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KIM, KYOUNG-IM

A CRITICAL ANALYSIS OF THE FIRST MOVEMENTS OF SCHUMANN'S
PIANO SONATAS, OPUS 11 AND OPUS 22 (VOLUMES I AND II)

The University of Oklahoma

D.M.A.

1980

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THE UNIVERSITY OF OKLAHOMA
GRADUATE COLLEGE

A CRITICAL ANALYSIS OF THE FIRST
MOVEMENTS OF SCHUMANN'S PIANO
SONATAS, OPUS 11 AND OPUS 22

VOLUME I

A DOCUMENT
SUBMITTED TO THE GRADUATE FACULTY
in partial fulfillment of the requirements for the
degree of
DOCTOR OF MUSICAL ARTS

BY
KYOUNG-IM KIM
Norman, Oklahoma
1980

A CRITICAL ANALYSIS OF THE FIRST
MOVEMENTS OF SCHUMANN'S PIANO
SONATAS, OPUS 11 AND OPUS 22

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CHAPTER I

INTRODUCTION

Schumann's piano sonatas embraced and cultivated Romantic style more fully and consistently than any other sonatas from the first half of the nineteenth century that still survive in today's repertoire.¹ The movements of his sonatas are charged with intense emotion and lyricism. Schumann's sonatas are endowed with strong pianistic interest and have held the affection of the pianist for over a hundred years.

It has been pointed out that Schumann's highly individual Romantic temperament was not always congenial to the formal balance and symmetry of the Classical sonatas, especially in the sonata-allegro movements.² However, Schumann's difficulty in coming to terms with the sonata as it was cultivated by his predecessors³ must be understood in the context of the social and aesthetic background of the 1830's when his sonatas were written. It seems natural for a composer to deviate

¹William S. Newman, The Sonata Since Beethoven (Chapel Hill, North Carolina: University of North Carolina Press, 1969), p. 265.

²Kathleen Dale, Nineteenth-Century Piano Music (New York: Da Capo Press, 1972), p. 80.

³Gerald Abraham, ed., Schumann: A Symposium (London: Oxford Press, 1952), p. 47.

from the standard formula of a particular musical form if the formula is inadequate to express the composer's thoughts and emotion. Schumann himself made this point very eloquently:

There is a class of sonatas which are most difficult to discuss; they are those correctly written, honest, well-meant sonatas which the Mozart-Haydn school produced by the hundreds and of which even today specimens are brought to light here and there. If they are criticized, the common sense of the one who produced them would have to be criticized. They have natural cohesion, well-proportioned structure But certainly to attract attention, indeed even to please, takes more than simply being honest In short, the sonata style of 1790 is not that of 1840; the demands as to form and content have risen everywhere.¹

William S. Newman acknowledges the danger of measuring the value of Schumann's piano sonatas against Classical criteria:

. . . all too many listeners today cannot help evaluating even Schumann in terms of Beethovenian standards. If they no longer balk at his "failure," . . . to comply with a posteriori textbook descriptions of "sonata form," they still find it difficult to hear and enjoy Schumann's sonatas on his own Romantic terms.²

Despite their significance, Schumann's piano sonatas have not been fully appreciated,³ and "an over-all study of his sonatas is unexpectedly and conspicuously lacking."⁴ His sonatas are only briefly discussed by Fuller-Maitland⁵

¹Thomas Alan Brown, The Aesthetics of Robert Schumann (New York: Philosophical Library, 1968), p. 73.

²Newman, The Sonata Since Beethoven, p. 267.

³Shedlock says that Schumann's piano sonatas are of comparatively small moment in the history of the keyboard sonatas. See John S. Shedlock, The Pianoforte Sonata (New York: Da Capo Press, 1964), pp. 207-209.

⁴Newman, The Sonata Since Beethoven, p. 261.

⁵J.A. Fuller-Maitland, Schumann's Pianoforte Works (London: Oxford University Press, 1927), pp. 23-26 and 31-32.

and Dale¹ in the broader survey of Schumann's entire output for the piano. Several dissertations on Schumann's piano sonatas are more concerned with the historical background of his sonatas.² The analysis of Schumann's piano sonatas contained in these dissertations is rather limited and mostly confined to a traditional stylistic analysis. As far as this author knows, there has not been a substantial study which is totally devoted to the critical analysis of the sonata-allegro movements of Schumann's piano sonatas.

This study is initiated from the awareness of the great need for the in-depth exploration of Schumann's piano sonatas. Limiting the scope of analysis to the first movements of his two major sonatas, Opus 11 and Opus 22, this study attempts to explain how musical tension and release are created and balanced in these compositions of Schumann, and how the handling of tension and release affects the musical process. This study also will point out that these characteristics of Schumann's movements represent a redefinition of the function of events in the sonata-allegro design

¹Kathleen Dale, "The Piano Music," in Schumann: A Symposium, ed. by Gerald Abraham (London: Oxford University Press, 1952), pp. 42-48 and 83-84.

²Dean Elmer Boal, "A Comparative Study of the Existing Manuscripts and Editions of the Robert Schumann Sonata in F-Sharp Minor, Op. 11, for Piano" (D.M.A. dissertation, University of Colorado, 1959).

James Ronald Rathburn, "A Textual History and Analysis of Schumann's Sonatas, Op. 11, Op. 14, and Op. 22: An Essay Together with a Comprehensive Project in Piano Performance" (D.M.A. dissertation, University of Iowa, 1976.)

rather than a rejection or a misuse of the form. Through a detailed analysis of these first movements of his sonatas, this study hopes to provide a deeper appreciation and understanding of the musical worth of Schumann's sonata-allegro movements, an understanding that may be useful to performers in comprehending and rendering his sonatas more musically.

During 1881-1893, Breitkopf and Härtel published Robert Schumann's Werke, 14 series in 31 volumes, which were edited by Clara Schumann and Johannes Brahms. This edition has been reprinted in the Kalmus Study Scores. In this study, Kalmus scores will be used, since they are the most authentic editions now available.

The primary analytic method in this study is Leonard B. Meyer's analytic approach which is profoundly explored in his book, Explaining Music.¹ In addition, this study will use the traditional techniques of formal analysis.

Sonata-allegro Form

The sonata-allegro form, the most important instrumental design to evolve in Western music, was largely derived from the rounded binary form (|: A :||: BA :|) of the Baroque suite movements. The first section of a Baroque rounded binary movement starts with the tonic and modulates to the dominant or relative major; the second section has some brief development or variation of the materials from the first

¹Leonard B. Meyer, Explaining Music (Berkeley: University of California Press, 1973).

section and then moves back to the tonic. The sonata-allegro form of the preclassic period was greatly influenced by the tonal structure of the Baroque rounded binary form and involved relatively little thematic development, which is crucial in the fully evolved sonata form.

Representative examples of the fully developed sonata-allegro form can be found in the mature works of Haydn and Mozart. One of the essential principles underlying the full-fledged Classical sonata-allegro form is an inclination toward symmetrical structure: on a large scale, the accumulation of musical tension which has reached a climax in the development section, primarily by the remote modulation and complex rhythmic devices, is resolved in the recapitulation with the return of thematic material from the exposition set in a newly articulated and systematized tonic tonality.¹

It is important to notice that unity and contrast--thematic and tonal--are indispensable in tightening the musical logic and structural symmetry of the sonata form. In the Classical sonata-allegro movement of the eighteenth century, tonality was perhaps more central to the delineation of form than was the distinctiveness of thematic materials.² In the sonata-allegro movements of Haydn and Mozart, for example, there is often no clear melodic or rhythmic

¹Charles Rosen, The Classical Style (New York: W.W. Norton, 1972), pp. 99-100.

²Gail de Stwolinski, Form and Content in Instrumental Music (Dubuque, Iowa: William C. Brown Co., 1977), p. 428.

distinction between so-called thematic and auxiliary areas.

Beethoven expanded the sonata-allegro form, which had been well established by Haydn and Mozart. Especially from Beethoven's middle period, the harmonic compass of his sonata movements grew wider and, partly for this reason, his movements became lengthier. For example, in the first movement of Beethoven's Third Symphony in E-flat Major, the tonality digresses to the remote key of E minor in the development section, and a new theme is introduced to emphasize this harmonic region. Consequently the development is expanded to accomplish the involved process of modulation back to the tonic at the beginning of the recapitulation, and there is a grand coda to counterbalance the extended development. The movement has a "heroic scope"¹ in its total length of 691 measures.

The use of tonal areas a third apart is not absent in the sonata-allegro movements written by the composers before Beethoven. Haydn, for instance, established three different key areas--C major, G major, and E-flat major--in the exposition of the first movement of his String Quartet in C Major, Opus 76, no. 3. However, Beethoven pushed further in this direction and developed alternatives to the dominant as a second key area in the Classical tonic-dominant polar relation. As example, note the use of the mediant or

¹Louise Cuyler, The Symphony (New York: Harcourt Brace Jovanovich, Inc., 1973), p. 60.

submediant key to substitute for the dominant as in the Waldstein, the Hammerklavier, Opus 111, the Ninth Symphony and the Quartets Opus 127 and Opus 130.¹

Beethoven continued to pursue the concepts of thematic unity and motivic development, which had been highly developed by Haydn and Mozart.² In Beethoven's Appassionata, Opus 57, thematic unity between the principal themes is unequivocal; the famous opening motto of Beethoven's Fifth Symphony appears in almost every possible guise not only in the first movement, but also throughout the symphony.

In his late sonatas Beethoven became more adventurous and experimental in dealing with the sonata-allegro form. The first movement of his Opus 109 has a strong fantasy-like character; that of his Opus 110 has a very brief development; that of his Opus 106 has a full-fledged fugue as the development section. The experimental tendencies of his late sonatas may have generated certain of the means with which later composers dealt with the sonata-allegro design.

The sonata declined in the Romantic period and few composers devoted their best efforts to the sonata.³ On

¹Rosen, The Classical Style, pp. 382-383.

²The monothematic design of the first movement of a Haydn string quartet or piano sonata is a means of achieving thematic unity. The first movement of Mozart's String Quintet in G Minor, K. 516, is among the numerous examples in which motivic development plays a significant role to enhance the musical logic of the sonata-allegro form.

³Newman, The Sonata Since Beethoven, p. 257.

several occasions, Schumann wrote that the sonata had run its course.¹ Possibly the clarity and balance of the Classical sonata-allegro form was not the primary goal of Romantic composers. On the other hand, the sonata genre was still held in high esteem by Romantic composers. Schumann himself believed that the sonata was the most exalted category of piano music.² Moreover, in the 1840's such theorists as Carl Czerny and A.B. Marx promoted a theoretical awareness of sonata-allegro design by crystalizing a definition for the form.

In some respects, the design of Romantic sonata-allegro movements is an extension of the Classical sonata-allegro form. The Romantic composers were only expanding not replacing the Classical means; Romantic composers in most cases followed more or less closely what was to become textbook sonata form. One of the main characteristics of the Classical sonata-allegro form, the use of the tonality to enhance both cohesion and tension, continued into the Romantic period. Along with tonal organization, thematic organization served as a cohesive force.³

However, there are many stylistic differences that distinguish the Romantic and Classical use of the sonata-allegro form. The most conspicuous difference is the Romantic

¹Newman, The Sonata Since Beethoven, p. 38.

²Leon Plantinga, Schumann as Critic (New Haven: Yale University Press, 1967), p. 149.

³Newman, The Sonata Since Beethoven, pp. 148-154.

composer's definite predilection for the use of songful, lyrical or impassioned melodies, usually in complete phrases or periods. Romantic composers often used complete, well-defined phrases for their themes, which did not adapt easily to motivic fragmenting or development, but which appealed to the listener and assumed structural significance with their lyrical or emotional quality. Another characteristic often found in Romantic sonata-allegro movements is the exaggeration of the Classical means on the thematic, textural, and tonal levels:

. . . the Romantic motives persisted longer and pervaded more of the structure; the phrases grew lengthier and projected more tellingly; the texture grew fuller and their activity increased; the harmonies became more dissonant, more varied, and more remotely interrelated; the tonal schemes ranged further afield and changed more abruptly.¹

Even though the Romantics used the same form and did not radically change its structural design, their attitude toward the sonata-allegro form was different from that of Classical composers. Schumann himself believed that the sonata style of 1840 was no longer that of 1790. Therefore, the musical worth of the Romantic sonata-allegro movements must be understood in terms of the aesthetics and the cultural background of the Romantic period and cannot be measured according to the Classical or, more particularly, Beethovenian standard.

¹Newman, The Sonata Since Beethoven, p. 111.

Schumann's Piano Sonatas

Schumann initiated at least 14 solo piano works which he at one time or another called sonatas.¹ Among them six were completed and were given the title sonata. Schumann's first three sonatas written in the 1830's--Opus 11 in F-sharp Minor, Opus 14 in F Minor, and Opus 22 in G Minor--are his major contributions to the sonata genre. His later three sonatas, written for his three daughters in 1853--Opus 118a, Opus 118b, and Opus 118c--are often too commonplace and discursive² and fall short of his earlier three sonatas in emotional content and structural development.

Sonata No. 1 in F-sharp Minor, Opus 11

The F-sharp Minor Sonata was composed during 1833-1835. However, the conception for the sonata had already begun to take form in 1831; and the roots of the sonata are found in earlier compositions of Robert and Clara Schumann.³ A composition of Clara Schumann, "Le ballet des revenant" provided Schumann with the thematic elements of "Fandango Rhapsodie," which he finished in 1832, and the allegro vivace of the first movement of his F-sharp Minor Sonata is a reworking of the

¹For example, Schumann once described his Faschingschwank, Op. 26, "a big romantic sonata." Also Schumann's Fantasie, Op. 17, had been initiated as a sonata in his mind and originally titled "Grosse Sonata für das Pianoforte: für Beethovens Denkmal." Later when the work was revised and completed, the title "Grosse Sonate" was replaced by "Fantasie."

²Newman, The Sonata Since Beethoven, p. 275.

³Rathburn, "A Textural History and Analysis," p. 26.

"Fandango." The second movement of the sonata is evolved from an unpublished early song, "An Anna," which Schumann wrote in 1828.

The sonata was published in June of 1836 by Friedrich Kistner in Leipzig under the pseudonyms of Florestan and Eusebius and was dedicated to the future Clara Schumann.¹ In the second edition of 1840, the pseudonyms were replaced with Schumann's real name and the dedicatee became explicit:

"Mademoiselle Klara Wieck."

The F-sharp Minor Sonata played a meaningful role in the intimate personal relationship of Clara and Robert. When Schumann sent the sonata to Clara in 1836, Clara's father forced her to return it. Schumann's grief was unbearable. Later Schumann told Clara that the sonata represented one single cry of his heart in which her themes appeared in every possible form.² Clara replied that she played the sonata in her recitals because she knew no other means of showing him what was in her heart.³ Clara and Schumann carried on "a muted conversation of love,"⁴ since any kind of correspondence between them was completely forbidden by

¹The title of the sonata was Pianoforte sonata, Klara zugeeignet von Florestan und Eusebius.

²Newman, The Sonata Since Beethoven, p. 269.

³Ibid.

⁴Donald Burton Ellingson, "Personal and Literary Influence upon three Selected Compositions by Robert Schumann and Elements of French Style in Music" (D.M.A. dissertation, University of Missouri, Kansas City, 1968), p. 61.

her father, Friederich Wieck.

Moscheles left a somewhat noncommittal remark about the sonata after hearing Clara Schumann's performance of it. However, Franz Liszt reviewed the sonata with a great enthusiasm and called Schumann an exponent of the new school.¹

Sonata No. 2 in G Minor, Opus 22

This sonata was composed during 1833-1838. Schumann undertook the most extensive and painful process of revision with this sonata. He rewrote a portion of the first movement and had to compose two finales. Even though the G Minor Sonata was initiated earlier than his F Minor Sonata, Schumann was not satisfied with the first finale and postponed publication until he had composed another shorter finale for it in 1838. For this reason, Opus 22 became the last of the three major sonatas to be published. It was published in October, 1839 by Breitkopf and Härtel of Leipzig and was dedicated to Henrietta Voigt.

In 1844, the musical magazine Allgemeine musikalische Zeitung reviewed the G Minor Sonata, along with Schumann's other piano works, and remarked that the structural design of the sonata was conservative in its use of the traditional sonata form.²

¹Newman, The Sonata Since Beethoven, p. 270.

²Rathburn, "A Textural History and Analysis," p. 145.

CHAPTER II

ANALYTICAL PROCESS

Style Analysis and Critical Analysis

Most of the following philosophies and analytical principles are derived from the Leonard B. Meyer's first chapter, "On the Nature and Limits of Critical Analysis," in Explaining Music. Here Meyer categories two different types of analysis: style analysis and critical analysis. Traditional style analysis deals with the characteristics of a particular musical composition which are common to a group of works in the same style, form, or genre.¹ It seeks to describe and classify the normative probabilities: the processes and schemata which are typical in the music of a particular period, form, or genre. Style analysis of a sonata-allegro movement, for example, may be concerned with inquiring into those features which are commonly found in sonata-allegro movements in general. The analysis may delineate the three primary sections of the movement--the exposition, the development, and the recapitulation--and may classify the principal thematic areas and the subsidiary areas² of the exposition and of the recapitulation. It may

¹Meyer, Explaining Music, p. 7.

²The transitions and the codettas.

describe the dramatic tension and excitement of the development section, with subsequent resolution in the recapitulation. The analyst may also ask about the typical tonal relationship between the main thematic areas: tonic-dominant (or relative major) relationship in the exposition and tonic-tonic relationship in the recapitulation. In discovering and describing those characteristics of the musical composition, style analysis often uses statistical method, because this type of analysis "in its pure form, ignores the idiosyncratic in favor of generalization and typology."¹

Critical analysis, on the other hand, attempts to find and explain the singularities of a particular composition, seeking to discover how one piece is different from all other pieces--even those which are similar in style or genre.² Critical analysis also endeavors to explain "in what ways the events within a particular composition are related to one another and how such relationships shape musical experiences."³ For example, in the critical analysis of a sonata-allegro movement which starts with a slow introduction, a critic may try to find the relationship between this introduction and the allegro which follows. The critic may speculate about the melodic, harmonic, or rhythmic implications of the first theme of the movement, may trace the way that these

¹Meyer, Explaining Music, p. 7.

²Ibid., p. 6.

³Ibid., p. 17.

implications¹ are realized or evaded at a particular point, and explain their significance in forming a hierarchic structure.² Furthermore, he may attempt to disclose and explain how different levels of the hierarchy are related to one another in the context of sonata-allegro form. Or the critic may be concerned with the reason why there is a deceptive cadence on a structurally important note and, therefore, study the composer's score to trace its consequences in the following passages.³

Critical analysis may also be defined as an attempt to explain why a certain musical event occurs at a particular point in a composition and how it is related to other musical events of the composition, while style analysis describes what that event itself is. To grasp the essence of the work, style analysis alone is not sufficient. Critical analysis is valuable and essential because without explaining the reasons for the occurrence of the musical events at the particular places and their relationships to one another, mere description of the style analysis will not increase

¹In the second part of this chapter, the term "implication" will be defined and explained.

²In the second part of this chapter, the term "hierarchic structure" will be defined and explained.

³For instance, the deceptive cadence on the e^{b1} in the second measure of the first movement of Beethoven's Piano Sonata in E-flat Major, Opus 81a, has significant structural consequences. (See pp. 246-255 of Meyer's Explaining Music.)

our insight toward a better understanding of the work being analyzed.

Critical analysis is closely related to performance. Such analysis provides a valid aesthetic and analytic foundation on which the performer makes clear to the mind and ear of the competent listener the patterns and the organization potential in the composer's score:

. . . every critical analysis is a more or less precise indication of how the work being analyzed should be performed [Critical analysis] suggests how phrases, progressions, rhythms and higher-level structures¹ should be shaped and articulated by the performer.

The Basic Terminologies and Analytical Ideas Used for the
Study of the First Movements of Schumann's
Piano Sonatas, Opp. 11 and 22

The techniques of the traditional formal analysis will serve as a foundation for the analysis of Schumann's movements. However, the primary analytic approach in this study is Meyer's analytic concepts of rhythmic structures, conformant relationships, hierarchic structures, and implicative relationships.²

Rhythmic Structures

According to Meyer, there are five basic rhythmic patterns in which a stable accent and one or more weak beats are grouped together in various ways: iamb, anapest, trochee,

¹Meyer, Explaining Music, p. 29.

²Meyer is mainly concerned with these analytic concepts in Western tonal music.

dactyl, and amphibrach.¹ Accented and weak beats are indicated by the symbol — and U respectively, and each rhythmic grouping is marked with a bracket ():²

iamb: weak-strong (U —)	end-accented
anapest: weak-weak-strong (U U —)	end-accented
trochee: strong-weak (— U)	beginning-accented
dactyl: strong-weak-weak (— U U)	beginning-accented
amphibrach: weak-strong-weak (U — U)	middle-accented

End-accented rhythms are, in most cases, more stable than either beginning-accented or middle-accented rhythms.³

Stress, which is indicated by the symbol / , must be distinguished from accent. Stress signifies the dynamic intensification of a beat, but it does not change a weak beat into a strong one.⁴ The symbols / and / mean a stressed accent and a stressed weak beat respectively. Overlapping brackets () indicate that adjacent units are joined by a pivot to form a higher-level rhythmic pattern.⁵ The symbol < means that a group first considered to be accented is, in retrospect, thought of as being weak.⁶

Rhythms are hierarchically structured: that is, low,

¹Meyer, Explaining Music, p. 28

²Ibid.

³Ibid.

⁴Grosvenor W. Cooper and Leonard B. Meyer, The Rhythmic Structure of Music (Chicago: University of Chicago Press, 1960), p. 8.

⁵Meyer, Explaining Music, p. 28.

⁶Ibid.

foreground patterns combine with one another to form a more extended, higher-level rhythmic grouping.¹ As an illustration, measures 13-16 of No. 3 ("Scherzino") from Schumann's Faschingsschwank, Opus 26, are given in Example 2-1A. The rhythm of the first level is a beginning-accented trochee. On the second rhythmic level of the example, measures 15 and 16 are joined together, forming a more extended rhythmic pattern: an end-accented anapest rhythm (Example 2-1A, level 2). Following are the explanations for this anapestic organization. First, melodic skips between the last note of a particular measure and the first note of the next measure tend to prevent rhythmic grouping across the bar-line.² Especially if the second measure is a sequential repetition of the preceding measure, each measure is all the more likely to become an individual, discrete musical event.³ Therefore, measure 13 and measure 14 of Example 2-1A are more or less separate rhythmic events, because there is a pitch disjunction between the last note \underline{f}^1 of measure 13 and the first note \underline{b}^1 of measure 14, and because the melody of measure 13 is sequentially repeated in measure 14.

¹ Meyer, Explaining Music, p. 28.

² Ibid., p. 33.

³ Ibid.

Example 2-1A: Schumann, Op. 26, no. 3, m. 13-16

1.

2.

Example 2-1B: Schumann, Op. 26, no. 3, m. 9-16

1.

2.

3.

Second, although the bass slur between measures 14 and 15 and the treble leap-step motion across the bar-line promote mobility between measures 14 and 15, there is a sense of beginning a new rhythmic unit with the downbeat of measure 15; the one-measure motive of measure 13 is sequentially repeated not only in measure 14 but also in measure 15. Moreover, starting a crescendo with the downbeat of measure 15 and the sudden change of articulation in the right hand melody on the downbeat of measure 15 (the elimination of staccato) suggest that measure 15 is the beginning of a new rhythmic unit.

Third, there is mobility between measures 15 and 16; the melodic skip from \underline{a}^2 down to \underline{e}^2 in measure 15 is followed by a conjunct motion to \underline{f}^2 on the downbeat of measure

16.¹ In addition, the first beat of measure 16 is somewhat weakened because it is articulated with staccato and because the second beat of the measure is stressed (>) and has a thicker texture than the first beat; consequently, measure 15 seems to be easily combined with measure 16. Measures 15 and 16 being joined together, the rhythmic organization of Example 2-1A becomes 1+1+2: short-short-long (that is, an anapest). Thus, measure 13 which was first thought to be strong becomes weak. In short, the second level rhythmic organization of measures 13-16 is essentially anapestic.

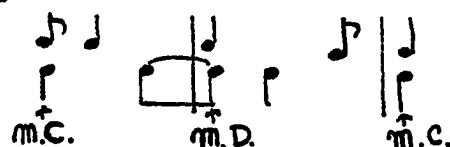
Measures 9-16 of the "Scherzino" from Faschingsschwank are given in Example 2-1B. The first half of the example (measures 9-12) is basically identical with the second half (measures 13-16). However, in some respects the former is different from the latter; for example, the staccato of the right hand stops with measure 10 instead of measure 11 and the crescendo begins earlier on the last half of measure 10 rather than on the downbeat of measure 11. Thus, compared with measures 14-15, there is stronger mobility between measures 10-11, and a sense of beginning a new rhythmic unit at the downbeat of measure 11 is considerably weakened. The anapestic rhythm of measures 13-16 is clearer than that of measures 9-12; therefore, measures 9-12 seem to serve as an

¹Conjunct motion across the bar-line tends to create mobility. See Meyer, Explaining Music, p. 32.

anacrusis to measures 13-16 (Example 2-1B, level 3).

When there exist more than one prevailing rhythmic patterns in a passage, some spots are likely to be metrically dissonant (M.D.), while others are metrically consonant (M.C.).¹ One of the typical examples of rhythmic dissonances can be found in the rhythmic combination of $2 \times 3/8$ with $3 \times 2/8$ (Example 2-2A).²

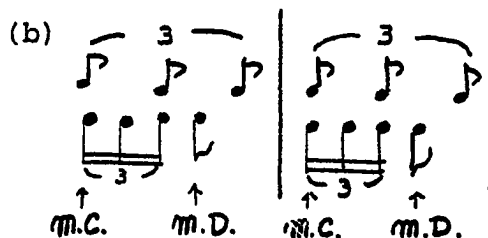
Example 2-2A:



"Des Abends" from Schumann's Phantasiestücke, Opus 12, provides another fine illustration as shown below in Example 2-2B.

Example 2-2B:

(a) Schumann: Op. 12, no. 1, m. 1-8



¹Cooper and Meyer, The Rhythmic Structure of Music, p. 108.

²Ibid.

Also, rhythmic dissonances result when a part of a passage moves metrically while other parts are syncopated by ties across the bar-lines as shown in the opening measures of No. 4 from Schumann's Davidsbündler, Opus 6 (Example 2-2C).


Example 2-2C: Schumann, Op. 6, no. 4, m. 1-8 (2nd edition)



Conformant Relationships

Similarities of the pattern-forming parameters--pitch, rhythm, harmony, etc.--between relatively individual, separate, and integral musical events create conformant relationships. Conformant relationships are "those in which one (more or less) identifiable, discrete musical event is related to another such event by similarity."¹ The first eight measures of No. 3 ("Scherzino") of Schumann's Albumblätter, Opus 124, provide a fine illustration for the conformant relationships of successive measures (Example 2-3). The first measure of Example 2-3 forms a clearly identifiable musical event: motive "m." The motive of measure 1 is repeated at a higher pitch level in the immediately following measure: motive "m1." Because pitch organization and rhythmic pattern of motives "m" and "m1" are closely related, a conformant

¹Meyer, Explaining Music, p. 44.

relationship between them is unmistakable. We also perceive a conformant relationship between measures 1 and 3. However, compared with the conformant relationship between motives "m" and "m1," the strength of conformance between motives "m" and "m2" is attenuated, because only their rhythmic patterns are identical, while their pitch relationship is varied. Motive "m3" of measure 4 is related to motive "m" mainly by the rhythmic pattern of  which is common to both measures 1 and 4. Yet their conformant relationship is much less patent than that between measures 1 and 2; pitch organization and rhythmic pattern of motive "m3" are greatly altered from those of motive "m." It follows that the stronger the similarity of patterns between events, the more patent the conformant relationship between them becomes.

Example 2-3: Schumann, Op. 124, no. 3, m. 1-8



It is noteworthy that the greater the extent of change in one musical parameter, the smaller must be the change in other parameters, if the listener is to comprehend the conformance of patterns and attend to higher-level processes.¹

¹Meyer, Explaining Music, p. 54.

For instance, motivic constancy in the development section of the sonata-allegro movements enables the listener to perceive the processes of other musical parameters--rhythmic, harmonic, and textural--that are focal.¹

Hierarchic Structures

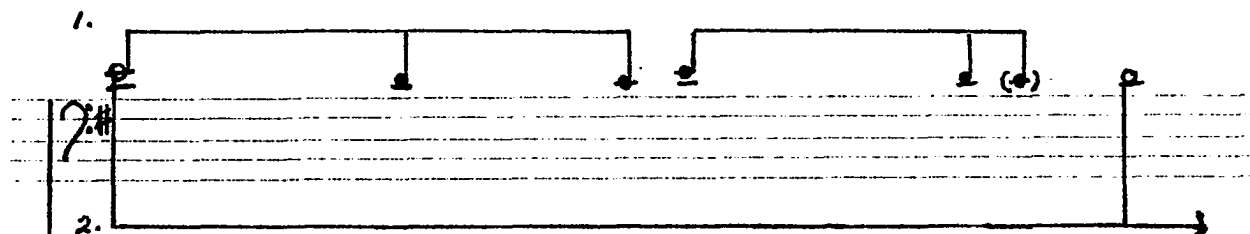
Listeners can recognize hierarchic structures in a tonal composition when musical stimuli--pitch, duration, timbre, etc.--form relatively identifiable musical events and these in turn are grouped together to form more extended, higher-level patterns.² No. 5 from Schumann's Impromptus, Opus 5, is given in Example 2-4. The first two measures of the example are a relatively discrete event, forming a single gesture: motive "x" (Example 2-4, level a). Motive "x" is repeated at a lower pitch level in measures 3-4: motive "xl." There two motives combine together on level b to form a higher-level entity: a four-measure phrase. On level c, measures 1-4 combine with measures 5-8 to form a more complete event: Section A. Measures 9-16 are also hierarchically structured, as shown in the analysis of Example 2-4. The two halves of the melody also combine on a still higher-level, creating a closed, stable shape--a rounded binary form.


When musical parameters act together to enhance closure, or alternatively, mobility, they may be said to move

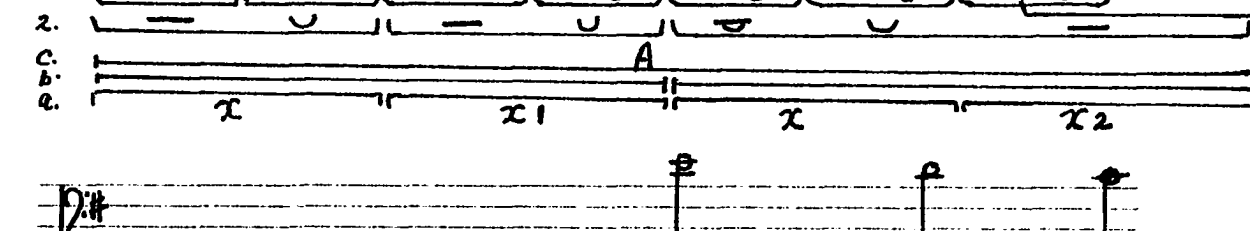
¹Meyer, Explaining Music, p. 54.


²Ibid.

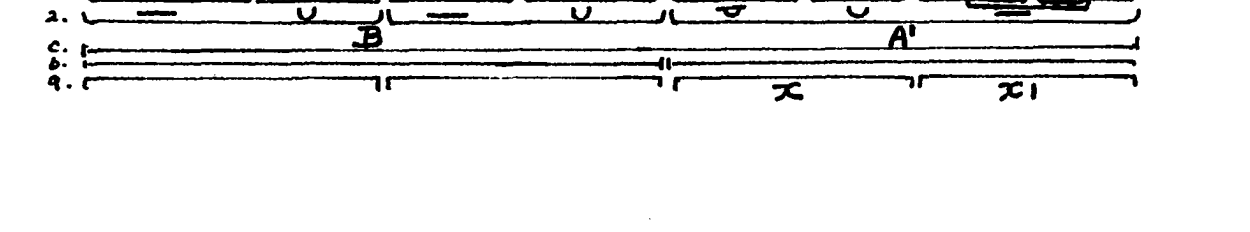
Example 2-4: Schumann, Op. 5, no. 5 (first edition)

1. 


2. 

① *tempo p* 

1. 

2. 

C: $\text{IV}^6 \quad \text{V}^{\frac{6}{5}} \quad \text{V} \quad \text{V}^{\frac{6}{5}} \quad \text{V}$

A 

B

A'

B'

congruently.¹ However, since the parameters are relatively independent variables, they may be noncongruent; some parameters will tend to promote closure, while others will contribute mobility. An instance of incongruity between musical parameters is found at the end of Section A of Example 2-4. There is a sense of rhythmic stability in measure 8 because of the end-accented rhythm (Example 2-4, levels 1 and 2). However, the harmonic progression of measures 5-8 is $IV^6-V^5/V-V-V/V-V$, which implies its continuation to the tonic; hence measure 8 is harmonically on-going. There is also melodic instability, since the \underline{d}^1 in the soprano of measure 8 strongly suggests its resolution down to the tonic \underline{c}^1 . In short, the rhythmic patterns of measures 1-8 are noncongruent with the harmonic progressions and the melodic structures of these eight measures.

It is significant that the parameters do not generally move congruently. If so, a passage would be either entirely on-going without any distinguishable internal organization or completely closed and static. In other words, there should be a certain degree both of closure and of mobility so that a composition may continue to unfold.² The exception comes at the end of the composition where all musical parameters move congruently to attain a stability of complete closure.³

¹Meyer, Explaining Music, p. 81.

²Ibid., p. 89.

³Ibid.

For instance, only at the end of measure 16 of Example 2-4, is a sense of definite rhythmic, melodic and harmonic closure attained. Rhythmic closure at the end of Schumann's melody is established by the end-accented anapestic rhythm of measures 13-16 (Example 2-4, level 2). Melodic stability at the end of the melody of the example is achieved by the \underline{c}^1 at the first beat of measure 1. Also the tonic C major harmony at the end of measure 16 contributes a harmonic closure.

Generally speaking, the same event may be considered as either form or process as it moves from one hierarchic level to another. For instance, measures 1-2 of Example 2-4 are defined as a relatively discrete formal entity on the lowest level and are not processive on this level. But on the next level, the first two measures function in a processive way to form a more extended event: a four-measure phrase. Such alternation of functional significance continues until the highest hierarchic level is reached, as shown in the analysis of Example 2-4.

Implicative Relationships

Nature and definition of implicative relationships

An implicative relationship is one in which a musical event is patterned in such a way that reasonable inference can be made about its connections to both the antecedent and the consequent event.¹ To explain the implicative

¹Meyer, Explaining Music, pp. 110-111.

relationships between musical events of a particular composition, a critic must find the patterns underlying these events and formulate implicative inferences as to how each of the patterns might be continued and perhaps also reach a relative stability of closure. For example, toward the end of the antecedent-consequent melody, a critic (or an experienced listener) expects that the tonic will probably follow.

After making implicative hypotheses, the critic will look into the composer's score to find out whether his speculation about implications and continuations may be correct or not--to see whether the realization of the implicative relationships discerned in the patterns actually occurs or not. The envisaged continuation may follow, but this may not always be the case. For instance, the presumed authentic cadence may occur at the end of the antecedent melody, or the cadence at the end of the consequent phrase may, at times, prove to be deceptive. If his hypotheses do not work, the critic's understanding of the patterns and implicative relationships may be incomplete or mistaken. The critic, then, needs to restudy the score to make alternative hypotheses. Understanding implicative relationships is, therefore, not only concerned with our awareness of what might have followed, but also with our knowledge of what actually did occur; it is both perspective and retrospective.¹

¹Meyer, Explaining Music, p. 111.

Aspects of implications in tonal melodies

1. Generative event. A generative event in tonal melodies is one which gives rise to implications because its patterns are incomplete or unstable in some respect; instability or incompleteness of the patterns of a generative event is the basis for implicative inference.¹ The melody given in Example 2-5 is the opening eight measures of No. 6 ("Wichtige Begebenheit") from Schumann's Kinderszenen. The first four notes-- \underline{a}^2 , $\underline{g}^{\#2}$, $\underline{f}^{\#2}$, and \underline{e}^2 --form a generative event (indicated with circles in the example). Because the fifth is less stable than the tonic, it suggests that the note \underline{e}^2 of measure 1 will sooner or later move to a more stable note: the tonic \underline{a}^1 . The implication is realized by the \underline{a}^1 of measure 4 (Example 2-5, graphs 1 and 2).

Example 2-5: Schumann, Op. 15, no. 6, m. 1-8



2. Hierarchic organization of the implication. The implications are hierarchically structured, because the underlying patterns of the musical event which create the implications, as a rule, exhibit various levels of

¹Meyer, Explaining Music, p. 118.

hierarchy.¹ In the analysis of melodic structure, each graph indicates a melodic organization on a particular level. In most cases, the lower the level, the more in the foreground its melodic structure is. Broken arrows ($\rightarrow\gg\rightarrow$) mean that the implication is not immediately realized; rather, it is prolonged before its realization. The melody of the first twenty-four measures of No. 8 ("Am Camin") from Schumann's Kinderscenen, for instance, is hierarchically structured (Example 2-6). As shown in the example, the gap-fill melodic motion is implied on the lowest level. The conjunct melodic descent from \underline{f}^2 to \underline{f}^1 is implied on the second level and the implication of an F major triad is created on the third level. Then on the fourth level, the melodic motion of $\underline{f}^2\text{-}\underline{a}^2\text{-}\underline{g}^2\text{-}\underline{f}^2$ is implied (Example 2-6, graph 4).

3. Deflection. Some of the implications created by a generative event may be realized only after other events which are implicative of alternative goals have intervened. Events which are responsible for such alternative goals will be called deflections.² An illustration can be seen in Schumann's melody given in Example 2-6, in which the descending melodic line temporarily changes into an ascending one in measure 2 before the \underline{d}^2 of measure 2 moves down to \underline{c}^2 at the beginning of measure 3. The melodic deflection caused

¹Meyer, Explaining Music, p. 119.

²Ibid., p. 118.

Example 2-6: Schumann, Op. 15, no. 8, m. 1-24

Handwritten musical score for Example 2-6, Schumann, Op. 15, no. 8, measures 1-24. The score is written on five staves. Staves 1 and 2 are for the vocal line, with "gap" and "fill" annotations above them. Staves 3 and 4 are for the piano accompaniment, with a circled "1" above the first measure. Staff 5 is for the cello/bass line, with a "deslectron" annotation above the first measure. The score includes various musical notations such as notes, rests, and dynamic markings like "p".

Continuation of the handwritten musical score for Example 2-6, Schumann, Op. 15, no. 8, measures 13-24. The score is written on five staves. Staves 1 and 2 are for the vocal line. Staves 3 and 4 are for the piano accompaniment, with circled measure numbers 13, 17, and 21 above them. Staff 5 is for the cello/bass line. The score includes various musical notations such as notes, rests, and dynamic markings like "p" and "rit".

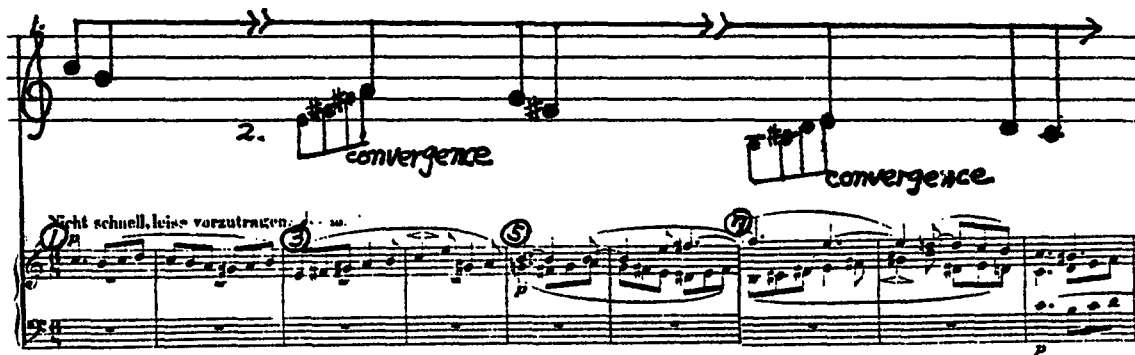
by \underline{e}^2 , \underline{f}^2 , and \underline{g}^2 of measure 2 has a significant consequence; it implies that the melodic line may move to an \underline{a}^2 or possibly beyond (Example 2-6, graph 5). In other words, the deflection in measure 2 establishes an \underline{a}^2 as an alternative subsidiary goal. The subsidiary goal created by the deflection is then attained by the \underline{a}^2 of measure 23.

4. Provisional realization. Sometimes the presumed consequent event is only provisionally realized before its actual realization occurs. Provisional realization is an instance in which the implication is realized in the "wrong" register or in a tonal-harmonic-rhythmic context that is not called for by the generating pattern.¹ As an example, the opening fourteen measures of No. 1 ("Von fremden Ländern und Menschen") from Schumann's Kinderszenen is given in Example 2-7. The melody of Example 2-7 starts with \underline{b}^1 --the third of a G major scale. Therefore, it suggests that the melody will probably either ascend to \underline{c}^2 and then to \underline{d}^2 , or descend to \underline{a}^1 and then to \underline{g}^1 . The implied melodic ascent is realized by the \underline{c}^2 of measure 6 and the \underline{d}^2 of measure 7 (Example 2-7, graph 1). However, the implied melodic goal of \underline{g}^1 is only provisionally realized by the \underline{g}^1 of measure 11 before it is completely realized by the \underline{g}^1 of measure 12 (Example 2-7, graph 2); the \underline{g}^1 of measure 11 is harmonized as C major, while that of measure 12 is part of the tonic triad.

¹Meyer, Explaining Music, p. 117.

on the \underline{c}^2 of measure 1 (Example 2-8, graph 1) and the conjunctly ascending melody initiated by the \underline{e}^1 on the downbeat of measure 3 converge on the \underline{a}^1 with the fourth beat of measure 3; thus, the note \underline{a}^1 assumes structural importance.

Example 2-8: Schumann, Op. 126, no. 1, m. 1-9



Melodic structures

There are two types of patterns in melodic structures: conjunct patterns and disjunct patterns.¹ Though conjunct pitch relationships prevail in some melodies and disjunct ones in others, most melodies consist of both types of melodic motion.² The melody of Example 2-6, for instance is primarily conjunct, but it has disjunct interval as well. Furthermore, a melody may be conjunct in one hierarchic level, but analyzed as being disjunct on another level.³ In

¹Meyer, Explaining Music, p. 131.

²Ibid.

³Ibid.

Schumann's melody given in Example 2-6, the melodic organization on the second level is a stepwise motion from \underline{f}^2 down to the \underline{f}^1 . However, the melodic motion on the next higher-level outlines a descending F major triadic (that is, disjunct) pattern.

1. Conjunct patterns. Conjunct patterns are diatonic or chromatic scales or some combination of these two.¹ Since a pattern, once established, is likely to be continued until it becomes as complete as possible, a linear conjunct motion, once begun, implies continuation to a point of relative stability.² The opening melody of No. 1 of Schumann's Nachtstücke, Opus 23, seems to be an almost archetypal instance of a conjunct melody. The melody begins on a lowered seventh (\underline{b}^{b1}) and continues to descend in a conjunct motion until it reaches a point of relative stability--in this case, the \underline{c}^1 at the downbeat of measure 3 (Example 2-9).

Example 2-9: Schumann, Op. 23, no. 1, m. 1-4



2. Disjunct patterns. Gap-fill melodies represent one of the more common implications of disjunct melodic patterns, because a gap suggests that the notes which were

¹Meyer, Explaining Music, p. 131.

²Ibid.

skipped over will follow.¹ Therefore, gap-fill melodies are composed of two elements: a disjunct interval and a conjunct melodic line which fills the gap. The opening eight measures from No. 1 of Schumann's Kinderscenen are given in Example 2-10. The melodic gap from \underline{b}^1 to \underline{g}^2 in the first measure is filled in by the immediately following conjunct melodic line of $\underline{f}^{\#2}-\underline{e}^2-\underline{d}^2$, and by the \underline{c}^2 of measure 6 and the \underline{b}^1 of measure 8, as shown in the melodic analysis of Example 2-10.

Example 2-10: Schumann, Op. 15, no. 1, m. 1-8



As a rule, gaps are not larger than an octave, and the strength of a conjunct-fill implication depends largely upon the intervallic compass of the gap.² The larger the skip, the more strongly will be implied a conjunct fill.³ As is the case with Example 2-10, gap-fill melodies often begin with a rising gap, partly because both rising and disjunct intervals involve tension and effort and because its following stepwise falling line, by releasing the previously generated tension, contributes a sense of relative stability

¹Meyer, Explaining Music, p. 145.

²Ibid.

³Ibid.

toward closure.¹

These principles of rhythmic structures, conformance relationships, hierarchic structures, and implicative relationships will be used for the analysis of the first movements of Schumann's piano sonatas, Opus 11 and Opus 22, in the following two chapters. This analysis hopes to provide some valuable insight into the musical worth of his sonatas by emphasizing the dramatic intensity as well as the musical logic inherent in these works.

¹Meyer, Explaining Music, p. 145.

CHAPTER III

THE FIRST MOVEMENT OF SCHUMANN'S PIANO SONATA IN F-SHARP MINOR, OPUS 11

Introduction

Section A (Measures 1-21)

Measure 1

Measure 1 is mobile because of its specific features of harmony, rhythm, and intervallic relationship (Example 3-1).

Example 3-1:



Harmonically, the arpeggio of the tonic triad creates a sense of anticipation, because the tonic harmony may progress in a variety of directions. Rhythmically, measure 1 is mobile. On the lower level, this rhythm is dactyl; on a higher level, it serves as an anacrusis to the second measure, where the impassioned melody of the Introduction begins. The highest note of the arpeggio figuration is a, the third degree of the F-sharp minor scale. The note a at the end of the first triplet of the measure is repeated at the beginning of the second triplet. Because of its relatively high register and immediate repetition, the a tends to sound emphasized. Placing

the third of the scale at the top of the arpeggio figuration results in less stability than would be the case if the tonic were the highest note.

At the end of a musical event (a phrase, a section, etc.), there exists a certain degree of mobility, since musical parameters, in most cases, move independently of one another. In other words, while some parameters tend toward closure, others enhance instability, which generates on-going momentum so that the music may continue to unfold. The three phrases of Section A of the Introduction provide a fine example of forward musical energy created by the action and interaction between different parameters.

Phrase 1 (measures 2-5)

There is closure at the end of phrase 1, in measure 5. As shown in Example 3-2, the rhythm of the phrase is an end-accented anapest on the second hierarchic level because of the conjunct melodic motion in the second half of the melody (levels 1a and 2a) and because of the impetus of the dominant to the tonic harmony in the accompaniment at the end of phrase 1 (levels 1b and 2b). The \underline{f}^\sharp at the end of phrase 1 provides a sufficient melodic closure, not only because it is the tonic, but also because it is an octave lower than the structurally important melodic note $\underline{f}^\sharp{}^1$ of

measure 2.¹ Melodic closure of the phrase is further supported by the rest which follows the \underline{f}^\sharp in measure 5. The continuous tonic pedal point throughout phrase 1 creates harmonic stability. Also, the full cadence at the end of the phrase enhances harmonic closure.

Example 3-2:

The musical score for Example 3-2 is presented in three parts. The top part is a piano introduction in D major, marked 'Un poco Adagio', featuring a melodic line in the right hand and a tonic pedal point in the left hand. The middle part, labeled 'Melody:', shows the first two measures of the melody with two alternative phrasings, 1a and 1b. The bottom part, labeled 'Accomp.:', shows the first two measures of the accompaniment with two alternative phrasings, 1a and 1b. The score includes various musical notations such as notes, rests, and dynamic markings like 'f' and 'f#'. The key signature is D major, indicated by two sharps (F# and C#).

Un poco Adagio.

$f^\sharp: V \quad i$

Melody:

1a. $\underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u}$

1b. $\underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u}$

Accomp.:

$f^\sharp: i \quad \underline{1} \quad \underline{2} \quad \underline{3} \quad \underline{4} \quad \underline{5} \quad \underline{6} \quad \underline{7} \quad \underline{8} \quad \underline{9} \quad \underline{10} \quad \underline{11} \quad \underline{12}$

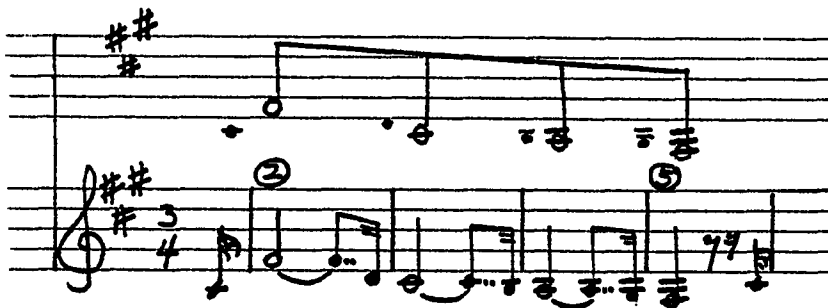
1a. $\underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u}$

1b. $\underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u} \quad \underline{u}$

¹Though the melody of phrase 1 starts on \underline{c}^\sharp , its structural significance is immediately overshadowed by the following \underline{f}^\sharp , because the latter falls at a rhythmically strong place, and is assigned a longer note-value. The skip from \underline{c}^\sharp to \underline{f}^\sharp at the beginning of the melody functions as a harmonic interval and a basis for octave definition, but it does not function as a gap to be filled. The significance of the note \underline{c}^\sharp , therefore, is not equal to that of the \underline{f}^\sharp in the melodic structure of phrase 1.

Nevertheless, the closure at the end of phrase 1 is not decisive for a number of reasons. The note $\underline{c}^{\#1}$ of measure 2 might have assumed structural importance, because it is the dominant in F-sharp minor. However, the following note \underline{d}^1 of measure 3 becomes a structurally important note; while the $\underline{c}^{\#1}$ appears at possibly the weakest accentual place of 3/4 meter and has a very short duration, the \underline{d}^1 occurs with the downbeat of the measure and lasts almost for three beats (Example 3-2). The melody of phrase 1 might have been continuously descending after the initial skip from the $\underline{c}^{\#1}$ to the $\underline{f}^{\#1}$, resulting in the melodic organization of a complete F-sharp minor triad (Example 3-2A). Avoidance of the $\underline{c}^{\#1}$ as an important structural note creates an implication that the $\underline{c}^{\#1}$ will sooner or later become structurally significant. The structural potential of the $\underline{c}^{\#1}$ remains unrealized at the end of phrase 1, and hence the phrase is on-going.

Example 3-2A: (Author paraphrase)



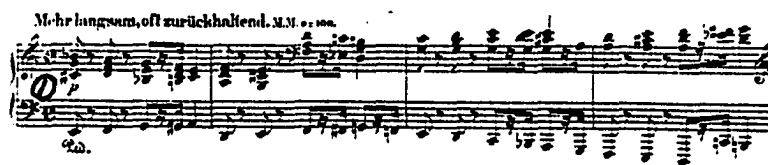
Closure of phrase 1 is further weakened by its particular melodic-harmonic character. A descending melody

often represents a relaxing of energy and is concluding in character, especially if the end of the melody is supported by the common cadential gesture of $I-V^{(7)}-I$.¹ The melody of phrase 2 seems to be an almost archetypal instance of the descending melody² with the harmonic pattern of $i-V-i$ at its end (see Example 3-2). The very fact that this work begins with a phrase in the shape of a concluding gesture is surprising, and this ironically contributes to its instability. The melodic descent of phrase 1 is contrary to one's expectation of a rising-falling (or, less often, falling-rising) shape for a phrase, especially if it is in a moderate or slower tempo (see Examples 3-3A and 3-3B).

Example 3-3A: Schumann, Op. 11, mvt. 2, m. 1-5



Example 3-3B: Schumann, Op. 23, no. 1, m. 1-4



Therefore, the descending melodic shape of phrase 1 is implicative; there seems a need to balance the descending

¹Meyer, Explaining Music, p. 212.

²Though there is a chromatic ascent to the \underline{d}^1 after the downward skip from the $\underline{f}^{\sharp 1}$ to the $\underline{c}^{\sharp 1}$ of measure 2, the melody of phrase 1 is primarily descending.

melody with an ascending one.¹

Even though the rhythm of phrase 1 is stable on a higher level (Example 3-2, level 2), it is mobile on a lower level (Example 3-2, level 1b). The triplets of the accompaniment in measure 5 are in a dactyl rhythmic pattern; thus phrase 1 is on-going on a lower rhythmic level. Non-congruous rhythmic patterns among different levels create instability, though a rhythmic pattern of a higher level has priority over that of a lower level. Also the incongruity of the rhythmic patternings between the melody and the accompaniment of phrase 1 adds rhythmic instability; the

¹A similar instance is found in the melody for the variations in the second movement of Schumann's F Minor Sonata, Op. 14. The two four-measure descending melodies of phrases 1 and 2 (measures 1-8) create an implication of balancing them with ascending melodies. The implication is partially realized in phrases 3 and 4, and finally realized by the ascending melodies of phrases 5 and 6 (measures 17-24) as shown below:

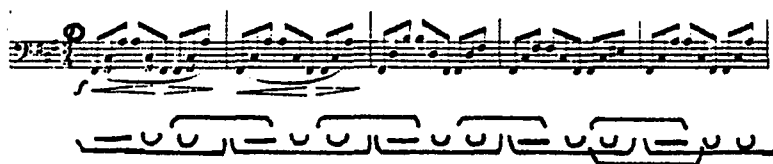
QUASI VARIAZIONI.
Andantino de Clara Wieck, Op. 14.

The musical score is presented in two systems. The first system contains Phrases 1, 2, and 3, and the second system contains Phrases 4, 5, and 6. Each phrase is bracketed and labeled below the staff. The notation includes various musical symbols such as notes, rests, and dynamic markings.

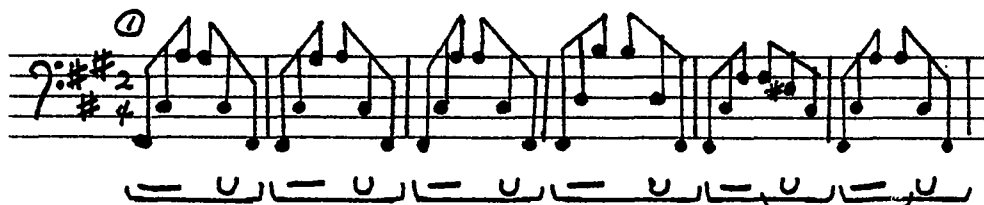
rhythm of the melody is unmistakably iambic, while that of the accompaniment is dactylic (Example 3-2, levels 1a and 1b).

In the accompaniment the melodic contour of the first two triplets of measure 1 is rising-falling, then a rising triplet follows on the third beat. Therefore, listeners might hear the third beat of measure 1 as the accented beginning of the next two-beat rhythmic unit and might anticipate that the phrase would continue in a two-beat unit. This implication is shown in Example 3-4B.

Example 3-4A:



Example 3-4B: (Author paraphrase)



However, the two-beat grouping implied in measure 1 is contradicted in measure 2 by lack of continuation and by a large leap between measures. The resulting dactyl grouping is reaffirmed with the continuation of the rising-falling-rising accompaniment figuration (Example 3-4A). Even though the dichotomy of the accompaniment is not particularly

overt in the beginning of the moment, it is definitely implicative of pending duple organization.

Phrase 2 (measures 6-13)

The implied structural significance of the $\underline{c}^{\#1}$ is realized in phrase 2. The note $\underline{c}^{\#1}$ assumes structural significance in the second phrase, because it falls on the metrically strong beat and has a much longer duration compared with that of measure 2. Furthermore, the $\underline{c}^{\#1}$ of phrase 2 functions as a consonant pedal point over which the ascending melodic line unfolds,¹ and the emphasis on the $\underline{c}^{\#1}$ intensifies because it persistently holds back the upward motion of the melody.

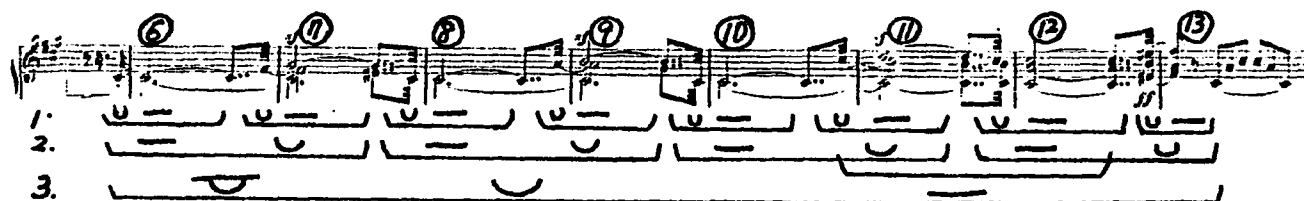
The melodic goal of phrase 2 is the $\underline{f}^{\#2}$ of measure 13. Since the note is the tonic of the F-sharp minor tonality, melodic closure at the second phrase is attained. Phrase 2 is harmonically stable, for the tonic pedal point continues through the phrase. Also the F-sharp minor tonic chord at the end of phrase 2 creates harmonic closure. The rhythm of both the melody and the accompaniment of phrase 2 are end-accented anapests (Example 3-5A and B, levels 3), contributing a sense of rhythmic closure to the phrase. Unlike those of measures 5, 7, and 9, the thirty-second note at the end of measure 11--which starts the fourth two-measure unit

¹The melody of phrase 2 is more intense than that of phrase 1, because more effort seems to be involved in an ascending melody than in a descending one.

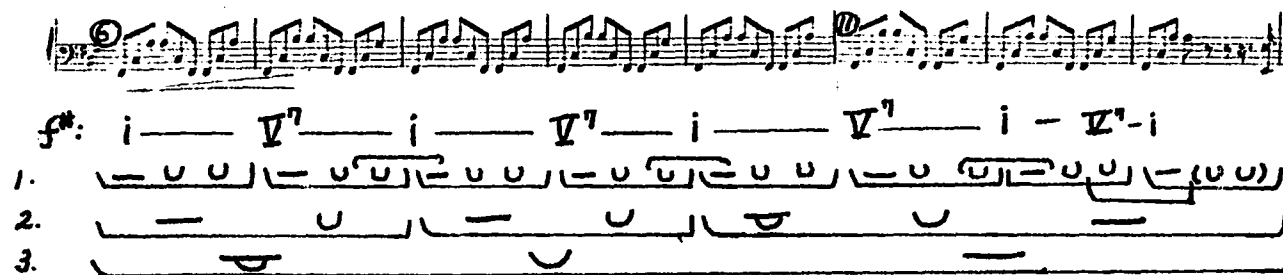
Example 3-5:



A) Right hand



B) Left hand



of phrase 2--is not a single note $\underline{c}^{\#1}$, but a three-note chord. This three-note chord provides a textural continuity which groups together the third and fourth units on the second level, resulting in an anapestic rhythm on the next higher level (Example 3-5A, levels 2 and 3). The seventh and eighth units are joined on the first rhythmic level of the accompaniment through the use of faster harmonic rhythm in measures 12-13 (Example 3-5B, level 1). Then, on the second rhythmic level, the combined measures 12-13 form an anapestic rhythm with the two shorter units of measures 10 and 11 (Example 3-5B, level 2).

However, closure at the end of phrase 2 is attenuated for a number of reasons. One is that phrase 2 has eight measures, while phrase 1 has only four measures. The second phrase consists of four two-measure motivic units. Especially in measures 6-11, each two-measure unit contains a similar melodic contour (rising-falling), the same harmonic progression (i-V⁷) and figuration in the left hand, and the regular occurrence of a sforzando at the center of each unit. Beginning each unit on the same $\underline{c}^{\#1}$ (the beginning of the fourth unit is an exception) further

supports the two-measure motivic unit.¹ The disproportionate phrase length of measures 2-13 enhances instability and the music is expected to continue.

It was pointed out earlier that the F-sharp minor harmony in measure 13 contributes stability at the end of phrase 2. However, the upper voice of the F-sharp minor chord in measure 13 lasts only half a beat, which is insufficient for the $\underline{f}^{\#2}$ to be clearly announced as the melodic goal. Also, modulation to A major occurs almost unprepared right after the F-sharp minor harmony with the entrance of the thirty-second note \underline{e} in the bass. The strength of closure at the end of phrase 2 is diminished because of the short duration of its melodic goal and sudden modulation after it.

Closure of the second phrase is further attenuated because the sforzando notes of the phrase ($\underline{g}^{\#1}$, \underline{b}^1 , and \underline{d}^2) delineate a G-sharp diminished triad. Due to the unstable quality of the diminished harmony, its resolution in A major (or minor) seems to be implied, which promotes instability in the passage.

¹The Kalmus Study Score of Schumann's Opus 11 does not have staccatos at the beginning of the second and the third unit of phrase 2 (see the thirty-second note $\underline{c}^{\#1}$'s at the end of measures 7 and 9). However, Clara Schumann's performing edition by Kalmus and the recent Dover reprint from Robert Schumann's Werke previously published by Breitkopf and Härtel indicate staccato markings at the beginning of each motivic unit of the phrase. Thus, if the latter's articulation marking is observed, the two-measure motivic units will be all the more evident.

Because the right hand accompaniment starts with the second beat of measure 13 instead of the downbeat of measure 14, an impression is created that the end of phrase 2 overlaps with the beginning of phrase 3, which weakens the closure of phrase 2. If the right hand had taken over the accompaniment on the third beat of measure 13, the sense of overlapping the phrases would have been greatly diminished (Example 3-6A). It is interesting that the figuration at the beginning of the right hand accompaniment suggests more overtly the dichotomy between the two-beat versus three-beat unit (Example 3-6B) than that at the beginning of phrase 1.

Example 3-6A: (Author paraphrase)



Example 3-6B:



When the right hand takes over the accompaniment in measure 13, it starts with a rising triplet. If the right hand accompaniment had opened with a falling triplet beginning on $\underline{c}^{\#2}$, an octave higher than the original $\underline{c}^{\#1}$, to follow faithfully the melodic contour of the previous accompaniment (rising-falling-rising, as shown in Example 3-1), there would have been a wide gap between the last note of the left hand figure and the first note of the right hand (Example 3-7B), which in turn would have created an awkward motion. Actually, the gap between them is only a major third. Therefore, the transition of the accompaniment from one hand to the other is made more continuous. Also, if the right hand accompaniment had started on $\underline{c}^{\#2}$, instead of $\underline{c}^{\#1}$, its intervallic separation from the last melodic note of phrase 2 ($\underline{f}^{\#2}$) would have been smaller than it actually is. The abrupt change of register in the right hand between the first and the second beat of measure 13 seems to be congruous with its shifting function, from the melodic to accompanying.

Example 3-7:

(A) (B)

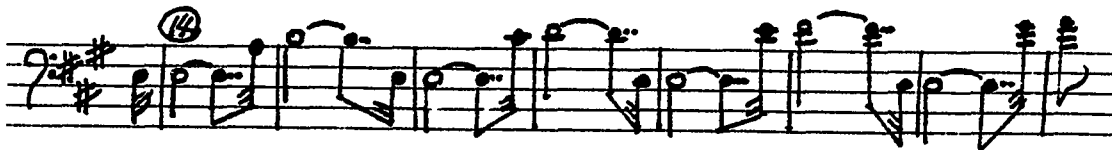
13 13

<Original> <possible>

Phrase 3 (measures 14-21)

Phrase 3 repeats the melody of phrase 2 a minor third higher (or a major sixth lower), in A major. Phrase 3 is more stable and its closure is more complete compared with phrase 2. One of the reasons is that, while the sforzandi of phrase 2 emphasize a dissonant G-sharp diminished triad, those of phrase 3 delineate the tonic triad of the passage A major. The implication created by the G-sharp diminished harmony of the previous phrase is realized in phrase 3 by the outlined A major chord through the same technique. Second, the climax of phrase 2 is at its end; it appears sooner in phrase 3 at the end of its third motivic unit, in measure 19. Therefore, in the third phrase, the depleting of the musical energy is made possible by descrescendo, by returning to the note e that starts the phrase and by emphasizing the note with repetition during its fourth motivic unit. In measures 20-21, the left hand melody deviates from its previous pattern; the melody could have proceeded in the melodic direction generated by the previous pattern and ascended to g^{#1}, ending in a¹ (Example 3-8).

Example 3-8: (Author paraphrase)

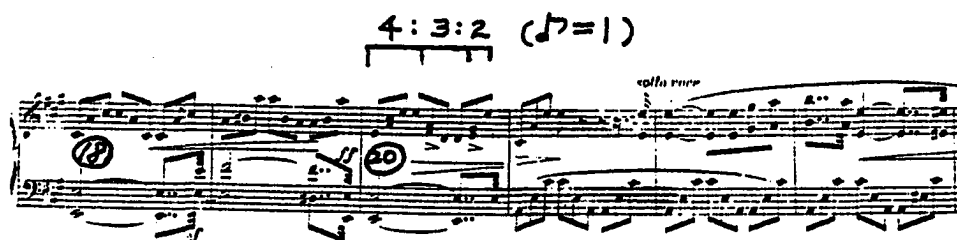


Consequently, there is a strong sense of balance in phrase 3,

which in turn adds stability to its closure in measure 21.

However, the six-four position of the A major chords in measures 14, 16, 18, and 20 imparts harmonic instability to phrase 3. Closure at the end of the phrase is somewhat weakened because in measure 20 the right hand assumes more activity by the off-beat accentuation. There is a pacing device in the right hand of the same measure--4:3:2--, which both effects instability and attracts the listener to the forthcoming upper voice melody (Example 3-9).

Example 3-9:



Before the right hand assumes prominence over the left hand in measure 22, equilibrium between the hands is attained at the first beat of measure 21, where each hand has triplet figure.

In summary, there is closure at the end of each phrase of Section A. Closures of phrases 1 and 2 are substantial, but not decisive for two important reasons. First, some implications generated in each phrase remain unrealized. The processive element transcends formal structure. Second, because of the incongruity between different musical parameters, there is a certain degree both of closure and mobility at the end of each phrase, which in turn creates an on-going

momentum.

The closure of phrase 3 is much stronger than those of the two previous phrases. Especially, the sotto voce of Section B marks the beginning of a new event quite distinctly. However, the continuation of the accompanimental figure into Section B and the anticipatory feature of measures 20-21 provide mobility to the closure of Section A.

Section B (Measures 22-38)

The implications of the melodic structure of Section B are of primary importance in providing musical logic to the section. The melodic structure of phrase 1 most in the foreground is $\underline{e}^2 - \underline{a}^2 - \underline{g}^{\#2} - \underline{f}^{\#2} - \underline{e}^2 - \underline{d}^2 - \underline{c}^{\#2}$ (Example 3-10, graph 1). Though the \underline{d}^2 in measure 25 is rhythmically weak, it is a harmonic tone--part of the dominant seventh chord (E^7)--and therefore assumes structural importance.

In the foreground melody, the \underline{a}^2 at the end of measure 22 is important, because it is the tonic of the A major tonality and serves as the goal of the ascending melody which outlines dominant to tonic motion. However, it falls at a rhythmically weak place. If the note \underline{a}^2 had occurred on the first half of the beat, it would have become much more prominent as a structural tone. Even though the importance of the \underline{a}^2 in the melodic contour of phrase 1 seems to outweigh its insignificance in rhythm, the structural significance of the note is nevertheless diminished. In other words, incongruity between the melodic and rhythmic

Example 3-10:

The image displays a handwritten musical score for Example 3-10. It consists of six staves of music, likely representing different vocal parts or instruments, and a piano accompaniment at the bottom.

- Staff 1:** Features a melodic line with a "gap" and a "fill" indicated by arrows. The notes are mostly quarter and eighth notes.
- Staff 2:** Similar to Staff 1, with a "gap" and "fill" indicated. It includes a double bar line with repeat dots.
- Staff 3:** Contains a series of quarter notes, mostly on a single pitch, with some eighth notes.
- Staff 4:** Includes a "gap" and "fill" indication. It features a double bar line with repeat dots and a double bar line with repeat dots.
- Staff 5:** Shows a long, sustained note (half note) followed by a double bar line with repeat dots.
- Staff 6:** Contains a long, sustained note (half note) followed by a double bar line with repeat dots.
- Piano Accompaniment:** Located at the bottom, it features a treble clef, a key signature of two sharps (F# and C#), and a 4/4 time signature. The music includes various rhythmic patterns, including eighth and sixteenth notes, and rests. Circled numbers 22, 26, 29, 32, and 39 are placed above the staff to mark specific measures.

Below the piano accompaniment, the text "extended anacrusis" is written, indicating a specific musical technique used in the piece.

significance of the \underline{a}^2 tends to obscure its importance of the note, not only melodically but also rhythmically, remains yet to be seen. It finally is realized by the \underline{a}^2 of measure 33. Since the note \underline{a}^2 of measure 33 is preceded by the extended anacrusis of measures 31-32, is assigned longer duration ($1\frac{1}{2}$ beats), and falls at a rhythmically strong place, realization of the implication is quite strong (Example 3-10, graph 5).

In phrase 3 (measures 32-38), the $\underline{f}^{\#2}$ in measure 32 and the \underline{a}^2 in measure 33 have melodic prominence. The wide upward skips from the preceding notes, respectively the \underline{a}^1 and the \underline{b}^1 of measure 32, give a distinctive quality to them. These two notes, $\underline{f}^{\#2}$ and \underline{a}^2 , imply a melodic continuation to $\underline{c}^{\#3}$, resulting in a F-sharp minor triad (Example 3-10, graph 4). The implication is strong because at this point in phrase 3 there is a conflict between the keys of A major and F-sharp minor, which is finally resolved into F-sharp minor in measure 38. The $\underline{c}^{\#2}$ of measure 38 might have been considered as a provisional realization of the F-sharp minor triadic melody. However, the potential of the $\underline{c}^{\#3}$ at a structurally important place never seems to be realized. It might be one of the instances in which Romantic composers leave implications unrealized so that the work would remain "open."¹

On the background level, the melodic structure of

¹Meyer, Explaining Music, p. 117.

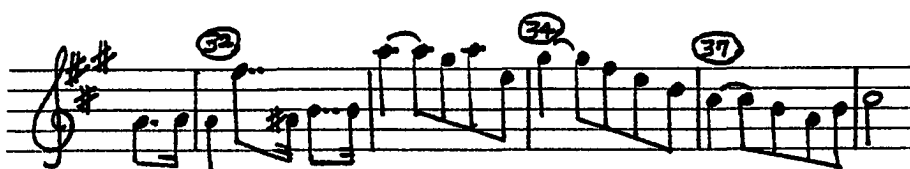
Section B is $\underline{e}^2 - \underline{d}^2 - \underline{c}^{\#2}$: a descending melodic motion from the fifth to the third of the A major scale (Example 3-10, graph 6). This structure is supported by the second level melodic organization of phrase 2 (Example 3-10, graph 2). But the melodic goal $\underline{c}^{\#2}$ of measure 38 ceases to be in A major; it is now in F-sharp minor. The implied melodic motion from the \underline{e}^2 to the $\underline{c}^{\#2}$ generated in the A major tonality is realized only after a new tonality of F-sharp minor has been established. Consequently, the melodic closure at the end of Section B is attenuated; hence it is on-going.

After its opening upward skips of measures 31-32, the melody of the third phrase descends beginning with the \underline{a}^2 of measure 33. The melody changes its direction, however, and ascends to the \underline{e}^2 in measure 36 before returning to the $\underline{c}^{\#2}$ at the beginning of measure 37. For several reasons, the note \underline{e}^2 in measure 36 is important. First the descending motion of the gap-fill of level 1a and the diatonically ascending melody of level 2a converge on this note. Second, on a higher level it is a part of the A major triadic implication (Example 3-10, graph 3). Third, on the most background level, the \underline{e}^2 of measure 36 is the reaffirmation of the \underline{e}^2 of measure 22 before it

descends through \underline{d}^2 and $\underline{c}^{\#2}$ (Example 3-10, graph 6.)¹ Fourth, the chromatic ascending melodic motion of measure 35 adds energy to the \underline{e}^2 of measure 36. It is especially significant that this is the last time the A major harmony is heard (even though in its second inversion) before the conflict between A major and F-sharp minor is finally resolved into F-sharp minor.

The two-measure detour of measures 35-36 is significant not only because of the structural importance of the \underline{e}^2 , but also because of the irregular phrase structure the detour creates. Phrases 1 and 2 of Section B have five measures respectively. Phrase 3 has seven measures, which seems to be largely due to the melodic detour of measures 35-36. The melody of phrase 3 might have flowed smoothly, though less interestingly, without these two measures (Example 3-11).

Example 3-11: (Author paraphrase)



In addition, the extended anacrusis at the beginning of phrase 3 seems to provide another reason for the extension of the phrase length (see Example 3-10).

Conformant relationship between Section A and Section B is achieved through the prominent rhythmic motive of Section A. The rhythmic motive of a weak thirty-second note upbeat followed by a longer note-value is prominent in both sections, as shown below in Examples 3-12A and 3-12B.

Example 3-12A:



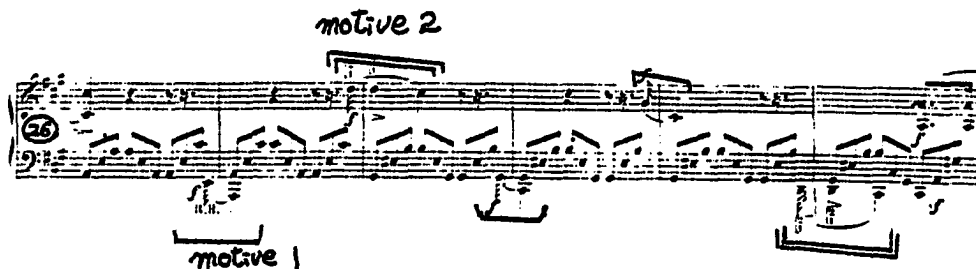
Example 3-12B:



While the melodies of the first and third phrases of Section B flow smoothly, that of the second phrase is halting and fragmentary. An implication is present in this somewhat unexpected and abrupt change of melodic character in phrase 2. The two motives of phrase 2 (indicated with brackets in Example 3-13A) are emphasized by the loud dynamics (forte) and by the isolation of the rhythmic patterns. Furthermore, in motive 2 of phrase 2, the

importance of the \underline{d}^2 is supported by the accent (measure 28). When motive 2 reappears in a low register in measures 30-31, its importance is reemphasized effectively because of the fullness of tone in the low register of the piano. The implication created by the melodic characteristic of phrase 2 is realized at the beginning of the exposition; the intervallic conformance between the X motive of measures 52-54 and the two motives of phrase 2 is unmistakable (Examples 3-13A and 3-13B).

Example 3-13A:



Example 3-13B:



Thus, Section B is related both to previous and forthcoming events, i.e. to Section A through the conformance of the rhythmic motive and to the exposition proper through the intervallic conformances and structural significance. Also the thematic conformance between Section B and the second movement of the same sonata seems quite intentional. As shown in Examples 3-14A and 3-14B, most of the melodic lines

Example 3-14A: Section B of the Introduction, m. 22-38

musical score for Example 3-14A, Section B of the Introduction, measures 22-38. The score is in 3/4 time and features a piano accompaniment with a melodic line in the right hand and a more rhythmic line in the left hand. The key signature has one sharp (F#). The score includes dynamic markings such as *sotto voce*, *marcato*, *ff*, *rilar*, *du*, and *du*. Measure numbers 22 and 38 are circled. The piece concludes with a double bar line and a repeat sign.

Example 3-14B: Second Movement, m. 1-15

musical score for Example 3-14B, Second Movement, measures 1-15. The score is in 3/4 time and features a piano accompaniment with a melodic line in the right hand and a more rhythmic line in the left hand. The key signature has one sharp (F#). The score includes dynamic markings such as *p*, *mp*, *f*, and *triplie*. The word *ARIA.* is written above the first measure. The piece concludes with a double bar line and a repeat sign.

of these two passages are almost exactly alike, and they are basically in the same tonal scheme.

Section B starts sotto voce. Tension accumulates by the use of such devices as dynamics (crescendo, forte and fortissimo), rhythm (accentuation, syncopation caused by appearance of sforzando at the rhythmically weak spot of measure 31), harmony (unstable tonality, shift between A major and F-sharp minor), and articulation (marcato). The ritardando at the end of Section B helps to dispel musical energy which has been built up in the course of the section. However, there is a certain degree of mobility at the end of Section B, not only because of the attenuated melodic closure of the $\underline{c}^{\#2}$, but also because of the C-sharp dominant harmony of the same measure. Its continuation to F-sharp minor is strongly implied, hence is on-going.

Section A' (Measures 39-52)

Measures 51-52 are a modified repetition of measures 49-50, an octave lower in thinner texture, providing a sense of stability toward the end of the Introduction. Closure of Section A' is further strengthened not only because the last sounding note $\underline{FF}^{\#}$ in measure 52 is the lowest note of the whole Introduction, but also because the following silence lasts quite a substantial span of time.

However, from measures 43 until the end of the triplet figure, tension has been accumulating by accelerando, crescendo, and accentuation. The last triplet of measure 52 is

fortissimo followed immediately by pianissimo. This sudden change of dynamics, the sudden discontinuation of the triplet figuration and the appearance of a longer note-value with fermata, and then silence cause the sensation that tension has been released too suddenly. An intense, though dynamical-ly subdued, anticipation results from the disproportion of the accumulated tension to its release (Example 3-15). Consequently, closure at the end of measure 52 cannot be definitely final, even though its closure is strong enough for the Introduction to be understood as a continuous whole having three subdivisions. Had the closure of Section A' been intended as decisive, the music would have stopped at the end of measure 52 and no more music would have been needed to attain a completely satisfactory feeling.

Example 3-15:

The image displays a musical score for piano, divided into two systems. The first system begins at measure 43, marked with a circled '43'. It features a complex rhythmic pattern with triplets and sixteenth notes, accompanied by dynamic markings such as 'f' (fortissimo) and 'pp' (pianissimo). The second system starts at measure 49, marked with a circled '49', and continues through measure 52, marked with a circled '52'. This system also includes complex rhythmic patterns and dynamic markings, ending with a fermata. A large right-pointing arrow is drawn below the second system, indicating a continuation or a specific analytical point.

The Introduction is joined to the exposition proper by a melodic relationship. The two whole notes, C[#]-FF[#], in

the left hand of measure 52 anticipate the intervallic characteristic--a perfect fifth--of the following X motive in measures 53-54. It is interesting to note that the duple organization potential in the dichotomy between the two-beat versus the three-beat unit at the beginning of the Introduction is temporarily realized in measure 52 by the accents and by the groupings in both hands (see measure 52 of Example 3-15). This realization of the implication is all the more significant since the following Allegro vivace shifts into a duple meter.

Exposition

Theme I Area (Measures 53-94)

The opening X motive of measures 52-54 (Example 3-16) is important because it contributes a considerable degree of musical logic and coherence to the movement. The X motive consists of two contrasting segments: x1 and x2. The first segment x1 is more disjunct than the second segment x2. The x1 is articulated with staccato, while the last three notes of the x2 are slurred. Also, since the last measure of the Introduction is unmetered and there is a pause before the X motive is introduced with the Allegro vivace, an aural ambiguity might arise about whether the X motive begins with an upbeat or with a downbeat. The metric organization, however, becomes clear with the dotted rhythm of the x2 on the downbeat of measure 54. Thus, the x2 is more stable than the x1.

Example 3-16:

The harmonic closure at the end of the X motive is relatively weak, because the harmony of the X motive is C-sharp major (the third missing). This harmony functions as dominant to the key of F-sharp minor in which Theme I begins; harmonically, the X motive is on-going.

Why does Schumann open the exposition with the X motive instead of Theme I? First, even though there is closure at the end of the Introduction, the intense emotion of the fifty-two measures of the Introduction seems to reverberate beyond the limitation of formal structure. By beginning the exposition with two measures in which any particular melodic line is absent, extra time is provided for additional release of the accumulated tension of the Introduction. Second, Schumann might have tried to emphasize the significance of the motive by stating it at the very outset of the exposition.

Though the X motive occurring with the Allegro vivace is related to the previous Introduction, it does create a definite feeling of a new start. The change of harmony, meter, tempo, and mood occurring in measures 52-53 makes the X motive sound like the beginning of a section. Furthermore, the harmonic instability at the end of the X motive links it

to the principal theme which follows the motive. However, when the X motive returns in measures 72 and 92, it seems to be somewhat ambiguous whether the motive of these measures ends the previous section or begins a new section. Unlike measures 52-53, change of tempo and harmony does not occur with the X motive in measures 72-73 and 92-93. This ambiguity causes tension and is implicative on a large scale because it creates an anticipation that a passage may follow, sooner or later, where the function of the X motive is unmistakably a beginning or an ending.

The anticipation comes true at measures 94-96. The X motive of measures 72-74 and measures 92-94 function respectively as dominant to the tonic harmony of the following Theme I. In measures 94-96 where the left hand plays the X motive simultaneously with Theme I of the right hand, the motive is in the tonic, clearly marking the beginning of a new musical event. Thus, in retrospect, the X motives of measures 72-74 and measures 92-94 are concluding in character and are related to their respective preceding sections--ThIA and ThIA'.

It is interesting that the X motive has a strong reference to the two outer lines of a cadential gesture: the x1 component to the bass line and the x2 to the

soprano (Example 3-17).

Example 3-17:



The cadential potential of the X motive is implicit in its melodic shape.

Two more points need to be made before closing the discussion on the X motive of measures 52-54. First, Schumann makes clear that no pedal should be used for the motive. The pedal is released after the last note of the Introduction, so there is silence during the whole note rest with fermata. Still, at the beginning of the exposition, the pedal is not used till the last C[#] of measure 54. The lack of pedalling makes the X motive sound transparent and articulate. Second, the dynamics of the motive of these measures seem to suggest its transitory character between the end of the Introduction and the beginning of the exposition. The Introduction ends pianissimo; the X motive of measures 52-54 is piano; Theme I begins forte, following the X motive.

There is not any particular motivic or thematic development in the Theme I area; Theme I is stated three times successively, each time transposed to a different key. Theme

I itself is divided into two sub-phrases, the second being the repetition of the first in a lower register. The extensive repetition of same thematic material might easily have caused structural weakness.

However, Schumann uses a diverse and skillful harmonic scheme to tighten the musical logic. The first presentation of Theme I starts in the key of F-sharp minor, shift to a D-sharp half-diminished seventh chord, and ends on a D-sharp dominant seventh (measures 54-58). The harmonic tension caused by the D-sharp half diminished harmony is somewhat eased by the progression to the more stable sound of a D-sharp dominant seventh (V^7/ii in F-sharp minor), which in turn functions as dominant to the following G-sharp minor.

Schumann then changes the modulatory procedure in the second presentation of Theme I (measures 59-63). If he had followed the procedure of the first presentation of Theme I, the harmonic progression would have been: G-sharp minor, E-sharp half-diminished seventh, and E-sharp dominant seventh. However, the $\underline{f}^{\#1}$ of measure 60, which is a foreign tone in the G-sharp minor tonality, is harmonized with a B major chord instead of an E-sharp half-diminished seventh. Then, through the change of mode, the second presentation of Theme I ends in b minor, in which key the third presentation begins. The harmonic progression of the third presentation is again different; it starts in b minor, then shifts to E-sharp diminished seventh (vii^7 in F-sharp minor), which remains unresolved even after the end of its third presentation

in measure 66. Compared with the first and the second presentations, therefore, its third presentation is more strongly on-going.

Through the entire Theme I area, the rhythmic pattern of two sixteenth-notes and one eighth-note is used exclusively. However, the area has some wonderful rhythmic effects caused by the ambiguous phrase structure. The contrapuntal treatment of Theme I in the soprano measures 65-66 (or 85-86) blurs the phrase structure of the third presentation of Theme I. The premature entry of phrase 2 in measure 65 gives an impression that the third presentation is cut short by one measure. The dialogue in the second phrase is actually cut short by one unit and continued in extension, resulting in a nine-measure phrase (Example 3-18A). Therefore, the X motive at the end of ThIA (or ThIA') seems almost as if it were something added.

The rhythmic instability thus created by the phrase elision and the phrase irregularity toward the end of ThIA (or ThIA') is further promoted by the acceleration of the motivic rhythm. In Example 3-18B, the acceleration of grouping and the imitative patterning is shown. Also the wide skips of the left hand in measures 69-72 create more energy than the conjunct motion of the previous measures.

Schumann also uses implicative devices to enhance the musical excitement and to attain structural logic. First, the six-four position of the tonic triad at the beginning of the first presentation of Theme I (measure 54) creates

Example 3-18A:

Third presentation of Theme I

Phr. 1

Phr. 2

The musical score is in 2/4 time, marked with a circled 62. It features a piano accompaniment with a steady eighth-note pattern in the left hand and a more complex melodic line in the right hand. The melody is divided into two phrases: Phr. 1 (measures 62-65) and Phr. 2 (measures 66-74). Phr. 1 ends with a repeat sign, and Phr. 2 ends with a double bar line. The key signature has one sharp (F#).

Example 3-18B: (♩ = 1)

1)

62 66 72 (X motive) 74

8 8 4 4 2 2 2 2 2 2

2) Or:

62 65 72 (X motive) 74

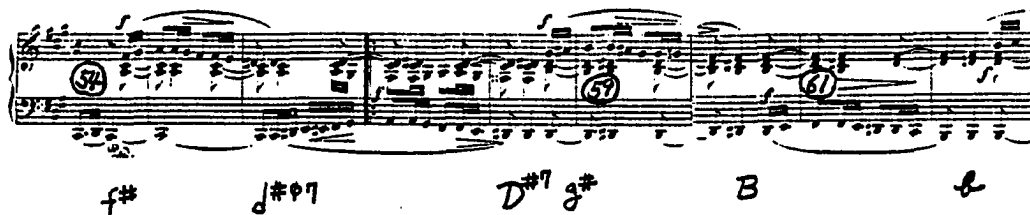
8 4 + (4) 4 4 2 2 2 2 2 2

The rhythmic notation shows two alternative ways to divide the measures of the previous example. In the first alternative (2), the measure at 65 is divided into a quarter note (4) and an eighth note (4), with a plus sign indicating the eighth note is added to the previous measure's eighth note. The notation uses a horizontal line with vertical tick marks for measure boundaries and diagonal lines with numbers for note values. The numbers 2 and 4 represent eighth and quarter notes respectively, based on the tempo marking (♩ = 1).

an harmonic implication; Theme I is expected, sooner or later, to start with a solid root position tonic triad. Second, the first presentation of Theme I starts on $\underline{f}^{\#1}$, ascends to \underline{a}^1 (the third of F-sharp minor scale), then descends; the melody may presumably continue to move in the same direction either down to $\underline{c}^{\#1}$ or all the way down to $\underline{f}^{\#}$. The presumption, however, does not come true, and the melody of Theme I ends on the $\underline{d}^{\#1}$ in measure 56. The note $\underline{d}^{\#1}$ of measure 56 creates tension because its intervallic distance from the \underline{a}^1 of measure 55--the highest note of Theme I in its first presentation--is the tritone. Tension in measure 56 is further intensified since the $\underline{d}^{\#1}$ is harmonized as D-sharp half-diminished seventh chord, which is a fairly unstable harmony (Example 3-19). Consequently, an anticipation of a more stable and solid melodic and harmonic treatment built on the note d-sharp is created. The anticipation is gradually fulfilled in the following passages. The $\underline{d}^{\#1}$'s are continuously heard in measures 58-61 and are harmonized as a D-sharp dominant seventh, a G-sharp minor triad, and a B major (Example 3-19). Because of the substantial duration and the relatively solid harmonization of the $\underline{d}^{\#1}$'s in these measures, the listener gradually becomes accustomed to the sound of the $\underline{d}^{\#1}$. Then a similar procedure is repeated in measures 78-81 and measures 98-106, which reinforces the familiarity with the sound of the $\underline{d}^{\#1}$. Finally, the E-flat (=D-sharp) minor of measures 107-122 seems to satisfy completely the implied anticipation, and the

modulation from the F-sharp minor of the Theme I area to the E-flat minor of the Theme II area is smoothly and effectively prepared.

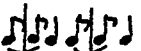
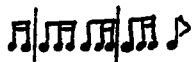
Example 3-19:



Musical momentum reaches its goal by the emphatic statement of the X motive with octave doubling in both hands (measures 72-74). Closure is achieved to a certain degree by the clear harmony and texture of the X motive. However, closure of the ThIA is not strong, because of the harmonic mobility of the X motive (page 64). The music continues into the next event--ThIA'.

Though the second section of the Theme I area, ThIA', is basically the same as its first section, ThIA, Schumann seeks to attain variety by various devices. When Theme I is presented for the first time at the end of measure 54, the F-sharp minor harmony is in its second inversion, and the last note of the X motive in measure 54 is tied to the same note of the next measure. The sound of the X motive seems to linger even after Theme I has begun, and delineation of the beginning of a new event is somewhat obscured. On the other hand, the beginning of thIA' is in a root position tonic triad, which gives a stronger sense of a new start.

Also the root position tonic triad is the realization of the implication created by the second inversion tonic triad at the end of measure 54 (see pages 68 and 70).

Unlike ThIA, staccato prevails in ThIA', giving a more articulate and decisive character to ThIA'. The rhythmic pattern of the accompanying voices of ThIA is largely , while that of ThIA' is . Because of the metric dissonance caused by the syncopation, the rhythm of ThIA is more unstable than the metrically consonant rhythm of ThIA.

One of the most important functions of the X motive is to articulate sectional closure (see page 65). It is interesting to note that the xl component of the X motive also serves a similar function on a smaller scale. In ThIA' each subphrase and phrase ending (measures 76, 78, 80, 82, 84) is articulated by the two-note figuration clearly derived from the xl. The clear structural articulation of the xl motive adds a stronger sense of stability, as compared with ThIA. Interestingly, Schumann strengthens the effect of phrase elision toward the end of the third presentation of Theme I by avoiding the cadential xl motive in measure 86 and by beginning the poco a poco crescendo in measure 85 before the third presentation ends in measure 86.

Since ThIA' is more stable than ThIA, the closure of measures 92-94 is on a higher level than that of measures 72-84 in the hierarchic structure of the entire Theme I area. The X motive in measures 72-74 closes the first half of the

Theme I area and leads into the beginning of the second half; the entire Theme I area is ended by the X motive of measures 92-94 and a new formal entity, the transition, begins after the motive.

In summary, despite the extensive repetition of thematic material and rhythmic pattern, the Theme I area imparts intense emotional energy; there is well-calculated logic in the musical flow. The instability and diversity of the harmonic progression and the implicative relationships seem to add tension to the passage. Musical energy is promoted by the irregular and overlapping phrases toward the end of ThIA and ThIA'. Excitement is attained through the skillful use of variety in articulation, texture, and rhythm between the two major sections. Most of all, the structural logic of the Theme I area is achieved by the hierarchic treatment of the closures of ThIA and ThIA'. ThIA may be regarded as a rhythmically mobile half in reference to a rhythmically stable half, i.e. ThIA'.

Transition I (Measures 95-106)

Here Schumann uses a common device often used by the Classical sonata composers: he begins the first transition section with Theme I in the tonic key. Then, a new melody is introduced: TransIm (Example 3-20). The transition melody consists of two sub-phrases. The first sub-phrase is mostly in scalar motion with the skip of an upward fourth, followed

by a downward fourth at the end. The second sub-phrase is disjunctly patterned, its motivic figuration being further developed in measures 102-106. The disjunct motivic figuration at the end of Transition I foretells the characteristics of the thematic substances of the following Theme II area.

Example 3-20:



With the entrance of the transition melody there is a strong feeling of noncongruency, due to the particular melodic and rhythmic characteristics of the accompaniment. Substantial congruity would have been attained if the accompaniment had been patterned as in Examples 3-21A and B. Even the figuration of Example 3-21C, whose unbalanced contour creates less stability than the rising-falling shape of Examples 3-21A and B, provides a certain degree of congruity because the figuration begins with the downbeat. In actuality, as shown in Example 3-21D, the accompaniment figuration has an anacrustic beginning and its shape is not balanced, which enhances noncongruous feeling and promotes instability in the passage.

Example 3-21:

Melody

Accomp. A) γ

B) γ

C) γ

D)

Also, tension which has been built up through motivic acceleration, accent, sforzando and crescendo in measures 99-106 provides forceful on-going energy from which the Theme II area continues forward. Despite the use of the rhythm of the concluding motive x2 and of the fermata, closure in measure 106 is incomplete because of its dominant sound on a B major chord.

Harmonically, the transition is related both to the Theme I and Theme II areas. Transition I begins in F-sharp minor and TransIm enters in G-sharp minor, the harmony of the second presentation of Theme I (see measures 58-59). The G-sharp minor harmony shifts to a dominant chord on B by the end of the transition section (measure 106), repeating

the progression that occurred in measure 59-62. In retrospect, the B major chord which ends the transition functions enharmonically as a submediant chord on C-flat in the key of E-flat minor--the tonality of the Theme II area.

Theme II Area (Measures 107-122)

Theme II is a bar-form: $m+m+n$ (Example 3-22). There is tension and instability in the Theme II area, because of a great deal of one's expectation about the melodic, harmonic, and rhythmic patternings of the area do not come true. For example, in the beginning measures of ThIIA, the main harmony of each measure is not heard until the second half of the first beat, and the accompaniment figuration starts with the rhythmically weak half of the first beat (Example 3-23A); hence, the metric organization of the passage is obscured. One might expect to hear the accompaniment figuration begin with the downbeat (Example 3-23B). Had this been the case, the accompaniment would have conformed to the meter, but there would have been non-harmonicism on the downbeat of the measures. Or one might expect ThIIA to begin as shown in Example 3-23C; the metric organization of the passage, then, would have been clearly conformant by avoiding non-harmonicism on the downbeat of the measures and by starting the accompaniment figuration with the downbeat. Comparison of Example 3-23A with Example 3-23C shows that these deviations are instrumental in contributing instability to the passage.

It is interesting that the aural effect of ThIIA is as

if the bar-lines had been shifted a half beat forward (Example 3-23D). However, because of the very nature of the dichotomy between the metric organization and rhythmic flow, tension is bound to be felt. This dichotomy is intentional; Schumann is very careful to beam the sixteenth notes in the right hand to conform to the meter (Example 3-22).

The first and the second half of the Theme II area--ThIIA and ThIIA'--are essentially the same (Example 3-22). Yet, some of the differences between these two halves not only delineate the sectional division between them, but also account for the increase of instability in the second half. Compared with ThIIA, the left hand accompaniment of ThIIA' starts two eighth notes earlier, which creates non-harmonicism on the fourth eighth note of a measure and the first eighth note of the following measure (Example 3-24B). In ThIIA', the dichotomy between the meter and the rhythmic flow is further intensified because Schumann places the sforzando to both hands in a place which is visually conformant to metrical accent but is aurally insignificant in the melodic line (see measures 115-117 of Example 3-24B). The tension of ThIIA' is diminished in measures 121-122 by the reconciliation of the melody and the accompaniment and by the bass movement from the fifth to the first degree of the E-flat minor scale (see Example 3-22). The release of the tension in these measures is further confirmed by the cadential harmonic progression of i-V-i and by the decrescendo.

Example 3-22:

ThIIA

passionato
a tempo

m m n

temporary cessation

e^b: VI Vⁿ i Vⁿ

ThIIA'

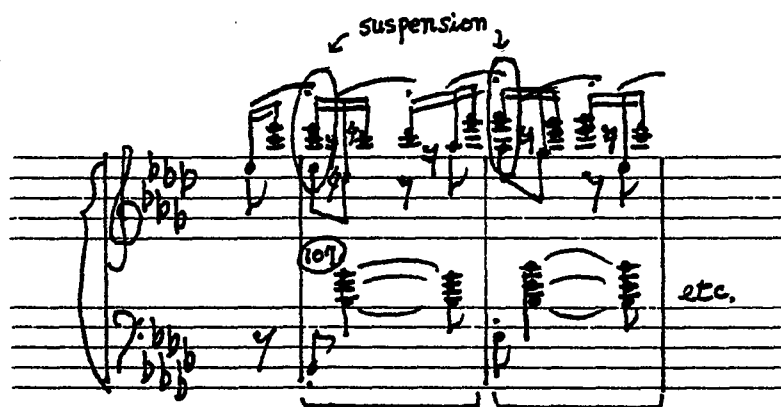
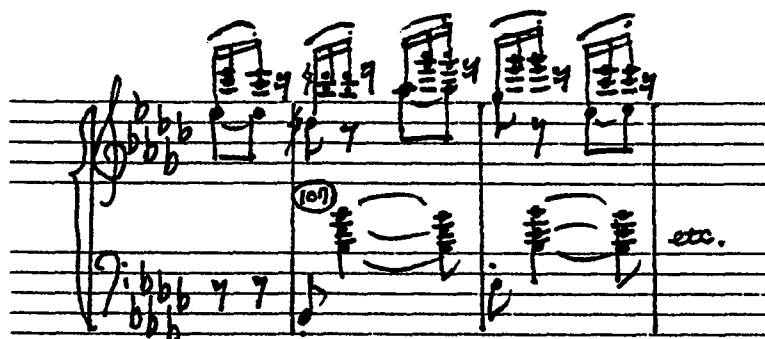
m m n

Reconciliation

i V i

Example 3-23:

(A) Original

(B) Author
paraphrase(C) Author
paraphrase(D) Author
paraphrase

The temporary cessation in the right hand melody at the end of ThIIA enhances a certain degree of closure (Example 3-22). However, the closure of ThIIA is not strong because of the on-going quality of the dominant harmony. Compared with the closure of ThIIA, that of ThIIA' is more substantial because of the accumulation and the release of the tension described above.

There are some interesting aspects of the harmony in the Theme II area. Despite the change of key signature, texture, and mood, there is a certain ambiguity at the beginning of the Theme II area. This ambiguity occurs largely because the tonality of the Theme II area is not clearly defined at its beginning; the tonic, E-flat minor, does not appear until the second half of the first beat of measure 108. The Theme II area starts with a C-flat major harmony and shifts to B-flat dominant seventh before the key of E-flat minor is established.

Colorful and imaginative choice of the key of E-flat minor for the Theme II area is significant in creating tonal symmetry in the exposition; the E-flat minor of the Theme II area and the A major of the Closing Theme area are each a minor third apart from the F-sharp minor of the Theme I area. The tension of E-flat minor is especially heightened, in retrospect, because of its tritone relationship with the A major tonality of the Closing Theme area.

Example 3-24:

(A) The beginning of ThIIA:

Harmonic implication { melody
accomp.

Chords: C^b , B^{b7} , e^b , B^{b7} , e^b

Accompaniment: e^b , V, i, V, i

Abbreviation { melody
accomp

(X = non-harmonicism)

(B) The beginning of ThIIA':

Harmonic implication { melody
accomp.

Chords: B^{b7} , e^b , B^{b7} , e^b

Accompaniment: e^b , V, i, V, i

Abbreviation { melody
accomp.

(X = non-harmonicism)

Transition II (Measures 123-145)

It seems unusual to repeat the same patterning of thematic presentation used at the beginning of the Theme I area in a transitory section between the Theme II area and the Closing Theme area. Return of the same musical material may create a sense of unity through the memorability of these materials. However, in the sonata-allegro form where contrast and developmental technique play an important role, excessive thematic repetition might diminish the tightness of musical logic.

Schumann uses imaginative harmonic devices not only to compensate for the lack of thematic development, but also to heighten the musical tension of Transition II. It has been discussed in Chapter II (see pages 23-24) that when one parameter undergoes complex procedure, other parameters seem to be more stable and often assume uniformity. Schumann may have deliberately avoided diverse and complex thematic or motivic development in Transition II in order to focus all attention on the tritone relationship of tonality between the Theme II area and the Closing Theme area.

The C-sharp minor chord of measure 126 seems unexpected largely because the alto \underline{e}^1 of the second beat occurs earlier in the measure than one might have anticipated (Example 3-25A). Since Theme I recurs sequentially beginning with the last two sixteenth notes of measure 126, there arises an incongruity between the harmonic and sequential rhythm. The harmonic

At the end of the third presentation of Theme I, the congruity between harmony and sequence is attained. Together with the pedalling and the slur between b and e in measure 134, Schumann carefully indicates that the D dominant seventh harmony of the measure lasts for $1\frac{1}{2}$ beats by assigning a dotted quarter note to the soprano, the alto, and the bass of the measure. Also note that the tenor e on the second beat of measure 134 is common to both the previous E dominant seventh and the following A major.

Though the persistent rhythmic pattern of two sixteenth-notes and an eighth-note continues in the accompanimental lines (in the bass and then in the tenor), the melody of measures 140-145 moves in quarter notes--the only quarter note melody in the whole exposition. The momentum of measures 135-139 almost comes to a halt, setting up the larger gesture of the following Closing Theme. This significant change of the melodic flow in measures 140-145 is brought out all the more effectively by the unstable harmony of the measures (Example 3-26).

Example 3-26:

$E \ C \ C' \ f^{\# \circ} \ E \ C \ C' \ f^{\# \circ} \ E^7 \quad A$

Despite the similarity between the Theme I area and TransIIA (measures 123-134), the character of each is quite

different: the statement of Theme I in the beginning of the Theme I area had more or less a sense of decisiveness in character; that in TransIIA is subdued and reserved.¹ Incidentally, the modulations between presentations of Theme I in TransIIA are more unpredictable and unusual than in the Theme I area, which seems partly to be the reason for the somewhat halting character of musical flow of TransIIA. At the end of TransIIA musical energy is decreased by the un poco ritenuto. Even though the E dominant seventh harmony at the end of TransIIA is on-going to the A major of the beginning of the following TransIIB, there is a certain degree of closure in measure 134, because of the clear contrast of dynamics, articulation and harmony between these adjacent sections. On the other hand, the third presentation of Theme I in the Theme I area does not create closures, large due to unresolved E-sharp diminished seventh harmony in measure 66. Therefore, the context and mood of the threefold presentation of Theme I in TransIIA is different from that in the Theme I area. In short, Schumann achieves musical coherence in both cases by thematic repetition, without loss of musical energy.

¹The quiet and lyrical mood of Transition II seems to anticipate the melodic characteristics of the Closing Theme area; there the phrases are long-breathed and flowing (notice especially legatissimo sempre of measure 156).

Closing Theme Area (Measures 146-178)

The Closing Theme area consists of two sections:

ClthA (measures 146-155) and ClthB (measures 156-175). The main generative event in the melodic structure of ClthA is the descending fourth, $\underline{a}^1 - \underline{g}^{\#1} - \underline{f}^{\#1} - \underline{e}^1$, in measures 146-147. This melodic descent from the tonic to the fifth degree of the A major scale is highly implicative. First, there is an implication of continual scalar descent to the tonic an octave lower, and this implication is realized by the \underline{d}^1 , $\underline{c}^{\#1}$, \underline{b} , and \underline{a} in measures 154-156 (Example 3-27, graph 1).¹ Second, on the next higher level, an A major triad, $\underline{a}^1 - \underline{e}^1 - \underline{c}^{\#1} - \underline{a}$, is implied (Example 3-27, graph 2). The A major triadic implication is regenerated in measures 148-149 by the repetition of the initial four-note descending motive. It is further strengthened by the immediately following melodic skip from the \underline{e}^1 to $\underline{c}^{\#2}$ in measure 150 and a little later by another skip from the \underline{b} to \underline{e}^1 of measures 151-152.

¹This foreground implication of the conjunct melodic descent down to the tonic seems to be quite evident, because the melodic line of measures 140-144 is related to the first four measures of the Closing Theme (indicated with brackets in Example 3-27A) and because the line continues into the bass notes, $\underline{D}^{\#} - \underline{D} - \underline{B} - \underline{A}$, in measures 144-146 (indicated with circles). Incidentally, the tenor line of measures 140-144 also anticipates the first four measures of the following Closing Theme.

Example 3-27A:

Closing Theme →

Example 3-27:

The image displays handwritten musical notation for Example 3-27. It consists of five staves. The first four staves show rhythmic patterns with various notes and rests, including markings for 'gap' and 'fill'. The fifth staff is a single melodic line with measures numbered 146 through 158. The notation is written in treble clef with a key signature of one sharp (F#). The bottom staff includes a dynamic marking 'f*' at the end.

1.

2.

3.

4.

5.

Then, the $\underline{c}^{\#1}$ of measure 155 and the \underline{a} of measure 156 fulfill the realization of the A major triadic implication (Example 3-27, graph 2). Third, beginning and ending notes of the generative event, \underline{a}^1 and \underline{e}^1 , may function as a gap to be filled and the implied gap-fill motion is realized by the \underline{e}^1 , $\underline{f}^{\#1}$, $\underline{g}^{\#1}$, and \underline{a}^1 of measures 152-156 (Example 3-27, graph 3).

There is substantial melodic closure at the end of ClThA, because the realizations of these three implications are completed with the first eighth note of measure 156.¹ However, the closure of ClThA is not decisive. The notes \underline{a}^1 of measure 146 and $\underline{c}^{\#2}$ of measure 150 have aural prominence, because the Closing Theme starts on the \underline{a}^1 and the $\underline{c}^{\#2}$ creates an upward gap to be filled by conjunctly descending line. These two notes, in turn, imply an ascending A major triadic melodic pattern (Example 3-27, graph 4). The implication is not realized in ClThA; instead, the \underline{e}^2 in measure 160 moves to the \underline{a}^2 in measure 168 to complete the A major implication generated earlier. Due to the unrealized ascending A major triadic implication at the end of ClThA, the closure is not quite complete.

Closure of ClThA is further weakened because the \underline{a}^1 of measure 156 is harmonized as F-sharp minor rather than A major. The deceptive cadence (V-vi) at the beginning of

¹The first eighth-note of measure 156 both ends ClThA and begins ClthB.

measure 156 diminishes the structural importance of the a¹ to a considerable degree. In other words, incongruity between melodic structure and harmonic progression at the end of ClThA enhances a certain degree of mobility.

As shown in Example 3-28, the irregular phrase lengths of ClThA (measures 146-155) become regularized during ClThB (measures 156-175), which enhances a rhythmic closure at the end of the Closing Theme I area.

Example 3-28:


Measures	146-155	156-159	160-167	168-175
Phrases	10= 4+6	4	8= 4+4	8= 4+4
Sub-phrases	(2+2)+(2+2+2)	(2+2)	(2+2)+(2+2)	(2+2)+(2+2)

The closure of the area is further strengthened by the harmonic stability.

There is wonderful balance of the melodic contour in measures 156-171 (Example 3-29). The melodic balance of measures 160-167 especially contributes a great stability to the Closing Theme area; each phrase (measures 160-163, 164-167) consists of a two-measure conjunct ascending motion and a two-measure disjunct descending motion.

Example 3-29:

Measures	156-159	160-163 (164-167)	168-171
motion	conjunct	conjunct-disjunct	conjunct
direction	ascending	ascending-descending	descending

Because rhythmic, harmonic, and melodic stability are attained toward the end of the Closing Theme area, the closure of the area is quite substantial. However, the $\underline{c}^{\#1}$ in the soprano of measures 174-175 causes the harmonic closure to be less complete. Also, the disjunct melodic motion in measures 172-175 disturbs the melodic balance, leaving the end of the area not definitively closed. It is interesting that the relentless rhythmic pattern ( etc.) discontinues in the Closing Theme area and that the phrases of the area do not begin with a half-beat anacrusis. Then, the anacrusic character reappears with the X motive of measures 173-175; Schumann carefully begins the staccato with the E at the end of measure 173. Therefore, the melodic equilibrium at the end of the exposition is further weakened.

Schumann uses the x2 motive at the end of the first phrase of the Closing Theme (in the tenor of measures 148-149); this segment of the X motive also has a cadential quality. Schumann utilizes the x1 at the cadence points of the previous ThIA'. Why does he use the x2 in measures 148-149? It is probably because the smoother articulation of the x2 fits the melodic character of the flowing Closing Theme. In addition, using the more stable x2 in these measures seems appropriate because the Closing Theme area is more stable than the Theme I area.

The X motive in measures 173-175 delineates sectional

closure of the entire exposition. In the first ending, the motive ends the first statement of the exposition. In the second ending, the X motive ends the whole exposition and connects the exposition to the development section. Musical unity is greatly enhanced by the ingenuous use of the X motive.

As shown with brackets in Example 3-30, there seems to be a resemblance between Theme I, Theme II, and the Closing Theme. The descending melodic line of Theme I (Example 3-30A), the second half of Theme II (Example 3-30B), and the beginning of the Closing Theme (Example 3-30C) show similarities.

Example 3-30:



The melodic contours of the three primary themes of the exposition are not particularly contrasting. Instead, thematic contrast is attained more by the different moods or characters of the passages in which these themes are presented. Furthermore, compared with the highly impassioned

romantic melodies of the introduction, the themes of the exposition are less memorable melodically. Variety, contrast, and logic in the exposition are achieved more through rhythmic, harmonic, and textural devices rather than through imaginative melodic invention.

Development

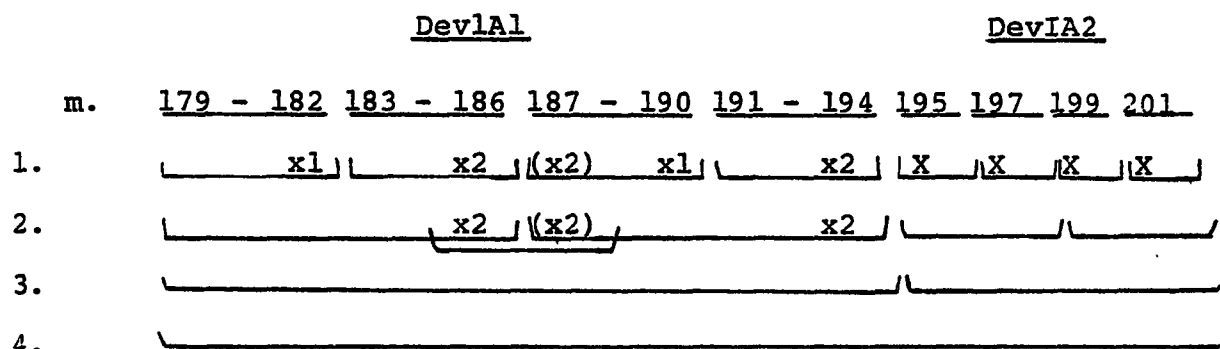
The Function of the X motive

Musical logic in the development section is largely the result of the ingenious use of the X motive. The primary function of the X motive in the exposition, as an agent to delineate sectional closure on various hierarchic levels and thus to enhance structural logic, continues in the development section.

The second segment of the X motive, x2, ends each half of DevIA1 (measures 186, 194). Each half of DevIA1, in turn, is divided into two four-measure phrases, and the end of each phrase is marked off with the characteristic interval (perfect fifth) of the first segment of the X motive, x1, respectively (measures 182, 190). In each half of DevIA1, closure at the end of the second phrase is stronger than that of the first phrase because the former functions on a higher hierarchic level than the latter (Example 3-31, levels 1 and 2) and because change in style and melodic material occurs with DevIA2. Since the x2 is more conclusive than the x1 (see page 63), using the x1 at the end of the first phrase and the x2 at the end of the second phrase seems

quite logical.

Example 3-31:



The motivic segment x2 at the end of the first half of DevIA1 is repeated at the beginning of the second half (see measures 185-187), which suggests motivic continuation between these measures (Example 3-31, level 2). The motivic relationship between the end of the first half and the beginning of the second half is further strengthened by the carrying over of the previous forte dynamics for the x2 in measure 187, while the main portion of the second half begins in piano. Therefore, an elision of the first and the second halves of DevIA1 takes place to form a higher level structural unit (Example 3-31, levels 2 and 3). Notice there is no motivic continuation of the x2 right after the end of the second half of DevIA1, which clearly delineates the sectional division between DevIA1 and DevIA2. Using two x2 motives successively in measures 185-187 to blur the phrase structure seems to reflect the functional ambiguity of the X motive in the Theme I area of the exposition.

The X motive of DevIA1 is fragmented and its segment--x1 and x2--are separated in time, implicative of a passage where the X motive in its entirety recurs sequentially four times. Thus, closure at the end of DevIA1 is considerably weakened, although changes of texture, mood (animato), and harmonic progression at the beginning of DevIA2 mark a clear formal division between DevIA1 and DevIA2. Consequently, on the next hierarchic level, DevIA1 and DevIA2 combine to form a higher level musical event, i.e. DevIA (Example 3-31, level 4). Also, since the primary function of the X motive is to delineate sectional closure, it seems natural to use the X motive in its entirety exclusively in the second section of DevIA, rather than in its first section.

To follow through the use of the X motive in the development, an emphatic statement of a varied X motive concludes the development section at measure 334. As was the case in the exposition, the end of the development is also articulated with the X motive. Here, the interval of the x1 is inverted and the melodic contour of the x2 modified. The off-beat accentuation seems to attract the listener's attention to the X motive of measures 332-334. On the other hand, because the X motive in these measures is varied, it creates an anticipation that a passage might follow sooner or later in which the X motive will be regularized to its

original form; hence an implication is generated.¹ Therefore, the end of the development is not completely closed; rather it is on-going.

Musical Tension and Instability

Musical tension in the development is greatly enhanced by rhythmic instability. In phrase 1 of the development (measures 179-182) which utilizes Theme I material, the internal phrase structure becomes unstable by virtue of the four imitative entries at quarter-note intervals (Example 3-32A). It is interesting to note that the exposition form of phrase 1 of Theme I balanced stability and instability by means that were exactly reversed from those in the development. In Example 3-32B, the unstable second inversion of the tonic began the exposition Theme I, and the instability was somewhat alleviated by the even balance of the imitative entries.

Example 3-32A:

Handwritten musical notation for Example 3-32A, showing measures 178-183. The notation includes a treble and bass staff with notes and rests. Below the staff, there are handwritten annotations: *f#*, *i*, *pp*, and *p*. The measures are labeled 178-179 and 182-183. The first measure contains four quarter notes (2, 2, 2, 2) and an eighth note (8). The second measure contains a quarter note (1) and a half note (2). The tempo is marked *ritmo*.

¹The implication is realized at the beginning of the recapitulation in which the X motive is heard simultaneously with Theme I for the first time in the tonic key (measures 334-336).

Example 3-32B:

$f^\# : \frac{6}{4}$

54 - 55 57 - 59

8 8 ($\text{♩} = 1$)

Phrase 2 (measures 183-186) begins with the transition melody (TransIm). As can be recalled, the unexpected metrical position of the accompanying material for TransIm created a strong sense of noncongruency in the exposition. In the accompaniment of the second full measure of the development phrase 2, a fragment of Theme I rhythm enters with an anacrusis into the second beat and continues through the third measure of this four-measure phrase (Example 3-33). Also, the accompanying idea has been metrically dislocated to create tension.

Example 3-33:

Th I rhythm X2

192 - 193 196 - 197

TransIm

7 + 2 2 2 + 4 ($\text{♩} = 1$)

The sequential recurrence of the concluding X motive imparts a certain stability to DevIA2 (measures 195-202). However, the stability is greatly attenuated because of the incongruity between motivic rhythm and meter. This incongruity of the passage is supported by the beaming across the bar-line and the off-beat character of the alto line. It becomes all the more conspicuous since the X motives of DevIA2 have upbeat beginnings.

Rhythm continues to be unstable in the following DevIB1 (measures 203-216). In measures 203-208, the left hand melodic line, which is emphasized with accents, is related to the descending fourth of the Closing Theme. Here, the accentual placement of the line is noncongruent with meter, adding rhythmic instability to the passage. Musical tension of DevI reaches the climax during measures 209-216, where both motivic pattern and harmony move noncongruently with meter. Musical tension is somewhat depleted in measures 217-224 mainly by the generally descending line and the sempre diminuendo, creating a sense of closure at the end of DevI. However, the disproportion of the previously accumulated tension to its release weakens the closure at this point.

Musical energy accumulates persistently during DevIIA (measures 225-270). The section has a resemblance to the exposition Theme I area: DevIIA1 (measures 225-250) to ThIA, and DevIIA2 (measures 251-270) to ThIA' (Example 3-34).

Example 3-34:

<u>ThIA</u> (22 measures)	<u>ThIA'</u> (20 measures)
X mot.	X mot.
55 2 - - - 4 4 4 6 + 2	75 4 4 4 6 + 2
f [#] g [#] b f [#] : V	f [#] g b f [#] : V

<u>DevIIA1</u> (26 measures)	<u>DevIIA2</u> (20 measures)
Theme I material	
225 4 4 4 6 8 4 4 4 + 4	
c [#] d [#] f [#] c [#] : V mod. f g b ^b	

However, DevIIA is different from the exposition Theme I area in some respects and the former contains a greater instability than the latter. The harmonic process in measures 225-242 matches the process in measures 55-72 of the exposition. As can be recalled, the X motive at the end of ThIA contributes a sense of closure to the area (measures 72-74). The closure of the end of DevIIA1 is greatly diminished because the concluding X motive is absent. The modulation prepared in measures 243-250 involves a fairly complex process (for example, see the French augmented sixth in measure 246), and a dominant seventh of an F minor is reached only a half beat before the entrance of DevIIA2. The harmonic instability at the end of DevIIA1 weakens closure. Also, the sixteenth-

note left hand figuration in measures 243-250 anticipates the right hand figuration of DevIIA2. Therefore, there is a stronger mobility between DevIIA1 and DevIIA2 than between ThIA and ThIA'.

Musical energy intensifies furthermore during DevIIA2 by the continuous sixteenth-notes of the right hand, fast tempo (vivacissimo, sempre vivacissimo), and by the dynamics (crescendo from piano to forte). Consequently, there is a great deal of musical energy at the end of DevIIA2. Its closure is quite unstable despite the x1 motive and a brief temporal discontinuation of the bass melody by a dotted sixteenth-note rest in measure 270. In addition, the continuation of the right hand accompanimental figuration into DevIIB adds mobility. The previously accumulated musical energy is suddenly halted with DevIIB by the abrupt change in tempo, dynamics, and melodic character. It is interesting that the familiarity of the thematic materials in DevIIA effectively enables the listeners to attend to the intense accumulation of the tension by means of harmony, tempo, dynamics, and figuration.

The reappearance of the introductory melody in DevIIB seems to clear up somewhat the previous confusion before musical tension accumulates again during DevIII.¹

¹DevIII is almost the same as DevI, with everything transposed a whole step up. Therefore, the entire development may be considered in A-B-A' design.

However, great intensity underlies DevIIB because of the impassioned character of the melody. This is enhanced by the harmonic dichotomy between the melody and accompaniment (Example 3-35).

Example 3-35:

The image shows a musical score for Example 3-35. It consists of a melody line (treble clef) and an accompaniment line (bass clef). The melody line starts with a circled number 270. The accompaniment line has the instruction "p più lento" and the text "hanno pre-ven-". Above the melody line, there is a harmonic analysis: f (first measure), $aug\ 6th$ (second measure), f (third measure), C (fourth measure), and f (fifth measure). Below the accompaniment line, there is another harmonic analysis: f (first measure), $aug.\ 6th$ (second measure), $f^{\sharp 4}$ (third measure), $C^{\sharp 4}$ (fourth measure), and $f^{\flat 6}$ (fifth measure). The score is written in a single system with five measures.

The intense emotion of DevIIB is not climactic; rather, it is conveyed with subtlety and control (see più lento and piano). Incidentally, the two-beat unit which was potential in the dichotomy between the two-beat versus the three-beat unit in the accompaniment of measure 1 is finally realized in DevIIB with the same material. Yet, the slurs across the bar-lines somewhat weaken the clarity of the duple organization of the area.

Of particular interest is the last subsection of the development, DevIIIB (measures 323-334). DevIIIB is parallel to DevIB2 (measures 217-224); nevertheless, tension intensifies in the former, while it diminishes in the latter. The constantly shifting accentuation of measures 323-334 promotes rhythmic instability. Off-beat accentuation of measures 325-328 changes into downbeat accentuation in measures 329-

332 when sforzandi occur on the downbeat with primary metric accents. Then, in the last X motive of the development, the accents fall on the metrically weak places (measures 332-334). Frequent changes between off-beat and downbeat accentuations in measures 323-334 impart the effect of shifting the bar-lines. Also note that the meter is contradicted by motivic and harmonic patterns in measures 329-332. Rhythmic instability, thus accumulated, heightens the dramatic tension of the area. The development section attains its final climax with the emphatic statement of the modified X motive in triple fortissimo.

Recapitulation

The previously accumulated musical energy which reached a emphatic climax at the end of the development suddenly comes to a halt, when the recapitulation begins piano in a thinner texture. Even though there is a fermata at the end of the development, the almost unprepared release of the accumulated tension together with the harmonic shift from F-sharp major to the F-sharp minor creates a sense of unexpectedness and weakens the beginning of the next formal area, the recapitulation.

In the exposition, musical tension increased during ThIA and thIA', reaching climaxes with the X motives at the end of each section. As a contrast, the Theme I area of the recapitulation is subdued (piano) and lacks momentum which moves to a climactic goal. Musical energy diminishes at the

end of the area by diminuendo and ritardando (measures 346-352). This change of character in the recapitulation seems to be intentional. If tension had built up again immediately after the intense climax of the development, the passage would have been too heavily burdened with nervous musical energy. The relatively subdued character of the Theme I area provides a plateau of musical tension which enhances the momentum of the forthcoming sections (Transition I and the Theme II area) and acts as a foil to them. Incidentally, note that the recapitulation Theme I area is abbreviated probably because the insistent use of Theme I material in the previous two sections, the exposition and the development.

It would have been somewhat difficult to predict the tonal pattern of the recapitulation since the exposition tonality was so unexpected: F-sharp minor, E-flat minor, and A major. The fact that the tonal sequence of the recapitulation is F-sharp minor, C-sharp minor and F-sharp minor seems a stabilizing factor that is appropriate to the last large section of the sonata-allegro design.

A passage parallel to measures 156-159 of the exposition is missing in the recapitulation (Example 3-36). Measures 156-159 provided a foundation for harmonic detour by the deceptive cadence of F-sharp minor before the harmony returns to A major at measure 160; hence musical tension was created by harmonic surprise in the exposition and is omitted in the recapitulation. A concluding mood toward the

end of the movement seems to be supported by the avoidance of the deceptive cadence.

Example 3-36:

Exposition



Recapitulation



As the Closing Theme area proceeds, the tempo slows (lento, ritenuto) and the dynamics become softer (sempre diminuendo) with the X motive in the left hand of measures 419-421. At first sight, these features seem to contribute a sense of repose toward the end of the movement. However, tension is present in the final combination of register and dynamics. The low register of the piano is heavy in sound; tremendous effort is, therefore, required to play the final X motive softly. At the same time, after the last note of the X motive, FF[#], ceases to sound at the end of measure 421, the A lingers for quite a while in the right hand before the movement finally reaches its closure. Because the movement

ends with the third of its main tonality of F-sharp minor, closure at the end is not complete. The A at the end of the movement also suggests the tonality of the following movement, A major. Consequently, there is instability even at the end of the first movement. The tremendous musical excitement and tension generated in this movement are never completely resolved.

CHAPTER IV

THE FIRST MOVEMENT OF SCHUMANN'S PIANO SONATA IN G MINOR, OPUS 22

Exposition

Theme I Area (Measures 1-23)

From the opening measures of the movement, there is a strong sense of on-going momentum which is largely the result of their rhythmic and melodic structures. As we shall see in the course of this analysis, ambiguity of rhythmic patterns and incompleteness of melodic implications of the opening measures suggest that throughout the entire movement musical energy is greatly promoted by rhythmic instability and melodic implications.

Rhythm

Measure 1 is highly ambiguous rhythmically. The measure is somewhat set off from the following two measures in the foreground level and is heard as a more or less individual, discrete musical event, because there occur sudden changes in figuration and texture at measure 2 (Example 4-1). However, its half note G minor chord with fermata neither establishes the rhythmic pattern of the measure, nor provides any clue to how the basic rhythmic organization of the following phrases will be shaped. This rhythmic ambiguity enhances a sense of

anticipation and instability.

Example 4-1:



Though measure 1 is set off from the following two measures on the foreground level, it is related to them on the next level; the left hand figuration of measures 2-3 is the broken arpeggiation of the left hand chord of measure 1 (Example 4-1). The direct relationship between measure 1 and measures 2-3 is made clearer by the fact that the tonic (\underline{g}) is less important than either the fifth ($\underline{d^1}$) or the third ($\underline{b^{b1}}$) of the G minor harmony. In measure 1, the \underline{g} is an ornamental grace note to the G minor chord in second inversion. In measures 2-3, the notes \underline{g} fall on the rhythmically weakest location in the figuration, while the $\underline{d^1}$'s receive the strongest metric accent and the $\underline{b^{b1}}$'s are aurally conspicuous because of their relatively higher register. In short, measure 1 combines with measures 2-3 to function as an introduction to the presentation of the primary theme of the movement which begins at measure 4.

However, measures 2-3 are not only related to the preceding measure, but also to the following measures. As can be seen in Example 4-1, the left hand arpeggio figuration of measures 2-3 continues into measure 4-9 (with only small

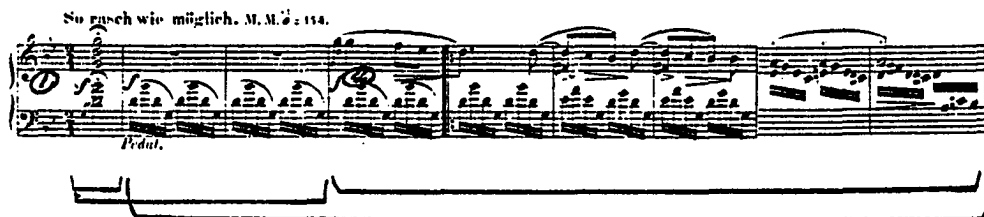
changes in harmonic outlines) and serves as accompaniment to the first statement of Theme I. While the first statement of Theme I is clearly in a six-measure unit,¹ measures 2-9 might be understood as an eight-measure unit. The dual function of measures 2-3 serves as a basis for the irregular phrase structure that follows.

Rhythmic instability of the opening measures is further strengthened if we consider that measure 1 is doubled in duration by the fermata; the duration of measures 1-3 will be in effect that of four measures. Since Theme I is in a six-measure unit, the imbalance of phrase units between measures 1-3 and measures 4-9 is created. The G minor arpeggio figuration could have continued two more measures before the entrance of Theme I making the duration of the introductory measures the same as that of the first statement of Theme I, thus balancing the two phrase units. Had this been the case, the introductory left hand arpeggio figuration would have been much more closely related to measure 1 than to the first statement of Theme I; the introductory measures 1-5 of Example 4-2B form a more discrete musical event than the introductory measures 1-3 of Example

¹The six-measure phrase unit of the main theme is reinforced by its almost exact repetition in measures 10-15.

4-2A. In other words, the dual function of measures 2-3 would have been greatly attenuated if there had been a balance of phrase structure in measures 1-9.¹

Example 4-2A:



Example 4-2B: (Author paraphrase)



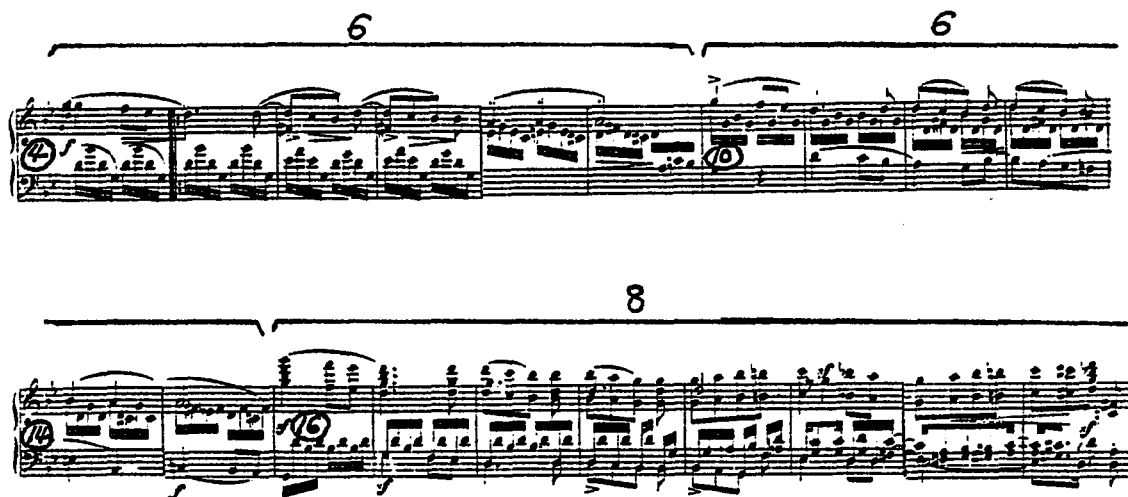
Imbalance of phrase structure in the opening passage of measures 1-9 enhances the rhythmic implication; it suggests that a passage might follow, sooner or later, whose phrase structure is in a four-measure or an eight-measure unit. The implication thus generated is not realized immediately; Theme I is repeated almost exactly in the following six measures. The delayed realization of the implication adds to the musical tension. At measure 16, we hear the primary theme enter for

¹This analysis seems to be valid because the same G minor arpeggio figuration continues for two more measures after the entrance of Theme I at measure 4 in the original music as shown in Example 4-2A.

the third time. Now the theme is extended to eight measures and consists of two four-measure units; thus, the rhythmic implication created by the unbalanced phrase structure of measures 1-9 is realized in measures 16-23.

However, there is an interesting paradox here. Though measures 16-23 provide resolution of the rhythmic instability enhanced by measures 1-9, they also create an irregular phrase structure from the standpoint of the preceding two statements of Theme I in measures 4-15. The ratio of the phrase units of the three statements of the theme is 6:6:8 (Example 4-3). The rhythmic closure at the end of Theme I area, which could have been definitive, is weakened because the balancing of the phrases is never fulfilled.

Example 4-3:







Complexity of patterning is inherent in the rhythmic

organization of Theme I. There are four rhythmic gestures¹ in the first statement of the theme in measures 4-9. As shown in Example 4-4, various types of beginnings and endings are used for these gestures. The durational ratio of these four gestures is 7:4:4:9 and the durational patterns of the gestures are not identical. These characteristics also contribute rhythmic complexity and instability to Theme I of measures 4-9.

Example 4-4:

Rhythmic gestures:



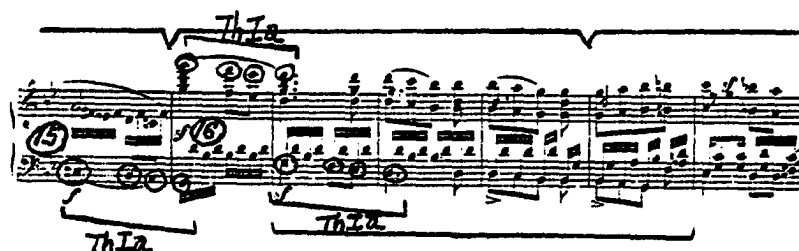
Rhythmic gestures	Beginning-Ending	Durational pattern
1	thetic-strong	
2	anacrusic-weak	
3	anacrusic-weak	
4	anacrusic-upbeat	

The rhythmic instability of the Theme I area is further promoted by the contrapuntal treatment of the primary theme in measures 10-23. Theme I enters in the bass line of the left hand of measure 17, one measure after the right hand

¹Richard DeLone et al., Aspects of 20th Century Music (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1975), pp. 237-241.

begins the theme for the third time. The thematic importance of the bass line is evidenced by the sforzando at the entrance of the theme in measure 17 and the accents of measures 19 and 20. Consequently, though the four-measure unit of the first half of the third statement of Theme I ends in the right hand of measure 19, it is carried into the next measure by the left hand; division of the phrase units is, therefore, blurred (Example 4-5).

Example 4-5:



There is another instance of rhythmic ambiguity caused by contrapuntal treatment of the materials from the first theme. The motive, ThIa, in the bass line of measures 15 and 16, which is indicated with circles in Example 4-5, seems to have rhythmic significance. Because the motive, ThIa, enters in stretto fashion successively at the beginning of measures 15, 16, and 17, these three measures become related to one another. It follows that measure 15 is not only the end of the second statement of Theme I, but is related to the third statement of Theme I. Schumann indicates the importance of the bass line in measures 15-16 with forte. In short, the division of the phrase structure between the second and the

third statements of the theme is somewhat blurred.

Irregular accentuation caused by the sforzando in measures 21 and 23 adds rhythmic instability. The irregular accentuation of these measures anticipates the rhythmic characteristics of the following transition section beginning at measure 24.

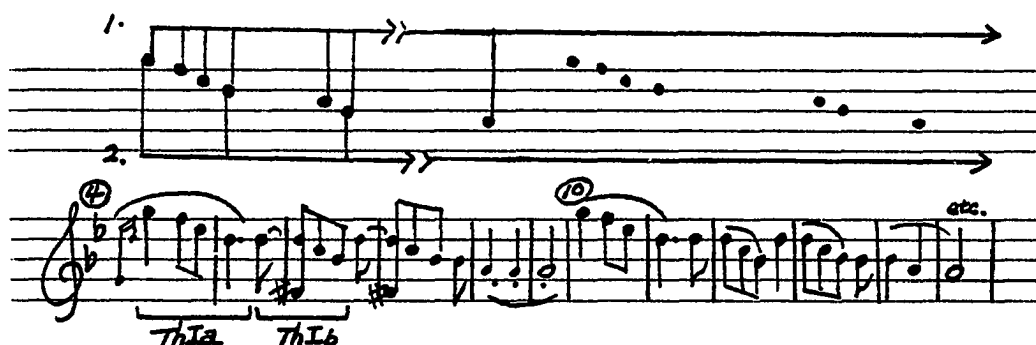
Melody

The melodic structure of Theme I is implicative in a number of ways. The first four notes of Theme I (ThIa), $\underline{g}^2 - \underline{f}^2 - \underline{e}^{b2} - \underline{d}^2$, in measures 4-5 form a generative event. The note \underline{d}^2 of the generative event is the fifth of a G minor triad, hence is unstable. Therefore, melodic continuation in conjunct motion down to the stable tonic \underline{g}^1 is implied on the foreground level (Example 4-6, graph 1). On a higher level, a descending G minor triadic melody is implied (Example 4-6, graph 2). Nevertheless, neither of these implications is immediately realized.

The melody of Theme I continues to descend in conjunct motion and the third of the G minor triad, \underline{b}^{b1} , is reached on the third eighth-note of measure 6. The note \underline{b}^{b1} moves down to the second degree of the G minor scale, \underline{a}^1 , in measure 8 after it is prolonged by the repetition of the second motive of Theme I, ThIb, that begins on the last eighth of measure 6. However, the presumed \underline{g}^1 does not follow. Even in the repetition of Theme I, the expected tonic \underline{g}^1 is not heard.

Musical tension seems to be accumulating because of the delayed realization of the melodic implication which was created by the generative event.

Example 4-6:



At measure 16, Theme I starts an octave higher compared with the preceding two statements of the theme. Here the melody of Theme I descends all the way down to the \underline{g}^2 at the end of measure 19; the implication of melodic descent down to an octave lower tonic seems to be realized. Yet, the \underline{g}^2 of measure 19 is in the wrong register, so its realization of the implication is only provisional. The melodic goal \underline{g}^1 implied at the beginning of the Theme I area seems to be realized when the cadence of the Theme I area elides with the beginning of the transition at measure 24. The \underline{g}^1 of measure 24, however, falls on a metrically weak place and is not harmonized as a G minor chord. Again, as in measure 19, there is only a provisional realization of the melodic implication. Therefore, the melodic closure at the end of the Theme

The possibility of melodic continuation to an upper tonic (\underline{g}^3) never seems to be realized. It remains only as a potentiality. There is a \underline{g}^3 in measure 32, but it falls on a rhythmically weak place, its duration is brief, and it is harmonically mobile; the note \underline{g}^3 fails to function, therefore, as the melodic goal of the deflection which has taken place in measures 20-21. The \underline{g}^3 's of measure 49 and 51 are aurally conspicuous because of their strong metric accents and thick texture. However, their harmonic context is different from the one in which the implication was originally created, for they are not harmonized with G minor chords; rather they are part of E-flat major chords, which function as the subdominant to a B-flat major tonality. Schumann might have deliberately left the implication "open" and the implication would transcend the limiting frame of cadential closure and continue to reverberate even after the movement reaches its end.¹

In the Theme I area, the principal theme is repeated three times, each time with some variation. At each successive repetition of Theme I, the second level melodic organization--a G minor triadic motion--is brought out more and more clearly. In the first statement of the theme, conjunct scalar motion is given priority over the triadic motion, because the fifth degree of the scale, the tied \underline{d}^2 's are not assigned a metrically strong accent (measures 4-7), and because the second degree of the scale, the \underline{a}^1 , which is not a part of the G minor triad,

¹Meyer, Explaining Music, p. 117.

is sounded three times successively (see Example 4-8A). Compared with the first statement of Theme I, the first repetition seems to emphasize the descending G minor triadic motion; the fifth of the G minor scale, the \underline{d}^2 , is repeated instead of being tied (measures 12 and 13), and the third of the scale, the \underline{b}^{b1} , replaces the second of the scale, the \underline{a}^1 , at the beginning of measure 14 (Example 4-8B).

The triadic organization assumes even more prominence in the third statement of the theme, since the second degree of the G minor scale becomes considerably less conspicuous. The note \underline{a}^2 of measure 19 not only falls in a metrically weak place, but lasts only a half beat. The G minor triadic motion becomes even clearer, because for the first time, the melody of Theme I descends all the way down to an octave lower tonic at the end of measure 19 after the melody begins on the \underline{g}^3 in measure 16. The growing prominence of the triadic structure of the theme in the course of Theme I area implies that a passage may follow, sooner or later, whose melodic organization is essentially triadic, without any obvious reference to the G minor conjunct scalar motion. Thus, the strength of melodic implications in the Theme I area is further accumulated, adding to a sense of mobility toward the closure of the Theme I area.

Example 4-8:

(A)



(B)



(C)

Harmony

Though its significance as an agent to enhance instability is much less important than that of the rhythmic pattern or of the melodic structure of the Theme I area, the harmonic scheme also creates mobility. The second inversion of the G minor triad at the very beginning of the movement foretells that tonal instability may follow as the music unfolds.

Even though Schumann repeats the first theme three times without any significant motivic or thematic development during the entire Theme I area, musical tension is greatly enhanced throughout the area because of the strong rhythmic and melodic implications. The musical energy of the Theme I area is further intensified by harmonic implications. Dramatic tension is all the more heightened, for most of the implications

generated in the area remain unrealized when a new section begins at measure 24.

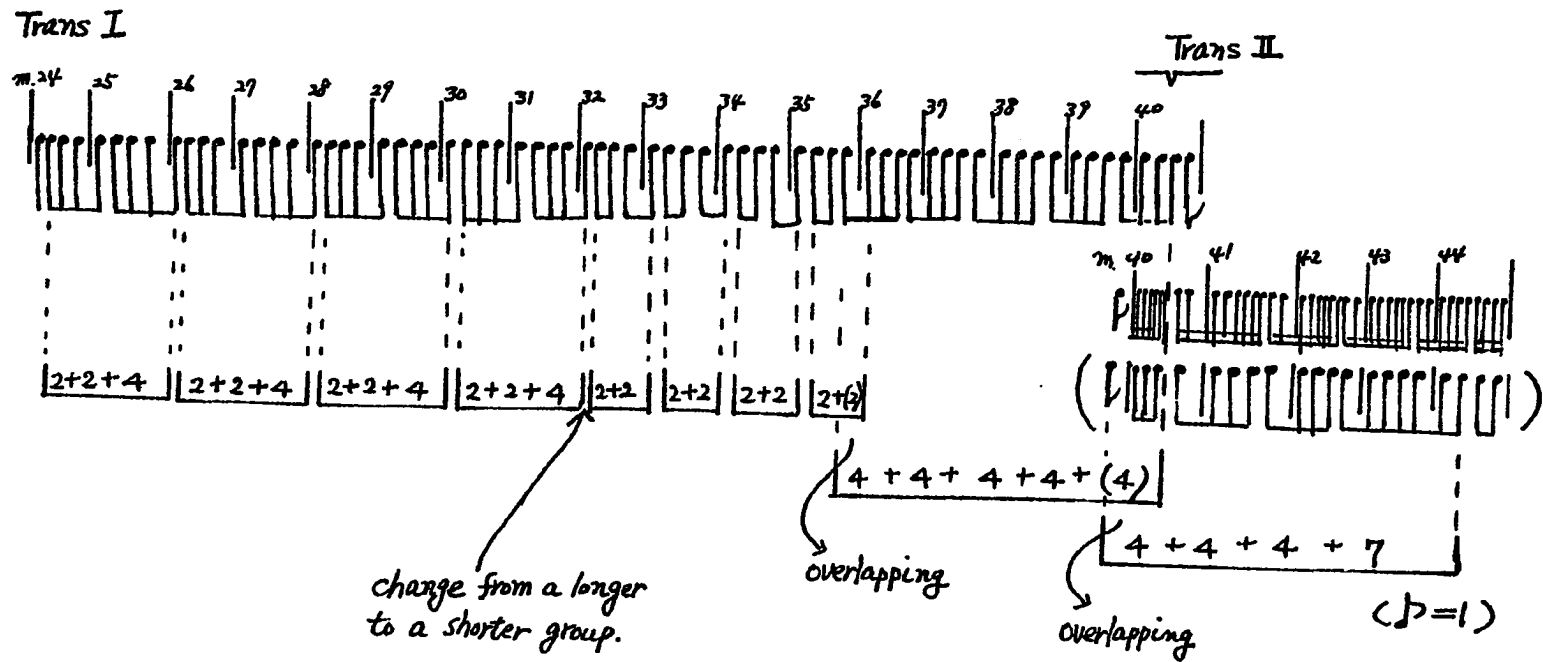
Transition (Measures 24-58)

The instability of the transition section is largely the result of its rhythmic organization. Rhythmic instability is created by off-beat accentuation, syncopation, and irregular and elided phrase groupings. Harmonic organization also promotes tension and adds musical energy.

Rhythm

The implications created through rhythmic instability at the beginning of the Theme I area continue into and throughout the transition. Musical energy builds during the course of the transition, largely due to the complex and ambiguous rhythmic structure. The first part of the transition (Trans 1) is rhythmically unstable because of the off-beat accentuations and the syncopations which occur in the right hand. This instability is furthered by the change occurring in the left hand of measure 32 from a longer (2+2+4) to a shorter (2+2) group, and by an overlapping in measures 35-36 of the eighth (last) series of the two-note grouping to be part of the next series of four-note grouping as shown in Example 4-9. There is another instance of ambiguous phrase structure at the end of the first section of the transition; the five four-note groupings, which began with the last eighth note of measure 35, overlaps with the next grouping in measures 39-40 (Example 4-9).

Example 4-9:



A new melody begins the second part of the transition (Trans II). As shown in the proportionate realization of the groupings of the melody (Example 4-10A). The irregularity of the groupings creates rhythmic instability. The fourth and fifth groupings combine to form a higher level grouping. It is interesting that the fourth grouping starts with an anacrusis of two eighth notes, while the fifth grouping has an anacrusis of three eighth notes (see measures 44 and 46). Irregularity within a higher-level grouping adds rhythmic complexity. Rhythmic instability is further promoted by the elision of the groupings; the notes \underline{g}^3 , \underline{f}^3 , and \underline{e}^{b3} of measures 51-52 function both as the end of the preceding grouping and as the beginning of the next grouping (Example 4-10A). Schumann seems to have made clear the relationship of these three notes with the following grouping by beginning the accentuation with the downbeat of measure 51.

The rhythm of the right hand and that of the left hand are somewhat syncopated in the first three groupings of Trans II (Example 4-10B). With the fourth grouping congruency is achieved between the rhythmic patterns of the two hands and continues to the end of TransII, with only a slight disturbance at the beginning of measure 57. Therefore, there is more rhythmic stability toward the end of Trans II.

Harmony

The harmonic complexity of the transition is enhanced

Example 4-10A:

Handwritten musical notation and analysis for Example 4-10A.

Top Staff (Musical Notation): A single staff with a treble clef and a key signature of one flat (B-flat). The notation consists of a series of eighth and sixteenth notes. Circled numbers 49, 50, and 51 are placed below the staff. The word "anacrusis" is written twice, pointing to specific measures. Above the staff, there are bracketed groupings labeled 1. through 16. A double bar line is present after measure 8.

Bottom Staff (Rhythmic Analysis): A series of boxes containing numbers, representing a rhythmic breakdown. The numbers are: 8, 8, 15, 14, 16, 5, 16, 6, 7, 6+, 12. Above the boxes, the word "Groups:" is written, followed by a list of numbers: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16. A bracket labeled $(1 = \text{half note})$ spans the first two boxes (8 and 8).

Right Side (Detailed Rhythmic Analysis): A complex diagram showing a rhythmic structure with vertical lines and horizontal bars. It includes circled numbers 17, 18, 19, 20, and 21. The word "congruent" is written twice, pointing to specific parts of the diagram. A bracket labeled "syncopated" points to a section. A double bar line is present after measure 8.

Left Side (Reduced Rhythmic Analysis): A diagram showing a reduced rhythmic structure with vertical lines and horizontal bars. It includes circled numbers 14, 15, 16, 17, and 18. The word "congruent" is written twice, pointing to specific parts of the diagram. A bracket labeled "syncopated" points to a section. A double bar line is present after measure 8. The text "(Reduced:)" is written below the diagram.

by profuse passing tones and suspensions (measures 24-40), by the lack of clear vertical harmonies (measures 4-44), and by the unexpected strong emphasis on the E-flat major chord (measures 48-52).


Melody

The implication generated in measures 4-9 of melodic descent down to the lower tonic \underline{g}^1 seems to be emphatically realized at the beginning of the section in measures 24-25 (Example 4-11, graph 1) by the successive reiteration of the note \underline{g}^1 and the accents. However, the melodic goal \underline{g}^1 is not completely attained in these measures because the notes \underline{g}^1 fall on the metrically weak places and are not in the G minor tonic harmony. On the other hand, some of the melodic implications created in the Theme I area are realized in the transition. The unequivocal attainment of the subsidiary goal \underline{d}^3 , implied by the melodic deflection in measures 21-22, comes true in the \underline{d}^3 of the second eighth of measure 30 (Example 4-11, graph 3) and is reaffirmed by repeating the same note in measures 30-31. Also, even though its melodic motion is inverted, the G minor triadic melody in the first eight measures of the transition is the realization of the implication of a passage whose melodic organization is unmistakably triadic in the G minor tonality (Example 4-11, graph 2).

The opening melody of the transition in measures 24-31 is further related to the melodies of the Theme I area. Its

ascending melodic line balances the generally descending melodies of the Theme I area, and its melodic range summarizes the melodic compass, from \underline{g}^1 to \underline{g}^3 , of the three statements of the principal theme.¹

Although linked by the first chord of the transition, there is a clear formal division between the Theme I area and the transition; measure 24 marks the beginning of a new section through changes in melodic organization, harmonic progression, and rhythmic pattern. However, these two areas are related processively because some melodic implications created in the Theme I area continue into the transition finally attaining their realization, and because the harmonic and rhythmic instability generated in the Theme I area is carried into and through the transition. Musical momentum and dramatic tension are heightened as the transition section unfolds.

One of the characteristics of the Romantic sonatas is the persistent repetition of a particular rhythmic pattern.² This tendency is particularly conspicuous in Schumann. The rhythmic pattern of two sixteenth-notes and an eighth-note () permeates the first movement of Opus 11, and its consequences are all the more significant because the pattern

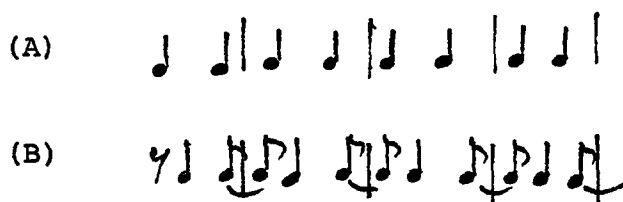
¹The sixteenth-note \underline{g}^3 of measure 32 may be considered as continuation of the ascending melody line of the previous eight measures and at the same time as the beginning of the following descending melody.

²Newman, The Sonata Since Beethoven, p. 116.

Example 4-11:

The musical score consists of three staves. The top staff begins with a first ending bracket labeled '1.' and a second ending bracket labeled '2.'. The middle staff contains measures 4, 20, and 24, marked with circled numbers. It features a complex melodic line with many beamed notes and slurs. The bottom staff starts with a third ending bracket labeled '3.' and includes dynamic markings such as '(f)' and '(ff)'. The notation is handwritten and includes various musical symbols like notes, rests, and slurs.

occurs in the main theme. In the G Minor Sonata, Opus 22, the monopoly of a particular rhythmic pattern is less evident than in Opus 11. Yet, the sixteenth-note accompanimental figuration runs almost throughout the movement. The only place where this relentless sixteenth-note motion ceases is the end of the transition and the statement of Theme II (measures 48-66 and 241-259, with the exception of measures 57-58 and 250-251 respectively). Because the sixteenth-note motion has been continuous since measure 2, the abrupt discontinuation of it and shift to a basic quarter-note movement in measures 48-56 attract attention and are strongly implicative. Theme II moves in quarter notes, and because of its syncopated rhythm a halting feeling characterizes the melodic flow of the theme. If the melodic notes of Theme II had not been syncopated (Example 4-12A), Theme II would have flowed more smoothly (Examples 4-12A and 4-12B). In short, the sudden discontinuation of the previously established figuration toward the end of Example 4-12:



the transition section is implicative of the melodic-rhythmic characteristics of the coming Theme II.

The end of the transition is significant for another reason. As shown in Examples 4-13A and 4-13B, the melodic

line, $\underline{g}^2-\underline{f}^2-\underline{e}^{b2}$, of measures 49-50 is conformant with the ThIa motive of the principal theme. Also the first three notes of Theme II, $\underline{d}^2-\underline{c}^2-\underline{b}^{b1}$, of measures 59-60 are similar to the motive ThIb, though the rhythm is not identical; the conformance is substantial especially because the \underline{b}^{b1} of measure 60 is in G minor chord. It is also interesting to note that skip from low \underline{F} to \underline{e}^{b2} of measure 57 is related to the forthcoming skips: $\underline{B}^b-\underline{d}^2$ of measure 59 and $\underline{f}^1-\underline{d}^2$ of measure 67 (indicated with brackets in Example 4-13B). The emphasis of the note \underline{e}^{b2} with sforzando in measure 57 is significant because the note connects the ThIa motive of the transition to the ThIb motive of the second principal theme. Therefore, measures 48-58 are related both to the Theme I and Theme II areas, and the transition between the two main thematic areas is achieved very effectively.

Theme II Area (Measures 59-82)

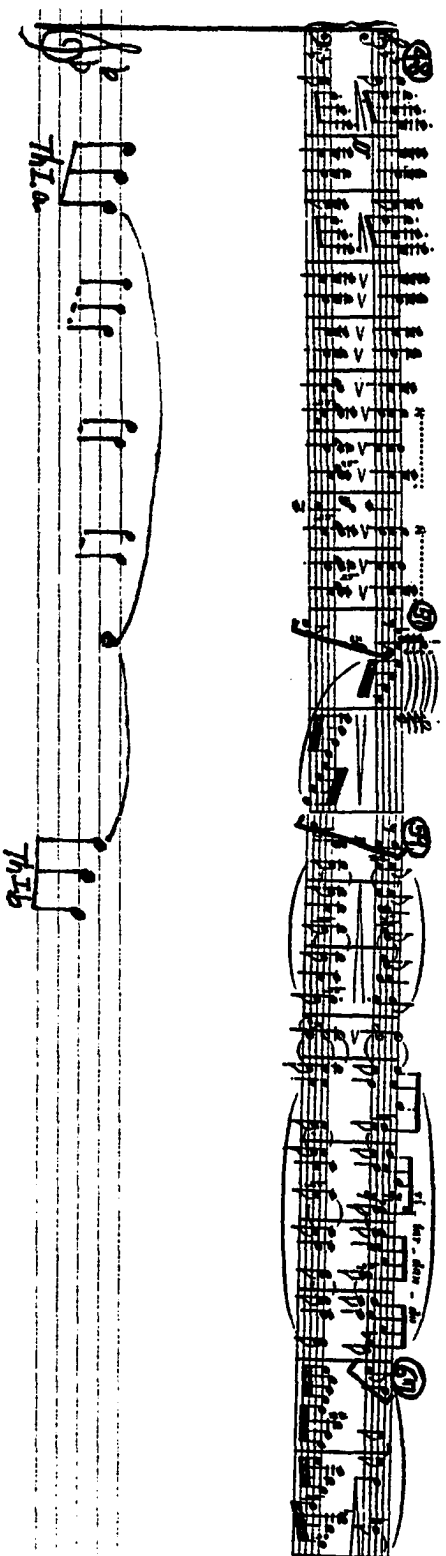
Theme II starts on the third of the B-flat major tonality, the \underline{d}^2 , in measure 59. Since the third is the most unstable note of the tonic triad, the \underline{d}^2 of measure 59 is expected to move either up to the fifth of the scale (\underline{f}^2) or down to the tonic (\underline{b}^{b1}). In conformance with the general prevalence of descending melodies throughout the movement, the note \underline{d}^2 descends conjunctly down to the \underline{b}^{b1} in measure 60. Here at this point, two possibilities of melodic motion are implied. One of the possible implications is a continuation of descending conjunct motion down to the \underline{f}^1 . This implication is realized by the melodic line, $\underline{b}^{b1}-\underline{a}^1-\underline{g}^1-\underline{f}^1$, of measures 65-66 (Example

Example 4-13:

(A) ThIa ThIb ThIb



(B)



4-14, graph 1).

Example 4-14:



Example 4-14A: (Author paraphrase)



Another possibility is that the melody may return to the note beginning the second theme and probably continue beyond. This second possibility comes true immediately; the melody moves in conjunct motion to the \underline{d}^2 in measure 61. Then, the note \underline{d}^2 skips to the \underline{f}^2 in measure 61. The gap thus created is immediately filled by the \underline{e}^{b2} in measure 63, which in turn implies a descending melodic line. Without the melodic gap-fill of measures 61-63, the melody would possibly have continued to \underline{b}^{b2} (Example 4-14A). Had this been the case, the implication

of melodic descent down to the \underline{f}^1 which was discussed in the preceding paragraph probably would have not been realized at the end of measure 66. The gap-fill of measures 61-63, therefore, seems to impart structural importance to the note \underline{e}^{b2} of measure 63; thus, the melodic line, $\underline{b}^{b1}-\underline{c}^2-\underline{d}^2$, of measures 60-61 may be regarded to move up to the \underline{e}^{b2} (Example 4-14, graph 2). However, significance of the \underline{e}^{b2} is diminished because of its weak metric accent and short duration. Consequently, strong realization of the presumed melodic continuation from \underline{d}^2 to \underline{e}^{b2} is yet to be seen.

This implication is realized in measures 67-74. The first presentation of Theme II is repeated beginning at measure 67. Unlike the first presentation of the theme, no melodic gap-fill takes place in measure 70. Instead, the melody line continues from the \underline{d}^2 to the \underline{e}^{b2} in measures 69-70 (Example 4-15). It is interesting that the note \underline{e}^{b2} is emphasized by octave doubling with forte dynamics in measures 70-73. Schumann seems to try to emphasize the structural importance of the \underline{e}^{b2} , which was not sufficiently brought out by the \underline{e}^{b2} of measure 63.

Example 4-15:



Measure 62 is interesting for several reasons. The G dominant seventh chord of measure 62 is aurally conspicuous because it has longer note-value, thicker texture, and wider

intervallic disposition between soprano and bass, compared with other chords of the surrounding measures (Example 4-16). The aural prominence of measure 62 is further promoted not only by the accentuation, but also by the ornamental tied grace note in the bass. Most of all, the sudden shift of rhythmic flow occurring at measure 62 seems to be the main contributor to the aural conspicuousness of the chord. While the melodic structure of measures 59-61 is noncongruous with metric accent, the G dominant seventh chord of measure 62 is unequivocally downbeat in character (Example 4-16). It is interesting that the staccato on the last eighth note of measure 61 seems to create a subtle degree of separateness between the first three measures of Theme II and the G dominant seventh chord of measure 62, making the downbeat feeling of this chord clearer.


Example 4-16:



Even though the G dominant seventh assumes aural prominence, its melodic note \underline{f}^2 in the soprano lacks structural significance. The \underline{f}^2 is not on the same hierarchic level as the \underline{d}^2 of measure 61 or the \underline{e}^{b2} of measure 63 in the melodic organization of Theme II (see Example 4-14, graph 2). The incongruity between the aural prominence and the melodic insignificance of measure 62 contributes a sense of instability to measures 59-66.

Despite the motivic conformant relationship between Theme I and Theme II, these two themes contrast with each other in some respects. Realization of the melodic implications generated at the beginning of Theme I area remains incomplete. Melodic implications of Theme II are realized before the Theme II area reaches its closure. The basically descending melodic line of Theme I lacks balance of contour and hence is on-going; the symmetrical melodic structure of Theme II imparts a sense of stability toward the closure of the theme in measure 66. Mobility of Theme I is further promoted by the running arpeggio accompanimental figuration in the left hand of measures 8-9. The sequential repetitions of a one-measure motive and the descending melodic line of measures 63-67, together with ritardando, serve to deplete musical energy toward the end of Theme II in measure 66. Finally, the disposition of the intervallic relationship between two outer voices of each chord of Theme II enhances a sense of symmetry and stability; the interval between two outer voices grows wider until the G dominant seventh harmony of measure 62, and then gradually becomes narrower toward the end of Theme II.

Schumann carefully uses the forte dynamic markings to indicate the flow of the main melodic line in measures 71-75. It is interesting that the appearance of the melodically important e-flat octaves on the weak half of the second beat in measures 71-74 is the lingering effect of the syncopated rhythm of Theme II. The melodic line of measure 75 begins with

the second primary accentual place and is emphasized by the rhythmic pattern  etc., heard for the first time in this movement. The pattern of the left hand line grows more congruent with meter during measures 75-82 which seems to anticipate the downbeat characteristic of the codetta melody. Therefore, the shift of rhythmic character from Theme II to the codetta melody is effectively prepared in measures 71-82.

There is a certain degree of jaggedness in the melodic flow of measures 70-74 due to the appearance of the e-flat octaves on the metrically weak place. It is unexpected when the melodic line of measure 75 begins an eighth note earlier with the \underline{g}^{b1} than the previous four measures. Also, even though the patterning of the left hand in measures 75-78 is more congruent with the meter than in measures 71-74, the rhythm of measures 75-78 is not quite stable because of the difference of slur marks between hands. Rhythm becomes temporarily stabilized in measures 79-80; both hands move congruently with meter. Then the off-beat accentuation in measures 81-82 causes rhythmic irregularity. However, the main purpose of this accentuation seems to be more melodic than rhythmic. After the low \underline{B}^b is reached with measure 81, the melodic line, $\underline{A}^b-\underline{G}^b-\underline{F}-\underline{E}$, in measures 81-82 serves as a connecting tissue to the codetta melody.

Codetta/transition (Measures 83-92)

After the instability of measure 71-82, there is a relatively strong feeling of stability at the beginning of the

codetta, because the tonality is clearly in B-flat major and because the motivic conformance of the codetta melody with Th1b enhances cohesiveness (Example 4-17). However, the sense of stability does not last for a substantial span of time. Six measures after the codetta starts, B-flat major begins to be obscured (see the F^\sharp in measure 89 in Example 4-17). In measures 89-92, there is a modulation from B-flat major to G minor, in which key the codetta ends; the codetta has become transitional by the end of the section. Where one might have

Example 4-17:



expected a longer section of relative stability at this point in the structure, Schumann chose to make a transition to the development section before reaching a final cadence in B-flat major.

Melodic stability of the codetta is achieved by the basically symmetrical contour of the left hand melody (Example 4-18), and the continuous repetition of a two-measure motivic unit in the melody which is derived from Th1a. However, there is a subtle degree of instability in the rhythmic organization of the codetta. First, the contrapuntal treatment of the two-measure motivic unit enhances rhythmic ambiguity. Second, the phrase structure of the codetta melody is irregular: 4+6.

The left hand melody of the codetta would have sounded plausible, though uninteresting, without measures 89-90, resulting in two four-measure phrase units (Example 4-18B). Implication of rhythmic instability, which begins at the very outset of the movement, is continuously reverberating until the end of the exposition. Also note that measures 89-90 have melodic and harmonic significances. If these two measures had been omitted, the codetta/transition area would have been bland; the subtle change in the melodic line of measures 89-91 would have been lost and the shift to G minor would not have been as effective.

Example 4-18:

The image displays two musical examples, A) and B), on a grand staff. Example A) is marked with a circled 89 and a circled 90. It features a treble clef, a key signature of two flats (B-flat and E-flat), and a 2/4 time signature. The melody in the treble clef consists of eighth and quarter notes. The bass clef accompaniment includes chords and single notes. Brackets below the staff indicate phrase lengths of 4 and 6 measures. Example B) is marked with a circled 89 and a circled 90. It follows the same notation as A) but with a different melodic line in the treble clef. Brackets below the staff indicate phrase lengths of 4 and 4 measures.

Development

In the development section, there is a strong sense of musical energy and dramatic tension, which is largely the

result of the rhythmic instability caused by ambiguous phrase structures. As an example, the introductory melody (IM) in the left hand of measures 93-96 is imitated immediately by the right hand in measures 97-100, resulting in an eight-measure period which consists of two four-measure phrases. However, measure 97 begins a new sub-section (DevIB) which has two eight-measure periods; measures 97-104 and measures 105-112. Therefore, measures 97-100 are both the end of DevIA and the beginning of DevIB, making the phrase structure somewhat ambiguous (Example 4-19B).

The two eight-measure periods of DevIB (measures 97-104 and measures 105-112) are identical, except that the second period is transposed a perfect fifth higher (Example 4-19A). Each period in turn is divided into two halves (phrases). Each first phrase (measures 97-100, 105-108) utilizes the introductory melody (IM) of measures 93-96 and each second phrase (measures 101-104, 109-112) develops the first two measures of the principal theme (ThIa) with some rhythmic modification (Example 4-19A). In each second phrase, ThIa is canonically treated; it is first heard in the left hand (measures 101, 109), is imitated by the right hand at the interval of one measure (measures 102, 110), and is again shifted back to the left hand in the following measure (measures 103, 111). If the canonic treatment of ThIa had been faithfully observed, one more measure would have been needed which consequently would have created an irregular nine-measure period. Instead, the

canonic treatment stops at the end of each second phrase (measures 104, 112) and, therefore, formal symmetry takes precedence over melodic completion. In other words, no overlapping of phrases results in measures 105 and 113. Canonic treatment of ThIa causes a certain degree of rhythmic ambiguity on a low level of rhythmic organization, but its consequence is not significant because the canonic treatment does not carry into the following phrase unit (Example 4-19C).

Unlike DevIA and DevIB, DevIC utilizes only the introductory melody (IM). Since there is a span of approximately nine measures between the melodic entries of DevIC and DevII (Example 4-20A), a sense of phrase irregularity is enhanced. The regular four-measure phrase which has been established in DevIB is slightly obscured at the end of DevIC. Even though the left hand accompaniment for the melody of DevII begins with the C on the downbeat of measure 121, DevIC seems to continue at least to the third eighth note of the measure because the melody of DevII does not start until the last eighth note a¹. This analysis seems to be further supported if we consider the leader-follower relationship between hands in the canonic imitation of the introductory melody at the beginning of DevIC. If the canonic imitation had been carried out by the upper voice, it would have been continued into measure 122 (Example 4-20B). Eliminating the canonic imitation with measure 118 and ending the upper voice line on the downbeat of measure 121 allow the form to "breathe" between the end of DevIC and the

Example 4-19:

(A)

(B)

DevIA | 93 ——— 97 |

DevIB | 97 ——— 101 ——— 105 ——— 109 |

← Overlapping →

(C)

DevIB | 97 ——— IM ——— 101 ——— 102 ——— 103 ——— 104 ——— 105 ——— IM ——— 109 ——— 110 ——— 111 ——— 112 |

ThIa

ThIa

ThIa

ThIa

Example 4-20A:

Example 4-20A is a musical score for two staves. The top staff begins with a circled measure number 113. The bottom staff has a circled measure number 114. The music consists of eighth and sixteenth notes. Dynamics include *p* (piano) and *f* (forte). A handwritten bracket spans the first six measures. Below the staves, there are handwritten annotations: D^9 under the first measure, G^9 under the sixth measure, and C^9 under the twelfth measure.

Example 4-20B: (Author paraphrase)

Example 4-20B is a musical score for two staves, labeled as an author paraphrase. The top staff has circled measure numbers 117, 118, 119, 120, 121, and 122. The bottom staff has a circled measure number 117. The music consists of eighth and sixteenth notes. Dynamics include *p* (piano) and *f* (forte). The score is enclosed in a large brace on the right side.

beginning of DevII.

The less conclusive harmony of DevIC, compared with that of DevIB, supports its rhythmic ambiguity. DevIB begins on a C ninth chord, which cadences in F minor at measure 101. Likewise, the G ninth harmony of measure 105-108 progresses to C minor at the downbeat of measure 109. In other words, there is a certain degree of cadential feeling at the downbeat of measures 101 and 109. However, in the third part of DevI (DevIC), the harmony becomes much less conclusive. DevIC begins on a D ninth chord, shift to a G ninth (measures 117-120) and ends on a C dominant seventh harmony (measure 121), thus never reaching a temporary tonic triad (Example 4-20A).

The second section of the development (DevII) begins with a melody (DevII_m) whose syncopated rhythm has a certain resemblance to the rhythm of the beginning three measures of Theme II (Examples 4-21A and 4-21B). This four-measure melody is almost exactly repeated in measures 126-129, and then sequentially recurs twice in measures 130-137. There is phrase irregularity, in retrospect, in the opening measures of DevII, because the first statement of DevII_m starts with the a¹ of measure 121 instead of the g¹ on the second beat of measure 122, and because the accompanimental figuration for the melody enters with measure 121 rather than with measure 122 (Example 4-21A).

The fourth statement of DevII_m (measures 134-137) begins in a higher register than one might have expected

Example 4-21:

Dev II m

syncopated rhythm

(A)

(entrance of accompanimental figuration)

(B)

(compare Example 4-22A with 4-22B). This unexpected change of register is made less abrupt by doubling the melody an octave lower. Both the sixteenth-note pattern of the upper voice and the doubled melody in the tenor in the last measure of the fourth statement (measure 137) effectively signal the shifting function between hands in the following measures; in measures 138-148, the left hand has melodic significance and the right hand becomes accompanimental. Also, we realize, in retrospect, the register shift in measure 134 has subtly begun to prepare for the transition to the register of the accompaniment in measures 138-148 (see Example 4-23).

As shown in Example 4-23, musical energy intensifies during measures 138-148 by the harmonic instability: the unresolved dissonant harmonies and the accented non-harmonicism

Example 4-22:

(A)



(B) Author paraphrase (right hand melody)






(downbeat of measures 138, 146, 147, and 148). The four-measure motivic unit derived from measures 122-125 of DevIIm is sequentially treated in measures 138-145. Then the motivic rhythm accelerates to two measures and the second two-measure unit is cut short by one measure (measures 146-148). Incidentally, the sudden change in the primary rhythmic pattern from $\text{♩} \text{♩} \text{♩}$ to $\text{♩} \text{♩}$ with measure 149 seems to bring out this one-measure cut effectively and to delineate the beginning of the third section of the development, DevIII, more clearly.

Example 4-23:

 A musical score for piano, showing measures 132 and 134 circled. The score is in G major (one sharp) and 4/4 time. It features a complex texture with multiple voices and a prominent bass line. A bracket above the score indicates a 4-measure unit.

A⁷ C[#]°⁷ B^b°⁷ C[#]°⁷ B^b°⁷ C[#]°⁷ B^b°⁷ B^b°⁷ C⁷

Example 4-23: (continued)

There is an interesting instance of the implicative use of rhythm in the development. When ThIa is canonically treated in measures 101-104, the rhythm of the first three notes of ThIa changes from  to . ThIa is the primary cohesive motive of the movement; adding an impelling rhythmic pattern in the combination with ubiquitous sixteenth-note figuration lends it an aural conspicuousness it has not had before. Furthermore, the forte dynamics and the accent at each entrance of ThIa attract the listener's attention and give a structural significance to the rhythmic change of ThIa, a significance that is implicative. True to the expectation, the melody of DevII employs the rhythmic pattern of  at its beginning (see measure 122 of Example 21A) and the following motivic fragmentation of the melody (measures 138-148) emphasizes this.

DevIIIA (measures 149-172) mainly utilize the motive ThIa. The motive appears in a stretto fashion in measures 149-156, contributing musical tension to the passage. In measures 157-164, only the first three notes of the ThIa

motive are sequentially treated. Tension accumulates to a great degree in measures 157-158 and measures 161-162, because the left hand has an inverted and rising form of the abbreviated ThIa motive with intervallic modification from the conjunct to the disjunct (Example 4-24). The repeated notes across the first three bar-lines of each four-measure phrase gather energy by the frequent impeding of the melodic impulse. Also note the inverted form of ThIa in both hands of measures 160 and 164 effectively pushes the accumulated momentum to the following measures respectively.

Example 4-24:



Musical energy reaches a climax in measures 165-172 through the fortissimo dynamic level, the thick chordal texture, and the harmonic syncopation at the end. Then, suddenly with measure 173 the dynamic level drops to piano and a melody whose material is derived from Theme I begins the second sub-section of DevIII in the original key of the movement. Some may criticize that the appearance of the principal thematic material in the tonic key twenty-four measures prior to the recapitulation weakens the dramatic tension of the development. This kind of criticism seems, however, to be superficial, since Schumann's concept of the sonata-allegro

design is not rigidly formalistic.

After the forceful musical momentum at the end of DevIIIA, a brief clarifying seems to be quite appropriate before the recapitulation begins. This brief relaxation seems to be even more necessary because the musical tension continues relentlessly throughout the recapitulation and even into the coda. As can be recalled, the Theme I area of the exposition was quite unstable. Musical tension of the area was all the more intense since it was present from the beginning of the movement rather than gradually prepared. What could be a better way than using the principal theme in the tonic key to create this temporary relief? The reappearance of the principal thematic idea in the main tonality of the movement surely imparts a sense of order. It is further significant that at the beginning of DevIIIB the main thematic idea is in a regular four-measure phrase (measures 173-180) as a contrast to the original asymmetry of Theme I. Then musical energy gradually intensifies by the acceleration of the motivic rhythm (Example 4-25).

Example 4-25:

measures	173-180	181-184	185-190	191-196
motivic rhythm	4+4	2+2	1+1+1+1+1	$\frac{1}{2}+\frac{1}{2}+\frac{1}{2}+\frac{1}{2}+\frac{1}{2}$ etc.

Recapitulation

The recapitulation is basically the same as the exposition. Yet there are several interesting points which need to be mentioned. In the exposition, there was a certain degree

of ambiguity as to where the fourth rhythmic gesture of Theme I begins, because the second \underline{b}^{b1} of measure 7 is neither a part of the previous nor the forthcoming slur. In the recapitulation the slur begins with the last \underline{b}^{b1} of measure 200. It is not easy to tell whether this discrepancy of slurring is intentional or not. If it is intentional, the beginning of the fourth rhythmic gesture of Theme I is more clearly marked in the recapitulation and there is greater clarity in the grouping of the passage.

In the transition of the exposition, the harmony shifts from a G minor to a B-flat major (measure 40), then to an E-flat major (measure 48) before the second key of B-flat major is established in measure 59. The harmony undergoes a different procedure in the transition of the recapitulation, since the second theme is recapitulated in G major. The recapitulation deviates from the exposition with the last eighth note of measure 228 and this deviation is partly responsible for the different harmonic procedures between the transition of the exposition and of the recapitulation. It is interesting that this spot of measure 228 (or measure 35 in the exposition) is where the previous two-note grouping elides into the following four-note grouping (see Example 4-9 in page 119). By the change of mode, a G major is temporarily achieved in measure 233; there is no real modulatory procedure in measures 217-232.

Measures 237 and 239 of the recapitulation are parallel

to measures 44 and 46 of the exposition. Yet, the beamings of measures 237 and 239 are different from those of measures 44 and 46 respectively, and there is no forte in measure 237 (Example 4-26). Again one can only speculate whether these discrepancies are intentional or not. If they are intentional, they seem to create a slightly different rhythmic grouping in the recapitulation, a grouping that is more oriented to the direction of the melodic line as shown below:

Example 4-26:

(A) Measures 42-48



(B) Measures 235-241



Measures 268-277 are parallel to measures 75-82 except for an extension by repetition of measures 274-275 in measures 276-277. As shown in Example 4-27, the two-measure extension creates irregular phrasing as well as other factors of instability, all of which may signal the replacement of the exposition codetta by material which is different in character and in purpose. Instability is initiated in measures 268 because

the first beat could be heard as either an incomplete repetition of the preceding measure or as the beginning of a new group. This grouping is stabilized in measure 270 where the first beat arpeggiation reaches the root position of the prevailing complex dominant sound, and, as a consequence, the second beat starts the replication of the previous two-measure pattern. Carried forward in the same manner, a new two-measure pattern is initiated with the second beat of measure 274. As its repetition ends through the first beat of measure 278, this beat also initiates the material which replaces the exposition codetta. Elision definitely enhances instability.

Example 4-27:

The musical score for Example 4-27 consists of three systems of music. The first system shows measures 268 and 269. The second system shows measures 272, 274, and 275, with the tempo marking "Schneller." above measure 275. The third system shows measures 277 and 278. The music is written for piano with complex arpeggiated figures and dynamic markings like "f" and "sf".

Since measure 278 is the location where the codetta might have occurred if exposition events had been faithfully restated,

it seems appropriate to speculate regarding the reasons for omitting the codetta. As can be recalled, the codetta itself contained a certain instability by beginning with the inverted form on the ThIa motive. The irregular phrase structure (4+6) added rhythmic instability to the area. Also it was noted that the codetta contained a transitional quality at the end of the exposition. Had it been reused at this point in a transposed form, it would have ended in an E tonality. The codetta, then, seems not an appropriate ending for the entire movement.

The sixteen-measure replacement for the codetta accumulates additional instability through several means. It begins with a beat which also ends the preceding group. The upward leap and the sforzando occurring with the sixth measure of each eight-measure phrase (measures 283-291) seem to create an irregularity of grouping: 5+3 (Example 4-28). This irregularity within the phrases is further substantiated, since the line ascends during the first five measures and descends during the remaining three measures of each phrase. The dominant harmony (D major) on the second beat of measure 285 continues to the first beat of the next measure, adding the instability of harmonic syncopation to the passage. In addition, the faster tempo and the incessant rapid figuration accumulate musical energy which pushes to the coda.

Example 4-28:

Phr. 1 5 + 3

Schneller.

(g - D-

Phr. 2 5 + 3

D - g)

Coda (Measures 294-318)

Irregularity of phrasing is carried even into the final coda, enhancing rhythmic instability. The phrase structure of the first section of the coda is 4+6 or 4+3½+2½ (Example 4-29). The tendency of avoiding the melodic goal of \underline{g}^1 in the exposition Theme I area persists even in the coda. The melody of coda begins on the \underline{g}^2 at the downbeat of measure 294 and continuously descends, reaching $\underline{b}^{\flat 1}$ on the second beat of measure 297. However, the melody changes its direction into an ascending one, avoiding the presumed $\underline{b}^{\flat 1}$, \underline{a}^1 , and \underline{g}^1 (see measures 298-301 of Example 4-29).

Example 4-29:

4 +

Noch schneller.

Example 4-29: (continued)



In the second section of the coda (measures 304-318), regularity of phrase unit is unmistakably established. The rhythmic instability which has prevailed throughout much of the movement is finally resolved and hence rhythmic closure is attained at the end of the movement.

Melodic closure is less definitive. The G minor tonality is unequivocal and the melodic goal \underline{g}^1 which was implied at the beginning of the movement seems finally attained in measure 312. Yet the melodic realization even in measure 312 is not quite definitive because the note \underline{g}^1 of the measure is not closely preceded by a \underline{b}^{b1} or an \underline{a}^1 . The incomplete realization of the melodic implication leaves the end of the movement open. The musical tension remains somewhat unresolved even at the end of the movement and continues to reverberate beyond the limit of formal closure.

CHAPTER V

CONCLUSION

This study has attempted to explain how Schumann created and balanced musical tension and release and how this affected the musical process in the first movements of his piano sonatas, Opus 11 in F-sharp minor and Opus 22 in G minor. The primary principles of critical analysis employed in this study were those explored by Leonard B. Meyer in his Explaining Music. The traditional techniques of formal analysis were used to provide a framework within which the study will now evaluate the role of musical tension and release in the successive events of the sonata-allegro design as Schumann used it.

One expects that, in a broad sense, the exposition, development, and recapitulation of the sonata-allegro form represent relative stability, instability, and stability respectively. Internal areas of stability and instability are customarily expected thus: stability prevails in introductory, thematic and closing areas; instability is characteristic of transitional and developmental areas.

Exposition

One may expect a certain stability in the primary thematic area at the beginning of the exposition. In the first

movements of Schumann's piano sonatas, Opus 11 and Opus 22, this expectation is not realized. Theme I of Opus 11 begins with the unstable second inversion of the tonic triad. Instability is further promoted by the tritone relationship between the \underline{a}^1 of measure 55 and the $\underline{d}^{\#1}$ of measure 56, by the unresolved D-sharp half-diminished seventh chord of measures 56-57, and by the phrase irregularity in measures 65-74. In addition, the musical energy of the Theme I area is heightened by the constantly shifting keys which result from recurring sequences.

In the Theme I area of the exposition of the first movement of the G Minor Sonata, musical tension develops in a number of ways. The imbalance of phrase structure (measures 1-9), the irregular phrase lengths (6:6:8) of the three presentations of Theme I (measures 4-23), and the blurring of phrase units by the contrapuntal treatment of Theme I material (measures 10-23) all contribute rhythmic instability. Melodic instability is another element which increases musical energy in this primary thematic area. The implied melodic goal \underline{g}^1 remains unrealized even after Theme I is stated three times successively; the \underline{g}^1 at the final cadential point of the Theme I area (downbeat of measure 24) is only a provisional realization. The subsidiary goal \underline{d}^3 , implied by the deflection of measures 20-21, is not realized in the Theme I area. The incomplete realizations of these melodic implications contribute to the instability of the area. Also, the six-four position

of the G minor chord in measure 1 seems to suggest the forthcoming harmonic instability of the movement.

The transition sections between thematic areas in the expositions of Schumann's first movements show certain similarities to the traditional sonata-allegro design; the transitions contain a great deal of tension and instability. In his Opus 11, the noncongruency created by the metrically dislocated and melodically unbalanced accompaniment contributes to the musical tension (measures 98-102). Motivic acceleration and crescendo toward the end of the transition provide further energy from which the Theme II area unfolds. The second transition of the exposition undergoes a complex modulatory procedure due to the tritone relationship between the E-flat minor tonality of the Theme II area and the A major tonality of the Closing Theme area; therefore, harmonic instability enhances tension in this transition area.

In Opus 22, the rhythmic instability of the transition is created by off-beat accentuation and syncopation (measures 24-32) and by the change occurring in the left hand of measure 32 from a longer (2+2+4) to a shorter (2+2) group. It is further promoted by the elided and irregular groupings (measures 35-52). Harmonic instability of the area is created by profuse and often accented non-harmonicism (measures 24-40), by the lack of clear vertical harmonies (measures 40-44), and by the unexpectedly strong emphasis on the E-flat major chord (measures 48-52).

It is true that tension is the nature of transitions. However, since instability is already present in the Theme I areas, the effect and significance of the musical tension in the transitions in Schumann's movements seem to be somewhat different from those in the traditional sonata-allegro design. Schumann's transitions do not really initiate instability; rather, they continue to build musical energy and further intensify the tension which has already been generated in the Theme I area.

Toward the end of the transitions, Schumann follows traditional practice by depleting momentum before the next thematic area begins. In the F-sharp Minor Sonata, the ritardando and fermata at the end of the transition in measure 106 provide a temporary musical plateau to enhance the forthcoming intensification of energy. In measures 140-144 of the same movement, the transition to the Closing Theme area suddenly comes to a virtual halt with the occurrence of the only quarter-note melody in the exposition. This sudden release of energy is all the more effective since the melody of these measures anticipates the larger gesture of the Closing Theme.

At the end of the transition in the G Minor Sonata, musical energy is alleviated by the rapidly descending left hand line and the decrescendo, preparing for the relatively stable character of Theme II. However, instability is not completely resolved by this brief relaxation because it has

been continuously accumulating from the beginning of the movement. Considerable instability continues into the beginning of the following thematic area due to the disproportion of the accumulated tension to its release.

The second thematic areas of the expositions in Schumann's movements are quite unstable. In his first piano sonata, the Theme II area is extremely unstable because of the dichotomy between metric organization and rhythmic flow. Also, the unusual choice of the E-flat minor tonality creates tension, which is further promoted by a delay in establishing the tonic harmony until the third measure of the theme (measure 108).

In the second sonata, Theme II is more stable than Theme I although the first three measures of Theme II are consistently syncopated. Yet, the greater stability of the Theme II area is attenuated because of the immediate impetus of the following passage of measures 71-82. It is interesting that while the unstable Theme I is stated three times, accumulating tension (measures 4-23), the relatively stable form of Theme II is presented only once (measures 59-67).

In Schumann's sonata-allegro movements, closing areas at the end of the expositions are comparatively stable. The Closing Theme of the first movement of Opus 11 creates an atmosphere of relative relaxation, which is further strengthened by the A major tonality--the long-expected relative major key to the F-sharp minor tonality. The balanced melodic line and the clear B-flat major harmony at the beginning of the

exposition codetta in the first movement of Opus 22 create stability.

However, instability is not absent in these closing areas. There must be elements of both stability and instability in order that music may continue. Thus it is interesting to note that in both first movements Schumann weakens stability toward the end of the exposition. In his Opus 11, the deceptive cadence and the temporary tonal deviation from A major cause harmonic instability in measures 156-160. At the end of the Closing Theme area of the same movement, rhythmic, harmonic, and melodic stability seem to be attained. The $\underline{c}^{\#1}$ in the soprano of measures 174-175 nevertheless weakens harmonic closure, and the disjunct melodic motion of measures 172-175 disturbs the melodic balance. Most of all, reappearance of the anacrusic character with the X motive at the end of this exposition further attenuates stability. In his Opus 22, the rising form of the ThIa motive, the irregular phrase structure (4+6), the contrapuntal treatment of ThIa, and the modulation to the G minor tonality make the exposition codetta somewhat transitional. Incidentally, even if the closing areas of the exposition had been completely stable, musical tension would still have been lingering at the end of the exposition because of the disproportion between the previously accumulated tension and the brief stability of the Closing Theme area.

In these sonata-allegro movements, instability prevails both in the thematic and transitional areas of the expositions.

Even when thematic area is temporarily stable, its stability is immediately overshadowed by the energy of a following passage. The closing areas of the expositions stabilize the previously accumulated tension. However, the relatively brief length of the closing areas does not completely resolve the musical energy which has been generated from the beginning of the expositions. It is very difficult to measure qualitatively the degree of tension and release and to evaluate the balance between them; the relationship between a particular tension and release becomes meaningful only in the context in which they exist. In Schumann's movements, the balance between tension and release seems uneven. His exposition sections are heavily charged with tension that is only occasionally alleviated by stability. The dramatic intensity which characterizes the expositions of the first movements of Opus 11 and Opus 22 is effectively generated by this unbalance.

Development

As in the traditional sonata-allegro movements, there is a great deal of tension in Schumann's development sections. In the development of the first movement in the F-sharp Minor Sonata, musical energy is generated by rhythmic instability which is, in turn, enhanced by an unbalanced internal phrase structure (measures 179-182), metrically dislocated accompanying ideas (measures 184-185), and the incongruity of motivic or harmonic pattern with the meter (measures 195-216). Even though there is a subtle relaxation of tension in

measures 217-224 at the end of DevI due to the generally descending line and the decrescendo, this brief release hardly balances the previously accumulated tension. Energy accumulates again in measures 225-270 through the use of unstable harmony, acceleration of tempo, dynamic intensification, and rapid figuration. In the G Minor Sonata, musical momentum accumulates during the development section through the overlapping and irregular phrases (DevI), the motivic acceleration and harmonic instability (DevII), the rising and disjunct form of the abbreviated ThIa motive, stretto, and the increasing dynamic level (DevIIIA).

However, since the expositions already contain a great deal of tension, the developments do not initiate the dramatic intensity; rather, they continue to accumulate the energy, further accelerating the momentum which has been generated previously. A very interesting and unique feature is present in each development section. Because tension has been insistently accumulating from the beginning of the movements and because the recapitulations are not completely stable, there seems to be a need for temporarily holding back the momentum before the recapitulations begin. If instability is not alleviated but continues relentlessly, or if some stable areas do not act as a foil to the unstable areas, later passages might become too heavily burdened with nervous musical energy.

In the development sections Schumann balances stability

and instability in such a way that he heightens the dramatic intensity without making it excessive or redundant. For example, by virtue of its impassioned quality there is no loss of dramatic intensity when the melody of the Introduction of Opus 11 reappears in DevIIB to clarify the previous confusion. Musical energy is then freshly accumulated in DevIII, reaching the emphatic climax at the end of the development. Toward the end of the development in the first movement of Opus 22, tension suddenly comes to a halt in measures 173-180 with the drastic change of dynamics to piano. The effect is even more conspicuous because of the premature entrance of the tonic key with Theme I material cast in regular four-measure phrase units. Before instability increases again by motivic acceleration in measures 181-196, this temporary alleviation of energy in measures 173-180 effectively functions as a foil to the forthcoming tension.

Recapitulation

As in many other traditional sonata-allegro movements, Schumann's recapitulations are more stable than his expositions; recapitulating the thematic materials of the exposition in a more or less systematized tonal scheme imparts familiarity and stability. In his Opus 11 the stability of the recapitulation is supported by the new subdued character of the Theme I area, by the presentation of the Theme II area in C-sharp minor rather than the E-flat minor of the exposition, and by

the omission of the deceptive cadence and the tonal deviation in the Closing Theme area. Nevertheless, the stabilizing element of the recapitulation is not substantial enough to balance the instability of the previous two large sections of the sonata-allegro form. Tension has been building for the first two large sections of the movement; therefore, the relative stability of the last major section does not provide enough room for tension to be completely resolved. As seen at the end of the first movement, ending the recapitulation with the third degree of the tonic suggests incomplete closure. Also, the combination of low register with soft dynamics contributes tension. In the G Minor Sonata, despite the rhythmic and harmonic stability at the end of the coda, the incomplete realization of the implied melodic goal g^1 leaves the end of the movement somewhat unresolved.

The traditional concept of the sonata-allegro design where the recapitulation is a presumed reconciliation of the previously generated conflicts is true to a certain degree in Schumann's first movements. However, the reconciliation in his recapitulations is not complete but partial, because the balance between tension and release is uneven. This disproportion between tension and release is instrumental in enhancing the dramatic intensity which characterizes Schumann's movements.

The formal organization of Schumann's first movements of Opus 11 and Opus 22 follows quite faithfully the traditional

sonata-allegro design. In his movements, however, instability prevails in the areas where one may customarily expect stability, and thus the musical tension is not completely resolved by the end of the movements. These characteristics of Schumann's movements seem to represent a redefinition of the function of successive events in the sonata-allegro design rather than a rejection or a misuse of the form.

Since the principles of critical analysis set forth by Leonard B. Meyer in his Explaining Music were of primary importance in the preceding analysis, it seems appropriate to conclude by quoting a paragraph from the preface of his book:

The relationships among events within musical compositions--even seemingly simple ones--are frequently surprisingly complex and subtle. The analyses explaining them are, accordingly, often complicated and involved. I have not sought to simplify the difficult, or to gloss over intricate interactions with plausible generalities and vague poetic appeals. Rather I have tried to make my analyses as precise and specific as my abilities and the subject allow. And while I take no particular pleasure in long and sometimes difficult discussion, I know of no other way of doing justice to the wonder of music and the miracle of human intelligence which makes and comprehends it. [P. x]

The author hopes that this study has provided some valuable insight into the essence and meaning of Schumann's sonata-allegro movements as represented by the first movements of his piano sonatas, Opus 11 and Opus 22.

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THE UNIVERSITY OF OKLAHOMA
GRADUATE COLLEGE

A CRITICAL ANALYSIS OF THE FIRST
MOVEMENTS OF SCHUMANN'S PIANO
SONATAS, OPUS 11 AND OPUS 22

VOLUME II

A DOCUMENT
SUBMITTED TO THE GRADUATE FACULTY
in partial fulfillment of the requirements for the
degree of
DOCTOR OF MUSICAL ARTS

BY
KYOUNG-IM KIM
Norman, Oklahoma

1980

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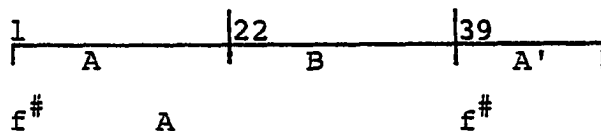
B. THE FIRST MOVEMENT OF SCHUMANN'S PIANO SONATA IN G MINOR, OPUS 22

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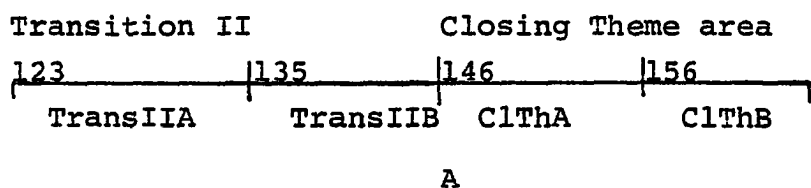
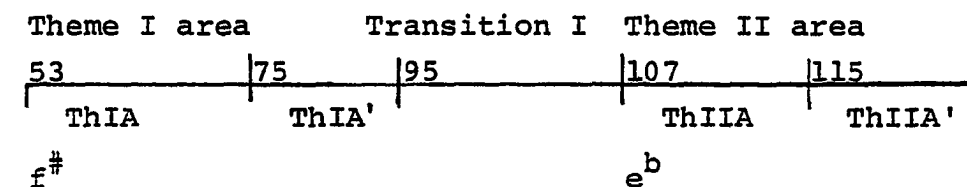
**A. THE FIRST MOVEMENT OF SCHUMANN'S PIANO
SONATA IN F-SHARP MINOR, OPUS 11**

FORMAL DIAGRAM OF THE FIRST MOVEMENT OF SCHUMANN'S
PIANO SONATA IN F-SHARP MINOR, OPUS 11

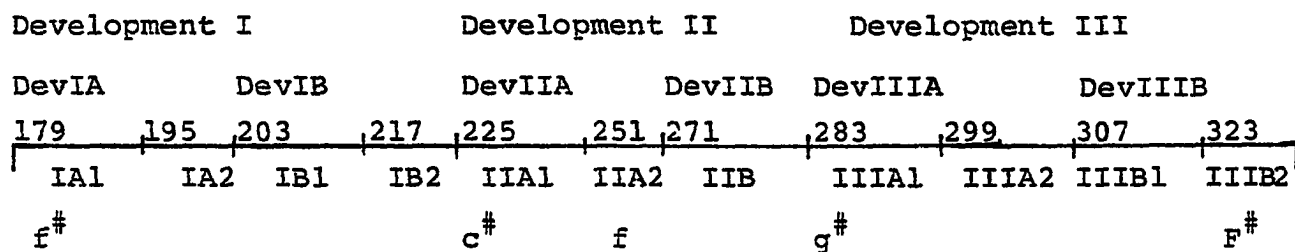
Introduction (m. 1-52)



Exposition (m. 53-178)



Development (m. 179-334)



Recapitulation (m. 335-422)

Theme I area	Transition I	Theme II area
335	353	361 369
		ThIIA ThIIA'
f#		c#

Transition II	Closing Theme area
377	385 396 406
TransIIA	TransIIB ClThA ClthB
	f#

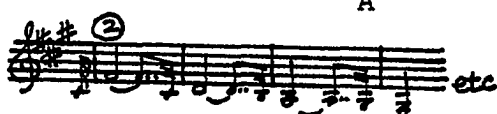
Introduction: A-B-A'

Section A:

1-2 5-6 13-14 21-22*

Int.

f# A




Section B:

22 26-27 31-32 38-39

link

A



Section A':

39 42-43 52

f#





*Most of the phrases in the first movement of the F-sharp Minor Sonata have anacrustic beginnings. In the previous broad outline of the movement, the anacrustic and down-beat beginnings are not differentiated (pages 1 and 2). In the following detailed formal diagram, the anacrustic beginnings of phrases will be shown. For example, the second phrase of Section A of the Introduction begins in measure 6 with an anacrusis of measure 5.

Exposition: Theme I area-Transition I-Theme II area-Transition II-Closing Theme area

Theme I area (ThIA+ThIA')

ThIA:

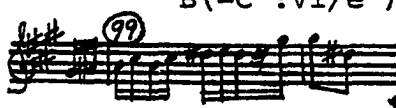
53	54-55	58-59	62-63	66-67	74-75
X mot.	ThI			ext.	X
V/f#	(f#)	g#	b	e#°7	C#7

X motive:  Theme I: 

ThIA':

75	78-79	82-83	86-87	94-95
ThI			ext.	X
(f#)	g#	b	e#°7	C#7

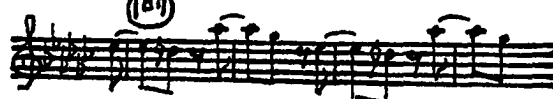
Transition I

95	98-99	102-103	106-107
ThI	TransIm		
X			
f#	g#	B(=C ^b :VI/e ^b)	
	TransIm:		

Theme II area (ThIIA+ThIIA')

ThIIA:

ThIIA':

107	110-111	114-115	118-119	122-123
ThII				
VI/e ^b	(e ^b)	(109)		
	ThII:			

Exposition (continued)Transition II (TransIIA+TransIIB)

TransIIA:

TransIIB:

123	126-127	130-131	134-135	140
ThI			ThI	
e ^b	c [#]	b	A	E

Closing Theme area (ClThA+ClThB)

ClThA:

ClThB:

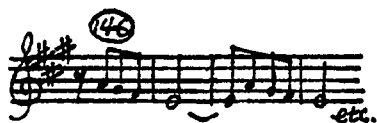
146	150	156	160	164	168	172	178
ClThI		ClThII	ClThIII		ClThIV	X	

(A)

(A:vi)

A

ClThI:



ClThIII:



ClThII:



ClThIV:

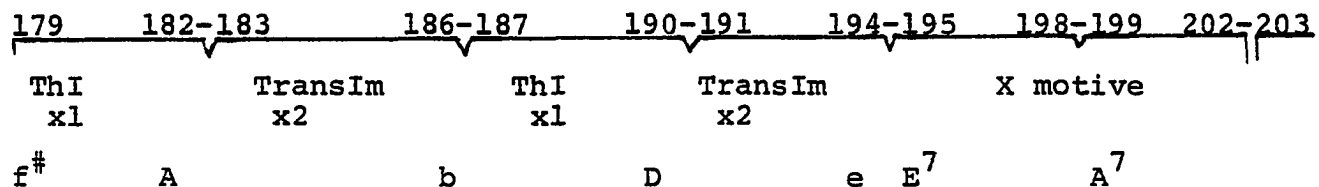


Development: Development I-Development II-Development IIIDevelopment I (DevIA+DevIB)

DevIA:

DevIA1

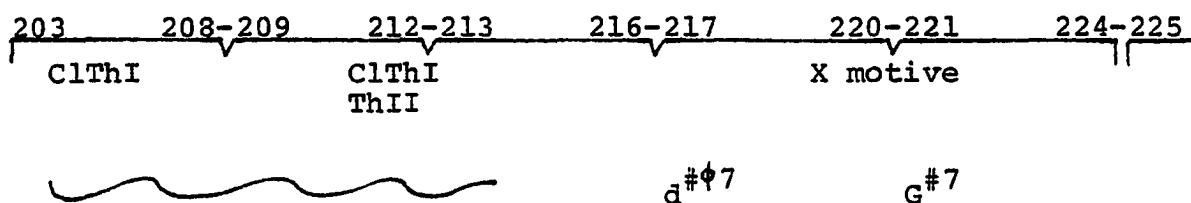
DevIA2



DevIB:

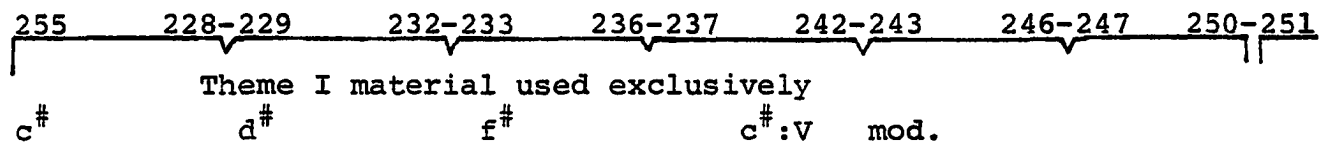
DevIB1

DevIB2

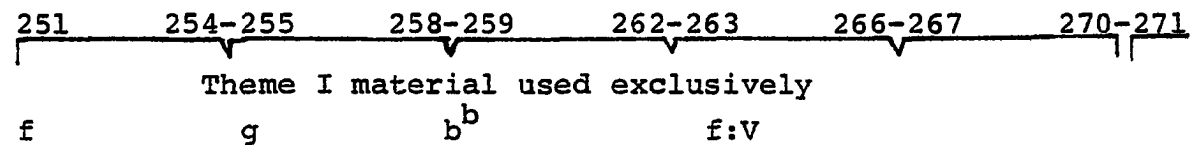
Development II (DevIIA+DevIIB)

DevIIA:

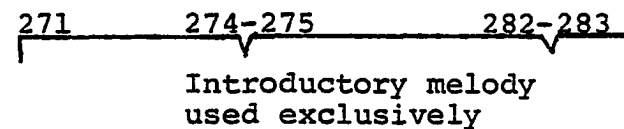
DevIIA1



DevIIA2



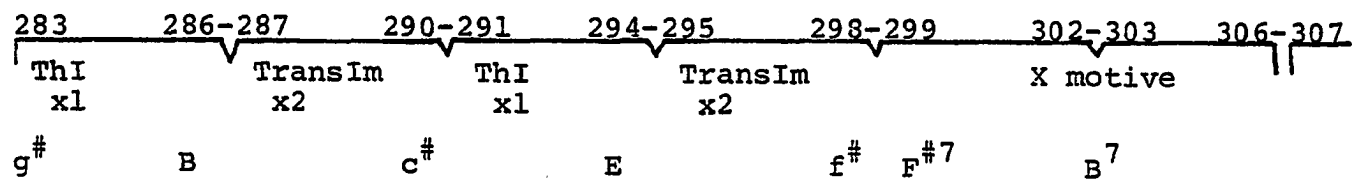
DevIIB:



Development (continued)Development III (DevIIIA+DevIIB)

DevIIIA:

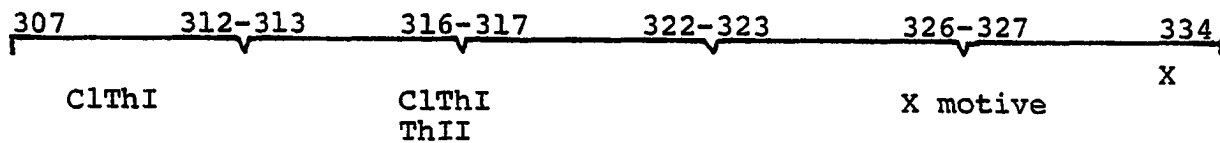
DevIIIA1



DevIIB:

DevIIB1

DevIIB2

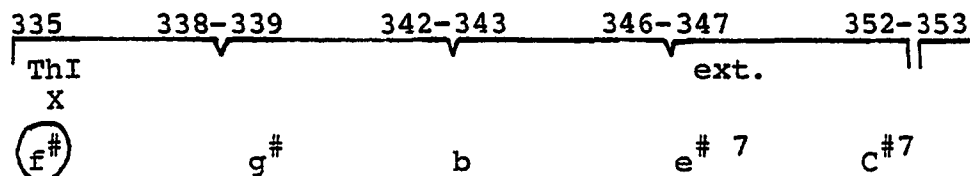


g# 7 c#

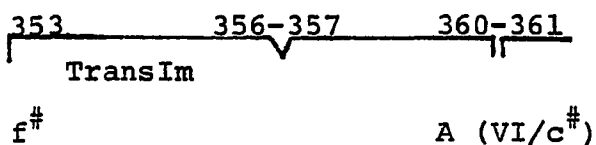
F#

Recapitulation: Theme I area-Transition I-Theme II area-
Transition II-Closing Theme area

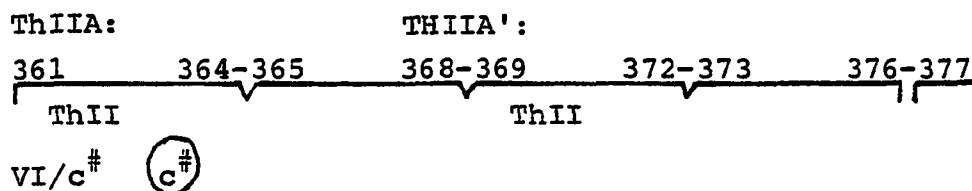
Theme I area



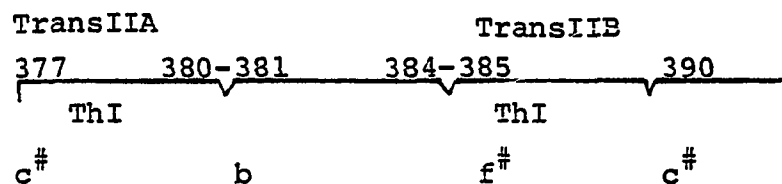
Transition I



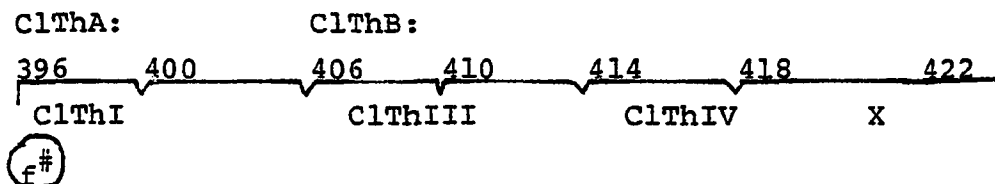
Theme II area (ThIIA+ThIIA')



Transition II (TransIIA+TransIIB)



Closing Theme area (ClThA+ClThB)



GROSSE SONATE

für das Pianoforte

von
ROBERT SCHUMANN.

Op. 11.

Frische Clara Wieck gewidmet.

Neumann's Verh.

INTRODUZIONE. (ABA')

A Un poco Adagio.

Compositi 1828, legatura 1834.

The musical score for the Introduction (ABA') of Robert Schumann's Great Sonata, Op. 11, is presented in five systems. The first system (measures 1-8) is marked 'A Un poco Adagio' and 'f' (forte). The second system (measures 9-16) is marked 'f' and 'rit' (ritardando). The third system (measures 17-24) is marked 'A' and 'f'. The fourth system (measures 25-32) is marked 'B' and 'f'. The fifth system (measures 33-40) is marked 'A' and 'f'. The score includes various musical notations such as notes, rests, and dynamic markings.

This page contains six systems of musical notation, each consisting of a treble and bass staff. The notation includes various musical symbols such as notes, rests, and dynamic markings. The systems are numbered 26, 31, 36, 41, 46, and 51. The key signature is one sharp (F#), and the time signature is 4/4. The music is written in a style typical of 19th-century piano literature.

System 26: Treble staff has a whole note chord (F#4, A4, C5). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*.

System 31: Treble staff has a half note (F#4) and a half note (A4). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*.

System 36: Treble staff has a half note (F#4) and a half note (A4). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*. There is a section marked *ritar.* and *dim.* in the treble staff.

System 41: Treble staff has a half note (F#4) and a half note (A4). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*.

System 46: Treble staff has a half note (F#4) and a half note (A4). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*.

System 51: Treble staff has a half note (F#4) and a half note (A4). Bass staff has a half note (F#2) and a half note (A2). Dynamic marking: *mf*. There is a section marked *ritar.* and *dim.* in the treble staff.

Exposition
Theme I Area

Handwritten musical score for the Theme I Area of an Exposition. The score is written for piano (p) and violin (v). The tempo is marked "Allegretto vivace." The key signature is one sharp (F#). The score consists of seven systems of staves. The piano part is written in the left hand, and the violin part is written in the right hand. The score includes various musical notations such as notes, rests, accidentals, and dynamic markings. The first system is marked with a circled 52 and a circled 53. The second system is marked with a circled 54. The third system is marked with a circled 55. The fourth system is marked with a circled 56. The fifth system is marked with a circled 57. The sixth system is marked with a circled 58 and a circled 59. The seventh system is marked with a circled 60. The score includes markings for "THIA" and "THI" above the first system, and "THIA" above the fourth system. The word "poco" is written below the sixth system. The score is written in a clear, legible hand.

Trans I

(93)

Trans Im

(98)

Theme II Area

(103)

Th II

(107)

Th II

(111)

(115)

(119)

Development

13. *Dev IA1*
a tempo

178 *pp* *rit* *p*

184 *pp*

191 *animato* *E7*

197 *A7* *Dev IB1*

203

209 *argue*

215 *Dev IB2* *dim* *nuen* *do* *sempre*

d#p7

Devil 1

(221) *pp* un poco più lento

(221) *sempre p*

(234)

(241) *Devil 2*

(248) *p fortissimo*

(252)

(252) *sempre fortissimo*

Handwritten musical score for piano, measures 264-294. The score is written on seven staves, each with a circled measure number at the beginning. The key signature is three flats (B-flat, E-flat, A-flat) and the time signature is 3/4. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Measure 264: *Dev II B*

Measure 269: *p più lento*, *f*, *breve parlando*

Measure 274: *Dev III A*

Measure 279: *p vivo*

Measure 284: *Dev III A2*

Measure 294: *Dev III A2*

[illegible]

Recapitulation

Theme I Area

Handwritten musical score for the Recapitulation section, Theme I Area. The score consists of seven staves of music in G major (one sharp). The first staff is marked with a circled 335 and a forte (f) dynamic. The second staff is marked with a circled 340. The third staff is marked with a circled 346, a 'dim.' marking, and a 'ritar.' marking. The fourth staff is marked with a circled 353. The fifth staff is marked with a circled 357 and a 'tripp.' marking. The sixth staff is marked with a circled 364 and a 'THIA' marking. The seventh staff is marked with a circled 369. The score includes various musical notations such as notes, rests, and dynamic markings.

Handwritten musical score on page 19, featuring piano and organ parts. The score is written in G major (one sharp) and 4/4 time. It includes various musical notations such as notes, rests, and dynamic markings.

Key markings and annotations include:

- 372** (circled measure number)
- 377** (circled measure number)
- 389** (circled measure number)
- 393** (circled measure number)
- 404** (circled measure number)
- 413** (circled measure number)
- TRANS II A** (handwritten section title)
- TRANS II B** (handwritten section title)
- ETNA** (handwritten section title)
- riten.** (ritardando)
- lento** (ad libitum)
- molto** (ad libitum)
- sf** (sforzando)
- mf** (mezzo-forte)
- pp** (pianissimo)
- ff** (fortissimo)
- dim** (diminuendo)
- acc.** (accelerando)
- no tempo** (ad libitum)
- sempre** (ad libitum)
- al. mod.** (ad libitum)

The score is divided into systems, with measures 372 through 413 visible. The notation includes treble and bass staves for piano and organ, with various musical symbols and dynamics throughout.


**B. THE FIRST MOVEMENT OF SCHUMANN'S PIANO
SONATA IN G MINOR, OPUS 22**

FORMAL DIAGRAM OF THE FIRST MOVEMENT OF SCHUMANN'S
PIANO SONATA IN G MINOR, OPUS 22

Exposition (m. 1-92)

Theme I area	Transition		Theme II area		Codetta/transition
1	24	40	59	67	83
ThI	Trans I	Trans II	ThII	transitory	
g			B ^b	B ^b	g

Development (m. 93-196)

Development I			Development II	Development III	
DevIA	DevIB	DevIC		DevIIIA	DevIIIB
93	97	113	122	149	173
<hr/>			<hr/>		
G ⁷			C ⁷ F		g

Recapitulation (m. 197-318)

Theme I area	Transition		Theme II area	
197	217	233	252	260
ThI	Trans I	Trans II	ThII	transitory
g			G	

Transition to Coda	Coda	
278	294	304
	Coda I	Coda II
	g	

Exposition: Theme I area-Transition-Theme II area-Codetta/
transition

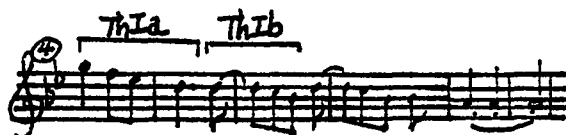
Theme I area

$$\sqrt[1]{\text{Int.}} \quad \sqrt[4]{\text{ThI}} \quad \sqrt[10]{\text{ThI rep.}} \quad \sqrt[16]{\text{Th I rep. ext.}}$$

(ThIa, ThIb)

g

ThI:



Transition (Trans I + Trans II)

Trans I:

Trans II:

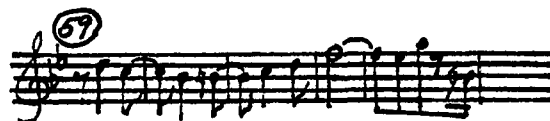
Theme II area (ThII + transitory)

59 67
ThII transitory

B^b

$$a^{o7} \text{ (implied } b^b)$$

ThII:



Codetta/transition

83 87 92
ThIa

B^b

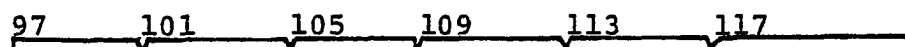
9

Development: Development I-Development II-Development IIIDevelopment I (DevIA + DevIB + DevIC)

DevIA:



DevIB:



DevIC:

Introductory
melody (IM)

ThIa

IM

ThIa

IM

G⁹C⁹

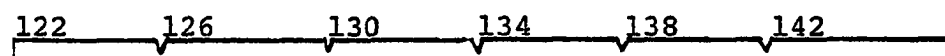
f

G⁹

c

D⁹G⁹C⁷

IM:

Development II

DevIIIm

F

g

a



DevIIIm:

Development III (DevIIIA + DevIIIB)

DevIIIA:



ThIa used exclusively

g: V

DevIIIB:

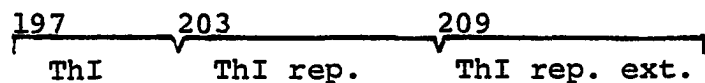


Theme I material used exclusively

g

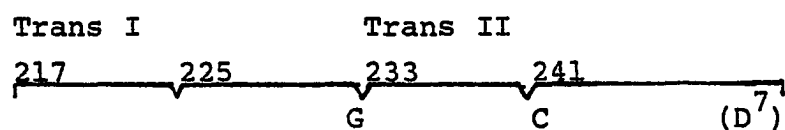
Recapitulation: Theme I area-Transition-Theme II area-
Transition to Coda-Coda

Theme I area

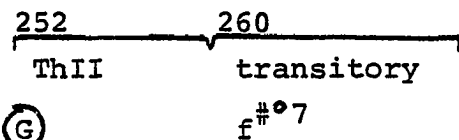


⑨

Transition (Trans I + Trans II)

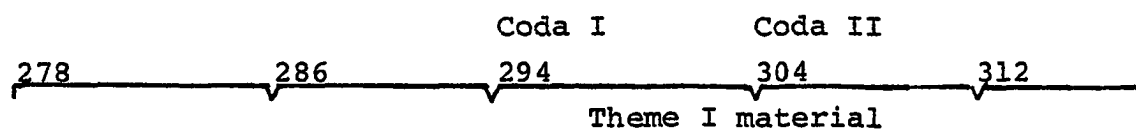


Theme II area



Transition to Coda

Coda (Coda I + Coda II)



(D⁷)

⑨

ZWEITE SONATE

für das Pianoforte

Schumann's Werke.

von
ROBERT SCHUMANN.

Op. 22.

Frau Henriette Vogt geb. Rasse gewidmet.

Componirt 1835 (Erstausg. 1838)
der letzte Satz Ende 1840.

Exposition

Theme Area

So rasch wie möglich. M.M. 2 = 114.

Th I

1

8

15

22

39

45

Pedal.

Trans I

Trans II

Handwritten musical score for a piece, featuring multiple staves with notes, rests, and dynamic markings. The score includes a 'Theme II' section, a 'Coda/transition' section, and a 'Development' section. The notation is in a single system with various musical symbols and annotations.

Theme II
 The score begins with a section labeled 'Theme II'. It features a melody line with a treble clef and a bass line with a bass clef. The melody is marked with a forte 'f' dynamic. The bass line includes a 'Bb' marking. The section ends with a 'ff' marking and the text 'fin. dan. di'.

Coda/transition
 The next section is labeled 'Coda/transition'. It features a melody line with a treble clef and a bass line with a bass clef. The melody is marked with a forte 'f' dynamic. The section ends with a 'ff' marking and the text 'fin. G7'.

Development
 The final section is labeled 'Development'. It features a melody line with a treble clef and a bass line with a bass clef. The melody is marked with a forte 'f' dynamic. The section ends with a 'ff' marking and the text 'fin. G7'.

Handwritten musical score for piano, featuring measures 98 through 125. The score is written on grand staves with treble and bass clefs. The key signature is one flat (B-flat major or D minor). The tempo is marked *Andante* (And). The score includes various musical notations such as notes, rests, and dynamic markings.

Measure numbers are circled in the left margin: 98, 100, 105, 110, 115, 120, 125.

Handwritten annotations above the staves include:

- Dev IB* (above measures 98-100)
- Dev IC* (above measures 110-115)
- Dev II* (above measures 120-125)

Dynamic markings include *f* (forte), *ff* (fortissimo), and *fco* (forco). Pedal markings include *Pedal* and *Pedal D*. The score concludes with a final measure marked *F* (Finis).

This page contains seven systems of musical notation for piano. Each system consists of a grand staff (treble and bass clefs). The measures are numbered in circles at the beginning of each system: 136, 137, 138, 145, 150, 155, and 161. The notation is dense, featuring many beamed sixteenth and thirty-second notes, as well as various accidentals (sharps, flats, naturals). There are also dynamic markings such as *f* (forte) and *Daum. A.* (Daumen Acht). The music appears to be a single melodic line with a complex, rhythmic character.

Handwritten musical score for piano, measures 167-203. The score is written on ten staves, with measures 167, 173, 179, 185, 191, 197, and 203 circled at the beginning of their respective staves. The music is in a key with one flat (B-flat) and a 3/4 time signature. The notation includes various rhythmic values, accidentals, and dynamic markings such as *f* (forte) and *g* (grace notes). The piece concludes with a double bar line and a repeat sign at the end of measure 203.

Dev. III B

Recapitulation
Theme 2 area

209

Trans I

215

221

227

Trans I

232

233

240

C

Handwritten musical score on page 30, featuring six systems of music. The notation includes treble and bass staves with various musical symbols, including notes, rests, and dynamic markings.

Handwritten annotations include:

- 7 II* (above the first system)
- G* (below the first system)
- f#07* (above the third system)
- Transition to Coda* (above the fifth system)
- Schneller.* (below the fifth system)

The systems are numbered in circles:

- System 1: 252
- System 2: 260
- System 3: 266
- System 4: 272
- System 5: 279
- System 6: 282

