The Role of the Medial Caesura in Schubert's Overdetermined Transitions

O papel da cesura média nas transições tonalmente "sobredeterminadas" de Schubert

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Abstract: Schubert challenged the high Classical style's implied boundaries by gradually incorporating non-normative procedures into his sonata-form practice and, more specifically, into his treatment of transitional spaces. Among these non-normative procedures are his *tonally overdetermined transitions*: transitions that struggle to leave the tonic area, often introducing formal and expressive complications to the work's unfolding. This paper examines the impact of tonally overdetermined TRs on the MC in Schubert's sonata forms, demonstrating how TR's penchant for the tonic area may ultimately define the MC's formal and expressive roles. It adopts Hepokoski and Darcy's Sonata Theory as a theoretical framework and is organized in three categories that are defined by the position, function, and strength of the I:PACs articulated (or proposed only) within pre-MC space. The first category involves transitions that fail to leave the tonic, ending in a I:PAC MC. In the second, a I:PAC is followed by a "defective" passage that can only be retrospectively reinterpreted as TR after the articulation of the MC. The third category considers transitions that begin with an extended tonic prolongation and end with a quick and abrupt modulation. The conclusion shows that the formal and expressive effects released by Schubert's tonally overdetermined TRs extend well beyond their realization and, in most cases, involve the MC as protagonist.

Keywords: Medial Caesura. Tonal overdetermination. Sonata form. Schubert's instrumental music.

1. Schubert's Transitions

1.1 Classical and Non-Classical Transitional Strategies

Many of Schubert's transitions conform to the norms and conventions prevalent in the late eighteenth century. As Susan Wollenberg has pointed out, "as early as 1813, in various instrumental works, Schubert showed himself fully conversant with a range of 'Classical' transitional gestures" (2011, p. 61).[1] The first movement of the First and Fifth Symphonies, D. 82 and D. 485, respectively, are great examples of Schubert's Classical handling of crucial stylistic elements such as rhetoric, texture, form, cadential punctuation, and tonal structure.

Such a fluency in the late eighteenth-century sonata-form *lingua franca* allowed Schubert not only to write works that adhered to Classical conventions but also to eventually challenge the style's tacit boundaries by gradually incorporating non-normative procedures into his sonata-form practice and, more specifically, into his treatment of transitional spaces. For instance, he explored the potential of short and abrupt transitional gestures, avoiding a more discursive motion between the primary and secondary thematic zones; and he developed a preference for articulating the end of the exposition's first part with a cadence in a non-conventional key that, in some instances, would not match the key of the secondary theme. Among the many non-Classical strategies explored by Schubert are his *tonally overdetermined transitions*; i.e., transitions that overemphasize the tonic area, often introducing formal and expressive complications to the work's unfolding.

1.2 Tonally Overdetermined Transitions

Schubert's penchant for transitions (TRs) that struggle to leave the tonic area is well documented in the literature. James Webster points out that "Schubert hates to leave the tonic in the classical manner […] indeed his first group may close with a full cadence in the tonic" (1978, p. 24). Wollenberg regards such reluctance to leave the tonic "not in the sense of an inability to launch into the necessary processes of modulation, but rather as showing a poetic impulse, endowing the departure from the tonic with emotional properties"

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[1] An overview of Schubert's Classical transitions is offered in Wollenberg 1998, p. 37–45.

(2011, p. 50). But why should one be concerned with transitions that overstate the tonic, or that demonstrate difficulty in leaving the tonic area?

According to William Caplin, "[the transition] serves to destabilize the home key so that the subordinate key can emerge as a competing tonality in the exposition" (1998, p. 125). By the same token, James Hepokoski and Warren Darcy include in their list of common TR tactics increased harmonic activity, and "sequential activity, accumulative rhetorical energy, a drive toward a structural dominant, and perhaps a concern for modulation" (2006, p. 94). Thus, despite the non-necessity of modulation, transitions are expected to be harmonically active. A transition that overemphasizes the home key, or more precisely, its tonic, should be conceived as "deformational," a conscious departure from an internalized tradition, and consequently be subjected to interpretation.[2]

Hepokoski and Darcy affirm that "[the appearance of one or more I:PACs within TR] suggests an interpretation whereby TR is understood to begin with the decision to reaffirm or overdetermine the tonic key" (ibid., p. 114). In such cases, the analyst must consider the formal and rhetorical reasons for, as well as consequences of, TR's penchant for the tonic area, a search for the "poetic impulse" and the resultant "emotional properties" (Wollenberg 2011, p. 50) of such determination.[3] Punctuating the end of TR, the medial caesura (MC) arises, in this context, as the final statement of a tonally "deficient" module and, consequently, serves as a reference point for interpretation, incorporating an expressive role in the narrative of a sonata form.[4]

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[2] In its colloquial use, the term *deformation* may carry negative connotations, implying imperfection, ugliness, or bodily disfigurements. However, within the realm of Sonata Theory, "deformation" is a technical term referring to "the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether in order to produce an expressive effect" (Hepokoski; Darcy 2006, p. 614). For more on the concept of deformation, see Hepokoski; Darcy 2006, p. 614–621.

[3] On the role of the tonic key and tonal overdetermination within P-space, see Hepokoski; Darcy 2006, p. 73–77.

[4] In normative situations, the MC may be generically interpreted as "an emphatic pause for breath before launching the exposition's second part," as proposed by Hepokoski; Darcy (1997, p. 123). Each MC default level may project specific impressions and expectations. For Hepokoski and Darcy, "the first, V:HC MC, is a more decisive gesture: it announces the intention to open part 2 more solidly, with its new key already in hand. The second, I:HC, is weaker, usually occurs early on, predicts a briefer or less ambitious sonata, and sometimes purposefully generates problems in what follows" (2006, p. 26).

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As proposed by Hepokoski and Darcy, the MC is a mid-expositional break that punctuates the end of the first part of the exposition, setting up the entrance of the S-theme. The procedure is associated with a sequence of events that defines its rhetorical strength, harmonic quality, and, ultimately, its formal role.[5] Many studies devoted to Schubert's transitions regard all tonal, rhetorical, and formal deformations surrounding the MC articulation as transitional complications. Indeed, a glance at the literature reveals that topics such as TR's shortness or abruptness, TR's reluctance to leave the tonic area, "wrong-key" and *non sequitur* MCs, and modulatory CFs are all conceived as transitional in function.[6] Following Sonata Theory, I favor an approach that attempts to more clearly distinguish among pre-cadential, cadential, and post-cadential procedures, interpreting the TR–MC complex as comprising four stages: 1) TR's energy-gaining process, 2) the cadential articulation (and subsequent dominant prolongation), 3) the MC gap itself (and CF), and 4) the appearance of an appropriate S-theme.[7]

Through the lens of Sonata Theory, this paper examines three cases of tonal overdetermination within the exposition's first part in Schubert's sonata forms, demonstrating how the procedure may relate formally and expressively to the MC.[8] The three cases studied here are defined by the position and strength

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[5] On the medial caesura, see Hepokoski; Darcy 2006, p. 23–50.

[6] See Tovey 1949, 118–27; Hascher 1996, p. 10; Webster 1978, p. 22–26; Wollenberg 1998, p. 16–61; and ibid. 2011, p. 47–98. I should note that the studies mentioned here, most of them previous to Sonata Theory, do not interpret the cadence that punctuates the end of the transition as a medial caesura, as proposed by Hepokoski and Darcy.

[7] Similarly, Mark Richards understands the MC as a three-stage procedure, comprising "a harmonic preparation, a textural gap, and an acceptance by S" (2013, p. 168).

[8] Although devised to deal with the high Classical repertoire primarily, Hepokoski and Darcy's dialogical approach to sonata form has proven to be theoretically pertinent and analytically fruitful when carefully applied to 19th-century works (see, e.g., Darcy 1997, Pomeroy 2011, Schmalfeldt 2011, Monahan 2015, and Hepokoski 2021, p. 178–197 and p. 233–265). This perspective, however, is not unanimously accepted in the field. The romantic "emancipation of deformation" or its statistical predominance in that period has led some authors to "call into question the applicability of a model which distinguishes between an ideal type and a deviation in practice" (Wingfield; Horton 2012, p. 107). For critiques of the adequacy of Hepokoski and Darcy's dialogical approach as a theoretical backdrop for analyzing nineteenth-century sonata forms, see, e.g., Horton 2005; 2011; Wingfield; Horton 2012; and Vande Moortele 2013. For a discussion of how Sonata Theory's approach along with its proposed set of norms and conventions may be flexibly used to productively interpret Schubert's often-unorthodox handling of sonata form, see Hepokoski 2021, p. 178–197.

of the articulated (or proposed only) I:PACs within pre-MC space (see Table 1). The first involves transitions that fail to leave the tonic, ending in a I:PAC MC. In the second, a I:PAC closing the P-theme or TR[1] is followed by a "defective", functionally unclear passage that can only be retrospectively interpreted as TR after the articulation of the MC. The third category does not necessarily involve the articulation of a PAC in the home key. Instead tonic harmony is contrapuntally prolonged until the last possible moment, and then followed by a quick modulation. As demonstrated below, each category results in a specific MC type.[9]

Tonally Overdetermined Pre-MC Spaces	MC Type
TR ⟶ *I:PAC MC*	I:PAC MC
P or TR[1] ⟶ *I:PAC*; *Defective module* ⟶ *MC*	Clarifying MC
TR[tonic prolongation + quick modulation] ⟶ *MC*	Liberating MC

Table 1: Tonally overdetermined pre-MC spaces and their respective MC types

2. The I:PAC MC

Schubert's use of a I:PAC to articulate the end of TR has been extensively discussed in the literature. Webster has pointed out that, in the first movements of Symphonies Nos. 8 and 9, the shift from the primary to the secondary key is accomplished by a common-tone modulation following a full cadence in the tonic (1978, p. 23–24). In a later study, Suzannah Clark has provided a complete analysis of the complications springing from the "full cadence[s] in the tonic" in both movements, using her findings to justify what she terms "the repositioning of the fifth-space," (2011, p. 228) a structural relocation of the traditional tonic-dominant axis.[10] Wollenberg has labeled the TR areas of the two symphonies as "magical transitions," or transitions that, after reaching a I:PAC, release their

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[9] Parts of this paper, including early versions of the analyses of the Eighth Symphony and the Quartetsatz, have appeared in two conference proceedings. See Navia 2014a and 2014b.

[10] Clark interprets the tonic as a tonal point around which third-related keys may form a fifth-space. In a sonata-form work, opposing third-related secondary keys in the exposition and recapitulation (e.g., mediant and submediant) would be one way to generate a spatial relocation of the traditional tonic-dominant fifth-space. See Clark 2011, p. 228–246.

poetic effect through a "quick transition pared down to essentials" (2011, p. 62). Indeed, I:PAC MCs may introduce structural and rhetorical complications to the course of a work, releasing a "poetic effect" that can be detected well past the MC articulation. As Wollenberg has noted, "the poetic resonances of these transitional moments extend far beyond their immediate impact" (ibid., p. 67). For Hepokoski and Darcy, the I:PAC MC implicates "a 'failed' (or gesturally weak? or obstinate?) TR that, still in the grip of the grounding tonal principle of the P-zone, dwells on an unusually static tonic" (2006, p. 29). They then go on to say that "this emphasis, in turn, demands analytical and hermeneutical interpretation" (ibid.).

Thus, attempting to understand the procedure's potential "poetic outcomes," I examine five additional characteristics that often accompany the I:PAC MC: 1) a complete or apparent absence of TR; 2) an overemphasized MC articulation; 3) a "transitional" CF; 4) formal, rhetorical, and tonal complications in the course of S; and 5) a recapitulatory compensation.

2.1 The Complete or Apparent Absence of TR

The use of a I:PAC MC might create the impression that TR is altogether missing, influencing the interpretation of the cadential articulation. In general terms, if the passage preceding the MC demonstrates an intensified rhythmic verve and some harmonic activity (i.e., typical TR-rhetoric), then the arrival at a I:PAC will produce an effect of "estrangement," but a subsequent S-theme will still be expected. Conversely, if the module preceding the MC does not express any transitional rhetoric, the arrival at a I:PAC will be heard as articulating P's closure, implying the onset of TR. The immediate appearance of an S-theme would then be regarded as highly deformational, inducing the listener to retrospectively reinterpret the just-heard cadential articulation as a I:PAC MC.

2.2 Overemphasized MC Articulation

The apparent absence of TR and the non-normative I:PAC MC are often counterbalanced by an overemphasized cadential articulation. The rhetorical gesture is expressed either by a highly dramatized dominant chord or a sustained

tonic chord that expands the "MC area,"[11] progressively dissipating the energy accumulated through the course of TR (or P ⇒ TR).

2.3 "Transitional" CF

The I:PAC MC is often followed by an active caesura-fill that "takes the burden" of TR and incorporates the hitherto missing transitional function. Many authors have interpreted the procedure as an instance of Schubert's penchant for abrupt transitions (Webster 1978, p. 23; Wollenberg 1998, p. 22; and 2011, p. 56 and 62). Despite accomplishing the final modulation, the active CF does not substitute for TR from a formal perspective; instead it fills the MC gap, joining the end of TR and the onset of S.

2.4 Complications within the Secondary Zone

The inability to leave the tonic in the first part of the exposition often introduces formal, rhetorical, and tonal complications to the course of S: the S-theme may appear in a non-normative key, as if attempting to escape the tonic's initial "oppression" at any cost; it may take the form of a trimodular block, in which case TM²'s transitional activity and the newly articulated MC incorporate a "corrective" function,[12] allowing for the introduction of a normative theme as TM³; or, the EEC may be delayed, often implying a formal collapse at the moment of closure. These formal complications within S-space are quite common in Schubert's late works and, in some cases, might not be related to the I:PAC MC. The analyst must consider the probable causes for each formal anomaly, judging whether it is pertinent to associate the complications as arising from cause and effect.

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[11] I use the term MC area to refer to the space between the MC cadential articulation and the entrance of the S-theme; i.e., stages 2–4 of the TR–MC complex, as described above.

[12] In general terms, a corrective function will be assigned to the materialization of an omitted element, process, or procedure when both stages (omission and materialization) take place within the same action-space (i.e., exposition, development, or recapitulation).

2.5 Recapitulatory Compensation

Normatively, part of the recapitulatory transition is recomposed in order to properly prepare the arrival of S at the tonic level. The I:PAC MC would allow a much simpler procedure, only requiring a verbatim restatement of P and TR. However, as Wollenberg has noted, "in numerous cases where exact parallelism was a possibility, Schubert in fact modified the transition in the recapitulation" (1998, p. 50). In works involving an expositional I:PAC MC, the recapitulatory TR is often highly expanded, dramatizing the tonal importance of the new MC and consequently projecting an "illusory sense of hope" into S (specially in minor-mode works). Indeed, the virtually nonexistent expositional TR seems to be compensated by a rhetorically active passage that attempts at all costs to avoid repeating "what went wrong" in the first time.[13]
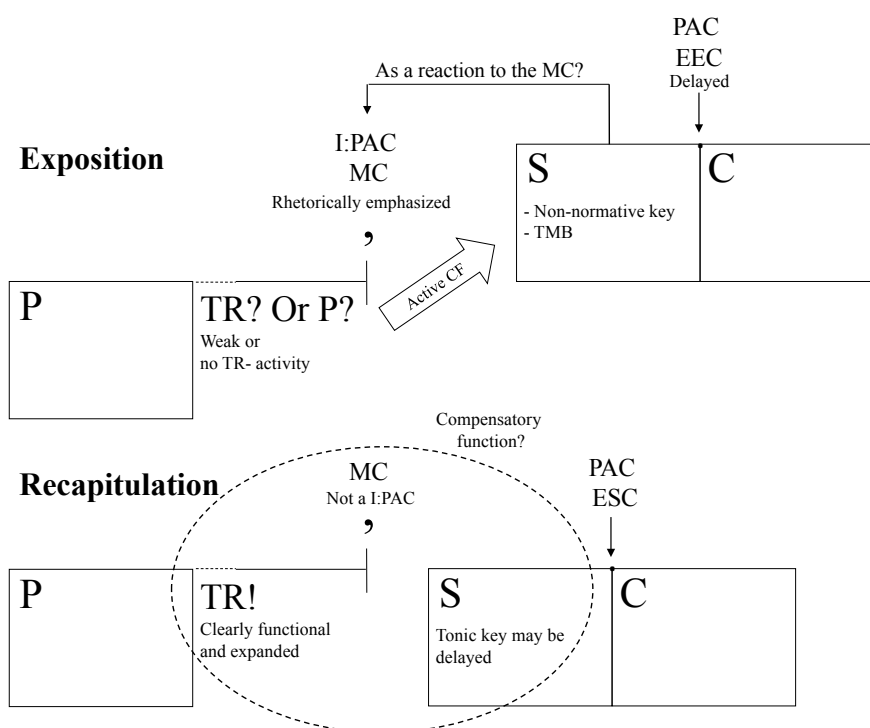
Figure 1: The I:PAC MC and its related events

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[13] Schubert's penchant for the subdominant recapitulation provides here an analogous instance. As observed by Boyd Pomeroy, "although parallel sonata form could be (mis-)used as a mechanical formula (or in Rosen's words, a 'lazy mannerism') to minimize or eliminate the need for re-composition in the recapitulation, Schubert's wide-ranging experimentation with different possibilities seems to indicate a concern more with its compositional challenges than with any potential as a labor-saving device" (Pomeroy 2008, p. 20). See also Boyd 1968, p. 12–21.

Fig. 1 summarizes the most common formal and rhetorical complications associated with the I:PAC MC, which will be illustrated below through the analysis of three movements: Symphony No. 8/i, Symphony No. 9/i, and String Quintet in C/iv.

2.6 Symphony No. 8 in B Minor, D. 759/i

The beginning of the "Unfinished" Symphony (1822) is marked by a "gloomy" opening motto (P^0, mm. 1–8) that introduces highly pessimistic expectations as to the work's expressive narrative. P^0 is followed by an agitated rhythmic stream ($P^{1.0}$, mm. 9–12) that sets the stage for the main theme ($P^{1.1}$, mm. 13–20), a meditative melody that seems to impatiently reflect on its fate. After prolonging the key of B minor, $P^{1.1}$ prematurely moves to the mediant, coming to a III:PAC in measure 20. The early appearance of the mediant might imply a desperate attempt to escape the tonic key. However, III never materializes as a new key; instead, it is almost instantly revoked by a sudden shift to the home dominant and the subsequent return of the main theme.

The following phrase begins as a normative consequent, but the increased harmonic activity and dynamic level introduced from measure 26 onward propose a retrospective reinterpretation of the passage as TR (mm. 22–38), one of the dissolving consequent type. Despite its perceptible transitional character, however, TR fails to free itself from B minor, ending in a fatalistic i:PAC MC (m. 38). At this point, one might wonder if the just-sounded module was indeed P's consequent phrase, which would then imply the onset of TR. Nevertheless, the thin texture and tranquil rhetoric projected by the following music (an active caesura fill) and the introduction of a new, self-contained theme retrospectively confirm the MC status as well as the transitional function of the previous module. In addition, the overemphasized cadential articulation, a typical feature of the I:PAC MC option, suggests that this cadence occupies a privileged position in the structural and expressive unfolding of the work (see Fig. 2).

The S-theme ($S^{1.1}$, mm. 44 ff, preceded by two measures of $S^{1.0}$) emerges as a moment of relief. Richard Taruskin has described it as "an island of repose, a fair and fleeting *Augenblick* magnified into what philosophers call a 'specious present'—a considerable duration that nevertheless represents instantaneousness" (2010, p. 110). For David Damschroder, "the simple yet

perfect melody that opens the G major region is timeless, seemingly stemming from a distant past and extending through eternity" (2010, p. 162). Similarly, Clark has noted its "non-teleological status" (2011, p. 240). I would add that the theme's naïve harmonic and melodic quality associated with its dance-like character suggests a pastoral topic, implying connotations such as lost happiness, lost innocence, and the recollection of childhood.[14] In addition, the key of G major seems to contribute to this interpretation, implying a distant metaphorical place in the sonata's trajectory. Thus, it could be argued that the overdetermined P–TR complex conditions the expressive character of S, which arises as a timeless recollection of a happy and innocent past, postponing the work's "unavoidable fate."

Prior to securing the expected PAC in measure 62, a dramatic halt brings the theme to a formal collapse that motivates the return of P's tormented character, disturbing $S^{1.1}$'s peaceful atmosphere and suggesting a "threat" to the work's tonal trajectory. But $S^{1.2}$ (mm. 63–93) manages to withstand the pressure, finally achieving the EEC in measure 93. Following the cadence, an S-based closing theme suppresses any negative implications that could perhaps arise from the return of a P-based motive.[15]
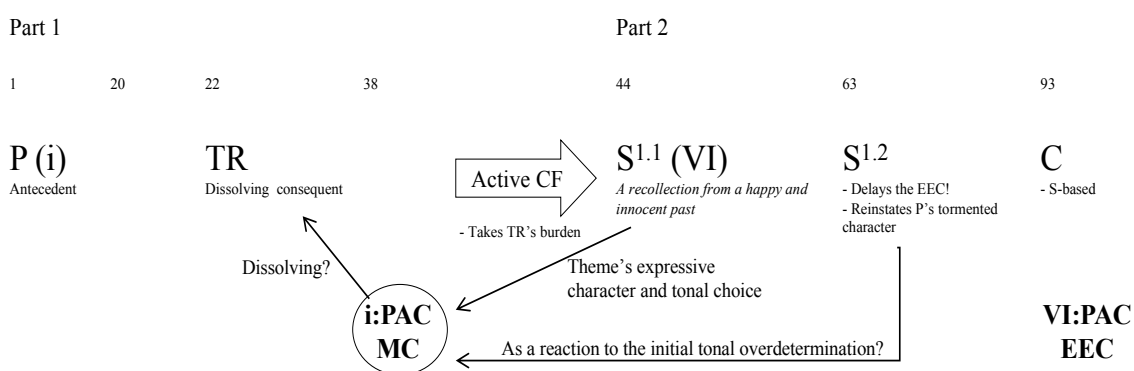
**Figure 2:** The role of the i:PAC MC in the exposition of Symphony No. 8, D. 759/i

The complications introduced in the exposition are brought to a new light in the recapitulation (see Fig. 3). As if compensating for its "handicapped" condition in the exposition, TR is now expanded: after an initial evaded motion towards the submediant, it heads to $V_{/V}$, eventually coming to a dramatized

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[14] For more on the pastoral topic, see Hatten 2004, p. 53–67; and for more on the S-theme's dance-like character, see Schubert 1971, p. 80–82, and Taruskin 2010, p. 110–112.

[15] A fascinating reading of the S–C complex can be found in Hepokoski; Darcy 2006, p. 183.

v:PAC MC. Had this occurred in the exposition, the sounded MC would have been interpreted as a more normative choice; however, its unorthodox appearance in the recapitulation raises questions as to the work's harmonic course. One could argue that it compensates for TR's expositional harmonic overdetermination, allowing S to "breathe fresh air" before the unavoidable return of the tonic key. From a transformational perspective, the recapitulatory MC could be explained as the most efficient choice to set up the key of D major (III)—S's starting key—mirroring its expositional counterpart, the submediant.[16] Regardless of our final interpretation, the new key does delay the arrival of the home key, compensating for the overdetermined expositional P and TR.
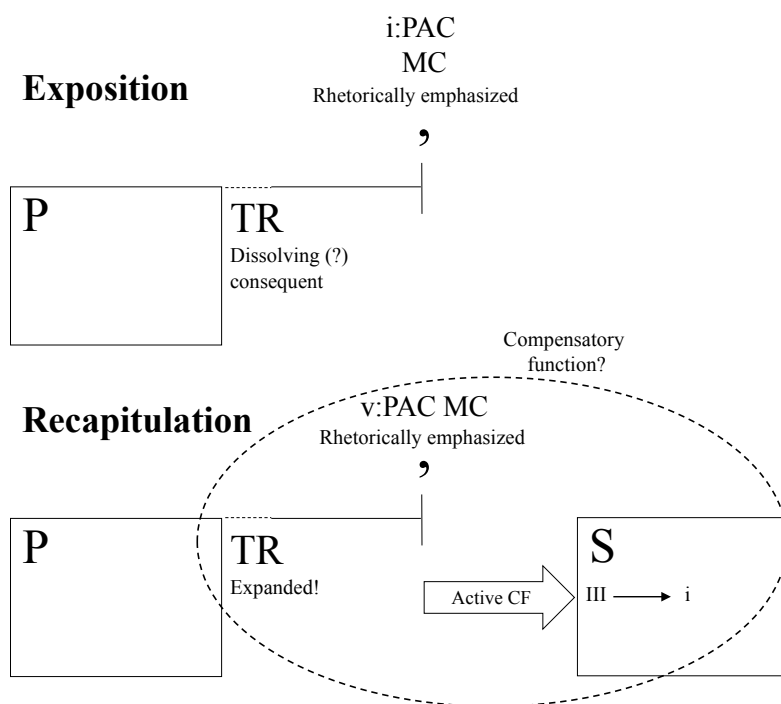
Figure 3: The recapitulation's compensatory function in Symphony No. 8, D. 759/i

The tonal and formal complications featured in the "Unfinished" seem to spring from the expressive interaction between the minor and major modes as well as the character and function assigned to each of the chosen keys. Needless to say, the i:PAC MC plays a pivotal role in the plot: it confirms the tonic's initial

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[16] As mentioned above, for Clark, the choice of third-related keys for both expositional and recapitulatory S-spaces implicates the relocation of the traditional fifth-space defined by the distance between tonic and dominant. See Clark 2011, p. 228–246.

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hegemony, then becoming an interpretative point of reference for the remainder of the work.

2.7 Symphony No. 9 in C, D. 944/i

Another example of the I:PAC MC is found in the first movement of the "Great" C-Major Symphony (1825–26). Here, following a lengthy introduction, the P-theme (mm. 78ff) arises confidently, projecting an assertive military character. It comes to a I:PAC in measure 94 and is followed by a brief cadential appendage that seems to confirm the tonic key (Fig. 4). However, the increased harmonic activity introduced in measure 103 suggests instead a reinterpretation of the just-sounded module as part of TR, one of the "dissolving P-codetta" type.[17] The proposed TR attempts to settle on the subdominant but fails, ending in a I:PAC in measure 122. The reassertion of the tonic raises questions as to the module's formal status: should it be conceived as an overdetermined TR? Or should it rather be interpreted as a second module within the Primary Zone? The subsequent music first restates what was initially heard as P's cadential appendage, but, instead of dissolving into transitional activity, extends the tonic chord in an affirmative rhetorical gesture, suggesting a I:PAC MC (mm. 130–132).

Part 1
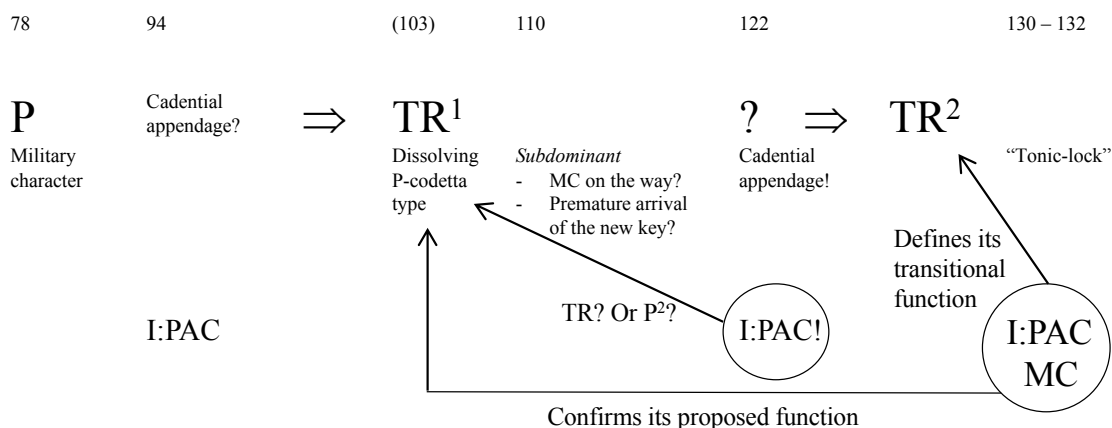
Figure 4: The role of the I:PAC MC in the exposition of Symphony No. 9, D. 944/i (mm. 78–132)

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[17] The term "dissolving P-codetta" was devised by Hepokoski and Darcy to explain transitions that initially impress the listener as a codetta to P, but eventually dissolve into real transitional activity (2006, p. 102–105).

Thus, since measures 122–132 do not introduce any harmonic activity merely extending tonic harmony, I argue that the beginning of TR must be moved back to measure 94. In this context, the increased harmonic activity as well as the motion to the subdominant could perhaps be interpreted as a failed attempt to escape the tonic area. Accordingly, measures 122–132 end up functioning as TR², a transitional appendage that confirms the sounded I:PAC, finally securing the MC, emphasized by an affirmative "tonic-lock."[18] As in the Eighth Symphony, the MC is followed by a short active CF that here leads into the non-normative key of E minor (iii).

S-space promptly projects TR's overdetermination, taking the form of a trimodular block (Fig. 5): TM¹ (mm. 134–150) proves unable to achieve the EEC, eventually dissolving into TM² (mm. 150–174), an area of renewed transitional activity that seems to correct TR's failed function. After briefly implying a potential return of the tonic (mm. 156–158), TM² finally leads into the key of G major (V), securing a V:PAC MC (m. 174) and triggering TM³ (mm. 174–240). The newly articulated MC confirms TM²'s "corrective" function, counterbalancing the restrictive I:PAC MC that punctuated the end of the exposition's first part. In addition, as a common procedure in Schubert's late three-key trimodular blocks, TM³ is built as a varied restatement of TM¹. As Graham Hunt has noted, "this invokes the rhetoric of 'correcting' the key of a theme, particularly when the second key is deformational and the third key is normative" (2009, p. 93).[19] This interpretation reinforces our reading of the V:PAC MC as a "corrective" device and indirectly confirms the impact of the authoritarian-sounding I:PAC MC on the second part of the exposition.

Prior to achieving the EEC, TM³ takes a harmonic detour that delays closure and slowly reinstates the exposition's initial military character. The E♭-major episode (mm. 190–228) ultimately functions as a neighbor to the structural dominant, prolonging ♭VI, eventually transformed into a Ger^6_5. The increased use of brass scoring as well as the reappearance of "cavalry" rhythms in the trumpets from measure 228 onward emphasizes the arrival of the structural dominant,

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[18] The term "tonic-lock" draws a direct parallel between the conventional dominant prolongation that often accompanies half-cadential MCs (dominant-lock) and the tonic prolongation that may follow the I:PAC MC.

[19] For more on trimodular blocks in Schubert's late works, see Hunt 2009, p. 92–102.

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which seems to festively "proclaim" the final expositional "victory" over the tonally static beginning.
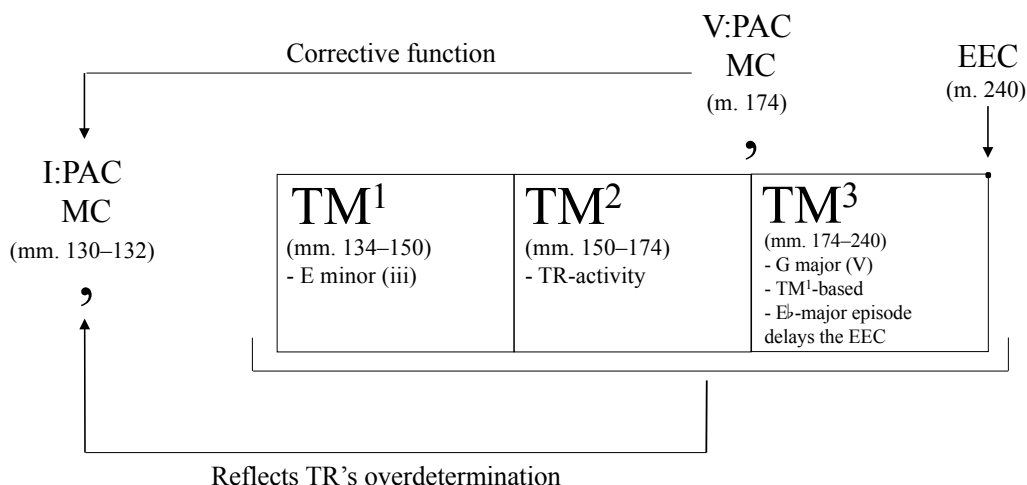
Figure 5: Corrective function of the exposition's second part in Symphony No. 9 in C, D. 944/i

In the recapitulation, P is restated completely, coming to a I:PAC in measure 372. As in the exposition, TR (mm. 372–436) begins as a cadential appendage, dissolving into transitional activity; however, the descending-fifths sequence that led us to the subdominant in the exposition continues past its previous point of arrival, moving this time to the major mediant (mm. 392ff). After being prolonged for 13 measures, the E-major harmony gives way to a contrapuntal ascending-seconds sequence that eventually takes us to ii° in C minor (m. 416). The pre-dominant function is then extended by a filled-in bass arpeggiation ($\hat{2}$–$\hat{4}$–♭$\hat{6}$) that leads ultimately into a i:HC (m. 424). An extensive dominant-lock confirms the just-sounded cadence and sustains the accumulated energy until the arrival of the MC, finally bringing the expected crux point (m. 436). Thus, it can be argued that the extended pre-crux alterations featured in the recapitulation both clarify TR's transitional function and compensate for the module's tonal over-determination in the exposition. This formal compensation is confirmed by a normative cadential articulation and the presence of an affirmative dominant-lock (Fig. 6).[20]

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[20] Later nineteenth-century composers also made much use of tonal overdetermination, often introducing formal and expressive complications to the work's narrative. An example is found in Tchaikovsky's Symphony No. 4 (1877–78), op. 36/i, in which a massive tripartite P–TR complex fails to move away from the tonic, ending eventually with a fatalistic "tonic-lock" (mm. 100–3).
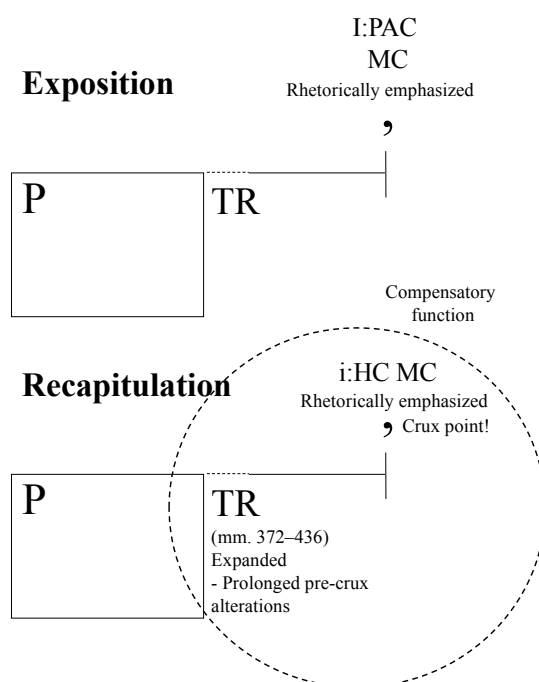
Figure 6: Recapitulation's compensatory function in Symphony No. 9, D. 944/i

2.8 String Quintet in C, D. 956/iv

Our third example, the finale of the C-major String Quintet, D. 956, was completed in 1828, only two months before Schubert's death. As a whole, this is an expanded Type 1 sonata with a P-based discursive coda.[21]

The movement begins with an agitated, fandango-like P-theme[22] that unfolds over a dominant pedal, initially suggesting the key of C minor through modally inflected neighbor motions ($^{\flat 6}_4$ - $^5_3$). After a sudden shift to $^\flat$VII in measure

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A highly expanded active CF (mm. 104–16) ultimately releases the accumulated energy and takes the burden of TR, accomplishing the modulation to the secondary zone. Additionally, the movement includes other tonal and formal complications that could be interpreted as consequences of TR's overdetermination. For example, both S^1 and S^2 are placed in non-normative keys, A$\flat$ minor (iii) and B major (a tritone away from the initial tonic), respectively.

[21] Also known as sonata form without development (or sonatina form), the Type 1 sonata comprises only two structural rotations: exposition and recapitulation. In the expanded Type 1, the recapitulatory P–TR complex is expanded, sometimes giving the impression of an implanted "development" section. For more on Type 1 sonatas, see Hepokoski; Darcy 2006, p. 343–352.

[22] In a similar fashion, David Beach characterizes the Finale of the C-major Quintet as "a boisterous gypsy rondo that [...] conjures up images of musicians sitting around a fire, playing while their comrades dance in a circle" (2017, p. 185).

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13 (as a supposed V of E♭), the now fragmented theme rises chromatically to C major (I). The tonic chord brings harmonic stability and, more importantly, introduces the hitherto withheld major mode, transforming the initial gesture into a more elegant one.[23] After briefly tonicizing the submediant, the tonally solid P-theme articulates a I:IAC in measure 38, repeated four measures later and confirmed by insistent reiterations of the tonic chord.[24]

The cadence seems to mark the end of P, implying an imminent TR; nevertheless, the emergence instead of a song-like theme contradicts the proposed expectations, requiring a retrospective reinterpretation of the just-sounded cadential punctuation as a I:IAC MC. This reading is confirmed by the rhetorically emphasized cadential gesture that follows the IAC (which closely resembles the extended "tonic-lock" that marks the I:PAC MC of the "Great" Symphony, see Ex. 1a–b). Interpreting this cadence as an MC would imply the existence of a transitional area; however, the absence of any transitional activity contradicts this premise, giving the impression that TR has been completely suppressed by P. This formal anomaly may be interpreted as a reaction to the theme's unstable start, as if the hard-won major tonic, fearing the return of the minor mode and its conspicuous tonal instability, decided to suppress any transitional rhetoric and move directly into S-space.[25]

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[23] The impression at this point is that a much nobler character replaces the haughtiness and disdain evoked by the Spanish fandango allusion.

[24] It has been suggested to me by an anonymous reader of an earlier version of this paper that mm. 35–42 comprise a presentation phrase and, therefore, labeling mm. 38 and 42 as IACs would be potentially problematic. Although agreeing that different readings of this P-theme are valid, I prefer interpreting this passage as two identical IV-I-V-I cadential phrases that emphasize the folk-like atmosphere that characterizes this module. It is worth noting that this is exactly the same closing gesture that Schubert uses in *Die Forelle,* D. 550 (see mm. 13–20).

[25] Hepokoski and Darcy offer a brief discussion of situations in which P ends with a I:PAC or I:IAC (MC?) and S follows directly. According to them, "the situation occurs infrequently and is mostly confined to brief or small-scale movements" (which is not the case in the quintet). They relate the procedure to the rare fourth-level default I:PAC MC and advise that such occurrences "should not be invoked casually in any analysis" (2006, p. 116).

Example 1a: I:PAC MC and its "standing on the tonic" in Symphony No. 9, D. 944/i

Example 1b: I:IAC MC and its "standing on the tonic" in the Finale of the String Quintet in C, D. 956

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In contrast to the two previous examples, the arrival of the new key, G major (V), is not prepared by CF. In the Quintet, the C-major chord that closes the first part of the exposition directly pivots as IV after the appearance of F♯ in measure 46, allowing the new key to emerge.[26]

The S-zone (mm. 46 ff) comprises two complete statements of a highly expanded compound sentence followed by a cadential phrase (m. 107) that finally introduces a sense of closure. The first two attempts to attain the EEC (mm. 107–110 and 111–114) result in deceptive cadences. These are followed by an abbreviated final attempt that once again fails to secure the EEC, dissolving into closing material (mm. 127 ff) and allowing for the return of the minor mode.[27] For Hepokoski and Darcy, "S exists to drive to a secured PAC. Were that PAC/EEC left unaccomplished—as a fully intended expressive strategy on the part of the composer—the exposition would be an illustration of frustration, nonattainment, or failure" (2006, p. 177).[28] Accordingly, it can be argued that the Finale of the C-major Quintet features an extreme case of formal deformation, perhaps as a result of the movement's initial overdetermination, in which, in contrast to the two previous examples, the EEC is not only delayed but altogether missing, resulting in a "failed exposition" (Fig. 7).

The recapitulation begins with a verbatim restatement of P, this time ending in a I:PAC (m. 212). Prior to securing the MC, the initial melodic idea is reintroduced, triggering an extensive elaboration of the P–TR complex that takes the form of an implanted "development" section (Type 1^{exp} sonata). The expanded module seems to move towards a I:PAC MC in measure 267, as in an attempt to reaffirm the expositional overdetermination—a non-normative procedure even by Schubert's standards. However, the cadential gesture is interrupted by the premature appearance of the S-theme, resulting in an evaded
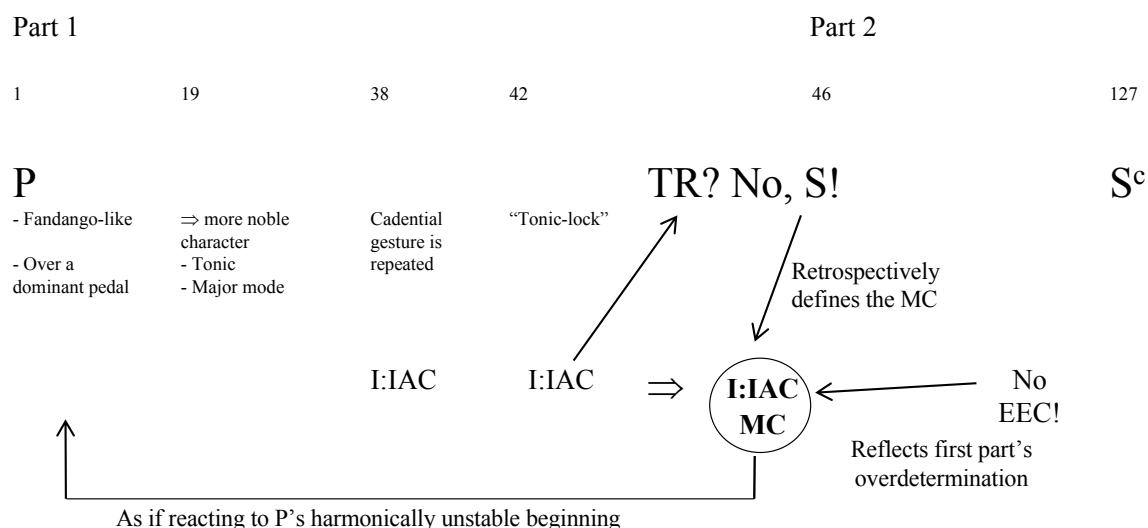
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[26] As has been pointed out to me by the same anonymous reader mentioned above (who I greatly thank for the careful review of this paper), this is a very unusual way to start an S-theme, i.e., off-tonic with what Gjerdingen calls the Prinner schema (creatively deployed here).

[27] Despite its marked closing-rhetoric, the module introduced in measure 127 is better conceived as an S^c theme; i.e., an apparent C-module in the absence of an EEC. According to Hepokoski and Darcy, the label S^c "suggests the presence of a theme literally in precadential, S-space that in other respects sounds as though it is more characteristically a closing theme" (2006, p. 191). For more on S^c themes, see ibid., p. 190–191.

[28] For more on the concept of failed expositions, see Hepokoski; Darcy 2006, p. 177–178.
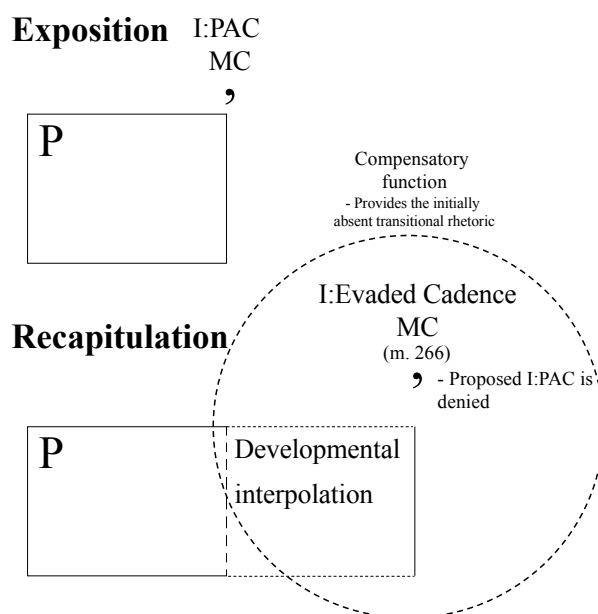
MC articulation. Despite the absence of the final tonic chord, the long gap that separates the dominant chord from the pronounced entrance of the S-theme accomplishes the MC's function and sets the stage for the recapitulation's second part.

Part 1   Part 2

1   19   38   42   46   127

P   TR? No, S!   S^c

- Fandango-like   ⇒ more noble   Cadential   "Tonic-lock"
                   character   gesture is
- Over a   - Tonic   repeated   Retrospectively
dominant pedal   - Major mode   defines the MC

                   I:IAC   I:IAC   ⇒   I:IAC   No
                                                  MC   EEC!

                                                        Reflects first part's
                                                        overdetermination

          As if reacting to P's harmonically unstable beginning

Figure 7: The role of the I:IAC MC in the first part of the exposition in the String Quintet in C, D. 956/iv

As seen above, Symphonies Nos. 8 and 9 feature recapitulatory MCs that confirm TR's compensatory function. In the quintet, on the other hand, even though the lengthy interpolation compensates for the missing expositional transitional rhetoric, the formal compensation is not reinforced by the MC (Fig. 8). In conclusion, it seems clear that the I:PAC MC option has far-reaching consequences for the form: it arises as the final punctuation of an "obstinate," tonally static, and rhetorically "defective" TR, influencing the structure and character of S, and resulting in a dramatically charged recapitulatory compensation.[29]

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[29] Other examples of the I:PAC MC in Schubert are found in the Piano Trio in E♭, D. 929/iv (mm. 69–73); and in the Piano Sonatas in a, D. 784/iii (m. 45), and in G, D. 894/iv (m. 53).

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Exposition   I:PAC
MC
,

P

Compensatory
function
- Provides the initially
absent transitional rhetoric

I:Evaded Cadence
MC
(m. 266)
, - Proposed I:PAC is
denied

Recapitulation

P

Developmental
interpolation

Figure 8: Recapitulation's compensatory function in the Finale of the String Quintet in
C, D. 956

3. The Clarifying MC

3.1 Where Is the Transition?

This category features a much more localized procedure. While the examination of the I:PAC MC relied upon the broad apprehension of structural and expressive events across the entire movement, the study of this deformation focuses exclusively on the TR–S formal complex. Here, TR's function is only retrospectively clarified by the articulation of the MC as well as the subsequent appearance of a convincing S-candidate. In some situations, P ends with a I:PAC and is then followed by a module that does not manifest any transitional rhetoric but that eventually manages to secure the MC, retrospectively elucidating the passage's transitional role (Fig. 9).[30] In some instances, this formal reinterpretation will only be possible after the arrival of S.

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[30] For studies that examine Schubert's formal complications from a phenomenological perspective, see selectively: Schmalfeldt 2011, 113–58; Lee 2010; Martin and Moortele 2014, 130–155; and Venegas 2020).

Exposition
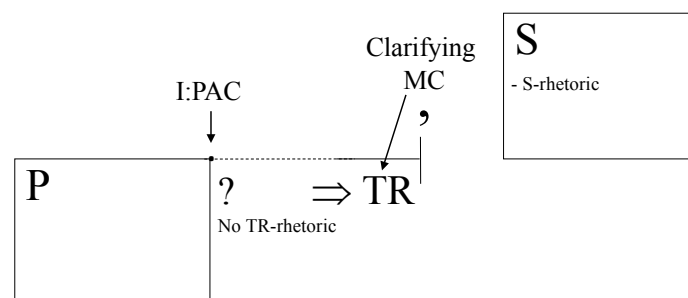
Figure 9: The Clarifying MC (type 1)

3.1.1 Caesura-Fill ⇒ TR in the Piano Sonata in B, D. 575/iv

In the Piano Sonata in B major, D. 575/iv, P is structured as a small ternary, in which a periodic A (mm. 3–12) is followed by a compact contrasting middle (B, mm. 13–28) that prolongs the tonic through an arpeggiation to the flat mediant (D major). Following a short retransition, A is restated in its entirety, coming to a I:PAC in measure 38 (Ex. 2). The cadence is then confirmed by two varied reiterations of its final cadential gesture, marking the end of P. At this point, the listener would expect the onset of TR; however, a *forte* CF-like descending scale seems to "take control of the passage," brusquely articulating a premature V:HC MC (m. 50), confirmed by the subsequent *piano* and *dolce* S-theme.

Even after the MC articulation, the function of the brief module introduced in measures 47–50 is not clear: should it be conceived as TR? Or should one take into account its CF-like character, perhaps describing it as an initially perceived CF that retrospectively becomes TR after the articulation of the MC? The second reading seems to better represent the listening process; however, given that CF is expected to fill in the space between the MC and the onset of S, the interpretation of measures 47–50 as CF would imply a previously secured MC, in this case a I:PAC MC (mm. 38–46).

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Example 2: The Clarifying MC in the Finale of the Piano Sonata in B, D. 575 (mm. 23–58)

As shown above, Schubert's I:PAC MCs often follow a "defective," rhetorically weak TR that, in extreme cases, might not feature any transitional activity—as in the C-major Quintet. In addition, the I:PAC MC is always rhetorically emphasized, as is the case in the B-major Piano Sonata. I therefore propose a third reading that attempts to explain the process of formal reinterpretation featured in this passage: 1) a I:PAC marks the end of P, raising expectations as to the onset of TR. However, 2) the appearance of CF-like material retrospectively alters the perception of the sounded cadence, then reinterpreted

as a deformational I:PAC MC. Ultimately, 3) CF articulates a new cadence that replaces the first MC candidate for a more normative choice, a V:HC MC.[31]

3.1.2 P-Codetta ⇒ TR in the Piano Sonata in E♭, D. 568/iv

In the E♭-major Piano Sonata, D. 568/iv, P's contrasting middle (mm. 5–14) comes to a I:HC in measure 12 followed by a short dominant-lock that leads into a clear interruption in measure 14 (Ex. 3a).[32] After a full restatement of the initial hybrid theme (c.b.i. + consequent), A' articulates a I:PAC (m. 18), which is directly confirmed by a P-codetta module. The passage comprises two statements of a compact sentential structure punctuated by an IAC (m. 20) and a PAC (m. 22) in the tonic. Instead of moving on to new material, a short chromatic link leads to reiterations of the just-sounded cadential gestures, this time in the dominant. Despite the absence of any transitional rhetoric as well as the abruptness of the modulation, the two cadences in the dominant suggest a premature, underprepared articulation of the MC, which in turn impels the listener to reinterpret measures 19–24 as TR, one of the "dissolving P-codetta" type. Nevertheless, the increased rhythmic activity and the collapse to B♭ minor (v) in measure 25 seem to overturn the proposed MC, marking the onset of the real TR. Once again contradicting our expectations, the new section does not dissolve into transitional activity. In fact, its tight-knit initial organization and tonal stability propose instead S rhetoric.

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[31] Another instance of the clarifying MC is found in the Piano Sonata in a, D. 784/i. In this case, what is retrospectively reinterpreted as TR is initially heard as a preparatory module (TR[0], mm. 47–61).

[32] A similar interpretation of D. 568/iv (first part of the exposition) is offered in Venegas 2013, 49–50.

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Example 3a: The Clarifying MC in the Finale of the Piano Sonata in E♭, D. 568 (mm. 11–28)

Thus, the V:PAC MC (m. 24) ultimately clarifies the transitional status of what was initially heard as P-codetta. This conclusion is only confirmed after realizing that the B♭-minor module is indeed the S-theme and not TR. Interestingly, this complex situation is straighten out in the recapitulation

(example 3b) where the cadential appendage dissolves into real transitional activity, coming to a rhetorically emphasized i:HC MC (m. 160).

Example 3b: Piano Sonata in E♭, D. 568/iv, recapitulation (mm. 146–166)

3.2 Clarifying and Correcting

In some cases, the Clarifying MC incorporates an additional corrective function, combining elements of both categories examined so far. In such instances, a convincing TR fails to move away from the tonic, articulating a I:PAC. The cadence, which might initially impress the listener as the MC, triggers a second transitional attempt (TR^2) that, despite featuring a "deficient" character, eventually attains the real MC. The final punctuation clarifies the transitional function of its immediate preceding passage and corrects TR^1's overdetermined cadential articulation (Fig. 10).
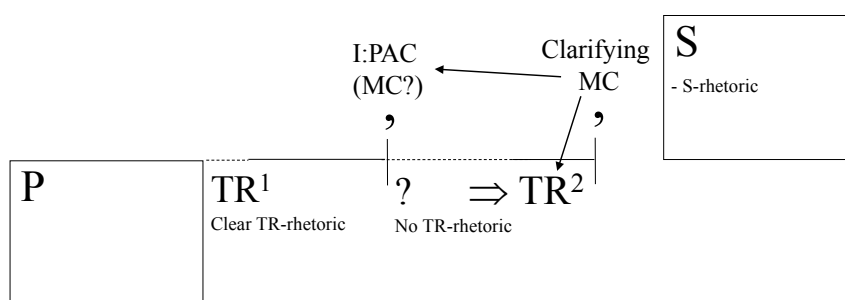

Figure 10: The Clarifying MC (type 2)

3.2.1 String Quartet No. 15 in G, D. 887/i

The first movement of the G-major String Quartet, D. 887, begins with an introductory module that instantly reveals the major-minor opposition that defines the harmonic content of the work.[33] Following the dramatic introduction, P arises as a relief: a meditative melody supported by the "modally corrupted" descending tetrachord (G–F–E♭–D), elaborated by a chromatic 5–6 sequence.[34] The theme is organized as a slightly expanded sentence and comprises two varied statements of the same melodic and harmonic structure, ending with a I:PAC in measure 33.

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[33] Measures 1–15 may alternatively be read as P^1 or P$^{1.0}$, integrated to the Primary Zone. Although the module's declamatory rhetoric suggests an introductory character, its return at the beginning of the recapitulation as well as its harmonic and thematic content implies instead that the module belongs to the sonata proper. See Dahlhaus 1996, p. 1–12.

[34] A detailed harmonic analysis of the G-major Quartet from a Schenkerian viewpoint is offered in Beach, 1998, p. 87–99.

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TR[1] begins in measure 33 as a dissolving restatement, introducing the typical increased rhythmic activity and melodic fragmentation (Ex. 4). After reworking the first three steps of P's descending tetrachord, TR[1] comes to a $V^6_5{}_{/V}$, perhaps suggesting the imminent articulation of a i:HC MC. However, the chromatically altered chord proves unable to secure the dominant, collapsing into its diatonic counterpart, and leading eventually into a rhetorically stressed I:PAC.[35] At this point, one might argue that this example closely resembles the I:PAC MC option featured in the "Unfinished," in which TR, a "defective" dissolving consequent, articulates a I:PAC MC, marked by an emphasized dominant chord. In the quartet, however, the cadence is followed by a quiet sequential passage that articulates a III:HC (m. 59) followed by dominant-lock and MC punctuation (m. 63).

Example 5: Reconstruction of mm. 51–66 of the String Quartet No. 15 in G, D. 887/i

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[35] As proposed by David Beach, mm. 15–54 could alternatively be regarded as a trimodular P-theme, comprising a thematic statement followed by two variations (see Beach 2017, p. 15–18).

By comparing both TR-modules, one may notice that the short and quiet TR² is only able to succeed thanks to the great emphasis accorded the MC. Interestingly, had it maintained the same two-bar sequential model, moving directly into the S-zone (here an expanded TMB structure), TR² would have sounded as a caesura-fill, linking the I:PAC MC to the second part of the exposition (see reconstruction in Ex. 5). Thus, as pointed out above, the affirmative rhetoric projected by the extended MC area incorporates a two-fold role, clarifying TR²'s transitional function and correcting TR¹'s I:PAC MC.

3.2.2 String Quartet No. 13 in A Minor, D. 804/iv

In the Finale of the A-minor String Quartet, D. 804, the P-theme (structured as a small binary) is followed by a codetta that seems to simply confirm the key of A major. At the moment of resolution, however, the expected I:PAC is evaded by a sudden harmonic and melodic halt (m. 36), impeding the final affirmation of an already overdetermined P (Ex. 6). Following the gap, the use of melodic fragmentation, *fugato* style, and the "lights-out" effect indicates that TR is underway. Nevertheless, despite its conspicuous TR-rhetoric, the module fails to articulate a normative MC: after a brief modulation to ♭III, the music is pulled back to the home key, coming to a *forte* I:PAC in measure 53. The cadence elides with the return of the P-codetta module, retrospectively defining the structure of this elaborated cadential appendage as a small ternary (A B A'). A' eventually dissolves into transitional activity, attaining a V:PAC MC in measure 67 followed by an extended CF and a "defective," but convincing S-theme.

It seems clear that this MC also plays a double role: 1) it corrects the over-determined I:PAC that ended the first potential TR-module and 2) clarifies the transitional function of A' as a dissolving reprise of a tripartite P-codetta.

In addition, one could argue that the MC's corrective role is confirmed by a highly expanded "MC area" in which an initial V:PAC is followed by several cadential reiterations that confirm the MC articulation and dissipate the energy accumulated in the course of TR. The de-energizing process ends with an elaborated CF that sets apart the first and second parts of the exposition, preparing the arrival of S.

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Example 6: The Clarifying MC in the Finale of the String Quartet No. 13, D. 804 (mm. 30–74)

4. The Liberating MC

In this category, TR begins as a tonally overdetermined module and ends with a quick and abrupt modulation to the secondary key. The brusque harmonic motion is often "paired down to essentials," barely preparing the articulation of the MC that, despite its sudden arrival, manages to "liberate" the exposition from the tonic's "oppression" (Fig. 11). Interestingly, perhaps for its rhetorical strength, the Liberating MC is always secured by an authentic cadence, in most cases a PAC.
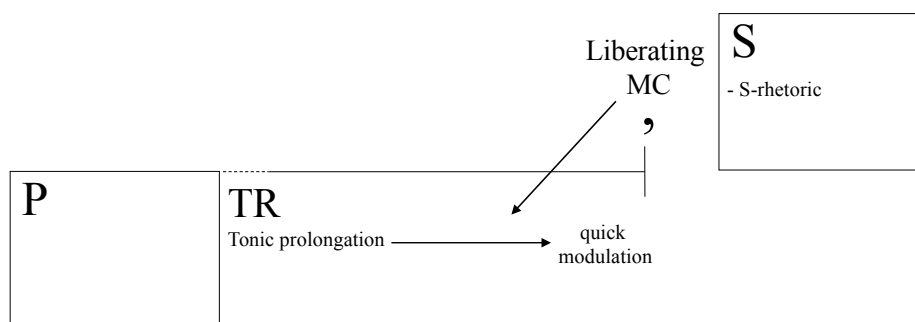
Figure 11: The Liberating MC

In contrast to the three categories discussed above, TR's overdetermination is not necessarily expressed here by the articulation of one or more I:PACs within its course; in fact, in most instances, tonic harmony is prolonged by localized contrapuntal motions or failed cadential attempts. The abrupt modulation that leads to a successful PAC MC in the secondary key, closing such two-stage TRs, is often achieved through a highly compact one-more-time technique that reworks a failed cadential attempt in the tonic. Brian

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Black (2015) has labeled this Schubertian modulatory procedure as the "deflected-cadence strategy." According to him, this strategy involves

> two successive cadential progressions. The first, which occurs in the home key, may either achieve closure or be thwarted by an evaded or deceptive cadence. It is followed immediately by the second cadence, which begins the same way, only to be diverted at the last moment into a perfect authentic cadence (PAC) in the subordinate key. The modulation is thus accomplished exclusively by the second cadence, which both ends the transition and ushers in the subordinate-key region (Black 2015, p. 165).[36]

In early works, a clear, rhetorically active TR extends the home key until the arrival of the MC. Conversely, in late works, TR expresses no transitional rhetoric; indeed, it often comprises a slightly intensified reprise of P, prolonging the tonic through mere repetition. The absence of any transitional activity within TR often introduces formal and expressive complications to the course of the exposition, affecting the MC and consequently the organization of the S-theme (or the exposition's second part as a whole).[37]

4.1 String Quartet No. 5 in B♭, D. 68/ii

The earliest clear example of the Liberating MC is found in the String Quartet in B♭, D. 68, second movement (1813). Here, a rhetorically active TR (mm. 50–107) seems to struggle to free itself from the tonic in a series of proposed but

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[36] For more on Schubert's handling of the "deflected-cadence" strategy, see Black 2015, p. 165–197.

[37] The combination of an extended emphasis on the tonic and a final brief modulation has led many commentators to characterize the transitions featured in this category as short and abrupt (see Hascher 1996, 10; Tovey 1949, 118–27; Webster 1978, 22–6; Wollenberg 1998, 16–61; and ibid. 2011, 47–98). Contrary to this view, I interpret them as comprising a long and two-stage single module that begins by overstating the tonic and ends with a quick and underprepared modulation. Current research on musical form has generally favored a cadence-oriented approach in which cadences act as formal articulators, determining the boundaries of themes and formal zones (Caplin 2004, p. 56; Hepokoski; Darcy 2006, p. 12–13). Accordingly, when discussing the issue of pin-pointing TR's onset, Hepokoski and Darcy "discourage the practice of conferring TR-status in the middle of an ongoing phrase, even though the texture and musical process begin to alter at that moment. […] Once we perceive the appearance of clear TR-activity (mid-phrase), we return to the opening of the phrase, however thematically contoured it might be, and assign the TR-label to that spot" (2006, p. 95). Adopting this criterion, the transitions featured in this category will not be conceived as short and abrupt but, as pointed out above, discursive tonally overdetermined modules that eventually manage to secure the MC.

evaded I:PACs (see mm. 78 and 90). Finally, following an unexpected motion to ♭VI (m. 97), a delicate ascending 5–6 sequence destabilizes the home key, leading into a Liberating V:PAC MC. The cadence releases the exposition from the tonic's domination and allows the S-theme to unfold in a proper manner (Ex. 7).

Example 7: The Liberating MC in the String Quartet No. 5 in B♭, D. 68/ii (mm. 50–107)

4.2 String Quartet No. 8 in B♭, D. 112/i

Another example of the Liberating MC is found in the String Quartet No. 8, D. 112 (1814), first movement, also in B♭ major (Ex. 8). Here, P ends unequivocally in B♭ major and is followed by a short, recitative-like passage, a sort of TR⁰ that modulates to the key of G minor (vi), triggering real transitional activity (TR¹). Perhaps in an attempt to escape from the minor mode, TR returns to the home key in measure 73, articulating a PAC—attenuated by thematic elision and a continuous rhythmic motion. The theme, initially presented in G minor, is now restated over a solid B♭-tonic pedal that seems to confirm the tonic's rhetorical relevance over vi. The reappearance of the dominant of G minor in measure 93 raises questions as to the transition's tonal and expressive trajectory; however, a sudden sequential shift to F major finally leads into a Liberating V:PAC MC (m. 103), freeing the exposition not only from the tonic, but also from the "pessimistic" minor submediant. The impression of release is highlighted by the decreased rhythmic activity following the MC. As Black has observed, "the F-major cadence seems to relax all of the previous tensions by

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dissolving the unsettling eighth-note triplet motion and sudden interruptions that preceded it into its steady whole-note rhythm and hushed dynamics."[38]

Example 8: The Liberating MC in the String Quartet No. 8 in B♭, D. 112/i (mm. 1–103)

4.3 String Quartet No. 9 in G Minor, D. 173/i

Another early instance of the Liberating MC is found in the String Quartet in G minor, D. 173 (1815) (Ex. 9). In this example, TR, a dissolving consequent, prolongs the tonic for 18 of its 21 measures. After failing to secure a proposed I:PAC in measure 43, the final cadential gesture is repeated in B♭ major, allowing for the articulation of a III:PAC MC (m. 45) that liberates the exposition from the tonic. S begins in B♭ major, harmonically and thematically stable, but soon dissolves into renewed transitional activity, moving eventually into the key of D minor (v). One might interpret S's "troubled" condition as a result of the MC's lack of preparation, as if the underprepared key of B♭ major could not stand the pressure, collapsing into the "doggedly negative" key of D minor.[39]

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[38] See Black (2015, p. 177–180) for detailed analyses of the first movements of Schubert's string quartets in B♭ major, D. 112, and in G minor, D. 173, both briefly discussed here as examples of the Liberating MC.

[39] Susan Wollenberg also explores TR's expressive effects in Schubert's G-minor quartet, D. 112. For her, "the influence of the transition here reaches back beyond the accomplishment of the move to the new key, and forward into the second theme itself. Built into this extended perspective are such properties as a reluctance to leave the tonic; prevision of the new key that

Example 9: The Liberating MC in the String Quartet No. 9 in g, D. 173/i (mm. 1–50)

4.4 String Quartet No. 12 in C Minor, D. 703

Schubert returns to the Liberating MC in 1920 with his String Quartet in C minor, D. 703 (*Quartettsatz*).[40] Here, the impact of the MC extends beyond the more localized effect seen in the previous examples; warranting a more complete analysis of the exposition.[41]

In the *Quartettsatz*, P comes to a PAC in measure 13, eliding with the onset of TR (m. 13–27) as a dissolving restatement. Generic TR-activity never materializes, however, and the section projects little if any sense of transitional function.[42] In this case, one could speak of a transition that is formally present but

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lies ahead; and nostalgia for the tonic following the departure from it, all of which correspond to some of the nuances of poetry" (2011, p. 47– 52).

For more on the expressive meaning of the minor dominant as a secondary key in minor-mode sonata form works, see Hepokoski; Darcy 2006, p. 314–317.

[40] For alternative readings of Schubert's Quartettsatz, see (selectively) Hunt 2009, p. 91–92; Wollenberg 2011, p. 52–57; Fieldman 2002, p. 99–146; Mak 2008, p. 145–153; and Pomeroy 2011, p. 59–103.

[41] For other late works that feature the Liberating MC, see the Piano Sonata in B♭, D. 960/I (mm. 1–48) and the Piano Sonata in G/I, D. 894 (mm. 1–24). In both works, the first part of the exposition is structured as a small ternary with dissolving reprise (A B A'⇒TR), resulting in an extended prolongation of the tonic.

[42] Hepokoski and Darcy offer a handful of examples in which TR-rhetoric is lacking (2006, p. 114–116).

rhetorically absent. Because of its continued tonic prolongation, TR might alternatively be regarded as an expansion of P-space. Nevertheless, it does fulfill its vital role of leading us into S-space through a concise modulation: $\flat$II^6 in C minor (mm. 23–24) pivots as IV^6 in A$^\flat$ major, setting up a (partially) Liberating VI:PAC MC (m. 27).

The major mode's effect is one of relief, as if suddenly released by the MC from the highly oppressive minor mode. However, the lack of preparation by generic transition activity render the new theme unstable and fragile, susceptible to a collapse at any moment. At this point, one could perhaps argue that, instead of opening S-space, the key of A$^\flat$ major extends a "failed" TR, giving it a second opportunity to succeed. This reading would nullify the MC status of the VI:PAC, perhaps a reasonable interpretation in view of its prematurity and tonal level.[43] On the other hand, the lyrical "S-ness" of the theme introduced in measure 27 retrospectively confirms the proposed MC. As shown below, our interpretation of the A$^\flat$-major section will also depend upon our apprehension of its role in the larger context, a trimodular block.

TM^1 (mm. 27–61) is structured as a large period whose consequent phrase (mm. 39–61) restates the whole antecedent, expanding its cadential appendage in order to end with a PAC. The expected cadence is evaded in measure 54 by the return of the cadential appendage. This cadential delay perhaps expresses a "fear" of the imminent return of the minor mode, as if the composer was enjoying his moment of joy and did not want it to end. But the major mode cannot withstand the pressure and finally collapses to minor (vi:PAC, m. 61).

The minor mode brings with it a return to a dark, stormy character, and belatedly supplies the hitherto missing TR-rhetoric. The following P-based section (TM^2, mm. 61–93) destabilizes the key of A$^\flat$ major, leading through a series of sequences to a half cadence back in the home tonic (m. 77), which readily suggests a new MC effect. One could perhaps argue that, as in an attempt to fix the "defective" VI:PAC MC, the new MC effect belatedly realizes a more traditional cadential option, i:HC MC. However, the cadential articulation is followed by active caesura-fill, which, after briefly confirming the cadential

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[43] Additionally, the use of a PAC to articulate the MC and the resulting overlapping between the end of TR and the onset of S may contribute to the level of obscurity of this proposed MC. See Richards 2013 for more on the concept of obscured medial caesuras.

arrival, takes control of the passage, declining the proposed MC.[44] The caesura-fill has the effect of correcting the harmonic course of the exposition towards the more normative key of G minor. However, subtle chromatic alterations transform the expected minor-dominant key to its parallel major, an unorthodox secondary key for a minor-mode sonata.[45] The arrival of the major dominant is strongly articulated by a V:PAC MC, finally releasing the major mode from its "defeatist" counterpart. TM[3] (mm. 93–125)—structured as a compound sentence—achieves the EEC in measure 125, a V:PAC that finally brings S-space to an end.

The *Quartettsatz* features the deployment of two Liberating MCs that are directly tied to two prominent expressive elements: the minor mode's negative implications and TR's rhetorical inactivity. The first MC attempts to liberate the exposition from the minor tonic; however, due to its lack of preparation as well as its tonal choice, the task is only partially accomplished. It manages to suppress the tonic key, but fails to suppress the dominance of the minor mode, which returns in TM[2]. In turn, the second MC incorporates a "corrective" role, finally releasing the exposition from the minor mode. This interpretation is not only supported by the fact that the latter MC introduces a more normative cadential option, but also by the rhetorical emphasis that prepares and marks its articulation: First, unlike the earlier "defective" transition, the new one (TM[2]) is characterized by generic energy-gaining processes; secondly, despite its elision with the onset of TM[3], the V:PAC MC is preceded by modulating caesura-fill that expands the "MC area," better preparing the final cadential articulation. A summary of the whole process is offered in Fig. 12.

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[44] For a detailed study of declined-MC situations in Schubert's music, see Navia 2019.

[45] The use of the major dominant as a key in a minor-mode sonata has been the focus of discussion. According to Boyd Pomeroy, "in the nineteenth century, the major mode as a key area emerged as another option, albeit a highly unorthodox (even deformational) one" (2011, p. 60). Hepokoski and Darcy interpret the key of the major dominant as "a delusion, a denial, a false major – pathetically seeking to overturn the negative implications of the initial tonic" (2006, p. 315). In *Quartettsatz* the key of G major emerges as a temporary illusion, constantly under threat from incursions of the minor mode.
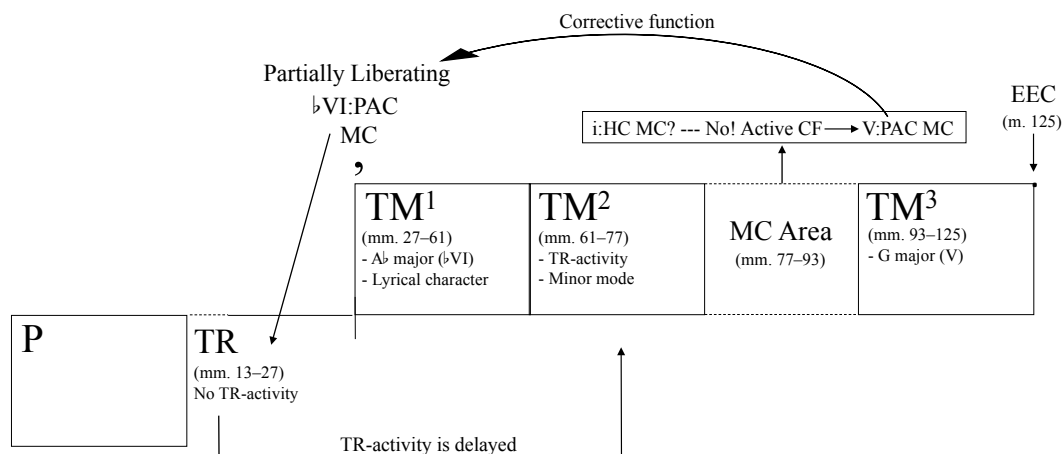
Figure 12: The role of the Liberating MC in the exposition of Schubert's *Quartettsatz*, D. 703

5. Final Thoughts

In conclusion, the "poetic resonances" released by Schubert's tonally over-determined TRs indeed extend well beyond their realization and, in most cases, involve the MC as protagonist: 1) The MC may arise as reacting against a tonally over-determined module, liberating the remainder of the exposition from the tonic's control, or retrospectively "correcting" a tonally and/or formally "defective" passage. 2) Conversely, the MC may be regarded as accepting TR's expressive choices, releasing "poetic" properties with broad formal and rhetorical consequences. 3) Lastly, the MC may serve to clarify a formally ambiguous passage, often obscured by the non-traditional arrangement of tonal, textural, formal, and rhetorical elements. In most cases, the blurring of boundaries and functions of the MC's adjacent formal zones implicates a complex process of formal reinterpretation.

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