3 The E-flat/B Complex in Nineteenth-Century Music and Its Hermeneutic Dimensions

Jeffrey Swinkin and Hayley Grigg

When E-flat and B interact in salient and sustained fashion in a piece or a multipiece work, we describe that piece or work as hinging on an *E-flat/B complex*. Our task is to assess hermeneutic significance in E-flat/B-oriented works spanning the years 1827–1869. Schubert's *Die Winterreise* and Piano Trio in E-flat major, Schumann's *Rhenish* Symphony, and *Faust*-themed operas by Berlioz and Gounod count among our examples.

3.1 Introduction

The key of E-flat major,[1] as Anson-Cartwright (2000) has shown, elicited idiosyncratic chromatic treatment from Haydn, Mozart, and Beethoven. Several of their pieces in that key prominently feature the pitches D♭ and F♯/G♭. Many others prominently feature C♭/B♮, especially in development sections, usually in or near the retransition.[2] It is this latter chromatic quirk that has caught our attention.

In some cases, B♮ is merely an enharmonic stand-in for C♭, a notational convenience. In other cases, however, it is a distinct entity altogether. Needless to say, the difference between the two pitch-classes is considerable. C♭ is diatonically compatible with E-flat major, since it is $\hat{6}$ borrowed from the parallel minor and it forms a diatonic semitone with B♭. B♮, on the other hand, is diatonically incompatible with E-flat, since it forms a chromatic semitone with B♭. Moreover, C♭ is centripetal, tending inward toward $\hat{5}$ and thus to the tonal center; B♮ is centrifugal, tending outward from that center. As such, while C♭ might comprise a tonal problem (defined below) in an E-flat-major piece, B♮ is bound to comprise a bigger tonal problem. Such a problem, which may beset a single movement or multiple movements within a cyclical work, is typically resolved by the end so that the piece can achieve optimal closure. That resolution, as we shall see, normally involves implicitly or explicitly reframing the recalcitrant B as a conforming C♭.

Classical and Romantic composers tend to treat the B problem in E-flat works rather differently. The former typically present B as a problem *pitch*, not chord or key center. That is, B might belong to a V (or vii°) of vi but will less

likely be a chordal root; likewise, it might function as a leading tone within the key of vi but will less likely be a temporary tonic. The problem is thus fairly contained to begin with. What is more, owing to the comparative tonal conservatism of the style, we know with near certainty that the problem will eventually be expunged and that the home key will handily prevail.

In contrast, Romantic composers (from Schubert on) might very well present B in the form of a problem chord (major or minor). Moreover, in Schubert and Brahms especially, the ♯$\hat{5}$/♭$\hat{6}$ generally (beyond the particular case of E-flat works) often forms the tonic of its own extended key area. A common tactic is to establish ♯$\hat{5}$ or ♭$\hat{6}$ as a suspicious pitch and later compose it out on a broad scale.[3] What is more, owing to the comparative tonal audacity of the style, we are less certain that the problem will be (entirely) expunged and that the home key will prevail. Considering that tonal pairing and directional tonality are often used,[4] tonal unity is not the given it is in the Classical style.

When E-flat and B interact in salient and sustained fashion in a piece or a multipiece work, we describe that piece or work as having or hinging on an *E-flat/B complex*.[5] Several axioms about the complex are in order. First, E-flat and B may each be in either major or minor. Second, E-flat is a more common tonic than is B. Third, B♮ is treated as distinct from C♭, and both usually appear, interacting in frictional ways. Fourth, C♭ or B typically begins life as a single pitch—one often marked syntactically and/or rhetorically, in the manner of Edward T. Cone's (1982) "promissory note"—and subsequently forms its own chord and key area, creating a problem needing to be solved. Fifth and finally, E-flat and B, in their tense entanglement, often perform important emotional and narrative work; the complex serves as a "hermeneutic window," to borrow Lawrence Kramer's term (1990, 1–20). The discerning analyst will extrapolate meaning from the tonal and motivic processes in which the complex plays a leading role, assigning those processes extramusical correlates. To do so, the analyst might take cues from historical context, and, where present, from text, titles, *topoi*, and other extramusical indices.

Our task is to assess such hermeneutic significance in E-flat/B-oriented works spanning the years 1827–1869. (Example 3.1 enumerates the repertoire we will cover; Appendix A enumerates additional E-flat/B pieces, some

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Franz Schubert, *Die Winterreise*, D. 911 (op. 89) (1827)
Schubert, Impromptu in E-flat, D. 899 (op. 90), no. 2 (1827)
Schubert, Piano Trio in E-flat, D. 929 (op. 100) (1827)
Hector Berlioz, *La damnation de Faust*, op. 24 (1846)
Franz Liszt, Piano Concerto no. 1 in E-flat, S. 124 (1849, rev. 1853, 1856)
Robert Schumann, Symphony no. 3 in E-flat, op. 97 (*Rhenish*) (1850)
Charles Gounod, *Faust* (1859, rev. 1864, 1869)

*Example 3.1* Works Explored in this Chapter

post-1869.) While the breadth of our study precludes exploring any one work in semiotic depth, we will at least expose some general themes to which E-flat/ B works seem to have been drawn. This essay will hopefully serve as a useful complement to Anson-Cartwright's, both in focusing on nineteenth-century repertoire (his primary purview is the eighteenth century)[6] and in sounding out some semantic implications of such repertoire (his interest in the complex is solely structural).[7]

What do keys express, and how do they do so? We cannot answer these questions comprehensively here, but we can proffer some preliminary remarks, first about expressive characteristics of keys in isolation, then about those of keys in juxtaposition—of E-flat major and B minor in particular, since several of our analytical specimens make that juxtaposition central.

The best-known English-language study of key characteristics is Rita Steblin's (1996), whose historical compass is the eighteenth- and early-nineteenth centuries. From even a cursory glance at her book, one senses the difficulty such an inquiry poses for hermeneutics: each key over time has garnered a myriad of different, often incommensurate descriptors. For instance, as her Appendix A attests, writers have characterized E-flat major as cruel, pathetic, serious, plaintive, majestic, dark, aggressive, dignified, gloomy, nocturnal, mellow, and solemn; for Schubart, it represents love and the Holy Trinity (Steblin 1996, 245–49). B minor, meanwhile, has been deemed by turns melancholic, sweet, savage, artless, submissive to fate, calmly resigned, and ominous (ibid., 295–98); Beethoven famously dubbed it the "black key" ("schwarze Tonart").[8] With no key can intrinsic qualities be assumed; thus, in parsing a piece, one cannot take any one character as *a priori* on the basis of key.

Rather, one ought to conceive a key as having multiple potential dispositions (some similar, some dissimilar). Which dispositions pertain to a given piece will depend to a high degree upon factors as various as instrumentation, meter, tempo, texture, gestures, themes, *topoi*, and text (if present). The analyst should also consider how the composer expressively handles a given key from work to work, for certain composers are known to do so with discernible consistency.[9] Such an intertextual assessment can shed light on the emotional center of a given work.

That said, we are interested less in the affects of any one key than in the emotional and narrative complexity that derives from the tensive inter-action *between* keys and from the role those keys play in an overarching and multifaceted structural argument. Consider the case of E-flat and B minor. According to Richard Cohn (2004), these keys/chords stand in a hexatonic-pole (HEXPOLE) relation, as shown in Example 3.2. Note that the inter-mediary transformations are parallel (P)–*Leittonwechselklang* (L)–parallel;[10] also note that the chords have roots standing an interval-class 4 apart, are of opposite qualities, and involve three semitone-displacements and thus have no common tones.

Legend:
capitals for major, lower-case for minor
⟹: transformation
◂----▸: HEXPOLE chords
------▸: semitone displacement
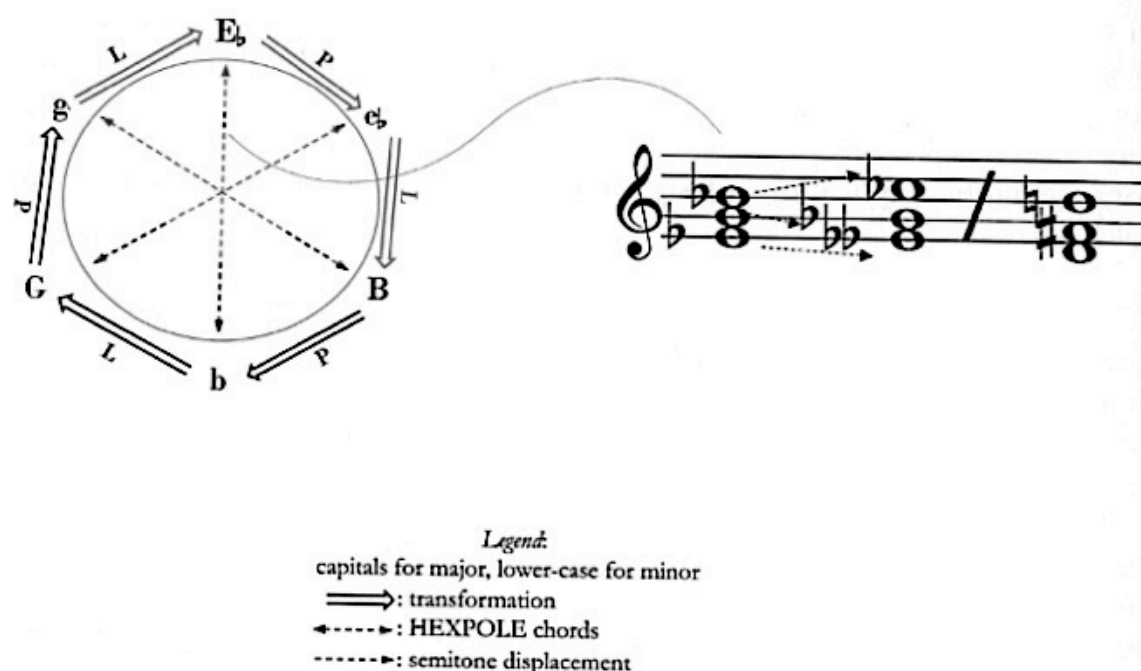
Example 3.2 A Hexatonic System (One of Four—Cohn's "Western Region")

Cohn (2004) associates this HEXPOLE relation/progression with the Freudian uncanny (*Unheimlichkeit*). Canvassing cases from Gesualdo to Schoenberg and Richard Strauss, Cohn reveals how the relation tends to accompany textual depictions of distress and death, the morose and the macabre. (He also cites examples in textless instrumental music.) He insists that HEXPOLE depicts these states by virtue not only of convention but also of intrinsic, structural properties.[11]

At least two scholars have questioned Cohn's argument, one on extra-musical, the other on music-structural grounds. Frank Hentschel (2016) notes that Cohn's examples, by and large, do not truly trade in the uncanny, for they have to do with death as a definitive state rather than with ambiguity surrounding death. Indeed, it is not death per se that induces an uncanny sensation but rather uncertainty as to whether an organism is dead or alive.[12] (The only example from Cohn's study that Hentschel deems genuinely uncanny is Wagner's *Götterdämmerung*, Act III, Scene 3, where the ring-clad hand of the slain Siegfried rises menacingly toward Hagen.)

Meanwhile, Frank Lehman (2014) contends that the so-called SLIDE (S) relation (Example 3.3)—of which Schubert was a devotee, probably the first—is a better candidate than HEXPOLE for the musical uncanny. His reasoning, in brief, is that the uncanny often hinges on confusion as to whether something is close or distant, familiar or foreign—it is basically both simultaneously. SLIDE chords are aptly isomorphic with this condition in transforming a chord into a tonally remote one by displacing two semitones, a displacement mitigated by a common tone. In diatonic space, the two chords are utterly distant; in

ties indicate common-tone retention

Example 3.3 The SLIDE Transformation

voice-leading space, they are utterly proximate. HEXPOLE chords, by contrast, lack that common-tone link and thus embody distance more than closeness. SLIDE, then, is inherently a more ambiguous relation with respect to closeness and distance than is HEXPOLE; SLIDE chords are ripe for conveying, in Lehman's words, "distorted familiarity" (2014, 73). (We will encounter some instances of SLIDE in our examples, though not in uncanny contexts per se.)

The upshot of these two critiques, for our purposes, is that E-flat/B minor is not to be too closely associated with the uncanny. We will witness a couple of cases in which that tonal relation arguably is uncanny, but several in which its connotations are different. Our essay will traverse the generous hermeneutic expanse that E-flat/B, in its various incarnations (including HEXPOLE), can accommodate.

This chapter will unfurl as follows: after a brief tutorial on tonal problems, we explore one Classical example, Mozart's Trio in E-flat major, K. 498 (*Kegelstatt*), which pivots on a problematic B♮. This analysis serves as a kind of baseline from which to explore later, nineteenth-century works, the better to appreciate fundamental differences between Classical and Romantic treatments of the complex. The Romantic examples we collect in three "clusters": one devoted to Schubert's works (Section 3.3), one to symphonic works (3.4), and one to works that treat Goethe's *Faust* (3.5). We conclude by reflecting on some general hermeneutic principles that had informed our interpretive escapades.

3.2 Mozart's E-Flat/B Problem

A "tonal problem" (Carpenter 1988, 38) is an element—latent in the *Grundgestalt* and, as Schoenberg says, "formulated" in the theme—of unrest or disequilibrium; it sets in motion a structural trajectory whose goal is to restore equilibrium. In Murray Dineen's definition, a tonal problem "exists where a feature of a work cannot be immediately accounted for as part of a whole. The problem is solved by explaining it in light of the whole work, as a logically related and thus a coherent part thereof" (2005, 70). The musical

Idea (*musikalische Gedanke*) is nothing less than the posing, intensifying, and resolving of that imbalance. In other words, the musical Idea comprises the problematic aspects of the *Grundgestalt* and the entire structure by which it is explored and eventually resolved.[13]

Tonal problems may be more or less acute; forces of unrest lie along a continuum of potency. Less familiar, chromatic relations among tones yield considerable instability, but even familiar, diatonic relations yield some. Schoenberg states, "*Every* succession of tones produces unrest, conflict, problems. One single tone is not problematic because the ear defines it as a tonic, a point of repose. Every added tone makes this determination questionable."[14] Likewise, a piece may exacerbate a problem, or actualize its latencies, to greater or lesser degrees. Pursuing more troublesome aspects or more remote consequences of a problem will entail pursuing more remote tonal areas and motivic derivations. Yet, these challenges are ultimately all proper, functional parts of a "tonal body" (Carpenter 1988), an integrated organism; they ultimately serve to fortify and enrich the tonal center. Indeed, by Schoenberg's lights, a tonic unchallenged is one unworthy of the name; it must be tested to prove itself genuinely sovereign.

A paradigmatic tonal problem is found in Brahms's String Quartet in C minor, op. 51, no. 1 (consult the score). The very first chromatic pitch, F$\sharp$, is a problem not only because, as $\hat{7}$ borrowed from the dominant region (*D*), it has centrifugal force; it is also expressively demarcated, and in numerous ways. First, it is approached by the wide, dissonant interval of a diminished 7th. Second, its resolution is very brief—G$_4$ is so fleeting as to barely register. (In other cases, resolution may be entirely absent, as with the "promissory" E$\natural$ of Schubert's *Moment Musical* no. 6 in A-flat [Cone 1982].) Third, F$\sharp$ stands out by dint of the following rest, the first in the melody. Finally, it is dissonant not only melodically but harmonically as well: the vii°/V to which it belongs sits atop a tonic pedal.

Note, further, the complications that immediately ensue: at the end of the opening statement, F$\sharp$ is respelled as G$\flat$, which, in turn, helps articulate a half cadence in B-flat minor (m. 9), a fairly foreign region vis-à-vis C minor. Near the end of the next phrase, F$\sharp$ recurs (mm. 18–21), now even more rhetorically marked than it was at the beginning, due to being repeated and, in m. 21, to the doubling and long surrounding rests. Schoenberg (1947, 402) hears this pitch as intimating both $\sharp\hat{4}$ in C minor and $\hat{5}$ in B minor. Then, however, F$\sharp$ rises to G for the half cadence, which prevents B minor from materializing and reaffirms C minor. In addition, G is longer and more metrically stable than it was in m. 2, so the resolution is more secure. For these reasons, the tonal problem is temporarily rectified.[15]

Mozart's recurrent B$\natural$ in the *Kegelstatt* Trio shares much in common with Brahms's F$\sharp$: it is a borrowed degree from a closely related region ($\hat{7}$ in the submediant [*sm*]) and it becomes increasingly marked over the course of the primary theme (PT) and transition (TR). It first appears in m. 10 of the first movement (synopsized in Example 3.4), where it arises, unceremoniously, as

Example 3.4 Mozart, Trio in E-flat, K. 498 (*Kegelstatt*), Synopsis of Mvt. 1[16]

the byproduct of a melodic sequence. B♮ is likewise incidental in m. 12, just part of a chromatic fill. In the next measure, which begins a repeat of the continuation/cadential module, the piano picks up what the clarinet had in the initial continuation; however, it replaces the clarinet's B♭ with B♮, thus strategically calling attention to the problem pitch. B and C here are also emphasized by means of augmentation (relative to their appearances in mm. 10 and 12).

That said, B–C is only one of several semitonal configurations in mm. 13–15; these measures extract such configurations from the preceding chromatic scale, as if granting motivic significance to notes that were mere cogs in a wheel. (In Example 3.4, compare the bracketed notes in mm. 13–14 with those in m. 12.) That is to say, B–C is not yet a motive in its own right; for now, it only instantiates a more general semitone motive. Yet, B–C ultimately emerges as the most important of these half-step figures: in the PT-codetta-*cum*-transition (TR), B–C now sounds in the bass. That dyad, which had been operative only melodically, now assumes harmonic significance: it tonicizes C minor, which functions first as vi within a cadential loop (mm. 16–20) and then as a pivot chord leading from *T* into *D* (starting in m. 21).

B, then, has from humble ornamental origins evolved into part of a motivic dyad, B–C, which inaugurates a competing tonal region—*sm* (en route to *D*). Over a dozen or so measures, B has inexorably grown into a perceptually salient and problematic entity.

If the transition forebodes a problem, it also telegraphs a solution: each time B♮ crops up, B♭ promptly tamps it down. The two pitches do this dance a few times before B♮, as we saw, is given freer rein in mm. 21–23 and allowed to unleash *sm*; at the medial caesura (MC) in m. 24, however, B♭ returns within a ii half-diminished-7th chord in *D*. That region, of course, remains in place for ST and thus secures—for the time being, at least—the supremacy of B-flat over its chromatic competitor. In this thematic zone, B♮ recurs mainly in vestigial form, reverting to the role it played in mm. 13–15. That is, ST is modeled on a module of PT—mm. 11–12, to be exact (Klorman 2016, 276–77). It also takes a cue from mm. 13–15, partitioning the chromatic scale into discrete dyads. The head of ST (mm. 25–27) thus in a sense amalgamates mm. 11–12 and 13–15. Note that B–C stands out as the first semitonal dyad of ST.

After the unusually proportioned three-bar basic idea is repeated, B reassumes harmonic significance as the leading tone of C (m. 31). While the C there (mm. 32–33) is fleeting, it is then greatly expanded, per the *indugio* schema,[17] in mm. 43–44. That elongation distinctly recalls mm. 21–23, right down to the melodic arpeggiation. Then, with essential expositional closure (m. 47), B♮ is suppressed by B♭, just as it was in m. 24.

ST, then, not only derives its thematic material from PT but, more interestingly, retraces PT's thematic dynamics—the *crescendo* and *diminuendo*, as it were, of B's structural significance. Example 3.5 represents that isomorphism.

The development section, in contradistinction to most, does not foment tension. For, Mozart delays dismantling themes, opting initially to restate ST

wholesale in the *SD* region.[18] That A-flat ultimately functions as VI within *sm*, B's tonal sanctuary. The music touches on that tonal goal, C minor, fleetingly in m. 63 but overshoots it, landing in the next measure on C minor's V. The ensuing standing on the dominant of *sm* is a fairly generic retransitional move, but here it comes across as piece-specific since motivated by the B on which the movement has been fixating from the start. With no resolution of the G dominant chord in sight, B conspicuously flaps in the wind, unmoored from the tonic that would supply it shelter. (The tenor's C in m. 65 and comparable measures is no resolution of B; on the contrary, it embellishes and resolves to B.)

Indeed, deprived of such C-minor shelter, B♮ has little choice but to descend directly to B♭ (mm. 70–72), and the vii°$^4_3$/C minor to which B belongs progresses directly to the V^7/E-flat to which B♭ belongs. That is, the resolution of vii°$^4_3$ is elided, such that it retrospectively functions as a three-common-tone diminished-7th chord in relation to B♭7 (Example 3.5). Also in retrospect, B♮ turns out to function in effect as C♭, as ♭$\hat6$ in the home key. B, then, is wrested from C minor and returned to E-flat. Put another way, the upstart chromatic tone defers to the diatonic tone (B♭) it has been trying to supplant.[19]

The piano's continuation-repeat in the recapitulation is telling. In the exposition, this "one more time" module was precipitated by an evaded cadence (m. 12); the module's PAC then dutifully affirmed the E♭ tonic that had just been skirted. In the recapitulation, conversely, the PAC is achieved straightaway (m. 85) but is then promptly overshot, since I is converted into a V$^4_2$/IV. As a consequence, the continuation-repeat is situated within the subdominant, betraying the influence of the development section, which, as we saw, centers on A-flat. That choice of key furthers the resolution of the tonal problem, because A-flat major voids B♮; only a diatonic C♭ appears in m. 87, where it resolves to the 6th of a cadential $^6_4$. In other words, the melody is no longer poised to demarcate B♮, as it was back in mm. 13–14. The new tonal region offers a new focal dyad—E♮–F—to supplant B♮–C. E♮–F then rings in the tonic-transposed ST, for which reason that dyad continues to betoken tonal resolution.

	B–C embellishmental	B–C somewhat pronounced	C equivocally tonicized	C minor amplified	C minor neutralized
PT/TR	m. 10, 12	13	16–19	21–23	24 ff.
ST	----	26/29	31–32/41–42	43–44	45 ff.

"dynamics" of
B's structural import

Example 3.5 Isomorphism between PT/TR and ST in Exposition of K. 498, Mvt. 1

B♮ returns in m. 105 as a consequence of *de rigueur* transposition: F♯–G in m. 32, a deceptive motion in *D*, now takes the form of B♮–C, a deceptive motion in *T*. The tonal problem thus subtly persists, though ST is on the whole resolutional. What is more, even after quashing B♮ with B♭ in m. 106, Mozart abandons the expected PAC,[20] triggering a repetition of the continuation and thus of the B–C as well (m. 108). Now B is of greater consequence because it is not instantly curbed by its diatonic rival: B♭, $\hat{5}$, is deferred by an elongated ii$_5^6$ (mm. 109–10). Even after the definitive PAC (at the point of essential structural closure, m. 113), B♮ recurs, though summarily suppressed by B♭. With the chromatic flourishes that conclude the movement, B♮ is neutralized, restored to the decorative milieu from whence it came.

In short, despite heroic attempts by the retransition (mm. 71–72) and recapitulation (mm. 86ff.) to quell the tonal interloper, B♮ has proven itself stubbornly durable. Although it petered out at the very end, all in all it seems insufficiently extinguished. We thus might expect the problem to recur in subsequent movements, as indeed it does in the rondo Finale.[21]

In the rondo,[22] the prodigal dyad does not return until the first couplet. The latter contains two distinct themes (B[1] at m. 17 and B[2] at m. 36), the second of which is patently based on the A (refrain) theme (just as the first movement's ST was based on its PT).[23] Then a piano-led display episode at m. 43 expands the cadential portion of the B[2] theme, in the process greatly elongating the C-minor chord (ii/*D*) as part of an *indugio*, as in the first movement.

C minor next rears its head in the C couplet, which comes with a reminder of B's humble chromatic-scale origins (m. 70). B thus in a sense recedes, and then fades entirely with C minor's excursion into its relative major (m. 73). Then, the retransition takes a crucial step toward solving the tonal problem, doing explicitly what the retransition of the first movement had done implicitly: it enharmonicizes B♮ as C♭ (mm. 103–05), thus reconciling the former with the E-flat key center.

The next (D) couplet (m. 116) takes the final and most decisive step toward reconciliation, for it revisits what in the first movement's recapitulation was a pivotal region of resolution: A-flat (*SD*). Here too, it placates tensions by obviating B♮ (the one in m. 118 is incidental, shadowing the upper voice a 3rd below). Indeed, B–C is elbowed out by E–F. The latter dyad, while not devoid of tension, has mollifying connotations since, to recall, it was a centerpiece of the first movement's recapitulation. The soothing of antagonisms is also evident both topically and texturally: witness the pastoral parallel 3rds and also the homophonic and homorhythmic texture (discounting the piano's bass), which seems to celebrate all three instruments finally having achieved equal standing; to wit, seconds earlier (m. 108), the viola was finally awarded the refrain's melody after mostly having been denied it throughout the movement.[24]

Some residual agitation remains, however. In the middle of the rounded binary form that is couplet D, a serene E-flat gives way to a foreboding A-flat minor (m. 136), whose first and most prominent melodic pitch is C♭. While C♭,

in contradistinction to B♮, is allied with *T*, the minor-mode switch renders the C♭ a bit unsettling. That effect is short-lived, however, especially since F♭–E♭ in the bass of mm. 138–39, as ♭6̂–5̂ in A-flat, reminds C♭ of the tonal function it had had in the previous retransition (mm. 103–05), that decisive moment in which B was enharmonically disciplined. Sure enough, C♭, as if heeding F♭, returns in m. 159, bearing the function of a conforming ♭6̂ within E-flat, just in time for the final refrain.

The effervescent coda (at m. 176) is awash in conciliatory sentiments: witness its intimations of "reunions and rescues, reconciliations and marriages, rejoicings and rewards—all of the paraphernalia of ultimate celebration wholesaled in the comedy of manners [and] in classical sonata style"—as Maynard Solomon rhapsodizes about the high-Classical finale generally (1991, 295). The agogically emphasized B♭s in the piano's left hand (mm. 180–84) blissfully advertise the absence of B♮. The latter returns in a parting gesture (mm. 193 ff.) but stripped of its intrusive tendencies, as evident in the pastoral 3rds and the banter between the clarinet/viola and piano, which graciously exchange musette and brilliant-style *topoi*. Mozart's coda does not wish away B♮ but integrates it, restoring it to the innocuous niche in which it first appeared, even using it to bubbly, life-affirming effect. Perhaps Mozart is saying that a problem solved is not a problem forgotten; on the contrary, one need be continually cognizant of it, lest it insidiously return and regain control. We will see as much in works by Schubert, to which we now turn.

3.3 The Schubert Cluster

We stated at the outset that HEXPOLE chords such as E♭ major and B minor by no means always express the uncanny, but in *Die Winterreise* we believe they do. More specifically, we contend that "Der Leiermann" effuses the uncanny on the basis of its (original) key of B minor in relation to the E-flat major of "Die Post," its other musical features, and its narrative niche within the cycle. Before making our case, however, we must address the question as to whether there can be any question of a tonal connection between "Post" and "Leiermann," given that they are separated by ten songs. And what of the fact that Schubert transposed "Leiermann" down a whole step for the first edition?

Example 3.6 provides a tonal and narrative overview of Part II of the cycle. Clearly, E-flat is not composed out over the duration, so there is no direct harmonic relation between the first and last songs. That is, though E-flat is arguably prolonged over the first four songs, Song 17 initiates another prolongational span, one centered around D. (That the majority of Songs 17–23 are, in Suurpää's [2014, 171] reading, somewhat peripheral to the main narrative—hence the parentheses in Example 3.6—does not necessarily mean that their keys are also peripheral, however convenient that would be for a reading aiming to assert a bond between E-flat and B minor.)

Legend:
M: major key; all others minor (bearing in mind that most of these minor-key songs make ample use of the parallel major)
o: original key (later transposed)
Pr.: protagonist

Example 3.6 Tonal and Narrative Scheme of *Die Winterreise*, Part II[26]

There are, however, both narrative and associative (motivic) connections between the first and last songs/keys. Narratively, Part II, on Suurpää's (2014) account, is fairly self-enclosed, in part because it surrounds the theme of death (Part I surrounds that of lost love).[25] Consequently, it would seem reasonable to attribute significance to, and perhaps some relationship between, the keys by which Part II is bookended. Moreover, as we will discuss, the imagery of "Post" prepares that of "Leiermann." Associatively, Songs 13 and 24 are intimately wed in their melodies being similarly folkish and transparently triadic. Moreover, a connection between E-flat and pitch class B/C♭ is established in "Die Hoffnung," the second song in E-flat. It begins with a C♭, which then recurrently crops up, sometimes in the guise of B♮ (serving initially as $\hat{7}$ in C minor, later as ♯$\hat{5}$ in E-flat). E-flat and B, then, are associated both in being the keys of motivically related songs (13 and 24) and in *themselves* being motivic (as established in "Hoffnung").

As for transposition, we are inclined to analyze this work according to its original keys, because in them we detect purposive tonal construction.[27] For example, Part I starts and ends in the same key, D minor, assuming "Einsamkeit's" original key. What is more, there are prolongations internal to both parts that are compromised by transposition. For example, in Part I, Songs 8–10, in their original keys, arpeggiate the structural IV chord that leads to the structural V of Song 11: "Rückblick" is in G minor, "Irrlicht" in B minor, and "Rast" in D minor. When "Rast" is transposed to C minor, per the first edition, a possible consequence is that the IV *Stufe* is not sustained up to the arrival of V at "Frühlingstraum" and thus the long-range tonal syntax is somewhat degraded. To be clear, our present concerns are analytical, not performance-oriented: we do not presume to police what keys performers use; we only aim to find meaning in the tonal structure Schubert originally designed.

Having established a tonal link between Songs 13 and 24, we are now in a position to argue for that link (a HEXPOLE one) being uncanny. For that, we need to start with Song 2, "Wetterfahne." In the second stanza, the protagonist rebukes his younger self, to whom he refers in the third person, for being naïve, for not having taken heed of the titular weather vane that, he now realizes, foreboded inconstant love: "Er hätt' es eher bemerken sollen,/ des Hauses aufgestecktes Schild,/ so hätt' er nimmer suchen wollen/ im Haus ein treues Frauenbild" ("He should have noticed sooner/ the emblem set upon the house;/ then he would never have tried to look/ for faithful womanhood within"). This is the first indication that the hapless antihero is psychically split; he has been so traumatized from being spurned that he has become bifurcated into two personas—a disillusioned one of the present and a trusting one of the past, the latter of which he represses for fear of ever being so vulnerable again.

This bifurcation is even more evident in "Die Post." Here, the sound of the post horn, which might bring news of the beloved and thus ensure the wanderer's continued connection to her, causes his heart to flutter. The wanderer becomes preoccupied with his heart's erratic behavior, and even seems to experience his heart as alien and surreal: "Was hat es, daß es so hoch aufspringt,/ mein Herz?

... Was drängst du denn so wunderlich,/ mein Herz?" ("Why do you leap so high,/ my heart? ... why then do you throb so strangely,/ my heart?"). (Schubert heightens this fixation by adding several iterations of "mein Herz" to Müller's four.) The wanderer addresses his heart as if it were not part of himself. That is because its excitation bespeaks a trusting, hopeful persona that his conscious mind can no longer admit, a persona from which he had begun to dissociate in "Wetterfahne." That such repression has been unsuccessful and now assumes a pathological dimension is clear in its manifesting as a physical symptom.[28]

Such pathology is intensified in the final song. Scholars often construe the hurdy-gurdy man as an augury of death. To us, he is instead (or in addition) a projection of the protagonist's repressed self. The street musician cuts a frail, vulnerable figure (his fingers are numb, he walks barefoot on the ice), and also a naive, nescient one, given his music's folkish simplicity (see below). The man thus readily resonates with the wanderer, for he symbolizes the credulous persona that the wanderer had repressed for self-protection. Now the repressed returns in disturbing form, personifying aspects that the wanderer had ejected from his own psyche and that he can no longer bear to admit as belonging to himself. The wanderer feels the chills of the uncanny because in this man he unconsciously detects aspects of himself, yet aspects he had dismissed and no longer recognizes as belonging to himself. Like his heart in "Post," the *Leiermann* is eerily part of him and not, organic and inorganic at the same time.

How does the *Leiermann*'s music obfuscate the boundary between the organic and inorganic? On the one hand, the perfect 5ths on which he harps are redolent of the overtone series, and the quasi-horn 5ths in m. 28 symbolize pastoral life. On the other hand, the music is somewhat mechanistic, eking out a melody that, like the hurdy-gurdy itself, spins its wheels: the *Urmotiv* (mm. 3–4) is subject to static variation rather than continuous transformation. The wanderer's melody mirrors the hurdy-gurdy music in exploiting natural, triadic material but doing so in a mechanically repetitive rather than organically developmental way. Moreover, his melody is akin to a disjointed mechanism in that its weak syllables fall on registrally accented notes and its metric groupings are mercurial and often dissonant against the foursquare drone.[29] Finally, the repetitiveness in and of itself smacks of the uncanny, for, as Freud observes, involuntary-seeming, circular repetition "surrounds with an uncanny atmosphere what would otherwise be innocent enough [to wit, this song's rudimentary material] and forces upon us the idea of something fateful and inescapable where otherwise we should have spoken of 'chance' only" (1919, 43).

To be sure, these musically uncanny elements would be present regardless of key. Still, the B minor, understood in relation to the earlier E-flat major, certainly consolidates the uncanny—as a visual symbol if not a conscious aural impression.[30]

Op. 90, Charles Fisk notes, was "Schubert's first instrumental work composed under the spell of *Winterreise*" (2001, 140). The first Impromptu (op. 90, no. 1) is reminiscent of "Gute Nacht" in its walking tempo, repeated-note motto, and

march-like dotted figures. The second Impromptu, meanwhile, is somewhat reminiscent of "Leiermann" (in the context of *Winterreise* as a whole) in its juxtaposition of E-flat major/minor and B minor, especially in its coda.

This Impromptu is a large ternary form in E-flat, although the piece considerably taxes the authority of that key. What does so, in particular, is B/C♭, which rises above the level of a soluble tonal problem of the kind we diagnosed in *Kegelstatt*. The two pieces begin similarly: in each, the pitch class comes on the scene inauspiciously, as the by-product of a sequence—a melodic one in the Mozart, a harmonic one in the Schubert (see the descending-5th sequence starting in m. 25). Then, also as in the Mozart (m. 13), the pitch class acquires a bit more identity (Schubert's mm. 37 and 39) before staking out tonal turf. It is here that the pieces sharply diverge: Mozart's key is a fairly tame C minor (before giving way to the dominant, B-flat); Schubert's is a much more feral B minor, which houses the contrasting middle section. That is, Mozart adapts B as the leading tone of a closely related key; Schubert adapts it as the tonic of its own far-flung key.

One might take that B minor, especially since it follows a dominant-functioning G♭-major triad, to be an enharmonically respelled C-flat minor and thus diatonic to E-flat. However, we take the E-flat/B minor relation to be primarily hexatonic, a stance not contravened by B being tonicized; Schubert often diatonically delineates a chord locally though he places it in a non-diatonic relationship more globally.[31] Thus, on our reading, this piece knows no one all-encompassing *Ursatz*; rather, each main section has its own autonomous *Ursatz*. These diatonic chunks are at once separated and, in a sense, loosely connected by hexatonic maneuvers, as Example 3.7 illustrates.[32]

Schubert telegraphs such tonal parataxis (separation, juxtaposition) in the way he regains the home-key dominant in the B section (Example 3.8). Recall that Mozart's first-movement retransition had co-opted B♮ by a common-tone diminished-7th chord, such that B♮ retrospectively functioned as an obedient C♭ (revisit Example 3.4, mm. 69–72). Schubert's retransition allows for no such diatonic smoothing-over: B minor proceeds directly—*sans* diatonic connective—to a i$^6_4$ in the home key, via P-L (the i passes between B minor and ii half-diminished 7th).

So, the piece returns to E-flat at the A$_2$ section without having sufficiently neutralized B minor; Schubert mainly sweeps it under the rug. (B's conversion to C♭ in m. 163 is after the fact.) Hence, it is hardly surprising when B minor rears its head in the coda (see the score). In this *coup de grace*, Schubert brings back the interior theme complete with its B-minor key. Keep in mind, it is hardly unusual for a coda to repeat B-section material,[33] but usually the coda transposes it to the home key. That B minor persists so near the end, by which point tonal conflicts are normally resolved, attests to its recalcitrance toward E-flat. In fact, the latter now takes the form of E-flat minor, which spars with B minor with no synthesis in sight. E-flat minor ends the piece, in a maneuver one might term a "reverse Picardy 3rd."[34] The E-flat tonic is thus equivocal, as if allowed the final say but only at the expense of modally mirroring its B-minor nemesis; the

Example 3.7 Tonal Structure of Schubert, Impromptu in E-flat, op. 90, no. 2

Example 3.8 Schubert, op. 90, no. 2, mm. 157–65

latter's $\hat{5}$, F$\sharp$, has insinuated itself into E-flat minor in the form of G$\flat$. Hence, in diametric opposition to Mozart's treatment of the problem, Schubert does not assimilate B (minor) to E-flat; on the contrary, E-flat is disfigured *by* B.[35]

From a hermeneutic standpoint, the Impromptu's opening is demure and blithely unselfconscious, repeating its arabesque-like cascades with pleasurable

abandon. It is etude-like only in its *perpetuum mobile*, not in any real physical ferocity. Still, maybe behind that unabashed repetition *of* the material lurks anxiety about losing the innocence expressed *in* the material. That anxiety briefly rises to the surface with E-flat minor in m. 25. Then, the interior theme makes good on that fear: in its minor mode and rhythmic and melodic angularity, it replaces the gracious *Deutsche Tanz* with a *danse macabre* of sorts. After innocence is recovered in the reprise (A₂), it is definitively degraded in the coda, as we have seen. Upon reflection, one wonders whether the A section's innocence was illusory from the start.

That reading is buttressed by hearing the Impromptu against the backdrop of *Winterreise*. Fisk attests that lost or corrupted innocence in the Impromptu "draws support from the ... major-mode passages in *Winterreise*, passages whose words deal almost exclusively with illusions, fading memories, and unfulfilled dreams ... the overpowered major of the second Impromptu especially calls forth such associations."[36] In other words, in *Winterreise*, major keys often accompany sweet memories and optimism and minor keys give the lie to those, exposing them as so many delusions. Just so, in the Impromptu, B minor and the E-flat minor it engenders expose the E-flat-major music as deludedly or at least unsustainably sanguine, as Pollyannaish.

The analogy with *Winterreise* might extend even deeper. The Impromptu, viewed through the prism of the song cycle, intimates a guileless protagonist who, as in the cycle, encounters a trauma, a betrayal of trust. The opening reaches an impasse with the B-minor music, a tonal trauma that is left unresolved at the end of the B section: there, as we saw, B minor is transformed (hexatonically) rather than resolved (diatonically). In A₂, the protagonist continues his journey as if nothing had happened, but that is bound to fail, the repressed is bound to return—hence the B-minor music at the end. Then, the B-minor repressed takes the form of E-flat minor. As with the cycle, an unsatisfactorily repressed element recurs in a distorted guise, one producing an uncanny effect: in *Winterreise*, the protagonist, in our reading, queasily identifies with the *Leiermann*, unconsciously sensing that he resonates with a distasteful aspect of the protagonist's own character, the naivety that he has come to associate with rejection and trauma; in the Impromptu, similarly, the protagonist, the persona implicit in E-flat major, queasily identifies with E-flat minor, sensing that it resonates with the B-minor trauma that he ostensibly left behind.

Beyond that, the endings of the two works are quite different: whereas the song and song cycle leave the protagonist in limbo, the piece, since more aggressive, leaves him in a less ambiguous and more active state, one in which he might eventually be able to conquer his demons. Indeed, Fisk posits that the G-flat-major key of the next Impromptu (op. 90, no. 3) reflects the E-flat minor of no. 2 and that its C-flat (*SD*) area is a potential "agent of recovery from the E♭-minor crisis of the E♭-Major Impromptu's ending and from the agitated B-minor music implicated in that crisis" (2001, 118).

Example 3.9 (A) Schubert, D. 929/Mvt. 1, mm. 48–58;
 (B) Mvt. 2, mm. 1–6;
 (C) Mvt. 4, mm. 279–85

In Schubert's Piano Trio in E-flat, D. 929, we hear special hermeneutic import in two particular features: the interval cycles and the return of the second-movement main theme in the Finale. B minor is central to both, and we consider each in turn.

Schubert makes short work of agitating an otherwise buoyant dance. Shortly after the heraldic announcement of the tonic, B appears, and in

its own C-minor environs (mm. 5–6) (*Kegelstatt*, recall, waited 16 whole measures before introducing C minor). B's prompt diatonicization as C♭ in m. 27 is hardly a normalization, for it clashes with a concurrent B♭ – the C♭ appoggiatura in the piano and the resolving tone B♭ in the cello sound simultaneously. Such ill-ease with the home key compels the problem pitch to erect its own key—B minor (m. 48; see Example 3.9a). That B is tonicized does little (as in the Impromptu) to mitigate its essential incongruity with E-flat. Indeed, these are HEXPOLE chords (see Example 3.10). That key, however, proves to be a house of sand, for it triggers the first of several equal-interval cycles (ic) in this movement—here ic4, which takes us from B minor through G major to E-flat major. These cycles, which are driven by transformational processes, disrupt diatonic processes; they intermittently perforate tonal prolongations. Our graph illustrates such push-and-pull between these two different processes.³⁸

B minor triggers another interval cycle in the development section, now ic3. Twice now, B minor has attempted to gain a foothold but was foiled by the cycles it seems fated to catalyze. It is neither a secure denizen of E-flat nor can it stake out its own territory; it is neither here nor there.³⁹ Interestingly, B also initiates an ascending-5th pattern—B (m. 195)—F♯ (m. 247)—D♭ (m. 299)— each rung of which articulates a large-scale thematic repetition, a new module (see Example 3.10). As in the exposition, that diatonic span is rendered discontinuous by pockets of non-diatonicism.

The recapitulation (starting m. 385) transposes B minor of ST down a perfect 5th to E minor (m. 434); however, B minor is accorded tonal resolution in the coda (starting m. 571), where ST is reiterated in E-flat minor (m. 585). Just prior, for good measure, Schubert harps on C♭, cueing us that the ST we are about to hear originated in B minor and that B is now being diatonically disciplined. Granted, B momentarily reappears—within the ic4 that fuels the E-flat-minor ST. However, this is the first such cycle that is *complete*, that comes full circle: E♭ (m. 585)–e♭–C♭–b–G–g–E♭ (m. 612). Hence, B is now firmly enclosed within E-flat borders.

Schubert's movement thrives on the interplay between, on the one hand, "first-practice" tonality and a dramatic model of sonata form, and on the other, "second-practice" tonality and a lyrical model. For the most part, Schubert does sonata business as usual, coursing through familiar vectors toward familiar cadential goals. En route to those goals, however, Schubert meanders, both with *ad infinitum* thematic repetitions (especially in the development section) and with the intervallic repetitions (cycles) that adjoin them. Onto this musical bifurcation one might map an extramusical one: the diatonic and dramatic correlate with external phenomena or objective reality, the non-diatonic/transformational and lyrical correlate with internal experience or subjective counter-reality. The wanderer treks through well-worn sonata terrain but along the way finds time and space to reflect on that journey.⁴⁰

B minor, we submit, lies at the interstice between these external and internal realms: in one respect, it is an outlier with respect to the tonic and tends to

Example 3.10 Tonal Overview of Schubert, Piano Trio in E-flat, D. 929, Exposition and Development of Mvt. 1[37]

Notes:

1. relates to tonic *Style* only *associatively*, not prolongationally (we will discuss this concept later on, with respect to the *Rhenish* Symphony)

2. in lieu of C♭, which would have completed the ic4; C♮ snaps the music back into diatonic "reality"

3. tertiary theme

invite flights of harmonic and concomitant subjective fantasy; it is a portal into an inner realm. In another sense, it is, in the end, a chess piece within the standard sonata game. For, in the coda, as we have seen, B minor is ultimately subordinated to external, diatonic reality—B is enharmonicized as C♭ and the B-centered ST is transposed to E-flat. Even the final interval cycle to which B belongs (mm. 585–612) capitulates to the tonic, since it brings E-flat full circle; subjective fantasy is reined in by objective necessity. Such a maneuver was prepared by the end of the development section, whose final ic3 cycle, mm. 299–337, goes a step further than had the previous two; it outlines a diminished-7th chord rather than merely a diminished triad—precisely, it seems, in order to attain the retransitional dominant (see Example 3.10, mm. 299–337). Here, too, directionless inner contemplation ultimately gives way to goal-orientation.

In the Andante con moto movement (Example 3.9b), the accompanimental chords are vaguely reminiscent of ST's repeated-note motive (Example 3.9a). The implicit connection between the two passages is made explicit in the Finale, where the second-movement theme returns in ST's key of B minor (Example 3.9c), more on which in a moment.

Mm. 45–47 of the Finale sport C♭s that wrinkle the mainly celebratory music—a mild disruption, to be sure, but enough to indicate that C♭/B continues to be an issue. Indeed, although C♭ dutifully descends to B♭ in m. 48, it ascends to C♮ in m. 59, and then B♮ ascends to C in m. 61, showing a centrifugal inclination. That inclination is given freer rein when B migrates to the key of C minor at m. 73; the key, along with the repeated chords and pitches there, summon up the Andante con moto. That inclination is given still freer rein with the eventual turn to B minor at m. 231. B minor is not harmonically prepared in the least; it simply SLIDEs out of B-flat. The minor mode casts a pall over the otherwise ebullient music.

Soon thereafter, B minor hosts the Andante con moto theme. B minor here exudes a quality of stability and self-completeness, in sharp contrast to its instability and transience in the first movement. It appears whole for two reasons: (a) since B minor has what was the C-minor Andante theme, it is now more composed, less susceptible to modulation, than it was in the first movement; (b) more broadly, B minor partakes of synthesis, for this passage integrates the secondary key-center of the first movement and the opening theme of the second movement.

This apotheosis of B minor, however, eventually recedes. The toccata-like couplet returns with a vengeance in E-flat minor (m. 388). The music is now more menacing, as the repeated-note figures have been wrested from the melody and given to the piano's thick, accent-studded chords. Is E-flat minor a reflection of B minor, with which it is starkly juxtaposed in m. 410? In other words, has the E-flat tonic been disfigured by its tonal nemesis, as in op. 90, no. 2? No, at least not permanently, because E-flat minor does not persist—no reverse Picardy here. E-flat minor does return, however, near the very end (m. 695), where the Andante theme makes a final appearance. That statement straddles both tonic minor and major, the latter having the final say. Hence, the

B-minor recall is transposed to the tonic, adopting not just its scale degree but its major mode as well.

The return of the Andante theme in the Finale is a marked event, in part because Schubert rarely used such manifest cyclicity; more typically, he opted for subtle, subthematic complexes of gestural,[41] motivic, and tonal associations across movements (and songs). Indeed, the Trio and also the Piano Sonata in A, D. 959, says Fisk, are "patently cyclic" to a degree that has "no other explicit antecedents in Schubert's instrumental music" (2001, 3), save for the *Wanderer* Fantasy, D. 760 (1822). Fisk observes that it was only after composing *Winterreise* that Schubert felt compelled to return to explicit allusiveness, à la the *Wanderer*: "It therefore seems possible that his work on these songs may have ... reawakened a cyclical impulse earlier revealed most explicitly in the 'Wanderer' Fantasy, leading to a proliferation of new cyclical experiments" (ibid.).

Given the evident influence of the song cycle on the Trio, and the prominent uncanniness in the B-minor "Leiermann," one might be tempted to read the B minor/E-flat juxtaposition in the Trio as similarly uncanny. Fisk gestures in this direction by saying, "the mysterious B-minor beginning of the [first movement's] second group can be taken ... to individuate a Fremdling protagonist" (2001, 277). Then again, several other motifs populate the song cycle—perhaps most significantly, memory and nostalgia. Fisk attests to the relevance of those tropes:

> the theme of the C-minor Andante con moto is steeped in the aura of *Winterreise* ... and when this *Winterreise*-haunted theme returns in the Finale, it also subliminally evokes the memory of the B-minor theme from the first movement by returning in that key.

> (ibid.)

The reminiscence in the Finale is thus threefold: it is explicitly of the second movement and subliminally of the first movement and of *Winterreise*.

If, however, the return is a memory of B minor, it is not a memory of something fully existent prior to its reflection. For, as we discussed, B minor is rather sketchy in the first movement: in ST, no sooner does B minor appear than it is absorbed by an interval cycle; the development follows suit. B never finds its own *terra firma*. It is not until the Finale's recollection that B comes into its own, if impermanently. The reflection is partly what gives B minor greater substance and solidity. The recollection is thus at the same time a revelation; it is at once illusory and very real.

To that extent, Schubert may be evoking a special sort of memory—a dream. Dreams are quite real, in several senses. First, as Freud (1900) maintained, dreams are catalyzed by thoughts, feelings, and wishes stemming from waking life—the so-called latent dream-thoughts underlying the manifest dream, latencies that dream-analysis helps unearth. Second, some dreams are so lucid as to virtually form their own alternate reality, just as

Schubert's B minor and its hexatonic universe form a kind of alternate reality to E-flat major and its diatonic universe. Finally, the dream-*cum*-analysis, in disinterring repressions, can affect our waking life; dreams-as-analyzed can lead to the modification of attitudes and behaviors. We so often live out the consequences of our dreams, the realizations culled from them. The B-minor mirage becomes so real at the recall that, indeed, it temporarily spills over into waking life in the form of E-flat minor. In short, dreams reflect (obliquely, via dreamwork transformations) waking psychical phenomena, conjure vivid worlds unto themselves, and influence our ongoing lives. They reflect, simulate, and affect waking life. Dreams are in this sense very real. Schubert, to our ears, conveys this insight in tones, most fundamentally by the B-minor recall both being a simulacrum of the past and bringing that past into a fuller reality. What Charles Rosen says of the sustained piano chords in Schumann's "Ich hab' im Traum geweinet" (*Dichterliebe*, op. 48) is equally true here: "illusion and memory act with a power that makes them indistinguishable from reality" (1995, 207).[42]

Admittedly, memory is only one of several tropes that might be apposite to the Trio's recall. Benedict Taylor posits another: "But need this [recall] be a memory? ... Just as germane ... might be the idea of fatalistic return, the folksong as something external to the musical subject's consciousness, even time as being something cyclical" (2016, 155). The difference between our reading and Taylor's hinges, in part, on whether one views the recall as emanating from the subject—as unfolding from within the lyric "I"—or as residing outside the subject. Instrumental music is by nature mute on this distinction, seldom offering an objective basis on which to decide.

3.4 The Symphonic Cluster

Schumann began to compose his Symphony no. 3 in E-flat, op. 97 (1850) during his second foray to Cologne. His biographer Wilhelm Josef von Wasielewski dubbed it "Rhenish" since Cologne sits on the Rhine. Schumann informed him that the fourth movement was inspired by the promotion of Cologne's archbishop, Johannes von Geißel, to Cardinal and, indeed, Schumann originally titled that movement, "In the character of an accompaniment to a solemn ceremony ("Im Charakter der Begleitung einer feierlichen Zeremonie"—of which, in the end, only the "Feierlich" designation remained).[43] That movement expresses religiosity in its Renaissance-like *stile antico* imitation, strict governance of dissonance, and half-note tactus (¢ and). Larry Todd also reminds us that the melodic incipit (perfect 4th–diminished 4th–perfect 4th) is redolent of certain fugal subjects of Bach, and that Schumann used it, in inversion, in the Agnus Dei of his Mass (Todd 1994, 99).

The trope of the exalted, however, is counterposed in other movements by that of the pastoral, as evident, for instance, in the quaintly diatonic theme of the second movement. This pastoral strain is arguably *völkisch* at root: Prussia had acquired Rhineland in 1815, thus securing a natural border against the

French; the Rhine thus came to symbolize the unification of Germany. Another patriotic wave washed over German-speaking lands in 1840, in response to France threatening to seize part of the Rhine.[44]

For Schumann, then, the Rhine was a geographical locus at which the venerable and pastoral, religious and humanist meet, and the *Rhenish* mirrors both by turns. In fact, as we shall argue, it gestures toward reconciling this (ostensible) antinomy.

We shall also argue that it reconciles the antinomy of past and future, of memory and teleology. The piece, in its very genesis, is steeped in memory. It was clearly composed in the shadow of Beethoven's *Eroica*, also in E-flat.[45] Both first movements are in $\frac{3}{4}$; both begin with triadic, heraldic themes; and both anticipate the onset of their respective recapitulations with horn fanfares hovering over a dominant. (Beethoven's occurs directly before the onset, Schumann's further back, at m. 367.) Schumann also evokes the *Eroica* in less obvious ways. His first movement, in particular, spends considerable time in the G-minor mediant, a somewhat atypical tonal station in a major-key piece.[46] Such a G-minor presence conjures up the *Eroica* both directly and indirectly. Directly, in that the *Eroica* famously thematizes that key, in the first instance by touching on its cadential $^6_4$ in m. 9 and then instantly resorbing it into the home key via V^6_5.[47] Indirectly, in that the *Rhenish* might well allude to Schumann's earlier unfinished G-minor Symphony, which itself alludes to the *Eroica*.[48] As Daverio (1997, 99–100) details, the first movements of the G minor and *Eroica* Symphonies share triadic opening themes, a striking turn to a diminished-7th chord early on, and themes that are more dissoluble motivic complexes than monolithic melodic entities. The *Rhenish* thus memorializes the *Eroica* both directly and through the prism of Schumann's earlier *Eroica*-esque confection.

This intertextual web arouses the suspicion that the *Rhenish* may have more than a little to do with memory (the idea or, better, quality of it). Then there is Schumann's own fascination with the trope of memory, as expressed, for example, in his review of Schubert's Impromptus, D. 935 (op. 142) in the December 14, 1838 issue of *Neue Zeitschrift für Musik*. In it, he describes the piece as "one more beautiful memory [*Erinnerung*] of Schubert." Daverio construes this phrase as referring to the representation of memory *within* Schubert's work—the memory of the sonata as a multimovement genre and as a single-movement form. Schumann fancies the first, second, and fourth Impromptus a relic of the complete multimovement genre: no. 1 approximates a first-movement sonata form, no. 2 a second movement, and no. 4 a Finale. The first "movement was conceived in an hour of suffering, as if musing on the past" (Schumann 1838, 192–93). It looks back to a lost whole, so to speak, presumably in lacking a development section and in following PT, TR, and ST with an episodic closing section, which Daverio characterizes as a "dialogue without words," one "difficult to square with the conventional paradigm" of sonata form (2000, 608).

The *Rhenish* evinces a past-oriented, Schubertian sensibility not just in its genesis but in its particulars as well. The last two movements rehash the key

of B major, which arises initially in the first movement. Yet, such rehashing is in the service of a discernible telos. In demonstrating that, we will also demonstrate that Schumann's past-orientation is not only compatible with but, indeed, at one with his goal-orientation—similar to how Schubert's Trio, in our interpretation, fuses past and present.[49]

The exposition of the first movement (follow Example 3.11) serves up a primary theme that, at the start, is as tonally consonant (diatonic) as it is metrically dissonant (replete with hemiolas); the theme in its exuberance catapults over the B♭5 *Kopfton* to C6 by means of a perfect 4th (m. 3)—an inversion of that which opens the piece. As if to temper such exuberance, the bass steps down in lament-like fashion; in mm. 7–8 the melody also becomes more sober, desisting from its hemiolic throbbing. Also, while fragmenting the 4th-motive, it augments it (m. 11), in the process brushing against none other than C♭. But then the melody reclaims its jubilance by regaining the C6 neighbor (m. 15), nipping C♭ in the bud (not liking what it portends). The C is additionally affirmed in being slightly enlarged relative to mm. 3–4. In mm. 16–17, the bass climbs a 4th, thus affording an otherwise generic cadence motivic specificity.

As the theme restarts, we expect a consequent phrase to what we now assume was a grand antecedent, but it soon veers off into another thematic idea—one that is largely contrasting but also, on close inspection, flecked with motivic 4ths. (Are we now in the midst of a transition, since the harmony is sequential and the tonality unstable?) The C reencountered in mm. 23 and 31 is no neighbor to B♭, as it was in its melodic incarnation; instead, it ascends to D in the service of tonicizing G minor. Yet, no sooner is G minor broached in m. 27 than an E♭ chord appears (m. 29), where it serves as a problematic (♭)VI in the local key. (One might imagine that the tonic chord/key has, for whatever reason, temporarily taken on the identity of its nemesis.) The chord is problematic in that, especially since it is tonicized, the listener readily relates it to the E-flat home key just (ostensibly) left behind. Note, the E♭ chords of the tonic and mediant sections relate motivically or associatively, not prolongationally—the E-flat chords nested within the mediant key are not iterations of the tonic *Stufe* (Smith 2011). Still, such paradigmatic cross-reference obscures G's tonicity (if mildly). E♭'s problematic nature is advertised in mm. 33–34, where E♭5, as the 9th of a V⁹ chord, dissonates irritably against the bass's D.

When the opening phrase and theme return at m. 57, we realize that mm. 21–56, which we initially presumed a consequent (due to the thematic repetition), then a transition (due to the tonal flux), turn out to form a contrasting middle section within the small ternary that is PT. When that contrasting material returns at m. 77, it makes good on its former transitional leanings, but now it departs from a C-minor rather than G-minor triad. That new trailhead puts us on a path clear of E-flat triads, which previously attenuated G by associating with tonic. E-flat's relenting is confirmed at m. 84, where

Example 3.11 Analytical Sketch of Schumann, Symphony no. 3 in E-flat, op. 97 (*Rhenish*), Mvt. 1

This might be taken for the retransitional dominant but, per Suurpää (2005, 77), it is counter-intuitive to view the E♭ minor triad at m. 245 as subordinate to the preceding B♭ triad. Hence, the latter is no retransitional dominant, even if it generates anticipation for one.

G impedes B-flat's tonic aspirations by associating with its former self (just as G was similarly impeded by E-flat)

Example 3.11 (Continued)

Example 3.12 Tonal Overview of Schumann, op. 97

an E♭ bass supports a German augmented-6th rather than a consonant triad; E-flat thus no longer consorts with the tonic *Stufe* and competes with G for tonicity.[50]

The motivic 4th is compressed in mm. 87–94 to a 3rd, from which it is regenerated for the start of ST. The closing gesture of the compound basic idea (CBI)—D–A–B♭–G—plants a seed for *Feierlich*'s incipit, which quasi-inverts it. (One can locate an even earlier seed in m. 25, as disclosed in Example 3.14.) These two passages share an air of discontent: witness CBI's sighs of resignation, the pangs of the (♭)6̂–5̂ motive, and also the tonal tentativeness—the CBI is built on an auxiliary cadence (in Schenkerian parlance). And even when the (local) tonic belatedly appears (at m. 97), it does not truly resolve the plaintive dominant but is more subposed beneath it—V persists in the upper voices. Put differently, the G in the bass of mm. 97–100 is a mere anticipation of its genuine arrival in mm. 101–02. Such intransigence of the dominant will prove to be a main structural conceit of this movement.[51]

Even as the music starts to wend its way into V (B-flat) with V/V at m. 135, G minor appears, tonicized (mm. 151–52). Recall that when G minor was first trying to secure a foothold (starting at m. 27), E-flat intruded, its association with the previous E-flat *Stufe* blurring tonal boundaries. Just so, G minor in m. 152 interferes with B-flat's foothold, and by the same associative shenanigans. In both cases, the submediant-relation is the problem. Note, E♭ in the context of G minor is the ♭-submediant, while G minor in the context of B-flat is the ♮-submediant.[52] Yet, Schumann treats them in parallel ways, such that they are comparably problematic.

At m. 281, midway through the development, the ♭-submediant is enharmonicized as B major (Example 3.13). B arises as the local (and enharmonic) relative major of the A-flat minor at m. 273. It returns to the home key via the dominant at m. 303; in retrospect, at least, B7 is a thinly disguised C♭, German augmented-6th in E-flat. B major in this section is an enharmonic proxy for ♭SM.

The retransitional dominant arrives at m. 365, right before the *Eroica*-evoking horn fanfare. Yet, Schumann departs from that formidable precursor in holding fast to the V through the recapitulation's onset, such that PT sounds over a cadential $^6_4$.[53] (The result, for Suurpää 2005, is an undivided *Ursatz*.) This, according to Suurpää 2005, enables a large-scale neighbor motion of B♭–C–B♭ across mm. 411–97 (see Example 3.11); that configuration is plausibly a diatonic corrective to the C♭/B♮ with which the development had grappled. And perhaps even more important than C♮ correcting C♭, is the sheer emphasis on $\hat{5}$. By appearing in the bass at this crucial, recapitulatory juncture, $\hat{5}$ is marked for special attention and significance; it invites one to read it as extinguishing its neighbor-note antagonist, whether in ♮ or ♭ form.

If that maneuver rights one imbalance by asserting the primacy of $\hat{5}$ over $\hat{6}$, it creates another by delaying the tonic affirmation that is a recapitulation's *raison d'être*. Even the appearance of E-flat within the transposed secondary key of C minor—as a local relative major that relates associatively to the tonic *Stufe*—paradoxically serves to defer the arrival of the true, structural tonic. And though the latter arrives in m. 527, the *Kopfton* persists (per Suurpää 2005), not descending to $\hat{4}$–$\hat{3}$ until mm. 534–35 and to $\hat{2}$–$\hat{1}$ until mm. 570–71. The sense of resolution is thus considerably dispersed across the entirety of the recapitulation and attenuated for that; consequently, the structural momentum carries over into subsequent movements.

The next two movements reside in C and A-flat, respectively. Do the first three movements, then, describe a descending A♭-major triad: E♭–C–A♭? That reading places undue weight on A-flat. Moreover, the first movement supplies a clue for parsing those key relations. There, as we have seen, no sooner does one key try to attain *terra firma* than the previous key intrudes as the local submediant: over the three-key exposition, E-flat insinuates itself into G minor as a ♭-submediant, G minor into B-flat as a ♮-submediant. Accordingly, we read the second movement's C as a ♮-submediant of the first movement's E-flat. On this view, the second movement continues to demote, writ large, the ♭-submediant (C♭/B) by its diatonic antipode (C♮), just as happened within the first movement itself (in the recapitulation). Indeed, the second movement wears that function on its sleeve, since its theme sports its *own* ♮-submediant (A) (Example 3.12). Tension returns in the third movement, whose A-flat is the ♭-submediant in relation to C. That movement also wears that function on its sleeve (if briefly) by highlighting C-flat major within the context of E-flat, its dominant key (mm. 11–13).

Such tension bleeds into *Feierlich*, given its minor mode and the lugubrious syncopations and diminished 4th of the opening theme. In contrast, the coda

Example 3.13 Three B-major Themes in op. 97:
  (A) Mvt. 1: mm. 281–285;
  (B) Mvt. 4: mm. 52–60;
  (C) Mvt. 5: mm. 130 (pickup)–37

features a brilliant fanfare in B major that might have made Wagner (though not exactly a die-hard Schumannian) swoon. (Example 3.13b examines it.) B is sharply distinct from its submediant sibling. For one, the passage is separated from the tonal mainland by the caesura at m. 52, beat 2; there is not even a pretense here of diatonic transition (no applied dominant, for example, as Schubert is prone to provide). Then again, within the phrase, Schumann takes pains to convert B into C♭, the latter anchoring an Italian augmented-6th chord, which leads smoothly back into E-flat minor. Hence, if m. 52 leaves the home key with paratactic separation, m. 54 reenters it with syntactic connection. The next phrase, however, is more problematic: B major again arises as a harmonic non sequitur and now, additionally, the home-key reentry is not as clear-cut: the passage tonicizes B's IV, which then retrospectively and enharmonically pivots as E-flat's Neapolitan. That maneuver precludes any direct connection between B♮ and B♭ in the bass, and between the keys of B and E-flat minor; m. 59 breaks up what would have sounded like a German augmented-6th–V⁷ in E-flat had m. 58 progressed directly to m. 60. Measure 59 delimits a liminal space between the two key centers, a space in which the keys seep into each other and in which neither decorates the other. If only for a moment, B and E-flat are parallel tonal universes; B is somewhat autonomous vis-à-vis E-flat.

What might such tonal autonomy signify? Consider that this tonal incongruity is paired with a topical one: the B-major pomp and circumstance starkly counters the churchly E-flat-minor music. That fanfare might be construed in spiritual terms, either attesting to the grandiloquence of the Cardinal being feted, or, less concretely, signifying some sort of religious realization (the precipitous mediant-drop in m. 52 certainly has an epiphanic quality). But a contrary interpretation is possible: perhaps the passage by its fanfare signals heroic subjectivity, dauntless individualism in defiance of ecclesiastical conformity, a secular agent seeking independence from religious authority. The Finale's B-major fanfare (Example 3.13c) achieves this more fully, for, in contrast with *Feierlich*, B here does not follow on the heels of E-flat; it does not even arise in its vicinity—E-flat had not been a firm tonic since m. 107, and thereafter the tonal center is in flux. Nor is B straightforwardly resorbed by E-flat; rather, B's dominant makes hexatonic contact with E-flat's, as shown in the example. Hence, B is now fairly unfettered, unconcerned with how it relates to E-flat. (Its independence is not permanent, however: first, the B fanfare is restated in the tonic in mm. 150–53; second, in B's final appearance, 8 measures from the end, Schumann relegates B♮ to a mere passing tone between B♭ and E♭.⁵⁴)

Indeed, the Finale largely sheds religious connotations from the start. Notice that the severity of *Feierlich*'s *Urmotiv* is softened in the Finale (see Example 3.14). Measure 29, for instance, though demonstrably derived from *Feierlich*'s incipit, divests it of its solemn, churchly features—the syncopation and diminished 4th. Of course, it is also quicker and *staccato* and thus more dance-like and sensuous. Likewise, mm. 104ff. are based on *Feierlich*'s m. 23 but are more buoyant and bubbly. In the Finale, the church music no longer

Example 3.14 A Motivic Network across op. 97[56]

exerts authority over the heroic music, just as E-flat, at least for a spell, does not exert authority over B major.

But a more nuanced interpretation beckons. Listening to mm. 104–37 and onward, it is easy to hear the underlying triadic affinity between the transformed church motive and the B-major fanfare (both captured in the bottom box of Example 3.14) because, given the brisk tempo, they are fairly close together, and they also have similarly outgoing demeanors. The motives' temporal and affective proximity helps us detect their melodic-structural similarity. Upon such detection, one might then be inclined to revisit *Feierlich* and to notice the similar melodic morphology between *its* E-flat and B themes (see the left-hand box). The Finale, in other words, actualizes the latent similarity between those two motives, and, by extension, between their respective secular and sacred registers, and also, by implication, between their respective keys of B major and E-flat minor. Perhaps, then, a humanist impulse has been latent in that sacred music from the start. Maybe Schumann is saying that the beatific and earth-bound, the transcendent and tangible (material, corporeal) are not diametrically opposed but, on the contrary, two sides of the same coin.
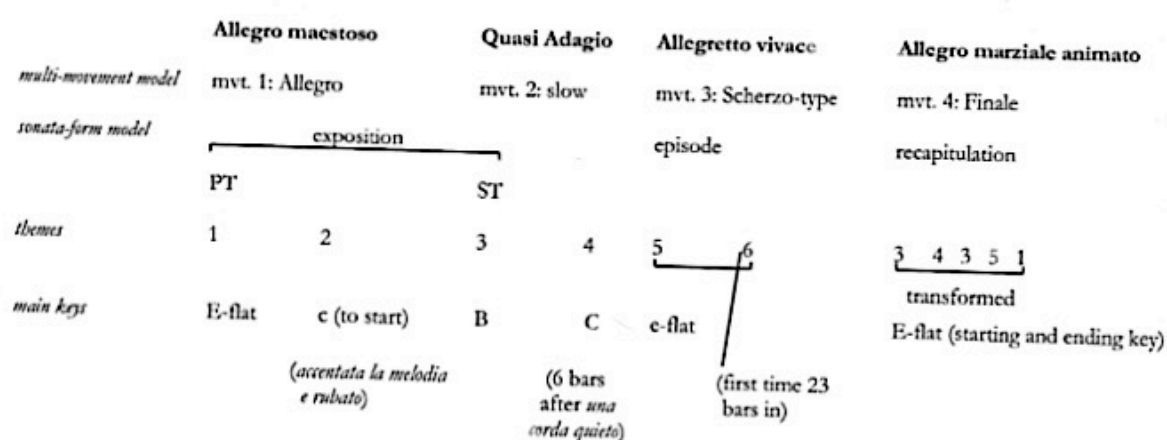
(On the above view, the *Rhenish* stands in contrast to other works by Schumann that are *either* more sacred *or* more secular in the final analysis. An example of the former is Schumann's Symphony no. 2 in C, op. 61, which, as Daverio conceives it, ultimately affirms the divine, its affective trajectory leading from the secular to the sacred [Daverio 1997, 320; also see Newcomb 1984a, 240–47]. An example of the latter is Schumann's *Liederkreis*, op. 39. As Taylor explains, "For the Roman Catholic Eichendorff, it is only in religion that [one can] find a stable sense of self" and a sense of peace. "Here Schumann and Eichendorff part company. Schumann's cycle does not propose religion as a solution, but ends in the personal ecstasy of the promise of romantic love" [2017, 219–20]. This is borne out by Patrick McCreless's (1986) contention that Schumann published the songs in a different order from that in which he composed them in order to offer a more optimistic view of love and marriage than did the first version, perhaps on account of his own impending nuptials. This view is most evident in "Auf einer Burg" being the final song in the first version, the incomparably more joyful "Frühlingsnacht" the final song in the final version.)

In summary, we have crossed three hermeneutic thresholds: (a) in the first movement, we surmised that B was a tonal *problem*; (b) in *Feierlich*, with its ecclesiastical environs and its more paratactic treatment of B, we came to see in B's quest the progressive *emancipation* of a secular subject; and (c) the Finale amplified B's tonal autonomy but, in bringing the *Feierlich* and fanfare motives into greater proximity, it also intimated *reconciliation* between the sacred and secular. The problem with which the piece began, then, was not so much expunged as obviated—B was gradually revealed to be significant in its own right. Again, B does eventually succumb to E-flat, but their brief detente powerfully (if fleetingly) symbolizes the prospect of encountering the mystical in material form.

As with the recollection in Schubert's Trio Finale, that in Schumann's Finale does not look to the past wistfully, as if wanting merely to recapture it in its purity—as does, for example, the idyllic recall of the opening theme just before the Finale of Beethoven's Piano Sonata in A, op. 101 (see Sisman 2000). Rather, it looks to the past in order to arrive at a deeper understanding of it, to actualize its potentialities. The Finale remembers *Feierlich* in order to transform it, to illuminate the compatibility of seeming motivic, tonal, and conceptual opposites—a compatibility that, it turns out, was always there. In the end, then, the *Rhenish* marries memory and teleology.

To that extent, one might offer an alternate narrative for the *Rhenish*, an historiographical one. Briefly, as Benedict Taylor lucidly explains, cyclicity in the Romantic period arose in part from disillusionment with Enlightenment progress, from world-weariness attending the aftermath of the French Revolution, with the Terror and the Napoleonic Wars. With these events grew a belief that progress toward a political utopia could never be achieved in a straight line but only by returning to the past—to the glories of ancient Greece, for example—and by reforming that past in light of the present, for the sake of a brighter future. Cyclical works, in Taylor's words, thus "intrinsically demonstrate the presence of the past within the present" (2011, 26) and the need to understand one's present in light of what led up to it; that understanding, in turn, is something to pin utopian hope to. "A fundamental point of the Romantic conception of cyclicism is that a return to something past may be yet part of an onward, teleological trajectory" (ibid., 40).

The early- to mid-nineteenth century saw a peculiar sort of musical bifurcation, two antipodal trends. One was toward marked abstraction: the work concept, the metaphysics and Hanslickian formalism subtending it, and the *Werktreue* notion stemming from it. The other was toward marked materiality: virtuosity

	Allegro maestoso		Quasi Adagio	Allegretto vivace	Allegro marziale animato
multi-movement model	mvt. 1: Allegro		mvt. 2: slow	mvt. 3: Scherzo-type	mvt. 4: Finale
sonata-form model	exposition			episode	recapitulation
	PT		ST		
themes	1	2	3 4	5 6	3 4 3 5 1
main keys	E-flat	c (to start)	B C	e-flat	transformed E-flat (starting and ending key)
		(*accentata la melodia e rubato*)	(6 bars after *una corda quieto*)	(first time 23 bars in)	

Example 3.15 Liszt, Piano Concerto no. 1 in E-flat: Formal, Thematic, and Tonal Overview

and performance for its own sake. No sooner did the ideal of the autonomous musical work emerge than did the ideal of autonomous performance vis-à-vis the work. Perhaps it is not so peculiar after all that the work concept would have spawned something resistant to its Platonist pretensions: unmediated, unapologetic physicality. As Jim Samson states,

> early-nineteenth-century pianistic culture was in a special sense a performance culture, in that it was centered on ... the *act* of performance rather more than the *object* of performance, which was [often] the musical work ... the listener would be encouraged to ... appreciate a sensuous or brilliant surface ... communicated by the performer rather than to search out a form of knowledge embedded ... in sound structures by the composer.
>
> (2000, 112, our emphases)[55]

These contrasting but complementary tendencies permeate Liszt's Piano Concerto no. 1 in E-flat (1849, revised up to 1856). On the one hand, its "workness," for lack of a better term, is bolstered by being symphonic, the symphony (of the late-eighteenth-century) being one of the primary genres on which the work concept arose. Its ample and distinctive orchestration, and also evocations of Beethoven's Fifth Symphony (in the opening peremptory, caesura-studded motto), *Eroica* Symphony (in its key), and *Emperor* Concerto (in its key and early interjection of the soloist)—all bespeak a grandeur of compositional conception.[57] On the other hand, it exudes autonomous performativity in the piano's pyrotechnics and also in the piano's extemporaneous-sounding flights of figuration that have little to do with thematic through lines (see, for instance, the *slargando* passages). The unabashed technical and fantasy-like indulgences point to work-indifferent immediacy, to materiality unconcerned with relaying compositional ideas.[58]

Does Liszt's Concerto find some rapprochement between these two extremes? To answer that question, we must first take stock of how the piece is structured.

The concerto, like Schubert's *Wanderer* Fantasy on which it was likely modeled, features both formal continuity and motivic/thematic connections across movements. As a result of the transitions leading from the second movement to the third and the third to the fourth, the four movements merge into a single overarching one; as shown in Example 3.15, the Allegro, slow movement, Scherzo-type movement, and Finale are recast as sections of a single sonata-form movement.[59] The themes, meanwhile, are interrelated—for instance, uneven, march-like rhythms lie at the heart of both Themes 1 and 3 (more on which later); in addition, several themes are transformed in the Finale. Indeed, Liszt, who coined the term "thematic transformation" (*thematische Verwandlung*), seems to have correlated it specifically with concluding movements, with rounding-off responsibilities. By such linear connections (transitions) and thematic associations, the concerto evinces the Goethean organicism that was intellectually paramount at the time. Finally, E-flat and

B are integral to the tonal architecture (see the bottom row of Example 3.15); in fact, B replaces the B-flat dominant as the secondary key, as it were, of the broader sonata structure.

The four movements-in-one conceit, thematic transformation, and E-flat/ B axis collectively create a *sui generis* structure that, in turn, betrays an individualistic compositional agency in relation to the Beethovenian music that by 1847 had taken on an aura of objectivity and institutional validity (Taruskin 2010a, 287). Thus, even as the Concerto alludes to some paradigmatic works of Beethoven, it deforms their norms, indicating a unique creative voice or compositional niche. In relation to the Classical forms that had become generalized and canonized, Liszt's Concerto is decidedly particular and novel. Such particularity is arguably performative, since it hinges on self-referential displays of compositional prowess, especially as regards thematic permutations and the ingenious use of chromaticism. In short, "a composition was a performance for Liszt" (Rosen 1995, 517), and, of the First Concerto in particular, Taruskin insists that virtuosity applies not just to the playing but to the composing as well (2010a, 285).

Yet, in other, more specific respects, the Concerto stakes out a meeting ground where performative particularity and work-oriented generality collide.

Consider thematic transformation. From one perspective, it is a performative technique *par excellence*. Charles Rosen explains that, as a composer, Liszt decked out a theme with different harmonic, metric-rhythmic, and textural garb, just as he was known, while extemporizing at the piano, to deck out preexisting music with different styles and pianistic idioms. That practice found its way into his compositions most obviously in the trademark paraphrases and opera fantasies, such as *Réminiscences de Don Juan*, which metamorphose the original material not by *developing* it but by *enveloping* it in numerous sonorities and textures, and by subjecting it to ingenious pianistic machinations. In his more abstract works, such as the First Piano Concerto and the Piano Sonata, Liszt's treatment of themes reflects his paraphrastic treatment of preexisting material; he represents them in various pianistic guises. In all these cases, what is paramount, Rosen insists, is not the content or even quality of the material per se but its pianistic accoutrements. Liszt's goal was evidently not to unpack that material, to shed light on what it (supposedly) *is*, but to continually repackage it to show the various ways it *could be*. In short, thematic transformation is in one sense a performative technique through and through.

Yet, if thematic transformation renders composing performative, so, in a way, does it render performativity compositional. In the Concerto, the performance-based technique of thematic transformation is pressed into the service of a conventional formal design: four of the six themes are transformed in the Finale precisely to render it recapitulation-like, to furnish formal closure. Hence, the concerto's performative particularity is hardly unfettered—it still answers to external, traditional norms.[60] Thematic transformation is where/how work-ness and performance intersect. That compositional technique is rooted in performance, and such performativity feeds back into compositional structure.

If in Liszt's age work and performance formed a prominent musical binarism, one of the ideal/real variety, so Lisztian performance encompassed its own similar binarism—that between inner refined, ethereal, even spiritualized sentiment and external pianistic prowess or coarse physicality.

That Liszt was invested in synthesizing these poles has been recently demonstrated by J. Q. Davies (2014). He recounts Liszt's "makeover" moment—Paris, 1832—where he refashioned his technique, pounding his hands into submission through hours of octaves-drills. He was aiming, in essence, to render his hands lifeless—hence his locution, "la main morte" ("the dead hand")—so they bent to his will. That is, the main vehicle of execution was no longer the fingers or the entire hand but the wrist and arm that controlled them and, even more, the player's inclinations and intentions. In pedagogy, as well, Liszt sought to address students in "less digital ways: beyond instruments, scores, their own fingers, and even music ... Rather, pupil and teacher would now seek transformative experiences." At issue was not the student's manual dexterity or technical prowess as such but her "desires, drives, instincts, intentions, volition" (Davies 2014, 159). Thus, "Liszt began to treat not so much the hands of his students as their souls" (ibid., 172). Also telling is that, in performance, Liszt reportedly routinely stared off into space, as if eyeing the spiritual plane to which his physical exertions gave him access.[61] (Of course, his penchant for the transcendental eventually assumed downright devotional form in the taking of Holy Orders.) No passage in the concerto is likely to be more indicative and demanding of "dead hands" than that with which the pianist enters (see the score). The leaps are so daunting that the soloist has little choice but to leave her hands lifeless, at the mercy of the wrist and arm, which ideally throw them around like dead weight,[62] and, even more, at the mercy of her sheer will, intention, and determination.

In Liszt's "makeover," then, Davies locates a locus of musical transcendentalism, where Liszt framed music as metaphysical, which hinged on triumphing over physical challenges and the body itself. Romantic lore came to equate such metaphysics with suppressing "the shameful work of [the] hands"; indeed, it came to deny the very "fact of handedness itself" (Davies 2014, 159). But, in Liszt's conception of performance, the somatic was a *sine qua non* of any music-expressive or -philosophical end; the physical was indispensable for accessing the transcendental. Put plainly, the only way beyond the hands was through them.

Does the Concerto itself give any indication of such a synthesis between brute physicality and rarefied sensitivity? In our view, it does, albeit temporarily—just as the *Rhenish*'s reconciliation of the comparable secular/sacred duality was as transient as it was powerful.

The opening, in E-flat, is heroic, even bellicose. Theme 2, a rendezvous between piano and clarinet, is amorous. Such erotic tenderness is more amply explored in the Quasi Adagio, where it comes to be associated with B major. That theme (3), as a variant of the opening motto, exposes its softer underbelly. The first movement's peroration (*un poco marc.*) prepares for Theme 3

both emotionally and tonally: first, it makes the motto less severe—the motto now tails off into dreamy chromatic cascades. Second, Liszt notates the piano in B, over against the orchestra's E-flat. (The piano's *de facto* key is D-sharp major, which Liszt generates by adding accidentals $E_\sharp$, $B_\sharp$, F_x, and C_x where appropriate.) Such a juxtaposition creates a visual image in the score of a liminal space in which the two keys permeate each other, in which the second movement's B bleeds out of the first movement's E-flat. The liminality is emotional as well: here the tenderhearted, associated with B, seeps into and dissipates the aggressive, associated with E-flat.[63] Hence, while there is no overt transition between the first two movements as there are between the other pairs, there is tonal and emotional preparation. That continuity, along with the motivic commonality between Themes 1 and 3, points to the opposing moods belonging to a single persona or protagonist.[64]

The Janus-faced protagonist thus has a malevolent, predatorial side, as signified by the imposing motto, but also a softer, more empathic side, as signified by Theme 3. The story, in other words, is about two kinds of desire, one more oppressive, the other more connective; one is about pursuing the object of one's affection, the other is about relating to her tenderly, perhaps platonically. The former aspect is consistent with Liszt's "international reputation for erotic conquest" (Rosen 1995, 539), the latter with his spiritual proclivities.

The Allegretto vivace, in its Mendelssohnian mischievousness, conjures up an image of the pursuer disguising himself as part of some ploy to earn the beloved's favor. Indeed, this theme is a covert variant of Theme 2 (Example 3.16), even as it will itself be (lightly) disguised in the Finale. For good measure, the piano's opening dresses the triple meter in a duple guise (see the dotted bar lines). Does such elfin impishness suggest a kind of emotional middleground between the extremes of aggression and introspection? Possibly, but more sincere emotional reconciliation—love that is neither purely external and acquisitional nor internal and ideational—will have to wait for the Finale.

Here the Nocturne-like Theme 3 returns, transmogrified as a quasi-march (Example 3.17), which, along the affective continuum, stands midway between

* transposed to C minor for ease of comparison

Example 3.16 A Thematic Disguise

Example 3.17 A Thematic Mediation

the exquisite delicacy of Theme 3 and the belligerence of the motto. What was ruminative and interior is made more active and demonstrable, yet, with its military decorum, exhibiting due restraint. The private, delicate feeling assumes a form that is public without being predatory. The transformed theme effects rapprochement not only between the characters of Themes 1 and 3 but between their musical substance as well: in accelerating the tempo and also in increasing the rhythmic unevenness of Theme 3, it retroactively exposes the latent affinity of that theme to Theme 1 (Example 3.17). Liszt hints that what seemed like starkly opposed aspects of the protagonist's character are in fact part of an emotional continuum; in other words, the Finale does the protagonist the service of treating him three-dimensionally, if not for which he might have come across as something of a caricature. It would have been Liszt the commanding, gesticulating pianist; Liszt the beatific, contemplative pianist (see n61); and nothing in between.

Thus, the thematic process does seem to entail some synthesis between these dualistic aspects of the protagonist's (and likely Liszt's own) constitution. The keys follow suit: in the transposition of B-major material there is less about B being subordinated to E-flat than about being reconciled with it. Yet, B later returns, where Liszt makes more a point of liquidating it, excising it in favor of E-flat. It first reappears with transformed Theme 4 and is the byproduct of a chain of transformations—most globally, P-L (Example 3.18). Then it resolves to a cadential $^6_4$ in E-flat, retrospectively functioning as a ♭VI (indeed, as a German augmented-6th, due to the last-minute A♮). Hence, though approached hexatonically, B is ultimately diatonicized. When the transformed Theme 3 returns (3a′), B major is recast as the dominant of E minor (in which

Example 3.18 Analytical Graph of Finale (Allegro marziale animato)[65]

Theme 5 is transformed), a minor Neapolitan in E-flat. We hear B as relating to the following E rather than to the previous E♭, such that the E♭–B interval, at least in retrospect, is inoperative or "dead" (to invoke Hugo Riemann's term). B no longer stands in E-flat's direct path. Hence, this passage clears away B so that the structural dominant (the first in the entire work) has a place to land. Liszt affirms the triumph of E-flat over B with a valedictory statement of the motto that now avoids repeating the D♭, so as to emphatically end on B♭ instead of B♮ (Example 3.18).

To the extent that B has been aligned with the protagonist's more reflective side, his higher sentiments, its annihilation suggests that the protagonist is ultimately unable to nourish and sustain the more noble (platonic, empathic) side of his romantic quest. That his concupiscent side has the last word is evident thematically as well: though the motto at *Alla breve* is liquidated and lyricized, the home stretch is ablaze with double octaves, including some in treacherous contrary motion. If these mandate dead hands, it is doubtful in this case they summon a spiritual plane or our protagonist's better angels, the pious plagal gestures at the end notwithstanding.

3.5 The *Faust* Cluster

Here we briefly consider two works that treat Goethe's *Faust*: Hector Berlioz's *La Damnation de Faust* (composed 1845, premiered 1846) and Charles Gounod's *Faust* (1859). Whereas Gounod's work is a full-fledged opera, Berlioz's is, as he termed it, a "légende dramatique." It is nonetheless similar to an opera in genre and scale and is sometimes performed as one.[66] Both works thematize E-flat and B and in strikingly similar ways.

Throughout *La Damnation*, Berlioz associates B with Mephistopheles's supernatural power over Marguerite. That association is first forged in Scene 11

(which is not in Goethe's original play). Just before, Faust and Mephistopheles had broken into Marguerite's empty bedroom, where Faust sings of his desire for her. Hearing her approach, they hide behind a curtain. Marguerite enters, underscored by an uneasy, undulating semitone-motive in C minor. As the recitative begins, her thoughts are inchoate, her declamation halting and fragmentary: "Que l'air est étouffant! J'ai peur comme une enfant! ("The air is stifling! I have the fear of a child!") Where Faust had just sung of the "pure air" in her bedroom—he has evidently become acclimated to his demonic companion—Marguerite experiences that same air as suffocating—she is made queasy by the demonic presence she intuits.

Marguerite is unnerved not only by the ominous ambiance but also by her dream of the previous night, a vision of Faust. (That was likely Mephistopheles's doing, since, in Scene 7, he had similarly injected a vision of Marguerite into Faust's sleep.) Marguerite recounts her reverie in the second half of the recitative (Example 3.19):

En songe je l'ai vu …	In dreams I saw him …
lui, mon futur amant.	Him, my future love.
Qu'il était beau!	That he was beautiful!
Dieu! J'étais tant aimée	God! I was so loved
Et combien je l'aimais!	And how I loved him!
Nous verrons-nous jamais	Will we ever see each other
Dans cette vie? Folie!	In this life? Folly!

Where she exclaims, "God! I was so loved," Berlioz gives her a more continuous, arioso line, allowing her to luxuriate in the imagined passion; that culminates in, "And how I loved him!", which reinstates the recitative. With that and an agitated flourish in the violins, her delusion (her redreaming the dream) begins to dissipate, and she ultimately dismisses it as mere "folly."

Berlioz deftly deploys E-flat and B to paint these psychological shifts. As Marguerite starts to narrate her dream, Berlioz leaves the diatonic clarity of C minor/major behind and enters a hexatonic haze, as the example illustrates. Not only is E-flat en route, via P-L, to B, but that route is itself obfuscated, both melodically and harmonically: melodically, B–D♯ on "En songe … vu" delineates B (at least visually) even as the harmony turns to E-flat; there is thus dream-like liminality between the two keys (exactly as in the end of Liszt's first movement). Harmonically, B is deferred by its own elongated dominant. Importantly, when B does arrive, it is on the heels of "Qu'il était beau!," the moment where the dream's alternate reality is most palpable. B major is most explicit where Marguerite's consciousness is most altered (or where she recounts it having been so). That tonal certitude, moreover, coincides with melodic linearity, as mentioned. Then, where the spell starts to evaporate at "et combien," we enter another nebulous region where, even as the music moves

Example 3.19 Berlioz, *La Damnation de Faust*, Scene 11, Last Part of Marguerite's Recitative

toward E-flat, B lingers. When E-flat finally materializes, it is minor (spelled as D♯ minor), as befits "Folie."

The association between B and Marguerite's altered consciousness, or Mephistopheles's manipulation of Marguerite, is also evident in the next scene, where Mephistopheles conjures will-o'-the-wisps in order to bring Marguerite under Faust's seductive spell and to ensure that she will not remain a virgin: "Tu peux bien entrer fille, mais non fille en sortir" ("You can well enter [your house] a maiden but not leave it as a maiden"). The music is an incantatory waltz, complete with a hypnotic *pizzicato* ostinato. Faust emerges from behind the curtain, at which point, under Mephistopheles's charms, he and Marguerite sing a passionate duet largely in E with periodic chromatic diversions. B comes into special focus when Marguerite muses, "Je ne sais quelle ivresse dans ses bras me conduit!" ("I do not know what drunkenness leads me into his arms!"), referring to Faust's (or Mephistopheles's) Svengali-like sway over her.

B is then mostly absent until Part IV. By this juncture, Marguerite has been imprisoned. Faust implores Mephistopheles to take him to her. They embark on horseback, but as the forest becomes increasingly phantasmagoric, Faust realizes that Mephistopheles is rushing him not to Marguerite but into hell. In "Pandaemonium" of Scene 19, Faust plummets into the fiery abyss, where creatures of the underworld revel in Mephistopheles's triumph and Faust's demise. The tonality sealing Faust's fate is B major, the key by which Marguerite was seduced. Such identity suggests that it was precisely Faust's blind lust and obsessive need to possess Marguerite that destroyed him in the end. Like Orpheus, Faust has bent the laws of nature and has harnessed the supernatural to be with his beloved; Faust's quest, however, has no nobility. Whereas Orpheus truly loves Eurydice, Faust's fixation with Marguerite is largely sexual, self-indulgent, and predatory (as our Lisztian protagonist proved to be).

E-flat makes its most notable appearance in Scene 20, where it welcomes Marguerite into heaven. Since this key is aligned with Marguerite's salvation, it makes sense it has been largely absent until now. Throughout the work, Marguerite has been steeped in Mephistopheles's infernal aura. Now, with Faust dispatched to hell (and Mephistopheles along with him), the gates of heaven, and of E-flat, are finally open. E-flat thus transcends B and its dastardly dealings.

In No. 2 of Gounod's opera, Faust summons Mephistopheles ("À moi, Satan!"). The key is F major, and Mephistopheles obliges with a "Me voici!" in B (note the *diabolus-in-musica* relation). B is forthwith enharmonicized as C♭, which supports an Italian augmented-6th in E-flat major. In that key's tonicized dominant, Mephistopheles goads Faust: "Doutes-tu de ma puissance? ('Do you doubt my power [to aid you]?'"). At that point, as though to prove his *puissance*, Mephistopheles slides B-flat directly into B (at "Fi!"). Later, in G, Faust pines for sensual pleasure; in response, Mephistopheles conjures up (in

B, en route to E) a mirage of Marguerite at the spinning wheel. This scene thus forges a close connection between B and Mephistopheles's supernatural prowess.

Later on, Marguerite's brother Valentine tells his friend Wagner[67] that he is loath to leave Marguerite behind because she is vulnerable; their mother has died and he is her only kin, the sole person who can safeguard her chastity. Valentine then intones a prayer of protection in E-flat. Throughout the opera, that key returns whenever Marguerite's innocence is threatened. For instance, in No. 7, Mephistopheles and Faust arrive at Marguerite's garden to seduce her. A recitative ends in E-flat, the dominant of No. 8, in A-flat. E-flat can be taken to symbolize Marguerite being temporarily insulated from harm, safe inside her house, even as, in No. 8, Faust skulks outside, singing an ode to her innocence ("Salut! Demeure chaste et pure"). (Ironically, what Faust finds so compelling about her is precisely what he aims to desecrate.) For good measure, Gounod inflects that E-flat plagally, in benedictory fashion.

Then, as part of his seductive ploy, Mephistopheles leaves at Marguerite's doorstep a box containing exquisite jewelry and a hand mirror. Marguerite dons the jewels, admiring herself in the mirror, heady with hedonistic delight (the famous "Jewel Song"). But, since she is chaste to the core, her delight is uncharacteristic, a fact she acknowledges by asking her reflection, "Marguerite, Est-ce toi? Réponds-moi! Non! ce n'est plus toi! (Marguerite, is it you? Reply! No! It is not you!"). Her claim to not recognize her bedazzled self, while coy on the surface, is more deeply an indication that she is too self-aware to be entirely vulnerable to Mephistopheles's manipulations, that the attempted seduction has not been entirely successful. Perhaps it has been mitigated by Valentine's prayer, a reading borne out by the unexpected interjections of E-flat in this E-major aria (see Example 3.20). Of relevance is not only E-flat's symbolic import but also its niche in this tonal context. It incites (or is incited by) a hexatonic digression, which perforates prolongational continuity (as analyzed in the example). The slippage into an alternate tonal system (underscored by the *subito piano*) likely signifies a shift in psychological register, an awareness that she is being lured and her resistance to being so. The onset of B in m. 27 is significant since, here and throughout the opera, it symbolizes seduction and delusion. The juxtaposition of E-flat and E/B, then, speaks to a tug-of-war between Marguerite knowing herself and losing herself. Put another way, Marguerite enters an uncanny space, musically embodied not just in the tonal slippage but also in Gounod's notation on "Est-ce toi?": the orchestra's triad is spelled E♭ major, the voice's D♯ major. They are the same and yet not the same, just as the person Marguerite beholds in the mirror is at once herself and not herself.

B's next notable appearance is in Faust and Marguerite's duet (No. 11), in F Major. Marguerite is uncertain whether or not Faust loves her. After some internal back-and-forth ("Il m'ai-me, Il ne m'ai-me pas" ["He loves me, he

Example 3.20 Gounod, *Faust*, "Jewel Song," mm. 20–29

loves me not"]), she concludes, "Il m'ai me!" as the music, after only min-
imal tonal preparation, alights on a B-major triad, which tonally confirms the
seduction. It also glosses that seduction as malevolent, especially given B's tri-
tone relation to F. This tritonal collision harkens back to that in the beginning
of the opera, where Faust invites Mephistopheles into his life. That invitation
has now been extended to Marguerite as well. For the moment, however, she
goes no further than throwing Faust a kiss. The harmony here is E-flat major—
Valentine's prayer continues to prove efficacious.

But not for long. In the next, spinning wheel scene we encounter a preg-
nant Marguerite; evidently, her protective cloak had been lifted and a tryst
had transpired (one not depicted in the opera itself). Marguerite now laments
having been abandoned by Faust after said tryst. The recitative begins in tonal
flux but soon lands on/in B, where the heroine confesses, "Et pourtant Dieu
le sait, je n'étais pas infâme; Tout ce qui t'entraîna, mon âme, N'était que ten-
dresse et qu'amour!" ("And yet God knows, I was not infamous [wanton];
everything that drew you, my soul, was tenderness and love"). Yet, the key
belies that sentiment—it was less "tenderness and love" than Mephistopheles's
machinations, of which Marguerite was unaware. Now, alone, the consequences
of the relationship are hers to bear, quite literally.

Later, a dramatic battle between Valentine and Faust/Mephistopheles
ensues, one largely in E-flat, which would seem to bode well for Valentine.
However, Valentine tears off the protective medallion that Marguerite gave
him in Act 1. The music here is in C-flat. Evidently, Marguerite is no more able
to safeguard him than he was her. After Valentine's death, the chorus sings a

lament in B minor, the key's only notable appearance in this opera, and a tonal token of Mephistopheles having caused this sorrow.

One last example deserves mention. The final number (No. 19), the last of four tableaux, takes place in Marguerite's prison cell (she has since killed her child), where Faust and Mephistopheles have arrived to spare her from execution. As Marguerite recognizes the sound of Faust's voice, she daydreams of their first meeting and longs for her lost innocence. When she reminisces about the garden where they first fell in love (a garden symbolic of her former natural purity), the music migrates from G to E-flat. At the climax of the Trio, Marguerite offers herself to God in B major, in the midst of which E-flat appears (Example 3.21); the opera's apex thus foregrounds the two warring forces and tonalities that have led Marguerite to this juncture. But E-flat subsides, leaving B major, which segues into an "Apotheosis" postlude in which Marguerite's soul is redeemed. Perhaps, then, B major, the key of Mephistopheles's malignance, is transformed into something beneficent, evil is transformed into good. Whereas Berlioz's B, in the end, was negated by E-flat,

Example 3.21 Gounod, *Faust*, End of Final Trio

Gounod's B persists, serving as a vehicle of sublimation. If B in the Berlioz is a problem to be eradicated, in the Gounod it is an irrepressible emblem of transcendence.

3.6 Conclusion

E-flat (major/minor) and B (major/minor), in their interaction, were potent and pervasive musical symbols in nineteenth-century music. The appendix documents additional instances of this complex; the examples could easily multiply.

What extramusical motifs, in summary, have we encountered, and what were some hermeneutic principles that implicitly led us toward them?

We have seen E-flat and B minor signify the uncanny in *Die Winterreise*, and E-flat major/minor—abetted by B minor—signify the same in the Impromptu. In the first movement of Schubert's Trio, B minor launches interval-cycle excursions, which signify introspective hiatuses from the wanderer's journey. In the Finale, B minor is a memory trace, but one that brings the past into the more fully comprehending present. In the *Rhenish*'s first movement, B in relation to E-flat is a problem; in the fourth movement, it is a token of autonomy; then, in the Finale, it becomes reconciled, in a sense, with E-flat, since the motives and secular/sacred tropes with which those keys are associated have become reconciled. Liszt's concerto reconciles materiality and ethereality via thematic synthesis, and by extension, E-flat/B synthesis. Yet, in both the *Rhenish* and the Concerto, tonal synthesis, at least, is short-lived, for B ultimately succumbs to E-flat. In the *Faust* works, B typically wields seductive and supernatural power over against E-flat's protective aura.

Our hermeneutic readings were inspired by contextual factors and structural processes in equal measure. We will say a few words about each side of the equation.

Contexts conditioning music-hermeneutic interpretation come in several forms: external (extra-opus), internal (intra-opus), and intertextual (inter-opus). External contexts may comprise historical (including composer-biographical) factors and philosophical notions and tensions. Internal contexts are words included either *within* a piece—the text of a song—or *with* a piece—the paratext that is a title or program. These invariably influence how the music is understood (and vice versa). Finally, many, if not most, musical works of the nineteenth century reside within an intertextual network, such that a given work acquires certain meanings by virtue of how it relates to the other work(s) it overtly or covertly evokes (whether by the same composer or a different one).

We have invoked all three kinds of context. We relied on external context in interpreting the *Rhenish*—Schumann's experience in Cologne was our historical point of departure—and Liszt's concerto—the work/performance dialectic and also his conceit of "dead hands" were our music-philosophical points of

departure. Naturally, we relied on internal context in interpreting the vocal music. And we relied on intertextual context, for example, in interpreting Schubert's instrumental works: our hermeneutic gambit was to situate them in relation to *Winterreise* (following Fisk 2001). We similarly situated the *Rhenish* and the Liszt in relation to the *Eroica* and other Beethoven symphonies.[68]

As to musical structure, our main strategy was to draw correlations between tonal/motivic processes and extramusical states on the basis of homology. For instance, we ascribed to the first movement of Schubert's Trio a dialectic between journeying forward and pausing to contemplate the journey; that reading hinged on Schubert's dialectic between a diatonic through line and hexatonic digressions—a dialectic to which the extramusical one is structurally analogous. In this, we basically followed Adorno's (1988) methodology (although here and elsewhere, our extramusical states extended beyond the social, which is Adorno's primary purview). But whereas Adorno seems to endow his analogies with the status of truthful and transparent representations, we are more circumspect. For, as Bryan Parkhurst (2017, 182–89) points out, isomorphism is not a sufficient condition for representation. The diatonic/hexatonic dialectic is homologous with *all sorts* of experiences (many of which, admittedly, are bound to be fairly similar) and thus does not automatically represent any particular one. Hence, we make no claim to the pieces we covered representing the meanings we ascribed to them (let alone representing *only* those meanings), our occasional use of "signify" (and related terms) notwithstanding. By that word, rather, we mean that a given work, by virtue of its structural processes, *resonates with,* is analogous with, certain experiences, emotions, or ideas, and probably resonates with many others as well. Which among those we chose was partially delimited by the particular context we adopted.[69]

Finally, harnessing pertinent contexts and carefully correlating the structural and extramusical will ground a hermeneutic reading, endowing it with endorsability, if not veracity. Still, every interpretive endeavor is ultimately a leap of faith. An epistemological chasm ineluctably separates the exegete and her object; no matter how studious and diligent her path in approaching that chasm, she eventually has to vault over it, embracing a lack of certitude ("interpretation can produce meaning only at the cost of producing uncertainty about it" [Kramer 2011, 12]). That lack, however, as Lawrence Kramer insists, is no impediment to interpretation—it is its very precondition. For, musical meaning is less something one unearths and more something one *makes* or performs; to interpret is "to enunciate a meaning that has always already been inscribed by (or through, never in) the object *but only after* the interpretation has intervened" (ibid., 8, his emphases). And, "potential meaning is not a latency that may or may not be realized but a pressure to realize meanings that may or may not have been latent" (ibid., 74). We can only hope that, in each of our readings, having applied an apt contextual frame and a close structural analysis, we took a leap to make a meaning that struck the reader as one the work, if only in retrospect, plausibly potentiated.[70]

Appendix A

Additional E-flat/B-oriented Works in the (Long) Nineteenth-Century

Carl Maria von Weber, *Der Freischütz* (1817–21)

See, for example, the Wolf's Glen scene: Max sings an arioso in E-flat, where he stares down into the Wolf's Glen, horrified. The recitative moves to B major, before the arioso takes up E-flat again.

Felix Mendelssohn, Symphony no. 1 in C minor, op. 11 (1824)

In the E-flat second movement, an early C♭ foreshadows a shift toward B en route to E-flat minor. (Curiously, Mendelssohn employs a C-major key signature for the B-major foray.)

Schubert, Mass no. 6 in E-flat, D. 950 (1828)

An audacious HEXPOLE progression begins the Sanctus. (Cohn 2012, 31 inspects this passage, along with a strikingly similar one from Act 3 of Wagner's *Parsifal*.)

Robert Schumann, "Lieb' Liebchen, leg's Händchen auf's Herze mein," no. 4 from *Liederkreis*, op. 24 (1840)

It is in E minor, but where the character sings of a carpenter (*Zimmermann*) lurking within his pounding chest, constructing a coffin for his heart, the B-major dominant gives way to B diminished, that to E♭ minor, and that (via L) back to a B dominant. The uncanniness of the image and progression is compounded by the eerie cadence where the character sings "Todtensarg" largely *a cappella* and after the piano has already finished its phrase.

Schumann, *Dichterliebe*, op. 48 (1840)

Song 13, "Ich hab' im Traum geweinet," is in E-flat minor; Song 14, "Allnächtlich im Traume seh' ich dich," is in B major. The saturnine E-flat minor is apt for the emotional nadir of the cycle, in which the protagonist dreams of losing his beloved. Then, B signals the relief the protagonist feels when his beloved bestows on him kindness (if only in the dream). These two songs diverge from the cycle's overriding tonal scheme: as Hoeckner (2006) observes, Songs 1–12 either progress along a descending-5th axis or shift from a major key to its relative minor. Songs 13–14, in digressing from this scheme, suspend the tonal "reality" of the cycle, illustrative of the dream-states the songs depict. The L-related keys enact an alternate tonal logic, which accords with the curious logic of the dreamworld, whose rules of sense are decidedly distinct from those of waking life.

Schumann, Piano Quartet in E-flat, op. 47 (1842)

See the first movement, mm. 92–103 (as analyzed by Smith 2011, Fig. 12.8).

Charles-Valentin Alkan, *Grande sonate: Les quatre âges*, op. 33 (1847)

Each of the four movements of this piano sonata represents a decade in the life of an unnamed fictional protagonist. The first movement is in D major but ends in B major; the second movement is in D-sharp minor, bearing the marking "Quasi Faust."

Liszt, *Faust* Symphony (1854–57)

In the first movement, the E-flat Allegro Agitato is soon followed by a B-major section (at *rinforz molto*).

Johannes Brahms, Variations on a Theme of Robert Schumann for piano, four hands, op. 23 (1861)

Perhaps it is no surprise that Brahms chooses to set one of his "secondary-key variations" (Au 2011) in B major (Var. 5); after all, B is the very first chromatic pitch in Schumann's soulful E-flat-major theme. The discerning listener will hear pre-echoes of B major in Var. 4 and after-echoes in Var. 6.

Arrigo Boito, *Mefistofele* (1868, rev.1875–76)

In contrast to Berlioz and Gounod, who treat only Part I of *Faust*, Boito treats Part II—the so-called "Classical *Faust*"—as well. The complex keys are especially interactive in the Prologue, Margherita's death scene, Faust and Elena's love duet, "l'amore delirio," and the Epilogue.

Brahms, "Die Mainacht," op. 43, no 2 (text by Ludwig Hölty) (1868)

The protagonist walks through a nocturnal forest, accompanied by E-flat. The nightingale's lonely song mirrors to him his own isolation, underscored by E-flat minor. In the ternary's B section, a pair of amorous doves croons to B major; the wanderer in his despair finds their joy unpalatable, as the music again turns to E-flat minor. In A′, E-flat major provides a glimmer of hope that he will reunite with his beloved.

Richard Wagner, *Die Götterdämmerung* (1869–74)

As Robert Bailey (1977, 53) notes, E-flat and B control the tonal structure of the entire first act.

Liszt, Mephisto Waltz no. 2 (1881, first an orchestral piece then a piano arrangement)

The first section emphasizes B as V/E after which it passes to E-flat. At the end, despite gestures toward domesticating B by respelling it as C♭, B seizes the last word with defiant repeated notes and tremolos. However, the B sonority at the end is a startlingly inconclusive diminished triad!

Antonín Dvořák, Piano Quartet no. 2 in E-flat, op. 87, B. 162 (1889)

In the third movement (Andante moderato, grazioso), the de facto Scherzo and Trio are in E-flat and B, respectively.

Dvořák, String Quintet no. 3 in E-flat, op. 97 (*American*) (1893)

The first movement is in E-flat, the second in B—a large-scale projection of these keys' interaction within the first movement itself.

Brahms, Sonata for Clarinet (or Viola) and Piano in E-flat, op. 120, no. 2 (1894)

In the first movement, B appears late in the development; it is juxtaposed with E-flat in mm. 96–98. The second movement is in E-flat minor, with B, foreshadowed in the first section, governing the contrasting middle section.

Hans Pfitzner, "Sehnsucht," op. 10, no. 1 (1901)

A forlorn itinerant longs for his love in E-flat minor; imagining encountering her elicits the parallel major, which in turn wanders into B minor. Those HEXPOLE keys are uncanny in that the middle, B-minor stanza conjures a Janus-faced maiden, one who could just as easily (and eerily) gaze at him "coldly" as warmly, "wie eine Sonne." The return in the last stanza to E-flat minor does not bode well for the protagonist.

Pfitzner, "Ich und Du," op. 11, no. 1 (1901)

This song begins in E-flat minor and ends in E-flat major; the middle section is in B major, bearing a no-sharp key signature (as with Mendelssohn's Symphony no. 1, second movement).

Gustav Mahler, Symphony no. 7 in E minor (1904–05)

The first movement frequently vacillates between E-flat major/minor and B major/minor.

Mahler, Symphony no. 8 in E-flat (1906)

Part II, based on the final scene of *Faust*, caps a cluster of *Faust* works—the Alkan, Berlioz, Boito, Gounod, and Liszt—all of which centralize E-flat and B. (On cursory inspection, it appears that Schumann's *Szenen aus Goethes* Faust [WoO 3] does not.) Why so many composers treating *Faust* were drawn to that particular pairing we cannot say for sure, but it is clearly a bona fide phenomenon.

Jean Sibelius, Symphony no. 5 in E-flat, op. 82 (three versions: 1915, 1916, 1919)

The first movement ventures from E-flat into a major 3rd above and below—G and B, with the latter occluding a diatonic cadence as early as m. 13 and ultimately serving as an epiphanic, "breakthrough" sonority at m. 106. The Finale emends these chromatic relations by venturing into a minor 3rd

above and below (G-flat and C). Even more crucial, for Hepokoski (1993) at least, is that these coloristic mediants are gradually subdued in favor of an affirmation of tonic/dominant. Indeed, as Hepokoski declares, Sibelius uses "these non-dominant-oriented colour-shifts ... [as] an alternative to the more powerful, but historically eclipsed tonic-dominant harmony. From this perspective, much of the work is 'about' the difficulty of crystallizing ... [a] successfully functional dominant ..." (59).

Notes

1 Henceforth, "*x* major" will be designated simply by "*x*," with occasional exceptions for clarity. Also, in most cases, we will use "E♭" when referring to a pitch, "E-flat" when referring to a key.

2 Anson-Cartwright's Appendixes 1, 2, and 3 (2000, 197–200) tabulate E-flat works by Haydn, Mozart, and Beethoven, respectively, in which all these pitches figure notably.

3 To cite only two of the more famous examples: Schubert's Piano Sonata in B-flat, D. 960 (op. posthumous) (first movement) features a primary theme in small-ternary form whose initial, antecedent phrase ends enigmatically with a trilled G♭ in the bass resolving to F. After the consequent phrase comes a contrasting middle section housed in ♭VI (G-flat), whose conversion to a German augmented-6th chord triggers a tonic-situated reprise. The secondary theme is set in ♯v (F-sharp minor). Brahms's Piano Quintet in F minor, op. 34a (first movement) follows the reverse course, stating a theme (the secondary) in ♯v (C-sharp minor), then one (the closing) in (♭)VI (D-flat).

4 See Bailey (1985), Korsyn (1996), Krebs (1996), Samson (1996), and Smith (2009).

5 We offer E-flat/B as an addition to the repertoire of pitch-specific complexes within the universe of nineteenth-century/early-twentieth-century chromatic tonality, others being "Chopin's B-major complex," on which see Rothstein (2000), the "A♭–C–E complex," on which see Bribitzer-Stull (2006), and "Debussy's G♯/A♭ complex," on which see Pomeroy (2018). That universe also includes pitch-indifferent complexes such as the "double-agent complex," on which see Cohn (2012, 74–75); "double-tonic complex," on which see the previous footnote; "Neapolitan complex," on which see Wintle (1987); and "submediant complex," on which see Laitz (1996).

6 The latest work he discusses is Beethoven's Piano Sonata in E-flat, op. 81a (*Les Adieux*), completed in 1810, although Appendix 7 tabulates a few other nineteenth-century works (other than by Beethoven).

7 We have no definitive answer as to why the E-flat/B antagonism in particular was one of the most common I/♯V pairings. One conjecture is that, in some other keys, the ♯V key is untenable: for instance, in C major, ♯V is G-sharp; in D major, ♯V is A-sharp. In other keys, the I is itself unwieldy and thus less commonly employed, as with G-flat major. What viable pairings remain? B-flat/F-sharp and A-flat/E. Is E-flat/B more common than either of those? Only a systematic corpus study, which we are not prepared to offer, would tell.

8 Nottebohm (1887, 326), quoted in Anson-Cartwright (2000, 179, n9).

9 Michael Tusa (1993), notably, has demonstrated this phenomenon with respect to Beethoven's use of C minor.

10 For a helpful introduction to neo-Riemannian theory, visit Cohn (1996).
11 His argument is too intricate to summarize here. Suffice to say, the chords constitute "an exceptionally potent instance of a *Wechselwirkung*, a reciprocal exchange. Each triad destabilizes the other ...the musical equivalent of Escher's hands, which draw each other's cuffs" (2004, 307)—an uncanny image if ever there was one!
12 See Freud (1919) and also Jentsch (1906). The latter study is in a sense a precursor of Freud's, one that Freud adjudges "fertile but not exhaustive" (1919, 1).
13 To be precise, the above describes only one of three "levels" of Idea in Schoenberg's writings, all of which are expounded in Cross (1980); also see Boge (1990).
14 Schoenberg (1967, 102), our emphasis.
15 See Neff's Schoenbergian gloss on this passage (2006, 39–45).
16 HC stands for half cadence, MC for medial caesura, PAC for perfect authentic cadence, PT for primary theme, ST for secondary theme, and TR for transition.
17 "What I call 'the Indugio'—so named because it signals a playful tarrying or lingering (It., *indugiare*) that delays the arrival of a cadence—was a schema for extending and focusing on the ...6/3 or 6/5/3 chord" over $\hat{4}$ in the bass (Gjerdingen 2007, 274).
18 Schubert is even more closely associated with such recursive, antidevelopmental tendencies in sonata form, on which see Adorno (1928) and Salzer (1928).
19 A similar retransitional move is found in the first movement of Haydn's Piano Sonata in E-flat, Hob. XVI:49.
20 On abandoned cadences and how they differ from deceptive and evaded cadences, see Caplin (1998, 101–07).
21 The second movement mostly takes a break from the tonal problem, turning to metric problems—that is, metric dissonance—instead. See Klorman's analysis (2016, 255–66).
22 This is not a sonata-rondo but what Hepokoski and Darcy term a "chain rondo" (2006, 401), which boasts not two but three couplets (contrasting episodes) and not three but four refrains; the resulting scheme is AB–AC–AD–A.
23 Hepokoski and Darcy assert that "the initial AB (mm. 1–51) is shaped into a sonata exposition—with a P[T]-based S[T] in V—which never returns symmetrically as a recapitulation" (2006, 401). It seems, then, that what we are considering the initial ST (B^1), they consider the transition, reserving ST proper for what we are calling B^2.
24 The viola started coming into its own in the C couplet, telescoping its eventual star turn in the next refrain. Note that the viola undertook a similar journey toward equality in the first movement: not until m. 98 did it enjoy its own iteration of a theme.
25 The genesis of the cycle, however, if anything points to Part I rather than Part II being self-enclosed. For, the poems with which Schubert initially worked were solely Müller's first 12, published in 1823 as a self-standing cycle. When Schubert later encountered Müller's full 24 poems, published in 1824 (in *Gedichte aus den hinterlassenen Papieren eines reisenden Waldhornisten*), Schubert evidently aimed to transform Part I "from a self-contained cycle into something subordinate to a greater whole" (Kramer 1994, 151–52). Hence, there was never any question of Schubert having conceived of Part II as self-contained, only Part I, and that conception went by the wayside with Müller's 1824 publication. Still, genetic circumstances notwithstanding, Part II is internally unified by the trope of death and is thus, in our view, quasi-autonomous.

Incidentally, upon adding the second set of poems, Schubert transposed the last song of the first set, "Einsamkeit," from D minor to B minor. Kramer surmises

that this transposition served to neutralize the closural function "Einsamkeit" had possessed by virtue of its D-minor key (the same key in which Part I begins) in order to pave a path into Part II. "Transposed to B minor at the inception of a new 'Fortsetzung', *Einsamkeit* loses its sense of ending ...structural closure is dissolved" (1994, 171).

26 We derive the narrative structure from Suurpää (2014); the tonal structure is our own. A key difference between our tonal overview and Richard Kramer's (1994, 181) is that we regard the G minor of "Wegweiser" as passing between the A of "Täuschung" and the F of "Wirtshaus"; though "Wegweiser" is pivotal dramatically, in the grand scheme we deem it embellishmental tonally. For Kramer, by contrast, the G minor is central (and not only to Part II but to the cycle as a whole). To his reading redounds a happy correlation between tonal and narrative import, but we find the tonal reading itself unpersuasive.

27 Besides Kramer (1994, 162 and 181) and Suurpää (2014, 175), Barry (2000, 92) and Latham (2009, 331) also assess large-scale tonal design in *Winterreise*. Of these four, only Kramer does so on the basis of Schubert's original keys. Kramer does so partially to preserve certain cyclical features, subtle inter-song connections, as he astutely sees them. Incidentally, neither Suurpää, Barry, nor we supply an *Urlinie*; Latham does for the entire cycle, Kramer only for Part I. Latham's is a $\hat{3}$-line reading, Kramer's a $\hat{5}$-line. Latham's *Urlinie*, however, is permanently (and thus unorthodoxly) interrupted, never advancing beyond $\hat{2}$. Such, for Latham, is a neat structural embodiment of the cycle closing on a note of uncertainty as to the wanderer's fate—will he live or die? For detailed Schenkerian graphs of individual songs, see Suurpää (2014) and also Everett (1990), which focuses on the ubiquitous $\hat{6}$–$\hat{5}$ motive.

28 If one were sympathetic to transposed keys, one might posit, on the basis of our textual reading, an uncanny HEXPOLE relation between the transposed B minor of "Einsamkeit" and the E-flat of "Post." In fact, the B-minor chord on which "Einsamkeit" ends and the E♭-major chord on which "Post" begins would be virtually the only direct HEXPOLE progression in the cycle. (The only other is the B major–G minor–B major progression in mm. 62–65 of "Auf dem Flusse.") We thank Lauri Suurpää for offering this point in a personal correspondence. Incidentally, such a harmonic-*cum*-affective relation straddling Parts I and II would bear out Richard Kramer's assertion (previously cited in n.25) that Schubert transposed "Einsamkeit" in order to create a conduit into Part II.

29 "A mind disordered finds no secure metrical foothold," says Susan Youens (1991, 301). Note, the wanderer's disintegrating mind is a counterpart of the *Leiermann*'s decrepit body.

30 The song in which Schubert most explicitly takes up the trope of doubleness with which the uncanny is associated is "Der Doppelgänger," the 13th song of *Schwanengesang*, D. 957 (1828). The HEXPOLE progression as such does not appear, although B minor and D minor come face-to-face in mm. 46–47, where the protagonist asks his double why he "apes" the pain of his love ("was äffst du nach mein Liebesleid"). But there are other harmonic means, after all, by which to elicit the uncanny. Witness the postlude by which B major and E minor tie each other's cuffs, so to speak.

31 To take another example, in Schubert's "Ganymed," Clark (2011) notes, "surface-level tonic and dominants help articulate the gradual changes, but the overall effect is one of harmonic metamorphosis rather than a series of functional relationships" (141).

32 Rings (2007) deals much more extensively with the neo-Riemannian/Schenkerian dialogics in this piece.

33 Caplin (1998) affirms that "the coda of a large ternary frequently refers to material from the interior theme, just as the coda of a sonata often 'recapitulates' ideas from the development" (216).

34 Also see Cohn's analysis of this coda within his discussion of the so-called "double-agent complex" (2012, 74–75).

35 In Nicholas Marston's reading, Schubert's B-flat Piano Sonata (first movement) deploys a similar subversion. Marston does not hear the G-flat element (recall our n3) in the recapitulation as normalized into B-flat but rather hears B-flat (m. 254) as sounding like G-flat—that is, like ♭VI (in D). In this, he muses, "'home' is made a foreign place ... the peripheral, the deviant, might challenge and win out over the normative" (2000, 265).

36 Fisk (2001, 122). He draws on Kinderman (1986) here.

37 Our graph is mainly concerned with tonal relationships, not thematic ones. Suffice to say, each main zone of the three-key exposition hosts several motivically interrelated themes, which we won't take pains to parse here.

38 Cf. Mak's reading (2006, 302, Example 10), which construes B at m. 48 as an enharmonicized C♭ (♭VI) and as composing out B♭ across mm. 35 [*sic*]–84 (although the C♭ gives way to, or is corrected by, C♮ [VI] at m. 67).

39 An alternate reading is possible, one affording B (minor) greater structural stability: just maybe, the B minor of ST and the B major/minor inaugurating the development are points of articulation, boundaries of a prolongational span in which B♭ of the tertiary theme is a lower-neighbor to B. The resultant configuration, B♮–B♭–B♮, would be a felicitous enlargement of the lower-neighbor melodic motive that first appears in m. 16 and is augmented in m. 140.

40 Though Adorno (1928) tends to focus on the "ex-centric" or directionless nature of Schubertian space (and the atemporal nature of Schubertian time), he also acknowledges the need, when grappling with Schubert's sonata forms, to somehow square such lyrical stasis with that form's inherent dramaticism. Some studies that so grapple, in one way or another, are Burstein (1997), Dahlhaus (1986), Horton (2016), Hyland (2016), and Mak (2006).

Speaking of Schubertian space, Jonathan Guez documents another circumstance (in addition to the interval-cycle interregna noted earlier) in which Schubert's wanderer "stop[s] to think about the direction in which he is traveling" across the metaphorical landscape: the recapitulation that inserts measures of rest into its referential, expository model, measures that serve to expand said model and defer inevitable goals. His example is Schubert's Piano Sonata in C minor, D. 958 (Guez 2018, 230–31).

41 Hatten (2004) (Chapter 8) demonstrates such gestural cyclicity in two Schubert piano sonatas.

42 Something similar occurs in Mendelssohn's String Quartet no. 2 in A minor, op. 13. The composer bases the slow introduction on the beginning of his song, "Frage" (op. 9, no. 1). When that passage returns—heartbreakingly—at the Quartet's conclusion, it is a memory in the service of fulfillment, for it picks up the song where it had left off in the introduction and completes it (mm. 386–398). See Golomb (2006, 117).

43 For more on the genesis of the work, turn to Tunbridge (2007, 107–08).

44 Schumann's initial musical response was to set August Becker's "Rheinlied," which Schumann published as *Der deutsche Rhein: Patriotisches Lied*, op. 27b and WoO1 for solo voice, chorus, and piano.

45 Just as, according to Newcomb (1984a), Schumann's Symphony no. 2 in C, op. 61 has an affinity (a narrative one) with Beethoven's Fifth.

46 For a graph of Schumann's first movement, see Smith (2011, 255, Figure 12.12).

47 Byros (2012) and (2014) chalk up this maneuver to the Le–Sol–Fi–Sol schema, of which Byros cites the *Eroica* as paradigmatic. Byros (2014) proceeds to explain that the E-flat/G minor opposition frames the symphony as a whole, the two keys and their associated tropes of the pastoral and the *ombra*, respectively, never being fully reconciled.

48 On the earlier work's convoluted genesis, see Daverio (1997, 99–100).

49 Here we basically concur with Michael Musgrave, for whom the symphony as a whole evinces a balance between "*Seelenzustände* and the dynamics of a large-scale structure" (1996, 147), but we go a step further in asserting that Schumann does not merely counterbalance these two temporal modes but synthesizes them. And we depart from Scott Burnham, who does not detect any goal-orientation in this work. For him, the movements are character pieces writ large; each is "self-contained," reflecting "the rest of the symphony not by assuming an indispensable function in a teleological process but through picturesque contrast. Schumann's movements are more like paintings in a well-appointed gallery than psychologically consequential stages of a multi-movement Classical-style sonata" (2007, 158).

50 Schumann uses the same tactic on a much larger scale in *Davidsbündlertänze*, op. 6 (1837, revised 1850 and renamed *Davidsbündler*). A cycle-long tug-of-war between the paired keys of G and B is resolved, in the antepenultimate piece, in favor of B, precisely by recasting G (for the first time in the work) as a G German augmented-6th. See Kaminsky (1989, 222). Such a strategy is especially associated with Schubert. Of his *Quartettsatz* in C minor, D. 703, for example, Brian Black observes that two secondary keys, G and A-flat, vie for dominance. The former wins out precisely by expropriating the latter as a cadential element: "Thus what was potentially a competing tonality [A-flat] is absorbed into its rival [G] as a crucial element in the latter's grounding" (2009, 7).

51 This G-minor theme, which arpeggiates g: i–III–V–i (not pictured), approximately parallels the deeper middleground structure of the exposition, which, on Smith's (2011) view, traverses E-flat: I–iii–II–V (where I, iii, and V are the pillars of a three-key exposition). Note, however, that Smith (basically following Suurpää 2005) subordinates iii to the I before it and to the II [V/V] after it; in other words, iii is nested within a more fundamental I–II–V frame. Hence, these local and more global arpeggiations do not share the same precise "structural description" (in Cohn's [1992] phrase) and thus, depending on one's viewpoint, may or may not instantiate the same motive (see ibid.). What Smith relishes in this reading of the exposition is the disparity between thematic design and tonal structure: the ST in iii is more thematically distinguished than the tertiary area in V and yet is tonally transient; conversely, the tertiary area in V is more tonally stable but less thematically distinguished. See Smith (2011, 152–53).

52 Let us define the natural-submediant as that lying a whole step above the dominant, as occurs in the major mode and by modal mixture in the minor mode, and the ♭-submediant as that lying a half step above the dominant, as occurs in the minor mode and by modal mixture in the major mode.

53 A number of mid-nineteenth-century pieces partake of this strategy, which is hardly surprising since, at the time, Goethean organicism was all the rage and such cross-sectional continuity created an especially vivid musical image of organic unity. Perhaps the earliest notable instance is the first movement of Beethoven's Piano

Sonata in F minor, op. 57 (*Appassionata*); also see Smith's analysis of the first movement of Brahms's Piano Quartet in C minor, op. 60 (2005, 66–107).

Incidentally, returning to the *Rhenish*, David Epstein, noting that all main thematic melodies outline a $^6_4$ chord built on $\hat{5}$, identifies that sonority as the *Grundgestalt* of the entire symphony. Thus, the V$^6_4$ at the start of the recapitulation is "a chordal condensation of the basic-shape motive" (1979, 158, n5).

54 We thank Harald Krebs for driving these points home to us.

55 In a similar vein, Lydia Goehr observes,

> Performing under the ideal of *Werktreue* generated its own tension ... an alternative concept of performance emerged to satisfy the performer's need to perform without restrictions imposed by composers. Liszt, for example ... develop[ed] two distinct forms of performance, first, performances committed to faithful renditions of works, second, virtuoso performances devoted to the art of extemporization and the show of impressive performance technique.
>
> (1992, 232–33)

56 The numbers denote the cardinality of steps traversed in the diatonic scale ("+1" indicates a single step up, "−2" a 3rd down, and so on).

57 Hence our including the work within the "Symphonic Cluster." In fact, an impetus for Liszt's piece was evidently the *concerto symphonique*, one of whose primary practitioners was Henry Litolff, to whom Liszt dedicated the concerto. As Taruskin specifies, Liszt's debt to Litolff was in the concerto's bigness of conception and also "in its colorful orchestration that included piccolo and triangle, instruments first used by Litolff in ... a keyboard concerto" (2010a, 277).

58 To be clear, Liszt's concerto postdates his virtuoso period (1811–47) and belongs to his Weimar period, where Liszt had turned himself into a Composer with a capital C (as an anonymous reviewer reminded us). Still, certain elements of the writing strongly resonate with the virtuoso vehicles of his earlier period and are somewhat distinct from the more composerly elements.

59 Alan Walker parenthetically refers to the concerto having only three movements, but does not elaborate. He also states that, although Liszt undoubtedly ran these movements "into a seamless join" (1989, 151, n45), they do not form a large-scale sonata (1989, 151) as do those of Liszt's B-minor Piano Sonata. On both points we disagree.

60 Compare the concerto in that regard with, for example, Beethoven's Piano Sonata in D minor, op. 31, no. 2 (*Tempest*), first movement. Here, thematic agency *overrides* formal exigencies—those of the recapitulation, in fact. At that juncture, Julian Horton explains,

> thematic specificities ...are not reconciled with the dictates of formal convention. Instead, the recapitulation sacrifices convention to subjectivity. ... The first-theme reprise is essentially a region of subjectification, which temporarily dissolves the ... main subject into a fantasia on its motivic content, an event from which the recapitulation's synthetic function never fully recovers ...
>
> (2014, 127)

61 Such a pensive demeanor (however much Liszt may have calculated it for theatrical effect) is at odds with the more common image of the onstage Liszt as all flailing limbs and facial contortions—his student Amy Fay reported that "Liszt's face is all

a play of feature, a glow of fancy, a blaze of imagination." Quoted in Leistra-Jones (2013, 397). On the cultural symbolism of Liszt's visual style, see Kramer (2002).

62 A brilliant demonstration of this phenomenon can be seen in a performance by Martha Argerich. Go to www.youtube.com/watch?v=FQqQcWoTPaU&t=16s

63 Harrison (2002) offers a somewhat different interpretation: although he also regards the five-sharp signature as an anticipation of the next movement's key, he is more interested in the D-sharp tonality, on both tonal and hermeneutic counts. Tonally, it intimates an "unconformed" scheme, whereby the movement's E-flat and D-sharp are not precisely identical. Hermeneutically, the tonal duality encompasses opposing energies: E-flat signals closure while D-sharp signals a "forward-looking perspective" (140). His hermeneutic point could pertain to E-flat/B as well.

64 Granted, some readers might take these opposing effects to represent two different personas, not, as we do, two aspects of a single persona. Music is notoriously vague on this front. Seth Monahan observes that,

> in many cases, an analyst will invite us to imagine all of a work's events—even those perceived as oppositional or hostile—as occurrences within a single psyche …In other instances, these opposing elements are understood to be truly external to …the dominant agency.

(2013, 329)

65 This graph is somewhat unconventional or homespun. It contains a bass-line reduction, which charts the interplay between diatonic/Schenkerian and hexatonic/transformational systems. It also shows, in the upper staff, voice-leading parsimony among various chords and keys. The voiceleading is normalized in order to highlight the economy of motion. In keeping with that constraint and with wanting to maintain keyboard style and closed spacing throughout, parallels occasionally result; this is simply an artifact of the graph.

66 For a detailed account of its genesis and its connections to Berlioz's earlier *Huit Scènes de Faust*, op. 24 (1829), see Rushton (2019).

67 In Goethe's original text, Wagner is Faust's academic assistant.

68 See Reynolds (2003) for an especially persuasive testimonial to the ubiquity of intertextual reference in nineteenth-century music.

69 We take "resonance" from Anthony Newcomb, who claims that musical

> expressiveness results from the metaphorical resonances or analogies that a viewer-listener finds between properties that an object possesses and properties of experience outside the object itself. Thus expression results from the intrinsic properties of an artwork but also from the metaphorical resonances these properties may have for the perceiver.

(1984b, 625)

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