The Medial Caesura Declined in Schubert's Sonata-Form Expositions

A Cesura Medial Recusada nas Exposições de Obras em Forma Sonata de Schubert

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Abstract: The medial caesura (MC) is a mid-expositional break that divides a sonata-form exposition into two parts. It acts as a tonal and formal proposition, a suggested plan of action that, to be accepted, requires a convincing S-candidate and a key other than the tonic. Failure to launch any of the typical S-opening types or to move away from the tonic after the MC may indicate that the proposed gesture is being retrospectively declined, as if the subsequent music were unable, or perhaps refused, to move past the MC effectively. This situation often results in the reopening of pre-MC space, suggesting a return to either P or TR and an eventual articulation of a new, rhetorically stronger MC. In this paper, I investigate Schubert's handling of declined MCs within sonata expositions, demonstrating how the strategy's formal and expressive outcomes may be directly associated with a given MC pair. I examine four different declined/accepted MC pairs, organized as follows: 1) a declined Classical MC is followed by another Classical MC; 2) a declined MC in a non-normative key is followed by a Classical MC; 3) a declined Classical MC is followed by an MC in a non-normative key; and 4) a declined MC in a non-normative key is followed by an MC in the same key or in another non-normative key. The conclusion shows that declined/accepted pairs involving tonally unconventional MCs often implicate formal and tonal complications that require some kind of correction or compensation, resulting, for instance, in a multimodular S, a modulatory CF, or a direct motion to the EEC. Interestingly, even when dealing with the Classical/Classical pair, Schubert constantly avoided the Classical deployment sequence, experimenting with innovative strategies that impacted the exposition's layout in some way. It seems that, in Schubert, the declined-MC strategy exceeds its inherent rhetorical (and coloristic) function, frequently incorporating structural significance.

Keywords: Medial Caesura Declined; Schubert's Instrumental Music; Sonata Form; Two-Part Exposition; Continuous Exposition

Resumo: A cesura medial (MC) é uma articulação formal que divide a exposição da forma sonata em duas partes. Ela age como uma proposta tonal e formal, um plano de ação que para ser acatado depende da introdução de um tema capaz de assumir a função de tema secundário (S-theme) e de uma tonalidade que não a inicial. O não cumprimento de ao menos um desses requerimentos pode sugerir a recusa retrospectiva da proposta apresentada pela MC. Situações como esta implicam, em geral, na reabertura do espaço pré-MC, sugerindo um retorno ao tema primário (P) ou à transição (TR) e uma eventual articulação de uma nova MC, retoricamente mais acentuada. Neste artigo, investigo a forma como Schubert manuseia cesuras mediais recusadas (declined MCs) nas exposições de suas obras em forma sonata, demonstrando como as consequências formais e expressivas derivadas do uso desta estratégia estão diretamente associadas a um par de MCs específico. Examino quatro pares de MCs recusada/aceita, organizados da seguinte maneira: 1) MC Clássica recusada seguida por MC Clássica aceita; 2) MC em uma tonalidade não-convencional recusada seguida por MC Clássica aceita; 3) MC Clássica recusada seguida por MC aceita em uma tonalidade não-convencional; e 4) MC recusada seguida por MC aceita, ambas em tonalidades não-convencionais. A conclusão demonstra que pares envolvendo MCs em tonalidades não-convencionais, na maioria dos casos, implicam em complicações formais e tonais que requerem algum tipo de correção ou compensação, resultando, por exemplo, em uma zona temática secundária multimodular, um preenchimento de cesura modulante, ou mesmo a evitação da MC por meio de um movimento direto à EEC. É interessante notar que, mesmo ao manusear o par que envolve duas MCs Clássicas, Schubert evita constantemente a ordem crescente de articulação cultivada no fim do século XVIII, provando estratégias inovadoras que afetam a organização da exposição de alguma forma. Pode-se afirmar que, em Schubert, a MC recusada excede sua função retórica (e colorística), frequentemente incorporando um significado estrutural.

Palavras-chave: Cesura Medial Recusada; Obra Instrumental De Schubert; Forma Sonata; Exposição Em Duas Partes; Exposição Contínua

1. Introduction: Medial Caesura Declined

Much of the current research on musical form has pursued a cadence-oriented approach in which the cadence is not only a crucial component of the harmonic syntax of a given musical passage as the progression's ultimate goal, but also a central element in the process of formal articulation (see selectively Caplin 1998 and 2013; and Hepokoski; Darcy 2006). Among the conventional cadential gestures most relevant to articulating the inner parts of a sonata form is the cadence that punctuates the end of the transition and sets up the entrance of the S-theme, termed by Hepokoski and Darcy (1997 and 2006, p. 23–50) the *medial caesura*. The medial caesura (MC) is a mid-expositional break that divides a sonata-form exposition (and recapitulation) into two parts: the first part comprising the primary theme zone (P) and the transition (TR), and the second,

the secondary theme zone (S) and the closing section (C) (2006, p. 23–25). This formal articulation is often associated with a sequence of four events that defines its rhetorical strength, harmonic quality, and, ultimately, its formal role: 1) TR's energy gain in the approach to the structural dominant, 2) the articulation of a half cadence and subsequent dominant prolongation, 3) the MC gap itself, and 4) the appearance of an appropriate S-theme that retrospectively confirms the proposed MC gesture (2006, p. 30–36).

Before being ratified by the S-theme, the medial caesura acts as a *tonal and formal proposition*, a suggested plan of action that, to be accepted, requires a convincing S-candidate—often characterized by a new texture and a low dynamic level—and a key other than the tonic. As noted by Hepokoski and Darcy, "the change of texture and/or dynamics functions as a standard gesture that accepts and ratifies the preceding caesura as the MC" (2006, p. 36). Failure to launch any of the typical S-opening types or to move away from the tonic after the MC may indicate that the *proposed MC* is being retrospectively *declined*, as if the subsequent music were unable, or perhaps refused, to move past the MC effectively. This situation often results in the reopening of pre-MC space, suggesting a return to either P or TR and an eventual articulation of a new, rhetorically stronger MC (2006, p. 45–47).

In the Classical period, the standard strategy was to restore TR-activity in order to attain the next temporally available cadential option (e.g., declined I:HC MC/accepted V:HC MC, or declined V:HC MC/accepted V:PAC MC) (2006, p. 36–40). For Hepokoski and Darcy (1997), "the expressive purpose of the medial caesura declined is normally to show the compositional decision to spring into a proportionally larger frame—the decision to manufacture a grander, perhaps monumentalized exposition (and hence movement as a whole)" (p. 138). Indeed, declining a proposed MC may suggest the need for a stronger, more solidly articulated caesura, set up by a more characteristic energy-gain module, to the end of a more imposing, highly dramatized exposition.

2. Declining a Proposed MC

Hepokoski and Darcy offer a detailed study of four situations that may result in a declined MC (1997, p. 138–145; 2006, p. 45–46). In the first, the proposed MC is canceled by the return of the P-theme in the tonic, suggesting a restart. Frequently, the new P-module soon dissolves into transitional rhetoric,

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eventually articulating a new MC. In most instances, the overall effect is that of a "grand antecedent" (P), punctuated by an overemphasized I:HC, being followed by a "grand dissolving consequent" (TR), a module that manages to secure the real MC—usually a V:HC MC. An example of this procedure is found in the first movement of Mozart's Symphony No. 40 in g, K. 550 (2006, p. 45).

The second situation involves the return of the tonic key, following a proposed I:HC MC, but with the introduction of new thematic material, as in the finale of Beethoven's Second Symphony (see 2006, p. 45–46).

In the third situation, a sudden motion into a distant and non-normative key declines the proposed MC. The music that follows the proposed gesture may incorporate a variety of characters: lyrical or non-lyrical, calm or agitated, soft or loud, slow or fast. Regardless of its initial character, the new module often proceeds to reinvigorate TR-activity, thus retrospectively clarifying its non-S status and creating the need for a stronger MC. For Hepokoski and Darcy (2006), the sudden tonal detour "might suggest a willful, *forte* assertion of personality or eccentricity; a dogged determination not to succumb to a weak caesura; or, conversely, a momentary failure of nerve and tragic slippage onto the wrong key or into a zone of shadowy escape" (p. 46). Regardless of the analyst's final interpretation, there is no question that the *non sequitur* shift plays an important role within the work's tonal and rhetorical trajectory. An example is found in the first movement of Beethoven's String Quartet in c, op. 18 No. 4 (see ibid).

In the fourth situation, the module that follows the proposed MC begins in the expected key but fails to express convincing S-rhetoric. In most instances, the music refuses to drop to *piano*, instantly restoring TR-activity. Since S-themes may incorporate a wide range of characters, including the normative *forte* and bustling types, the analyst should be cautious, considering the possibility of interpreting the new module as a *forte* S or even an S-deformation.[1] When dealing with ambiguous situations, Hepokoski and Darcy advise "[considering] such things as the persistence or nonpersistence of TR-motives after the supposed MC" (ibid). The first movement of Mozart's Symphony No. 20 in D, K. 133, provides an example of the procedure (see ibid, p. 47).

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[1] For a comprehensive list of S-theme types within allegro movements, see Hepokoski; Darcy 2006, p. 131–142.

3. Declined MCs and the Trimodular Block

MC-declined situations may occasionally be in dialogue with trimodular block strategies. Let us consider the following hypothetical situation: a proposed MC is followed by a convincing S candidate, which, incapable of securing the EEC, eventually dissolves into TR-activity, leading into a rhetorically stronger MC and a new S-like theme. One could argue that the restored transitional rhetoric within what seemed to be S-space retrospectively cancels the proposed MC, reopening the exposition's first part as in a declined-MC situation. This interpretation, however, overlooks the conspicuous "S-ness" expressed by the theme following the first MC, an essential part of the work's narrative.

An alternative would be to conceive the post-MC[1] area as a trimodular block; i.e., an independent multimodular zone featuring three distinct formal units: an S-like theme (TM[1]), often troubled in some way; an area of renewed TR-activity (TM[2]) that will lead into a new MC (MC[2]); and a second S-like theme that will eventually attain the EEC (TM[3]) (see Hepokoski; Darcy 2006, p. 170–177). The analyst should not downplay the ambiguity of such cases, exploring instead the tension between both readings. In addition, one should be aware that trimodular blocks might occasionally be conceived as highly dramatized instances of declined-MC situations, an interpretation that would reconcile both conflicting views.[2]

4. Declined MCs in the Continuous Exposition

Declined MCs are dramatic gestures within continuous expositions; i.e., expositions that are characterized by the absence of an accepted mid-expositional break and, consequently, of a secondary theme zone.[3] The procedure's highlighting of the exposition's inability to launch, or rejection of entering S-space, establishes a close connection between the two expositional types, two-

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[2] Due to the limited space available here, a detailed discussion about the interaction between declined MCs and trimodular-block structures is not included in this paper. For more on this subject, see Navia 2016, p. 206–221.

[3] Although widely accepted within what has been called the "new *Formenlehre*" (see Caplin; Hepokoski; Webster 2010, p. 7–9; Moortele 2017, p. 1–4), the concept of a continuous exposition is not unanimous. William Caplin, for instance, does not acknowledge the possibility of a continuous exposition, claiming instead that all sonata expositions have a subordinate theme (see Caplin; Martin 2016).

part and continuous. The impression is that of a formal refusal to construct the first-level default two-part exposition. Hepokoski and Darcy (2006) identify two continuous-exposition situations in which proposed MCs—or mild MC effects—may be involved. In the first situation, a TR ⇒ FS module implies an imminent MC by extending the structural dominant, but eventually collapses back into *Fortspinnung* activity. In the second, TR articulates an MC, perhaps even followed by CF, but the subsequent material refuses to enter S-space, reinvigorating TR-rhetoric. These are instances of what Hepokoski and Darcy call the *bait-and-switch tactic* in which the music "baits" the listener into anticipating an MC, implying a two-part exposition, then veers away from the imminent caesura and switches to a continuous exposition (p. 52–63).

5. Two Different Approaches to Declined MCs

The limited tonal schemes cultivated within Classical sonata expositions restricted the MC practice of the period to a maximum of three standard cadential options, each carrying specific tonal, temporal, and rhetorical characteristics: 1) a half cadence in the new key, a half cadence in the home key, and a PAC in the new key, ranked by Hepokoski and Darcy as first-, second-, and third-level default, respectively, according to their frequency in the repertoire (2006, p. 25–29). Conversely, the more wide-ranging harmonic practice of the Romantic period allowed more distant keys as stable harmonic areas within sonata expositions. Schubert often colored his expositions with excursions into non-traditional keys before reaching a Classically expected one (see selectively Webster 1978, p. 26–31; Beach 2017, p. 82–83; Hunt 2009, p. 65–102), a practice that also contributed to the increased number of MC articulators featured in his *oeuvre* (see Navia 2016, 43–99). Indeed, tonally unconventional MCs and *non sequitur* tonal preparations of S were incorporated into his set of favored procedures as stylistic traits.

The new harmonic possibilities of the Romantic era naturally amplified the role of declined MCs within sonata movements. Declining an MC in a non-traditional key not only implied the need for a stronger candidate but also a formal refusal of the proposed key, a conscious decision to strive for a more normative option—perhaps relief at not going down the "wrong" harmonic path. It could be argued that in the Romantic period declined MCs contributed to a

richer tonal experience, establishing a dialogue between realized and non-realized harmonic regions.

6. Schubert's Approach to Declined MCs

Schubert's inclusive MC practice affected his treatment of declined MCs, which combines the Classical emphasis on rhetoric with the poetic license introduced by the broader and more colorful tonal narratives of the Romantic period.[4] His penchant for tonally unconventional and *non sequitur* MCs[5] greatly increased the available combinations for declined/accepted MC pairs, establishing a direct dialogue between the normative and the non-normative. Frequently, declined MCs in non-traditional keys are followed by Classical MCs and vice versa, both strategies expressing different effects and resulting in different formal outcomes. Moreover, Schubert occasionally associates the MC-declined strategy with trimodular blocks and continuous expositions, assigning the procedure a structural role.

In the following discussion, I investigate Schubert's handling of declined MCs within sonata expositions, demonstrating how the strategy's formal and expressive outcomes may be directly associated with a given MC pair.[6] I examine four different declined/accepted MC pairs, organized as follows: 1) a declined Classical MC is followed by another Classical MC; 2) a declined MC in a non-normative key is followed by a Classical MC; 3) a declined Classical MC is followed by an MC in a non-normative key; and 4) a declined MC in a non-normative key is followed by an MC in the same key or in another non-normative key.

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[4] Many authors have discussed Schubert's treatment of transitions and his approach to the secondary key. See selectively Webster 1978, p. 22–26; Wollenberg 1998, 2007 and 2011; Black 2015.

[5] In a *non sequitur* MC, the key announced at the half cadence does not match the key introduced at the onset of the S-theme.

[6] For reasons of organization and space, I do not discuss Schubert's treatment of declined MCs within recapitulations in this paper.

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7. Formal and Expressive Implications of Four Declined/Accepted MC Pairs

7.1 The Classical/Classical Pair

This Declined-MC pair corresponds to the first-level default strategy in the Classical period. In short, in this category, a declined MC matching Classical expectations is eventually followed by the next temporally available option, often a rhetorically stronger cadential gesture that manages to secure the MC (I:HC MC → V:HC MC → V:PAC MC). Schubert frequently handles this strategy differently from his predecessors.[7] In the following discussion, I analyze four works that illustrate his innovative handling of the Classical/Classical pair: the finale of the String Quartet No. 6 in D, D. 74, the Overture in D, D. 556, the first movement of the String Quartet No. 4 in C, D. 46, and the Overture in D, D. 12

Insisting on the Same Cadential Option: String Quartet No. 6 in D, D. 74/iv

In the String Quartet No. 6 in D, D. 74[8] (Ex. 1), the P-theme, featuring initially a thin contrapuntal texture and a low dynamic level, culminates in a festive tutti fortissimo (m. 10) that seems to merely confirm the tonic key.[9] The new module—perhaps first identified as a codetta to P—quickly articulates a tonicized I:HC in measure 19, followed by dominant lock and a proposed MC, suggesting instead a transitional function. The subsequent music declines the proposition, reintroducing the P-theme in the tonic—Hepokoski and Darcy's situation 1 (see 2006, p. 45). Following an exact restatement of the presentation phrase, the theme's continuation is slightly modified, leading again into the tutti module, this time implying a I:HC from its onset (m. 34), followed by dominant lock and a potential MC in measure 38. The sudden appearance of the dominant at this point may impress the listener as a desperate attempt to move into S-space, as if fearing another recurrence of P. The proposed MC is instantly evaded, being

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[7] From time to time Schubert does follow the Classical MC deployment sequence, offering a traditional treatment of the declined-MC situation. An instance is found in the finale of the String Quartet No. 4 in C, D. 46, a Type 4 sonata (see Navia 2016, p. 168–169).

[8] The finale of D. 74 is structured as a Type 1 sonata with dominant recapitulation.

[9] Many have commented on the similarities between the outer movements of Schubert's D. 74 and Mozart's "Paris" Symphony, K. 297 (see Black 1996, p. 147–155; and Rosen 1988, p. 357–360).

now followed by conspicuous TR-activity, which, after restating the initial tutti module, manages to finally secure the MC in measure 54—once again, a I:HC MC, this time marked by a clear MC gap and followed by a convincing S-theme. Despite insisting on the same cadential option three consecutive times, Schubert approaches it differently each time, as if trying to find a way to properly open S-space. The third attempt is indeed the most emphatic, as would be expected based on Classical practice: while the first two may sound abrupt and weak, perhaps not even being heard as proposed MCs, the final one constitutes a much stronger gesture, being solidly set up by real TR-activity.

Declined MCs may turn the apprehension of the form as a whole into a difficult task. In D. 74, P ultimately takes the form of an interrupted small ternary with a dissolving reprise. In other words, with the return of the initial theme in the tonic in measure 25 (A'), the transitional *tutti* module (mm. 10–23) is retrospectively conceived as a contrasting middle. However, A' is not repeated in its entirety; the module is slightly modified towards its end and leads into a proposed MC, implicating its reinterpretation as a dissolving reprise (A' ⇒ TR$^{1.1}$). The subsequent module finally introduces real transitional activity, being then interpreted as TR$^{1.2}$.

I:HC --- Dominant lock

I:HC MC?

A' ⇒ TR$^{1.1}$

No, P-theme!

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Example 1: String Quartet No. 6 in D, D. 74/iv (mm. 16–57)

Active Caesura-Fill in Declined-MC Situations: Overture in D, D. 556

In some instances of the Classical/Classical pair, the first proposed MC is declined by active caesura-fill, being shortly followed by the real MC, a situation that may occasionally resemble the $\hat{5}$–$\hat{1}$ expanded caesura-fill with apparent cadential arrival.[10] Here, the analyst should always consider such things as the

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[10] For an extended discussion of Schubert's treatment of the de-energizing active CF in connection with PAC MCs, see Navia 2016, p. 86–89. For more on the $\hat{5}$–$\hat{1}$ linear fill, see Hepokoski; Darcy 1997, p. 129–135.

character of CF and the rhetorical impact of the final punctuation before selecting one interpretation.

In the Overture in D, D. 556 (Ex. 2), the P-theme is constructed as a normative sentence that, after a few reiterations of its final cadence, is interrupted by TR-rhetoric, characterized by a *tutti* affirmation and the surprising arrival of an E-major minor-seventh harmony (V_5^6/V). Normative transitional activity persists until measure 54, when the music comes to a halt, suggesting a I:HC MC, followed by an ambiguous CF. At this point, the repeated As in the first violin, the continuous *piano* dynamic, and the light texture suggest that we are within CF space, waiting for the arrival of an S-theme. Conversely, the character of the material introduced in measure 56, its sentential structure, and the return of the tonic imply an instant cancellation of the MC gesture, suggesting instead a return to pre-MC space. The role of the passage is retrospectively clarified in measure 64, where the restored harmonic motion and the continued absence of TR-rhetoric define it as a de-energizing active CF: a module that does not belong to neither TR nor S, but manages to take control of the music, leading eventually into a V:PAC MC (m. 72).

D. 556 features an MC-declined situation that follows in part the increasing rhetorical scale favored in Classical works. One could argue that, despite the clear TR-activity that precedes the first proposed MC, its sudden articulation reveals a "flawed" condition that must be "corrected" or compensated by a stronger gesture. Interestingly, Schubert skips the Classical first-level default, V:HC MC, moving directly to a V:PAC MC. This is a common strategy in declined-MC situations that involve active CFs, since a V:HC MC would most likely require the reinvigoration of TR-activity.

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Example 2: Overture in D, D. 556 (mm. 54–77)

*The Classical/Classical Pair and the Continuous Exposition: String Quartet No. 4 in C,
D. 46/i*

The rhetorical correspondence between structural cadences is further
dramatized in continuous expositions. The procedure establishes a close
connection between the declined gesture and its accepted counterpart, the EEC.
This cadential interaction incorporates structural significance, bringing to the
fore the exposition's inability or refusal to manufacture S-space.

The first movement of D. 46 (Ex. 3a) begins with an elegiac slow
introduction in fugato style, featuring the "mournful" chromatic descent from $\hat{1}$
to $\hat{5}$ as subject. The "somber" character is enhanced by the initial tonal ambiguity,
which begins to settle in measure 13 with the arrival of the major mode marked
by a PAC. Following the cadence, the music extends C-major harmony by minor-
inflected neighbor motions, setting up the onset of the sonata proper.

The P-theme begins in measure 20, instantly expressing a "tormented"
character that seems to reflect the darkness manifested at the beginning of the
work. The module prolongs C major through neighbor motion without
conveying real harmonic activity—as if imprisoned by the constant minor-mode
interventions. P culminates in a fortissimo $^{\flat 6}/_{4}$–$^{5}/_{3}$ gesture (mm. 33–36) that,
despite its non-cadential status, articulates the theme's ending point, triggering
the hitherto missing transitional activity. Based on the introductory fugal subject,
TR descends chromatically from tonic to dominant, culminating in a I:HC MC
(m. 42). At first, the subsequent music seems to accept the proposed gesture,
being characterized by a much lighter texture, a piano dynamic, and an S-
candidate in the highly unorthodox key of F (IV). However, F major is soon
reinterpreted as IV in the key of C major, leading eventually into a PAC in the
tonic (m. 48). The return of the tonic key at this moment implicates the
retrospective cancellation of the MC gesture, reopening pre-MC space. The new
module introduces a playful melody and is firmly anchored in C, creating the
impression of a conscious return of the tonic key—as if it had encountered an
opportunity to exist freely, without being threatened by the minor mode. TR-
activity is restored in measure 55, leading into a V:IAC in measure 64 (Ex. 3b).
Considering its location within the exposition, the cadence might initially suggest
the articulation of a new MC; however, the non-thematic character and the

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absence of harmonic activity expressed by the subsequent music result in
reinterpreting the just-heard V:IAC as the EEC in a continuous exposition.[11]

This is an extreme example of the *bait-and-switch* tactic. Schubert not only
implies the articulation of an MC, but actually enters S-space and then decides to
return to the tonic, transforming a suggested—although briefly—two-part
exposition into a continuous one. The declined MC stands as an expressive
gesture, making the decision to remain in C major explicit.[12]

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[11] For Black (1996), the absence of a subordinate theme results from Schubert's preoccupation
with rigid motivic control (see p. 131–139).

[12] A related instance is found in the first movement of the Piano Sonata in A, D. 664. Here, the
reinvigoration of TR-activity and the unexpected appearance of A minor (i) after a solidly
articulated V:PAC MC (m. 33) retrospectively cancels the proposed gesture, resulting eventually
in a continuous exposition. The dramatic rejection of the V:PAC MC may be conceived as a
reaction to the premature introduction of an S-like theme in V (mm. 25 ff), preceding the actual
articulation of the MC.

Example 3a: String Quartet No. 4 in C, D. 46/i (mm. 33–49)

Example 3b: String Quartet No. 4 in C, D. 46/i (mm. 62–67)

Declined MC and the "One-Key Exposition": Overture in D, D. 12

From 1811 through 1812, Schubert wrote four works in a pseudo-sonata form involving an "exposition" that never leaves the tonic: the Overtures D. 4, D. 12, and D. 26, and the first movement of the String Quartet No. 7 in D, D. 94.[13] All these works conserve aspects of both two-part and continuous expositions, but fail to establish a secondary key, which brings into question their formal status. J. A. Westrup (1969) has claimed that D. 94 "is so diffuse that it is no longer possible to discern any form" (p. 89). On the other hand, according to Brian Black (1996), "that Schubert was at least attempting some type of sonata form is evident from the superficial layout of the structure [of D. 94/i]" (p. 95). It could also be argued that such tonally over-determined expositions give the impression of a *double bait-and-switch* effect involving three interpretive stages: two-part

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[13] D. 94 (1814) was actually the eighth quartet composed by Schubert, but was published as No. 7 in the *Gesamtausgabe* because D. 87 (November 1813), his seventh written quartet, was originally misdated and consequently published as No. 10 (see Whaples 1968, 192–193).

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exposition ⇒ continuous exposition ⇒ one-key exposition (or "is this an exposition at all?").[14]

All four works include numerous proposed I:HC MCs that are eventually cancelled by the return of the tonic key. Some MC gestures are followed by clear S-candidates that fail to materialize simply because of their tonal quality. Others are declined by the reinvigoration of TR-activity.

In the Overture in D, D. 12, TR (mm. 61–76), structured as a dissolving grand consequent, comes to a sudden stop on a V^7 chord in measure 76, suggesting a weak I:HC MC (Ex. 4a). The gesture is instantly cancelled by the following music, which is firmly anchored in D major. TR-activity is restored in measure 93—triggered by a *fortissimo tutti* affirmation—and leads into a new proposed I:HC MC (Ex. 4b), this time accompanied by dominant lock, hammer-blows, and caesura gap (mm. 104–107). The MC's rhetorical effort results in an unambiguous S-candidate but fails to establish a secondary key, implicating its retrospective cancellation. The new theme comprises two sentential antecedents followed by the reinvigoration of TR-rhetoric, which leads into another attempt to open S-space: a I:HC MC (Ex. 4c) and CF (m. 141). The active caesura-fill seems to cast doubt on the MC's capability to manufacture an S-theme in a proper key, and repeats the final cadential gesture, articulating another I:HC MC (m. 153). Once again, the MC's rhetorical insistence manages to produce a new theme, but proves unable to initiate a key other than the tonic. Derived from the Overture's introduction, the new theme's lyrical melody is eventually interrupted by a new module that slowly accumulates energy in a gradual crescendo (mm. 171 ff). The module turns out to function as RT; i.e., it culminates in a I:HC in measure 189, followed by a largely expanded caesura-fill, setting up the onset of the recapitulation (mm. 205 ff) and confirming the exposition's inability to establish a secondary key.

Thus, in D. 12, each proposed MC incorporates new elements that increase their rhetorical strength and consequently their prominence within the work's narrative, a Classical approach to the MC-declined situation that also sheds light

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[14] These "pseudo-expositions" that never leave the tonic are also found in some of Chopin's early works. In both the Piano Trio in g, op. 8/i (1829), and the Piano Sonata No. 1 in c, op. 4/i (1828), the "exposition" remains in the tonic all the way through, despite some brief modulations at the surface level. In the Piano Concerto No. 1, op. 11/i (1830), both orchestral and solo expositions stay firmly grounded in the tonic, changing from minor to major mode.

upon the exposition's failed tonal trajectory. For obvious reasons, Schubert does not follow the Classical MC deployment sequence but insistently reiterates the tonally weaker I:HC MC, as in the finale of D. 74.

Example 4a: Overture in D, D. 12 (mm. 75–82)

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Example 4b: Overture in D, D. 12 (mm. 100–116)

Example 4c: Overture in D, D. 12 (mm. 133–155)

7.2 The Tonally Unconventional/Classical Pair

This MC pair comprises a declined MC in an unorthodox key followed eventually by a Classical MC. Schubert rarely employs it in a traditional manner. In most instances, the procedure is used in connection with trimodular blocks, defining the relationship between MC^1 and MC^2. In other situations, the declined gesture is not paralleled by another MC but instead followed directly by the EEC, as in a continuous exposition. Another apparent characteristic is that the rhetorical emphasis that traditionally marks the accepted cadential gesture is often nonexistent in this category, being highlighted instead by its Classical tonal quality.

The expressive effect of this MC pair may vary widely. The proposed tonally unconventional MC may suggest a desperate attempt to escape the tonic area, a resistance to following the traditional harmonic path, a conscious decision to manufacture a grander exposition, the search for a more colorful tonal trajectory, or a sudden tonal collapse – perhaps caused by an already infiltrated key. Its retrospective cancellation and eventual replacement, however, may imply a tonal correction, the fear of visiting a distant harmonic region, the avoidance of a collapse, a sudden change of mind, or a decision to strive towards a "safer" goal. The analyst should always consider the tonal, rhetorical, and formal elements that precede and follow the proposed MC in order to understand the procedure's role within the work's narrative. To illustrate Schubert's handling of this MC pair, I analyze the incomplete finale of the "Reliquie" Sonata in C, D. 840, the finale of the Third Symphony, D. 200, and the opening movement of the String Quartet No. 2 in C, D. 32

A Traditional Approach: Piano Sonata in C, D. 840/iv

The incomplete finale of the "Reliquie" Sonata in C, D. 840, offers an instance of the tonally unconventional/Classical pair handled in a quite traditional fashion—as pointed out above, rare in Schubert. Here, the initial modular arrangement suggests a compact P-theme structured as an uninterrupted small ternary form (mm. 1–31) with a brief contrasting middle that prolongs the initial tonic through a descending-third arpeggiation. The theme's final cadence is not reiterated as in its first appearance but followed instead by a sudden modulation to the dominant, which implies the onset of an "underdetermined" TR. After retracing the contrasting middle's tonal trajectory

at the dominant level, the new module dissolves into real TR-activity, initiating a descending-second sequence that eventually leads into a firmly articulated iii:HC MC (m. 74) and caesura-fill (Ex. 5a).

Perhaps motivated by the tonal detours to both tonic and dominant's major submediants, the proposed MC seems to invite the subsequent music onto a longer excursion into the key of E minor. However, CF eventually takes control of the music, abruptly transforming the greatly extended B-major harmony into a V^7 in the original key. The procedure results in the retrospective declining of the proposed MC gesture, setting up instead the return of the main theme.

Example 5a: Piano Sonata in C, D. 840/iv ("Reliquie") (mm. 65–90)

The return of the P-theme marks the module's third statement, implying an interrupted structure based on three varied rotations of the same thematic idea: A (I) - A' (V) | | A'' (I). Ultimately, A'' becomes the transition: it incorporates TR-rhetoric, articulating a V:HC MC confirmed by an MC gap and a cogent S-theme in the dominant. The final MC concludes the process of tonal and formal correction that follows its declined equivalent; a process initiated by the return of the P-theme in the tonic, further developed by its eventual transformation into TR, and finally confirmed by a Classical V:HC MC (Ex. 5b).

Example 5b: Piano Sonata in C, D. 840/iv ("Reliquie") (mm. 91–123)

Declined MC/Accepted EEC: Symphony No. 3 in D, D. 200/iv

Another instance of the tonally unconventional/classical pair is found in the finale of the Third Symphony (Ex. 6). Here, a highly deformational IV:PAC MC (m. 83) marks the onset of a bustling S-theme in G major (IV), characterized by much motivic repetition and a strong forward momentum. After briefly prolonging the new key through neighbor motion (I–ii^4/$_2$–V^6/$_5$–I), the S-theme seems to doubt the validity of G major as a secondary key, initiating an ascending-second sequence (mm. 95 ff) that culminates in a ii:HC (m. 107) followed by dominant lock and a proposed MC punctuation (m. 115). The articulation of a tonally unconventional MC within a secondary area already set in a non-traditional key is a dramatic gesture: it exposes the theme's inability to establish the key of the dominant and implies the possibility of a trimodular block structure that may perhaps manage to "correct" the exposition's "tonal alienation." Fortunately, the proposed MC gesture is instantly declined by a juggernaut CF that takes responsibility for the work's tonal trajectory, firmly leading into a V:PAC EEC (m. 129), an emphatic cadential gesture marked by a

tutti crescendo. The cadence denies the MC's threatening tonal and formal propositions, bringing the "troubled" S to an end. Interestingly, the closing theme comprises an S-based module that jubilantly "celebrates" the surprising arrival of the dominant, a task that had seemed so distant, perhaps even unattainable for this thematic material.

The tonally unconventional/classical pair is deployed at two different hierarchical levels in this example. At the lower level one finds the traditional declined/accepted pattern defined not by two MCs, but by the proposed ii:HC MC and the EEC. The structural level, on the other hand, consists of two successful cadential gestures of differing formal, tonal, and rhetorical quality and relevance. It comprises the accepted, but problematic IV:PAC MC, and the EEC, suggesting that the MC's "inadequate" tonal condition is eventually rectified by a structural PAC in the dominant that closes the S-theme. This two-level set-up is often found in expositions that combine declined-MC situations with trimodular blocks (see Navia 2016, p. 206–221).

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ii:HC --- Dominant lock

Juggernaut type

CF

ii:HC MC

Example 6: Symphony No. 3 in D, D. 200/iv

Another Instance of the "One-Key Exposition": String Quartet No. 2 in C, D. 32/i

In the String Quartet No. 2 in C, D. 32, P comprises a *forte* unison module structured as a sentence with an expanded continuation. The theme attempts to articulate a I:PAC in measure 19 but is interrupted by the return of the opening unison motive that, despite the absence of a cadence, marks the onset of TR—a rhetorically "defective" module that manages to destabilize the tonic key. The sequential motion beginning at TR's onset ceases on a G-minor harmony extended for eight complete measures with a rarefied texture and *pp* dynamic, as if the music were unsure about how to proceed harmonically. The G-minor chord moves unexpectedly to the dominant of F, resulting in a premature and underprepared IV:HC MC (Ex. 7a).

The following music introduces a lively S-candidate in F major that seems to confirm the proposed MC gesture. However, after two statements of its compound basic idea, the theme is interrupted by *Fortspinnung* activity, developing the cadential ascending four-note motive derived from the work's initial unison gesture—perhaps expressing P's rejection of the new F-major

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theme. The turbulent passage eventually leads into an emphatic I:PAC (m. 62) accompanied by the return of the initial motive, implicating the retrospective cancellation of the IV:HC MC and, consequently, the reopening of pre-MC space. In addition, it validates the proposed interpretation of the previous energetic passage as a refusal of the non-traditional and untimely key of F major.

The subsequent music confirms the key of C major, leading into one more I:PAC (m. 72) followed by a *piano* and *dolce* new theme (Ex. 7b). At this point, one might wonder if the exposition will ever leave the tonic. Indeed, a listener familiar with Schubert's early experiments with sonata form might even conceive the just-heard cadential articulation as the EEC of a "one-key continuous exposition," a reasonable interpretation *vis-à-vis* the new theme's inherent closing character and its late appearance within such an active exposition. The theme ends with a PAC in the tonic and is followed by the return of the opening motive, implying initially a contracted variant of P. Here, the proposed one-key form seems to be consummated: the tonic-anchored C-candidate and the P-based module seem to confirm the exposition's failed tonal trajectory, avoiding the establishment of a secondary key—perhaps as a prolonged reaction to the underprepared appearance of F major. However, instead of reaffirming the tonic key, the P-based module introduces harmonic activity and brings back the conflicting treatment of the ascending four-note motive that represented "doubt" within TR and denial within the proposed S (Ex. 7c). This tonal and rhetorical instability culminate eventually in a belated V:PAC followed by a zone of tonal affirmation, raising structural questions: Is this the real EEC? The exposition seemed to have abandoned its tonal task long ago, why would it change its mind now?

For Brian Black (1996), "both the timing and the nature of the move to G major cast doubt on this tonality's role as a true subordinate theme. The delay of the modulation until the very end of the exposition and the abrupt way it is accomplished make it appear as an afterthought" (p. 107). In addition, the modulatory passage releases its energy prematurely through a continuous dynamic and textural *decrescendo*, resulting in a weak cadential punctuation that does not allow it to incorporate any structural role. Had the late FS rhetoric persisted until the cadential punctuation, the V:PAC would probably be heard as the real EEC, invalidating any previous candidates. Thus, the first movement of D. 32 features a "one-key continuous exposition" with a tardy and non-structural

modulation to the dominant. As Brian Black (1996) has noted, the formal strategy suggests a more elaborate version of Schubert's practice in some quartet movements up to this point in his career: while in D. 18 and D. 94, the one-key exposition ended with a half cadence in the tonic, in D. 32 "the music has proceeded one step further and ended *in* the dominant" (p. 107–108). Accordingly, the proposed IV:HC MC constitutes the only realistic attempt to establish a secondary key, the exposition's only opportunity to accomplish its tonal task. The MC's retrospective declining exposes its tonal weakness and, for the first time, reveals a difficulty in leaving the tonic area that would persist until it was too late. The MC is paralleled by the firmly articulated I:PAC EEC, which is, in turn, "unofficially corrected" by a late modulation to the dominant.

Example 7a: String Quartet No. 2 in C, D. 32/i (mm. 34–52)

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**Example 7b**: String Quartet No. 2 in C, D. 32/i (mm. 62–80)

Example 7c: String Quartet No. 2 in C, D. 32/i (mm. 81–112)

7.3 The Classical/Tonally Unconventional Pair

In this category, a proposed MC in a Classical key is declined, being eventually replaced by an MC in a non-traditional key. In most instances, the denial of the Classical MC is associated with its underprepared and premature articulation, as a consequence of a "flawed" TR module. The refused gesture is often followed by real TR-activity, culminating in a rhetorically marked tonally unconventional MC, retrospectively confirmed by the introduction of a convincing S-candidate. This strategy may imply the exposition's inability to take the "correct" harmonic path, collapsing into unknown territory, or conversely, a conscious decision to explore distant harmonic regions. Regardless of the analyst's final interpretation, the procedure invariably plays an important role within the sonata's narrative: it highlights the prominence granted the non-traditional key over its normative counterpart and directly affects the work's formal and tonal structure.

The non-traditional key is eventually replaced by a more normative option that concludes the exposition, securing the EEC. The arrival of the expected key and its subsequent tonal affirmation constitute important events within the sonata's trajectory and must be examined in relation to the declined/accepted MC pair. The EEC may be interpreted as (formally) parallel to the accepted tonally unconventional MC, as if "correcting" the work's tonal trajectory. In this context, it could be argued that the Classical/tonally unconventional pair comprises not two but three stages: a denied MC in a traditional key, an accepted MC in a non-traditional key, and the EEC in a traditional key. These cadences are perceived at two different levels: a lower, more localized level involving the declined/accepted MC pair, and a higher level comprised of both accepted

cadential gestures, resulting in a structural tonally unconventional/Classical relationship. The two gestures define the work's tonal trajectory and embody a structural function (Fig. 1). To illustrate this category, I provide an analysis of the Violin Sonata in A, D. 574/i and the Impromptu in f, D. 935 No. 1.
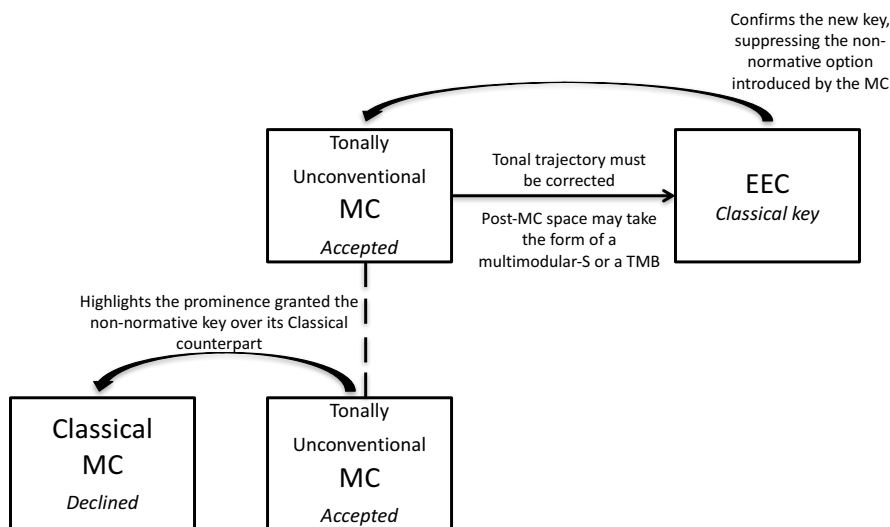
Figure 1: The Classical/Tonally Unconventional Pair and its two-level cadential organization

Tonal "Correction" and the Multimodular-S: Violin Sonata in A, D. 574/i

The Violin Sonata in A, D. 574, begins with a *piano* and *cantabile* P-theme that sets a calm, almost meditative atmosphere (Ex. 8). The module comes to a I:PAC in measure 20 and is followed by a repeated triplet figure that suggests a de-energizing P-codetta. Contradicting expectations, the music abruptly articulates a V:PAC in measure 24—reiterated four measures later (m. 28)—which implicates the reinterpretation of the passage as a rhetorically "defective" TR that prematurely attempts to secure the MC. Incapable of moving yet into S-space, the subsequent music collapses into the minor mode and introduces the hitherto missing TR-rhetoric, retrospectively denying the untimely and underprepared MC.

The new module is structured as a sentence with two thematically identical presentations, the first in E minor and the second in G major (the ascending-third transposition is accompanied by a sudden drop to pianissimo, perhaps implying that the proposed major mode might eventually enable the return of P's serene state). Despite a brief "energy bump" at the beginning of its

continuation phrase, TR remains piano until the end, articulating another MC candidate in measure 40, this time punctuated by a gentle ♭VII:PAC—but seriously attenuated by the absence of root-position bass at the moment of resolution. The cadence elides with the onset of a harmonically stable new theme (S1) that ratifies the proposed MC gesture. Accepting such a tonally and rhetorically "deficient" MC evinces the precipitate quality of the declined V:PAC MC and exposes the music's difficulty in establishing the key of the dominant.

After prolonging G major for five measures, S$^{1.1}$ reinvigorates TR-activity, eventually articulating an attenuated II:PAC. The following music (S$^{1.2}$) begins as a transposed restatement of the first S-theme but soon dissolves into a series of *Fortspinnung* modules that ultimately lead into a V:PAC. The cadence triggers a new theme (S^2) characterized by bustling ascending arpeggios that seem to "celebrate" the arrival of the dominant. S^2 secures the EEC in measure 67, finally accomplishing the exposition's tonal task.

Thus, the arrival of the dominant and its subsequent affirmation with the EEC "correct" the tonally "defective" ♭VII:PAC MC, consolidating the MC's pivotal role within the work's narrative: the MC (m. 40) looks backward, highlighting the exposition's temporary inability to move into E major and, at the same time, looks forward, triggering an obstinate search for the dominant— which, in this case, involves two statements of the same thematic material at different tonal levels as well as the reinvigoration of TR-activity.[15]

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[15] Related instances are found in the Piano Sonata in C, D. 840/i (see Navia 2016, p. 86–88) and in the String Quartet No. 5 in B♭, D. 68/i (see ibid, 212–214).

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V:PAC MC? Premature and underprepared

TR²

Presentation

No, TR-activity!

V:PAC MC?   e: V⁷

Presentation (transposed)

De-energizing

G: V⁷

Continuation ⇒ Cadential

S¹·¹

ᵇVII:PAC MC

Attenuated

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Example 8: Violin Sonata in A, D. 574/i (mm. 14–67)

Tonal "Correction" and the Modulating CF: Impromptu in f, D. 935 No. 1

Another instance of the Classical/tonally unconventional pair is found in the Impromptu in f, D. 935 No. 1. The movement begins with an introductory module (mm. 1–13), characterized by a *quasi ad libitum*, declamatory style, as if setting the stage for the sonata process to follow. It ends in measure 13 with a i:PAC, followed by a continuous sixteenth-note texture and a new theme (mm. 13–21).

The steady rhythmic activity and the harmonic stability projected by the new module seem to confirm the introductory function expressed by the initial passage, leading one to interpret measure 13 as the onset of P. However, after reaffirming the key of F minor, the music veers away from the tonic, eventually articulating a PAC in III (m. 21), which, at this point, surprises the listener as an MC-candidate (Ex. 9a). The premature arrival of A♭ major consequently requires the retrospective reinterpretation of the just-heard P-theme and introductory modules as TR and P, respectively. In other words, the unexpected articulation

of a proposed III:PAC MC results in two interthematic transformations in which Introduction $\Rightarrow$ P-theme and P-theme $\Rightarrow$ TR.[16]

By refusing to move into S-space, however, the following music declines the proposed MC, maintaining TR-rhetoric in a more eloquent restatement of the previous passage (mm. 21–30). The module comes to another III:PAC in measure 30, a clear MC-candidate that seems to finally bring the exposition's first part to an end (Ex. 9b). However, the music denies the proposed gesture once again, moving forward with an even more eloquent TR variant. The new passage (mm. 30 ff) descends in thirds from A♭ (I) to D♭ (IV) and then ascends to F in stepwise motion, culminating in a *fortissimo* iv:HC (m. 39), yet another potential MC candidate, properly reinforced by a dominant lock. Despite its decidedly non-traditional key, the rhetorical gesture expressed by the cadence is much stronger than those of the previously proposed MCs. It suggests a desperate attempt to open S-space, even if that requires a drastic tonal detour. Interestingly, midway through the MC's dominant lock, the music undergoes a "moment of crisis," prematurely releasing energy in a sudden dynamic drop from *ff* to *p*—as if questioning its ability to secure the MC. The rhetorical collapse weakens but does not suppress the MC, which is articulated in measure 42, followed by CF. As if "afraid" of visiting the subdominant area at this point within the exposition, CF treats the root, F, as an upper neighbor to the dominant of A♭ major, quickly recovering the mediant key, this time accompanied by a *piano* and *cantabile* TR-based S-theme (mm. 45–66) (Ex. 9c).[17] S comes to the EEC in measure 66, bringing the exposition to an end (and having utterly suppressed the key of B♭ minor, proposed at the MC).

Thus, in D. 935 No. 1, the tonally unconventional MC manages to open S-space but (fortunately!) fails to establish the implied key. In other words, the rhetorical gesture is accepted but the tonal proposition is instantly denied in favor of a more traditional option. Despite its tonal declining, one should not underestimate the structural role played by the tonally unconventional MC,

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[16] For a study of the role of formal reinterpretation in Schubert's works for solo piano, see Venegas 2013. Additionally, for a comprehensive study on formal reinterpretation in early 19th-century music, see Schmalfeldt 2011.

[17] The many formal anomalies exhibited in this piece allow for more than one plausible interpretation. Gabriel Venegas (2013), for instance, conceives the V–I motion into A♭ (mm. 44–45) as the EEC of a continuous exposition (p. 52–54).

which manages to accomplish what its A♭-major predecessors had been attempting for some time, allowing the S-theme to finally spring free. In addition, the apparent III:IAC in measure 45 should not be conceived as the real MC, but instead as a secondary cadential arrival resulting from the non sequitur exit taken by CF (i.e., an unexpected harmonic shift that fortuitously provides tonal relief, instantly overriding the uncertainties implied by the iv:HC MC).[18]

Example 9a: Impromptu in f, D. 935 No. 1 (mm. 20–25)

Example 9b: Impromptu in f, D. 935 No. 1 (mm. 29–31)

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[18] A similar MC situation is found in the Piano Sonata in C, D. 279/i, in which a iii:HC MC (m. 41) is followed by an active CF that, contradicting the cadence's tonal proposition, introduces the dominant of G major (V), leading into an S-theme in V (mm. 45 ff). For a detailed analysis of D. 279's *non sequitur* MC, see Navia 2016, p. 93–94.

Example 9c: Impromptu in f, D. 935 No. 1 (mm. 36–49)

7.4 The Tonally Unconventional/Tonally Unconventional Pair

In this category, both the declined and accepted MCs imply an S-theme in a non-traditional key.[19] The strategy exposes TR's inability or reluctance to establish a Classically expected key, failing even to consider it as a plausible tonal destination. This new key may directly follow the accepted MC through a *non sequitur* shift or, conversely, may only be attained well into S-space, perhaps resulting in a TMB structure. Regardless of the way it is introduced, the classically oriented harmonic area manages in most cases to secure the EEC, suppressing the exposition's former harmonic paths. As in the Classical/tonally unconventional pair, the result is a three-stage process perceived at two levels: a lower level involving the declined/accepted MC pair, and a structural level formed by the accepted tonally unconventional MC and the EEC.

The Double Tonally Unconventional MC Pair and the Failed Exposition: Piano Trio in B♭, D. 898/i

An instance of the procedure is found in the first movement of the Piano Trio in B♭, D. 898.[20] The work begins with a sentential P-theme that establishes

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[19] The double tonally unconventional pair is often employed within recapitulations as a way to expand—perhaps color—the sonata's tonal narrative. An instance is found in the String Quartet in a, D. 804, first movement (see Navia 2016, p. 204–206).

[20] For a related instance, see the exposition of the Piano Sonata in C, D. 279/i, see Navia 2016, p. 93–94.

the tonic key, ending with a I:PAC in measure 12. The cadence triggers a playful and innocent module that turns out to function as TR—despite initially projecting a P-like character marked by a light and staccato triplet rhythm. Following a sequential descent from B♭ (I) to E♭ (IV), the passage starts a rhetorical *crescendo* that leads into an abrupt MC gesture (Ex. 10a). In fact, as if in a sudden change of mind, E♭ major is reinterpreted as a neighbor to D major (V in g), culminating in a vi:HC accompanied by an imposing dominant lock and MC punctuation (m. 22). The MC is followed by an active CF that, contradicting the implied harmonic path, introduces the dominant of B♭ major, setting up the return of P in the tonic and, therefore, retrospectively declining the proposed MC. The impression is that of P taking control of the music, as if trying to avoid a tonal collapse. In addition, it reveals the MC's premature and fragile condition, a direct consequence of its inadequate preparation.

Following a complete restatement of its presentation phrase, P—perhaps in response to TR's failure to set up a normative key—modulates to the dominant, coming to a V:PAC in measure 37 (Ex. 10b). Such an affirmative arrival of the dominant raises questions regarding the cadence's real status: Is this the MC? Or an early arrival of the secondary key? The subsequent music comprises a piano TR-based module that seems to simply confirm the just-heard cadence. The role of the passage is only made clear in measure 41 when, instead of introducing an S-theme, the music becomes rhythmically and harmonically active, as if determined to finally achieve the MC. This triggers an ascending-fifths sequence that ultimately leads into a iii:HC, dominant lock, and MC punctuation, a slightly varied transposition of the first MC attempt (example 10c). The proposed iii:HC MC is once again followed by a chromatic ascending line (CF) that this time comes to rest on an unaccompanied A, leading into a clear S-candidate. Instead of confirming D minor (iii), the S-theme (S[1]) introduces the key of F major (V), reinterpreting the common tone A as the third of the new key.[21]

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[21] Both declined and accepted MCs feature a *non sequitur* shift characterized by a descending major-third motion: in the declined vi:HC MC, a D-major chord is followed by the key of B♭ major, and, in the accepted iii:HC MC, an A-major chord is followed by the key of F major. In each case, an active CF softens the harmonic juxtaposition: in the first, an intervening dominant sets up the arrival of B♭ and in the latter a sustained common tone connects A and F. Susan Wollenberg (1998) interprets the *non sequitur* shift from the dominant of D minor (iii) to F major as a "double deception" (p. 16) since "the right key is in fact reached, but via the preparation for a more remote

Before continuing, a few points must be considered: first, it should be noted that the proposed iii:HC MC (m. 55) manages to properly open S-space, despite its *non sequitur* follow up; i.e., the MC is *rhetorically* accepted but tonally denied. Secondly, despite the rhetorical similarity between the MC gestures themselves, the accepted iii:HC MC is properly prepared by real TR-activity, while its declined counterpart is not. Third, it seems clear that the V:PAC in measure 37 never materializes as an MC but instead signals the premature arrival of the secondary key; one that is denied by TR but abruptly recovered at the onset of S.[22]

S[1] (mm. 59 ff) comprises two statements of a parallel interrupted period firmly rooted in F. It comes to a V:PAC in measure 77, triggering a second S-theme (S[2]) that introduces harmonic instability and even tries to function as TM[2]; i.e., following a brief modulation to A♭ major, the music moves chromatically to the dominant of F minor, implying an imminent v:HC MC (example 10d).[23] This expressive gesture suggests a potential "correction" of the previous tonally unconventional MCs, perhaps a requirement for the eventual attainment of the EEC. However, the MC attempt is declined by the return of S[2]-based motives, which also fail to articulate the EEC. In other words, at the moment of resolution, the concluding tonic chord is substituted by a whole-measure rest followed by a quiet S-based closing theme that seems to regret the exposition's inability to secure its final cadence.

Thus, it could be argued that the double tonally unconventional MC pair incorporates a structural function in the first movement of D. 898/i: it motivates a v:HC MC attempt within S-space and could be interpreted as the final cause of the exposition's ultimate failure. The strong presence of the dominant key throughout the exposition softens the negative connotations often associated with this MC pair, which are brought to the fore only later, with the EEC's declining. Moreover, the absence of such a structural punctuation does not allow

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choice" (ibid). A strategy Schubert uses to transform "the potentially ordinary" into "the special" (ibid). For more on Schubert's *non sequitur* MCs, see Navia 2016, p. 91–105.

[22] For more on the early arrival of the secondary key in Schubert's sonata forms, see Navia 2016, p. 148–156.

[23] See David Beach 2017, p. 12–15 for a harmonic analysis of this passage from a Schenkerian perspective.

the three-step cadential process (declined MC–accepted MC–EEC) to be completed.[24]

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[24] An interesting example of the double tonally unconventional MC pair is found in Schumann's Symphony No. 3 in E♭, op. 97/i (1850) where the "heroic" E♭-major opening theme seems to be constantly "threatened" by the key of G minor (iii); an intricate instance of tonal pairing that defines the exposition's harmonic scheme. In this example, the first attempt to establish the minor mediant as the secondary key comes in measure 43, marked by a proposed iii:PAC MC and CF (mm. 43–46). The eventual return of P in the tonic (m. 57) declines the MC gesture, implying a "fresh start." However, once again, TR attempts to move to G minor, securing a iii:HC MC (m. 91), confirmed by a clear S-candidate in the proposed key. In contrast to the cases studied in this chapter, in Schumann's Third Symphony, the tonally unconventional/tonally unconventional pair features two attempts to modulate to the same (non-normative) key.

Return of P in the tonic declines proposed MC!

Example 10a: Piano Trio in B♭, D. 898/i (mm. 13–30)

Is this the MC?

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Example 10b: Piano Trio in B♭, D. 898/i (mm. 31–44)

Example 10c: Piano Trio in B♭, D. 898/i (mm. 45–61)

Example 10d: Piano Trio in B♭, D. 898/i (mm. 90–101)

8. Closing Remarks

In conclusion, Schubert expanded the declined-MC practice of the Classical period, increasing the procedure's tonal and expressive role within sonata movements. His colorful harmonic practice as well as his eclectic treatment of the MC allowed him to organize the procedure in four different declined/accepted pairs, each producing its own distinctive effect on the work's formal narrative. Declined/accepted pairs involving tonally unconventional MCs often implicate formal and tonal complications that require some kind of correction or compensation, resulting, for instance, in a multimodular S, a modulatory CF, or a direct motion to the EEC. Interestingly, even when dealing with the Classical/Classical pair, Schubert constantly avoided the Classical deployment sequence, experimenting with innovative strategies that impacted the work in some way. It seems that, in Schubert, the declined-MC strategy exceeds its inherent rhetorical (and coloristic) function, frequently incorporating structural significance.

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