’, can be identified as a loose sentence unusually set with a single basic idea, which consists of a two-bar ascending motive (a) and its transposed and truncated variant (a’). The subsequent continuation phrase introduces a new idea (motive b) with a dotted rhythm facilitating a downward motion. This idea immediately becomes subject to model–sequence technique, promoting a sense of dissolution. The underlying harmony is closely related to this formal structure. The presentation phrase initially appears to unfold itself in the key of B with a modal mixture, but the G⁶ chord (potentially VI⁶ of B minor) at bar 53 unexpectedly progresses to B^b, which suggests a PR transformation. In the continuation, the temporarily suggested B^b major via its own I–V progression undergoes another PR transformation, and this same pattern is repeated in A^b major and then G^b major. The harmonic difference between the presentation and continuation is largely discernible. The presentation phrase is mostly governed by a hexatonic logic with P and L transformations; the continuation phrase combines octatonic progressions featuring PR transformations with diatonic harmony featuring localised I–V progressions, thereby floating around the keys (B^b–A^b–G^b) a tone apart from each other. However, a subtle discrepancy exists in the phrase structure between melodic elements and harmony. The sequential pattern of PR and fifth progression, which characterises the continuation, actually begins earlier at bars 3–4, before the basic idea has completely ended. Such an overlap blurring the boundary between the presentation and continuation also adds to the formal looseness

of this theme. It is not surprising that the ending function is also severely undermined in this loosely constructed sentence. Although the final sequence of I–V (in Gb) can be seen as a tiny implication of an HC, the elided onset (bar 59) of the next unit (B1') plays a more decisive role in our recognition of delimitation.

This overall syntactic organisation of B1 is reproduced in B1' but a tone higher, such that B1' acts like a sequential repetition of the large-scale basic idea (B1). The presentation starts with C# major and similarly moves towards its potential bVI⁶ (A) but through an E chord (possibly bIII of C#) this time. Then, the harmony progresses, in a similar way to the case of B1, by a PR transformation to C major, which initiates the continuation part. The same pattern as seen in the corresponding part of B1, of the minor third (PR) and fifth progressions (localised I–V), appears again, hovering over C and Bb major, but the expected progression of I–V in Ab is replaced by F minor: i⁶–VI. At this point, an added passage (bars 67–68) – what Horton (2004, 101) calls an ‘extended tail’ – follows. It attempts to turn from the floating tonality to the relatively firmer B major context as the harmony over bars 67–69 partly implies a half-cadential progression of V/V–Ger.⁺⁶–V(⁶/₄) in B major, although the last 6/4 chord, in turn, abandons its potential dominant status and rather functions as the tonic in second inversion, which initiates B1".

Example 5.5. Symphony No. 7 in E major, first movement, B1", bars 69–77

B1" (Variation 2)

model sequence

69 B₄ G₄ (vii[°]7/D Ger.⁺⁶) G₄ model (motive a) E_♭₄ sequence C

(PL) (PL) (RP)

The second variation (B1") displays an apparent change of patterns in terms of both phrase structures and harmony, which, in turn, contributes to the developmental characteristics of this thematic unit compared to the first two thematic statements. As shown in Example 5.5, this variation reconstructs the theme as a four-bar model and its sequence. The model (bars 69–72) combines the

full-length basic idea (motive a + a') of the variational theme with the dotted rhythmic element from motive b. In the sequence part (bars 73–76), the upper voice (violin) plays the basic idea in a complete form while motive a and its own sequence are played in the inner voice (cello), which can be viewed as a fragmentation process. This melodic process is in accordance with the harmony: the model is underpinned mostly by a PL transformation between B and G triads, apart from the insertion of a diminished seventh and a German sixth, which are employed to achieve a smooth voice-leading in the bass; the sequence is likewise governed by a PL transformation between G and Eb. As a result, the entire B1" demonstrates a partial realisation of the western hexatonic cycle, B–G–Eb. By superimposing this harmonic setting on the entirely chromatic bass line, which mainly supports 6/4 and 4/2 chords, the weakly established B major at the beginning of B1" immediately dissolves into an even higher degree of instability, which also confirms the developmental nature of this variation. At the end of B1", the Eb triad with the second inversion is unexpectedly followed by a root-position C through an RP transformation, implying the effect of the Phrygian close with $\hat{7}-\hat{8}$ in the soprano and $\flat\hat{2}-\hat{1}$ in the bass. Although radical as a thematic ending, this marks the first reliable tonic resolution employed to articulate the delimitation between thematic units, thus fitting for the conclusion of the large-scale sentence (or ternary exposition).

The third variation (B1''') demonstrates Bruckner's new strategy in combining variation and ternary form. Unlike the cases in V/1 and VI/1, which employ an interpolating episode, this unit plays the roles of the third variation and contrasting middle at the same time. Its contrasting feature is mainly expressed by harmonic means. As opposed to the high degree of third-related chromaticism in the surrounding variations, B1''' is firmly based on diatonic harmony. The basic idea of the original theme is modified to fit the fully diatonic context of C major/A minor. The ensuing two continuation phrases (bars 81–84 and 85–88) are also exclusively diatonic, primarily remaining in A minor, although being relatively unstable within B1''' due to the sequential progressions – controlled by linear intervallic patterns (the first continuation by parallel tenths and the second by parallel sixths). It is also notable that B1''' has a stronger ending than the previous units since bars 88–89 suggest an elided

half cadence in E minor, reflecting the cadence at the very beginning of the B group. This ever-growing strength of thematic endings implies another kind of concealed teleology.

The final variation (B1^{'''}) carries out its duty as a reprise after the contrasting middle, turning back to the harmonic field with chromatic third relations. Similar to the original theme, the presentation part (bars 89–92¹) starts with the B chord and moves to G by a PL transformation, then to B \flat by a PR. However, the harmonic pattern of the continuation part is changed: it features PL progressions instead of PR to mediate localised I–V progressions, thus ironically floating around octatonically related tonal areas (B \flat –D \flat –E).⁷⁸ As the final chord of this pattern, B major is attained again at bar 98, and it even has its own dominant temporarily at bar 99, reflecting the growing structural importance of B major. An additional continuation phrase (bars 98²–103¹) follows, attempting to restore the original pattern of the fifth and minor third progression (D–A–C–G), but eventually arrives at F \sharp , the structural dominant in B major, which is elided with the commencement of the massive teleological transition (bars 113–122).

Bruckner's radical harmony with hexatonic and octatonic implications and its interaction with the conventional diatonicism enables various kinds of formal-temporal discourse. The formal and harmonic looseness inherent in the variation theme engenders a maximal fluidity such that each variation assumes multiple guises depending on the harmonic and formal contexts. The increasing degree of prevalence of hexatonic or octatonic progressions over diatonic is in close connection with the large-scale sentential construction of B1, B1' and B1^{'''}. The largest-scale beginning–middle–end in the B group is expressed by the existence of an exclusive diatonic field contrasting with the surrounding highly chromatic regions with floating tonalities. There is also another kind of less explicit but important teleological process, which, as Horton (2004, 113) rightly puts it, is concerned with 'the gradual revelation of B's tonic status'. This aspect is articulated by the ongoing formal process. In B1, B major functions just as the initiating chord, which is weakly articulated, but then it

⁷⁸ With this modification, the ambiguous boundary between the presentation and continuation caused by a slight discrepancy between melody and harmony in the original theme disappears in this final variation since the beginning of the sequential pattern (localised I–V and PL progressions) is more closely aligned with the initiation of the continuational melody this time.

gets more involved in the ending of B1' and the beginning of B1" with a slight cadential implication. The reprise (B1''') reaffirms B major's formal importance by locating it again at the thematic opening, then the dominant arrival at the end of this unit announces the firmly established tonic status of B, which is further corroborated by the completion of a V-i progression in B at the elided point between the B and C groups.⁷⁹ It is also notable that apart from B1" (which functions as a variation with developmental characters), each thematic statement gradually becomes larger in its span as the variation process proceeds (B1: 8 bars; B1': 10 bars; B1'': 12 bars; B1''': 14 bars). This gradual thematic expansion – another implicit teleology – can also be understood in the context of the tonal process above, as such an expansion may serve to gain time to seek firm tonal grounds.

(5) IX/1

The formal structure of the B group of IX/1 (Table 5.6), at first glance, looks relatively simple compared to the previous cases: it consists of a theme and just two variations. However, if we consider the internal organisation of each thematic statement, their large sizes are immediately noticeable: whereas in the previous cases, a variational theme is usually constructed as a unit having eight bars as its basic size, the thematic units in the B group of IX/1 are constructed as a sentence with the four-bar basic idea, which can potentially produce at least a sixteen-bar theme. Because of this, just three thematic statements are sufficient to provide the B group with a reasonable span to compete in terms of proportion with the surrounding theme groups, which also have hugely expanded sizes.

⁷⁹ However, the full effect as a PAC is greatly undermined by the sudden dynamic change as well as the introduction of the minor mode. It is understood as part of the general tendency found in Bruckner's later symphonies from V/1 to defer a definite cadence to the very end of the exposition. This issue will be further discussed in the next chapter.

Table 5.6. Symphony No. 9 in D minor, first movement, B group

Bar	97	101	105	115	119	123	131	135	139	145	153	
Temporal implication	Beginning →			'Middle' →			End					
Formal function	B1 (Theme) <i>establishment</i>			B1' (Var. 1) <i>re-establishment</i> <i>elaboration</i>		(Contrasting middle?) <i>confrontation</i>	B1" (Var. 2) <i>re-establishment</i> <i>elaboration</i>			TR (sentential) <i>delimitation</i> <i>connection</i>		
	pres.		cont. (nested sentence)	pres.		cont. (nested hybrid)	pres.		cont.1	cont.2		
	b.i. (mini- sentence)	b.i. (mini- sentence)		b.i. (mini- sentence)	b.i. (mini- sentence)		b.i. (mini- sentence)	b.i. (mini- sentence)				
Tonal plot	A → V/E a → V/G (F#) → V/A(=E) → V/f# f# → C → (Ger.+6) A → V/E a → V/G → V/a(?)											

The enlarged size of the thematic units allows even their constituent parts to have some degree of self-sufficiency, producing more complex temporal strata. Example 5.6 illustrates the formal structure of the variational theme (B1). The basic idea itself has a mini-sentential structure (similar to the first four bars of B1 from VI/1): the first two bars are involved in establishment and re-establishment of the one-bar-long motivic idea ('a') with a descending sixth on the A major tonic harmony alternating with V/vi; the next two bars express a dissolution and delimitation, by modulating to V of E major and forming a half cadence on it. A similar pattern appears in the next four bars as a varied repetition of the basic idea, but this time, it starts with the A minor tonic, then moves to V of G major. Both iterations of this four-bar basic idea present a centrifugal tonal movement, which is common in Bruckner's variational themes in the B groups. The ensuing continuation part also internally takes a sentential shape. Its first four bars can be considered as operating the establishment of a two-bar-size idea, which has a slight connection with motive a and the chromatic ascending line (bars 99–100) in the basic idea, and its re-establishment while harmonically alternating between two hexatonic poles (F# major and D minor). The following bars further fragment the melodic unit size from two to one with highly chromatic harmony encompassing Ab⁷, A₂⁴ and a German sixth, leading to an E major chord (bar 115), which causes an elided Phrygian half cadence immediately reinterpreted as a full Phrygian close with a tonic resolution.

Example 5.6. Symphony No. 9 in D minor, first movement, B1, bars 97–115

B1 (Theme)
presentation [beginning]
establishment

basic idea (mini-sentence)

[beginning] establishment (motive a) re-establishment [middle] dissolution, delimitation [end]

continuation [middle-end]
elaboration, dissolution, delimitation
 [beginning] establishment

A: I V/vi I V/vi I (Ger.+6)E:V₄ I ⁻⁶ V a:i V i V i (Ger.+6)G:V₄ I ⁻⁶ V F# d⁶

HC HC (PLP)

B1' (Var. 1)

re-establishment [middle] dissolution [end] delimitation

A⁷ A₂⁴ [I] a: Ger.+⁶ V=>E:I

(RPR) HC => Ph.C (elided)

The nested structures of the variational theme, in which the basic ideas and the continuation have their own meaningful temporal domains, provide listeners with a rich and complex temporal experience. For instance, bars 105–108, as shown in Example 5.6, express the beginning on the lower level and the middle on the higher level at the same time. One could also find the process of ‘becoming’ (Schmalfeldt 2011) in this theme. When we hear the half cadence in bar 100, there lies a possibility that it could mark the temporal end of a thematic unit in a similar way to the case of bars 49–51 in VI/1 (see Example 5.3), which act as a basic thematic unit in combination with the ‘after-the-end’ suffix without a higher-level thematic unit. However, in the case of IX/1, as the music proceeds, it soon becomes apparent that bars 97–100 are actually just the initial part of the larger thematic unit proper (this phenomenon might be described as ‘thematic unit \Rightarrow basic idea’). Curiously enough, this teleological process towards thematic fulfilment is strongly aligned with a strengthened sense of recursion. If we put more weight on the thematic autonomy of the constituent phrase units, then we would have six small-scale variational statements with intervening relatively loose areas that could be called ‘developmental episodes’ (following Hyland 2016). In other words, the nested structure of the variational theme facilitates a sense of repetitiveness and processual character at the same time.

The use of nested thematic structures is also related to the issue of the contrasting middle, as revealed in the form-functional process of B1'. It begins in the key of E (attained by the elided HC ending the previous B1), the dominant of the original A major. The presentation part retains the overall syntactic pattern shown in B1, but the main melodic part on the cellos turns the original descending sixth motive (‘a’) into the ascending seventh pattern, and harmony is also adjusted so that the presentation as a whole presents more gradual centrifugal tonal motion: first, from E major to V of F# (bars 115–118), then from F# minor to V of G#. This V of G# (enharmonically an Eb major triad) unexpectedly moves, through V⁴/₃ of C, to the impressive C major chord, which initiates the continuation part (bars 123–130, shown in Example 5.7) of B1". However, the sudden breakout of C major with a new idea (although one could argue for its connection with motive a from B1) dramatically emphasised by the forte dynamics also produces a strong contrasting effect. The more full-fledged continuational features are realised a bit later through the sequential harmonic pattern comprising V–i of E minor, V–I of C major and V–i of A minor

(bars 126–129), and the further fragmentation and liquidation in bars 129–130. The thematic ending is realised in an unusual manner: after reaching a German sixth of A minor, the expected dominant is omitted. This absence of cadence is simply compensated by a general pause, after which B1'' enters. In a way, Bruckner seems to adopt the skill of incorporating the ternary aspect into variation form, used in the B groups from III/1 and IV/1, namely, of making the continuation part of B1' partly betray a sense of the contrasting middle. However, the contrasting effect here is even more powerful because this 'continuation' has its own thematic quality and self-sufficiency thanks to the nested structure. Its first four bars can be heard as a thematic beginning due to its strong emphasis on the C major tonic and a temporary punctuation in bar 126 (with a slight impression of a half cadence in E minor), which could be regarded as an antecedent phrase followed by a lower-level continuation (bars 127–130). The emergence of this 'nested hybrid' (antecedent + continuation), along with its dramatised rhetoric – having almost a 'breakthrough' effect – contributes to our perception of a strongly articulated contrasting middle. Therefore, the continuation part of B1', more clearly than ever, performs multiple functions as the middle/end of a variational statement and the middle of the whole B group at the same time, thus further complicating this group's temporal implications.

Example 5.7. Symphony No. 9 in D minor, first movement, B1, bars 123–130

continuation [middle-end] of B1'
confrontation, dissolution, delimitation

[beginning] establishment

[middle] dissolution

[end] delimitation

C: I e:V (HC?) C: iii V I V⁷/vi vi A: V⁷ i VII Ger.⁺⁶ (no VI)

In B1'' or the final variation (bars 131–152), the thematic enlargement engages in Bruckner's characteristic dynamic waves. The beginning part faithfully plays a role as the tonal and thematic reprise: it restores A major/minor, and the presentation, apart from a few orchestral reinforcements, is almost identical to the corresponding part from B1. However, the following continuation part reflects further thematic expansion (similar to the last variational statement of the B group from VII/1), occupying two distinctive phrases that form a dynamic ebb and flow together. The first one (bars 139–144) repeats the

half-cadential formula brought from the basic idea sequentially (bars 139–142) and fragments it (bars 143–144) while accompanying dynamic intensification. The apex is reached at bar 145, from which the second continuation phrase (bars 145–152) ensues, forming not only the climax of B1" but also that of the whole B group. This is the point where we reencounter a nested thematic structure – although not as explicit as in the continuations of B1 and B1' – which effectively accommodates a dynamic decline with a slight suggestion of thematic demonstration: with the two-bar descending idea (bars 145–146) and its varied, sequential repetition (bars 147–148) supported by two hexatonically related chords, Ab⁷ and Fb⁶ respectively, with the sustaining bass note Ab; then followed by the ensuing four bars featuring the process of dissolution with a chromatic descending bass line from Gb to Db, which hovers around the loosely tonicised Eb minor and Gb major areas before finally reaching V⁷ of Gb. The thematic ending on the dominant seventh of Gb – which can be seen as what Schmalfeldt (2011) calls the 'nineteenth-century HC' – reconfirms the divergent tonal progress from A major, rather than finalising the definite status of that key normally expected at this point. This tonal task is handed over to the following transition (bars 153–166), which again takes a sentential shape. The four-bar basic idea (bars 153–156) and its sequential repetition (bars 157–160) try to restore the key of A but in an unusual way through the progression from Ab⁴₂ to A⁶₄ (including a downward resolution of the seventh in the bass). The following six-bar continuation (161–166) features fragmentation and liquidation on the incomplete dominant of A (involving a suspension note never resolved onto the leading note) before the C group enters in the unexpected D minor, which means that the confirmation of A major or minor is eventually negated.

The enlarged thematic span and the permeation of nested thematic syntax in the B group of IX/1 require listeners to actively reconceptualise form and musical time, demonstrating a constant teleological process towards thematic completion. However, at the same time, the thematic self-sufficiency of the intra-thematic parts also evokes a sense of recursion due to the ample amount of small-scale thematic entities, including six reappearances of a self-contained basic idea, which causes an impression of nested variations. This process is underpinned by a tonal discourse entailing a tension between centrifugal and centripetal forces around A major/minor. Each small intra-thematic unit expresses its own centrifugal tonal movements, constantly veering from the initiating key and causing a

high degree of chromaticism. However, when they are put together, the overall key scheme across the whole variational process, in turn, appears simple: it starts in A major, modulates to its dominant in the first variation and returns to the original key in the final variation. In keeping with this tonal scheme, each formal structural boundary, such as those between B1 and B1' and between B1' and B1'', attempts to confirm A major as the firm global tonic but in an incomplete way. The end of B1 renders an HC on the dominant of A major, which, however, immediately functions as a new local tonic of E major. The harmonic trajectory at the end of B1' suggests a potential half-cadential progression in A with a retransitional character but comes to a halt on the German sixth (bar 130) without realising the actual dominant chord. What could be expected as the next step of this tonal direction is the appearance of a teleological transition passage with the long standing on the dominant, as we have seen in many of the previous cases. Indeed, we encounter something similar from bar 161, but its incomplete realisation of the dominant and the unexpected entering of D minor opening the C group ultimately frustrates the confirmation of A major/minor as the subordinate key of the exposition. The large-scale transitional tonal function – the gradual confirmation of the subordinate key – which Bruckner's variational B groups normally operate (especially as in VII/1) ends up with the ultimate negation in this case. This task to seek the confirmed subordinate key is handed over to the C group, which opens in D minor as if it starts from a zero base again. In this way, the entire exposition arranges a competition between two tonal relations, of i–V and i–III, eventually in favour of the latter, and the B group plays the essential role as a transitional phase mediating from the former to the latter.⁸⁰

(6) Non-variational B Groups

As discussed so far, Bruckner's use of the variational B groups started with III/1. The earlier symphonies preceding the Third reflect his initial attempts to differentiate the B group in phrase structure from the A or C group. 00/1, I/1 and 0/1 adopt the compound periodic structure for their B groups, expressing a mild degree of parallelism or parataxis, which is suitable to the song-like, lyrical character of the B groups. In these cases, the B group consists of two sentential thematic units, which can be designated B1 and B1'. While B1 has a weak or ambiguous ending, B1' manages to achieve a strong PAC in the subordinate key,

⁸⁰ Chapter 7 will discuss this aspect in more detail.

which is elided with the beginning of the C group. II/1 makes quite an exceptional case with a single thematic unit that is regarded as a compound sentence, resulting in a less balanced proportion of the B group in comparison with the surrounding groups (the B group has only 34 bars, whereas the A and B groups have 62 bars and 78 bars, respectively).

The B group from VIII/1 (Table 5.7) is the only non-variational B group after the Third, which needs a special focus here. Like the earlier symphonies, the obvious parallelism between the two thematic units (B1 and B1') contributes to the large periodic structure, although the consequent unit (B1') fails to achieve a PAC in this case – which could be called a ‘failed consequent’, following Caplin (1998, 89). The overall tonal process largely follows the similar path demonstrated in the majority of the other B groups in that it attempts a gradual confirmation of G major as the subordinate key, which is partly achieved by the HC at bar 72 followed by the opening of B1' in the G major tonic. However, this G major, failing to attain a PAC in that key, eventually yields to Eb minor through a transitional passage from bar 89 (also functioning as the cadential phrase of B1'), which emphasises the dominant of Eb. The existence of such a transition is the typical way to end Bruckner’s B groups, but it lacks the usual dynamic intensification here. Instead, it just dissolves into quietness with an HC, which could be construed as a forebear for the ending of the B group from IX/1.

Table 5.7. Symphony No. 8 in C minor, first movement, B group

Bar	51	59	68	73	81	89
Formal function	B1 (Large antecedent) [beginning] <i>establishment</i>			B1' (Large consequent, failed) [end] <i>re-establishment</i> <i>elaboration</i> <i>delimitation</i>		
	pres.	cont.	cont./cad.	pres.	cont.	cad. (TR)
Tonal plot	G Gb (C-a-Gb-A-C) → G:HC G C → (b-d) → (Cb) → eb:HC					

The most remarkable aspect of this group is the internal design of each thematic unit. At first glance, they appear to consist of a largely conventional sentence with a four-bar basic idea. However, on closer scrutiny, it is revealed that there is another underpinning formal logic, which resembles variations to some extent. As Example 5.8 illustrates, it is possible to segment the four-bar basic idea (bars 51–54) further into two-bar units. Its first bar (bar 51) employs Bruckner’s emblematic duple–triple rhythm, and

the second (bar 55) comprises a combination of one minim and two crotchets. This two-bar cell works as a basic building block or a ‘model’, upon which ten subsequent free variants are created to construct the whole thematic unit.⁸¹ From bar 63, a counter-melody arises, and it temporarily has its own variants, effecting further intensification. It is notable that the two seemingly incompatible formal logics – variational and sentential – coexist peacefully here. This aspect is also evident when we consider the wave dynamics of this thematic unit. As Horton (2004, 151) points out, the apex at bar 69 ‘seems to be the consequence of development acting on an initially stated *Grundgestalt*’. However, it is also true that such a process effectively articulates the sentential type of beginning–middle–end as well, strengthening our perception of temporal directionality. A similar process based on the repeated two-bar pattern seems to persist in B1', but in the midst of the continuation phrase of B1' (bar 85), this pattern finally stops and yields to a further fragmentation process occurring on the basis of one bar unit, using only the duple–triple rhythm. This change signals the B group going towards the end, which is further confirmed by the advent of the transitional passage, both tonally and motivically anticipating the C group.

Example 5.8. Symphony No. 8 in C minor, first movement, B1, bars 51–70 (main melody lines)

Although the overall structure of the B group in VIII/1 is not explicitly variational, it could be argued that the strong reliance on the repeated two-bar pattern can be seen as a small-scale variation

⁸¹ For a more detailed discussion on the motivic process occurring here, see Horton 2004, 148–151.

process, thus still evoking a high degree of recursiveness to some extent. Breaking up this pattern into one bar may suggest the stopping of such a recursive loop and the entrance to a more teleological phase. In that sense, the issue of recursion against teleology still works as a valid principle here, like most other variational B groups.

Summary and Conclusion

The second theme in the sonata form has been traditionally characterised as having thematic and tonal opposition against the first theme. It is relatively recent that the intra-thematic formal organisation has been drawn into focus to explain the distinctiveness of the second theme since Caplin (1998) revived the notion of ‘tight-knit’ versus ‘loose’ formal construction, which was originally suggested by Schoenberg (1967) and Ratz (1973). Caplin’s well-known postulation of tight-knit main themes and loose subordinate themes is partly telling for Bruckner as well, given the *Gesangsperiode*’s distinctive formal organisation in comparison with the previous theme group, but its literal application is not always possible. First of all, from the Classical perspective, both Bruckner’s first and second themes can be construed as loose. Although the majority of thematic units from Bruckner’s A and B groups are sentential, they rarely conform to a Classical kind of phrase-structural regularity such as (2+2)+4 or (4+4)+8. Moreover, undermined cadential effects at the thematic ending also frequently occur in both theme groups. If we want to retain the notion of tight-knit and loose in Bruckner, the only reliable criterion may be the tonal aspect. As we discussed in Chapter 3, the opening thematic units from the A groups always begin and end in the same key, although often temporarily exploring other key areas in the middle. On the other hand, the B group’s thematic units constantly show the tendency to veer away from the initiating key and modulate to another key, demonstrating centrifugal tonal motions.

In order to capture more accurately the essence of Bruckner’s strategy to differentiate theme groups in terms of their internal structures, the notion of teleological versus recursive musical time is more helpful than the tight-versus-loose paradigm. As the investigation of the B groups above has revealed, the use of variation form for the higher-level arrangement of thematic units in the B group certainly produces a strong sense of recursion, in contrast with the more teleological organisation in the A group. This opposition could be seen as Bruckner’s unique adaptation of the tight-versus-loose paradigm.

For, given that sonata form in general is basically teleological, such recursiveness may be seen as another kind of looseness.

However, Bruckner's second themes also demonstrate complex interactions between hypotactic teleology and paratactic stasis within themselves. Despite the sense of temporal stasis or suspension at first, the flexible arrangement of variation form (supported by late-Romantic harmonic idioms) permits the gradual permeation of teleological time. In terms of formal organisation, this usually occurs by superimposing the ternary implication onto the ongoing variation process. This tactic is realised in various ways depending on the individual cases. In III/1, IV/1 and IX/1, the ternary construction arises only implicitly in that, while the overall variation procedure is not strongly interrupted, only part of a middle variation expresses some degree of contrast in the context of the whole B group. On the other hand, the B groups from V/1 and VI/1 more explicitly suggest ternary construction by employing an intervening episode during the variations, which simultaneously functions as the contrasting middle. The case from VII/1 can be placed somewhere between these two strategies: although the variation process is not interrupted, one variation (variation 4) itself behaves like a contrasting middle by securing a diatonic harmonic field against the highly chromatic domains in the surrounding variations.

The variational *Gesangsperiode* also plays an essential role in the overall tonal discourse of the exposition, which can be grasped as the gradual tonal journey from the home key to the subordinate key in the context of the three-part exposition. As the B group occupies its middle portion, it may establish the subordinate key but only in a provisional way, leaving room for the C group to complete the tonal journey. Bruckner's employment of the flexible variation form fits remarkably well in expressing this 'already but not yet complete' state. In other words, the second theme partly takes a transitional role, and the use of flexible variation effectively supports such tonal vibrancy while retaining the contrastingly lyrical, reflective rhetoric between other, more dynamic theme groups. Through his *Gesangsperiode*, Bruckner demonstrates a process in which the seemingly atemporal stasis of variational elements ultimately serves for large-scale teleology. In that sense, the view of emphasising the *Gesangsperiode*'s detachment from the main sonata discourse, such as Darcy's notion of 'alienated secondary theme', may require rethinking since its existence is, rather, highly essential for the large-scale sonata trajectory.

Chapter 6: The Third Theme Group

Bruckner's Third Theme and the Concept of 'Closing Theme' in Recent Scholarship

There seems to be a consensus in Bruckner scholarship that Bruckner's third theme is generally seen as an expansion of the Classical closing theme or codetta. As early as the 1940s, Dika Newlin (1947) associated Bruckner's third theme with the Classical codetta having independent thematic ideas, as follows:

Bruckner has often been credited with introducing a 'third theme' into the exposition of the symphonic sonata-form. This statement must be subjected to much qualification. The codetta section which, following the subordinate theme-group, closes the exposition of the classical sonata, is quite likely to have an independent theme or motive of its own, though that is not always the case. (Newlin 1947, 90)

Similar thoughts are shared by more recent commentators, although different terms are used to explain the Classical origin of Bruckner's third theme. For instance, John Williamson (2004) and Benjamin Korstvedt (2004) use the term 'closing theme group' or simply 'closing group' for Bruckner's third subject. Horton (2005) also discusses Bruckner's typical formal expansion, which is exemplified by 'the increased delineation of second group and closing section, to the extent that the closing section becomes a third group in itself' (12). Although this stance is generally reasonable, the use of different terminologies such as codetta, closing theme (group) and closing section also reflects that it is not a simple issue to define the formal units traditionally called 'closing' with precise and unified terms and definitions.

The evasiveness of the concept of 'closing theme' is also reflected in the recent *Formenlehre* discussion. It is well known that the views of Caplin's form-functional theory and Hepokoski and Darcy's Sonata Theory on the closing theme conflict with each other. Caplin (1998) refuses to recognise 'closing theme' as a meaningful formal category; instead, he confines the term 'closing' to what he calls the 'closing section', which refers to a non-thematic post-cadential area lacking the clear set of initiating, medial and ending phrase functions a proper theme has. A closing section may have multiple codettas, which are defined by Caplin as small post-cadential modules prolonging the tonic. The majority of themes traditionally interpreted as closing themes may be seen as just another subordinate theme under Caplin's terminological system. If we strictly apply these terminologies to Bruckner, it leads to two conclusions. First, his third theme is generally not qualified as a closing section because Bruckner's third subject goes

beyond serving as a mere appendix, since it usually demonstrates a clear beginning–middle–end paradigm at the intra-thematic levels, as will be discussed later. Second, Bruckner’s third theme will be seen just as the second subordinate theme under Caplin’s framework in most cases. Although this interpretation is not entirely wrong in a theoretical sense, it is not fully satisfying since it does not capture some of the Brucknerian third theme’s unique characteristics, different from other theme groups.

In contrast, Hepokoski and Darcy’s (2006) Sonata Theory is more open to accepting the concept of ‘closing theme’, although they prefer to use the term ‘closing zone’, which refers to any kind of formal space followed by the essential expositional closure (EEC), regardless of whether it has a thematic character or not. A closing zone may include more theme-like formal units that can be called closing themes, but it can also consist of only what they call ‘codetta modules’, which is virtually equivalent to Caplin’s closing section.⁸² The application of this system to Bruckner is also not without problems, however. For Hepokoski and Darcy, the concept of closing theme is heavily dependent on the concept of EEC, which is the first PAC in the secondary key in principle. However, Bruckner, especially from his later symphonies from the Fifth, frequently avoids any authentic cadences that can potentially work as EECs between the second and third theme group while reserving a strong closure until the very end of the exposition.

Table 6.1 outlines the ways of closing the B themes and the overall key schemes of the C themes as found in the expositions of the first movements from Bruckner’s symphonies. In most cases of his later symphonies from the Fifth onwards, there are no clear EECs at the end of the B group. Only VII/1 has the closest to such a thing, the V–i progression at the end of the B group, although the effect of the cadence is greatly undermined by the unexpected entrance of the minor mode and the sudden drop of dynamics. Stronger closure is usually achieved at the end of the C group, although many instances of this closure are not PACs, thus questioning the validity of maintaining the concept of EEC for Bruckner.

Table 6.1. Second-theme closure and the key schemes for the third theme in the exposition of the first movement from Bruckner’s symphonies

⁸² For further details on the concept of ‘codetta module’, see Hepokoski and Darcy 2006, 183.

	Home key	B-theme closure	Key schemes for C theme
00/1	f	Ab:PAC (elided)	Ab → Ab:PAC
I/1	c	Eb:PAC (elided)	Eb → Eb:PAC
0/1	d	F:PAC (elided)	F → F:PAC
II/1	c	Eb:PAC (elided)	Eb → Eb:PAC
III/1	d	F(→f):PAC (elided)	f → F:PC
IV/1	Eb	Bb:PAC (elided)	Bb → Bb:PAC
V/1	Bb	f:HC	Db → F:PAC
VI/1	A	E:DC (elided)	C → E:PC
VII/1	E	B: V-i (no cadence?, elided)	b → B:IAC
VIII/1	c	eb:HC	eb → Eb:IAC
IX/1	d	a:V6/4-5/4 (no cadence)	d → F:PC

It seems that the C groups of Bruckner's earlier symphonies conform more to the post-EEC paradigm. As Table 6.1 shows, the first movements from the earlier symphonies generally close the second group with a PAC that can be interpreted as the EEC, although in the Third Symphony, the potential EEC at the end of the B group is weakened by the introduction of the minor mode. However, even if we admit the fact that these cases show clear vestiges of the Classical EEC, the subsequent third themes generally give an impression of nullifying the previous EEC effect by immediately undergoing new thematic areas, which are often modulatory themselves until returning to the initiating key and producing a stronger cadence in that key at the end of the exposition. This practice demonstrates that Bruckner was on the way to finding his own unique voice in delineating closing themes, gradually moving away from the Classical tradition.

This situation demonstrates that both Caplin's and Hepokoski and Darcy's frameworks around the concept of closing theme are not fully adequate to explain Bruckner's third theme. An alternative solution to this issue may be found in Arndt's (2018) framework of structural functions. On the issue of closing-theme disputes, he states:

But we can say that generally secondary themes have establishment and confrontation functions, presenting the secondary region and possibly new Gestalten; closing themes have establishment and stabilisation functions, presenting a set of Gestalten and confirming the main cadence in the secondary region; and closing sections and codettas have dissolution and stabilisation functions, liquidating Gestalten and confirming the final cadence. (Arndt 2018, 216)

Although generally convincing, there are some points that could be slightly adjusted, especially for Bruckner's cases. First, designating both establishment and confrontation to the secondary theme could sound a bit tautological because confrontation itself means establishing a new idea different from the previous theme. Thus, it seems more reasonable to confine the establishment function to the primary theme at the expositional level. Likewise, there is a possibility that a closing theme can provide another confrontation if it provides a new thematic idea different from the preceding theme. Second, one could also question the stabilisation function of the closing theme, depending on the situation. For instance, Bruckner's third subject is usually the most unstable thematic region (far from stabilising), and it usually ends with the strongest cadence in the exposition. In such cases, we could add the delimitation function for the closing theme instead of stabilisation. This form-functional identification is consistently applicable to Bruckner's third themes. However, in terms of their internal formal constructions, the individual cases of the third theme show meaningful stylistic changes, which largely correspond to the chronological order. While the third themes from the earlier symphonies tend to pursue thematic variety within the theme group, those from later symphonies emphasise consistent flows in close interactions with their tonal task mainly related to the situation of lacking EECs at the end of B themes. My subsequent analyses will examine these aspects in detail.

General Features and the Individual Cases of Bruckner's Third Theme

Although designed in various ways, Bruckner's C themes consistently have three meaningful temporal phases of the beginning, middle and end (so qualifying as a self-contained theme rather than Caplin's 'closing section'), usually reviving a sentential type of forward-moving temporality after the relatively recursive B group. The beginning introduces the main thematic ideas (often in unison, so sometimes

described as the ‘unison theme’ [*Unisono-Thema*] in German Bruckner scholarship),⁸³ which sometimes demonstrate some degree of affinity with the first theme (e.g. I/1 and IV/1). The middle can be described as a developmental phase expressing elaboration and dissolution, both tonally and formally unstable. This part usually brings a climax to the overarching dynamic wave over the C group. The end portion, largely functioning as the cadential phase, usually demonstrates an impression of calming the previous instability as the music approaches the final closure. Then, a post-cadential codetta section may follow, expressing the after-the-end function sometimes in an expanded form such that it can be seen as the fourth phase with some degree of self-contained thematic syntax (e.g. VII/1). Individual cases of Bruckner’s C themes express these temporal phases in a variety of ways, sometimes over multiple thematic units, each of which has itself a meaningful thematic syntax at the lower formal level, or sometimes in a single thematic unit (but in expanded form), depending on the various thematic and tonal situations where they are.

(1) Prototype of the Brucknerian Third Theme: ‘Study Symphony’ in F minor

A prototypical example displaying these features is already hinted in the C theme from 00/1. As Table 6.2 illustrates, the theme (bars 146–201) has a sentential structure in a vast single thematic unit: the two statements of a compound basic idea (consisting of a full tutti chorale-like passage in contrary motion and a rapid string figuration) are followed by a lengthy continuation, which suggests stronger harmonic instability temporarily tonicising C minor (iii of Ab) and F minor (vi of Ab) before reaching the V⁶–I progression (bars 178–180), which is supposed to end the continuation, but with an undermined sense of ending because of the thwarted expectation of cadence. Despite the lack of cadence, the following part is in its rhetoric post-cadential (so it could be described as a ‘codetta’), just residing in the Ab tonic. It is notable that the elided PAC between the second and third theme is the only authentic cadence in the exposition. Bruckner (as a student at this stage) may have been conscious of the normative convention in Classical practices of emphasising the PAC at the end of the second theme and treating the following closing theme or section as a less essential or complementary formal area, the case which would fit to both Hepokoski and Darcy’s concept of post-EEC ‘closing zone’ and Caplin’s post-cadential ‘closing

⁸³ For the usage of the German term ‘*Unisono-Thema*’, see, for instance, Hinrichsen 2010, 96.

section' without substantial conflicts. However, it seems that this obedience to 'conventions' does not completely suppress the composer's impulse to express an independent thematic area, which suggests meaningful syntactic completeness of the beginning–middle–end (although the end is undermined) and even the after-the-end. Furthermore, the 'codetta' introduces a new thematic idea (with an impressive rustic tune), providing additional thematic variety within the third theme, foreshadowing the subsequent cases of the composer's third theme.

Table 6.2. Study Symphony in F minor, first movement, C theme

Bar	146	154	162	180
Formal function	pres. [beg] <i>establishment</i>		cont. [mid/(end)] <i>elaboration</i> <i>dissolution</i> <i>(delimitation)</i>	codetta? [after-the-end?] <i>stabilisation</i>
	c.b.i. <i>establishment</i>	c.b.i. <i>re-establishment</i> <i>elaboration</i>		
Tonal plot	Ab → (c) (f) → Ab: V ⁶ -I (No cadence!)			

(2) Third Themes in the Early Symphonies (from the First to the Third)

In his subsequent four symphonies, I/1, 0/1, II/1 and III/1, Bruckner further strengthens the self-contained thematic character of the third theme by emphasising the end phase with more explicit cadential articulations (as illustrated in Table 6.1 above), which can be construed as superseding the cadence at the end of the B theme. In addition, the tendency for thematic expansion and the will to demonstrate various thematic ideas are expressed in such a way that the subparts of the third theme suggest multiple thematic units. This strategy sometimes results in expressing bold rhetorical contrasts *within* the C theme. However, Bruckner also retains the sense of coherence and the overarching beginning–middle–end paradigm through harmonic continuity (often by avoiding cadential articulations between thematic units) and carefully designed dynamic wave patterns.

Table 6.3 demonstrates the formal design of the C theme from I/1. The first half (bars 67–93) largely reveals sentential logic but quite loosely. Bars 67–71 witness a familiar statement–response pair with the tonic and dominant versions of a basic idea. However, it is soon followed, unusually, by three more statements of the basic idea, which gradually destabilise the initiating Eb major in a quasi-sequential

way, thereby suggesting a premature sense of middle. The subsequent continuation phrase (from bar 78) further animates this sensation with the obvious fragmentation and intensification process entailing a chromatic linear ascent until the bass reaches B \flat at bar 94, a potential cadential 6/4 in E \flat major. However, not only is its resolution into 5/3 (bar 95) delayed, but also the powerful entrance of the trombone passage (often said to allude to the famous ‘Pilgrim’s Chorus’ from Wagner’s *Tannhäuser*) at this point is so marked that it greatly hinders the impression of a half-cadential formation. Rather, it suggests the initiation of a new thematic unit, C2 (which means that bars 67–93 can be seen retrospectively as C1), consisting of a compound basic idea (two-bar basic idea + five-bar contrasting idea) with a climactic fortissimo tutti followed by a calming passage (from bar 101), which mostly involves the expression (with the fragmented restatement of the basic idea) of the final PAC. Obviously, the dramatic interruption of the trombone theme strongly affects the overall construction of the C group and the resulting musical temporality. As the initiating thematic unit, C1 also expresses to some extent a sense of middle within the context of the whole theme group with the developmental character and strong forward motion towards the climax. The subsequent C2 is supposed to function as the end of the C group with a cadential potential (given the attainment of B \flat as the dominant of E \flat in the bass at bar 94, although it is superseded by another B \flat at bar 101), but the eruption of the new idea from bar 94 also suggests a confrontation function with another kind of sense of the middle, whereas the real end is expressed later by the delayed PAC with the calm dynamics. The resultant linear expression of the beginning–middle–end is also well supported by the overarching dynamic wave having its apex at bar 94.

Table 6.3. Symphony No. 1 in C minor, first movement, C group

Bar	67	78	94	101
Formal function (Intra-thematic level 1)	C1 [beginning → (middle)] <i>establishment</i>		C2 [middle/end] <i>confrontation</i> <i>delimitation</i>	
(Intra-thematic level 2)	pres. [beginning → (middle)] <i>establishment</i>	cont. [middle/(end)] <i>elaboration</i> <i>dissolution</i> (<i>delimitation</i>)	c.b.i. [beginning] <i>establishment</i>	cont./cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>
Tonal plot	E \flat	→	V/E \flat	→ E \flat : PAC

The unexpected interruption of new thematic material is also a defining factor for the formal construction of the C theme from 0/1 (Table 6.4). Similar to the case from I/1, the theme here starts as a sentence (from bar 57) with the more normative two statements of an (A-theme-based) basic idea followed by a lengthy continuation (from bar 61), where the music soon reaches a climax (bars 63–65) and then dissipates while destabilising F major by temporarily exploring flat-key areas such as G minor, A \flat major, D \flat major and G \flat major. At the end of the phrase, we encounter a potential Phrygian half cadence on V/B \flat through the bass motion of G \flat –F, but this possibility is immediately confronted by the elided entrance of new chorale-like material suggesting F major (indicated by the E natural on beat 2 in bar 73) in the main melody, which turns the potential V/B \flat on the previous beat into I/F. This chorale passage (from bar 74) forms another sentential structure, possibly interpreted as a new thematic unit, C2 (which retrospectively makes bars 57–73 C1): bars 74–77 make a presentation phrase with two sequential statements of a basic idea (first in F major then in A major); bars 78–87 can be seen as a continuation phrase, which creates another climax (bars 79–81) while harmonically featuring parallel sixth chords in F before calming again with a PAC in that key to end the exposition. Despite the apparent contrast in character between C1 and C2, there are some devices that help retain the sense of coherence between them. First, the abandonment of the cadential potential at the end of C1 and the elided entrance of C2 undermines the sense of ending for C1 and emphasises its immediate connection to C2. Second, thematically, an effective linkage technique is evident as the basic idea of C2 is directly derived from the turn figure in bar 72 (and its quaver version in the previous bar).⁸⁴ Third, the wave dynamics correspond well to this formal construction: both C1 and C2 have their clear local-level thematic waves (with their apices in bars 63–65 and 79–81, respectively), but also an overarching higher-level wave can be grasped when we perceive the apex in C1 as more fundamental, the interpretation supported by the relatively more reserved dynamic and poised rhetoric of C2 compared to the stormy C1.

⁸⁴ One could argue that the origin of this figure can be traced back to the motive of F–E–D (bar 3) in the opening theme (or A–G–F in its third-theme version in bars 54–55).

Table 6.4. Symphony in D minor ‘Nullte’, first movement, C group

Bars	57	61	74	78
Formal function (Intra-thematic level 1)	C1 [beginning → (middle)] <i>establishment</i>		C2 [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>	
(Intra-thematic level 2)	pres. [beginning] <i>establishment</i>	cont. [middle/(end)] <i>elaboration</i> <i>dissolution</i> <i>(stabilisation)</i>	pres. [beginning] <i>establishment</i>	cont. ⇒ cad. [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>
Tonal plot	F	→	(Gb) (F)	→ F:PAC

From his Second Symphony, Bruckner’s inclination to formal expansion became more conspicuous, but at the same time, it appears that he also increasingly paid attention to making the overall form-functional process for the C theme more straightforward and organised. As Table 6.5 suggests, the whole C theme group of II/1 can be subdivided into three thematic units, C1, C1’ and C2. Although there is still some degree of ‘thematic surprise’ expressed by C2, these three thematic units neatly represent the presentational beginning, the developmental and climactic middle, and the calming and clausal end, respectively. C1 is a loose sentence itself, which employs arguably three statements of a two-bar basic idea (expressed by the bass ostinato coupled with the counter-melody by the woodwind) preceded by a two-bar thematic intro (already initiating the bass ostinato), and a continuation/cadential phrase ending with an HC at bar 112.⁸⁵ The subsequent C1’ initially enters like a simple restatement of C1 or its consequent but soon proceeds differently. The repetition of the two-bar basic idea in bars 113–116 here makes a four-bar ‘double basic idea’ (Vande Moortele 2011), which is restated on the subdominant in bars 117–120 so that an eight-bar presentation (bars 113–120) can be grasped. It is followed by two lengthy continuations, both involving thematic and harmonic dissolution but in opposite dynamic directions. The first continuation, which summons the trumpet motto from the A group (also temporarily implying the original key of C minor) and overlays it on the ongoing ostinato, creates a substantial intensification with the chromatic ascending bass line until reaching a climax in bars 133–135. The second

⁸⁵ However, it could also be possible to count bars 97–98 (the bass ostinato idea without a counter-melody) as the first statement of the basic idea rather than a thematic intro. According to this interpretation, the presentation phrase would consist of four statements of the basic idea.

continuation, conversely, de-intensifies the dynamics while passing through some local keys, including Bb minor, Eb minor, G minor, Bb major and D major, before reaching an HC in C minor. The subsequent post-cadential passage (bars 151–160) first appears as a standing on the dominant of C minor, but it gradually strengthens the perception of G as the tonic rather than the dominant, which is confirmed by the entrance of C2 in G major. This C2, which sharply contrasts with the preceding thematic units by introducing a new thematic idea in a placid manner, also retains sentential logic, although the distinction between the presentation and the continuation is highly blurred, causing the unbroken, continuous expression of the beginning, middle and end. The first four bars can arguably be regarded as the presentation with the two statements of a two-bar basic idea prolonging the G major tonic, but in the subsequent ‘continuation’ part (from bar 165), this two-bar unit repeatedly appears without obvious fragmentation. Its dissolution function is only recognised when we consider the modulation from G major to Eb major. Then an expanded cadential progression (which includes a deceptive progression in bars 171–172 in the middle) appears from bar 169, supporting the ongoing quasi-sequential restatements of the basic idea until it closes with a PAC in bars 174–175, which is followed by a one-bar pause and a small codetta (bars 178–179).

Table 6.5. Symphony No. 2 in C minor, first movement, C group

Bar	97	105	113	121	135	151	161	169
Formal function (Intra-thematic level 1)	C1 [beginning] <i>establishment</i>		C1' [middle] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>			C2 [end] <i>confrontation</i> <i>delimitation</i>		
(Intra-thematic level 2)	pres. [beginning] <i>establishment</i>	cont. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	pres. [beginning] <i>establishment</i>	cont.1 [middle] <i>dissolution</i> <i>elaboration</i>	cont.2 [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	s.o.d.(⇒ standing on I) [after-the-end] <i>stabilisation</i>	pres.(?) [beginning] <i>establishment</i>	cont.(?) [middle/end] <i>elaboration</i> <i>(dissolution)</i> <i>delimitation</i>
Tonal plot	Eb		Eb:HC		→	c:HC (⇒ G: I)		G → Eb:PAC

Table 6.6. Symphony No. 3 in D minor, first movement, C group

Bar	173	181	189	197	203	213	221	231	243
Formal function (Intra-thematic level 1) (Intra-thematic level 2)	C1 [beginning] <i>establishment</i>			C1' [middle] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>			C2 [end] <i>confrontation</i> <i>delimitation</i>		
	pres. [beginning] <i>establishment</i>	cont. [middle] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	s.o.d. [end] <i>delimitation</i> <i>stabilisation</i>	pres. (trunc.) [beginning] <i>establishment</i>	cont. [middle] <i>confrontation</i> <i>dissolution</i> <i>elaboration</i>	'Klang' [end] <i>stabilisation</i> <i>delimitation</i>	pres. [beginning] <i>establishment</i>	cont. [middle] <i>elaboration</i> <i>dissolution</i>	cad. [end] <i>delimitation</i>
Tonal plot	f	→	bb:HC	→	(Db) C	E	→	a	A (C) → F:PC

The C theme of III/1 (Table 6.6) is similar in its overall formal conception to that of II/1, featuring C1' as a developmental restatement of C1 prior to the concluding C2. Albeit still retaining, like other early symphonies, thematic variety and unpredictability to some extent, this C group appears to seek to achieve a greater sense of continuity. As shown in Example 6.1, C1's four-bar basic idea (in F minor) in bars 173–176 has a chant-like four-note figure that is implicitly foreshadowed in the B group (motive X).⁸⁶ The ongoing duplet–triplet rhythm (motive Y) also derives from the B group and thereby confirms a sense of continuity. This basic idea is followed by its sequential restatement (in G minor) in bars 177–180 and a modulating continuation in bars 181–188, which leads to a standing on the dominant (bars 189–196) in Bb minor.⁸⁷ C1' (from bar 197) temporarily restores the F sonority, although it sounds like V of Bb due to the preceding event, which is further confirmed by the truncated second iteration of the basic idea (bars 201–203) with a progression of i–iv in Bb minor. The subsequent continuation (from bar 203) mainly involves a vigorous drive towards a climax, signalled by fragmentation and faster harmonic rhythms, but it also operates a confrontation function with a modest degree of 'thematic surprise' expressed by the blazing chorale melody (in the trumpet) – often associated with the chant 'Crux fidelis' (as in Floros 2015, 114) – which enters in Db but soon modulates to C. Despite its newness, one could possibly hear the chorale melody as part of the ongoing thematic process: as Example 6.1 demonstrates, its main motive was foreshadowed in bars 120–121 of the B group (motive Z), not to mention the C group's prevalent minim rhythm (associated with the chant-like character) and the still persistent duplet–triplet element ('Y'). This continuation gives rise to the passage (bars 213–220) that can be described as a climactic '*Klang*' with the end function in C1',⁸⁸ in which a variant of the A theme's main motive reappears triumphantly on the sustained E major chord. Similar to the case from II/1, the following C2 unit (also sentential) has contrastingly soothing rhetoric with a new thematic element but also claims more substantial continuity from the preceding unit, as is evident in the unceasing string tremolo pattern (ongoing from bar 203) and its still chorale-like character. The four-bar basic idea (bars 221–224), but

⁸⁶ The thematic process illustrated in Example 3.1 partly follows Thomas Röder's (2010) reading: see 156, especially Beispiel 1.

⁸⁷ This standing on the dominant is supported by a 6/4–5/3 progression (preceded by a German sixth at the end of the continuation), so suggesting a slight half-cadential implication. In this sense, this passage may be interpreted as taking up an ending function rather than a post-cadential after-the-end function.

⁸⁸ For the concept of *Klang*, see Darcy 1997, 276.

extended by two bars in bars 225–226) launches in E major but soon leads to C major when repeated (bars 227–230). The subsequent continuation (bars 231–243) involves a gradual dissolution of the basic idea in A minor, but at the same time, it employs an interesting quotation (‘Miserere’) from Bruckner’s D minor Mass, which also suggests an affinity with motive X (see Example 6.1). At the end of this phrase, there is a V–I progression in A major (bars 239–243), which can potentially be seen as an IAC at this moment. Its cadential implication is, however, soon cancelled: the passage from bar 243, which initially seems post-cadential, facilitates another harmonic action, which turns out to create a progression towards the plagal cadence in F major.⁸⁹ In this group, it is worth noting the presence of religious elements, such as its chant-like character, the quotation of ‘Crux fidelis’ and ‘Miserere’, and the plagal cadence. Floros (2015) famously relates this aspect of Bruckner’s music to a confession of faith, an interpretation which is, however, not relevant to understanding the formal logic. No matter whether Bruckner intended so or not, what is certain is that this overall religious atmosphere, along with its engagement in the ongoing thematic process, functions as a unifying element across the group, alleviating the seemingly capricious thematic variety. This inclination to pursue continuity over the internal thematic contrast prefigures the later cases of the C theme.

Example 6.1. Symphony No. 3 in D minor, thematic process over the B and C groups

The musical score for Example 6.1 is presented in three systems, each with three staves (treble, middle, and bass clefs).
B group B1 (measures 103–119): The top staff is for strings (Str.) with dynamics *p* and *pp*. The middle staff has dynamics *p* and *tr*. The bottom staff has dynamics *pp*. Motives X and Y are indicated with brackets.
B2 (continuation) (measures 120–172): The top staff is for brass (Brass) with dynamics *ff*. The middle staff has dynamics *ff*. The bottom staff has dynamics *ff*. Motives Z and X are indicated with brackets.
C group C1 (measures 173–199): The top staff has dynamics *ff*. The middle staff has dynamics *ff*. The bottom staff has dynamics *ff*. Motives X and X+Y are indicated with brackets.

⁸⁹ The oscillation between the dominant (A major or minor) and the relative major (F major) of the main key (D minor) for the choice of the ultimate subordinate key and the settlement on the latter is similar to what happens in the C group from II/1, in which G major temporarily arises as an important key (at the end of C1' and the beginning of C2) amid the overall E \flat major.

C2 (continuation)
'cru^x fidelis'

C3 (continuation)
'miserere'

The image shows a musical score for two sections, C2 and C3. C2, titled 'C2 (continuation) 'cru^x fidelis'', spans bars 203 to 231. It features a vocal line with a 'CHORAL' marking and a piano accompaniment. Dynamics range from *ff* to *p*. Sections Z and Y are indicated above the vocal line. C3, titled 'C3 (continuation) 'miserere'', spans bars 231 to 241. It features a vocal line with a '(Ww.)' marking and a piano accompaniment. Dynamics range from *p* to *cresc.*. Section X is indicated above the vocal line.

(3) Third Themes in the Later Symphonies after the Third

After the Third Symphony, Bruckner's C themes tend to be more thematically and rhetorically uniform – hence, no more strong 'thematic surprises' – in favour of the uninterrupted flow. This tendency is in line with the changing tonal situation around the C theme. From V/I onwards, Bruckner intentionally removes the PAC between the B and C themes, making the cadence at the end of C undoubtedly the most structural in the exposition so that the entire exposition is designed to be more clearly end-orientated. It means that the C theme alone takes responsibility for achieving a convincing reaffirmation of the subordinate key, which is not secured yet at the onset of the C theme, a situation that may cause the C theme to be more urgently single-minded and teleological. Another possible factor affecting this shift is the growing tendency of the variational B theme in the later symphonies (the issue covered in the previous chapter). The relatively recursive B theme may result in a stronger desire to recover fully the sense of forward motion in the next theme group.

The C theme of VIII/1 (Table 6.7) realises such a sense of unrelenting progress in the most compact way with a single sentential unit while emphasising unbroken continuity. The beginning part is expressed by a six-bar presentation phrase (bars 97–102), including the threefold statement of a two-bar basic idea, which first tentatively establishes E^b minor (the newly introduced key after the G major of the B theme) before the radically varied third statement, however, soon causes a modulation to F[#] minor. It is followed by two continuation phrases, which bring further instability through different sequential patterns. The former's sequence (bars 103–108) allows the music to explore temporarily keys a minor

third apart, such as A minor, C minor and Eb minor, by emphasising their Vs, thus suggesting an octatonic implication. The latter (bars 109–128) seemingly regains Eb minor with i⁶, but it soon initiates a long chromatic ascending line comprising highly unstable seventh chords with the strong dynamic intensification before it arrives at an apex with a potential cadential 6/4 chord. The following phrase (bars 129–139), which summons the A-theme head motive in a fragmented way and with a reserved dynamic, is supposed to realise its cadential potential by delineating a V–I progression. However, as Example 6.2 suggests, its cadential effect is undermined: the existence of $\hat{3}$ in the top voice in bar 139 potentially suggests an IAC, but the placement of the main melody (originated from the first theme) in the bass (note especially the falling G–F–Eb figure in bars 138–139) hinders this sensation. Still, this dubious cadential expression fulfils its ending function (both at the intra- and inter-thematic levels) in the circumstance where any Classical kinds of cadences are completely absent in the whole movement. Given that the C theme has the task of superseding the B theme’s G major with Eb as the decisive subordinate key in the context of a three-key exposition, the sense of fluid directionality in form-functional syntax effectively accommodates the tonal process that confirms Eb (with the modal change from minor to major) as the subordinate key by overcoming the medial instability imbued with the octatonicism and chromatic sequences.

Table 6.7. Symphony No. 8 in C minor, first movement, C theme

Bar	97	103	109	129	139
Formal function	pres. [beginning] <i>establishment</i>	cont. 1 [middle] <i>elaboration</i> <i>dissolution</i>	cont. 2 [middle] <i>elaboration</i> <i>dissolution</i>	cont. 3/cad.(?) [end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	codetta [after-the-end] <i>stabilisation</i>
Tonal plot	eb (♯)	(a) (c)	eb (chromatic ascent)	cad.6/4(?)	Eb:IAC (?)

Example 6.2. Symphony No. 8, first movement, C-theme closure

16

Fl.1.2
Ob.1.2
Klar. 1,2 in B
Fag.1.2
1.2.in F
3.4.in B
Hrn.
5.6.in F
7.8.in B
1.2.in F
Tromp.
3.in F
A.T.
Pos.
B.
K.-Bb.
Pk.
Viol.1
Viol.2
Via.
Vc.
Kb.

130

130

Eb: V $\left[\frac{6}{4} \right]$ 7(7)

130

Ob.1
Klar.1 in B
1.2.in F
3.4.in B
Viol.1
Viol.2
Via.
Vc.
Kb.

G

(V $\frac{3}{4}$?)

I (IAC?)

132

A largely similar case can be found in the C theme of IV/1, which also comprises an expansive single thematic unit. This symphony represents the last case of having a PAC at the juncture between the B and C themes, but its effect is of initiating rather than terminating the subordinate key area (Bb) because of its late and sudden appearance.⁹⁰ Accordingly, the form-functional design and the overall tonal plot of the C theme are arranged to substantiate the tonal status of Bb by imposing a drama of challenges and overcoming. As Table 6.8 suggests, the C theme can be grasped as an expanded sentence with multiple continuation phrases. The presentation (bars 119–130) comprises three statements of the basic idea – the descending duplet + triplet figure derived from A2 (or TR) – in which the initiating Bb major is soon confronted by the temporary modulation to Eb (then to V of C minor in the subsequent continuation). Continuation 1 (bars 131–140), mainly on the dominant of C minor, dissolves the basic idea by way of promoting acceleration and intensification before being further heightened in continuation 2 (bars 141–153) with the temporary Db major (which was the central key of the previous B group). The enormous chromatic ascent in the following part (bars 153–173) leads to a climactic fanfare on Db⁷ (V/Gb) and then Gb⁷, representing the lingering shadow of the Db major element, but the latter chord soon turns out to be a German sixth connecting to the PAC in Bb major. The recall of the B-theme head motive in Bb major at this point signals the complete purging of the Db implication, which was the primary threat to the tonal status of Bb as the ultimate subordinate key in the exposition. A lengthy post-cadential codetta follows to stabilise this key before closing the exposition.

Table 6.8. Symphony No. 4 in Eb major, first movement, C theme

Bar	119	131	141	153	173
Formal function	pres. [beginning] <i>establishment</i>	cont. 1 [middle] <i>elaboration</i> <i>dissolution</i>	cont. 2 [middle] <i>elaboration</i> <i>dissolution</i>	cont. 3/cad. [end] <i>elaboration</i> <i>delimitation</i>	codetta [after-the-end] <i>stabilisation</i> <i>dissolution</i>
Tonal plot	Bb →	V/c	Db	→	Bb:PAC

⁹⁰ As we discussed in the previous chapter, the main key of the B group is Db. Bb major is only introduced at the end of the B group on its V (bar 115), which can be construed as resuming the unresolved V/Bb just before the B group (bar 73).

The C theme from VII/1 (Table 6.9) also arguably has a single thematic unit, but its subparts are slightly more self-contained. As discussed in the previous chapter, the B theme of VII/1 attempts to reveal the B tonality as the subordinate key gradually but leaves the task incomplete by undermining the expected cadence at the onset of the C theme. Accordingly, the C theme's tonal plot mainly engages in freshly reaffirming the key of B by touching its relative keys before the final cadence in accordance with the sentential form-functional syntax. The presentation (bars 123–130) features a four-bar basic idea (which sharply contrasts with the preceding theme groups, especially in its rhythmic and textural characters) and its varied repetition, the former on the tonic in B minor and the latter on the minor dominant (F# minor). The subsequent continuation part (bars 131–153) can be construed as a kind of nested sentence, which could give rise to the possibility of interpreting this part as a new thematic unit (so possibly labelled C2).⁹¹ This structure allows the accommodation of a D major prolongation (including a temporary mode change in bar 133) in its first four bars (bars 131–134), suggesting a lower-level presentation with a 2+2 structure (its basic idea entails a counter-melody derived from bars 129–130, facilitating motivic continuity). From bar 135, the sense of destabilisation becomes more obvious (so suggesting a lower-level continuation from here), highlighted by a linear descent (creating, in turn, part of a whole-tone scale), which passes through d, C⁶, bb⁶, Ab⁶ and Gb⁶. The last chord, which can be heard enharmonically as F#⁶, that is, V⁶ in B minor, sustains a little further to form a double-forte climax (bar 141) and then leads (via vii^o) to the even more strongly climactic brass fanfare passage (bar 147) with a triple forte (in a similar way to the case of IV/1 in its rhetoric) on B⁷ (or V⁷/iv) and then a German sixth (inverted), which is finally resolved into V–I in B major. This IAC is elided by the following post-cadential codetta, which enjoys the firmly secured B major also in a nested sentential structure.

⁹¹ According to this interpretation, the previous presentation part (bars 123–130) would be labelled C1. However, since it simply consists of a pair of the basic idea's tonic and dominant versions, whether it has a meaningful thematic syntax of the beginning–middle–end cycle is questionable, except that one could argue that a slight sense of ending is expressed rhetorically with the aid of the descending melodic line followed by the quaver rest in bar 130.

Table 6.9. Symphony No. 7 in E major, first movement, C theme

Bar	123	131	135	153
Formal function	pres. (C1?) [beginning] <i>establishment</i>	cont. (nested sentence, C2?) [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>		codetta (nested sentence) [after-the-end] <i>stabilisation</i> <i>dissolution</i>
		pres. [beginning] <i>establishment</i>	cont. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	
Tonal plot	b	f#	D	d → B:IAC

In the remaining cases (V/1, VI/1 and IX/1), the C group confronts an additional tonal challenge, as its onset in each case arrives deceptively in a key different from the expected subordinate key prepared by its V at the end of the B group. Accordingly, the entire C group involves the tonal process which leads from this wrong key to the right subordinate key, which is supposed to end the exposition. This situation might be associated with the internal formal structure: in order to accommodate such a progressive tonal scheme in an enlarged span, all of these C themes comprise multiple thematic units while motivic and textural continuity is largely retained over those units without losing the urgent sense of momentum.

Table 6.10. Symphony No. 6 in A major, first movement, C group

Bar	101	103	107	111	115	121	129	133	137
Formal function (Intra-thematic level 1)	C1 [beginning] <i>establishment</i>			C2 [middle] <i>dissolution</i> <i>elaboration</i>			C3 [end] <i>delimitation</i>		Codetta [after-the-end] <i>stabilisation</i>
(Intra-thematic level 2)	pres [beginning] <i>establishment</i>	cont. [middle] <i>dissolution</i> <i>elaboration</i>	s.o.d. [?] [end] <i>stabilisation</i> <i>delimitation</i>	pres. [beginning] <i>establishment</i>	cont. [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	s.o.d.(⇒link) [after-the-end] <i>stabilisation</i> <i>connection</i>	pres. [beg] <i>establishment</i>	cont./cad. [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	
Tonal plot	C → (V/E)			C → V/G ($\frac{4}{3}/C$)			C	a	E:PC

The C group from VI/1 (Table 6.10) demonstrates these features in the most clear-cut structure of the beginning, middle and end expressed by three thematic units (C1, C2 and C3), respectively. The very beginning of the theme group is articulated by a deceptive cadence, which leads to C major instead of the expected authentic resolution of the hugely emphasised V/E at the end of the B group. With this, the attempt to secure the key of E as the subordinate key is suspended. At the same time, C major comes to the fore as the primary source of instability at the inter-thematic level (in response to the C/F dissonant elements prefigured in the first theme, as discussed in Chapter 3), which hinders the large-scale tonal journey based on the diatonic fifth relation. The struggle to resolve this crisis acts as a driving force in the entire C group. The first thematic unit, C1 (Example 6.3), exhibits all the scale degrees of C major sequentially in a loose sentential structure.⁹² However, it is worth noting that the final four bars (weakly articulating the ending function of C1), which reside on B, signify the implicit resistance of the E major element (as a V of E). C2 (employing the ascending triplet figure from C1 as the basis of the ongoing accompaniment pattern, onto which a new counter-melody is dubbed) is again loosely sentential (presentation phrase in bars 111–114; continuation phrase in bars 115–120) but more unstable and developmental. At its beginning, C major is temporarily restored, but it soon turns out that this C major just functions as the starting point for launching a long chromatic motion, upwards from C⁶ (bar 111) to Bb⁶ (bar 117) and downwards to C⁶ (on the second beat in bar 120), before, via a German sixth, finally arriving at V of G major (bar 121). The subsequent standing on the dominant is transformed into a linking passage with a subtle harmonic change from V/G to V⁴₃/C, thus providing a connection to the next thematic unit, C3, which starts again in C major. C3 shows another sentential design (presentation phrase in bars 129–132; continuation/cadential phrase in bars 133–137) while accommodating a modulation from C major to E major. Despite this modulation, C3 is far more diatonic than the preceding units, bringing their developmental processes to the calm final phase. The presentation unfolds in C major and A minor, and then the continuation phrase resides on the subdominant of E with the added sixth, while its apparent thematic liquidation evokes a sense of going towards the end before finally

⁹² Despite the looseness, the coordination of harmony and the sentential formal logic is obvious here: the presentation phrase, where the initial two-bar basic idea is re-established and elaborated a tone higher in the subsequent two bars, establishes a diatonic second as a referential interval for the following sequential movement (e–F–G–a–B) of the continuation phrase, achieved by the dissolution function, which involves thematic fragments and harmonic acceleration.

arriving at the E major tonic at bar 137, creating a plagal cadence. A codetta follows to stabilise the attained E major further. In sum, each thematic unit demonstrates a different attempt at dispelling the intrusion of C major until the last unit finally manages to achieve a tonic resolution in E major. This tonal process is realised through the overarching sentential formal logic strengthened by the largely single-minded forward drive and thematic continuity.

Example 6.3. Symphony No. 6, first movement, C1

presentation [beginning]
establishment

basic idea
establishment

basic idea
re-establishment, elaboration

continuation? [middle]
dissolution, elaboration

standing on the dominant or the tonic? [end]
stabilisation, delimitation

ff

fff

C: I -6 ii -6 iii -6 IV -6 V -6 vi -6 E: V? (B: I) -6

The C group from V/I (Table 6.11) is also governed by a progressive tonal scheme, in this case, starting in Db major and ending in F major. The C group's formal design with three sentential thematic units (C1, C1' and C2), which contribute together to the overarching higher-level sentential logic, effectively arranges this tonal process. C1 (bars 161–168) tries to establish Db (deceptively attained after V/F at the end of the B group) as a major competing tonality at the expositional level, which obstructs the diatonic path from Bb to its dominant F. After the half-cadential end of this unit on Bb (as V/Eb), the extended restatement of C1 (C1', bars 169–184) launches in Eb minor and its continuation (from bar 173) attempts to turn the music back to the key of F through a model–sequence (resulting in V of F in bar 176). This attempt is forcefully negated by the emphatic return of Db major (again, achieved in a deceptive way), which is sustained in the next four bars with the ongoing fragmentation. Then, this

passage is entirely sequenced a third lower in A major, which triggers the onset of the next thematic unit, C2 (from bar 185), in D minor. This key arises as another competing tonality, and continuation 1 (bars 189–192) of C2 even attempts to cadence in that key, although this is evaded by the ‘one-more-time technique’ (Schmalfeldt 1992) launching continuation 2 (bars 193–198). This phrase, however, ultimately veers away from the cadential attempt and instead, through the parallel sixth progression, leads to the climactic continuation 3 (bars 199–208) occurring on the B \flat triad then the G \flat chord. The final continuation 4 (or cadential) phrase (bars 209–221) restores F major (but on C in the bass so suggesting V of F) – implicitly referring to the core material of the first theme (B \flat –G \flat –F) – but it confronts the final threat of the D \flat element embodied as V $\frac{5}{3-9-11}$ in G \flat (reinterpreted as an unconventional kind of augmented sixth chord proceeding to V/F) before finally being resolved into a PAC in F major. D \flat major and D minor articulated by C1 and C2 retrospectively can be associated with the movement’s tonal strategy. The tonal tension between B \flat and G \flat implied in the introduction and the first theme (as discussed in Chapter 3) is replicated a fifth higher through the tension between F and D \flat by the B and C groups at the higher formal level. The V–i progression in D minor between C1' and C2 was already foreshadowed in the similar progression (bars 51–54) between the introduction and the A theme. That way, the C group effectively engages in the exposition’s large-scale tonal plot, where the hexatonic tonal relation (triggered by G \flat /D \flat and D/A elements) is eventually overcome by the diatonic fifth relation between B \flat and F.

Table 6.11. Symphony No. 5 in Bb major, first movement, C group

Bar	161	165	169	173	177	185	189	193	199	209	221
Formal function	C1 [beginning] <i>establishment</i>		C1' [beginning] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i>			C2 [middle/end] <i>confrontation</i> <i>delimitation</i>					
(Intra-thematic level 1)											
(Intra-thematic level 2)	pres. [beginning] <i>establishment</i>	cont. [middle /end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	pres. [beginning] <i>establishment</i>	cont.1 [middle] <i>elaboration</i> <i>dissolution</i>	cont.2 [end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i> <i>(stabilisation)</i>	pres. [beginning] <i>establishment</i>	cont.1 [middle] <i>elaboration</i> <i>dissolution</i>	cont.2 [middle] <i>elaboration</i> <i>dissolution</i>	cont.3 [middle] <i>elaboration</i> <i>dissolution</i>	cont.4/cad. [middle /end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	codetta [after-the-end] <i>stabilisation</i>
Tonal plot	Db → eb:HC		→ (V/F) (Db) (A)			d	(evaded cad.) →		(Bb) (Gb)	→ F:PAC	

The tonal process occurring in the C group from IX/1 (Table 6.12) can generally be understood in the context of a three-key exposition, where the relative major (F major) is supposed to supersede the dominant key (A major) as the true goal key of the exposition. However, Bruckner chose a highly unusual way of doing this by making the C group start in D minor, the movement's main key, a tactic which possibly effects a fresh restart of the process of searching for the alternative subordinate key after completely negating the A major of the previous B group. The C group's resultant progressive tonal scheme from D minor to F major underlies the overall form-functional structure with four thematic units. As with the case from V/1, each unit is loosely sentential, and they together create the overall sentential logic – C1 and C1' as the large-scale presentation, and C2 and C2' as the large-scale continuation – largely occupied with a teleological drive towards the plagal cadence in F major at the end of the group. C1's sentential structure (bars 167–178) primarily accommodates the establishment of D minor through the literal prolongation in the presentation followed by the descending bass progression in the continuation, which, however, eventually leads to the standing on E (V/V but without the third), the chord reminiscent of V of A at the end of the B group, as if expressing the final resistance of A major. Then C1' (bars 179–190) tries to re-establish D minor, but only to be frustrated by the unexpected C \flat chord in the continuation, revisiting the harmonic problem present in the first theme (which posits C \flat as a dissonant element against D). This C \flat proceeds, via B \flat minor (on which C1' ends), to its dominant, G \flat , in which key C2 (bars 191–198) begins. Although C2 presents a new idea in a fresh key, it still claims strong continuity by elaborating elements from the previous units (such as the ongoing bass ostinato pattern and the horn counter-melody directly derived from C1's basic idea). Its developmental character is further intensified in C2' (bars 199–219). Its continuation 1 (bars 203–206) entailing a literal crescendo combines a chromatic ascent in the bass with the chromatic third progression involving alternations of LP and RP transformations. This harmonic instability is further heightened in the climactic continuation 2 (bars 207–214), which employs a different pattern of chromatic third progression resulting in an eccentric expression of the E-minor-related sonorities: after a B minor chord (bar 207) is approached from E \flat in bar 206 by a PLP transformation, the subsequent LP and PR progressions lead to G minor (bar 209) and then E minor (bar 211). This chord then proceeds to C major (via an L transformation) in bar 215, which

initiates the cadential phrase with the progression of V–iv–I, after which a codetta follows. In sum, the C group’s form-functional design supports the tonal process, in which the progress from D minor to F major is challenged in the middle by the Cb/Gb element (which was foreshadowed in the first theme), by imposing the large-scale sentential logic with a gradual sense of intensification. Especially in the continuation phrases of C2', this intensification culminates in the highly unstable chromatic third progressions, which eventually lead to the purging of the influence of the Cb/Gb with the calm F major closure.

Table 6.12. Symphony No. 9 in D minor, first movement, C group

Bar	167	171	179	183	191	195	199	203	207	215	219
Formal function	C1 [beg] <i>establishment</i>		C1' [beg] <i>re-establishment</i> <i>elaboration</i>		C2 [middle] <i>confrontation</i> <i>elaboration</i> <i>dissolution</i>		C2' [middle/end] <i>re-establishment</i> (of C2) <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>				Codetta [after-the-end] <i>stabilisation</i>
(Intra-thematic level 1)											
(Intra-thematic level 2)	pres. [beg] <i>establishment</i>	cont. [mid/(end)] <i>elaboration</i> <i>dissolution</i> <i>(delimitation)</i>	pres. [beg] <i>establishment</i>	cont.? [mid/(end)] <i>elaboration</i> <i>dissolution</i> <i>(delimitation)</i>	pres. [beg] <i>establishment</i> <i>stabilisation</i>	cont. [mid/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i> <i>stabilisation</i>	pres. [beg] <i>establishment</i>	cont.1 [middle] <i>elaboration</i> <i>dissolution</i>	cont.2 [middle/end] <i>elaboration</i> <i>dissolution</i>	cad. [end] <i>delimitation</i>	
Tonal plot	d	(V/a)	d	Cb	bb	Gb	f#	→ (chromatic third progressions) →			F:PC

Summary and Conclusion

Despite his scepticism about the concept of the closing theme, Caplin does not actually rule out completely the possibility of recognising this concept under certain conditions. In response to Hepokoski's comment concerning the closing theme dispute, he stated as follows:

What I am asking for is a clear definition of what would functionally differentiate such themes, and I suggested that locating a distinction in terms of phrase structure would be an obvious place to look. Failing that, however, I would be happy to recognize a category of closing theme if we could discover any other means of defining its properties, for example, that it is generally louder than a subordinate theme, or longer, or texturally more complex, or that it brings some characteristic melodic formations. (Caplin 2010, 59)

The analyses in this chapter demonstrate that such functional differentiation suggested by Caplin is highly plausible, at least in Bruckner's case, for example, in terms of phrase structure or texture and dynamics. Leaving aside the obvious textural and dynamic contrasts between the B and C themes, the internal constructions of his C theme groups consistently suggest the teleological temporal mode strongly contrasting with the B theme's recursive mode, usually by emphasising the sentential kind of beginning–middle–end paradigm. The existence of such meaningful beginning–middle–end structures enables us to see Bruckner's third group as the closing 'theme' rather than the closing 'section' as Caplin terms it.

The examination of individual cases has shown how Bruckner's third themes manifest this kind of thematic syntax in various ways, which reflects meaningful artistic developments and stylistic changes. Despite the gradual emphasis on the closure of the C theme over that of the B theme, C themes from the earlier symphonies still generally tend to conform to the Classical post-EEC paradigm, usually sustaining the subordinate key attained in the B themes (apart from internal local modulations). However, they also indicate Bruckner's early experimental nature in that the distinctiveness of the C theme is expressed through the tendency towards intra-thematic expansion through the employment of multiple thematic units, which often accommodates adventurous thematic variety with dramatic contrast within the theme group while loosely retaining the overarching beginning–middle–end syntax. In the later symphonies, with their growing tendency to undermine or even remove the B theme's cadential closure, the C theme becomes tonally more essential rather than auxiliary, which results in an emphasis on a more consistent and unbroken flow along with clearer overarching syntax (of the presentational beginning, developmental

middle and closural end), which facilitates a strong teleological drive towards closure at the end. Even when multiple thematic units are employed (as in V/1, VI/1 and IX/1), not only do they usually retain thematic and rhetorical continuity, but also their presence plays an important role in accommodating the progressive tonal scheme in accordance with the exposition's large-scale tonal narrative.

In a recent talk on the nineteenth-century closing theme, Benedict Taylor (2022) called for clarification of 'whether the word "closing" means "already closed" or "in the process of closing"'. Bruckner's third themes from 00/1 to IX/1 surely demonstrate the gradual evolution from the former kind of closing theme to the latter. This observation may reflect Bruckner's lifetime efforts to find his own voice in shaping sonata form and polishing it so that his form can look more logical and end-orientated, thereby invigorating sonata form's teleological spirit in the context of late-Romanticism.

Chapter 7: Overview of the Exposition

General Features

So far, we have discussed Bruckner's three expositional theme groups, focusing on their intra-thematic organisations. Before moving on to the development, it is worth giving a summarised overview of the whole exposition to discuss some important aspects at the inter-thematic level. The formal functions at the inter-thematic level in Bruckner's sonata expositions can be generalised as in Table 7.1. The A group as a whole has an establishment function providing a musical idea (both thematic and tonal) that functions as a reference for future formal events. The B group provides a confrontation in relation to the preceding group. Not to mention its thematic, rhetorical and tonal contrasts, it should be noted that its internal formal construction also contributes to the confrontation function usually by presenting a recursive temporal mode through variations against other theme groups' more teleological temporal mode. Occasionally, the B group also may have an elaboration function, employing some elements from the preceding group (as in VI/1 and VIII/1). The C group offers another confrontation, resuming the dynamic forward motion along with new thematic material, which, however, sometimes claims inter-thematic continuity – so suggesting an elaboration function (as in I/1, 0/I and IV/1), which features the first-theme material in varied form. However, most importantly, the C group operates a delimitation function for the whole exposition, with a cadential closure in the subordinate key (V in the major-key symphonies or III in the minor-key symphonies).

Table 7.1. Inter-thematic formal functions in the exposition

Large-scale level	Exposition [beginning]		
Inter-thematic level	A [beginning] <i>establishment</i>	B [middle] <i>confrontation</i> <i>(elaboration)</i>	C [end] <i>confrontation</i> <i>(elaboration)</i> <i>delimitation</i>

With this grouping structure and functional distribution, the expositional beginning–middle–end is expressed by the three theme groups – A, B and C, respectively – while the transition between these groups is

reduced to a local-level formal event (as already discussed in Chapter 4). This means that the sense of direct tonal opposition (expressed by A and B, which are mediated by TR) as in the Classical model of sonata form is not viable any more for Bruckner. It is rather replaced with the gradual tonal motion from the home to the subordinate key, which is skilfully integrated into the three discrete theme groups.

Bruckner's inclination to express an expositional tonal motion, rather than a tonal opposition between two stable keys, resonates strongly with the early-nineteenth century practice of the three-key exposition, a technique for which Schubert is particularly renowned. In Schubertian three-key expositions, the second theme's initial key typically serves an intermediary role before yielding to another key, which turns out to be the true goal key of the exposition.⁹³ With this shift from the second to the third key, the exposition is inevitably imbued with a palpable sense of tonal mobility. This process generally manifests in two types. In the first, a separate 'modulatory module' (Grant 2022) guides the cadentially confirmed second key towards the third key, in which the second subordinate theme makes its entrance. The first movement of String Quartet in D minor, D. 810 is quintessential of this type: despite the cadential affirmation of the initial subordinate theme's normative F major, a transition-like passage beginning at bar 83 leads to the less conventional A major, in which the second subordinate theme ensues. In the second type, an internal tonal diversion within the subordinate theme facilitates the modulation to the third key. This is often achieved through the technique of what Hunt (2020) terms a 'continuation becoming an internal transition'. The first movements of the 'Great' Symphony in C major, D. 944 and Piano Sonata in B \flat major, D. 960 are notable examples of this type. In both instances, the subordinate theme's initial key (E minor in D. 944 and F \sharp minor in D. 960) does not receive a solid confirmation via an authentic cadence and instead progresses towards another key (the more normative key in both cases, G major in D.944 and F major in D.960) before cadencing in that key.

⁹³ Prior to Schubert, this type of tonal plot was pioneered also by Beethoven. The most famous example is probably Coriolan Overture in C minor, Op. 62 (1807): its subordinate theme starts in E \flat major but ultimately modulates to G minor, in which the second subordinate theme enters. Caplin (1998) analyses this as the case of a 'modulating subordinate theme' (119–121), which can also be found in the first movements from Beethoven's Symphony No. 8 in F major, Op. 93, Piano Concerto No. 5 in E \flat major, Op. 73 and Piano Sonata in D major, Op. 10/3.

Certainly, the second type, with its tonally more dynamic subordinate theme, contributes more significantly to the overall processual impression of the exposition than the first type. It is noteworthy that the idea of a tonally unstable second is also one of the core traits in many of Brucknerian expositions (at least from his Third Symphony), regardless of whether they are structured as an apparent three-key exposition. Scholars generally concur that Bruckner was well-acquainted with Schubert's canonical instrumental works, including the above-mentioned D. 944 and D. 960.⁹⁴ This aspect lends credence to the speculation of Schubertian influence on Bruckner's approach to sonata exposition. However, it is hardly surprising that Bruckner, particularly equipped with his late-nineteenth-century idioms, often goes further (especially in his later symphonies) than Schubert. His second themes are typically more unstable than those found in Schubert's cases, exploring a wider range of keys. In addition, as discussed in the previous chapter, Bruckner frequently introduces even stronger tonal instability through the third theme group and confirms the expositional goal key much later, usually at the end of the third theme group.⁹⁵ Bruckner also sometimes employs the expositional three-key scheme in a different way, where the ostensible third key (which initiates the third theme group) serves as a challenge to be overcome, rather than the goal key. As with the case of Bruckner's variational second themes previously discussed in Chapter 5, Bruckner's approach to sonata exposition demonstrates his creative assimilation of the Schubertian influence, in accordance with his characteristic flowing harmony and three-theme conception.

⁹⁴ Winkler (2010) highlights that Schubert's Piano Sonatas D. 845 and D. 960 were part of Bruckner's collection (55). Regarding Bruckner's exposure to Schubert's symphonic music, Horton (2004) suggests that although it is challenging to trace it as we can for Beethoven and Wagner's influence on Bruckner, Schubert's final two symphonies 'can be more or less circumstantially linked to Bruckner' (174). The 'Great' C major Symphony, which gained its canonical status since its premiere in 1839, might have been known to Bruckner during his lessons with Otto Kitzler or his early days in Vienna. The 'Unfinished' Symphony was premiered in 1865 by Johann von Herbeck, who was responsible for both Bruckner's first appointment and first symphonic premiere in Vienna.

⁹⁵ In both cases of Schubert's D. 944 and D. 960, the second subordinate theme (arguably corresponding to Bruckner's third theme) launches with the cadential confirmation of the third key. However, it is worth noting that it may undergo some unexpected tonal instability: in D.944, the middle of the second subordinate theme (with the introduction material) encounters a tonal excursion briefly passing Ab minor, B major and E minor before coming back to G major. The second subordinate theme of D. 960, also include unexpected local tonicisations of Eb and Db (by their Vs) before presenting a F major PAC in bar 99. In this respect, both examples can be regarded to some extents as precursors of what happens in Bruckner's third themes.

Table 7.2 demonstrates a prototype model for the tonal process in the Brucknerian exposition. The key strategy for expressing the expositional tonal motion includes the avoidance of cadences and constant modulation, which are systematically handled in compliance with the three theme groups. The home key is suggested in the A group, but it is very often weakly established without a clear cadential confirmation before being soon dissolved through modulations, which demonstrate a local-level transitional function within the A group. As discussed in Chapter 4, the shift from the A to the B group is realised via a paratactic kind of inter-thematic connection, which usually adopts a common tone-induced modulation. Although seemingly promoting discontinuity (especially with the sharp textural contrast between the two theme groups), such a connection is strategically employed to contribute to the exposition's continuous tonal motion. Because of this paratactic connection, which lacks a proper dominant preparation, the new key (a potential subordinate key) introduced at the beginning of the B group does not appear as an unmistakable local tonic from its first appearance. This attained key is often immediately subject to further modulations without its confirmation, and we usually have to wait until the end of the B group to encounter the belated advent of the structural dominant of the subordinate key. The key suggested at this point is usually the same as the B group's opening key, but sometimes different, thus emerging as the true subordinate key superseding the initial key, as in the cases from 0/1, IV/1 and VIII/1.⁹⁶ The existence of the highly articulated dominant harmony at the end of the B group makes the connection between the B and C groups sound more hypotactic than the counterpart between the A and B groups, signalling the ultimate predominance of the teleological temporal mode over the recursive mode. Still, Bruckner, especially in his later symphonies (from V/1), tends to undermine or avoid a clear resolution of the dominant to the tonic so that the C group (also modulating and highly unstable) creates a further strong desire for the final confirmation of the subordinate key through the cadential closure, which is eventually achieved at the very end of the exposition.

⁹⁶ In the exceptional case of IX/1, however, although the B group ends on the dominant (albeit incompletely articulated) of its opening key, this key is completely discarded in the C group, as already discussed in Chapter 5.

Table 7.2. A model for the tonal process in Bruckner's sonata expositions

Theme Group	Tonal procedures
A	Home key established (but very often without cadence) Home key disintegrates (usually via modulation to other keys) Paratactic connection to B (usually through a modulation via a common tone)
B	Subordinate key candidate introduced (usually without dominant preparation) Internal modulations Emphasis on V of the subordinate key candidate (or other non-tonic keys) → hypotactic connection to C (cadence or cadential vestige)
C	Subordinate key (candidate) or other non-tonic keys Internal modulations Subordinate key confirmed by cadence

Expositional Tonal Plots in the Individual Cases

The sense of continuous tonal motion from the home key to the subordinate key is realised to different degrees in different cases. The exposition of 00/1 (Table 7.3) displays an early conception of this tonal scheme but still with some strong conventional traits. The A theme largely establishes F minor, but never with a clear cadence. After A1 ends with V⁶ in F minor, A1' restates the same melody in the context of Db major. Although its continuation (from bar 62) temporarily restores F minor, it is soon destabilised by further modulations. The way the B theme enters in Ab major (bar 85) is probably within the conventional boundary as it is at least preceded by a dominant preparation (V⁶/Ab). However, the sense of unarticulated harmonic continuity is retained since the B theme begins on V/Ab without the expression of a clear root-position tonic chord, which thus blurs the point of the B theme's entrance to some extent. The root-position tonic of Ab is only secured by the PAC at the end of the B group, which is elided with the onset of the C theme. As we discussed in the previous chapter, the C theme remains in the same key (despite some internal modulations) without further cadences, so it is basically post-cadential and complementary, at least in terms of tonal

aspects. In this view, the temporal function of the C theme is rather after-the-end than the end. However, there are some aspects subtly resisting such a sensation: given the C theme's proportion and self-sufficiency in its rhetoric and formal syntax, the C theme could be heard as something equivalent to the preceding theme groups. Here, we witness a slight tension between Bruckner's conception of three-part exposition and the conventional scheme of arranging a tonal opposition between two contrasting themes followed by a complementary closing section.

Table 7.3. 'Study Symphony' in F minor, first movement, exposition

Bar	1	47	85	116	146	180
Formal function	Exposition [beginning]					
	A [beginning] <i>establishment</i>		B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		C [after-the-end?] <i>confrontation</i> <i>elaboration</i> <i>stabilisation</i>	
	A1	A1'	B1 (ant.)	B1' (cons.)	C1	codetta
Tonal plot	f	(Db) f → (bb) → V ⁶ /Ab	Ab(on V) Ab:HC	Ab:PAC	→(c)(f) → Ab: V ⁶ -I	(no cadence)

In the exposition of I/1 (Table 7.4), the initiation of the B theme occurs on a 6/4 chord in Eb major, following the very unconventional V⁶/Gb at the end of the A group. As with the case of 00/1, the subordinate key's root-position tonic does not appear until the PAC at the end of the B group. A difference is the reinforcement of the C theme's role. Not only does the C group demonstrate strong rhetorical effects (with the stormy and unstable C1 followed by C2's dramatic trombone theme), but it also articulates the end of the exposition with a PAC, which gives an impression of superseding the B group's cadence. This case shows that Bruckner gradually became conscious of the end-orientated potential of his three-theme conception.

Table 7.4. Symphony No. 1 in C minor, first movement, exposition

Bar	1	18	28	45	58	67	94
Formal function	Exposition [beginning]						
	A [beginning] <i>establishment</i>			B [middle] <i>confrontation</i>		C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>	
	A1a	A1b	A1a'	B1	B1'	C1	C2
Tonal plot	c	(Ab) → V/Eb	→ V [♯] /Gb	Eb([♯] 4) → Eb:HC	Eb:PAC	→ V/Eb	→ Eb:PAC

From the case of 0/1, Bruckner tends to adopt a strategy that further complicates the expression of a gradual tonal motion from the initiation of the home key to the confirmation of the subordinate key by emphasising the influence of another key in the middle of the process (thus evoking a three-key exposition). A key tactic (especially in the minor-key symphonies) is to devise a kind of competition between the home key's relative major (III) and its dominant (V) keys (in favour of the former eventually) in the B and/or C theme group. The exposition of 0/1 (Table 7.5) is quintessential in this regard. Although the end of the A group emphasises C major, the potential V of F major (III), the B group enters unexpectedly in A major (V). However, the B group eventually ends in F major with a PAC. The subsequent C group, although having some tonal instability in its middle (such as G^b major), confirms the predominance of F major in the end with the final PAC. This tactic is also influential in II/1 (Table 7.6) but in a more limited way. In this case, the A group firmly establishes C minor with two cadences; both B and C groups are framed by Eb major (III), while G major (V) occurs only within the C group's intra-thematic boundary. Apart from some irregularity in the C group, the tonal plot in the exposition of II/1 generally conforms well to the Classical paradigm with the delineation of tonal opposition (between i and III in this case).

Table 7.5. Symphony in D minor ‘Nullte’, first movement, exposition

Bar	1	21	33	43	57	74
Formal function	Exposition [beginning]					
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i>		C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>	
	A1	A1'	B1	B1'	C1	C2
Tonal plot	d → C(V/F?) A → (D) (d) F → (Bb) (D) F:PAC → (Gb) (F) → F:PAC					

Table 7.6. Symphony No. 2 in C minor, first movement, exposition

Bar	1	27	63	97	113	161
Formal function	Exposition					
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i>		C [end] <i>confrontation</i> <i>delimitation</i>	
	A1	A1'	B1	C1	C1'	C2
Tonal plot	c c:PAC c:HC Eb (Gb) → Eb:PAC → V/c → G → Eb:PAC					

III/1's exposition (Table 7.7) displays a more representative Brucknerian case: although the F tonality is seemingly predominant as the subordinate key throughout the B and C groups, its status is only gradually revealed. The initial appearance of F major at the beginning of the B group is rather precarious thanks to the paratactic connection between the A and B groups without proper dominant preparation (it is rather prepared by V⁷/Gb at the end of the A group, which can be reinterpreted as a common-tone augmented sixth proceeding to F major). The remaining part of the B group, as discussed in Chapter 5, expresses F major's gradual predominance in an implicit way through the double-neighbour tonal motion (F–Gb–E–F) supported by the variation process. Although this leads towards a cadence at the end of the B group, the unexpected minor mode hinders the sensation of settlement, which motivates the still unstable C group. The three-key tactic with a competition between the home key's relative major (III) and its dominant

(V) keys is also implicitly present since Bruckner incorporates A major within the C group. However, the conclusion of the exposition is ultimately arranged by a plagal cadence in F major.

Table 7.7. Symphony No. 3 in D minor, first movement, exposition

Bar	1	31	69	103	115	141	151	173	197	221
Formal function	Exposition [beginning]									
	A [beginning] <i>establishment</i>			B [middle/end] <i>confrontation</i>				C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		
	A1	A2	TR	B1	B1'	B1''	B1'''	C1	C1'	C2
Tonal plot	d → d:HC → V/Gb F Gb → E F f:PAC → (C) → E → A → F:PC									

In his later symphonies, Bruckner arranges the inter-thematic tonal plot in close association with the dissonant counter-structure, which first appears in the movement's opening. The three-key scheme of the exposition from IV/1 (Table 7.8) can be explained in this context. As Horton (2004, 119–125) points out, the semitonal motion of B \flat –C \flat –B \flat (motive X) in the opening theme (Example 7.1(a)) foregrounds a dissonant counter-structure that affects later large-scale events. The entire tonal design of the exposition (Example 7.1(b)) accommodates a transposed version of this element in a concealed way by setting up D \flat major (bVII) for the B group to suspend the resolution of V/V at the end of the A group until the advent of the C group. In other words, the concealed presence of the dissonant counter-structure now contributes to the expression of the inter-thematic-level instability in the context of the gradual tonal journey from E \flat to B \flat .

Table 7.8. Symphony No. 4 in E \flat major, first movement, exposition

Bar	1	51	75	83	97	107	119	173
Formal function	Exposition [beginning]							
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i>				C [end] <i>confrontation</i> <i>re-establishment (A2)</i> <i>elaboration</i> <i>delimitation</i>	
	A1	TR(A2)	B1	B1'	B1''	B1'''⇒TR	C1	codetta
Tonal plot	E \flat → E \flat :PAC → V/B \flat D \flat G \flat E (A) V/D \flat → B \flat :PAC → D \flat → B \flat :PAC							

Example 7.1(a). Symphony No. 4 in Eb major, motive x in the opening theme



Example 7.1(b). Symphony No. 4 in Eb major, first movement, tonal plan of the exposition

bar: 1	67	75	107	115	119
A group		B group		C group	

I	V/V	bVII	V/bVII	V/V	V
			(IV)		

As already discussed in Chapters 3 and 6, the introduction and the first theme in V/1 present a hexatonic implication around Bb, Gb and D. This chromatic tension later creates major instability at the inter-thematic level to threaten the diatonic tonal motion from I to V in the exposition (Table 7.9). This is evident in the tonal motion of F–Db (a transposition of Bb–Gb) between the B and C groups and the insertion of D minor (with its dominant A) in the middle of the C group. Similarly, in the exposition of VI/1 (Table 7.10), the chromatic counter-structure formed around C and F, first introduced in the continuation of the opening thematic unit (A1, see Chapter 3, Example 3.1), turns out to engage in the later higher-level tonal and formal events. As Example 7.2 illustrates, this C/F element is revisited as the A group’s goal harmony (V⁷/F reinterpreted as Ger.⁺⁶) to create a paratactic connection to the B group, and then comes to the fore at the

inter-thematic level as the primary source of instability threatening the diatonic A–E relation through the entrance of the C group (bar 101) in C major, before it is resolved into E again at the end of the exposition.⁹⁷

Table 7.9. Symphony No. 5 in B \flat major, first movement, exposition

Bar	55	79	101	109	117	131	145	161	169	185	221
Formal function	Exposition [beginning]										
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i> <i>elaboration</i>					C [end] <i>confrontation</i> <i>elaboration</i> <i>(connection)</i> <i>(delimitation)</i>			
	A1	A1'	B1	B1'	B1''	B2	B1'''	C1	C1'	C2	codetta
Tonal plot	(B \flat) \rightarrow b \flat \rightarrow B \flat f \rightarrow V/Ab g \rightarrow D \flat f \rightarrow V/f D \flat e \flat \rightarrow d \rightarrow (G \flat) \rightarrow F:PAC										

Table 7.10. Symphony No. 6 in A major, first movement, exposition

Bar	1	25	49	57	69	81	101	111	129	137
Formal function	Exposition [beginning]									
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i> <i>elaboration</i>				C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>			
	A1	A1	B1	B1	B2	B1	C1	C2	C3	codetta
Tonal plot	A \rightarrow V ⁷ /F e D E V/E C \rightarrow (V/G) C \rightarrow E:PC									

Example 7.2. Symphony No. 6 in A major, first movement, tonal plan of the exposition

bar: 1 43 49 81 85 101 133 137

A group B group C group

A:I (Ger.+6) c:i I V \flat VI IV^{add6} I

(V:PC)

⁹⁷ As Example 7.2 demonstrates, the attained E major (bar 137) through the plagal cadence can be seen as a delayed response to the dominant of E in bar 85. However, the connection between them should be understood as associative rather prolongational. In the graph, the dotted beam is used to indicate such an associative relationship.

In VII/1, as discussed in Chapter 3, the first theme's dissonant element is embodied as the pull to the home key's dominant (B) rather than a chromatic element. As illustrated in Table 7.11, many important formal junctures after that articulate the growing significance of the B tonality. After the A group ends on V of the home key, the B group's variation process subtly explores the potential of B as the local tonic amid the overall floating tonalities by initiating three thematic statements (B1, B1" and B1''') on that chord until B major finally attains its dominant (V/B) at the end of the B group. Although the C group's entrance undermines the tonic resolution of V/B by unexpectedly introducing the minor mode, it eventually succeeds in producing a cadence in B major in the end. In sum, the entire exposition is occupied by the tonal process of gradually revealing the predominance of the B tonality, which is prefigured in the opening theme.

Table 7.11. Symphony No. 7 in E major, first movement, exposition

Bar	1	25	51	59	69	77	89	104	123	131	153
Formal function	Exposition [beginning]										
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i>						C [end] <i>confrontation</i> <i>delimitation</i>		
	A1	A1'	B1	B1'	B1"	B1'''	B1''''	TR	C1	C2	codetta
Tonal plot	E→V/B	E→V/E	(B) → (c#) → (B) → C	a	(B) → V/B	b	D → B:IAC				

In the cases of VIII/1 (Table 7.12) and IX/1 (Table 7.13), which are both in a minor key, Bruckner again implements a tonal plot based on the competition between the home key's relative major and its dominant. Still, the dissonant counter-structure is also influential to some extent. In the former case, the Db counter-structure (creating a semitonal tension against the home key, C minor) planted in the first theme may affect the way the C group launches itself in the unusual Eb minor (ii of Db) rather than Eb major. After the B group's G major, this Eb minor arises as an additional challenge to overcome in the tonal path towards Eb major. In the latter case, as discussed in Chapter 6, the Cb dissonant element (against D minor), foreshadowed in the first theme, also creates a meaningful tonal challenge (along with its dominant, Gb) to the C group's tonal path from D minor to F major.

Table 7.12. Symphony No. 8 in C minor, first movement, exposition

Bar	1	23	51	73	97	139
Formal function	Exposition [beginning]					
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i>		C [end] <i>confrontation</i> <i>delimitation</i>	
	A1	A1'	B1	B1'	C1	codetta
Tonal plot	(c) → c → (V/Db) G → G:HC → eb:HC eb → Eb:IAC(?)					

Table 7.13. Symphony No. 9 in D minor, first movement, exposition

Bar	1	63	77	97	115	131	153	167	179	191	199	219
Formal function	Exposition [beginning]											
	A [beginning] <i>establishment</i>			B [middle] <i>confrontation</i>				C [end] <i>confrontation</i> <i>delimitation</i>				
	A1	A2	TR	B1	B1'	B1''	TR	C1	C1'	C2	C2'	codetta
Tonal plot	d → d D:PAC A E A (V/A) d (Cb) Gb → F:PC											

Summary and Conclusion

As mentioned in Chapter 1, Bruckner's firm reliance on his three-theme conception has often been misunderstood as something like a static mould, which can hinder dynamic sonata process because of its alleged discontinuity. This idea still implicitly persists even in some modern studies. Darcy's (1997) formulation of the 'alienated secondary theme' is representative in this regard: by detaching the second theme from the main sonata discourse, he still betrays such a view of emphasising discontinuity between the three theme groups.

However, upon close examination of Bruckner's sonata expositions, it becomes evident that the composer sought to achieve a sense of ceaseless motion and temporal continuity across the discrete three-theme groupings. This is analogous to the intra-thematic syntax promoting a continuous temporal sense across the relatively discrete grouping structure, which was discussed in Chapter 3. Although it may seem that 'Bruckner provides little formal transitional music to bridge the sectional divides' (Korstvedt 2004, 175), it is essential to recognise that a significant portion of the exposition itself acts as a massive tonal transition

involving inter-thematic-level instability apart from the very beginning and end by arranging a continuous tonal journey from the main key to the final settlement of the subordinate key, in which the three theme groups almost equally partake. This tonal process often responds to the dissonant elements prefigured in the first theme, thus reflecting the organic interactions between the different formal levels. In this context, the clear articulation of three theme groups with the redistribution of the inter-thematic beginning, middle and end may help listeners navigate through this unceasing tonal process by providing strong rhetorical signposts with vivid temporal experiences. The second theme's role is particularly noteworthy in this temporal discourse. The process that transforms paratactic stasis into hypotactic teleology in the second theme group, as explored in Chapter 5, is closely aligned with the exposition's purposeful tonal arrangement by involving the gradual revelation of the subordinate key's tonal status, which is only provisionally attained at the start of the B group. In sum, Bruckner's formal strategies for sonata exposition demonstrate his efforts to seek formal renovations that can accommodate the late-Romantic idioms such as frequent modulations, cadential scarcity, formal expansion and thematic individuality in the logical sonata process.

Chapter 8: Development

Bruckner's treatments of the sonata development basically do not diverge too much from Classical practices. In response to the tonal journey from the tonic to the dominant key (or the relative major in the case of minor key symphonies), the whole development is inevitably directed towards a return journey to the home key while at the same time fulfilling the development's traditional role of generating instability at the large-scale level. In addition, Bruckner's developments largely express three meaningful temporal phases of beginning–middle–end, generally corresponding to the Classical subdivision (as understood by form-functional theory) into a pre-core, core and retransition. This large-scale temporal cycle may have its component units, which express a meaningful temporal cycle of beginning–middle–end at a lower formal level, something equivalent to expositional thematic units. While the large-scale beginning part usually comprises one pre-core unit, the large-scale middle usually (but not always) has more units that can be identified as multiple cores or any other equivalent units. The development's end may be expressed as an exclusive retransition unit, but it can also be expressed as the ending part of the preceding core unit. The first part of this chapter focuses on formal events occurring within these component units in each large-scale temporal phase.

For higher-level formal events, which are largely equivalent to the inter-thematic events in the exposition, thematic aspects arise as an important issue. Bruckner meticulously pays attention to this issue to achieve the development's organic relation with other large sections. Notably, Bruckner rarely introduces new thematic material in the development, almost exclusively relying on the already established thematic elements in the exposition. In addition, the composer often shows a tendency to re-use those different materials as maximally as possible. Given the sharp contrasts between the expositional themes (especially between the A and B themes), a key challenge here would be how to arrange different thematic materials so effectively that they together shape the development section as a coherent whole without losing too much momentum, in conjunction with achieving the development's main tasks such as expressing a return tonal journey and a large-scale instability. All these aspects are intricately connected with the development's form-functional

implications. The second part of this chapter addresses the issues by investigating how the development's entire design is conceived in individual cases.

Lower-level Formal Syntax in the Development

(1) Beginning (Pre-core)

It is worth noting that the expression of beginning–middle–end over the development might be perceived differently from what happens in the exposition. This is especially true for the beginning function. While the expositional beginning (the A theme) is considered fundamentally essential, providing a tonal and thematic reference for later events, the developmental beginning is preliminary and relatively non-essential in comparison with what follows, namely, the core. The pre-core's tonal motion can be heard as relatively stable and predictable when compared to the subsequent core since it may still have a tonal connection to the end of the exposition, but it is still tonally unstable in the usual sense.

The typical way Bruckner begins the development is well described by Darcy (1997): according to him, 'the development typically is initiated by a rather static "dormant zone", usually based upon the material that closed the exposition. This procedure suggests a return to the earlier state of preparation, and a quiet, gentle nurturing of the thematic seed' (263). This statement implies two important formal functions for the beginning part of the Brucknerian development: 'connection' and 'preparation'. Although Darcy deals with this practice in the context of what he terms the 'rebirth paradigm', one of Bruckner's sonata deformations, it actually conforms well to the conventional pre-core, which Caplin (2013) describes as 'a passage of lesser emotional intensity than the core' (273), 'generally more relaxed yet also somewhat hesitant and anticipatory' (440).

Example 8.1. Symphony No. 1 in C minor, first movement, bars 104–123

Development
pre-core [beginning]
connection, preparation

presentation [beginning]
establishment

continuation [middle/end]
elaboration, dissolution

(End of C group)

E♭: PAC g: iv⁶ Ger.⁺⁶ V V⁵/VI V³/IV (ct.^{♭7})

(V⁶/C V⁵/A♭ V²/G♭ vii³/E♭ V³/G♭ V⁷/E♭ C^{♭6} G: V²)

core

V³/IV IV¹/₂ ii iv⁶ vii⁷ I

The connection and preparation functions can be expressed in various ways. A common way of connection is to continue to use the material from the C group. I/1 exemplifies such a case: as Example 8.1 demonstrates, the pre-core begins with a two-bar basic idea, which is actually derived sequentially from the cadential idea at the end of the C group. II/1 provides a more elaborate case, in which the development is opened by a short passage that initially seems like a codetta of the C group, but soon turns out to be a kind of ‘lead-in’ module smoothly connecting the end of the exposition with the ensuing pre-core proper.⁹⁸ As shown in Example 8.2, the passage in bars 178–179, at first glance, appears to be a post-cadential codetta prolonging the tonic while repeating the material used with the cadence in bars 175–176. However, this two-bar idea is

⁹⁸ Although Caplin (2013, 86) uses the term ‘lead-in’ for a brief melodic link between two adjacent formal groupings, I use it in a broader sense to refer to an introductory unit still expressing a sense of connection to a preceding formal unit.

soon sequenced and dissolved in the next bars while modulating to F minor, in which the pre-core proper launches itself (from bar 185 with its own thematic intro). This pre-core unit has more self-contained completeness than the preceding lead-in, employing a core-like model–sequence–fragmentation procedure on a small scale but still with a calm dynamic. The use of this two-part structure (‘lead-in’ + pre-core proper) for the developmental opening can also be found in III/1 and V/1. When the exposition ends with a proper codetta, the development often starts with the codetta material. This case is found in VI/1 (shown in Example 8.4 below): the pre-core features the descending and ascending triplet figure originating from the C-group codetta (in bars 145–146 and 155–158). It is worth noting that this figure continues to be used as the major accompaniment pattern in the subsequent core, further facilitating continuity across the exposition’s end, the development’s beginning and its middle. There are some cases in which the pre-core more directly prefigures the main thematic material of the ensuing core. In the above case from I/1 (Example 8.1), the continuation (bars 111–120) features C2 material, which also constitutes the model (bars 121–123) in the subsequent core. II/1’s pre-core (partly shown in Example 8.2) and VI/1’s pre-core also anticipate the core with the same material derived from the A theme. As illustrated in Example 8.3, the case from 00/1 demonstrates an intriguing thematic process promoting a smooth and gradual connection from the expositional end to the developmental core. The material used in a passage (bars 195–202) at the end of the C-group codetta is modified to produce a retransition passage (bars 203–208) to the exposition repeat; it is then taken by the development’s pre-core (bars 209–220) for a model–sequence–fragmentation procedure. And it soon turns out that this thematic idea is affiliated to the main material of the subsequent core (initiating from bar 221), which is based on the A theme.

Example 8.2. Symphony No. 2 in C minor, first movement, bars 173–188

Development

(End of the C group)

codetta(?) => lead-in [before-the-beginning]
connection

173 (Str.) *pp* (Fl., Ob.)
(c.l.) *pp* (Bsn.) *f*
(D.b.) *p* *dim.* *pp* *pp* (Ob., Cl.) *pp* (Fl., Ob., Cl.) *p*
E♭: PAC *pp* (Hn.) *p* *pp* (Bsn.) *pp* V/IV IV
f: III

pre-core [beginning]
preparation

182 *mf* *dim.* *mf* *dim.* *pp* (Vla.) *pp* (Vc., D.b.) *pp*
f: [V] i⁶ i

Example 8.3. ‘Study’ Symphony in F minor, first movement, bars 195–224 (main melody lines)

(codetta)

195 (Ob.) *p* A♭: I

(retransition to the expositional repeat)

203 (Cl.) *p* *cresc.* f: V

Development
pre-core [beginning]
connection, preparation

209 *mf* *pp* (Vc.)
b♭: V e♭: V vii^{o4}₂

fragmentation

217 *p* *dimin.* *p* (Vc., D.b.) *leggiero*
e♭: vii^{o4}₃/ii vii^{o7}₂/V e: vii^{o4}₂ V i

model sequence

In terms of tonality, the pre-core usually arranges a modulation, which smoothly connects the end of the exposition to the core, thereby providing a tonal preparation for the initiating key of the core. At times, this procedure implies an association with a large-scale tonal process originating in the exposition. As shown in Example 8.4 below, VI/1's pre-core begins in C# minor (the relative minor of E major, the key the C group ends with) and modulates to F# minor, which eventually turns into a major harmony with an added seventh in bar 158 so that B minor or major is expected as the next tonal path, potentially evoking the logic of the circle of fifths. However, through a deceptive resolution, the core begins in G major (in first inversion) in bar 159, producing higher unpredictability. With this, the pre-core effectively reactivates the C#/F# dissonant element (which is planted in the opening A theme, as discussed in Chapter 3) as a higher-level tonal event, which works as a springboard to call for further tonal unrest in the rest of the development. In V/1, the development begins with a 'lead-in' passage (bars 225–236) that modulates from F major to E major before the pre-core proper (which is actually a transposed reprise of the introduction section) enters in C major in bar 237. As Lai (2018, 358) asserts, with the G \flat , which is emphasised in bars 203–208 in the exposition, the F–E motion at the beginning of the development presents part of the important motive of G \flat –F–E–F prefigured in the introduction section and the A theme (as discussed in Chapter 3), while its completion is suspended until the end of the development, in which a passage standing on a long F pedal appears as the retransition.

The pre-core's internal phrase structure is hard to generalise. However, in many cases, Bruckner's pre-core more or less promotes sentential formal logic, which may be suitable to express a sense of subtle growth, thereby connecting smoothly the exposition's end with the development's beginning. This may involve the tentative establishment of an idea originating from the C group and its following dissolution, as found in I/1 (shown in Example 8.1), 0/1 and IV/1. In the case of VI/1 (Example 8.4), the sentential implication is expressed in a peculiar way. After the two-bar intro, a four-bar phrase (bars 147–150) appears as the beginning portion of the pre-core, featuring the A theme's falling-fourth motive. This phrase is constructed as a mini-sentence in a similar way to the B theme in the exposition (not to mention the pizzicato

accompaniment pattern directly referring to that theme), with an establishment of a one-bar idea and its re-establishment followed by a two-bar dissolution phase, although it lacks a clear ending function (see especially bars 49–52 for comparison, as demonstrated in Chapter 5, Example 5.3). The lack of an ending in the mini-sentence summons another four-bar phrase that can be termed a ‘continuation’ as it generates a strong sense of middle with a higher-level dissolution function with a 10–10 linear intervallic pattern. Its short-term goal turns out to be a four-bar standing-on-the-tonic phrase (bars 155–158) residing in F# minor, occupying the end of the pre-core. Some pre-cores, such as the aforementioned case from 00/1 (Example 8.3 above), feature a core-like model–sequence technique with a sense of growing instability but still lower in intensity than cores. The pre-cores from II/1 and III/1 can also be categorised under this type.

Example 8.4. Symphony No. 6, first movement, development, pre-core, bars 145–159

pre-core
intro [before-the-beginning]
preparation

mini-sentence [beginning]
establishment

establishment *re-establishment* *dissolution, elaboration*

continuation [middle]
dissolution, elaboration

standing on the tonic [end]
stabilisation

core

Chord symbols: cE: i, VII⁶, III, VI⁷, ii⁶, v⁷, i, iv⁷, V⁷, fE: V⁷

Dynamics: pp, mf, cresc., p, mf

Tempo: pizz., arco

(2) Middle (Core and Other Component Units)

The middle part of the development is undoubtedly the most unstable part in the entire sonata form, as it is supposed to express the middle of the middle. A core's conventional design (as Caplin defines it) featuring model–sequence and fragmentation procedures followed by a half cadence/dominant arrival (or any other kinds of equivalent endings) could be construed in its temporal implication as something similar to a sentential theme. As Mark Richards (2011) rightly points out, 'the structure [of the core] outlines a sentential idea: the model and sequence form the basic ideas, the fragmentation defines the continuation, and the cadence or dominant arrival forms the ending' (208). From now on, I will use the term 'core unit' when I emphasise the unitary status of a core having a relevant beginning–middle–end cycle generated by this typical core procedure: the model and its sequences occupy the beginning portion of a core unit (although having a stronger sense of middle as well, compared to a normal sentential theme) with their establishment and elaboration functions; the subsequent part, featuring fragmentation technique, could reasonably be called a 'continuation', expressing the middle in that it operates dissolution and elaboration functions (in relation to the prior beginning part) in the exact same way as that of an expositional sentence. It is worth noting, however, that Caplin (2013), although acknowledging the similarity between the sentence and core, warns that unlike a sentence, a core's 'opening model and its sequence together do not prolong the tonic harmony of a key' (277), thus precluding identification of it as a genuine presentation. Despite the fact that such a requirement of tonic prolongation for the presentation is not valid any more for a Brucknerian expositional theme (as discussed in Chapter 3), if we compare a core unit with its referential expositional theme, we can still easily find that the former is far more loose, unstable and unpredictable, especially with its divergent, outward modulations (as opposed to the expositional theme's more local and internal modulations), the characteristics that make the existence of a core unit so essential for expressing the large-scale instability of the development section.

The core (bars 159–194) from VI/1 (Table 8.1) displays a typical Brucknerian form-functional construction to express the developmental middle. It has a broad eight-bar model (further divisible into a four-bar basic idea and its repetition), bearing a combination of an inverted variant of the A-theme idea and

the triplet accompaniment pattern ongoing from the C group. This model and its subsequent two sequences launch a rapid tonal motion across G major, A minor, C major and Db major with a large-scale parallel six-three progression. The subsequent ‘continuation’ part (bars 183–194) of the core unit operates the obvious dissolution function, realised mostly through fragmentation that reduces the prior 4+4 bar pattern to a 2+2 one (with a loose inversion of motive a3 of the opening theme; see Example 3.1 in Chapter 3) in the first four bars (bars 183–186), then to a 1+1 in the next two bars (bars 187–188), after which only the dotted-rhythmic element remains and repeats until bar 194 in a standing on the dominant in eb, which marks the ending of the core unit. It is also notable that this continuation part has its own sentential outlook in that bars 183–186 establish a basic idea and its repetition on i⁶ in Db before the remaining bars directly involve fragmentation of that idea while modulating to V/eb. These form-functional devices strongly express acceleration in a teleological sense, producing greater momentum and instability. Although this core unit approximately expresses a sentential logic, its comparison with the A theme (A1, bars 1–24; see Example 3.1 in Chapter 3), the material of which the core is based on, reveals the core’s distinctive traits. The larger size of the model, which itself accommodates a basic idea and its repetition, is a defining factor for a core, which may later permit extensive fragmentation. The tonal motion from G major to Eb minor encompassing the entire core facilitates more marked tonal instability and unpredictability, in contrast with A1, which, although expressing a certain degree of instability both in its presentation and continuation, more or less remains within the boundary of A major.

Table 8.1. Symphony No. 6 in A major, first movement, developmental core

Bar	159	163	167	171	175	179	183	185	187	
Formal function	Core									
	Model [beginning] <i>establishment</i>		Sequence 1 [beginning 2] <i>elaboration</i> <i>re-establishment</i>		Sequence 2 [beginning 3] <i>elaboration</i> <i>re-establishment</i>		'Continuation' (nested sentence?) [middle/end] <i>dissolution</i> <i>elaboration</i>			
	b.i. <i>establishment</i>	b.i. <i>re-establishment</i> <i>elaboration</i>	b.i. <i>establishment</i>	b.i. <i>re-establishment</i> <i>elaboration</i>	b.i. <i>establishment</i>	b.i. <i>re-establishment</i> <i>elaboration</i>	(new) b.i. <i>establishment</i> <i>delimitation</i>	b.i. <i>re-establishment</i> <i>elaboration</i>	s.o.d. <i>dissolution</i> <i>stabilisation</i>	
Tonal plot	G: I ⁶ - V ⁴ ₂	I ⁶ a: V ⁴ ₃	i ⁶ - ii ⁶ - vii ^{o4} ₃	i ⁶ - C: V ⁴ ₃	I ⁶ - V ⁴ ₂	I ⁶ - Db: V ⁴ ₂	I ⁶	- ⁶ ₅	eb: V ^{9_11_13}	

The core's unpredictable and loose nature permits various modifications of expected procedures, which could demonstrate a tendency towards truncation/omission or towards the opposite direction involving expansion/extension. A core unit (bars 169–192) from VIII/1 just consists of a ten-bar model (featuring an inverted variant of the A theme's head motive and its augmented restatement) and its sequence (extended by four bars), without a distinct continuation part with fragmentation. However, this incomplete core unit is soon followed, as a kind of compensation, by another core unit (from bar 193, employing the B-theme motive) that has a lengthy continuation (from bar 201) with dynamic intensification leading to a climax. A solemn chorale passage (bars 305–333) from IV/1's development can also be viewed as a core unit that lacks a clear continuation part: it has an eight-bar model based on a modified A1-theme motive, which promotes a modulation from A \flat to C, followed by its sequence with a modulation from B \flat to D, before the next four bars, instead of fragmentation procedures, devise a plagal cadence through a progression of I–bVI–bIII–iv–I in G major. This model–sequence–cadence structure is followed by the post-cadential tonic prolongation repeating the head motive of A1, complementing the lack of a clear fragmentation phase in the previous phrase. The development of III/1 has a core unit (bars 300–342) that has an expansive model of sixteen bars in size. This enlarged span allows the model to have its own model (four bars)–sequence (four bars)–fragmentation (eight bars) procedure internally. However, when this large model is sequenced, it is truncated as an eight-bar phrase (without internal fragmentation) before the lengthy continuation (from bar 325) follows.

V/1's vast core unit (bars 267–345; Table 8.2) supplies the most extreme case of a tendency towards expansion and extension. This enlarged span allows a lengthy and bountiful contrapuntal working-out of the A-theme material, which ultimately leads to a developmental climax in a teleological sense. The core's model part (bars 267–278) is expanded to such a degree that it has its own internal four-bar model (bars 267–270), its sequence (bars 271–274) and fragmentation (bars 275–278). As Example 8.5 shows, this part presents the A theme's inverted variant (a') combined with its original (but still varied) version in a stretto-like way ('a' in Example 8.5). The ensuing large sequence part (bars 279–302) is even more expansive and complex.

Although its initiating internal model (bars 279–282) features only a pair of stretto presentations of a', the ensuing internal sequence 1 (bars 283–286) becomes more complex with the newly introduced motive b (derived from the introduction's fanfare figure in bars 15–17) and its inversion b', and the ongoing stretto imitation of both a and a'. The next four bars (sequence 2, bars 287–290) are even more complicated, since motive 'a' gets imitated in stretto every half bar.⁹⁹ The subsequent fragmentation passage (bars 291–296) soon dissolves the four-bar grouping into one bar while encompassing hexatonically related harmonic fields (first, the eastern hexatonic c, Ab, E, C and then the eastern hexatonic F, Db, A; see Table 8.2), thus creating extreme instability. The following standing on the dominant (in D minor) temporarily calms down the pace but soon leads to the two large-scale continuation phrases having different patterns of fragmentation procedure. As shown in Example 8.5, from bar 303, continuation 1 (having its own nested core-like outlook with a two-bar model) continues the contrapuntal work with the fragmented versions of motive a/a' and b/b' while introducing new figures which move by leaps (c and c'). In continuation 2 (bars 315–324), only b/b' fragments and figure c/c' remains, leading to a triple-forte climax (bar 319), which forcefully emanates the energy accumulated so far through the lengthy thematic working-out. To de-intensify this and facilitate the sense of heading towards the end, Bruckner chooses an extraordinary way of employing the episodic interpolation (bars 325–337) of the B theme (also structured as a model and sequence but interrupted by the tutti passage originated from the previous continuation 2) and the reprise of the introductory chorale (bars 338–346), which prepares for the onset of the subsequent retransition (from bar 347) with a long standing on V/Bb.

⁹⁹ Interestingly, this internal sequence 2 transiently suggests a slight recapitulatory effect in that it presents the A theme's basic idea (motive a) in Bb minor on the downbeat. It is notable that bars 287–296 (sequence 2 and fragmentation) can be heard as a reference to what happens in bars 79–88 (A1') in the exposition.

Table 8.2. Symphony No. 5 in Bb major, first movement, developmental core

Bar	267	271	275	279	283	287	291	297
Formal function	Core							
	Model [beginning] <i>establishment</i>			Sequence [beginning 2] <i>elaboration</i> <i>dissolution</i>				
	model <i>establishment</i>	sequence <i>re-establishment</i> <i>elaboration</i>	frag. <i>dissolution</i> <i>elaboration</i>	model <i>establishment</i>	sequence <i>re-establishment</i> <i>elaboration</i>	sequence 2 <i>re-establishment</i> <i>elaboration</i>	frag. <i>re-establishment</i> <i>dissolution</i>	s.o.d. <i>stabilisation</i> <i>connection</i>
Tonal plot	(ab) → V/Gb → V/Ab (B) → V/A → bb: V ⁷ i VI V/V V (c) (Ab) (E) (C) (F)(Db)(A) V ⁷ /d							

Bar	303	305	307	315	325	329	331	338
Formal function	Core (cont.)							
	continuation 1 [middle 1] <i>dissolution</i> <i>elaboration</i>			continuation 2 [middle 2] <i>dissolution</i> <i>elaboration</i>	‘interpolation’ (of B theme material) [middle 3] <i>confrontation</i>			‘chorale’ [end] <i>confrontation</i> <i>preparation</i>
	model <i>establishment</i>	sequence <i>re-establishment</i> <i>elaboration</i>	frag. <i>dissolution</i> <i>elaboration</i>		model <i>re-establishment</i> <i>elaboration</i>	(tutti interruption) <i>confrontation</i>	sequence <i>re-establishment</i> <i>elaboration</i>	
Tonal plot	Bb	Gb	→	(F ⁶)	→ vii ^{o4-3} /d	d	→ Db	(F) a → V/g B → V/ab (Eb)

Example 8.5 Symphony No. 5, first movement, thematic working-out in the developmental core

Model

(small model) (sequence) (fragmentation)

Sequence

(small model) (sequence 1) (sequence 2)

Continuation 1 **Continuation 2**

At times in the middle phase of Brucknerian developments, the composer employs a unit having a beginning part that does not display a broad model–sequence pattern as found in a usual core unit, but rather resembles a sentential presentation in its relative stability. In most cases, this kind of unit still has the core-like dynamic and restless character, which is usually expressed by its lengthy continuation parts with fragmentation and divergent modulations. For such a case, I will use the term ‘core substitute (unit)’. Table 8.3 illustrates the form-functional design of a core-substitute unit (bars 233–274) found in the development from II/1. This unit appears just after a more typical core unit (bars 203–232), which creates the development’s first climax (bars 221–231; especially marked by the trumpet motto theme in bars 230–231) before the rapid dissipation in the next bar. Then, a four-bar basic idea (bars 233–236) of the core substitute (featuring an augmented variant of the C1 theme’s ostinato motive) arises *p* and is repeated on the stable Gb tonic prolongation. The ensuing continuation 1 (bars 241–258) launches a fragmentation process with a two-bar idea (bars 241–242, with the original form of the C-theme ostinato and its counter-melody played by the bassoon). This idea and its varied repetition (bars 243–244) together create a four-bar model in retrospect, which are immediately sequenced in Ab minor (bars 245–248) before being further fragmented from bar 249. Eventually, this continuation phrase conveys the belated sense of instability by embodying a core-like pattern of model–sequence–fragmentation at a local level while leading to the development’s second climax (bars 257–258, again with the trumpet motto) along with the modulation to A minor. The following continuation 2 (bars 259–274) employs a different fragmentation pattern by combining the C-theme ostinato with the A-theme-material variant while giving rise to a mild degree of dynamic elevation but soon dissipating before closing quietly with *vii*^{o7}/*c* in bars 272–275.

Table 8.3. Symphony No. 2 in C minor, first movement, developmental core substitute

Bar	233	237	241	245	249	259
Formal function	Core substitute					
	presentation [beginning] <i>establishment</i>		continuation 1 [middle] <i>dissolution</i> <i>elaboration</i>			continuation 2 [middle/end] <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>
	b.i. <i>establishment</i>	b.i. <i>re-establishment</i> <i>elaboration</i>	model <i>establishment</i>	sequence <i>re-establishment</i> <i>elaboration</i>	fragmentation <i>dissolution</i> <i>elaboration</i>	
Tonal plot	Gb		ab		Cb (b) →	a → vii ^{o7} /c

Some of Bruckner's developments include in their middle a thematic unit that is far from a core in its rhetoric. They usually betray an episodic character between the two core (or core-substitute) units, thus expressing relative stability in the midst of relentless uncertainty. Paradoxically, this approach makes the development more richly unpredictable and complex, but partly in coordination with the development's rotational implication (the issue addressed later in this chapter). The development of 0/I includes such an episodic unit (bars 150–170), which comes after the B-theme-based core-substitute unit (bars 95–149). This episode virtually restates the chorale passage (C2) from the C group a semitone higher (so beginning in Gb instead of F) but with some modifications in its continuation (bars 154–157), which leads to an IAC in C at its end before it is reconfirmed by the subsequent two-bar codetta module (repeating the V–I progression in bars 158–159). This is followed by a peculiar passage (bars 160–170) characterised by a calm string texture with semibreves (but with the A-theme tremolo figures on the woodwind). Harmonically, this passage can be understood as another continuation having a descending fifth sequence and a 10–5 linear intervallic pattern, which generates a modulation to A major and another IAC in that key (also followed by a two-bar post-cadential module in bars 169–170). Despite a degree of tonal commotion, this passage expresses in its rhetoric a pastoral-like serenity in anticipation of the subsequent stormy core (from bar 171) based on the A-theme material. A similar case can be found in the development of VII/1, which also has a C-theme-based

sentential unit (bars 219–232) interpolated between two large cores based on the B and C themes, respectively.

(3) End (Retransition)

In explaining the end of the sonata development, Caplin (1998, 157) distinguishes between a simple standing on the dominant occurring as part of a core and an exclusive retransition passage that devises a modulation back to the home key to prepare for the upcoming recapitulation. This distinction is generally valid for understanding the various ways Bruckner chooses to express the development's end (namely, expressing delimitation and preparation functions).

The cases from his early symphonies tend to conform to the first type, in which the modulation back to the home key already occurs in the continuation of the development's last core unit, leading to a dominant arrival in the home key. This is followed by a passage that can be identified as a standing on the dominant, although Bruckner introduces it in the context of a cadential 6/4 rather than post-cadentially and resolves this 6/4 into a 5/3 at the end of the passage before the recapitulation enters. As a result, this passage expresses the core's end as well as the end of the development at the same time. Bruckner uses this type in his first three symphonies. In the case of 00/1, the standing on the dominant (bars 325–363) enters with the core's dominant arrival (preceded by a German sixth) in the home key (F minor) in the form of a 6/4. This passage features the fragmented A-theme material while retaining the dominant pedal (C) for a long time (except for the temporary tonicisation of D in bars 339–346, which functions as a neighbour note around the Cs). The resolution of 6/4 into 5/3 only occurs in bar 358, after which the A-theme head motive is played in imitation by all voices, including the bass, so that the root motion of V–i into the recapitulation is undermined. The cases from I/1 and 0/1 can also be understood in the same category, but in the latter case, the final dominant pedal in the home key only occupies four bars (bars 210–213) with the succinct progress of 6/4 into 5/3, thus emphasising its cadential function.

In his three subsequent symphonies, Bruckner attempts a different way of expressing the developmental end by employing a self-contained retransition unit clearly separated from the previous core

unit. Interestingly, in each case, this unit summons the B-theme material probably because its rhetorical calmness is suitable to cool down the agitation expressed by the previous core (or core-substitute) units and thereby effortlessly expresses the development's end. In II/1, the retransition (bars 275–317) projects a core-like broad model (in E) and two sequences (in Ab and Db) with the B material but in a reserved dynamic before a lengthy standing on the dominant (bars 296–317) in the home key (C minor) enters. III/1's retransition (bars 405–430), which also features the inverted B-theme motive in its original F major, has the sentential presentation (bars 405–408) followed by two continuation phrases (bars 409–414 and 415–430), the latter of which uses the A-theme head motive from II/1, with which to arrange a modulation to the home key (D minor) before closing with an HC in that key. In IV/1, the retransition (bars 333–364) derives its main material from the counter-melody of the B theme (cf. the viola melody in bars 75–79) and reconstructs it as an eight-bar model (in G) and its sequence (in Ab) followed by the continuation, which eventually generates an HC in Eb before the recapitulation.

In V/1, Bruckner employs again a standing on the dominant to express the retransitional function, but in this case, this passage is clearly separated from the preceding core. As discussed above, the vast core unit from V/I ends with the reprise of the introduction's chorale, which closes with V/ab (bar 345). Then, after a short pause, the retransition (bars 346–362) enters on the F pedal (mediated by Eb), retrospectively interpreting the previous Eb chord as IV/Bb. This retransition with V/Bb clearly references in its material and rhetoric the last part of the introduction (bars 31–52) with the standing on the wrong dominant (V/d) so that it conveys a sense of resolution by preparing the A recapitulation with the correct dominant this time.

The rest of the cases in the later symphonies are intertwined with the issue of the undermined developmental end (causing a blurred expression of the development–recapitulation border), which will be discussed in more detail in the next section. In VI/1, the retransition is expressed as an off-tonic false recapitulation, which pre-emptively reprises the A theme in a wrong key (in Eb, then in Ab in its continuation) before the true A-theme recapitulation enters in the correct home key (A major) but with the

lack of preparation of a root-position V. In VII/1, it is hard to find a clear retransition passage since the recapitulation's entrance (bar 281) in E major is achieved without any dominant preparation. This is rather realised sequentially by responding to the last four bars (bars 277–280) of the preceding core unit (bars 249–280), which anticipates the A theme's basic idea on $V^{\frac{6}{5}}/Ab$. It could be possible to argue that this core unit implicitly contains the retransitional function, but still, we have to accept the fact that the preparation function is expressed only thematically, not tonally. The end of VIII/1's development is arguably expressed by the end of the core, namely the crescendo passage (bars 217–224) that features a peculiar harmony combining $eb7$ with the F pedal in the bass. This prepares for the off-tonic initiation of the recapitulation section (from bar 225), which is inevitable due to the A theme's intrinsic tonal ambiguity. In IX/1, where the development ends can be contested since there are two candidates for the onset of the recapitulation section, bar 333 and bar 421, which means that the retransitional ending function can be located either in the core-substitute unit from bars 303–332 or in the standing on the dominant passage from bars 399–420.¹⁰⁰

The Entire Design of the Development: Individual Cases

(1) Thematic Concerns (Rotational Aspects) and Some Other Factors

As stated earlier, the issue of thematic arrangements is essential to understanding the large-scale logic of Bruckner's developments. He basically re-uses the thematic materials already established in the exposition. The development's different main component units (such as the core, core substitute and episode in the middle phase, but sometimes including the retransition) may use different thematic materials. As a result, these units may express similar formal functions to those of expositional themes, such as establishment and confrontation (of A and B themes, respectively, for instance) at the inter-thematic level, but *within* the developmental context, thus to a far lesser extent than those functions in the exposition, while elaboration and dissolution functions are still the primary functions of most developmental units. This aspect leads to a consideration of the Sonata-Theoretical concept of the rotational process, which arises 'by recycling one or more times – with appropriate alterations and adjustments – a referential thematic pattern established as an

¹⁰⁰ As will be discussed soon in the next section, my analysis is inclined to take the second reading.

ordered succession' (Hepokoski and Darcy 2006, 611). Bruckner's developments often betray this rotational implication with a strong reference to the exposition, although the degree of such an implication varies, depending on the case, as will be discussed soon.

There are two more factors we may consider to grasp the development's large-scale formal logic: the tonal and dynamic issues. The developmental tonal journey is roughly articulated by the three temporal phases we have discussed so far: the beginning may express relatively stable tonality still not far away from the exposition's subordinate key; the middle phase may explore further keys with stronger instability; the end may directly involve a modulation returning to the home key. During this course, one or two keys may arise as locally important keys, what Caplin (1998, 140) calls 'development keys', which could serve as additional signposts to navigate a development's tonal plan. A development key is often articulated somewhere in the middle phase, especially between the two core (or core-substitute) units. Another signpost could be what Ratner (1980) terms the 'point of furthest remove', which divides the development's tonal motion into the outward movement from the key at the end of the exposition, and the reversed movement from that to devise the return to the home key.¹⁰¹ The point of the furthest key area often coincides with that of the development key, but it could be expressed in an unarticulated way amid the fast-modulating phases of a core.

In terms of dynamics, Brucknerian developments can be categorised into two types. The first type has climaxes (usually two) somewhere in the middle, usually expressed by core (substitute) units. This scheme brings a quiet ending to the development so that the recapitulation section launches calmly in a similar way to the exposition. In the second type, the development as a whole can be seen as occupied by a large-scale dynamic intensification marking the structural apex at the point of the A-theme recapitulation. Interestingly, the individual cases of Brucknerian developments show a growing inclination to the second type over the first. This dynamic issue is also closely related to other factors such as the character of thematic materials, the overall tonal plan, and the rotational process.

¹⁰¹ See Ratner (1980), 225–226.

(2) From 00/1 to II/1: The Two-core Scheme as a Norm

One important feature the developments from Bruckner's early symphonies share is that they have two different core (or core-substitute) units. Each core may form its own dynamic climax, thus creating two dynamic waves, although the latter one is often more harmonically adventurous and dynamically pronounced (so contributing to the sense of an overarching wave where its highpoint is expressed by the second core's climax). The end of the first core and/or the beginning of the second core may emphasise a local key, which could be identified as a development key (although not always cadentially articulated). The A-theme material is usually most importantly treated, but it seems that Bruckner gradually becomes conscious of the development's potential as another thematic rotation referencing the expositional events. The case from 00/1 (Table 8.4) already shows a prototypical model for the two-core scheme. After the pre-core, which thematically connects the end of the exposition to the development as already discussed earlier, core 1 mainly elaborates the A theme's basic idea, often with modulations based on ascending fifths, and creates a mild climax in its continuation 1 (bars 236–251), the end of which emphasises a B \flat sonority (as V/E \flat).

Continuation 2 (bars 252–271) first appears to prolong this harmony but ends up leading to core 2's B \flat minor initiation (after passing through V/c and a linear ascending bass progression from G to D \flat). Core 2's developmental process primarily relies on the A theme's contrasting idea (with the minim rhythmic pattern) but along with the ongoing quaver figures originated from the basic idea in the accompaniment, eventually producing the biggest climax in the development (at bar 300) in its continuation. This accompanies a regional tonicisation of G \flat and e \flat , the furthest local keys from the main key, but V/G \flat in bars 318–324 (with a seventh from bar 322) ultimately generates a German sixth of the home key before proceeding to the standing on the dominant in F minor (from bar 325).

Table 8.4. 'Study Symphony' in F minor, first movement, development

Bar	209	221	236	252	272	284	325
Thematic material	C codetta (\Rightarrow A)	A (mainly b.i.)			A (mainly c.i.)		
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>	Core 1 [middle 1] <i>elaboration</i> <i>dissolution</i> <i>(establishment)</i>			Core 2 [middle 2/end] <i>elaboration</i> <i>dissolution</i> <i>(confrontation)</i> <i>delimitation</i>		
	model-seq.-frag.	model-seq.	cont.1	cont.2	model-seq.	cont.	s.o.d.
Tonal plot	V/bb V/eb \rightarrow c g \rightarrow (F-C-g-d) V/Eb \rightarrow bb (vii ^{o7} /f) \rightarrow (Gb) F: Ger ⁺⁶ -V						

Table 8.5. Symphony No. 1 in C minor, first movement, development

Bars	107	111	121	127	144	156	167	181
Thematic material	C2		C2		A (+C2 fragment)			
Formal functions	Pre-core [beginning] <i>preparation</i> <i>connection</i>		Core (sub.?) 1 [middle 1] <i>elaboration</i> <i>dissolution</i> <i>(establishment)</i>		Core 2 [middle 2/end] <i>elaboration</i> <i>dissolution</i> <i>(confrontation)</i> <i>delimitation</i>			
	pres.	cont.	model-seq. (or pres.?)	cont.	model-seq.(frag.)	cont.1	cont.2	s.o.d.
Tonal plot	g \rightarrow G Eb \rightarrow I ⁶ ₄ /F# B \rightarrow b \rightarrow (f) \rightarrow c: Ger ⁺⁶ -V							

For the development of I/1 (Table 8.5), Bruckner retains the two-core scheme but now employs the C-theme material (originated from the trombone theme of the C2 unit in the exposition) both for the pre-core and core 1 before the A-based core 2. This arrangement, rather than strongly projecting the development section as another thematic rotation, may have the effect of making the first half of the development somehow sound like a continuing sequel of the C group in the exposition, whereas the latter half is thematically more attached to the A group in the recapitulation. This impression is corroborated by the way core 1 enters. Because of its short model–sequence module (bars 121–126) introducing C2’s marked trombone theme with similarly explosive dynamics (from bar 94), core 1 is possibly more strongly associated with the establishment function than that of a usual core, with an effect of the trombone theme’s quasi-restatement rather than its development, not to mention the fact that the underlying local keys here are G and Eb, still close to the home key. Therefore, it could be possible to label this unit a ‘core substitute’, which has a more presentational beginning. The ensuing core 1’s continuation then promotes modulations to distant keys before core 2 begins in F# minor (but on 6/4) – a potential development key and the furthest key at the same time. This core 2 reaches a double-forte climax with its continuation 2 (from bar 167) before gradually seeking to arrange a tonal return, which is confirmed by the dominant arrival in the home key at bar 181.

The development of 0/1 (Table 8.6) demonstrates a new attempt to employ the B-theme material, thus with a stronger rotational implication (albeit not in the original thematic order). Aligned with this purpose, Bruckner retains the two-core scheme (based on the B and A themes, respectively) but interpolates an episodic unit based on C-group material in its middle, thus maximising a pool of thematic materials for the development. After the development begins with a pre-core (bars 88–95) thematically affiliated to the C group’s close, a lengthy unit based on a loose elaboration of the B theme, potentially functioning as the first core, enters from bar 95. This unit can be more precisely categorised as a core substitute – designated as ‘core (sub.) 1’ in Table 8.6 – in that its beginning phase resembles a loose sentential presentation (a basic idea in bars 95–99; its varied and extended repetition in bars 100–107) rather than showing a clear model–sequence pattern. Adhering to the B theme’s original character, this unit begins in a more pre-core-like reserved

dynamic but nonetheless with a regular, moderately forward-moving accompaniment pattern. This unit's core-like character, associated with dramatic intensity, is gradually confirmed through its continuation phrases, eventually resulting in the first developmental climax (from bar 135) in continuation 3. The following sudden interruption of the C2-based episode from bar 150 unexpectedly delineates Gb major (the furthest key from the home key) temporarily but ends up with establishing cadences (IACs) in two development keys, C major and A major.¹⁰² Similarly to the case of I/1, the A-based core 2 (more typically shaped in terms of both rhetoric and phrase structure) follows from bar 171 to end the development, bringing an even more pronounced developmental climax before the calm ending with an HC in the home key.

The development from II/1 (Table 8.7) is also firmly based on the two-core scheme: core 1 (bars 203–232) with the A-theme material; core (substitute) 2 (bars 233–274) with the C-theme material. On top of that, as already discussed, Bruckner adds a self-standing retransition unit based on the B theme, effectively articulating the development's calm end while revisiting the B theme's thematic contrast in a freshly new context. This form-functional arrangement neatly expresses a development's typical tonal trajectory. The pre-core and core 1 are occupied by an outward tonal movement from Eb to the furthest key, Gb. After Gb major is emphasised as a development key at the point between the two core units, the remaining parts devise a tonal movement in the reversed direction: as an attempt to return to the home key, core 2's continuation phrases devise a modulation to A minor, then the arrival at vii^{o7}/c, although the B-based model–sequence module of the retransition (bars 275–317) temporarily defers the expected arrival at V/C, thus further dramatising the tonal return.

¹⁰² These keys are previously foreshadowed several times in this movement. C major is emphasised in the end of the A group, and A major is the key initiating the B group. It is also worth noticing that the presentation of core (substitute) 1 starts in A minor and ends in C major (with a temporary cadential articulation in bars 107–108).

Table 8.6. Symphony 'Nullte' in D minor, first movement, development

Bars	88	91	95	108	125	135	150	154	160	171	185	210
Thematic material	C2 cadential		B			C2 (+A)			A			
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>		Core (sub.) 1 [middle 1] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i>			Episode [middle 2] <i>confrontation</i>			Core 2 [middle 3/end] <i>dissolution</i> <i>elaboration</i> <i>(confrontation)</i> <i>delimitation</i>			
	pres. (dissolving)	cont.	pres.?	cont.1	cont.2	cont.3	pres.	cont.1 (+codetta)	cont.2 (+codetta)	model-seq.	cont.	cad.
Tonal plot	V/F →		a (d) C (g) (c)			→ vii ^{o7} /a (F#) →			C:IAC → A:IAC		a e (C) → V/d (HC)	

Table 8.7. Symphony No. 2 in C minor, first movement, development

Bars	178	185	196	203	221	233	241	259	275	296
Thematic material	C	A		A		C			B	
Formal functions	Lead-in [before-the- beginning] <i>connection</i>	Pre-core [beginning] <i>preparation</i>		Core 1 [middle 1] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i>		Core (sub.) 2 [middle 2] <i>dissolution</i> <i>elaboration</i> <i>(confrontation)</i>			RT <i>dissolution</i> <i>elaboration</i> <i>(confrontation)</i> <i>delimitation</i>	
		model-seq.(1, 2)	cad.	model-seq.(1, 2, 3)	cont.	pres.	cont.1	cont.2	model-seq.(1, 2)	s.o.d.
Tonal plot	Eb →	f →		ab:HC Ab →		f → Gb →			(a) → vii ^{o7} /c (E Ab Db) → V/C	

(3) From III/1 to V/1: Development with Premature Recapitulatory Elements

In the development of III/1 (Table 8.8), the two-core scheme still seems to work but with substantial modifications, which contribute to the full realisation of the development's potential as another thematic rotation strongly referencing the exposition's formal events, albeit in a far freer way. It is especially notable that the double-theme arrangement of the A theme (as A1–A2) in the exposition generates some important ramifications for the design of the development. After the lead-in passage (still affiliated with the C group's closing), the pre-core (bars 271–299) recalls the movement's opening with a similar accompaniment pattern (of the string tremolo) and the inverted variant of A1's principal motive. The subsequent core 1 unit (bars 300–343) employs A2's falling motive and develops it in the context of teleological intensification. The ensuing core-substitute unit (functioning as core 2; bars 343–404) emerges as its telos by forcefully presenting the A1 theme in its prime form in the cadentially articulated home key, D minor. Connected to each other teleologically, these two core units create a single large dynamic wave (with its high point entering at the beginning of core 2) rather than two separate waves (each with its own climax), as in the previous cases. This arrangement certainly relates to what happens in the expositional A group, although the relationship between A1 and A2 is reversed here. The core (substitute) 2 unit's false recapitulation effect resulting from the emphatic statement of A1 in the home key has been criticised by some commentators, such as Robert Simpson (1992, 70), who see this occurrence as a formal flaw which damages the sonata process. However, as Horton (2004) notes, this practice actually reflects Bruckner's purposeful attempt of 'recovering a definitive form and assertive tonic identity' (185) for the A1 theme, which, in the exposition, is not only treated as preparatory but also given an ambiguous harmonic setting caused by the blurring of I and V. Despite this recapitulatory implication, core 2's continuations do their typical developmental work involving fragmentation and outward modulations with still unceasing intensity, which is, however, interrupted by the unexpected appearance of the A2 material (bar 388). When this interruption occurs for the second time (from bar 398), core 2 soon reaches its end on V/F at bar 404. In a way similar to the case of II/1, Bruckner then employs a retransition unit based on the B-theme material (in its inverted form), which enters in F major, the same key used for the B theme in the exposition, so further evoking a strong reference to the expositional

events. This retransition unit, after passing through the fragmented citation of II/1's A-theme motive in continuation 2, ultimately devises the development's calm end with an HC in D minor (bars 427–430). The resulting arrangement of the A-based units (with the eventual emphasis on D minor) followed by the B-based unit (beginning in F major) for the entire development strengthens its rotational implication, along with a marked false-recapitulation effect, which results in an idiosyncratic tonal trajectory with the twofold return journey: first from the initial F major to the central D minor; then from D minor to F major again before returning to the final HC in D minor.

Table 8.8. Symphony No. 3 in D minor, first movement, development

Bar	259	271	300	325	343	363	375	405	409	415			
Thematic material	C	A1	A2	A1 (+A2 interrupted in cont.2)			B (+ A from II/1)						
Formal function	Lead-in [before-the- beginning] <i>connection</i>	Pre-core [beginning] <i>preparation</i>	Core 1 [middle] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i> <i>(preparation)</i>			Core (sub.) 2 (False recap.) [middle] <i>establishment</i> <i>dissolution</i> <i>elaboration</i>			RT [end] <i>confrontation</i> <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>				
												model-seq.	model (nested core)-seq.(trunc.)
Tonal plot	F	f	→ g	→ a	→ V/d	g	→ V/c	→ d:PAC (elided)	→ (E)	→ V/F	F	→	d:HC

Table 8.9. Symphony No. 4 in Eb major, first movement, development

Bar	193	209	217	237	253	261	269	289	297	305	321	325	333	349
Thematic material	C (codetta)+A1		A1 (+A2)		A2			A1		A1			B	
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>		Core 1 [middle] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i> <i>(preparation)</i>		Core (sub.) 2 [middle] <i>establishment</i> <i>dissolution</i> <i>elaboration</i>			TR? [middle] <i>connection</i>		Core 3? (Chorale) [middle] <i>elaboration</i> <i>(re-establishment)</i>			RT [end] <i>confrontation</i> <i>dissolution</i> <i>elaboration</i> <i>delimitation</i>	
Tonal plot	Bb	→ V/f	F	A	→ eb:PAC (elided)	→ Bb	Db	Ab	→ G:PC	→ V/Eb				

The rotational and false-recapitulatory elements are also influential for the design of IV/1's development (Table 8.9) but to a lesser degree. In a similar way to the case of III/1, IV/1's core 1 (bars 217–253) and core (substitute) 2 (bars 253–288) are also connected to each other in a teleological way although here keeping the original order of the A-theme materials, A1 followed by A2. Core 2's forceful statement of A2 occurs with the elided PAC in Eb minor, the parallel minor of the home key, thus again producing a slight recapitulatory effect, but at a far mitigated level compared to the corresponding case from III/1 because of the use of the minor mode. As Horton (2004) points out, the choice of Eb minor can be associated with the movement's dissonant counter-structure involving the semitonal neighbour-note motion (such as the Bb–Cb–Bb motive in the opening theme; see Chapter 7, Example 7.1) since 'the minor modality brings both the tonic and the counter-structure within the ambit of the same Stufe' (125). As with the case of III/1, so here core 2 also operates its typical developmental process through its continuations until ultimately modulating to Bb major. This tonal arrangement also freshly revisits the expositional events around the A2 material. The minor mode presentation of A2 on the home Stufe reminds us of its thematic function (as another main theme), while the modulation to the dominant key reconfirms A2's transitional function. After the climactic event over core 2, Bruckner attempts a somewhat unusual path before proceeding to the more easily expected B-based retransition. Drawn by an A1-based transitional unit (bars 289–304) modulating from Bb to Db, another core unit (core 3; bars 305–332) based on the elaboration of A1's head motive enters in Ab. As discussed above, this unit undergoes further modulations through a model–sequence procedure before eventually producing a plagal cadence in G major (which can be seen as another development key after Eb minor).¹⁰³ This core expresses a moderate climax with a double-forte dynamic, but employing a chorale-like topic that contrasts the stormy rhetoric of the previous core 2, thus still contributing to an impression of a single large wave over the entire development, which reaches its peak in core 2 before the gradual dissipation in the subsequent units. In addition to providing smooth dynamic dissipation (compared to the relatively

¹⁰³ This plagal cadence can be seen as foreshadowing the final plagal cadence closing this movement, which will be discussed in the next chapter.

more abrupt de-intensification in III/1), this chorale brings a kind of thematic balance: after the preparatory expression of A1 and the more definitive presentation of the minor-mode version of A2, A1 emerges again as the important thematic element (so suggesting a re-establishment function within the development with the slight implication of a ternary structure consisting of A1–A2–A1) elevated almost in the manner of a quasi-apotheosis, while retaining the harmonically unstable nature typical of a core unit.

While still retaining some traits of the previous cases, V/1's development (Table 8.10) marks some changes in Bruckner's formal strategy. First, the two-core scheme is now discarded in favour of a single core unit, although this unit is designed in a complex way as discussed above. With this, it seems first that the entire development delineates a single large dynamic wave (as in the previous two cases) which reaches its highpoints somewhere in the core unit before dissipating towards a calm developmental ending. However, Bruckner subverts this expectation at the very end by arranging the retransition unit on the dynamic intensification teleologically directed towards the recapitulation (from bar 363). The false-recapitulatory effect is still traceable but only in a vestigial way: it is only slightly implied by the statement of the A theme's main idea in Bb minor (see 179, n.99 in this chapter along with Table 8.2). The B-theme interruption from bar 325 further affirms that a rotational implication can still be observed in this case, but it is treated only as part of the lengthy core unit (see Table 8.2 above) rather than given an exclusive unit. In other words, the A–B thematic rotation is only suggested in a limited way in comparison with the cases of III/1 and IV/1.

The issue of rotation is further complicated by the presence of the introduction section and its impact on the development. As several commentators identify (Horton 2004, 131; Lai 2018, 357, for instance), V/1's introduction has four materials sharply distinctive from each other in their textures and topics: Ia (bars 1–14), characterised by the calm string playing with the pizzicato bass; Ib (bars 15–17, 23–25), with the arpeggiated fanfare figure; Ic (bars 18–22, 26–30), with the brass chorale; and Id (bars 31–50), re-featuring the chorale melody (with its diminished form) in the context of a transitional standing on the dominant (of D minor). The development features these materials in a dispersed way, Ia and Ib in its earlier part, and Ic and Id in its later part almost towards its end. The resultant 'framing' effect, according to Darcy

(1997), evokes the pattern of what he calls a ‘double rotation variant’ for the whole movement, in which the development (with the reprise of the introduction) and the recapitulation (with the reprise of the A, B and C themes) together create the second rotation. Elaborating on this interpretation, Lai (2018) suggests what he terms ‘the enclosure paradigm’ to explain V/1’s case (357–358): the development proper (the core unit in my reading, as demonstrated in Table 8.10) based on the A and B materials is enclosed by the introduction elements, which arise as the main event initiating the second rotation. Although these readings touch upon Bruckner’s growing tendency towards a delineation of the development and recapitulation as one continuous space, a strategy that becomes more obvious in his later symphonies, it should not be overlooked that the introduction materials are flawlessly integrated into the development’s typical form-functional arrangement. As Table 8.10 displays, Ia and Ib materials constitute the pre-core, effectively expressing its typical preparation function with their intrinsically anticipatory rhetoric and the discontinuous motion (not to mention the A-theme idea’s occasional interpolations prefiguring its active part in the core) before the advent of the more full-fledged developmental process realised through the core’s complex thematic working-out (as discussed above). Likewise, Ic (‘chorale’) is employed to draw the lengthy core’s calm ending, and Id itself constitutes a retransition unit for the developmental end, which promotes a teleological intensification on the ‘correct’ dominant, V/bb (in reference to V/d in the corresponding passage of the introduction), before the recapitulation. In this sense, at least within the development section, the core unit (mainly based on the A-theme material but complemented by the B-theme interpolation) plays a central role in expressing the developmental instability in contrapuntal texture, whereas the introduction materials are primarily used to express preparatory and ending functions. In that sense, the development of V/1 manifests more clearly the Classical three-part outline than in the cases of III/1 and IV/1.

Table 8.10. Symphony No. 5 in Bb major, first movement, development

Bars	225	237	247	267	303	315	325	338	347
Thematic material	C	I (Ia, Ib+A)		A (+Ib)			B	I (Ic)	I (Id)
Formal functions	Lead-in [before-the- beginning] <i>connection</i>	Pre-core [beginning] <i>preparation</i>		Core [middle] <i>dissolution</i> <i>elaboration</i>					RT [end] <i>stabilisation</i> <i>delimitation</i> <i>preparation</i>
		(part 1: Ia-Ib-A)	(part 2: Ia-Ib-A)	model-seq.	cont.1	cont.2	'interpolation'	'chorale'	s.o.d.
Tonal plot	F → E C (f) (c) (Eb) → bb → (ab) → bb → V/d (Bb) → (f) → d → V/g B → V/ab V/bb								

(4) From VI/1 to IX/1: Weakened Developmental End and the Issue of Development–

Recapitulation Elision

In later symphonies, a new Brucknerian formal strategy emerges: the tendency towards blurring the point between the development and recapitulation, which could be problematised in light of the conventional notion of the double return (of the A theme and the home key) for the recapitulation. However, as Caplin (2013, 485; 504–510) points out, this notion is not absolute even in Classical practices since there are a number of Classical instances that evoke sonata form's origin in binary dance forms by not observing the double return (with the omission of the main theme's opening or the subdominant recapitulation of the main theme, for instance). In a similar vein, Lai (2018) interprets Bruckner's later tendency towards undermining the double return with development–recapitulation elision as the outcome of the composer's inventive appropriation of the traditional bipartite view of sonata form. As will be revealed soon, this strategy productively engages in the tonal narratives unique to the individual cases.

In VI/1's development (Table 8.11), this approach is combined with the idea of connecting the development to the recapitulation teleologically, which was already practised (but on a more limited scale) in the case of V/1. Indeed, the entire development can be grasped as being built on a large-scale crescendo, with the relatively concise formal organisation employing a single core unit. Accordingly, the rotational implication is undermined in favour of relentless momentum: the A-theme material generally prevails, although some other thematic elements are adopted as minor elements (for instance, the ongoing triplet accompaniment pattern originated from the C group's codetta). This arrangement is closely associated with the overall tonal trajectory, which aims at a teleological rendition of tonal return, although this is eventually compromised. Example 8.6(a) provides the overview of the large-scale bass progression in the development. In comparison with its hypothetical counterpart (Example 8.6(b)), where the unchallenged circle of fifths safely leads to the articulation of V–I in the tonic key, the actual progression Bruckner chose suggests a kind of distorted teleology, which results in reaching distant keys by slightly diverging from the expected path. After articulating C#–F# in the pre-core, the bass B appears only as $\hat{3}$ of G major through a deceptive resolution. After passing through the aforementioned parallel six–three progression in the core, it is then deflected to Bb

(V/eb). From this, a new circle of fifths is activated so as to produce Eb–Ab (instead of E–A) through the retransition unit (bars 195–208), realised by an off-tonic false recapitulation of the A theme, which takes place in Eb major (the furthest key from the home key) before modulating to Ab major. This practice strategically blurs the boundary between the development and recapitulation sections by weakening the retransition’s ending function and pre-empting the onset of the true A-theme recapitulation in A major (from bar 209) such that the expected double return of the tonic key and the A theme is separately realised. The way A major enters further supports this sense of overlap as the tonal return is only achieved evasively without unequivocal support of a structural dominant in root position: the introduction of V⁶ of A major in bar 207 simply transforms the root of the preceding Ab minor into the leading note of A major (G \sharp). The resulting effect here is the urgent correction of the tonal diversion. The aforementioned large-scale dynamic intensification with the emphasis on the unceasing momentum is probably employed to compensate for this compromised tonal return, with an uninterrupted teleological drive towards the point of the A-theme reprise in the home key.¹⁰⁴ With this, the development section effectively articulates the drama by pointing towards the A-theme return in the home key, although it also leaves room for the recapitulation section to launch another tonal journey, which further strives for a more definite tonal return.

Table 8.11. Symphony No. 6 in A major, first movement, development

Bars	146	151	155	159	183	195	203
Thematic material	A, B (+C codetta)			A (inv.) (+ C codetta)		A	
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>			Core [middle] <i>dissolution</i> <i>elaboration</i>		RT (False recap.) [end] <i>establishment</i> <i>elaboration</i> <i>preparation</i> <i>(delimitation)</i>	
	mini-sentence	cont.	standing on i	model-seq. (1,2)	cont.	pres.	cont.
Tonal plot	c \sharp	→	f \sharp	→	(G ⁶) (a ⁶) (C ⁶) Db ⁶	→ V/eb Eb	Ab → V ⁶ /A

¹⁰⁴ It is notable that this large-scale dynamic wave, after having its apex at bar 209, dissipates from bar 223 and marks its end at bar 244 that also corresponds to the end of the A group in the recapitulation. That this wave lasts until the end of the A group in the recapitulation also contributes to the blurred boundary between the development and recapitulation.

Example 8.6(a). Bruckner, Symphony No. 6, first movement, development, bass diagram

bar: 140 155 159 189 195 203 207 209

iii vi (*VII⁶) V[#]V ^bV ^bI (V⁶) I

Example 8.6(b). A hypothetical bass diagram for the development

iii vi ii V I
(or V/V)

At first glance, the development of VII/1 (Table 8.12) shares some traits with the cases from earlier symphonies. The two-core scheme is clearly visible here again, especially resembling the development of 0/I in its design of the middle part in that an episodic interpolation of the C theme appears between the two cores based on the B theme and A theme, respectively. In addition, given that the pre-core presents the A-theme material's inversion (albeit interrupted twice by the lingering C-theme fragment, which reflects the residual image from the end of the exposition) in a quite stable manner,¹⁰⁵ a strong rotational implication arises from the resultant arrangement of the A-based pre-core, the subsequent B-based core (also employing the inverted version of the B-theme material) and the C-based episode. This 'second rotation' responds to the exposition's tonal process in an interesting way. As we have discussed in the previous chapters, the growing pull from E to B occupies the whole exposition until reaching the B tonality's final predominance at the end. The development's new thematic rotation shows an attempt to undo this tonal process: the pre-core's A-theme inversion begins in B major but modulates to D minor; core 1's B-theme inversion launches itself in that key, but through further modulations, it produces a strongly articulated HC (bars 209–210) in the home

¹⁰⁵ Quite unusually for Brucknerian developments, this pre-core has a periodic design with the antecedent (bars 165–172) with a medial HC in B minor and the failed consequent (bars 173–185) eventually modulating to produce another HC in D minor. The C-theme fragment first appears in bars 171–172, employed as a means of prolonging the attained V/b, then again in bars 179–180, this time as part of the modulating procedure ultimately leading to D minor.

key, E major;¹⁰⁶ finally, the C theme appears in E minor (bar 219), although it soon veers away, eventually leading to G major (implying V/c). However, the ensuing core 2 (beginning in C minor) casts a challenge on this attempted tonal return process as well as the development's large-scale form-functional design. As Darcy (1997, 267) points out, this A-based core 2 exemplifies a 'non-congruent triple rotation' by marking a premature onset of rotation 3, which contributes to the sense of development–recapitulation overlap. Its initial tutti passage (bars 233–248) employing the inverted A theme in a minor mode seems to function as a prefix (in itself sentential) to the following core proper (bars 249–280), which launches the usual model–sequence procedure (with the A-theme material in its prime form) still in C minor, then modulates to D minor, but ultimately leads to the area of Ab major in the continuation. The music manages to reach the A-theme recapitulation in the home key from bar 281, but as discussed earlier, this tonal return is achieved in an unarticulated way since V^6_5/Ab , the final chord of core 2, is directly connected to the recapitulation's entrance in E major, lacking its proper dominant preparation. This situation may be comparable to the case of VI/1 (along with the A theme's pre-emptive statement in C minor), but the complete lack of the dominant sonority just before the recapitulation even more radically blurs the sense of the developmental ending (so no clear delimitation function here), which is only perceived retrospectively when we already enter the recapitulation's domain. In addition, unlike the case of VI/1 where the recapitulation arrives with the dynamic apex, VII/1's recapitulation is also dynamically unarticulated as it appears in the context of a de-intensifying process after the preceding core's dynamic highpoint. Core 2's peculiar pathway to the recapitulation may also reflect Bruckner's strategic tonal plan for the entire movement. This part's strong emphasis on C minor (a remote key from both E and B) disturbs the process of tonal return at first glance, but it ultimately offers an alternative way to attain the E major tonic by reaching it from C minor via Ab, thus evoking a hexatonic implication. Using this 'hexatonic route', Bruckner tries to dispel the impact of the B tonality (set as the tonal

¹⁰⁶ The attained V here is further prolonged by a suffix passage (bars 211–218) featuring the chromatic ascending bass line from B to F# (with the final chord V^4_3/e).

antithesis of E in the exposition) in the return journey to the home key, the process which continues in the recapitulation section.

VIII/1's development (Table 8.13) also mobilises a rotational implication with the two-core scheme. After the pre-core's residing on the A-theme fragment (the material also used at the end of the C group), the subsequent core 1 and core 2 freshly revisit the A and B theme, respectively, both in their inversions. However, like the case of VI/1, they are arranged in the context of a large-scale intensification directed towards the point of the A-theme recapitulation, which, by synthesising the ongoing B-theme motive with itself, strengthens the development's teleological nature. Along with this process, the development's tonal trajectory also tactically responds to the tonal problem introduced in the exposition, which involves the dissonant element around D \flat . The tonal movement from E \flat to D \flat across the pre-core and core 1, and the resulting emergence of D \flat as a development key at the end of core 1, can be explained in this context. The rest of the development is accordingly expected to delineate a journey of tonal return from this D \flat to C, along with the sense of resolution. Indeed, core 2, starting in G \flat major (the dominant key of D \flat), first tries to approach C minor via the minor-third relation (thus with an octatonic implication): it passes through A major and minor before tentatively securing V/c (bar 205) in the continuation phrase. However, the music soon veers away again from it to re-enter the uncertain tonal area related to D \flat : after passing through the implied E \flat minor, it arrives at a quasi-standing-on-the-dominant passage (bars 217–224) featuring a teleological crescendo on the pedal bass, F, which supports the e \flat ⁷ sonority in the upper voices. This ambiguous harmony can potentially be heard as V¹³/b \flat , although the lack of a leading note undermines that sensation to some extent.

Table 8.12. Symphony No. 7 in E major, first movement, development

Bar	165	173	185	197	203	219	223	233	249	269
Thematic material	A (inv.) +C		B (inv.)			C		A		
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>		Core 1 [middle 1] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i>			Episode [middle 2] <i>confrontation</i>		Core 2 [middle 3/(end)] <i>dissolution</i> <i>elaboration</i> <i>(confrontation)</i> <i>(preparation)</i>		
	ant.	cons. (failed)	model-seq. (1,2)	cont.	cad. (+suffix)	pres.	cont. (+codetta)	prefix (sentential)	model-seq.	cont.
Tonal plot	b → V ⁶ /d d e f# b → E V/E → V ⁴ ₃ /e e → G (V/c?) c → d → (Ab) (d) → V ⁶ ₅ /Ab									

Table 8.13. Symphony No. 8 in C major, first movement, development

Bar	153	161	169	179	193	201	217
Thematic material	A		A (inv.)		B (inv.)		
Formal function	Pre-core [beginning] <i>preparation</i> <i>connection</i>		Core 1 (trunc.) [middle 1] <i>dissolution</i> <i>elaboration</i> <i>(establishment)</i>		Core 2 [middle 2/(end)] <i>dissolution</i> <i>elaboration</i> <i>preparation</i> <i>(confrontation)</i> <i>(delimitation)</i>		
	pres.	cont.	model	seq. (+suffix)	model– seq.	cont.	s.o.d.(?)
Tonal plot	Eb → F → Ab		→ Db		Gb	A → V/c	→ V/bb(?)

It is in this Bb minor context that the A theme (in combination with the B-theme material) forcefully enters from bar 225 as the outcome of the development's intensification. The resulting issue of development–recapitulation complication around this event needs detailed explanation. As Example 8.7 shows, the correspondence between this A-theme reprise (Example 8.7(b)) and the A theme's initial appearance in the exposition (Example 8.7(a)) is clearly visible, thus supporting the sensation that the recapitulation potentially begins here. The passage from bar 225 reprises the A theme's basic idea at the same pitch with a full harmonisation, which partially clarifies the harmonic ambiguity in the expositional version by contextualising the tonal tension generated by the Db element in the motion from Bb minor to C major, especially marked with the Phrygian resolution of the Db chord to C major in bars 228–229.¹⁰⁷ This explains retrospectively the tonal event at the development's end, which defers the usually expected tonal return in favour of residing in the influence of the Db element (mainly with an emphasis on V of Bb minor), so weakening the sense of the developmental ending. The A theme's intrinsic nature involving the off-tonic initiation and the Db dissonance forces the delineation of such a tonal return in its reprise rather than in the development proper.

¹⁰⁷ It is notable that in the 1887 version, Bruckner used the same progression as the final cadence to close the movement. This indicates that Bruckner originally intended this progression to be the fundamental means of resolving the A theme's dissonant elements.

Example 8.7(a). Symphony No. 8 in C minor, first movement, A theme (exposition), bars 1–6

Allegro moderato

pp

(c: iv?) *ppp* (bs: V?) (D♭: I? or c: ♭II?) c: i

Example 8.7(b). Symphony No. 8 in C minor, first movement, A theme (recapitulation), bars 225–230

ff

bs: V¹³? VI⁷ V⁷ III C: I

However, as Korstvedt (2000) notes, the abrupt resolution of D♭ to C here certainly ‘feels provisional’ (34), promoting further procedures still with developmental rhetoric. As Table 8.14 illustrates, it turns out that the A-theme statement in bars 225–234 creates a model which is subsequently sequenced twice: the first sequence (bars 235–244) occurs a minor third higher so that it concludes with E♭; then the second sequence (bars 245–249) occurs a further major third higher, leading to i^6_4 in C minor at bar 249, which Horton (2017a) identifies as the point of the ‘tonal reprise’, while the preceding model (from bar 225) is interpreted as the ‘thematic reprise’ (186). This core-like model–sequence procedure is followed by continuation 1, quietly expressing fragmentation of both A-theme and B-theme materials while residing on i^6_4 (so evoking a standing on the dominant but without the expression of V^5_3). The ensuing continuation 2, temporarily passing through G♭, leads to a climactic unison with the A-theme fragment, which attempts to consolidate the C minor region by expressing a vii^{o7}/c (bars 271–274), but ends up closing with the sequentially derived vii^{o7}/f (bars 275–278). The resulting model–sequence–continuation structure suggests the

syntax of a developmental core unit, but the tonal motion across the model–sequence part, emphasising gradationally C major, Eb major and C minor (in a 6/4 position on the bass G), also conveys a sense of the deliberately arranged tonal return (albeit in a limited way) through the arpeggiated expression of C–Eb–G, rather than the centrifugal outward tonal motion in a usual developmental core. Thus, it could be possible to see this unit in bars 225–278 as a recapitulatory thematic unit (labelled ‘A1’ in Table 8.13) retaining some developmental residues. The following unit (bars 279–310) restating the A theme (accordingly labelled A1’, reflecting Bruckner’s usual restatement scheme for the A theme), as Horton (*ibid.*) points out, restores the original form-functional syntax of the A theme, so formulating the ‘syntactic reprise’ with the presentation (bars 279–290, including the four-bar thematic intro) followed by two continuations (bars 291–298 and 299–304 respectively). However, this A1’ again destabilises the C tonality that the preceding A1 tentatively tries to secure by hovering first over the Db area (on its V) before moving to V/b. Continuation 2 eventually leads to a cadential progression in C minor, which, however, results in a deceptive cadence on eb⁶ (bar 303). This is followed by an additional continuation (continuation 3), which serves as a transitional passage with the final German sixth chord of Eb, quietly connecting to the B group.¹⁰⁸ Although having elements far more irregular than usual, the large structure of A1–A1’ sufficiently delineates a theme group with a meaningful temporal cycle: A1 as the beginning tries to secure the key of C, although still in the developmental influence, which closely interacts with the A theme’s inherent dissonant element; A1’ can be seen as expressing the middle by destabilising the hard-won home key again, and the end by attempting to reconfirm the home key cadentially, although it is not successful, which reserves the full sense of tonal return for the later events. In sum, the A theme’s innate unstable feature contributes to the formal phenomenon that the developmental end and the recapitulation’s beginning have creatively collided, thus shaping an A-theme recapitulation with the residual developmental features, in which the expected elements of a reprise are presented asynchronously.

¹⁰⁸ As with the case of VI/1, this point at the end of A1’ also marks the end of a large-scale dynamic wave (with its apex in bars 225–249) that has continued since the beginning of the development, thus further contributing to the sense of a development–recapitulation elision.

Table 8.13. Symphony No. 8 in C major, first movement, A-theme recapitulation

Bars	225	235	245	249	262	279	291	299	305	
Formal function	A group (Recapitulation)									
	A1 [beginning] <i>establishment</i> <i>(dissolution)</i> <i>(elaboration)</i>					A1' [middle/(end)] <i>re-establishment</i> <i>dissolution</i> <i>elaboration</i> <i>(delimitation)</i>				
	model [beginning] <i>establishment</i>	sequence [beginning 2] <i>re-establishment</i> <i>elaboration</i>	sequence [beginning 3] <i>re-establishment</i> <i>elaboration</i>	cont.1 [middle] <i>dissolution</i> <i>elaboration</i>	cont.2 [middle/ (end)] <i>dissolution</i> <i>elaboration</i>	(intro.) pres. [beginning] <i>establishment</i>	cont.1 [middle] <i>dissolution</i> <i>elaboration</i>	cont.2 [middle/ (end)] <i>dissolution</i> <i>elaboration</i> <i>(delimitation)</i>	cont.3 (TR) [after-the- end] <i>dissolution</i> <i>elaboration</i> <i>connection</i>	
Tonal plot	(bb) → C	(db) → Eb	(f) → c: i ⁶	→ vii ^{o7} /c vii ^{o7} /f		V/Db (eb) → (V/b)	→ c: V ³ ₃ iv V i ⁶ /eb → Ger. ⁺⁶ /Eb (DC)			
	↑ 'thematic reprise'		↑ 'tonal reprise'		↑ 'syntactic reprise'					

In the case of IX/1, Bruckner's tendency towards development–recapitulation elision results in his most original developmental design. As Table 8.14 illustrates, the entire development is subdivided into two parts, projecting the A group's double-theme structure, where A1 and A2 are teleologically connected to each other on a far more expanded scale than in the exposition. This arrangement ultimately results in substituting the A-theme recapitulation, which is confirmed when the recapitulation proper enters (in bar 421), only with the second theme's reprise.¹⁰⁹ The development's first part creates its own meaningful temporal cycle in a similar way to that of an expositional thematic unit, approximately following A1's original form-functional syntax (an antecedent followed by continuations). Of course, the adaptation of A1 to a developmental situation causes substantial tweaks. Tonally, the entire part 1 underlies a directed tonal scheme delineating the motion from F minor (the parallel minor of the exposition's ending key) to D minor (the home key) as a usual development section does. Along this tonal process, the tendency towards formal expansion is visible. The antecedent part is here duplicated, and both antecedent 1 (bars 227–252) and antecedent 2 (bars 253–276) have further enlarged spans to accommodate the A theme's basic idea (which itself is structured as a sentence) and contrasting idea in the way of dynamic intensification that makes the latter sounds like a small-scale telos. These two iterations, in turn, occupy the beginning portion of the development's part 1, which now emerges as a large-scale sentence. The subsequent (large-scale) continuations (bars 277–302 and 303–332), although fulfilling a function as the thematic middle and end belonging to A1, also betray the quality of a developmental core-substitute unit since they themselves have self-contained syntax (of a hybrid and sentence respectively) in the context of unstable tonal motions. Their developmental nature is also demonstrated by the incorporation of other thematic materials foreign to the original A1, reflecting Bruckner's usual effort of exploiting most of the expositional thematic materials for the development. Continuation 1 employs the C-group material (derived from C2) in combination with the pizzicato

¹⁰⁹ One could draw some similarities between this situation and the concept of the type 1 or type 2 sonata, as defined in the Sonata-Theoretical discussion of sonata typology by Hepokosi and Darcy (2006). However, neither concept provides a fully satisfactory reading for this case. While the loose parallelism between the expositional A group and the whole development may suggest a type 1 reading, the off-tonic initiation of the development excludes such a possibility. The type 2 reading seems more plausible if we emphasise the fact that the largely A-theme-based development is followed by the B-theme recapitulation. Nevertheless, some elements suggestive of a type 3 sonata could contest this interpretation, such as the appearance of some non-A-theme material in the development and the climactic return of A2 (bar 333) in the home key (although soon dissolved into the continuing developmental actions).

accompaniment derived from A2's suffix (bars 77–96). Continuation 2 retains the materials originating from A1's continuations (compare bar 27 with 305; bar 51 with 321) but also presents the B theme's accompaniment pattern in inversion. The development's part 2 (from bar 333) based on A2 is drawn in a similar way to its counterpart (bar 63) in the exposition. A2's climactic reappearance in the home key of D minor (after the dynamic intensification in the previous unit) radiates most strongly a recapitulatory character.¹¹⁰ Ironically, however, this unit soon turns out to be the most typically developmental moment so far since the following core-like model–sequence procedure expresses a very unstable tonal motion passing through D, Eb and Gb. This outward tonal motion, unlike the seemingly similar case of VIII/1 (from bar 225), which witnesses a process gradually directed towards the tonal return, almost nullifies the effect of the preceding tonal return, leading instead further in the opposite direction in the subsequent continuations, which facilitates a tonal movement towards further keys until reaching the climactic f⁶ chord. This outward motion is only diverted back by the following retransition passage residing on V/d so that it prepares for the upcoming recapitulation proper with the B theme's return in D major. In sum, Bruckner's approach towards the continuous rendition of the development and recapitulation comes to a unique conclusion in his last two symphonies. In the case of VIII/1, the issue of development–recapitulation elision is expressed by the recapitulation with developmental residues in close association with the A theme's inherent dissonant elements. The case of IX/1 displays an instance of the development which, although largely retaining the developmental identity, fuses the elements of the A-theme recapitulation into itself by exploiting the unique thematic design of the A group.¹¹¹

¹¹⁰ It is notable that a number of commentators see this point as the onset of the recapitulation. See for example Darcy (1997), 268 and Lai (2018), 359–361.

¹¹¹ This situation probably resonates with Steven Vande Moortele's recent (2021) concept of 'development–recapitulation fusion' in which '[t]he functions of large-scale middle and end are combined within one and the same unit (one could say, one and the same rotation), which starts out as one function but ends as the other' (515).

Table 8.14. Symphony No. 9 in D minor, first movement, development

Bar	227	245	253	265	277	285	303	309	321	333	355	367	399
Thematic material	A1's b.i. and c.i.				C2 + A2's suffix (TR)		A1's cont. + B			A2			
Formal function	Part 1 (A1) [beginning/middle] <i>(establishment/preparation)</i>									Part 2 (A2) [middle/end] <i>(confrontation/elaboration)</i>			
	Ant.1 [beginning] <i>establishment</i>		Ant.2 [beginning 1] <i>re-establishment elaboration</i>		Cont.1 (core sub.) [middle 1] <i>dissolution elaboration (confrontation)</i>		Cont.2 (core sub.) [middle 2/(end)] <i>dissolution elaboration (delimitation)</i>		Core [beginning/middle] <i>establishment dissolution elaboration</i>		RT [end] <i>delimitation stabilisation preparation</i>		
	b.i. (sentential)	c.i.	b.i. (sentential)	c.i.	c.b.i.	cont.	pres.	cont.1	cont.2	model- seq.(1, 2)	cont.1	cont.2	s.o.d.
Tonal plot	f \sharp → E→V/ \sharp a → G→V/a F → V \flat /D \flat C c Ab→Gb → (V/d) d Eb G \flat → V/b → f \flat V/d (HC) (HC) (HC)												

Summary and Conclusion

There are two central compositional attitudes observed in Brucknerian developments. The first attitude focuses on achieving the sense of moving forward with an emphasis on directionality in accordance with the development's main aims, such as expressing large-scale instability and devising a tonal return. The prevalence of the sentential type of syntax in the component units can be understood in this light: it supports the development's unstable tonal motions, whether they are situated in the outward direction or in the return journey to the home key, in a teleological sense with forward momentum. The second attitude embodies a desire to make an organic connection between the development and other adjacent large sections by employing the full range of varied expositional thematic materials. This stance potentially has a risk of conflicting with the first attitude, given the overt contrast between the expositional themes. 0/1 probably exemplifies an experimental case stemming from the second attitude, in which the forward momentum is compromised to some extent by arranging different thematic materials in a way that heightens the contrast. After this, Bruckner further pursues this second attitude by being more attentive to the rotational process, but in a more reconcilable way, which seeks a balance between the two stances. To arrange different themes in accordance with the overarching dynamic wave is a common tactic. The developments from II/1, III/1 and IV/1 adopt the lyrical B-theme material for the retransition, shaping the development's quiet ending. In the cases of III/I and IV/1 (and IX/1 to some extent), the teleological relation between the A group's two different thematic elements (A1 and A2) generates the development's central narrative marked with the dynamic highpoint. In V/1, the introduction's elements frame the central developmental action, which involves highly contrapuntal treatments of the A-theme motives with dynamic intensity while the B-theme material is only treated as an interrupted event in the context of de-intensification, implicitly realising the rotational process. The tendency in the later symphonies towards development–recapitulation elision and placement of the development in the large-scale intensification certainly underscores the first stance in an innovative way, even further spreading the developmental momentum to the recapitulation. Still, the second stance is also influential in the later symphonies. In VI/1 and IX/1, Bruckner ingeniously integrates non-A-theme materials into the overall A-theme-based teleological intensification. In addition, the rotational process strongly persists in VII/1 and VIII/1. In both cases, the rotational implication is situated in the directed tonal process, which is

deeply related to the expositional tonal events. Moreover, VIII/1's development exploits the thematic rotation as a means of deriving a teleological process towards thematic synthesis. This survey of Bruckner's developments reveals the composer's painstaking care to control various factors in accordance with the development section's conventional aims while presenting meaningful evolutions throughout his symphonic output, which again strongly counters the prejudiced claim that Bruckner repeatedly used the same formal schema for all his symphonies.

Chapter 9: Recapitulation and Coda

As Korstvedt (2004) comments, '[i]t is in the recapitulation, which is both the crucial and the most problematic element of sonata form, that Bruckner breaks most decisively with formal convention' (180). The Brucknerian recapitulation is usually problematised in two respects. First, there is the issue of the double return, which is intentionally avoided or undermined, especially in the composer's later symphonies. The previous chapter has already discussed this aspect in relation to the Brucknerian tendency towards development–recapitulation elision. The second issue concerns Brucknerian sonata form's relation to the traditional notion of the 'sonata principle', which sees the exposition as presenting a tonal opposition through two contrasting themes and the recapitulation as resolving that opposition by restating the second theme in the home key. This tonic statement of the second theme along with its achievement of an authentic cadence in the home key – termed the 'essential structural closure' (ESC) in Hepokoski and Darcy's (2006) *Sonata Theory* – is usually treated as the most important event throughout the entire sonata movement. However, as is well known, Bruckner's recapitulations, especially in his later symphonies, do not follow this general rule. This circumstance leads Darcy (1997) to formulate his famous conception of the 'alienated secondary theme', which often causes a non-resolving recapitulation. According to him, this 'deformational' practice expresses 'sonata process failure', which generates a need for delayed redemption in the coda.

This chapter, by mainly examining tonal aspects of the Brucknerian recapitulation and coda in the temporal, syntactic context, focuses on addressing the ramifications of this second issue (around the 'sonata principle') for the individual cases, which also show meaningful developments and changing strategies through their chronological overview. The first section investigates the earlier cases (to III/1), which generally conform to the traditional sonata form but with some irregular elements. The second section delves into the later cases, which more clearly show Bruckner's mature sonata conception that is seemingly unconventional and irregular but has its own consistent logic. The final section explores how these observations (along with those in the previous chapters) contribute to the understanding of a large-scale sonata form conception in Bruckner's symphonic first movements.

Early Symphonies (to III/1)

(1) General Features

The cases of the first movements of Bruckner's earlier symphonies generally conform to the Classical paradigm of recapitulation as understood under the sonata principle. In all these cases, the B group invariably occurs in the home key and produces a PAC in that key (which could be seen as the ESC in Sonata-Theoretical terms). In contrast to his expositions, Bruckner makes this the only notable cadence in the recapitulation proper, depriving the C group of its cadence into the tonic chord. In other words, the structural delimitation function in the recapitulation is expressed by the B group, while the C group can be viewed as auxiliary. This circumstance in the recapitulation probably causes a subtle discrepancy with Bruckner's three-theme conception as established in the exposition. From a thematic and rhetorical perspective, the B and C group can be perceived as the middle and end, respectively, but from a tonal-harmonic perspective, they function as the end and the after-the-end, respectively (see below; for instance, the case of 00/1, as shown in Table 9.1 below). In line with its somewhat provisional status, the C theme is often treated like a post-cadential transition to the coda, often subject to truncation or compression, a situation which sometimes leads to the omission of some interesting musical elements, as in the case of I/1. Sticking to the Classical notion of remaining in the home key throughout the recapitulation may also risk having a tonal narrative that is too plain to fit in with Bruckner's three-theme conception along with his post-Romantic harmonic language. Bruckner often alleviates this issue by introducing a marked local-level tonal instability (most commonly VI in the minor-key symphonies), which is often combined with the C group's transitional character.

The coda is mainly supposed to settle this local-level dissonance by emphasising the tonic and producing the final cadence, which can be seen as reaffirming the home key already secured at the end of the B group but with firmer rhetorical strength. The formal design of the coda usually follows a sentential logic: the beginning part (usually based on motivic ideas from the A theme) often features literal tonic prolongation accompanying a repeating bass ostinato (as in 0/1, II/1 and III/1); the middle/end part involves a temporary destabilisation of the home key and its resolution into the final home-key cadence. This is followed by the post-cadential tonic '*Klang*' (Darcy 1997), which expresses the after-the-end function in the coda. These procedures so far are often built on a dynamic intensification towards the

final cadence and the following *Klang*. This form-functional and dynamic process is sometimes realised by two rotations (as in 0/1, for instance; see below, Table 9.6), evoking a large-scale period, in which the first sentence can be heard as a large antecedent and the second one as a large consequent. It is notable that in the earlier symphonies, the moments around the final cadence are invariably dramatised by Bruckner's characteristic textural manipulation, what I call the 'cadential gap', which is made open by the sudden pause of the orchestral tutti just before or around the cadential progression. This gap is only filled by thin voice lines of some solo instruments before the tutti forcefully resumes with the tonic resolution. As Example 9.1 demonstrates, its earliest case can already be found in the coda of 00/1: the entire tutti comes to a halt in bar 602 with a vii^{07}/V , which proceeds to the dominant via the solo horn passage (bars 603–606) that plays the A theme's primary motive in the form of an inverted variant, accompanied by the bassoons; then the tutti resumes in bar 607 with the tonic chord, which completes the cadence. Although the structural importance of this cadence may be seen as pre-empted by the one at the end of the B-group recapitulation, the dramatic markedness generated from the dynamic intensification and the technique of 'cadential gap' may put much rhetorical weight on this final cadence.

Example 9.1. ‘Study Symphony’ in F minor, first movement, coda, bars 599–607, ‘cadential gap’

48

f: vii[°]7/V V(6-5/4-3) i (PAC)

(2) 00/1

The recapitulation of 00/1 (Table 9.1) demonstrates the above features well. The B theme’s return in the home major key confirms the validity of the sonata principle in this case. Accordingly, the entire recapitulation largely remains in the key of F, apart from some modal changes usual for Bruckner’s minor-key symphonies. However, to some extent, there are some moments of hindrance to the unchallenged home-key settlement. In the A group, A1’ is rearranged to be directed towards V/F potentially to prepare for the B theme’s home-key statement. However, after the music comes to a halt on a vii[°]7/V (bar 430), the expected expression of V comes slightly later with the B group’s entrance rather than preceding it. This disturbs the sensation that F major is confirmed too definitely at this point. For an

expression of the root-position tonic in the home key, we have to wait until the I:PAC in bar 493, which closes the B group and opens the C group. This procedure slightly betrays the B group's processual nature, the tendency more evident in the cases of Bruckner's later symphonies. As generalised above, the following C theme emerges in a somewhat undermined form as something auxiliary and transitional. C1 is truncated so that only its presentation part (bars 493–510) remains. Its expected continuation (which would correspond to the passage from bar 162 in the exposition) is replaced by a new unit, C2 (from bar 511), which enters in Db (VI of the home key) in a deceptive way. This unit is also sentential: the eight-bar basic idea (bars 511–518) and its compressed repetition (bars 519–523) primarily stay in the Db region. The subsequent continuation (bars 523–533) devises a modulation back to F minor before arriving at V/f, which is prolonged until bar 560. However, rather than the expected authentic cadence in F minor, this leads to another deceptive cadence, with which the coda's elided onset (bar 561) is again articulated by VI (Db). Thus, this C2 unit not only underscores the C group's transitional role by smoothly leading to the subsequent coda but also, by introducing Db, devises a new challenge to resolve in the otherwise too plain tonal process over the recapitulation and coda.

The subsequent coda, which is a large-scale sentence mainly based on contrapuntal treatments of the A theme's head motive, devises a tonal process to resolve this local-level dissonance caused by Db. Its presentation, although initially drawn by Db, is largely supported by a tonic prolongation in F minor. This is then destabilised by the following continuation phrases, which promote temporary modulations to Bb minor, Eb minor and again Db major (in continuation 2). This instability is finally settled by the final PAC in F minor, which is emphasised by the aforementioned cadential gap (see Example 9.1 above).

Table 9.1. ‘Study Symphony’ in F minor, first movement, recapitulation

Bar	364	396	432	463	493	511	533
Formal function	Recapitulation [end]						
	A [beginning] <i>establishment</i>		B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		C [end?/after-the-end] <i>confrontation</i> <i>elaboration</i> <i>connection</i> <i>(stabilisation)</i>		
	A1	A1'	B1 (ant.)	B1' (cons.)	C1 (trunc.)	C2	(s.o.d.)
Tonal plot	f	(Db) → vii ^{o7} /C	V/F → F:HC	F:PAC	f	Db → V/f	f:DC

Table 9.2. ‘Study Symphony’ in F minor, first movement, coda

Bar	561	571	578	588	607
Formal function	Pres. [beginning] <i>establishment</i>		Cont.1 [middle 1] <i>elaboration</i> <i>dissolution</i>	Cont.2/Cad. [middle 2/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta ('Klang') [after-the-end] <i>stabilisation</i>
	b.i. (sentential)	b.i. (sentential, comp.)			
Tonal plot	f: VI i ⁶ - $\frac{5}{3}$	V $\frac{4}{3}$	$\frac{6}{5}$ i → (bb)	(eb) → (Db) → f: vii ^{o7} /V	V i (PAC)

(3) I/1

The recapitulation of I/1 (Table 9.3) follows a similar path to that of 00/1. The A group's end is similarly articulated by a vii^{o6}/V (bar 239), after which the B group enters in C major on a 6/4 chord.¹¹² Although C major is tentatively secured, the attainment of a root-position tonic is avoided throughout the B group. After passing through Eb major, the end of the B group is directed towards C minor and produces a PAC (bar 257) in that key, which is largely sustained (apart from some local modulations) in the rest of the movement. Like the case of 00/1, the C group undergoes some structural changes especially in its latter half, which contribute to its transitional character. The dramatic trombone theme (C2) in the exposition is completely replaced here by C1' (bars 271–309), which can be seen as the elaborated restatement of C1 with a developmental quality. Drawn deceptively by the Ab chord (after V/c), its beginning strongly references A2 with the ongoing string figure derived from it (cf. bars 216 and 257). Its transition-like

¹¹² However, in this case, this 6/4 chord sounds like a I $\frac{6}{4}$ rather than a dominant, unlike the case in 00/1, so that the preceding chord can be retrospectively reinterpreted as a common-tone diminished chord.

unstable nature is also confirmed by the C1' unit's form-functional design with a model–sequence module (bars 271–276) followed by a lengthy continuation part (from bars 277), which accommodates the unstable tonal motion, temporarily passing through distant key areas (such as Cb in bars 277–279) with the chromatic bass progression. A potential structural $\hat{5}$ in the bass is attained in bar 289 in the continuation, but the following linear progression, also chromatically inflected, eventually gives rise to a non-cadential connection to the coda (via V_5^6 in bar 308). As if trying to compensate for this instability, the coda (Table 9.4) firmly emphasises the home-key tonic even in the continuation (from bar 313, featuring a literal prolongation on the tonic pedal and a 6–6 linear intervallic pattern) until the cadential gap occurs on the C major chord (in first inversion) at the end of the continuation (bar 324), after which a long-range cadential passage based on the A theme's head motive manages to generate the final *Klang*.

Table 9.3. Symphony No. 1 in C minor, first movement, recapitulation

Bar	199	221	228	240	257	271
Formal function	Recapitulation [end]					
	A [beginning] <i>establishment</i>			B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>	C [end/after-the-end] <i>confrontation</i> <i>elaboration</i> <i>connection</i> <i>(stabilisation)</i>	
	A1a	A1b	A1a'	B1	C1	C1? (based on A2)
Tonal plot	c		$\rightarrow V_5^6/G$	$C(\frac{6}{4}) \rightarrow$	c:PAC	c:DC (V_5^6-i)

Table 9.4. Symphony No. 1 in C minor, first movement, coda

Bar	309	311	313	324	343
Formal function	Pres. [beginning] <i>establishment</i>		Cont. [middle] <i>elaboration</i> <i>dissolution</i>	Cad. [end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta ('Klang') [after-the-end] <i>stabilisation</i>
	b.i.	b.i.			
Tonal plot	c: i		[6-6 LIP] I ⁶	V_2^4/iv Ger.+ ⁶ bII ⁶ iv	V i (PAC)

(4) 0/1

In the recapitulation of 0/1 (Table 9.5), it is the A group which undergoes a structural cut: its first thematic unit (A1) is directly connected to the B group without its restatement (A1'). This omission is related to the A group's original design in the exposition. Whereas in 00/1 and I/1, the second thematic unit of the A group (A1' or A2) in the exposition enters with a non-tonic element (with the emphasis on VI, Db in the former case, Ab in the latter case), in the case of 0/1, A1' of the exposition starts just by reconfirming the tonic, which could make it redundant to repeat this in the recapitulation. On the other hand, the B and C groups largely retain correspondence with their expositional counterparts with the necessary harmonic changes, which in turn contribute to the emphasis on their innate intra-thematic-level unstable elements. An important tonal agent facilitating this process is again VI (Bb) as in the previous cases. The Bb sonority is first encountered at the end of the A group as V⁷/Eb (bars 227–229), which is reinterpreted as a common-tone augmented sixth as it proceeds to a D major 6/4 chord at the beginning of the B group. When B1 is reprised, transposed up a fourth, Bb major emerges again as the means of destabilising D major, and this even moves to its bVI, Gb (bar 243), so generating a hexatonic implication. Although this tension is resolved by the PAC in D at the end of the B group, the ensuing music in the C group is again drawn to the Bb major area by the C2 chorale (bar 271). This is only settled by the HC in D minor at the end of the C group. The resulting large-scale progression of Bb–A in the C group is still echoed as the foreground events in the extended coda (comprising two sentential units, as shown in Table 9.6), first appearing as the initiating figure of the falling and ascending motion in the quasi-unison texture in the coda's introduction (which ambiguously suggests the overall tonic sonority with the repeating D), and then as part of the repeating bass ostinato, C–Bb–Bb–A, which serves for the tonic prolongation in D minor. Now, Bb is treated as part of the emphatic D minor sonority. As usual for Bruckner, this coda is, in the way of intensification, directed towards the final cadence and the following *Klang* in the home key, also dramatised by the preceding cadential gap (bar 334), which emphasises G# as the pre-dominant (temporarily tonicising the dominant).

Table 9.5. Symphony in D minor 'Nullte', first movement, recapitulation

Bar	214	230	240	254	271
Formal function	Recapitulation [end]				
	A [beginning] <i>establishment</i>	B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		C [end/after-the-end] <i>confrontation</i> <i>elaboration</i> <i>(stabilisation)</i>	
	A1	B1	B1'	C1	C2
Tonal plot	d → V ⁷ /Eb D ⁽⁴⁾ → (G) (g) Bb (Gb) → d: V-I-i → (Bb) → V/d (ct.+ ⁶ /D) (PAC) (HC)				

Table 9.6. Symphony in D minor 'Nullte', first movement, coda

Bar	285	298	306	319	327	336	343
Formal function	Intro [before-the- beginning] <i>preparation</i>	Sentence 1 (large ant.) [beginning] <i>establishment</i>		Sentence 2 (large cons.) [middle/end] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>			Codetta (<i>Klang</i>) [after-the- end] <i>stabilisation</i>
		pres. [beginning] <i>establishment</i>	cont. [middle/end] <i>elaboration</i> <i>dissolution</i>	pres. [beginning] <i>establishment</i>	cont. [middle] <i>elaboration</i> <i>dissolution</i>	cont.2/cad. [end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	
Tonal plot	d: i(?)	i	V	i	(V/E) V/V(E)- ⁶ / ₅	v (i) V ⁶ / ₅ /V V i (PAC)	

(5) II/1

The recapitulation of II/1 (Table 9.7) does not undergo any substantial omissions. The A group even reproduces the PAC and HC in the home key in a similar way to the exposition.¹¹³ This results in ample confirmation of the home key, which is evident in the B theme's entrance (bar 368) with the root-position tonic in C major after the HC. It seems that the influence of VI (Ab) is also noticeable in this case as there is a modulation to Ab major (from bar 386). However, its impact as a destabilising force is soon minimised since the music soon comes back to the home-key region to produce another PAC (which could be seen as the ESC) in C minor at the end of the B group, thus making the B group tonally closed. The overtly emphasised home-key settlement in the A and B groups probably justifies the more adventurous tonal movement in the C group, which brings about a peculiar transition to the coda. For if the C group had simply stayed in the home key, the entire recapitulation would have been tonally too monotonous. The most daring harmonic change (in comparison to the exposition) occurs when moving from C1' to C2. As illustrated in the harmonic reduction of Example 9.2, after C1' ends with the C major 6/3 chord in bar 458 (so without the standing on the dominant as in bar 151 in the exposition), E major unexpectedly comes in as the initiating harmony of C2 before progressing to the Ab major 6/4 chord (bar 466), thus evoking a hexatonic cycle (via two LP transformations). After this, as shown in Example 9.3, Bruckner connects the end of the C group to the coda in a circle-of-fifths sort of way to approach C minor (at the beginning of the coda): after securing Eb major in bar 478, an 8–10 intervallic pattern leads to the expression of Bb minor and F major (bars 481–485) just before the coda begins. This tactic re-illuminates the home key's sonority by approaching it from its flat-side tonal regions, thus making it sound fresh. The coda (Table 9.8) begins with the repeating ostinato originating from the A theme's idea (cf. bars 5–6), which first resides on the tonic in the presentation (bars 488–494). The ensuing continuation (from bar 495) destabilises the home key (even passing through a distant key, B major, in bars 499–500) in the dynamic intensification until the arrival at the cadential gap in bar 510 with a diminished seventh chord. This is followed by the A theme's recall in thin texture, which, via the

¹¹³ There are, of course, some harmonic changes especially in A1', which emphasises the presence of a Neapolitan chord, bII (from bar 356). This chord is surprisingly interrupted by the E major chord (or Fb) in bar 360 but manages to approach the dominant via the conventional 6/3 position (bar 363).

sequential motion passing C \flat , B \flat and A \flat , leads to the return to the C minor domain and the cadence (bars 518–521) before the tutti *Klang* follows.

Table 9.7. Symphony No. 2 in C minor, first movement, recapitulation

Bar	318	344	368	402	418	460
Formal function	Recapitulation [end]					
	A [beginning] <i>establishment</i>		B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		C [end/after-the-end] <i>confrontation</i> <i>elaboration</i> <i>(connection)</i>	
	A1	A1'	B1	C1	C1'	C2
Tonal plot	c	c:PAC	c:HC C	(A \flat) → c:PAC	→ C \flat E	(A \flat) → E \flat b \flat F

Example 9.2. Symphony No. 2 in C minor, first movement, harmonic progressions in bars 458–466

458 460 466

C \flat E A \flat \flat \flat \flat

(LP) (LP)

Example 9.3. Symphony No. 2 in C minor, first movement, end of the recapitulation before the coda, bars 478–488

(C2 cont.) (Str.) Coda

478 488 488 6 6

(Ww.)
ppp
[8] 10 8 10 8 10 8 10

(Str.)
ppp

(Hn)
ppp

(Timp.)
ppp

(Str.)

E \flat b \flat F c

Table 9.8. Symphony No. 2 in C minor, first movement, coda

Bar	488	491	493	495	511	523
Formal function	Pres. [beginning] <i>establishment</i>			Cont. [middle] <i>elaboration</i> <i>dissolution</i>	Cont.2/Cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta (<i>Klang</i>) [after-the-end] <i>stabilisation</i>
	b.i.	b.i.	b.i.			
Tonal plot	c: i →vii ^{o7} /d (Cb)(Bb) c: VI(Ab) iv vii ^{o7} /V V i (PAC)					

(6) III/1

It appears that III/1's recapitulation (Table 9.9) largely follows an expected tonal path by emphasising the home key, which is confirmed through the V–I (or i) progressions at every structural formal juncture. The substantially compressed A group (simplified so that only one rotation of the double-theme structure remains and A2 is compressed with only one statement of the c.b.i. followed by the continuation) is arranged to end with the home-key dominant, after which the B group starts with the unequivocal root-position tonic in the home-key major. The B group first seems to prolong this key in a similar way to that of the exposition through a double-neighbour motion across the variational procedure, with the modulations to Eb major and Db major (in B1' and B1'', respectively), which would realise a tonal progress of D–Eb–Db–D. However, the last variation (B1''') is altered to begin in A major, which then turns out to be the dominant of the home key, thus effectively dramatising the following PAC, which is elided with the C group's entrance in D minor. This PAC exactly corresponds to the one (in F minor at bar 173) in the exposition, but its weight might be perceived differently. While the F minor cadence in the exposition can be heard as something unexpected, thus something that may need further amendments (so justifying the subsequent C group's continuing pursuit of the F major settlement), the D minor cadence in the recapitulation can be construed as the definitive one (especially given Bruckner's usual habit for his minor-key symphonies of ending the first movements in the minor key), allowing the ensuing C group's transitional quality. Accordingly, the C-group recapitulation is highly compressed and modified to consist of only one extended thematic unit, in which a lengthy continuation part (from bar 565) leads the music to a temporary tonal instability with a chromatic bass progression (C–Cb–Bb–Ab–Gb) in a dynamic

intensification until arriving at Gb, then at the climactic A major (via an RP transformation), which turns out to be V/d to prepare for the entrance of the coda in D minor.¹¹⁴

Table 9.9. Symphony No. 3 in D minor, first movement, recapitulation

Bar	431	461	483	493	519	529	549
Formal function	Recapitulation [end]						
	A [beginning] <i>establishment</i>		B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>				C [end/after-the-end] <i>confrontation</i> <i>elaboration</i> <i>(connection)</i>
	A1	A2	B1	B1'	B1''	B1'''	C1
Tonal plot	d	→ V/D	D	E ^b	→ D ^b	A(→V/D)	d:PAC → G ^b A(V/d)

Table 9.10. Symphony No. 3 in D minor, first movement, coda

Bar	591	603	623	629
Formal function	Pres.? [beginning] <i>establishment</i>	Cont.? [middle] <i>elaboration</i> <i>dissolution</i>	Cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta ('Klang') [after-the-end] <i>stabilisation</i>
	Tonal plot			
	d: i		vii ^{o7} /V (C ⁶)(D ^{b6})	vii ^{o7} /V (V?) i

The coda (Table 9.10) appears to embody a typical sentential logic (albeit far from a tight-knit sentence) but in an ambiguous grouping structure: although it is possible to view bar 603 as marking the start of the continuation, this point is blurred by the continuing sense of gradual acceleration accompanying a crescendo (through the stretto-like fragmentation of A1's head motive) which is supported by the emphatic tonic prolongation with the recurring bass ostinato. This situation lasts until the cadential gap occurs with a vii^{o7}/V in bar 622 (see Example 9.4). With this break, the winds sequentially play a fragment from the A2 theme, thereby delaying the expected resolution of the diminished chord (G#) into the dominant (A). That resolution is realised only implicitly by the triple-forte

¹¹⁴ In the 1889 version, the C-group recapitulation is even more compressed, lacking the developmental passage (bars 565–572) in the 1877 version. It is also notable that the G^b and A major climax in the 1877 version is revised as the F major and A major one, which makes the connection between the recapitulation and coda sound more diatonic in relation to the home key.

unison melody, which starts with A but progresses to F, then to D, with which the tonic *Klang* enters with the full resumption of tutti. The melodic progression of A–F–D in the strings here might hinder hearing the dominant (hence, the actual cadence) as they are the members of a tonic triad. Example 9.5 reconstructs a hypothetical cadence with a full harmonisation. The circumstances around this speculative cadence can be explained by the following aspects:

1) We can consider that it may not be very urgent to secure the home key with such a full-harmonised cadence at this moment, given that the home key has already been over-emphasised via root motions of the dominant and tonic at a number of formally important places, which include the centre of development, the juncture between the development and recapitulation, those between the theme groups in the recapitulation, and finally that between the recapitulation (C group) and coda.

2) Motivically, the unison of A–F–D basically references the opening figure of the violin (bar 2).

However, as Example 9.4 shows, this melody can also be seen as foreshadowing the A2's head motive (varied to fit with the tonic harmony), which appears repeatedly from bar 629. Example 9.5 reconstructs the implied melody (with the added E) in a way that not only clarifies its affiliation with the A2 motive but also conforms more to the harmonised cadence. However, in the actual music, Bruckner, by omitting E in the melody line and the full harmonic support, calls the listener's attention to the sheer textural contrast produced by the unison and the following tutti with the tremolo accompaniment. This is probably in response to the textural arrangement at the previous thematically marked points (such as bar 31 and bar 343), which shows a textural contrast in the opposite direction by arranging the unison as the goal.¹¹⁵

¹¹⁵ Peter A. Hoyt (1999) pays special attention to the implication of the textural contrast created by the first unison statement of the A1 theme at bar 343, stating that 'Bruckner would recall this contrast to close the entire symphony; the end of the fourth movement not only brings back the theme from the first movement within a dense orchestral texture, it also concludes with a restatement of the opening figure of the theme' (313–314).

Example 9.4. Symphony No. 3 in D minor, first movement, coda, bars 622–636

Langsamer (1)

Schnell

87

88

A2's head motive

630

A1's head motive

630

(Langsamer)

Schnell

630

d: vii^{o7}/V (C⁶) (D^{b6}) V vii^{o7}/V V? i (PAC?)

3) With those arrangements above, Bruckner seems to focus on achieving the sense of resolution and synthesis in the motivic dimension (rather than tonal) at this moment. The A1 and A2 materials present themselves concurrently for the first time in the resolute tonic *Klang*, along with the stormy string tremolo pattern reminiscent of the movement's opening, not to mention that the unison of A–F–D (bar 628) arouses the hidden connection between the opening violin figure and the A2 material.

Example 9.5. Symphony No. 3 in D minor, first movement, hypothetical cadential progression (bars 628–629)

d: V($\frac{6}{4}$ $\frac{3}{3}$) i

Later Symphonies (from IV/1)

(1) General Features

In his later symphonies, Bruckner's tactic for the recapitulation undergoes remarkable changes: non-tonic keys are introduced by the B and/or C themes, which means that unstable tonal elements become influential on a higher formal level, even at the inter-thematic level. As a result, like the exposition, the majority of the recapitulation section is shaped as the tonally mobile phase. Accordingly, except for the case of IV/1, which still keeps the style of the early symphonies to some extent, the B group's closure is substantially weakened such that it does not provide an authentic cadence in the home key any more. Its expositional ending function is effectively transferred to the C theme, although the task of producing the ultimate cadential expression of the home key is even further deferred to the coda. As stated earlier, this situation, especially around the non-tonic second theme and the lack of cadence, leads to the problematisation of Bruckner's recapitulation in light of the Classical notion of sonata principle or the Sonata-Theoretical EST paradigm.

However, it is questionable that the sonata principle's main assumption, which conceives the two expositional themes as the two fixed tonal entities contrasting each other, can be maintained in late

nineteenth-century conditions, in which Bruckner's music is situated, especially given its flexible tonal and harmonic languages often imbued with chromaticism and constant modulations. Mindful of this general post-Romantic condition, the tonal mobility in the Brucknerian recapitulation can be understood through the following three aspects, which are deeply related to Bruckner's conception of symphonic sonata form.

1) Brucknerian three-theme conception

As discussed in Chapter 6, the Brucknerian three-part exposition expresses, rather than a tonal opposition by two contrasting themes, a gradual tonal journey from the home key to the subordinate key over the inter-thematic-level beginning–middle–end continuum. In response to that, Bruckner's tonally mobile recapitulation (with the coda together in many cases) in his later symphonies also expresses a continuous tonal journey over the three theme groups, but this time the goal is the settlement of the home key: by moving from the tonic (in the A group), passing through the non-tonic instability (in the B and C groups) and seeking to return to the tonic key again (at the end of the C group and/or in the coda), the recapitulation strengthens the temporal cycle of the beginning–middle–end in a parallel way to the exposition but with the sense of resolution at the same time.

2) Dissonant counter-structure

In many cases, tonal mobility in the Brucknerian recapitulation is arranged so that it also closely responds to the tonal trajectory facilitated by the dissonant counter-structure originating from the opening theme and exposition. The middle instability at the inter-thematic level in the recapitulation is often expressed as a higher-level manifestation of the dissonant counter-structure (as in the case of IX/1), and the rest of the recapitulation naturally involves its resolution by seeking the home-key return. Sometimes, the recapitulation's medial instability (albeit still resonating with the dissonant counter-structure) is expressed within a diatonic tonal relation to the home key (as in the cases of V/1 and VI/1), providing a sense of resolution in response to the exposition's counterpart, which is more chromatically arranged. The coda usually (except for the case of VIII/1) addresses this dissonant element once again and places the process of ultimately overcoming it in the context of heading towards the final cadence in the home key, thus maximising the sense of resolution.

3) The gradational expression of the home-key return over the development–recapitulation–coda

As discussed in the previous chapter, the development–recapitulation elision, which often occurs in the cases of Bruckner's later symphonies, entails a vague expression of tonal return to the home key at the recapitulatory juncture (so problematising the notion of 'double return'). This situation may produce a further desire for a more complete sense of return. Bruckner's tonally mobile recapitulation can provide such a strengthened tonal return by moving back from the non-tonic key to the tonic key at its end. However, within his end-orientated sonata conception, Bruckner usually reserves the definite cadence for the coda. Therefore, the large-scale return journey to the home key is achieved in a gradational way throughout the development, recapitulation and coda. The development section leads to a tonal return at the beginning of the recapitulation but only in an incomplete way; the rest of the recapitulation operates another phase of the continuing homecoming journey to achieve a stronger sense of return; and the coda brings the final definitive closure to confirm fully the home key.

Along with this tonal aspect, the recapitulation largely retains the exposition's temporal discourse based on the different internal organisation of each theme group, following the plot of teleological–recursive–teleological temporality, albeit with some typical structural changes. These changes may include dynamic reversions in the A group: whereas in the exposition, the initial A1 usually proceeds to the louder A1', in the recapitulation, this is often reversed to align with the climactic expression of the A1 recapitulation resulting from the intensification in the development, as observed in VI/1 and VIII/1. The overall formal compression in the recapitulation may involve the subtraction of a variation in the B group (as in V/1 and VII/1), contributing to the increased forward momentum.

(2) IV/1

The recapitulation of IV/1 (Table 9.11) still has some traits taken from the earlier symphonies. The B group ends with a PAC in the home key, which can be recognised as the ESC without much dispute. The C group appears as the complementary formal group, which is highly unstable and provides a transitional connection to the coda. The most striking difference from the previous cases is, however, the off-tonic appearance of the B theme. Similar to its entrance in Db major after the F major chord (V/Bb) in the

exposition, the B-theme recapitulation begins in B major (enharmonically C \flat major) after the E \flat chord. As Horton (2004, 124–125) points out, this is to realise the crucial dissonance C \flat (Example 9.6; see motive X in comparison with Example 7.1 in Chapter 7) at a deeper level; and the entire B group engages in resolving this counter-structure into B \flat , with which Bruckner eventually manages to produce the structural PAC in E \flat major (bar 485).

As Horton further observes, the influence of the semitonal motive X and the C \flat counter-structure can be found in the way the coda begins and ends. The coda (Table 9.12), although following a familiar pattern with the overall sentential structure built on the gradual dynamic intensification typical to Brucknerian codas, surprisingly begins off-tonic. According to Horton (*ibid.*, 125), this coda's onset in E major (enharmonically F \flat major) after the E \flat chord at the end of the C group references the semitonal movement of motive X again in transposition and the coda's conclusion with E \flat completes this motive on the tonic degree (thus E \flat –F \flat –E \flat). Furthermore, the plagal cadence (featuring the minor subdominant with an added sixth) Bruckner arranges to conclude the coda includes the literal resolution from C \flat to B \flat . By directly involving this motion in the tonic resolution, this PC complements the previous PAC in bar 485, where the C \flat –B \flat resolution only relates to the dominant. This demonstrates that the tonal process around the dissonant counter-structure (originating from the very opening of the movement) effectively engages in and enhances the process of tonal return over the recapitulation and coda.

Table 9.11. Symphony No. 4 in E \flat major, first movement, recapitulation

Bar	365	413	437	445	459	475	485
Formal function	Recapitulation [end]						
	A [beginning] <i>establishment</i>		B [middle/end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>			C [end/after-the-end] <i>re-establishment</i> (A2) <i>elaboration</i> <i>(connection)</i>	
	A1	A2	B1	B1'	B1"	TR	C1
Tonal plot	E \flat	→ V/A \flat	B	D	F	V/E \flat	E \flat :PAC → A \flat (c) D \flat → A \flat → E \flat

Example 9.6. Symphony No. 4 in Eb major, first movement, recapitulation, large-scale bass progression

Table 9.12. Symphony No. 4 in Eb major, first movement, coda

Bar	533	541	549	557
Formal function	Pres. [beginning] <i>establishment</i>		Cont./Cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta ('Klang') [after-the-end] <i>stabilisation</i>
	b.i.	b.i.		
Tonal plot	E	Ab (add6)	Eb: iv(add6)	I (PC)

(3) V/1

V/1's tonally mobile recapitulation (Table 9.13) can also be understood in light of the dissonant counter-structure addressed in the exposition. As discussed in Chapters 3 and 6, Gb and D arise as dissonant tonal elements against the tonic Bb in the introduction and the first theme, thus generating a hexatonic implication; and this chromatic third relation also facilitates the inter-thematic-level tonal instability through the progression of F minor to Db major (a transposed version of Bb–Gb) between the B and C groups. Their recapitulation transposes this chromatic third progression to G minor and Eb major, which are vi and IV, respectively, of the home key. While the progression from F minor to Db major creates a hexatonic kind of tension against the conventional fifth relation (from Bb to F) in the exposition, such tension is much relieved in the recapitulation since both G minor and Eb major are close keys to the home key and, therefore, their third relation can be understood in the home key's diatonic context. That way, the entire recapitulation devises a sense of tonal return while retaining tonal mobility in accordance with both the three-theme scheme and the large-scale tonal trajectory triggered by the dissonant counter-

structure. Still, the way of connecting the end of the C group to the coda reflects the lingering impact of the chromatic third relation. Rather than confirming the home key via the fifth relation (such as a V–I progression), the C group just ends with the D major chord, which is directly followed by the B \flat minor tonic at the beginning of the coda (thus, the C group’s end function is weakened).

Consequently, the coda (Table 9.14) attempts to secure the home key firmly based on the diatonic fifth relation. It shares some similarities with the cases of the earlier symphonies, especially that of 0/1, in that it also features a bass ostinato and a large periodic structure consisting of two sentences. The repeating head motive of the first theme coupled with the pizzicato ostinato (derived from the introduction) emphasise the melodic progression from G \flat to F in the context of the B \flat tonic prolongation. Sentence 1 as a whole realises the same progression at a higher level via a German sixth followed by the dominant. Then, sentence 2, although temporarily challenged by the G \flat element in bars 481–484, eventually succeeds to produce a PAC, after which the final *Klang* intones the first theme in a fully diatonicised form.

Table 9.13. Symphony No. 5 in B \flat major, first movement, recapitulation

+Bar	363	381	389	403	409	425	433
Formal function	Recapitulation [end]						
	A [beginning] <i>establishment</i>	B [middle] <i>confrontation</i> <i>elaboration</i>				C [end] <i>confrontation</i> <i>elaboration</i> <i>(connection)</i> <i>(delimitation)</i>	
	A1	B1	B1'	B2	B1''	C1	C1' (+C2)
Tonal plot	B \flat → V $\frac{6}{4}$ /G	g → a →	E \flat → V/g	g → V/g	E \flat → f → (E \flat) (G \flat)(A) → D		

Table 9.14. Symphony No. 5 in Bb major, first movement, coda

Bar	452	469	473	477	485	493
Formal function	Sentence 1 (large ant.) [beginning] <i>establishment</i>			Sentence 2 (large cons.) [middle/end] <i>re-establishment</i> <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>		Codetta ('Klang') [after-the-end] <i>stabilisation</i>
	pres.? [beginning] <i>establishment</i>	cont. [middle/end] <i>elaboration</i> <i>dissolution</i>	s.o.d. [after-the-end] <i>stabilisation</i>	pres. [beginning] <i>establishment</i>	cont./cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	
Tonal plot	bb: i	(Ger.+6)	V	i	V gb: i	V bb: i VII V I (PAC)

(4) VI/1

The tonal motion over the recapitulation of VI/1 (Table 9.15) displays a similarity to the previous case in that the B and C groups here also express vi (F# minor) and IV (D major), respectively. However, the C group's end connects to the coda via a V–I progression in the home key, thus more strongly facilitating the sense of return to the home key. The resulting progression of I–vi–IV–V–I (resembling a cadential progression on a large scale) over the recapitulation not only compensates for the evasive tonal return (due to the lack of the root-position dominant) occurring between the development and the recapitulation but also productively resonates with the large-scale tonal narrative involving the dissonant counter-structure. When the A group closes with V/f# before the B group's entrance in F# minor, this setting, as Korstvedt (2001) points out, 'resolves the implication of C# as the dominant of an unheard tonic F#' (191). With this, the dissonant element around C#/F# fully comes to the fore as a structural tonal event at the inter-thematic level. In retrospect, however, the rise of F# minor, coupled with the subsequent D major (again, introduced through a deceptive resolution of V/f#) in the C group, forms an essential part of the movement's large-scale diatonicism, resolving the more chromatic tension caused by C# (notably in the C group) in the exposition. The changes applied to the B and C recapitulation (in comparison to the corresponding groups in the exposition) can be explained in relation to this tonal process. Because the B

group's F# serves an intermediate role rather than establishing a potential goal in analogy with E in the exposition, Bruckner has no need to emphasise V/F# at the end of the B group with any teleological intensification: instead, the music plainly resides on V/F# from bar 277 to 285 with decreasing dynamics before the sudden entrance of the C group in D major. C3 is also entirely omitted to accommodate V/A from bar 305 (corresponding to bar 121 in the exposition, which marks a dominant arrival in G major), which can be seen as a structural dominant before its tonic resolution at bar 309, where the coda begins. The V⁷-I progression here certainly contributes to a stronger sense of tonal return compared to what happens between the development and recapitulation. Still, a clear cadential expression is avoided here: although it is not impossible to regard the progression in question as an IAC, which is elided with the restatement of the A theme beginning with $\hat{5}$ in the coda, one could even question whether this is really a cadence at all because the dominant is better seen as having an ultimate position rather than a penultimate one.¹¹⁶

Table 9.15. Symphony No. 6 in A major, first movement, recapitulation

Bar	209	245	285						309
Formal function	Recapitulation [end]								
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i> <i>elaboration</i>				C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		
	A1	A1	B1	B1	B2	B1	C1	C2	
Tonal plot	A	→ V/F#	f#	E		F#	→ V/F#	D	→ A(V-I)

This dubious expression of cadence produces a further desire for more definitive closure with rhetorical strength equivalent to the one at the end of the exposition. This task is inevitably taken up by the coda, which is entirely occupied by the huge intensifying wave producing a strong teleological drive towards the apex at bar 353, where Bruckner chooses a plagal cadence again for the ultimate closure, which makes a striking parallel to the plagal cadence in the exposition. This unusually lengthy and complex coda is worth detailed investigation, especially given the extraordinary harmonic progressions occupying the coda's pre-cadential intensification process. Ramirez (2013) characterises the coda's

¹¹⁶ Note that the seventh and the leading note in V⁷ are not directly resolved in I, at least in the same register.

harmony as ‘juxtapositions of triads whose roots are related by perfect fifths and chromatic major thirds’ (165), which can be explained in Neo-Riemannian terms. Considering the form-functional context further clarifies the coda’s harmonic logic. As Example 9.7 demonstrates,¹¹⁷ despite a number of chromatic progressions, A major and D major chords (highlighted by stems and a dotted beam in the graph) articulate form-functionally important points (especially between each large phase), thus preserving the overall sense of A major (but through plagal motions rather than authentic ones).

¹¹⁷ In this graph, the progressions involving chromatic third relations are indicated by angular brackets, while slurs are used for the fifth-related progressions.

Example 9.7. Symphony No. 6 in A major, first movement, coda, formal functions and bass progression

bar:	309	313	317	321	325	329		337		345		353
	Phase 1 [beginning]				Phase 2 [middle]				Phase 3 [end]			
	<i>establishment</i>				<i>dissolution, elaboration</i>				<i>delimitation</i>			
	model	seq.1	seq.2	seq.3	seq.4	cont.1		cont.2		cont.3		cadential

chord: A f# D \flat A \flat E B G D A E B E A f# C# B \flat F C G E \flat C \flat F# D A B \flat F G \flat D \flat F# C# D - d A

(A: I vi) (A: IV I V V/V V I vi V/vi) (D: I V \flat VI B \flat : I V \flat VI G \flat : I V I V \flat VI) A: IV-iv I)

On this harmonic basis, the coda's constituent subparts display distinctive internal harmonic patterns. Phase 1 (bars 309–328), consisting of a four-bar model and its four sequences, largely involves a departure from A major to its subdominant, D major (bar 327), but mainly through an unusual combination of plagal progressions (mostly LR progressions in Neo-Riemannian terms) and PL progressions (Ramirez 2013, 163). The model (bars 309–313) restates the basic idea from the A theme with its inverted form at the same time in A major. This is followed by the coda's first sequence in F# minor, 'the crucial degree' as Korstvedt (2001) puts it, on which the A-theme idea is 'recast as a pure triad' (193). This F# minor chord is linked to C# major (expressed as Db) in sequence 2 by a plagal motion, which suggests that the C#/F# implication is again used as a starting point towards further instability (but in a reversed order, so signifying the rise of the plagal motion as a compelling structural force). From sequence 2 to sequence 4, the harmonic rhythm accelerates, suggesting growing intensity with the regular alternations of the plagal and PL progressions until reaching D major. Then Bruckner chooses another plagal motion to proceed to the next phase's initiation in A major, thus foreshadowing the coda's eventual plagal cadence. Phase 2 (bars 329–352) can be further segmented into three eight-bar phrases, all of which behave like continuations in that the previous four-bar basic idea is dissolved into a one-bar unit, mostly with a one-bar harmonic rhythm as well. Each continuation phrase has different harmonic patterns, which are set together to increase harmonic intensity as the music progresses. After continuation 1 (bars 329–336) delineates departure from A major to the C#/F# complex, Bruckner chooses an RP progression (this is the only occasion of this progression in the coda) to enter continuation 2 (bars 337–344) in Bb. This signals a further exploration into other key areas using LRs and PLs but in a different combination: four consecutive plagal progressions lead from Bb to G major, then two PLs to Cb, which is linked to F# through another plagal progression. After that, Bruckner picks up a PL again to proceed to D major – the later goal harmony opening the cadence (from bar 353) – for the start of continuation 3 (bars 345–352), which consecutively operates the combination of an LR and a deceptive resolution (I–V–bVI) until reaching F# (Gb) and C# (Db) which repeat themselves once (bars 349–352). This last appearance of the C#/F# element is finally purged by the forceful entrance of D major, the subdominant of the home key, through another deceptive resolution (referencing the harmonic

progression between the B and C groups in the recapitulation). This harmony opening phase 3 (bars 353–369), as Korstvedt (2001) notes, can be interpreted as ‘a delayed response to the emphasis on the dominant of D in the opening thematic statement’ (193). This subdominant implication is finally resolved by the plagal cadence, which is expressed by the closing progression IV–iv–vii^o $\frac{6}{5}$ –I in A major, with a triple-forte tutti. In sum, the coda recasts various harmonic implications foreshadowed in the previous sections (such as chromatic third progressions, the C \sharp /F \sharp instability and deceptive motions) and effectively integrates their resolutions into the teleological process (supported both form-functionally and dynamically) towards the final plagal cadence, which itself undoes the opening theme’s V/d implication. In this way, the coda successfully realises the final stage in the process of tonal return ongoing since the development.

The case of VI/1 demonstrates the increasing importance of the subdominant for expressing closure in Bruckner’s symphonies. Schmalfeldt (2022) recently explores the possibility of understanding the plagal cadence as part of the general Romantic tendency towards the ascendant role of the subdominant (including the closural role particularly) in certain expressive contexts, ‘from associations with the pastoral, with the world of night and dreams and magic, to implications of the ecstatic and, finally, to the expression of deepest grief’ (384). Although it is unclear whether Bruckner shares these expressive motivations, the composer’s treatment of the subdominant in his first-movement sonata form certainly conforms to this trend. At least, Bruckner’s first usage of a plagal cadence found in III/1, appearing as the final closure in the exposition as discussed in Chapter 6, can possibly be understood in an expressive motivation to some extent, as it probably appeals to the overall religious atmosphere, which governs the whole third theme group. However, it appears that Bruckner gradually pays more attention to the potential of bestowing a more structural role on the subdominant. The plagal cadence in the coda of IV/1, now adopted as the means of closing the entire movement, assumes a complementary confirmation of the home key E \flat major after the PAC in that key in the recapitulation as discussed above (p. 238). Still, it fulfils a crucial task in the large-scale tonal narrative around the resolution of C \flat by employing a minor subdominant to delineate the final closure with the direct C \flat –B \flat resolution. However, it is VI/1 that elevates the status of the subdominant and the plagal cadence to the most fundamentally structural level.

As discussed in Chapter 7, the plagal cadence at the end of the exposition provides an alternative, delayed tonic resolution (in the subordinate key, E major) in response to V/E at the end of the B group, saving the journey towards the expositional goal key from the tonal crisis created by C major. After the end of the recapitulation did not manage to express a satisfying definitive closure with a V–I progression, the coda employs a plagal cadence for this task, demonstrating that the subdominant eclipses the dominant in expressing the most structural closure in this movement. For this event, Bruckner tactically lays down the foreshadowing beforehand through the opening theme's V/d implication, even further rationalising his choice of the subdominant for this structural closure. This tendency with the subdominant continues to be observed in the next case, VII/1.

(5) VII/1

Like the previous cases (V/1 and VI/1), the recapitulation and coda of VII/1 (Tables 9.16 and 9.17) can be understood in the context of a large-scale tonal return, which is realised in a manner that addresses the tonal problem introduced in the movement's opening theme. A notable difference in VII/1 is that the tonal instability, which originates from the first theme and functions as the agent governing the tonal process over the entire movement, is represented by the presence of the home key's dominant (B) in the main theme, rather than by a chromatic element. As discussed in the previous chapters, the exposition presents a tonal process involving the gradual predominance of the B tonality until reaching its confirmation at the end of the C group, and the development reverses this process by delineating a return to the home key, gradually minimising the involvement of the dominant, which is especially evident in the evasive return of E major at the beginning of the A-group recapitulation. This situation requires the movement's remaining parts to achieve a stronger sense of return to the home key but still by downplaying the impact of the dominant, which has been arranged as the major instability throughout the movement. To fulfil this seemingly impossible mission, Bruckner imposes some extraordinary tonal events on the recapitulation.

In the A-group recapitulation (bars 281–318), A1 (bars 281–302) inherently reprises the pull to B major, but the ensuing unit (bars 303–318), functioning as the transition (thus replacing A1), demonstrates a desire to minimise this impact of B in connecting to the B group's home-key entrance. As

Example 9.8 shows, near the end of this unit, the music arrives at vii^{o7}/V in E major as if soon ending with the dominant. However, this diminished chord eventually converges into the single note of E at the entrance of the B group, without the expected expression of V. After this weak articulation of E at its outset, the B group, as in the exposition, unfolds itself in the floating tonalities imbued with chromatic third progressions. This B-group recapitulation is compressed so that it consists of only a theme and two variations, where the last variation (B1") is, however, much extended, functioning as a developmental phase within the B group (so evoking a large sentence over the B group, signalling a more urgent teleological drive than in the exposition). By beginning in E major (in first inversion), this B1" unit implies the attempted direction towards E major, but is eventually drawn to the B tonality by ending with an HC in B major. This V of B major probably signals the lingering B major pull. However, the C group begins in G major via a deceptive motion, conveying a sense of rejection, as if discarding the B tonality. The remaining part of the C group is inclined to express A major, the subdominant of the home key, which could play a crucial role in reaching the E major conclusion without the help of the dominant. The C2 unit, after launching itself in A major (bar 375), delivers the unconventional progression A–C–Eb–Gb–(Ab)–A (thus evoking octatonicism), which leads to the A major climax (bar 385). As Example 9.9 demonstrates, the progression after this climax facilitates a connective approach to E at the beginning of the coda. This can be approximately grasped either as a I–V progression in A major or as a IV–I progression in E major. However, Bruckner intentionally obscures both interpretations, especially by emphasising F minor (locally tonicised in bars 377–390) just before reaching E.

This situation, of course, necessitates the task of expressing the more satisfying confirmation of the home key in the coda. As shown in Example 9.9, its first part (which can be seen as the sentential continuation without its preceding presentation), albeit on the timpani's E pedal, first expresses modulations towards the sharp-side tonal regions (from E minor to B minor, then to F# minor) until bar 402 as if signalling the last challenge of the dominant pull. Then, it changes direction again to mark B minor (the last appearance of the B tonality) at bar 406, which, however, eventually concedes to A minor (bar 409), the home key's minor subdominant. This crucial degree A gets involved in producing the final plagal cadence (albeit modified by the insertion of a diminished seventh chord) in E major, which is

elided with the lengthy tonic *Klang* (the coda's second part) dramatised by a triumphant crescendo. This event certainly reconfirms Bruckner's tendency to elevate the structural status of the subdominant and exploit its potential in expressing the definitive closure. In VII/1, Bruckner situates this in the idiosyncratic process of undermining the dominant's traditional role.

Table 9.16. Symphony No. 7 in E major, first movement, recapitulation

Bar	281	303	319	327	335	363	375
Formal function	Recapitulation [end]						
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i> <i>elaboration</i>			C [end] <i>confrontation</i> <i>elaboration</i> <i>(connection)</i> <i>(delimitation)</i>	
	A1	TR	B1	B1'	B1" (ext.)	C1	C2
Tonal plot	E → V ⁶ /G		(e) →	(F [♯]) →	(E ⁶) →	V/B	G → A

Example 9.8. Symphony No. 7 in E major, first movement, recapitulation, bars 312–321

(TR) B group

(e) 320 29

E : I vii^{o7}/V (i)

Table 9.17. Symphony No. 7 in E major, first movement, coda

Bar	391	413
Formal function	Cont./Cad. [middle/end] <i>elaboration</i> <i>dissolution</i> <i>delimitation</i>	Codetta (' <i>Klang</i> ') [after-the-end] <i>stabilisation</i>
Tonal plot	(V/a?) → e → G → b → f → b → e: iv (vii ^o ₅₋₃) I (PC)	

Example 9.9. Symphony No. 7 in E major, first movement, coda, bars 385–412

40 (C2) Coda

390 *W* Sehr feierlich

41

400

410

W (Sehr feierlich)

W (Sehr feierlich)

A f# f E (a)
 (A: I vi bvi V)

D b a
 (b: III i (e: ii vii^{o7}/iv iv vii^o § 4 I)

E (from bar 413)
 'Plagal cadence'

(6) VIII/1

Table 9.18. Symphony No. 8 in C major, first movement, recapitulation and coda

Bar	225	279	311	331	341	390
Formal function	Recapitulation [end]					Coda [after-the-end]
	A [beginning] <i>establishment</i>		B [middle] <i>confrontation</i> <i>elaboration</i>		C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>	
	A1	A1'	B1	B1'(comp.)	C1	
Tonal plot	(C) → c(⁶ / ₄) → V/Db → (c) → Eb(⁶ / ₄) → V/Eb Cb → vii ^{o7} /G c → (no cadence)					

In the recapitulation of VIII/1 (Table 9.18), as the previous chapter has already discussed extensively, the dissonant counter-structure (the Db/Bb element) mostly involves the way the A group returns, contributing to the dubious expression of the home key in that group. Apart from this, the recapitulation's inter-thematic-level tonal plot can largely be grasped in a diatonic context. The tonal movement from C minor to Eb major (for the B group), then again to C minor (for the C group), with which the B group expresses only a mild degree of instability, suggests a desire to reside in the diatonic C minor region (of course, still with local-level chromaticism as in the exposition) in response to the exposition's outward tonal journey from C minor to Eb major, a process which was in its middle challenged by G major and Eb minor (probably reflecting the influence of the Db/Bb counter-structure). However, Bruckner avoids the unequivocal cadential confirmation of the home key in the end. The entire C group is projected as a dynamic intensification as if heading towards the ultimate confirmation of the home key at its climax. We are nearly there in bars 381–385, where a diminished third chord (or an inverted German sixth) proceeds to the tonic 6/4 chord with a triple-forte tutti. As Horton (2004, 135–136) points out, this diminished third chord can be regarded enharmonically as V⁷ of Db (in third inversion). Its progress to C minor may convey a sense of resolution by overcoming the final challenge of the Db element into C minor. However, after expressing this 6/4 chord, the tutti just evaporates, leaving behind the brass and timpani playing the A theme's head motive only with a single note, C, without any cadential completion. This extraordinary C-group ending still delivers a sense of delimitation but leaves much room for later

events, which could more firmly express the cadentially articulated home-key settlement. The ensuing coda famously does not fulfil that desire, however. Exceptionally for Bruckner, this coda is highly immobile both tonally and dynamically, simply prolonging the incompletely attained home key with a pedal note without further cadential attempts, while repeatedly recalling the A theme's basic idea, which is arranged to end with a root-position C major triad. Still, as Example 9.10 shows, a slight sense of resolution is expressed by a progression of the B \flat minor chord proceeding to C major via vii $^{\circ 7}$, albeit blurred by the C pedal.¹¹⁸ However, for a more complete cadential expression in the home key as well as the more definite kind of resolution of the D \flat /B \flat counter-structure, we have to wait until the finale.¹¹⁹

Example 9.10. Symphony No. 8 in C minor, first movement, coda, bars 392–400

c: (bvii $^{\circ 7}$ - 7) (vii $^{\circ 7}$) I

(7) IX/1

In IX/1, as discussed in the previous chapter, the entire development faithfully reflects, in its magnified two-part structure, the A theme's double-theme organisation – A1 and A2 – in the highly unstable developmental context. Its second part even conveys the sense of the home-key return in

¹¹⁸ As Horton (2004, 138) notes, because of D \flat 's persistence here, this C major chord could also sound as V of F minor.

¹¹⁹ For the discussion on the further process around D \flat dissonance in other movements and its resolution in the finale, see Horton 2004, 138–141.

bar 333, albeit temporarily, with the A2 reprise (although this soon dissolves into further developmental action). When XI/1's recapitulation proper (Table 9.19) begins with the B theme in the home-key major after that, we may recognise in retrospect that the A-theme-based development has pre-empted the inter-thematic-level beginning function within the recapitulation. This situation causes an intriguing temporal issue around the B-theme recapitulation. From the thematic and rhetorical perspectives, this B group can be perceived as the temporal middle, but when taking tonal aspects into account, the B group can sufficiently be heard marking the beginning of the recapitulation section proper given that, although the majority of the recapitulation is tonally flowing, both the B group's initiation and the C group's ending are articulated in the home key, thus clearly delineating a stable–unstable–stable tonal plot. At the centre of the expression of the middle instability in this inter-thematic level tonal process is the movement's ongoing involvement of the dissonant counter-structure, which is first introduced in the movement's opening theme as the chromatic C \flat element mediated via E \flat . After starting in a fully articulated D major (adequately prepared by V at the end of the development section), the B group suggests a tonal motion towards the C \flat tonal area. Accordingly, the third statement of B1 (B1", the second variation in the exposition), which would otherwise arrange a return to the initiating key of D major, is completely removed in the recapitulation in favour of this directed tonality, which results in the B group's end on vii^{o7} of B minor (enharmonically C \flat minor). By starting in that key, the subsequent C group highlights the C \flat dissonance as an inter-thematic phenomenon in contrast with its exposition counterpart, in which the C \flat element works only as the C group's internal instability in the context of the diatonic tonal direction from D minor to F major. However, as Horton (2004) points out, this arrangement 'engenders an act of resolution' (142) by ultimately proceeding towards the home key: '[f]or the first time in the movement, C flat constitutes a point of tonal departure, and D minor behaves as a goal, which, once attained, is sustained' (ibid.). However, the way of ending the C group suggests that the attainment of the home key cannot be achieved with ease. After its initiation in G \flat major (the key closely related to both C \flat and E \flat), the C2 unit delineates a chromatic bass ascent in the way of intensification until reaching a massive climax in bars 493–503. This climax features an

extraordinary sonority, which combines an Eb minor seventh chord with F in the bass as if expressing the final conflict caused by the dissonant counter-structure against the diatonic tonality. The subsequent calm passage (from bar 505) underscores the exit out of this conflict: while temporarily encompassing Eb minor and Db minor via a sequential motion, the influence of F in the bass persists by way of a neighbour motion (with Gb in bar 506 and Fb in bar 508) and engages in initiating a cadential progression (from bar 509), which eventually closes the recapitulation with an HC in D minor in bar 516.

Table 9.19. Symphony No. 9 in D minor, first movement, recapitulation

Bar	421	439	459	467	479
Formal function	Recapitulation [end]				
	B [(beginning)/middle] <i>establishment</i>		C [end] <i>confrontation</i> <i>elaboration</i> <i>delimitation</i>		
	B1	B1'	C1	C1'	C2
Tonal plot	D → A → Bb → vii ^{o7} /b b d Cb bb Gb → V/d (HC)				

The ensuing coda (Table 9.20) is supposed to complete the tonal return to the home key by articulating an authentic cadence, which is uniquely realised by the unison motion of G–A in bars 549–551. The process towards it follows some familiar patterns found in the earlier symphonies. Its beginning part (bars 517–530) is based on static tonic prolongation (featuring the A2 theme’s dotted-rhythmic motive with a downward octave leap and triplet falling figure at the same time). This is followed by the intensifying continuation (from bar 531) heading towards the final cadence, which is dramatised with a cadential gap (bars 548). However, there are some radical harmonic progressions rarely found in the earlier cases. Reinstating the tonal implication around the dissonant counter-structure, the continuation part (from bar 531), through a model–sequence procedure based on the original A2 theme’s cadential passage (bars 71–73), suggests a tonal motion from D minor towards the Cb dissonance. For this, Bruckner chooses an extraordinary path suggesting an octatonic implication, which starts in D minor, passes through F minor and Ab, and reaches Cb minor (enharmonically B minor). This Cb minor proceeds to E minor, referencing the similar progression in

the original A2 theme (of reinterpreting Cb as the dominant of E minor; see bars 70–71), then finally engendering the pre-dominant chord (ii) of D minor, which initiates the D minor cadential progression. In short, now, the process of purging the Cb counter-structure is directly involved in generating the authentic cadence in D minor, maximising the sense of resolution. The following *Klang* (from bar 551) further engages in purging another important dissonant element, Eb, on the emphatic tonic pedal until its final resolution in bars 562–563 with the implication of a Phrygian close.

Table 9.20. Symphony No. 9 in D minor, first movement, coda

Bar	519	531	551
Formal function	Pres. (sentential) [beginning] <i>establishment</i>	Cont./Cad. [middle] <i>elaboration</i> <i>dissolution</i>	Codetta (' <i>Klang</i> ') [after-the-end] <i>stabilisation</i>
Tonal plot	d: i	d f ab b (e)	d: ii [#] ₅ V i (PAC)

Summary and Bruckner's Conception of Sonata Form as a Whole

The investigation of Bruckner's recapitulations and codas in this chapter shows how he gradually refined his end-orientated sonata conception in line with his three-theme disposition and the large-scale tonal discourse. The cases from his earlier symphonies still reflect the influence of the Classical tonal discourse that involves resolving tonal opposition by restating the first and second themes in the same key and expressing the ESC at the end of the second theme. This approach can produce slight inconsistencies with Bruckner's three-theme conception established with the teleological tonal motion in the exposition, leading to the premature settlement of tension and an ambiguous position of the C theme. Bruckner alleviates this issue by emphasising local-level tonal instability, which is supposed to be resolved in the coda, as well as the rhetorical strength of the final cadence in the coda. In his later symphonies, Bruckner adopts more dynamic tonal plots for the recapitulation, involving off-tonic B or C themes, along with further deferral of the definitive cadence into the coda. This tonally mobile arrangement is not only well suited to Bruckner's three-theme conception and post-Romantic harmonic idioms but also enhances large-scale teleology by engaging in the gradual resolution of dissonant counter-structures and the gradational expression of tonal return over the

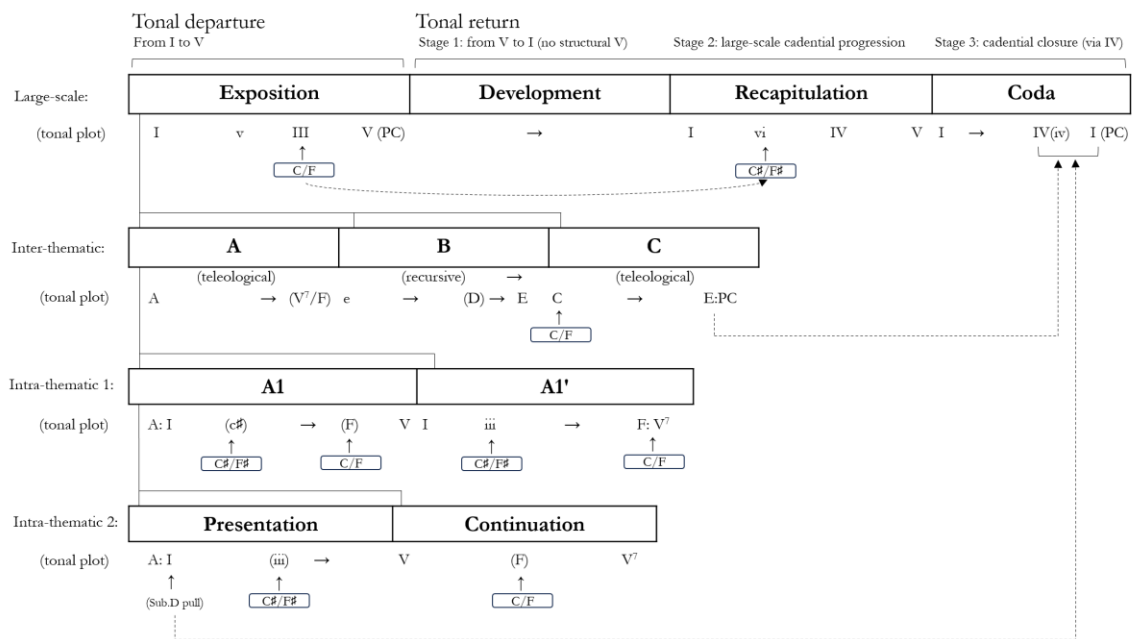
development, recapitulation and coda, which serves as the final stage to resolve remaining tonal problems (apart from the special case in VIII/1). This perspective challenges Darcy's (1997) frame, which posits a failed recapitulation (with the alienated secondary theme) and redemptive coda. Instead, these two large sections fulfil their roles in the context of the purposely continuous and unbroken process rather than expressing formal failure and its correction. In sum, the seemingly unorthodox tonal motion around the recapitulation and coda is better understood not as a deformational tendency but as motivated by the effort to achieve better formal integrity and inner consistency.

Throughout this study, we have delved into Bruckner's strategy for sonata form at various formal levels, largely adhering to the form-functional bottom-up logic. This approach can provide the groundwork for an overarching view of Bruckner's large-scale sonata conception, as the composer's method of constructing logical sonata processes mirrors this bottom-up logic. This is particularly evident in how Bruckner delineates the opening theme and uses it as a pivot for subsequent higher-level tonal/formal events. As discussed in Chapter 3, Bruckner's opening themes typically convey a sense of gradual development, often marked with daring tonal instability (or dissonant counter-structure), especially in his later symphonies. This tonal instability within the opening theme likely has a close relationship with Bruckner's characteristic formal expansionism, as addressing such instability could necessitate a sufficient thematic length. When this instability permeates higher levels, it could then influence the length of the entire form, which would be required to express a satisfactory resolution of such large-scale instability.

The correlation between formal expansion, tonal instability in the first theme and its large-scale implication is hinted at but not always clear in the early symphonies. For instance, the opening theme of II/1 is moderately long with four continuation phrases, and this length can be attributed to the need to resolve the instability created by the temporary internal modulation to E \flat major/minor (see Example 3.7 in Chapter 3). One could associate this intra-thematic tonal event to the movement's large-scale tonal plot in which E \flat major is set as the subordinate key. However, it remains unclear whether Bruckner really intended this kind of correlation between local-level and

higher-level tonal events, given that this movement is still under the influence of the conventional sonata principle – the first and second themes are firmly rooted in C minor and Eb major respectively with PACs in the exposition and both attained PACs in C minor in the recapitulation. In the case of III/1, it is generally the textural and dynamic factors that mostly propel formal expansion in the A group. Certainly, the rhetorical devices practised here, such as gradual textural densification supported by string tremolandi and long crescendo dynamic, are important components of Bruckner’s expansive sonata design and provide effective backdrops for the expression of formal processes. However, in terms of large-scale tonal narrative, as discussed earlier in this chapter, it appears that the earlier symphonies still rely more or less on the Classical sonata principle to express sonata dynamics.

Figure 9.1. Bruckner Symphony No. 6 in A major, first movements, the entire sonata design



It is in the later symphonies, post the Third, where we find more logical justification for Bruckner’s exceptionally expansive symphonic conception, especially with the careful coordination of intra-thematic tonal events and their higher-level implications. Focusing primarily on how each formal level addresses tonal/harmonic instability, Figure 9.1 graphically illustrates this conception, exemplified in VI/1, which embodies the composer’s mature sonata concept in the most straightforward way. As discussed in Chapter 3 (43–48), the lowest level (intra-thematic level 2)

exhibits a process that erodes the initial tonic (which is itself ambiguously cast with the implicit subdominant pull) through two types of dissonant elements – the more diatonic C#/F# element and the more chromatic C/F element – in the opening thematic unit (A1). This process facilitates a gradual temporal unfolding (directed towards the temporal middle), aligning with the sentential syntax. Its final dominant chord temporarily settles the instability caused by these elements, expressing a thematic end, albeit not definitively so as to reserve a stronger sense of closure for higher level formal events. At the intra-thematic level 1, the doubly sentential formal logic (see Table 4.1 in Chapter 4) in the A group accommodates the intensified reiteration of the dissonant elements, leading to a stronger expression the temporal middle. The resultant final chord V⁷/F articulates the formal end at this level, aided by dynamic and textural manipulation, although this signals a tonal departure from the home key under the influence of the C/F element. The inter-thematic level situates the expression of tonal instability in the gradual tonal journey from A major to E major, which is only settled by the plagal cadence at the very end of the exposition. The C/F element arises as the crucial agent for instability at this level, involving both the A–B and B–C groups’ formal boundaries. This expositional process is further enriched by the dialectical discourse of two contrasting temporal modes (teleological and recursive) supported by the internal formal process of each theme group.

The sonata form as a whole at the large-scale level aptly responds to the dynamic processes bequeathed by the lower levels in a way that points towards the renovation of the sonata principle. The Classical sonata narrative, with its direct tonal opposition and resolution, is reinterpreted here as the exposition’s continuous tonal departure followed by a gradual homecoming journey, to which each subsequent large-scale part makes meaningful contributions in three stages. After the development delineates a provisional tonal return (with the evasive expression of the home key return at its end), the recapitulation provides a more fundamental sense of return through a large-scale cadential progression in which the C#/F# element plays a crucial role in responding to the exposition’s tonal involvement with the more chromatic C/F element, thereby expressing an adequate sense of resolution even given the recapitulation’s tonal mobility. Finally, the definitive tonal

return is expressed by the coda, which presents its plagal cadence as the ultimate closure with strongly emphasised rhetoric while resolving harmonic implications (especially subdominant-orientated elements) foreshadowed earlier.

This sonata conception, characterised by the germination of often audaciously unorthodox local-level harmonic instability in coordination with the large-scale tonal departure/return and its close interaction with hierarchical formal syntax, governs most of Bruckner's mature symphonic first movements in various ways. In IV/1, the semitonal implication created by the C \flat dissonance in the opening theme impacts higher-level syntax. It involves the expositional tonal journey from E \flat to B \flat , plays a crucial role in the process of securing the home key in the recapitulation by engaging in the production of a structural PAC in E \flat , and it provides a complementary confirmation in the coda through a plagal cadence resolving the C \flat implication directly. In V/1, it is the hexatonic implication that creates meaningful instability in every formal syntax. Initially foregrounded around B \flat , G \flat and D in the introduction and the first theme, this chromatic-third relation grows as the major instability at the expositional level, especially through the F–D \flat major progression (a transposed version of B \flat –G \flat) between the B and C groups, thus threatening the diatonic fifth-based tonal path from B \flat to F. This third relation is, however, diatonically reinterpreted (G minor and E \flat major) in relation to the home key B \flat major in the recapitulation, partly conveying a sense of resolution in the context of the return tonal journey before the coda provides a more direct resolution by involving this chromatic tension in producing a PAC. In VII/1, the pull towards the dominant B major in the opening theme not only affects the expositional tonal plot of gradually establishing B as the tonal centre, but also causes an idiosyncratic tonal plot over the rest of the movement. The expression of the return to the home key E major is executed with the declining influence of the dominant, which ultimately results in the plagal cadence in the coda. In the case of VIII/1, the opening theme's semitonal conflict between C and D \flat mostly affects the large-scale return process, especially evident in the dramatically delineated development-recapitulation elision. However, the desire for resolving this tension is only partially met in the recapitulation and coda, reserving a more complete resolution to later movements.

XI/1 partly follows the model suggested in III/1 in that the A group's double-theme arrangement with long dynamic intensification is the crucial element for the expansive formal design. However, the C_b dissonant counter structure embedded in the A1's antecedent further enriches the formal logic in the harmonic dimension. As discussed in Chapter 3 (see Example 3.9), the A1 theme's exceptionally long continuation part primarily supplies a place for meaningful motivic developments in a teleological sense. However, it could also be heard as a consequential response to the radical tonal dissonance by C_b, justifying the extended time span which would be required to go back to the home key D minor in a convincing way. The A theme's impact on the large-scale form in IX/1 is obvious. As discussed in Chapter 8, the expansive, peculiar concept of the A group later affects the entire development section. In addition, the C_b counter structure dramatises the tonal progress from D minor to F major within the C group in the exposition, while in the recapitulation, it reappears as the opening key of the C group and engages in the expression of the tonal return to D minor, thus facilitating a strong sense of resolution. This is corroborated by the coda, which readdresses the C_b counter-structure to create a massive PAC in the home key.

As discussed in Chapter 1, Halm (1914) aptly described Bruckner's form as a process of 'epic succession', which maintains musical 'consequentiality' over discrete formal blocks. Despite the theoretical ambiguity of Halm's idea (as criticised by Christensen 2011), my approach to Bruckner's sonata conception provides a new possibility to reappraise this perspective. The way the music proceeds in Bruckner's sonata form, moving from a given formal unit to another in a seemingly episodic manner, essentially promotes thematic individuality (or 'corporeality' in Halms term), which is further secured in the composer's characteristic long breaths. However, the presence of local-level dissonant counter-structures not only enrich this thematic individuality, but also achieve consequentiality through its subsequent growth at higher formal levels. The present study concretises such consequential logic in light of the modern form-functional theory by tracing form-functional continuity as illustrated through the beginning-middle-end paradigm, which is largely generated from the process of addressing harmonic instability at a given level.

Conclusion

This study has examined Bruckner's approach to first-movement sonata form in his symphonies by paying particular attention to processual-formal aspects at every hierarchical level in light of a modified form-functional framework based on the beginning–middle–end paradigm. Bruckner's core tactic for multi-level manifestations of formal syntax can be summarised as the expression of a continuous temporality occurring across discrete formal groupings. The emphatic presence of easily discernible grouping structures at every level – particularly evident in the well-balanced three-part exposition – functions as a vessel for manifesting thematic individuality and contrast in ways that are consistent with Romantic ideals. This ostensible formal discretion is, however, regulated by the expression of more continuous temporal progress utilising late-Romantic harmonic and tonal languages which foreground chromaticism, constant modulation and cadential sparsity, all of which ultimately generate even stronger goal-directedness by escalating a desire for eventual stabilisation. This is further dramatised by Bruckner's characteristic 'wave dynamics', which provide listeners with even more vivid temporal experiences.

The previous chapters have traced these formal strategies on various formal levels. Chapter 3 discusses Bruckner's treatment of the lowest-level syntax (intra-thematic level 2) through the examination of the opening thematic units of each symphony. Although Bruckner's nineteenth-century harmonic idioms are distinct from Classical practices, as particularly evident in his arrangement of dissonant counter-structures in the first theme, they are, in turn, used in a way that strengthens the linear expression of the beginning–middle–end temporal cycle inherent in sentential construction. Chapters 4 to 6 cover the higher-level syntax (intra-thematic level 1) in each theme group, which employs distinctive formal organisation. In the first group, despite the existence of discrete thematic units, they together create a meaningful overarching temporal cycle while promoting a forward-moving temporal mode at every formal level. This spirit is conveyed either by interconnecting the sentential A1 and A2 units ('double-theme scheme') in a directly teleological way or by arranging a doubly sentential construction through A1 and A1' ('restatement scheme'), the latter of which incorporates the transition function into A1's restatement. In both cases, the presence of

wave dynamics brings additional coherence and continuity to the whole A group. In the B group, its constituent thematic units are usually organised as a variation set, thus promoting a sense of timelessness at first. However, in the end, they allow the gradual permeation of the overarching temporal progression, aided by the hybridisation of ternary form and the underlying teleological tonal discourse. The C group fully restores the teleological temporal mode, usually with the overarching syntax consisting of the presentational beginning, developmental middle and closural end, in line with a strong drive towards the definitive cadence at the exposition's end. These three theme groups together form a dialectical temporal dynamic in which the teleological temporal spirit is challenged by atemporal stasis but ultimately overcomes it. As discussed in Chapter 7, this overarching discourse is further corroborated by the continuous tonal motion across the discrete three-theme groupings. This reconstructs the sonata principle's tonal opposition into the gradual tonal journey from the home key to the subordinate key, which makes the major portion of the exposition tonally mobile. In the development, as discussed in Chapter 8, the prevalence of the sentential type of temporality (in a much looser form) serves to express unceasing instability. This organisation is often combined with the strategic arrangement of overarching dynamic waves, which help retain continuity over the constituent units with different expositional thematic materials. As discussed in Chapter 9, whereas Bruckner's recapitulations in his earlier symphonies reflect the influence of Classical tonal discourse, in his later symphonies, Bruckner adopts more dynamic tonal plots for the recapitulation, involving off-tonic B or C themes, and further deferral of the definitive cadence into the coda, enhancing large-scale teleology by engaging in the gradual tonal return process and the resolution of dissonant counter-structures. All in all, the essence of Bruckner's sonata conception lies in his strategy of featuring the emergence of local-level harmonic instability in coordination with the large-scale tonal journey and its intricate interplay with the hierarchical formal syntax.

Through the analyses presented in this study, not only have Bruckner's general strategies in each formal stage been codified, but also the evolution of Bruckner's formal style across his symphonic output has been discerned. The analytical findings of each chapter challenge the notorious clichéd perception that Bruckner repeatedly uses the same formal schema (as exemplified in Schalk's comment cited in Chapter 1). Instead, it is revealed that Bruckner's approach to form generally

evolved in a way that strengthens form-functional integrity and teleological continuity in accordance with his unique musical language, leading to his mature style involving, for instance, dissonant counter-structures, development–recapitulation elision and cadential deferrals. This, in turn, demonstrates Bruckner’s commitment to developing his craft and individualising sonata form in a painstaking and inventive way.

All these observations further suggest the following implications of the present study in the context of Bruckner scholarship on the issue of form. First, this study productively responds to Halm’s and Kurth’s pioneering accounts of Brucknerian form in a modern theoretical context. Halm’s idea of ‘epic succession’ resonates with the temporal continuity over discrete formal groupings as highlighted by my study’s modified form-functional approach, which reveals that Bruckner’s form-functional arrangements enable him to pursue both thematic individuality and teleological continuity in line with what Halm calls ‘corporeality’ and ‘consequentiality’ respectively. Likewise, attention to the hierarchical disposition of temporal strata as the conceptual formal background in Brucknerian form resonates with Kurth’s approach based on hierarchical arrangements of ‘wave dynamics’, although I replace his energeticist model with a more pitch-centred framework based on harmonic/tonal stability and instability, which is in line with the modern form-functional approach whilst recognising the subsidiary role of dynamic waves.

Second, this study reconfirms and expands the role of the dissonant tonal complex or dissonant counter-structures – the concept introduced and developed by Korstvedt (2001) and Horton (2004) – in Bruckner’s form-functional syntax. As discussed in Chapter 1, Korstvedt generally discusses its role only in the context of the first theme’s several statements over the movement, whereas Horton takes into account its impact on deeper tonal structures. My study goes further to uncover that its influence (in the later symphonies) is almost universal as the main source of supplying instability at various formal levels. To this extent, dissonant counter-structures engage deeply in sonata form’s inherently hierarchical temporal process rather than functioning as a separate principle. This perspective explains the seemingly abnormal tonal settings (especially those around the second theme, which is considered ‘alienated’ by Darcy) as the composer’s purposeful arrangements for reinforcing such a process.

Finally, this study calls for a redefinition of Bruckner's relationship with the traditional notion of sonata form, especially understood in terms of the 'sonata principle'. The tonal progress in Bruckner's sonata form can be summarised in general as a gradual and continuous tonal journey from the main key to the subordinate key across the exposition's three theme groups, followed by a homecoming tonal journey that is gradationally realised in the subsequent large-scale parts (development, recapitulation and coda). This conception, albeit seemingly different from the sonata principle's main assumption of a tonal opposition by two expositional themes and its resolution through a restatement of the themes in the same key, still retains the major sonata dynamic of expressing instability and its overcoming. Rather, Bruckner's music manifests this dynamic in a continuous and extended manner suitable to its Romantic context: it is a renovation of the sonata principle rather than a radical deviation or deformation from it. Such a renovation or individualisation of form is, of course, not fundamentally unique to Bruckner. The idea of the tonally mobile recapitulation (particularly with an off-tonic second theme) is, for instance, already found in Beethoven's 'Egmont' Overture. This perspective reconfirms the validity of Horton's comments (2005) that such a Beethovenian heritage 'enables a diversity of formal procedures that the relative homogeneity of the classical style constrains' (11). Along with other Romantic composers, Bruckner's symphonic music obviously constitutes part of the post-Beethovenian tradition by endeavouring to embody sonata processes and their temporal implications in a way compatible with his late-nineteenth-century musical style.

All in all, the present study demonstrates that neither Cooke's view that Bruckner's sonata form has 'no need to go anywhere, no need to find a point of arrival' (1980, 366), nor Schenker's belittling of Brucknerian form as a matter of 'potpourri', nor the persistent tendency to alienate Bruckner's form from mainstream symphonic history are well founded. My analyses rather reveal that Bruckner was highly attentive to sonata form's intrinsic dynamic process by effectively arranging form-functional syntax in accordance with a teleological tonal plan. Indeed, they highlight the need for an approach which acknowledges that sonata form can be flexible and diverse as long as its unique temporal logic is adequately present, rather than relying on a too firmly idealised conception of formal normativity, which regards seeming deviations as at best exceptional and at worst illogical.

An abstract re-conception of sonata form (guided by form-functional theory) as a hierarchical temporal process based on the dialectical interaction between stability and instability offers one reasonable alternative, which allows us not only to unearth Brucknerian form's processual logic in a consistent and unified theoretical way but also to address Bruckner's diverse formal and harmonic innovations beyond Classical conventions. Although my study confines its scope to the first movements, I expect that this approach can also be helpful for investigations of Bruckner's other symphonic movements (especially finales) in future research. It is hoped that this study furnishes a meaningful starting point for delineating a larger picture that encompasses Bruckner's vast symphonic outputs in light of the new *Formenlehre*. A full comprehension of Brucknerian form is yet to come, but I believe that we are closer to it than at any point in the past.

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