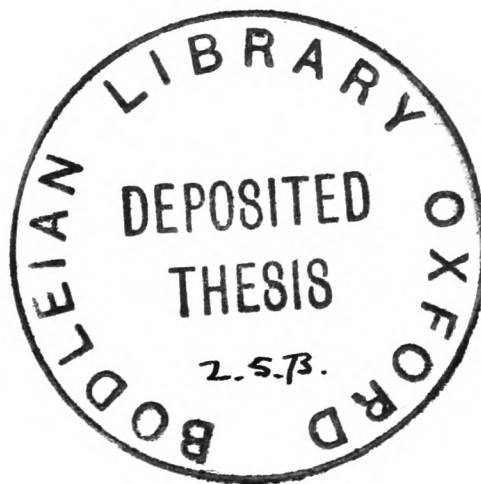


FORMAL PRINCIPLES IN THE MUSIC OF BRAHMS

A Thesis  
by  
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INTRODUCTION

The present work has been undertaken and carried through in the belief that great artistic achievements such as Brahms' life-work cannot ultimately be completely explained, but that it is important to try to explain them; they remain mysteries which it is our duty and pleasure to approach. While the author of the present work has endeavoured to be objective in his judgements he fully realizes that the resulting work carries a high degree of subjectivity. In his view this does not invalidate the work, the purpose of which is not to stand between Brahms' achievement and its audience but rather to encourage and perhaps guide that audience in its own efforts at appreciation; the author will be well satisfied if his work is sensibly provocative.

It is the author's duty to apologize to the reader for the inconvenience of finding works referred to by opus number. In an already complex text it seemed important to refer to works in the shortest possible way. The Index has been constituted so that anyone who is not sure which work is referred to in the text may readily ascertain the same: the opus number in the Index is followed by an explicatory title. A number of standard abbreviations have been employed in the more involved parts of the text (such as RH for right hand and pft for pianoforte); these will be readily understood.

It is my great pleasure to thank my supervisor very much for his help and support, and to thank my wife also for her help and support and for having compiled the Index.

ABSTRACT

Part 1 of the succeeding work deals with aspects of form which are neither binary nor ternary in basis, and concerns itself with the addition of sections of music which are either disparate or basically alike. Multi-movement works in instrumental music have certain conventions with regard to the number of movements and with regard to the sequences in these movements of speeds, tonalities and forms. Pressures for unity within such basically discrete works may manifest themselves by thematic quotation, thematic metamorphosis or motific similarities between movements. Slow introductions are necessarily harmonically wayward and are mostly thematically connected with the subsequent part of the movement.

The principle of varied repetition is a fundamental one for Brahms and may be found on many structural levels. Works and movements in variation form show Brahms adhering to the form of the theme in the variations and breaking that form in a final section. The variations ultimately show each an individual technique, and the sets show principles of organisation as a whole. Op. 24, an important work, shows some alteration of the formal details of the theme in the variations with regard to harmonic structure and phrase-structure. Op. 98 iv and 111 ii show specialized uses of variation procedure. Variation on the sub-movement level may be used in a miniature version of the large variation sets, or in less regular structures, or as a varying of repetitions in other forms.

The presence of words in vocal music allows of more formal freedom in the addition of disparate sections of music and also allows of more unvaried repetition than are the practices in instrumental music. In the former case, the vocal fantasia, the words act as a unifying feature, and in the latter case, strophic form, the words act as a

diversifying feature. Vocal fantasias may use sections contrasted with regard to rhythm (both speed and metre) tonality and thematicism. Pure or slightly modified strophic form appears in about a quarter of vocal movements. The form allows of discrete verses. The form may show modifications towards rondo, AAB, binary, variation and ternary forms.

Part 2 of the work is concerned with binary-based forms. Binary forms are used widely on all structural levels. The instrumental uses on the movement-level are mainly sonata forms. Sonata form, apart from its appearances on the movement-level within the sonata/symphony tradition (that is the sonatas, the chamber music and the symphonies) is used on that level in the Serenades, the Tragic Overture, the Concerti, the short piano pieces and somewhat in vocal music. It is also widely used in scherzo or minuet and trio sections, and has other section-level and phrase-level uses. Non-sonata binary forms have few instrumental movement-level uses; they find greater use on this level in vocal music. Non-sonata binary forms are of great importance on sub-movement levels in both instrumental and vocal music down to the small phrase structures of statement + response. Op. 39 provides a most interesting demonstration of the variety of possibilities of the detailed organisation of material within a basic small-scale binary scheme.

Expositions of sonata forms on the movement-level in the sonata/symphony tradition are treated with much variety, which can be studied by asking of the first and second subject groups whether they are lyrical or terse, unified or diversified, formal or progressive, mainly presentation or developmental also, short or long and tonally unified or tonally diversified, and by asking of the bridge-passages whether their thematic material is derived or new, whether the passages

are distinct from their preceding first subject groups, whether there is formal organisation in the passages, whether they are short or long and whether they are tonally direct or indirect. Brahms ends the exposition in various ways which infrequently include the use of a codetta. The expositions show a variety of overall tonal schemes using either two or three basic key-centres. Thematic integration is an important feature of many expositions and may be seen well in op. 5 i and 98 i.

In some examples of sonata form Brahms brings development and recapitulation closer together than usual, by the displacement of the development section into the recapitulation, the omission of material from the recapitulation and the limitation of the thematicism of the development. The varied application of these techniques results in two basic types of movement: movements with displaced development and movements with conflated response. Both types are closer to basic binary form than more normal sonata form. Detailed developmental techniques in sonata form are multifarious. Recapitulations usually have alterations of rhythmic structure applied to the first subject group and the bridge, often resulting in shortening, and usually have the second subject group structurally intact but with tonal alteration. Tonal alteration in recapitulation is mainly towards the tonic. Codas have various sizes and techniques, usually being developmental in some way and usually having a glorification of the cadence.

Part 3 of the work is concerned with forms based upon contrast, both horizontal contrast in such forms as ternary and rondo and vertical contrast in contrapuntal forms. Ternary form is found on all structural levels but its main uses as a primary formal determinant are in movements and sections. The ABA archetype Brahms modifies in a number of ways: sections A and B may be linked by thematic means,

the A section may be varied on return, a coda may be added (perhaps recalling the B section), bridges may complicate the form, and the form may be further complicated by the discrete nature of constituent sections. Ternary form shows borderland with sonata and rondo forms. Ternary notions may be used in the framing of movements, and in combination with strophic form. Op. 120 no. 1 ii and 121 ii show very different uses of movement-level ternary form.

Rondo forms are of four basic types ABABA, ABACA, ABACBA and ABACAB<sub>1</sub>A. These forms are ordered as to complication and as to frequency of use by Brahms. Similar modifications to the archetypes are used as were used in ternary forms. Rondo shows borderland with sonata and ternary forms. AAB form appears mainly on the movement and section levels in vocal music. Where B is distinct from A a fantasia form is present; where B is a development of or an evolution from A a binary form + coda or a modified strophic form is present. B most commonly combines new and old material. ABB and Bogen forms are rare.

Fugal technique may be used in full fugues, fugatos, fugue with cantus firmus form or fugue with sonata form. Full fugues obey detailed rules for their beginnings and maintain a more or less contrapuntal texture throughout. Fugue is not otherwise a form and may show overall fantasia, binary, ternary, rondo or bogen forms. Fugatos consist of a fugal exposition plus possibly some further fugal matter. There are but few examples of the other two uses of fugal technique. The intricacies of canon attracted Brahms early and he used the technique throughout his life. He uses it incidentally in instrumental and vocal music, in variations within instrumental variation sets and in vocal sections or pieces. Brahms prefers canon 2 in 1, at the octave or unison and by inversion. The use of cantus firmus in op. 122 shows that the cantus prius factus may be unornamented or ornamented,

continuous or discontinuous and that the additional parts may be derived from the cantus, from the ornamentation of the cantus, or may be independent of it.

PART 1: THE ADDITION PRINCIPLE

CHAPTER 1: THE ORGANISATION OF MOVEMENTS IN MULTI-MOVEMENT INSTRUMENTAL WORKS.

Section 1: The Sonata/Symphony Tradition

If we exclude the four Concerti (which will be discussed in Section 2 of this Chapter) and include the posthumously published A major Piano Trio (which is not however authenticated beyond all doubt), and if we count, for present purposes, as one work the two versions of op. 8, then Brahms wrote 32 surviving works within the Sonata/Symphony tradition.

Brahms uses four-movement form in 26 of these works, and this therefore must be considered as his norm. Within the six other works, in one case Brahms increases the number of movements to five, and in five cases he reduces the number of movements to three. Op. 5 has five movements, a slow movement being inserted before the final movement. Of the three-movement works, op. 38 and 120 no. 2 omit the Adagio, op. 78 omits the Scherzo, and op. 88 and 100 have a combination of the two middle movements - a compression of both types into a single movement.

Of the four-movement works nineteen have their slowest movement second in the order. Where this norm is not followed there is sometimes an obvious dramatic reason. Op. posth. and 40 are examples where the fast scherzo as second movement follows a first movement which is unusually leisurely. In op. 25 the contrast between the third and fourth movements is more dramatic than that between the first and second movements. The remaining works with this particular order of movements (op. 8, 36, 60 and 101) do not seem to have an obvious dramatic reason of this kind for their order. Op. 5 follows the normal order of fast - slow - fast - fast but, as we have seen, interpolates an extra slow movement between the third and final movements. In the two three-movement works which combine

two widely differing speeds within their one middle movement both of these middle movements begin with the slower speed.

Brahms sometimes uses colourful contrasts of tonic key between movements, but this is by no means a characteristic feature of his output. Three works in the sonata/symphony tradition (all of which are in four movements) do not change their tonic key throughout (they do, however, include variations of mode from major to minor or vice versa) - these are op. 8, 51 no. 2 and 101. A further three works (two of which are in four movements) change their tonic only for the contrasted portion of the scherzo movement - these are op. 40, 115 and 120 no. 2. Here the third movement of op. 115 is a special case, since, although the movement begins and ends in D major, this is only the key of the frame of the main body of the movement. The tonics of those works which use more than one are almost always in a triadic relationship; the only exceptions are op. 5 and 99. These relationships can be grouped under three headings:- tonic triad relationships, subdominant triad relationships, and augmented triad relationships. Op. 18, with its sequence of Bb major, D minor, F major and Bb major exemplifies well the first group. In op. 1, 26, 90, 111 and 120 no. 1 there are two keys involved, the keynote of the second being diatonic in the key of the first movement of the work. In all but one of the above-mentioned works alterations of mode add a certain spice to the juxtapositions. In op. 18, 34 and 67 there are three keys involved, and within each of these works the relationship is a simple diatonic one uncoloured by alterations of mode. Group two is well exemplified by op. posth. with its diatonic sequence of A major, F# minor, D major and A major. In op. 2, 36, 38, 87, 98 and 114 there are two keys involved, of which examples op. 2, 38 and 114 simply use the subdominant, diatonic in the first two cases but coloured by mode alteration in op. 114. Op. 98 uses the submediant major, which,

because of mode alteration in the preceding movement, creates a major 3rd relationship between two major keys, and op. 36 and 87 use the relative minor, which, because of mode alteration in adjacent movements, creates a minor 3rd relationship between two minor keys. In op. posth., 25, 51 no. 1, 73 and 100 three keys are involved (op. 100 is included because its second movement, as we have seen, can be regarded as an unusual conflation of two movements). In op. posth., 25 and 51 no. 1 this relationship is uncoloured by alteration of mode. Op. 73 has D major, B major, G major and D major (alteration of mode in movement 2) and op. 100 has A major, F major/Dminor, and A major (using a minor subdominant triadic relationship after a major opening key). The third group is exemplified by op. 68 with its sequence of C minor, E major, Ab major and C major. Two keys are involved in op. 60, 78 (although the middle section of the middle movement provides a third) and 108, whilst op. 68 and 88 use three keys. In the conflated second movement of op. 88 we have one of two examples in the corpus under consideration in which the closing tonic of the movement is not the same as its opening tonic. In this third group we find many of the colourful juxtapositions based upon non-diatonic relationships of the 3rd which become a regular colouristic resource in the Romantic period. There remain op. 5, which shows a diatonic but non-triadic relationship between tonics (expanded by the fact that this work provides the other example in the corpus of a movement beginning and ending with different tonics), and op. 99, which is the one work of Brahms to show a Neapolitan relationship between movements.

Sonata form is the most used form in the corpus under consideration: 57 of the 124 movements are unequivocally in this form. This is not the place to discuss Brahms' handling of the details of the forms, but some consideration ought to be given here to the differing inherent qualities of them, to show something of the significance of their use in

a given sequence of movements. Sonata form is inherently the most powerful and urgent form of tonal music. That it is based upon contrasts of key is a commonplace of musical appreciation. (It has been based upon such contrasts from its earliest origins, and the monothematic sonata form movements of Haydn, some of them from late in his life, underline the essential nature of these tonal contrasts.) Thematic richness and contrasts grew with 19th century handling of the form, and Brahms could include as many as eight separate thematic notions in his expositions. The important comparison of sonata form with that of the other forms at Brahms' disposal is not however the nature of the contrasts (which is the stuff of all tonal music) but their frequency and variability. Whilst ternary form is based upon one essential contrast, often so forceful that it lends further unity to the constituent sections, and rondo form is a multiplication of this type of structured contrast, and variation form depends on a strictly controlled degree of contrast within a strict structure, sonata form is based upon an idea of contrasts which are unstructured (thus offering flexibility of position) and uncontrolled (thus offering flexibility of degree). The terse opening of op. 34 leads, after only four bars, to an even more terse utterance (chiefly because of its use of rests) within the first subject itself.

In all the first movements save one (op. 40, a specialized rondo) Brahms uses sonata form. The slow movements are usually ternary. Eighteen of the works have a ternary movement here, three have a binary movement (op. 5 movements ii and iv, 98 and 108), six have variations (op. 1 2, 18, 36, 87 and 111), of which the last example is a most unusual type of strophic variation<sup>1</sup>), two have a rondo movement (op. 88 and 100)

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1 See Chapter 2, Section 3

and op. 114 a rondo sonata. Two works, as we have seen, omit the slow movement. The characteristically third movement is usually ternary, but op. 98, 108 and 115 have sonata movements and op. posth., 73, and 114 have rondo movements. The last movements are usually sonata form movements, but four are variation sets (those of op. 67, 98, 115 and 120 no. 2), five are rondo forms (those of op. 1, 5, 25, 78 and 120 no. 1) and three are rondo sonata forms (those of op. 18, 99 and 100).

As a means of bringing movements into closer relationship the simple elimination of the breaks between them is used by Brahms very rarely indeed; he does this only twice, by writing *attacca* at the close of the second movements of op. 1 and 2. Organic unity depending on thematic manipulation however is an important part of Brahms' technique, as indeed it is of 19th century practice in general. Three methods of the thematic linking of movements may be distinguished:- (i) thematic repetition (one movement includes a retrospective quotation from another), (ii) thematic metamorphosis (alteration of a theme from a previous movement becomes an important notion within a subsequent movement) and (iii) motivic unification (themes in separate movements are built upon common motifs). Abraham has an interesting discussion of these techniques at pp 164-5 of his 'A Hundred Years of Music', though he does not distinguish them by the above terminology.

Thematic quotation is used in op. 40, 67, 78, 90 and 115. In op. 67, 90 and 115 a quotation from the first movement occurs at or near the close of the last movement. In op. 67 a quotation from the opening of the first movement is used prior to the close of the last movement in variations 7, 8 and the Coda, in op. 90 the opening of the first movement occurs at the close of the last, and in op. 115 the cadences of the two movements are the same, after a 30 - bar coda to the last movement has been primarily a development of the first theme of the first movement. Op. 40 has a predictive quotation towards the beginning of

the fourth movement in the first 10 bars of the coda of the third movement. Op. 78 uses phrases from the second movement as the main thematic material for the second episode of the rondo form last movement. If the criteria of distinction between this technique and that of thematic metamorphosis are that the latter technique should involve a change of the theme and its incorporation into the main formal processes of a movement, then something of the technique of thematic metamorphosis appears in the changes of expression involved in op. 40 and 90 and in the importance of the quoted theme in op. 67 and 78.

Thematic metamorphosis is a technique somewhat rarely used by Brahms. Five clear cases of it appear in Table 1. The first subject of the first movement of op. 1 in a rhythmic modification into triple time forms the opening theme of the rondo last movement. In op. 2 all the material of the third movement is evolved by metamorphosis from that of the second movement, the metamorphosis being subtler in the trio. The extra movement in op. 5 is an elaboration of a minor version of the opening of the second movement with the phrases reorganised in the order 1, 3, 2, 4. In op. 34 the second theme of the first movement becomes the second theme of the third, and in op. 90 the theme at the beginning of section B in the second movement appears as the second theme in movement four. (There are some examples of this technique within movements to be found in op. 73 iii, 88 ii and 119 ii).

Of what is here called motific unification Abraham says: "In the mature Brahms this subtle allusiveness is carried very far, so far indeed that it becomes difficult to assert that it was deliberate at all and not the spontaneous, unconscious result of a single creative mood."<sup>1</sup> The analyst must also be careful that examples of motific unification

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<sup>1</sup> op. cit. p 165

TABLE I: EXAMPLES OF THEMATIC METAMORPHOSIS

1 Op. 1 i bar 1

Handwritten musical notation for Op. 1 i bar 1. It features a treble clef, a key signature of one sharp (F#), and a common time signature (C). The melody consists of a series of eighth and sixteenth notes, with some rests and a final measure ending in a fermata.

Op. 1 iv bar 1

Handwritten musical notation for Op. 1 iv bar 1. It features a treble clef, a key signature of one sharp (F#), and a common time signature (C). The melody is similar to the first example but includes some chromatic alterations and a final measure with a fermata.

Op. 2 ii bar 1

Handwritten musical notation for Op. 2 ii bar 1. It features a treble clef, a key signature of two sharps (F#, C#), and a 2/4 time signature. The melody is more complex, with many beamed notes and some chromaticism.

Op. 2 iii bar 1

Handwritten musical notation for Op. 2 iii bar 1. It features a treble clef, a key signature of two sharps (F#, C#), and a 6/8 time signature. The melody consists of eighth notes with some rests.

bar 22

Handwritten musical notation for bar 22. It features a treble clef, a key signature of two sharps (F#, C#), and a common time signature (C). The melody is a continuation of the previous example.

Op. 5 ii bar 1

Handwritten musical notation for Op. 5 ii bar 1. It features a treble clef, a key signature of two flats (Bb, Eb), and a 2/4 time signature. The melody is characterized by a wide interval and a descending line.

Op. 5 iv bar 1

Handwritten musical notation for Op. 5 iv bar 1. It features a treble clef, a key signature of two flats (Bb, Eb), and a 2/4 time signature. The melody is similar to the previous example but with different chromaticism.

Op. 34 i bar 23

Handwritten musical notation for Op. 34 i bar 23. It features a treble clef, a key signature of two flats (Bb, Eb), and a common time signature (C). The melody is a continuation of the previous example.

iii bar 13

Handwritten musical notation for iii bar 13. It features a treble clef, a key signature of two flats (Bb, Eb), and a common time signature (C). The melody is a continuation of the previous example.

Op. 90 ii bar 41

Handwritten musical notation for Op. 90 ii bar 41. It features a treble clef, a key signature of two flats (Bb, Eb), and a common time signature (C). The melody is a continuation of the previous example.

Op. 90 iv bar 18

Handwritten musical notation for Op. 90 iv bar 18. It features a treble clef, a key signature of two flats (Bb, Eb), and a common time signature (C). The melody is a continuation of the previous example.

Handwritten musical notation for Op. 90 iv bar 18 (continued). It features a treble clef, a key signature of two flats (Bb, Eb), and a common time signature (C). The melody is a continuation of the previous example.

TABLE 2: SOME EXAMPLES OF MOTIFIC UNIFICATION

Group 1:

from op. 18 and from op. 25

from op. 51 no. 1

from op. 78

from op. 115

Group 2:

from op. 8

from op. 60

The woodwind parts from op. 68 movements i and iv

from op. 78

also from op. 78

from op. 18

Group 3:

from op. 38

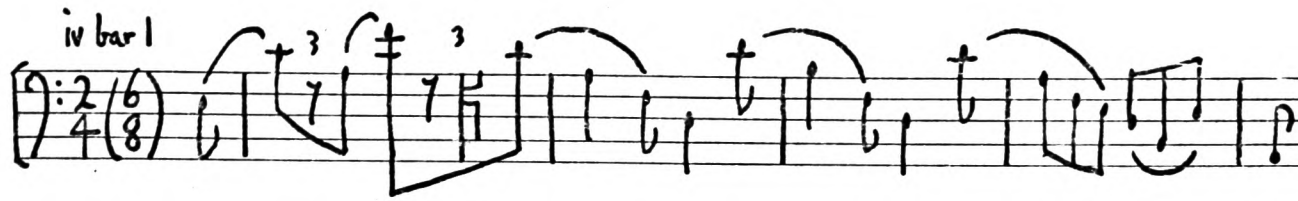
from op. 87

TABLE 3: RELATED THEMES IN OP. 114 MOVEMENTS I AND IV

i bar 1



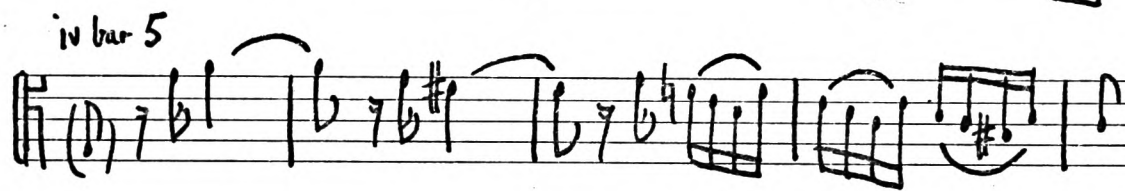
iv bar 1



i bar 13



iv bar 5



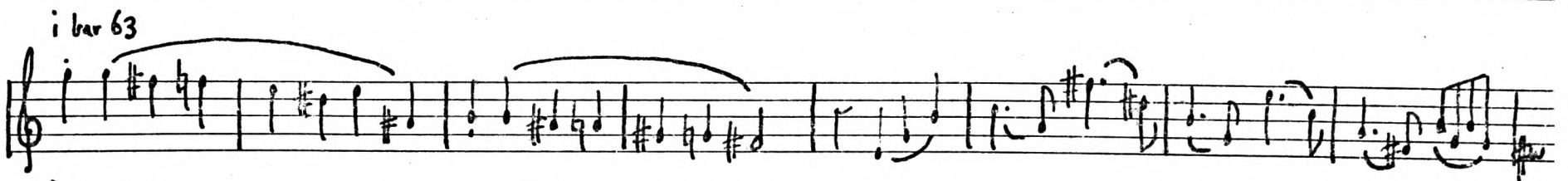
i bar 43



iv bar 38



i bar 63



iv bar 58



TABLE 4: MAIN THEMATIC MATERIAL FROM OP. 34

A *i bar 1*

B *i bar 23*

C *i bar 35*

D *i bar 74*

E *ii bar 1*

F *ii bar 34*

G *iii bar 3*

H *iii bar 13*

I *iii bar 22*

J *iii Trio bar 2*

K *iv bar 2* *bar 13*

L *iv bar 42*

M *iv bar 94*

TABLE 5: SOME FORTUITOUS THEMATIC SIMILARITIES BETWEEN WORKS.

51 no. 1 i bar 33

51 no. 2 i bar 20

87 iii bar 62

101 iv bar 1

88 iii bar 35

90 iv bar 52

98 ii bar 5

99 ii bar 1

114 iii bar 1

120 no. 1 i bar 1

are more than just products of natural idiom. Some examples of the technique are shown in Table 2. These examples fall into three groups:- those showing simple motivic similarities within movements, those with the technique applied to the opening of movements so that a motto opening is created, and those using decorations of an underlying motif.

Examples of the first group are op. 18 iii bars 1-2 and iv bars 77-79, op. 25 i second part of first subject and ii second theme, op. 51 no. 1 i bars 2, 11 and 35 and iv bars 2-3 and 7 (and i bar 11 also gives rise to ii bar 27 et sim and the opening of movement iii), op. 78 i bar 11 and ii bar 24, and op. 115 i bars 41-2 and iii bars 19-20. Motto openings may be found in op. 8 movements i, ii and iii, op. 60 movements iii and iv, op. 68 movements i and iv, and op. 78 movements i and iii.

Examples of the third group above are op. 18 movements i and iv, op. 38 movements i and iii and op. 87 movements i and iv. These last examples are also examples of motto openings. Parallels between first and last movements may also be found in such cases as the similarities of texture in the second subjects in op. 36 and 114 and the similarity of key in the second subjects of op. 88. It could be argued that much of the thematicism of the last movement of op. 114 is a lighthearted parody of first movement material. Table 3 shows the related themes so that the feasibility of this view may be judged.

Table 4 shows all the main thematic material of op. 34. From this may be seen the use of the scalar third in A, C, D, E, G and L, the use of the changing-note figure in bars 2 and 4 of B reappearing in F, H, I, L (bars 9-10) and M, the use of the semitone in A (notes 6-8), B, C, and K, and the use of the arpeggio in A, C and G, among other, less important, uses.

Finally it must be said that there are some thematic similarities between works. Five such are shown in Table 5. These may be regarded

as fortuitous, but it will be noted that the similarities exist between works which were written in some temporal proximity.

### Section 2: Other Traditions

The four concerti belong to a tradition of three movement form, to which Brahms adheres in all but op. 83. The speed sequence of the inherited concerto plan is fast - slow - fast, which is used in all four concerti with, in op. 83, a scherzo and trio added as second movement. Tonal contrasts between movements are, in the main, unadventurous. Op. 15 maintains the same tonic throughout (with a change of mode for the second movement). Op. 83 uses the diatonic mediant key for its second movement and thus comes into group one of the above categorisation; op. 77 also comes into this group although it is more adventurous in using the flat-mediante major. Op. 102 uses the major subdominant and thus comes into group two. The first movements all treat the concerto version of sonata form in idiosyncratic ways (the treatment in op. 102, for instance, includes three differing expositions). All these movements depend on rich thematic variety, and this richness and its concomitant complication of the form are both cause and product of the length of the movements. A discussion of these movements will be found in Chapter 4. All the middle movements of the concerti are in ternary form. The form is treated straightforwardly save in movement two of op. 83. Basically this movement is a scherzo and trio, but what is normally a straightforward Da Capo form has here been made into a sonata form movement with an episode (the trio) interpolated between the development and the recapitulation. The final movements are all of differing forms. Op. 15 has a rondo form (ABACA); op. 77 has an extended rondo form (ABACBA); op. 83 has a sonata form, and op. 102 a rondo sonata form. The sonata form of op. 83 iv has a displaced development (see Chapters 4 and 6)

and the movement is rondo in ethos. In the rondo sonata of op. 102 iii a coda, developmental of the main theme and in the tonic major, replaces the appearance of the main theme at  $A_3$ . Thematic unification is apparent in op. 15 and 77. The former shows motivic connexions between movements one and three and, to a lesser extent, between movements one and two. In the latter the arpeggio and the scale link many themes.

Op. 11 and 16, the two Serenades, have six and five movements respectively. Each has, as a framework, the four movements basic to the sonata/symphony tradition, and additional to this are extra minuet/scherzo and trio type movements. Movements of this type appear on both sides of the slow movement. Op. 11 has scherzi as movements two and five and a minuet as four, and op. 16 has a scherzo as two and a 'quasi Menuetto' as four. Op. 11 uses movement-level tonalities based upon the minor subdominant triad, whilst op. 16 remains outside the triadic norm in this respect and follows a similar order of tonalities as that of Brahms' other five-movement work, op. 5 (using a mediant key for movement two, a subdominant key for movement four and a tonic for the other movements). The two first movements are straightforward treatments of sonata design. All the middle movements are ternary save for the lyrical sonata design of op. 11 movement three. The final movement of op. 11 is an extended rondo (ABACBA), while that of op. 16 is a sonata with displaced development form. For a discussion of this movement see Chapter 8.

The three preludes and fugues for organ follow a tradition of two-movement works with the movements in no special relationship with regard to speed, in the same key, and organised so that the second movement is the more contrapuntal. The second and third of these works (the Prelude and Fugue in G minor and the Chorale-prelude and Fugue on "O Traurigkeit, O Herzeleid") follow these conventions. In the Prelude and Fugue in A minor the textural convention is somewhat modified in that the Prelude

may be considered as a freely-treated double fugue with coda, while the Fugue follows a simple sonata design in which the second subject and the coda provide areas in which the contrapuntal complexity is reduced. In this work and in the Chorale-prelude and Fugue there are strong thematic connexions between the two constituent movements. In the A minor Prelude the first ten notes of the subject of the succeeding Fugue appear at bars 19-20 in the pedals, and in the subsequent two bars the top part has the first ten notes of the Fugue subject transposed, over a slow bass which is an irregular augmentation of the first four notes of the Fugue subject in inversion. In the Fugue the 13-bar coda recalls the Prelude; it begins with semiquavers based upon the opening figure of the Prelude and progresses to semiquaver triplets (thus echoing the rhythmic progression in the Prelude). The Chorale-prelude and Fugue has each movement as a different type of chorale-prelude on the same tune. The Prelude is a straightforward presentation of the 8-bar, 5-line chorale by Johann Rist, harmonised in four parts with figurative Tenor and Alto parts, the tune having the lines separated by short rests and the chorale closing with an interrupted cadence which is followed by a short coda. The Fugue has a continuous 3-voiced fugue in the manuals under which the pedals present the chorale once in long note-values as a cantus firmus, the lines being separated. The manual fugue is based upon a subject of  $1\frac{5}{8}$  bars which has melodic affinities with each line of the chorale without being derived from any one in particular; the entries of the cantus firmus do not coincide with any obvious structural points in the fugue.

Unlike the multi-movement works the unity of a collection is based upon similarities rather than differences. The collections exist as a convenient manner of presentation for short pieces, all of which are for

the same instrument. In the case of Brahms all the collected instrumental pieces are for pianoforte save for the chorale-preludes op. 122 for organ. A collection allows a performer free choice of number and order, though it is doubtful whether there is a performing situation in which pieces as short as those in op. 39, for instance, would be played separately.

Some collections are unified only by the size and instrumentation of the constituents. Op. 118 is such a set, with four Intermezzi, one Ballade and one Romanze; the first of the set follows sonata principles while the rest are ternary. The two largest collections, of dances, depend however on a greater similarity than this. Op. 39 consists of sixteen short waltzes with a basic binary form, and thus style, metre and form are consistent throughout the set. The sets of Hungarian Dances consist of larger pieces than the waltzes and each dance depends for its structure on the juxtaposition of different tunes which characteristically are self-contained. The forms here are thus contrast-based, and ternary is the characteristic form of the dances.  $\frac{2}{4}$  is the time-signature throughout, and again it can be said that style, metre and form are consistent throughout the sets.

### Section 3: The Use of the Slow Introduction in Instrumental Music

Brahms uses a slow introduction in four movements, all of which are in works within the sonata-symphony tradition, and all of which are subsequently sonata form movements. They are op. 68 i and iv, op. 34 iv and op. 2 iv. Only one of these is a first movement, and the other three all follow fast movements (op. 68 has an allegretto as 3rd movement, the other two works have scherzi). Formal cogency is not a necessary feature of these slow introductions, whereas harmonic drama and textural drama are. Three of the introductions show strong thematic connexions with their ensuing movements.

Op. 34 iv has a ternary thematic organisation in which the return is altered. Op. 2 iv has an overall AAB form where the final unit is developed out of part of the preceding units. Op. 68 i, thematically a very rich introduction, has a small amount of repetition within itself (at bars 25ff and 31 and 34). Op. 68 iv is in two sections which are unrelated to each other (but related in that they both refer to thematism in the subsequent allegro). Harmony is always wayward. In op. 68 i and the first part of 68 iv this is a product of chromaticism, in op 2 iv of the use of wrong tonalities, and in parts of op. 34 iv of almost atonality. Textural drama is a feature of both orchestral introductions. In the introduction to movement one the heavy and loud opening (over a slow drum roll) and its partial return at bar 25 (over a fast drum roll) are contrasted with a delicate instrumentation in the rest of the introduction. In that to movement four the fragmentary nature of the thematism of part one contrasts with the tune and accompaniment orientation in part two. In op. 34 iv again textural differences are inherent in the thematism, the opening and closing being imitative, and the middle section being a tune and accompaniment texture. Op. 2 iv has three types of texture, the open octaves of bars 1ff and 9ff, the four-part harmony of bars 5, 13, and 18ff, and the florid runs of bars 6f, 14ff and 20.

Op. 68 i and iv and op. 2 iv have thematic connexion with the subsequent fast section of their respective movements, whilst there is no obvious connexion in the case of op. 34 iv. In op. 68 i and 2 iv the connexion is primarily with the main thematism of the allegro. Op. 68 iv has part one of its introduction evolved in the following manner:- bars 2-5 et sim. are related to the main theme of the Allegro (with a motto motif from the beginning of movement i as counter-melody), bars 6-11 et sim. are related to bars 208ff, bars 20-21 to bars 106ff, and

bars 22-23 to bars 156-7. Part two of this introduction has its main horn tune recurring in the bridge-passage of the Allegro, and its subsidiary, but nonetheless forceful, trombone theme recurring only in the coda to the movement. Op. 2 iv has its introduction related chiefly to the first subject of the ensuing Allegro, but the florid passages, which are a prominent feature, recur at the very close of the movement.

The introduction to op. 2 iv has:- 8 (A major → enhanced half cadence, passing through the three textural phases noted above) + 9 (G major → enhanced half cadence; the thematic formulation is as in the first phrase, with the third textural phase extended by 1 bar) + 7 (Modulatory → half cadence in F minor: initially developing textural phase two, and progressing to further florid writing). Thus we can see the unusual tonal organisation, and the dramatic juxtaposition of widely varied textures. The ternary design of op. 34 iv has:- 12 (imitative and almost atonal) + 16 (4x on the dominant of F minor + 4x on the dominants of Db and Eb minor + 8 development of x → E minor) + 12 (the figure from bars 8-9 of the movement in the 1st violin part appears in bars 1-3 of this phrase and forms one of the chief figures of this altered return; the first three notes of the movement are used, sometimes with the second interval inverted; the harmony is F minor → half cadence and is decorated with chromatic appoggiaturas). Here the harmonic waywardness takes the form of non-formal modulation in the middle section and a non-tonal part-writing in the opening section.

CHAPTER 2: VARIATION FORM IN THE INSTRUMENTAL MUSIC.

The principle of varied repetition is a fundamental one for Brahms and may be found on many structural levels in his output. His fondness for the principle, especially in its larger aspects, is an indication of his aesthetic disposition in general. As Luithlen has said: "Das Brahms die Variationenform so liebte, liegt in seinem eigensten Wesen begründet. Sie stellt an den Intellekt des Komponisten hohe Anforderungen."<sup>1</sup>

Brahms uses the principle in self-contained works (the variation sets such as op. 23 and 24), as movements within works of the sonata/symphony type (as in op. 67 or 115), as a structured unit within a movement (as in op. 60 i or 99 i), or as a principle applied to repetitions within other forms (this is such a commonplace that any example could really be given; op. 18 i will suffice). Two specialized uses of the principle occur in the instrumental music, the Passacaglia (op. 16 ii and 98 iv) and a cross-over from a vocal application of the principle into the realm of instrumental music - the unusual cases of op. 111 ii and op. 116 iv, strophic movements.

Section 1: Complete Works

If one does not include the arrangement of the second movement of op. 18 as a self-contained variation set for pianoforte which appears in vol. XV of the Complete Edition, and counts the Paganini variations as two separate works, then Brahms wrote eight self-contained variation sets. These are op. 9, 21 i, 21 ii, 23, 24, 35 i, 35 ii and 56.

Each of these sets, save op. 9, has a number of variations which follow the basic form of the theme, followed by a coda which departs

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1. Johannes Brahms' Werke in Variationenform, p. 123.

from this basic form. In op. 23 the coda is shorter than an individual variation section; it is a development of the march of variation 10 with a partial introduction of the theme itself. Op 24 concludes with an extended fugue of 109 bars. Op. 56 has a coda in which a five-bar theme (a combination of the bass and melody of the first phrase of the work) occurs as a ground bass seventeen times and is followed by a shortened version of the main theme of the work + a final coda. The four remaining sets all call their final section by the name of a variation, and these prove to be loosely knit composite variations. Variation 14 of op. 35i will serve as an example. The first four bars of the theme give rise harmonically and figuratively to the first four bars of this variation; this section is given a repetition which maintains the rhythm and figuration but which changes the key to C# minor. The second section of this pseudo-variation is given a straightforward repeat. The speed of the first pseudo-variation is maintained through the subsequent nineteen developmental bars. This developmental passage closes with a trill which is maintained through a second pseudo-variation. The second pseudo-variation has texturally varied repeats and its final bar is extended to lead into a further developmental passage of 24 bars which closes the work.

Op. 9 has a flexibility of approach with regard to the retention of the basic form of the theme through the variations and it has no final peroration. In fact having treated the formal plan with freedom in the main body of the set, Brahms concludes with two variations which follow closely the formal pattern of the theme. Variation 2 repeats a section in a diminutive formal plan founded accurately upon that of the theme, while variation 11 exhibits a more complex binary balance. Variations 7 and 9 shorten sections two and three of the basic form,

while variations 6 and 12 add a developmental passage to the last section. Variations 9 and 13 both have a modification of the last section which is an enlargement of the ideas of the first section. The developmental aspect of the second section is emphasized in variations 5, 9, 12 and 14, while the complete variation 5 is best described as a wayward fantasia. With regard to these freedoms a letter which Brahms wrote in June 1856 (some two years after the composition of op. 9) is of importance; in it he says "..... Ich mache manchmal Betrachtungen über die Variationenform und finde, sie müssten strenger, reiner gehalten werden."<sup>1</sup>

Two approaches may be made to a set of variations in order the better to appreciate the areas of formal choice available to Brahms: firstly there is the question of the technique of variation employed for each individual constituent of the set, and secondly there is the question of the organisation of the variations within the set to create a cogent whole.

With regard to the first of these considerations, generalizations concerning variation techniques are possible but are of limited value since, ultimately, each variation uses its own technique. As Stanford has said: "The methods of writing variations are so numerous as to be practically illimitable."<sup>2</sup> So also has Prout: "Of all existing forms there is none which shows such infinite diversity as (from its very nature) does the variation form."<sup>3</sup> Each variation has its own unique balance between degrees of harmonic preservation, elaboration or alteration and degrees of melodic preservation, elaboration, development or alteration.

Within the parameters of harmony and melody, however, some of the

1. Briefwechsel V, p. 146.
2. Musical Composition, p. 56
3. Applied Forms, p. 106.

variety of possibilities which Brahms considered available to him may be shown. The harmony of the theme may be preserved (as in op. 24 variation 25), elaborated (as in op. 35i variation 4) or changed radically (as in op. 35ii variation 1). Alteration of mode may involve a slight or substantial change of harmony; op. 21ii variation 1 shows slight modification and op. 23 variation 4 shows substantial modification. The melody of the theme may be preserved and decorated with a change of accompanimental texture; this is a rare technique, but may be found in op. 9 variation 1, where the theme appears in almost complete form in the bass. A theme may be subjected to an infinite variety of ornamentations. In op. 23 variation 1 the theme appears in the treble decorated with semiquaver movement using appoggiaturas and arpeggi, and in op. 24 variation 1 the principal notes of the theme are decorated with auxiliary notes, extra harmony notes and scales. Or its texture may be altered in the direction of simplification, as in op. 56 variation 4. The substitution of a new tune over the same basic harmony as that of the theme may be seen in op. 35i variation 8. A compromise between new and old may be seen in the techniques whereby a feature from the theme is made the basis of the melody of the variation. This technique is used in variations 1, 2 and 5 of op. 56.

Texture always changes from variation to variation. It is not of course a formal determinant in the sense in which harmony and melody are. The nearest it comes to being so is the device of canon. Brahms does not use this device in all the sets. He uses it throughout three variations in op. 9 (nos. 8, 14 and 15) and throughout one variation in each of op. 21i (No. 5), op. 24 (no. 6), and op. 35i (no. 12), and he uses it in parts of op. 9 variation 10, op. 23 variation 4, and more

irregularly in op. 24 variation 16.

A further area of choice confronting the composer is whether to make a variation predictable from its opening (having there declared the technique to be used, the variation pursues the technique to its logical conclusion in the light of the theme) or to make it in some way unpredictable (the technique is modified during the course of the variation). Many of the Paganini variations are predictable in this sense and we may take variation 1 of the first set as an example. There are, of course, degrees of unpredictability; a small example is to be found in op. 24 variation 1, where the development of the 3-semiquaver figure in bars 5 and 6, culminating in the demisemiquaver run in bar 6, has no corresponding feature in the theme. A larger example is the harmonic unpredictability of op. 9 variation 3, where the whole of phrases four and five (ie bars 12 - 20 inclusive) are a semitone lower than consistency with the theme requires.

The second method of analytical approach referred to above concerns the set as a whole. Opinions vary as to the importance Brahms attached to this aspect of a variation set. Luthlen has: 'Die Brahms'schen Werke in Variationenform bringen nicht zufällig aneinandergereihte verschiedenartige Darstellungen eines gegebenen Themas; sie sind festgefügte Gebilde voll Logik und Notwendigkeit im durchdachten Aufbau. Mit starker Hand verbindet Brahms die kleinen Einheiten der Variationen untereinander, lässt sie logisch aufeinander folgen und fasst sie zu einem grösseren Ganzen zusammen.'<sup>1</sup> Whereas Abraham has (speaking of Tchaikovsky and Brahms): 'Both lay more stress on the individual variations than on the composition as a whole; the satisfaction given by a whole set of variations by Brahms or Tchaikovsky is only the

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1. op. cit. p.228



satisfaction of hearing a well arranged and contrasted and built-up sequence of individual units.<sup>1</sup>

Brahms' variation sets have a unity of key which is sometimes decorated and then by not very wide-ranging changes. The changes of tonic provide (i) points of contrast and articulation in op. 24, (ii) large grouping of variations in op. 21 nos. i and ii, and (iii) in op. 23 a tonal rondo. Op. 21 no. i has three minor variations in variations 8 - 10; op. 21 no. ii has six minor variations in variations 1 - 6. Op. 23 is one of the most adventurous of Brahms' variation sets in respect of alteration of the tonic, with the following key-system:- the theme and variations 1-3 - E $\flat$  major, variation 4 - E $\flat$  minor, variation 5 - B major, variations 6 and 7 - E $\flat$  major, variation 8 - G minor, variation 9 - C minor, and variation 10 and coda - E $\flat$  major.

Points of contrast and articulation may also come from thematic means, as in the placing, in op. 9, of the variations primarily based upon the bass of the theme (at variations 2, 10 and 16) or the placing of the chromatic variations in op. 24 (at variations 2, 9 and 20). Other deviations from the simple addition principle of variation form can occur when variations are linked by temporal or thematic means. The first of these may be seen in op. 9 where variations 2, 10 and 15 lead into their succeeding variations, whereas with the other variations the performer may at will interpose a short pause between them and their successors. The thematic linking of variations may be seen in three cases in op. 24:- variations 7 and 8 have a common bond in the use of the rhythm  $\square \square$  which occurs on every crotchet beat in variation 8 while not being quite so pervasive in variation 7, variations 15 and

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1. Design in Music p.30.

16 have a common bond in the use of the rhythms  and  <sup>20.</sup>, and variations 23 and 24 are linked in that variation 24 is an elaboration with semiquavers of its predecessor. A further example may be found in op. 35i where the second variation is paired with the first in that the RH part of variation 1 becomes, with small alterations, the LH part of variation 2. An example of a larger grouping of variations by thematic means may be found in the gradual increase in animation in variations 10-13 of op. 21 no. ii.

There is a wide variety in the character of the themes which Brahms uses in these works (the poignancy of op. 9, the cheerful but gentle grace of op. 21i, the exoticism of op. 21ii, and so on), while prominent melody and clear structure are typical features. The character of the theme is expanded and viewed in different aspects during the variations. As well as showing a wide range of tonalities, op. 23 is perhaps the most colourful and wide-ranging set with regard to the character of the individual variations, and this in spite of the fact that it consists of a small number of comparatively long variations. The sombre E<sup>b</sup> minor variation 4 is followed by a winsome waltz, which in turn is followed by an ebullient march, and grand passion may be found in variation 9. The set has some simple variations as far as phrase-structure is concerned (variations 1 and 5) but it also has some of the most complex structures in Brahms' variation writing (variations 2, 6 and 9).

#### Section 2: Some aspects of detail in op. 24.

Because it is so often maintained that Brahms usually retains the basic form of the theme in his variations, the task of the present section will be to investigate just how much, in his most important work in variation form, this basic form is modified in the two main form-building parameters of harmony and melodic structure. It is op. 24

which Brahms himself and Brahms scholars have considered the most important of the variation sets. Luithlen has: 'Brahms hielt dieses Werk besonders hoch. Das geht schon aus den Briefen an den Verlag hervor, die Kalbeck mitteilt, in denen Brahms das op. 24 sein Lieblingswerk nennt.....'<sup>1</sup> Gal has:- '..... the techniques of variation writing ..... which during his last year in Hamburg (1861) culminated in the Variations and Fugue on a Theme by Handel, one of the most important piano works he ever created.'<sup>2</sup> And Geiringer has: 'In the Variations and Fugue on a theme by Handel ..... Brahms reached his completest mastery of the Variation form. In this work all the principles of variation followed in the older works are united for the first time.'<sup>3</sup>

The theme of op. 24 is straightforward in its tonal and thematic shape. Its basic structure is 4(→ half cadence) + 4(→ perfect cadence) in one-bar phrases with similar rhythm, the tonic key not being quitted during the theme. A feature of the theme which becomes important during the variations is that (save for the anacrusis) the third phrase has an identical melodic shape to the first phrase at the 3rd above in diatonic sequence; the roots of the harmony have no such correspondence. Both halves of the theme are repeated. All 25 variations use the same proportions as the theme save in one case, that of variation 15, where the second half is extended from four to five bars. The harmonic modifications during the variations include coloration within each half (towards the end of the first half and in mainly the beginning of the second half), the use of varied tonality to end the first half and the displacement of the return to the tonic of bar 7.

1. op. cit. p.75

2. Johannes Brahms: His Work and Personality, p.124

3. Brahms: His Life and Work, p.213 (revised ed.)

The phrase-structure is almost always of a more sophisticated kind than that of the theme.

The coloration of the harmonic structure of the first halves is principally by expansion from the melodic sequence in the theme itself. Variation 5, the first in the tonic minor, introduces the harmonic sequence of the minor 3rd between its first and second two-bar phrases. After also appearing in variation 6, this is carried into the major variations with diatonic alteration to the major 3rd. Variations 7 and 19 use the sequence for five beats in each case, and variations 9, 11 and 14 use it more fully. Variation 9 is the only one of the three chromatic variations to use this sequence and in this variation, for the only time, the sequence is real. Variation 13, another minor variation, follows the usage of variations 5 and 6. There are three other types of harmonic expansion in the first halves of the variations:-

- (i) the accentuation with  $E\flat$  of the dominant at the close of the half in variations 7, 16 and 19, and very slightly in variations 8 and 15,
- (ii) the use of the subdominant in bar 3 in variations 17 and 21 (in the latter example the theme at its original pitch is being harmonised in G minor), and (iii) the use of G minor at the beginning of bar 3 of variation 4. The following variations end their first halves other than with a cadence onto the dominant:- variations 9 (onto the tonic of D major), 11 (onto a half cadence in D minor) and 14 (with a plagal cadence in D minor). In these three cases a dominant seventh chord acts as a link at the very end of the half but after the true phrase-ending there.

There is a marked tendency to treat bars 5 and 6 of the 8-bar basic form as a developmental area in many of the variations. Harmonically this is effected by the use of the tonic minor at the beginning of the half in variations 2-4, 8, 12 and 15-18, which in

some cases is followed by the chord or key of the flattened mediant (variations 3, 4, 8 and 17) or in the case of variation 12 by the minor subdominant key. The first hint of the use of the tonic minor in the work comes on beat 2 of the second half of variation 2. It appears likewise in variation 3 where it is followed by the chords of the flattened mediant (bar 5<sup>4</sup>) and minor subdominant (bar 6<sup>1</sup>); this is the source of the later expansions. Other means of harmonic development in this area (that is bars 5-6 of the basic plan) are:- (i) the expansion of the original scalar bass in bar 6 of the theme in variations 11, 20, 23 and 24 and (ii) the use of other chords and keys which have not been strongly suggested by the theme (the submediant in variation 10 and the leading-note key in variation 20). Bar 7 becomes a point of recapitulation in many variations, as indeed is suggested by the theme, but in variations 11, 13, 15, 20 and 21 the point of return to the tonic is later. The amount of the delay in each case is, respectively, 2 beats, 6 beats, 4 beats (the development here is of three bars followed by a return of the usual two-bar length), 7 beats and 6 beats. A number of variations use a subdominant lean during the last two bars of the structure; this may be seen in variations 3, 8, 12, 16 and 17, and in the first and last of these the tonic minor 7th on the first beat of bar 7 delays the true return of the tonic until the very end of the variation. All but one of the minor variations (no. 13) use the neapolitan chord during the last two bars. In the special case of variation 9 the second half has the harmonic relationship between its two constituent phrases of  $F + B\flat$ , but in the varied repeat which this half receives the first of these phrases (of 2 bars) is transposed upwards a semitone. A mirror relationship is thus created with the (unvaried) first half which has  $B\flat + D$ .

The theme could hardly have a less complicated phrase-structure.

This structure is varied and complicated in a number of differing ways during the set. The simplest kind of variation of phrase-structure is to be found in those variations which consist, like the theme, of equal-length units. Variation 3 (consisting of three-quaver figures used antiphonally between the hands) has shorter units than those of the theme, whereas variation 9 is composed of 2-bar phrases throughout (which units are twice as long as those of the theme). Variation 18 has 1-bar units and sophistication here lies in the interchange of roles between the two hands at every bar. In this category are two border-line cases: variation 17 has 1-bar units throughout save for the last two bars which have a continuous phrase, and variation 25 has 2-bar units throughout but the last two are more closely connected than the previous two. There are two special kinds of phrase-structure not suggested by the theme which find some use in the variations. The first, represented by the formula ABBA, is less common than the second, represented by the formula SSL (short, short, long). Variation 2 has the first of these twice in its first half, the complete structure occurring every two bars. As with most of the examples the return of A is altered. Variation 4 also has this structure in its first half (in beats:-  $\widehat{1+1A} + 2B + 2B + \widehat{1} + \widehat{1A} + \widehat{1+1A} + 2B + 2B$ ). Variation 5 suggests the formula in its first two bars, but the formula is best modified to ABBC for this special case. Variation 20 is an interesting special case: its first half can be represented by the following diagram (the numbers here representing quavers)  $9AB + 4B + 8A_1B_1 + 4B_1 + 7A$  inverted. The second half has a developmental process which includes the modified formula in its final two bars:-  $4 + 4 + 10 + 7CD + 7DE$ . The SSL shape appears both as the overall structure of some variations and as a smaller-scale shape within variations. Variations 10, 11 and 12 all have as their basis two phrases of two bars each in

their first halves and one continuous phrase of four bars in their second halves. Variation 8 uses the formula three times; this is a diagram of the complete variation:-  $\frac{1}{2} + \frac{1}{2} + 1 + \frac{1}{2} + \frac{1}{2} + 1$  :||:  $1 + 1 + \frac{1}{2} + \frac{1}{2} + 1$ . Variations 23 and 24 both have the same phrase-structure, which includes a great expansion of this principle in the second half; the following diagram fits both variations:-  $\frac{1}{2} + \frac{1}{2} + 1 + \frac{1}{2} + \frac{1}{2} + 1$  :||:  $\frac{1}{2} + \frac{1}{2} + \frac{1}{2} + \frac{1}{2} + \frac{1}{2} + \frac{1}{2} + 1$ . Variation 6 is a special use of the principle as an overall structure in that the principle appears in reverse: the first half consists of one continuous phrase (of irregular accentuation) while the second half has two phrases each of 2 bars with a more regular accentuation; this construction is underlined by two changes in canonic method.

A number of variations employ development as an important feature and thus employ at once probably the most obvious and the most complicated method of sophistication in phrase-structure. Only one variation can be seen using rhythmic development mainly in its first half, and that is variation 5. The following diagrammatic analysis shows the main features of the variation:-  $1AB + 1BC + \frac{1}{2} + \frac{1}{2} + \frac{1}{4} + 1\frac{1}{4}B$  :||:  $1AB + 1BB + 1AB + 1BB$ . The development in the second half of this variation comes mainly through harmonic rather than rhythmic means. Two variations employ rhythmic development in both halves, variations 16 and 21. The final bar of both halves of variation 16 contains a shortening of the phrases to one crotchet beat; these phrases have the length of the opening figure of the variation while including the semiquaver movement which features in the second figure of the variation. In the first half of variation 21 the development is by extension: the second phrase has no resting point at bar 4 beat 2 but is extended into the following phrase. In the second half the development is by exhaustion: the phrases in bars 5-6 are two beats long and are followed in bars 7-8

by a phrase of seven beats. The majority of variations using development as a means of sophisticating the phrase-structure use it mainly in the second half. Development in bars 5-6 of the basic form by shortening the phrases is common; this appears in variations 1, 4, 11, 13, 19, 21 and 22. Variation 20 has an SSL structure in these two bars. The form may also be modified in these bars by the use of contrasted material, as in variations 2, 11 and 25. Rhythmic development in bars 7-8 of the basic form may either be by a long final phrase contrasting with previous shorter phrases, as in variations 2, 4 and 17, or by shorter phrases contrasting with previous longer ones, as in variations 7, 14, 16 and 22. Variation 12 shows motific development over the whole half.

Thus the harmonic modifications in this work all take place within a binary scheme and may be termed elaborations rather than distortions of the basic form, and the phrase-structure, though at times considerably modified in detail, generally operates within the proportions of 4 + 4. We may say with truth that in op. 24 Brahms follows the basic form of the theme in the variations, but it should be added that he modifies the formal details with much variety and intricacy.

### Section 3: The Movements.

If we exclude op. 98iv and 111ii which will be considered separately, then eight of the movements discussed in Chapter 1 are in the form of a variation set. All these movements are from works within the sonata/symphony tradition. Five of the movements are slow movements (1ii, 2ii, 18ii, 36iii and 87ii), while three of them are final movements (67iv, 115iv and 120 no. 2iii). The two movements from the piano sonatas show a different technique from the other movements here considered.

Op. 18ii, 36iii, 87ii, 115iv and 120 no. 2iii have each five

variations plus a coda, and op. 67iv has eight variations plus a coda. As with the form in the variation sets the basic form of the theme is maintained through the variations and then broken in the coda. Again as with the sets the codas use a variety of treatments. Op. 67 iv has a substantial coda of  $75\frac{1}{2}$  bars (albeit at a faster tempo than the theme) which concerns itself with the opening theme of the first movement, the theme of the fourth movement itself and a certain amount of new material. Op. 87ii on the other hand has the cadence of its fifth variation extended by merely a few bars: the final phrase of that variation is overlapped with a 7-bar cadential epilogue. The other codas fall within these two extremes of length and complexity. In op. 18ii the coda begins with a simple restatement of the theme, with a new texture and without repetition of the sections. The penultimate bar of the theme provides the material for the second, and equal, part of the coda (a cadential development).

Within the simpler context of these shorter variation sets there is again a tendency to group variations. Op. 18ii has its variations grouped according to mode thus:- minor tonic, variations 1-3, major tonic, variations 4-5; and within each group the variations progress in animation. A similar increase of animation can be seen in the beginning of op. 115iv also followed by relaxation at a change of mode. The theme is in a basic crotchet motion whereas variation 1 has a basic quaver motion (with a simple opening texture which grows in complexity), variation 2 has more fluctuation of basic motion within its tune which works on an average of quaver motion, while the accompaniment to it has semiquaver motion in various forms, and variation 3 transfers the semiquaver motion to the tune itself; the fourth variation is in the tonic major, and, while semiquaver motion appears in smooth accompanimental figures, the variation in its tune

and harmonic rhythm is more placid than its predecessor. A similar scheme may be seen in op. 36iii.

As in the variation sets which are complete works so also in these smaller sets, typical themes for Brahms to use have prominent and simply-structured melodies. The themes for the complete work sets are mostly unoriginal, while the themes for the movement sets are mostly original. In these latter, prominent and simply-structured melodies may be found in the positive minor theme of op. 18ii, in the smoother lyricism of the minor theme of op. 115iv, in the jovial, almost cheeky, major theme of op. 67iv, and in the lyrical major theme of op. 120 no. 2iii. Op. 36iii, however, while preserving a simple formal plan has a much more shadowy melodic content. As Geiringer says: 'The third movement ..... has a curiously vague theme; but its poetic intention cannot be misunderstood: to progress, in the course of the variations, from an oppressed and lacerated mood to a blessed peace.'<sup>1</sup> Op. 87ii has the prominent melody but an obscure phrase-structure. The theme is basically a binary design of 8 + 19 with the following detailed structure:-  $\overbrace{4 + 4 + 4}$  (a subdominant version of the first phrase closed by link material (developed from the opening of the theme) which is repeated at the beginning of the subsequent phrase) +  $\overbrace{4}$  (closed by link material) + 4 ( $\overbrace{2 + 2}$  development of this link material) + 7 (4 distinctive cadential material (not unrelated to the opening of the theme) overlapped with its inversion + 4).

The second movements of the first and second pianoforte sonatas have a theme plus three variations each. 1ii has a 14-bar coda (extracted from part of the major version of the theme) whereas 2ii has no coda, but the third variation leads into the subsequent movement, which continues the variation principle in that the scherzo follows in

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1. op. cit. p.230.

a broad sense the form of the theme and is at the same time a rhythmic transformation of the melodic material of it. The third variation in each set is in the tonic major. The variation technique which Brahms uses here is different from that which we have come to regard as typical of him, and it is a technique which, after these two sonatas, he never used again in a structured set of variations. Here the tune remains more or less explicit throughout and the variations consist of its decoration by textural means and by means of melodic and rhythmic accretions in the form of interpolated extensions; harmonic variants are also used, and these tend to assume more importance in 2ii than in 1ii. 1ii has as theme a 12-bar folk tune with the phrase- and thematic-structure of  $2A + 2B + 2A + 2B + \overbrace{1 + 1C} + 2B$ . Variation 1 is of 14 bars; the theme is divided between bass and treble and has altered accompanimental figuration and changes in harmony; the extensions here are in the form of elongated cadences to  $B_1$  and  $B_3$ . Variation 2 is of  $25\frac{3}{4}$  bars; the structure here becomes  $3A + 5B + 3A + 4B + \overbrace{1 + 1C} + 2B$  + a further extension based on the repetition of C and an altered final B. The 3rd variation follows the structure of the theme, with however, a 3-bar link to the coda appended. Op. 2ii has a theme in two distinct sections (which approaches somewhat a favourite technique of Haydn). Here the two halves are thematically related, but the first half is a complete paragraph in B minor ( $\overbrace{2 + 2} + \overbrace{1 + 1 + 2}$ ) while the second half is basically in D major (with minor subdominant colouring) concluding, by a last-minute enharmonic twist, with an imperfect cadence in B minor ( $\overbrace{2 + 2} + \overbrace{2 + 2 + 2}$ ). Variation 1 uses the same rhythmic and tonal structure as the theme. Variation 2 has a change of harmony in its first section, which is also extended by 1 bar; in the second half however is included large-scale development which makes the original 10 bars into 21. (The first 8 of these bars

are over a Bb pedal, which is followed by a grandiose modulation to D major; the extension concludes with an imperfect cadence in B minor). Variation 3 follows the rhythmic structure of the theme save for a 2-bar link at its close.

The Passacaglia at op. 98iv is the only example of Brahms' use of this specialized variation procedure on the movement level in instrumental music. (The procedure appears only rarely at a sub-movement level; in instrumental music two occurrences are op. 16iii and the coda of op. 56). The 8-bar theme, from Bach (+ an A $\sharp$ ), has 32 appearances the last of which becomes a brief coda. The method of variation can be harmonic (variations 20-21 are reharmonized in a much varied manner, and variations 14-16 alter the mode to major, for instance) but the burden of variation is likely to be melodic. Either new counter-melodies are provided for the theme (as in variations 3, 5-12, 15-16, 18, 23 and 26), or the theme is incorporated in a new melody (as in variations 4, 13 (where the relationship is somewhat obscure), 19-22, 24-25 and 27), or, where the theme is not explicit, the variation can be said to be on a harmonization of the theme (which is not always the original harmonization) and the theme may be considered as migrant (as in variations 14, 23 and 28-31). Formal repetition takes place in these variations in two ways: there is recurrence of certain variations (a formal idea also to be found in the Passacaglia from Muffat's *Apparatus Musico-Organisticus*,<sup>1</sup> which Brahms is known to have admired and studied<sup>2</sup>) and a grouping of certain variations by the making of one variation a model for its successor or successors. The recurrences are variation 1 at variations 17 and 25, and variations 3 and 4 at variations 26 and 27 respectively. These recurrences, when

1. Historical Anthology of Music, No. 240

2. Brahms' Orchestral Music, Horton, (London 1968) p. 57

taken with the two other formal features of differences in the position of the theme and of differences in the harmonic rhythm, give an overall scheme for the movement of 4 variations (theme in treble) + 8 (theme in bass) + 4 (slow harmonic rhythm) + 8 (the first variation of this group as variation 1 of the movement) + 8 (the first variation of this group as variation 1 of the movement, and the second and third variations of the group as variations 3 and 4 of the movement) which, in its well-ordered metrical way, is typical for Brahms. The special grouping of variations by similarities of material extra to those provided by the common theme are as follows:- the counter-melody at variation 5 becomes a melodic model for that at variation 6, which in turns becomes a rhythmic model for that at variation 7; the counter-melody at variation 9 becomes a melodic model for that at variation 10; the counter-melody at variation 15 becomes a melodic and rhythmic model for that at variation 16; the ornamentation of the theme at variation 20 becomes a melodic model for that at variation 21; the counter-melody at variation 28 becomes a melodic model for that at variation 29, and the counter-melody at variation 30 becomes a melodic and rhythmic model for that at variation 31.

Tovey says<sup>1</sup> of the slow movement of op.111:- "the adagio is a cavatina, if its form admits of codification at all," and on the previous page he elucidates the term thus "..... a single melody achieving the spaciousness of an entire movement by expanding without allowing a middle section to partition itself off." However, because there are at least four distinct melodic motifs which undergo selective repetition, a more detailed analysis becomes possible. The movement may be seen as a modified strophic design; this form is a cross-over from vocal music, and is very rare in Brahms' instrumental music.

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1. Cobbett's Cyclopedic of Chamber Music, p. 180.

Op. 116iv may also be analysed in this way. Geiringer says of 111ii: "..... the variations of the Adagio are treated with a fantastic freedom not very frequent in Brahms's work."<sup>1</sup> The technique of variation or modification has something in common with the technique of the slow movements of op. 1 and 2. However, while certain of the variation techniques (those of structural modification and harmonic alteration) are superficially similar in the three movements, in the early movements the structural modifications are always by extension and never by omission and the harmonic alteration is on a smaller scale. Furthermore the earlier movements show an importance for ornamentation, which technique does not play a large role in 111ii, and, of course, the themes are much different between early and late works; it might be said that the early movements show an overall idea of decorative embellishment of a more or less self-contained melodic theme, while 111ii has an overall idea of modified repetition of a diffuse period with a rich motific variety. Two large-scale parallels do exist between the three movements, which give some support to the idea that Brahms may well have had the earlier movements in mind while writing 111ii: all three movements have their greatest structural modifications in variation 2 and all three begin variation 3 in the tonic major. Table 6 shows a diagrammatic analysis of 111ii. From this it will be seen that there are five strophes each beginning with 2a in various keys (D minor, D minor, G minor, D major, D minor). The principle of variation is applied more in the treatment of the subsequent thematicism. The first strophe has b + c + link (based upon a); in the second strophe b is limited in thematic content but expanded in length, c appears with altered harmonic structure and the link is expanded; in the third strophe b appears as in the opening but

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1. op. cit. p. 242.

Section	Thematic constitution			link	Overall length
	a	b	c		
(exposition)	2 (D minor)	6 (→dominant major)	4 (D minor → half cadence in dominant)	2 (development of a in A minor)	14 D minor → A minor
(repeat of exposition)	2 (D minor)	8 (→half cadence, using the first thematic idea of b only)	4 (→half cadence)	4 (D minor →)	18 D minor →
(development)	2 (G minor)	6 (as original, but transposed, subdominant → tonic major)	+ 11 development of b with some new material		19 G minor → D minor
(recapitulation)	2 (D major)	8 (slightly limited thematically)	5 (obscuring textural development → half cadence), overlapped with:	3 recitative link	17 D major → minor
(coda)	2 (D minor)	6 (new texture, → perfect cadence in tonic)	+ 2 a as plagal cadence and 2 (final chord).		12 D minor

(TABLE 6: The Structure of op. III movement 2.)

now transposed and is followed by 11 bars of development of b with the omission of c and the link; in the fourth strophe b is again elongated to 8 bars (but is less limited thematically than its appearance in strophe 2), c appears in a textural variation and the link is melodically changed (both these features are expanded by 1 bar over their original length); in the fifth strophe b has its original length but is again thematically limited (though in a new manner) and c and the link are again omitted but are here substituted for by a recurrence of a as a plagal cadence + 2 bars of final chord. It is possible to see this movement as an idiosyncratic sonata form, and the section names for this view appear to the left of the diagram.

#### Section 4: Variations at the sub-movement level.

Brahms uses variation technique at the sub-movement level in a number of differing ways. We may distinguish between the placing of a normally structured but miniature set of theme and variations within a movement, the use of less regularly structured methods and the variation of repetitions within other forms.

The first of these types is quite rare. Two examples are the second subject of op. 60i and the trio of op. 118 no. 5. The second subject of op. 60i is a theme of eight bars (4 + 4 → dominant) followed by a set of four variations maintaining the basic form of the theme. Variation 1 has a simplification of the tune over a similar harmonic plan. Variation 2 has a new accompaniment in the shape of a rhythmically decorated inverted pedal (maintained save for one beat) on the dominant; the first two bars of the tune appear in diminution on the cello in bar 1 of the variation, and the piano then presents bars 2 - 8 of the tune in a fairly close manner. Variation 3 begins by being a minor version of variation 2 for four bars, presents bars

5 - 6 in a new tonality (chromatic in E major) and develops these in bars 7 - 8 as a link into variation 4; the rhythmic accompaniment from variation 2 is maintained throughout. Variation 4 is a restatement of the theme in the tonic throughout; it is exact until bar 7 when bars 7 - 8 act as the penultimate chord in a perfect cadence into the codetta to the exposition. In variations 2 and 3 the basic structure of the theme is somewhat obscured by the instrumentation of the openings. In the recapitulation the second subject retains the form of theme and four variations, but the variation techniques are altered. They are still however based upon the form of the theme, save that the third variation is extended by two bars. Variation 1 has imitation of bars 1 - 2 of the theme over simplified harmony; this variation does not appear in the exposition. Variation 2 has the bass of the theme in the viola for the opening four bars over a decorated dominant pedal and under a simple decoration of the theme in the piano RH; it also does not appear in the exposition. Variation 3 is a minor version of variation 2; this grouping of the second and third variations occurs in the exposition. Variation 4 is a restatement of the second variation of the exposition. Op. 118 no. 5 has as the middle of a ternary form a four-bar theme followed by five variations maintaining the basic form of the theme. The whole section is over a tonic pedal in D and the bass is an ostinato. Variation 1 is very similar to the theme and preserves the animation, and variations 2 - 5 are textural decorations of the theme. An increase in animation operates through variations 2 and 3 (which have triplet quavers instead of the duplet quavers preceding) to variation 4 which is in semiquavers. The section closes with a 7-bar coda and bridge.

Some examples of variation technique in op. 51 no. 2iv, 60i, 90i

and 120 no. 1i differ for a variety of reasons from the standard theme + variations structure. In op. 51 no. 2iv the 67-bar coda comprises seven periods each of which is concerned with a different presentation of the opening of the first subject of the movement. The proportions of the periods are:- 8 + 8 + 11 + 14 + 8 + 8 + 10, with the first four chromatic in the tonic major and the next three chromatic in the tonic minor. Bars 1-2 of the subject of the movement appear in their original rhythm in periods 1 and 6, in diminution in periods 2 and 7 and in augmentation in period 4. Period 3 has the two intervals of bars 1-2 of the subject separated and in a new rhythm, and period 5 has a diminution of bars 1-8 of the subject plus development. The shapes of the periods are either binary (nos. 2-3) or an aab form where b is a development of a, but the harmonic structures are all different. This is, therefore, a variation set based upon a motif which is much shorter than the length of a typical variation, and as a result there is freedom of form and harmony in the variations. At the close of the development of op. 60i three periods with the proportions 8 + 6 + 8 have similar thematic content and progression but different harmonic and rhythmic details. This must be regarded as strophic modification on the phrase-level. The second subject of op. 90i has this technique on a much smaller scale. At its opening the subject has a bar which acts as a 1-bar theme for three following modified repetitions; bar 2 has its ending embellished, bar 3 has its opening contracted and in bar 4 the opening is much altered and the ending expanded. After a middle section of three bars extracted from the theme, the theme itself returns for two further modified repetitions which are very similar and are mainly by inversion. Op. 120 no. 1i has as part of its second subject a theme + two variations + a development

+ a variation of that development. Decoration forms some part of the variations. The theme of four bars is repeated with varied accompaniment as variation 1. Variation 2 is twice as long with the theme in augmentation accompanied by new embellishments. The ensuing development has the length of the theme but consists only of its last bar in augmentation and canon. The variation of this development is a simple textural decoration with an extension and altered harmony.

When a theme is followed by one expanded variation, not necessarily involving decoration, we may distinguish the technique of statement + expanded response. This is an important technique for Brahms. Some examples of it occur in op. 99i, 99ii, 114i and 120 no.1i. The opening statement of op. 99i is of eight bars with the phrase structure of 4 (SSL) + 4 (SSL). The variation which follows expands the first four bars into eight by simple repetition within the phrase and melodic augmentation and decoration applied to the last constituent of the phrase. The second original four-bar structure then receives a repetition with melodic embellishment which develops imperceptibly into the bridge passage. In 99ii the opening four-bar theme receives an expanding variation of seven bars which begins by presenting bar 1 transposed, then proceeds by developing the first half-bar and the fourth half-bar together for three bars and concludes by developing the complete second phase of the movement. The responsive phrase in subject 1i of op. 114i is an expanded variation of the model implied by the opening phrase. The opening phrase is of four bars, and can readily be seen as being in two halves. The responsive phrase to this is of eight bars (→ tonic) and is expanded by a simple variation procedure from the natural responsive phrase to the opening. The first two bars are a natural response to the first half of the first phrase but they are immediately followed by an ornamental repeat of themselves;

the subsequent two bars likewise form part of the hypothetical natural response but they likewise are followed by a varied repeat of themselves (varied as to slight melodic detail only). The first subject group of op. 120 no. 1i has a binary structure of 1i (4 bars) + 1ii (8 bars) + 1i (12 bars) + 1ii (13 bars), which may be considered an example of statement + expanded response. The second appearance of 1i has:-

4 (the first bar of the theme appears twice in diatonic sequence followed by the second bar at its original pitch with a final note in bar 4) + 8 (the first bar of the theme again appears twice in sequence but is now decorated by an opening half-bar arpeggio preceding the tune of bar 1 of 1i in diminution; the second bar of the theme also provides two bars here by repetition, and this is followed by an irregular augmentation of the final two bars of the theme into four bars here). 1ii then appears intact but decorated; the 8-bar theme appears mainly in the pft. The rhythmic configuration of the original bar 3 of the theme 1ii is used to decorate the first bar here and is developed by the clarinet as accompaniment to the second bar. The triplets from bar 7 of the theme provide an even more animated decoration in bar 3 here, and this is developed by the clarinet as accompaniment in the subsequent three bars. The final five bars of this phrase then reappear with harmonic alteration from bar 2 onwards and with rhythmic alteration for the final two bars, and they act as bridge-passage.

Variation to the extent of the alteration of material in reprise is of the essence of binary and sonata forms and is often used in the contrast-based forms also. These alterations will be treated in the relevant chapters. Repetition of smaller units within these forms often includes some variation, and as example of this the textural variation in the presentations of the first subject of op. 18i may be taken. The first subject of op. 18i appears fully three times:

at the opening of the movement, at an immediate repeat (bar 11) and at the beginning of the recapitulation (bar 234). These appearances are apart from those developmental uses of the subject in the bridge passages, development and coda. In each of these three main appearances there is a different texture. At the beginning of the movement the subject appears on the cello 1 with a two-part accompaniment on viola 1 and cello 2; the immediate repetition has the subject in octaves on violin 1 and viola 1, with the original bass still on cello 2 and an altered quaver accompaniment in octaves on violin 2 and cello 1; and the recapitulation has the subject in octaves and fifteenths on violas 1 and 2 and cello 1 over a syncopated and decorated dominant pedal and with two new parts in the two violins, both using quaver animation. As a contrast to this massive sound the coda (bar 363) begins with phrase 1 of the first subject in two parts only.

CHAPTER 3: THE ADDITION PRINCIPLE IN THE VOCAL MUSIC

The two instrumental procedures already discussed also appear in vocal music. We shall here call them fantasia form and strophic form. These new names are justified by a new attitude to the procedures, special to vocal music. In the case of the fantasia the presence of words is used as a unifying feature to allow of a greater musical disjunctiveness than would be found in instrumental music. In the case of strophic form the opposite is true; the words are used as a diversifying feature and thus many repetitions of one section of music are tolerated. These vocal uses may be considered as extreme forms of the instrumental uses.

In instrumental music the fantasia appears on two levels. On the movement level large-scale works are created by the addition of contrasting, self-sufficient and in a formal sense unintegrated movements, but as we saw in Chapter 1 this formal notion is carefully surrounded by a multiplicity of limitations varying according to the tradition in which Brahms was working in a particular case. The number of movements in a chamber music work, for instance, is either three or four. (We can see that the same rigour did not apply to vocal music in the case of the Requiem, which was publicly performed at various stages of its creation with three, six and finally seven movements.<sup>1</sup>) On the sub-movement level we have only the rare uses of the slow introduction to sonata-form movements, whereas in vocal music on this level we have an almost unclassifiable multiplicity of uses ranging from extreme disjunctiveness (where changes of rhythm - both animation and metre - tonality and thematicism all occur at once, as in op. 33 no. 6) to a method of formal construction in which two formal units similar in rhythm, texture and tonality are

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1 Brahms, Latham, p. 51-2

added together (a good example of this is op. 49 no. 1 where two short 4-phrase and complete binary sentences appear one after the other).

The strophic principle appears in instrumental music in the single repetitions to be found in many forms and as the basic notion behind variation form. Apart from saying the largest number of straight repetitions in Brahms' vocal music is five and the smallest number is one, little of interest can be said about strict strophic form. A wide field of study is however opened up in the discussion of modifications to basic strophic form which take many shapes from simple textural alteration (to be found in op. 59 no. 5, where the accompanimental texture is different for each of four verses but the basic harmony is maintained throughout) through the more complex harmonic alteration in op. 105 no. 1 to the fully-fledged binary form of op. 59 no. 8.

Many of Brahms' vocal works however use an overall form other than these two overall forms, a form taken with little modification from instrumental usages such as ternary or rondo, and these works will be found treated in the appropriate subsequent chapter.

### Section 1: The Fantasia as a Form

A fantasia is created by the addition of sections of music which is justified neither by repetition, nor by enclosure within two statements of another section nor by a final position - as of a coda (usually terminally developmental in ethos) or an Abgesang in bar form (a special form of fantasia procedure, which will be treated in Chapter 8). Thus in the simple case of the Requiem movement 2, two self-sufficient sections are linked by a bridge; they are distinguished by speed (Langsam / Allegro non troppo), metre ( $\frac{3}{4}$ ), tonality (Bb minor/Bb major) and thematicism. In the more subtle case of the opening of Rinaldo three sections are distinguished by texture and to some extent by thematicism, and are unified

by rhythm, tonality and, again to some extent, thematicism. This case will be dealt with in detail below.

The main features of disunity will be those of rhythm (both speed and metre), tonality and thematicism. On many occasions one or more of these features will act as a force for unification, and the balance between these two forces being unique for every work makes classification very difficult. However the only one of these features which will affect the formal nature of a piece on its own is thematicism. The change of speed for the final section of op. 103 no. 1 (in its original quartet version only) leaves the song still as a strophic design. The metre change in verse 4 of the motet op. 74 no. 2 leaves the whole motet still as a set of variations. The tonal change (admittedly not a drastic one) in the song op. 95 no. 5 leaves the song still as a binary form. On the other hand in op. 49 no. 1, as we have already seen, a formal fantasia is created by thematic means alone. This difference gives us a basic classification between those fantasias where the changes between two sections are more than just thematic and those fantasias, less aurally dramatic but more interesting in their subtlety, which depend only on thematic differences. In the first category we shall consider the opening of op. 50, the motets op. 29, and the songs op. 70 no. 4 and op. 43 no. 1.

In spite of the lack of number titles Rinaldo is a number cantata. The final chorus (a large AAB form) is separated by title from the main body of the work. This main body has fourteen numbers which are articulated into groups by two pauses over rests. The first of these groups includes an orchestral introduction, chorus and recitative and arioso, and the balance here between independence and integration is a fine one. Texture is the main divisive feature; speed, metre and key are all constant; formalism and thematicism are the features which both divide

and unite. The following diagram will show some of the boldness of the conception:- Introduction  $15s + 16r + 15x + 16y$ , Chorus  $25a$   
 $(\text{related to } s \text{ \& } r) + 20b + 38a_1 + 22b + 16r + 16x$ , Recit and arioso  
 $24y_1 + 18c (\text{related to } s \& r) + 16c_1 + 26x \rightarrow$  half cadence. The second group is perhaps more conventional in that each of its seven numbers has a self-sufficient form both as to tonality and thematicism (which does not prevent thematic relation between nos. 4, 5, and 7). Nos. 4, 5, 7 and 10 are ternary structures, nos. 6 and 8 are binary, and no. 9 and rondo.

Mention must be made of the two Motets in op. 29 because of their closeness to instrumental forms which were considered in Chapter 1. The first work consists of two movements. The first of these is a 4-part setting of the Lutheran chorale tune which is associated with the text of the work; it is in the Bachian manner but nevertheless appears to be an original setting. This straightforward presentation is followed by a 5-part fugal setting in which the first bass does nothing but present the chorale in minim values with large rests between each line (save at the end where this part joins in the final cadential extension). The other parts throughout work and fugal texture which, before and during each presentation in the first bass is woven out of the line in question in note-values diminished by a half. This form is strongly reminiscent of the Chorale-prelude and fugue 'O Traurigkeit, O Herzeleid' although there are important differences (as can be seen from Chapter 1 p. 9). Here for the first time in our investigation of the vocal music the number of movements has some external significance. The second motet of op. 29 again shows, however, the greater freedom from instrumental tradition of Brahms' vocal music. It is a setting of three verses from psalm 51 and falls into four sections in the sequence prelude, fugue, prelude, fugue. The second of these prelude and fugue syndromes is

temporally more connected than the first (as one might naturally expect since here the prelude and fugue are both connected with the same verse) and the second fugue is less developed than the first.

Op. 70 no. 4 may be used as a simple example of fantasia construction from the number of solo songs which use the procedure. It consists of two sections, joined by link harmony, which have different speeds, keys and thematicism; both sections are formally self-sufficient. The first part is a simple binary plan in A minor, while the second is a partially developed sonata design in C major. Op. 43 no. 1 is more complex in that it has three non-recurrent sections. Each of these is a formally self-sufficient binary structure with independent thematicism. The first section has its binary form once repeated, the second section has its first half repeated and its second half followed by a developmental part interlude on the opening of the section in the tonic, and the third section has no repeat. The second section preserves the rhythmic attributes and the key of the first section. The third section changes rhythm (from *Mässig*  $\frac{3}{4}$  to *Ziemlich langsam*  $\frac{6}{8}$ ) and key (to the tonic major) as well as thematicism. In both these songs the fantasia form is suggested and justified by the text. In op. 70 no. 4 section 1 describes the scene and section 2 sets the character's comments upon it. In op. 43 no. 1 the text has the following pattern:- scene-setting + question + answer, and this three-fold division coincides with that of the music.

In the second of our categories of fantasia, that in which the fantasias have changes of thematicism only, we shall chiefly consider op. 45 vii, 93a no. 5, 85 no. 2, 37 nos. 1 and 2, 49 no. 1, 105 no. 3, 57 no. 8 and 70 no. 3.

The form of the last movement of the Requiem is ternary with coda, the coda acting somewhat as a coda to the whole work since it is almost exclusively based upon material from the first movement, which the body

of the final movement is not. Op. 93a no. 5 shows the skilful integration of a new formal section by the employment within itself of material from the previous section. It has new material in its coda, here for textual rather than formal reasons. The main section and the coda are of roughly equal length, the main section having 30 bars comprising three 10-bar verses and the coda having 28 bars which combine new material with elements from the strophic section. Verse 1 has:- 2a (tonic F major) +  $3\frac{1}{2}b$  ( $1\frac{2}{3} + 1\frac{2}{3}$  where sequence is used in the second part of the phrase → a cadence onto Ab major) + 2c (→ interrupted cadence in tonic) +  $2\frac{2}{3}c_1$  (an altered repetition with repaired cadence and prolonged final note). Verse 2 has the tune and basic harmony preserved but has a more contrapuntal accompanimental texture for phrases a and b; verse 3 follows verse 2 exactly. The second section has:-  $2\frac{2}{3}d$  (D major) + 3e (→ Bb major) + 4x (Bb → D major, based upon the first motto of b with a mediant relationship which can be found in a different form in c) +  $4x_1$  (a decorated and less contrapuntal repetition) +  $4x_2$  (begins with 2 bars similar to  $x_1$  which it follows with the 2 bars of c in almost exact form → interrupted cadence in the tonic) +  $2c_1$  (repetition with repaired cadence) + 3d (D major, prolonged opening) +  $5\frac{2}{3}e_1$  (the original e is transposed a 4th down and its final 4 beats are augmented to double their former length, save the last which is four times as long). Thus the two framing phrases are new and the interior of the section is evolved from the strophes preceding.

Op. 85 no. 2 is a fantasia song, the main portion of which, the middle of three, is the opening section of the previous song. It is thus a fantasia for similar reasons as op. 45 no. 7, and it acts itself as a kind of coda to the previous song. This is a notion which Brahms employed in the solo songs on only two other occasions (op. 19 nos. 2-3 and op. 59 nos. 3-4) and is of course an extension of the fantasia

principle. The first section is of nine bars and has:- 2 (Bb minor) + 2 (Gb major) + 4 (G minor → interrupted cadence in Bb); the final three bars of this last phrase, together with the 1-bar interlude which follows it, are made up of material from the introduction of the previous song as elaborated before the return of A in that song. Section 2 is the repeated section from the previous song, here mostly over a dominant pedal. It consists of ten bars and the rhythmic structure is as before. After a half-bar of link harmony section 3 has:- 2 (Gb major) +  $2\frac{1}{2}$  (a perfect cadence in Bb major) + 5 epilogue in Bb major, closing with the first three chords of the previous song.

Canonic texture can lessen the need for more orthodox formalism. Textural formalism substitutes for that based on tonality and thematicism, and, from the point of view of these latter aspects, a fantasia is created. The first two canons in op. 37 are examples of such liberation. Both end with a certain amount of homophony, which is a further symptom of the progressive formalism. Of these no. 1 is an 18-bar piece which falls into three distinct thematic phases:- 6 (→ half cadence) +  $4\frac{1}{2}$  (sequential 2 +  $2\frac{1}{2}$  → D minor) +  $7\frac{1}{2}$  (→ tonic).

Op. 49 no. 1, we have already noted, is two self-sufficient binary sections joined together; the melodies of each have somewhat similar animation and almost similar phrase-lengths - the melodic figures are of course different, otherwise the piece would not be a fantasia. Op. 49 no. 4 also has two self-contained 8-bar binary tunes joined together as the structure of its verse. When such a form is miniaturized and multiplied several times within a piece it becomes what can best be described as old sequence form, and this procedure is used by Brahms on several occasions - sometimes within a differently formed piece (such as the strophic op. 105 no. 3 or the obscurely binary op. 70 no. 3), sometimes

as the chief formal feature (as in op. 57 no. 2, or op. 7 no. 6). The clearest example of this form is a verse from op. 105 no. 3.

The verse here has a vocal part of twelve bars and is followed by an epilogue which (i) is based on a development of the vocal cadence and (ii) performs an important tonal function. The vocal part consists of six 2-bar phrases, paired thus:- a + a<sub>1</sub> (a<sub>1</sub> has its first note different from a, and has an interrupted cadence whereas a had a continued cadence), b (G minor) + b<sub>1</sub> (D minor, melodically in sequence), c (tonic, F major) + c<sub>1</sub> (to cadence in D minor; c<sub>1</sub> is an elaborated melodic sequence, there being no harmonic sequence save for the first three chords). The epilogue has 1 + 1 (D minor, repetitions of the cadence) + 3 (F major, the cadence formula is given an irregular augmentation in the RH with the final chord repeated; the unaugmented rhythm from the cadence occurs in each bar in the bass). This is a folk-song text and is set by Brahms in his pseudo-folk-song manner, which is why, perhaps, it is such a clear example of a structural notion (the fantasia on the phrase-level) which tends in general to be treated with greater sophistication.

Op. 57 no. 8 is a fantasia divided into two parts by a change of speed (the parts are connected by key - both having E major as tonic - and by one theme which opens the first part and appears in transformation in the second). Old sequence procedure, modified, is used for the first 48 bars of this 70-bar song, and it provides the main principle for the construction of the first section and a subsidiary one for the construction of the second wherein it operates only for the first 24 bars. The second section, of 46 bars, is basically a ternary form with a shortened return. In the first section there are four lines in two pairs, and the repetition in each case is modified in two ways (i) it omits the first two bars and (ii) alters the harmony to minor. For the first line the repeat elongates the second part of the phrase; thus we have for the

section: pft 2 + line one (2 + 4) repeated as 5 overlapped with: pft 2 line two (2 + 2) repeated as 2 + epilogue 4; i.e. 12 + 12 with the first half ending and the second half beginning in the dominant. The second section initially has:- pft 1 + line one (5 → dominant) repeated (5 with altered harmony - including a  $\frac{6}{4}$  of the mediant major chord - to a half cadence) + link 1 + line two (5 - a transformed version of section one line one, including at its ending the falling 6th figure, to a half cadence) + extension 1 + line two repeated (6 with modification of harmony in the latter part to cadence in F major). This is the first section of the ternary form; the return is modified and shortened by omitting the repeats.

The serenade op. 70 no. 3 is binary in that there is an emphatic intermediate cadence in the relative minor, but the principles of thematic organisation are twofold: (i) the recapitulation at the end in an expanded way of the two opening 1-bar phrases and (ii) the sequence procedure, which begins at bar 4 and is carried through to the end of the song - affecting therefore the recapitulation of the initially exempt first two phrases. After an introduction of one bar we have:- 1a + 1b (tonic) + 1c + 1c (the second phrase a fourth higher than the first, passing through the subdominant area) + 1d + 1d (intervallic change in the second phrase but the shape still recognisable, neapolitan + dominant) + 1e + 1e (in sequence, the second phrase basically a tone lower than the first, tonic minor coloration + in the last half bar, the dominant of A) + 1f + 1f (first two notes of the second phrase altered, harmony over chromatically descending scale) 2g + 3g<sub>1</sub> (both phrases are cadences in G# minor; the thematic link between the two phrases is more obviously demonstrated by the piano than the voice) + 1 $\frac{1}{2}$ b<sub>1</sub> + 1 $\frac{1}{2}$ b<sub>2</sub> (tonic, each phrase - the second of which is a fourth higher than the first, with the final interval changed - is treated in canon at half a bar's distance at the unison by the piano, the canon being broken for the final note of

each of the phrases) +  $2a_1 + 3a_2$  (both phrases expanded from their model, the first by simple augmentation, the second beginning with a similar augmentation and adding new material to it). For the final part epilogue there are merely three bars of tonic chord, overlapped by one bar with  $3a_2$ ; the first two bars of the epilogue maintain the paired sequential principle. The  $AA_1BB_1$  form of op. 47 no. 5 uses the principle above the phrase-level in that A &  $A_1$  consist of four phrases each and B &  $B_1$  of three phrases each; while the thematicism has this form the tonal form unifies the song overall.

An interesting compromise between the fantasia and an instrumental form is afforded by the Schicksalslied op. 54. The work is basically ternary with the proportions 103 + 276 + 30. The first section begins with a 28-bar orchestral prelude. This prelude, transposed, with alterations of texture and orchestration, and with its final chord extended for two bars forms the third section of the work. The ternary plan is thus compromised in terms of proportion, tonality, (the tonics of the three sections being Eb major, C minor and C major) and texture (the voices are absent in the final section), and relies wholly on thematicism. It is interesting to note that the normally effusive Edwin Evans Senior finds this coda-like return unsatisfactory.<sup>1</sup> Whatever one may wish to call the form of this work, it does demonstrate Brahms' freer approach to formal problems when concerning himself with vocal music. This freedom can also be seen in works which may be said to strain the bonds of unity in a basically non-fantasia form between opening or closing sections and the main body of the movement. As an example involving an opening section we shall cite op. 33 no. 1, and as one involving a closing section op. 105 no. 4. "Keinen hat es noch gereut" is a free strophic design of

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symphonic proportions in which four verses (41 + 71 + 37 + 67) differ quite markedly from one another, but each begins with the same tune. The song begins with a 39-bar introduction which textually introduces the main tenor of the poem and musically consists of two long vocal phrases with the pft preceding, separating and following them; the only thematic connexion which this introduction has with the main body of the song is the establishment of a characteristic accompanimental rhythm (one of the very few examples of physical programmaticism in Brahms' vocal music - here the rhythm is that of a horse at full tilt). "Auf dem Kirchhofe" is a binary form on the pattern ABA<sub>1</sub>C, but by instrumental standards the form must certainly be called discursive. The final section changes rhythm (both speed and metre), tonality (tonic minor → major) and thematicism. It is only the fact that B ends with a very positive modulation to the dominant (minor) which grafts C into the structure of the song and prevents us calling the piece a fantasia form.

The foregoing section suggests that there is something called fantasia form. It may be nearer the truth to say that there are many fantasia forms, and that the principle is an attitude rather than a form. In any case it infects vocal music at all levels, as we have seen, and in doing so helps to show Brahms as a freer formalist when he is concerned with words.

### Section 2: Strophic Form

Brahms uses a pure or only slightly modified strophic plan in about a quarter of the total number of vocal movements. To provide exact numbers involves two awkward assessments: what is to be reckoned as a single vocal movement (is Rinaldo 1, 2, or 15 movements? is the Alto Rhapsody 1 or 3 movements?), and where the definition of slightly modified stops (is, for instance, op. 32 no. 9 'Wie bist du, meine Königin'?

which is undoubtedly strophic-based but has considerable modification, to be included?).

Of pieces in pure strophic form little needs to be said. Anything of importance within the form of an individual verse will be treated elsewhere, save that the question ought to be asked as to whether the repetition of a unit allows of an unusual degree of discursiveness within the unit. Such treatment of verse structure is found. Op. 47 no. 4 is a good example of the possibility here. The form of verses 1 and 2 is:- 8(→half cadence) + 4 (relative minor, with change of melodic but not rhythmic configuration) + 10 (tonic, with change of melodic and rhythmic configuration). Any formal cogency within the verses thus mainly depends on a ternary key-structure rather than any thematic technique. Discrete verses may also be found in op. 32 no. 3, 62 nos. 1 and 2, 69 no. 8, 107 no. 1 and 112 no. 3. Unmodified strophic form tends to be used with a simple approach to melody, although this approach is also found elsewhere. From this point of view Brahms' treatment of folk-song texts as a basis for art song is illuminating. Almost all have strophic settings either simply or as part of another overall plan (op. 14 nos. 2 and 5, both on folk texts, both show an overall ternary plan - no. 2 has AAABB<sub>1</sub>A<sub>1</sub>A for its seven verses), although there are exceptions (op. 31 no. 2 is, for instance, a rondo form).

Strophic form was used by Brahms fairly evenly throughout his life, except that there are two collections of solo songs in which this form predominates (op. 48 has the form for six out of seven songs, and op. 69 for eight out of nine songs) and in the other vocal music the form predominates in the collections op. 17, 22, 41, 44, and 62. It must be pointed out that the assertion made by Boyd in the *Musical Times* volume 108<sup>1</sup> that Brahms distinguished by title between strophic form songs and

songs in other forms is untenable in the light of op. 48 (entitled *Lieder*) and op. 69 (entitled *Gesänge*). The number of strophes used by Brahms varies between two and five for pure strophic form (an example of the former is op. 44 no. 9 and an example of the latter is op. 41 no. 4). He has a preference for two or three strophes rather than for four or five; this aspect of the form is of course inherent in his choice of text. Where the number of strophes exceeds five alterations are introduced, such as in the 5 + 1 coda of op. 22 no. 1 or the ternary influence in op. 43 no. 4 (AAAABBAAA).

It is however the modifications of the basic strophic form which provide much of interest. We may consider these as influences from instrumental forms, though in one important case the influence does not modify the basic form toward an instrumental shape. We shall consider rondo, strophic + coda, AAB, binary, variation and ternary forms.

Rondo is placed first and not with the other contrast-based forms because its influence on the basic strophic design is perhaps the simplest of all. If an instrumental introduction to the verses is reproduced as an epilogue as in op. 6 no. 2, a rondo influence must be acknowledged. In op. 6 with three verses and comparatively short instrumental portions the influence is unimportant; but in op. 17 no. 1 we have only two verses and much longer instrumental sections. In this case the instrumental sections generate the verse material. The introduction, for horn and harp (the horn, unlike the harp, not accompanying the verses), is of ten bars (2 + 2 + 6 where the first two phrases are a kind of lengthy anticipation for the long final phrase). The verse is binary in that it has two phrases (4 + 8 bars) which are separated by 1 bar's rest, and each of these phrases is a variation of the introduction. The rondo influence is to some extent limited by this similarity of thematic material. In op. 69 no. 6 the introduction is vocal; with two verses surrounded by an

independent vocal introduction, interlude and epilogue we have a very close parallel to specialized rondo form.

The addition of a coda to basic strophic form is a fairly common occurrence, and this can vary in size from that of op. 3 no. 4 to that of op. 93a no. 5. In the former the last verse of three has its cadence enlarged from two vocal bars + 3 extending pft bars to  $5\frac{1}{2}$  vocal bars. In the latter the coda was of such size (and scope) that it merited inclusion in the earlier section of this chapter. Other works to show this addition are:- op. 47 no. 4, 92 no. 2, and 97 no. 3 (all showing cadential elaboration), and op. 22 nos. 1 and 3, 31 no. 3, and 107 no. 5 (which all show something more substantial). Op. 110 no. 2 has the notion of expansion applied to the beginning of the final verse rather than to its conclusion; and op. 69 no. 4 is a further special case in that the final verse is actually a contraction of its predecessors. This is a unique case in Brahms' vocal music. An introduction of 8 bars (six 1-bar units + 2) precedes each verse except the last, and verses 1-3 (which are identical) have:- 4 (tonic, F major → dominant) + 4 (→ mediant major) + 2 (extension in pft) + 4 (F major) + 4 (Bb major) + 4 (→ F major). In verse 4 no separate piano introduction is used, but the original 8-bar introduction opens the verse with a new vocal descant; these 8 bars now close in the mediant as if ending the first half of the binary verses 1-3. From this point the verse is as its predecessors (apart from minor textural alterations) and is succeeded by a 4-bar epilogue developed from the introduction.

Where a substantial coda is added to a two-verse strophic form or where the third verse of a three-verse strophic form is substantially modified the result is bar (AAB) form. We have considered the form proper to be a specialized part of the contrast principle, and will consider here only examples where the B section is based upon material from preceding sections. This occurs in op. 3 no. 1, 6 no. 4, 7 nos. 1 and 5,

22 no. 5, 32 no. 6 and 58 no. 3. Of these op. 58 no. 3 must be the example where the B section is the most divergent from the A sections. It has the 4-bar introduction which also belonged to the A sections, but the first vocal phrase is to a limited extent new ( it takes a final cadence from phrase 4 of the song and an intermediate rhythm from phrase 2) and it is this phrase which gives rise to the thematic material for the remainder of the Abgesang, thus:- phrase 2 of the Abgesang develops by repetition at the same pitch the final four beats of phrase 1, phrase 3 alters the melodic contours of phrase 1, phrase 4 develops phrase 3 by repeating at the same pitch its beginning and ending (with one middle beat omitted), and phrase 5 accelerates the 3-note anacrusis which pervades the song and has an extended version of the new middle created in phrase 4 as cadence. The last phrase is in the tonic minor, as is the epilogue, which develops by augmentation the opening of the introduction.

A two-verse strophic song is in a sense already a binary form, but this need not prevent us considering modifications which make the form more sophisticated. Op. 3 no. 5 has the rhythmic structure of both verses basically the same (some details are however changed) but the tonality has been modified thus: 12 → submediant + 12 → tonic. This change - found to a lesser extent in the open and closed cadences of op. 32 no. 7 - is an important one, for the essence of binary form is mainly tonal rather than thematic; the response is required by the incompleteness of the statement. In op. 46 no. 2 we find the thematic balance of the form altered while both parts are tonally complete; here the principal thematic elements of the first half appear in the same order in the second half but with drastically altered proportions. This results in a balance of 41 + 31. The second half is also shorter in the form of op. 57 no. 7, but thematic balance which creates a longer second half is perhaps more usual. Such a balance, though in an extreme

form, is found in op. 107 no. 4. Here the first verse of  $5\frac{2}{3}$  bars (ending in the tonic with a perfect cadence) proves to be merely a framework for the much expanded second verse of  $12\frac{2}{3}$  bars. This expansion is effected by (i) the use of the introduction within the verse (b 17-18, 21-22) (ii) repetition of the final segment (bars 21-25 represent a repeat of bars 17-20) and (iii) augmentation, bars 23-25 (that of bars 15-16 is non-structural in the sense that at this point the pft is the principal formal feature). The first verse is in the tonic throughout, while the second hints at other keys during its course.

When tonal and thematic modification occur together, there is the most sophistication and a fully-fledged binary form emerges. An example of this type is op. 59 no. 8. The second half of this song expands the phrases and changes the harmonic structure of the first half. A simple introduction of four bars (2 + 2) has no thematic part in the body of the song but recurs, with a final bar, as epilogue. The first half then has:-  $\overbrace{2 + 2}$  (dominant  $\rightarrow$  tonic) +  $\overbrace{2 + 2}$  ( $\rightarrow$  dominant). An interlude of one bar separates the first and the second halves. The second half changes the phrases thus:- the first (2-bar) phrase uses minor coloration while remaining rhythmically intact; the second phrase is expanded into 3 bars - it still uses the downward scale formula, but the melodic rhythm is more disjunct - and the harmony is changed to lead to an emphatic cadence in Gb major; the third phrase is intact but is transposed up a minor third (the main key centre of Gb having been adopted) and is now isolated (the pft having a 1-bar extension); the fourth phrase has its final interval changed (to make a less emphatic ending leading to the subsequent extension) and is then repeated with the first interval changed but the final one restored. Thus the second, third and fourth phrases are all extended and the balance of the two halves is 8 + 12. The strophic origin of this form is much obscured, but remains vestigially in the similar

progression of thematicism in the two halves - a rigour not demanded in instrumental binary plans. Some other songs which modify a two-verse strophic plan are:- op. 46 no. 4, 57 no. 6, 70 no. 2, 72 nos 2 and 5, 86 no. 2, 94 no. 5, 95 no. 6, 105 no. 2 and 107 no. 2. These vary in complexity of modification from op. 94 no. 5 in which the final cadence is changed only as to melodic detail, tonality and rhythmic structure being preserved, to op. 72 no. 2, in which tonality, rhythmic structure and thematicism are modified (both verses begin similarly but conclude differently). Op. 95 no. 6 is similar to op. 94 no. 5 with however a rhythmic expansion of the final cadence, and op. 72 no. 5 offers an interesting comparison with op. 72 no. 2. It is tonally much closer to strophic form, and modifies the thematicism differently: if op. 72 no. 2 can be codified as having a thematic progression ABAC, then op. 72 no. 5 has ABCB.

When modifications are applied to strophic patterns of three or four verses the result can be either a special vocal version of variation form (as in op. 33 no. 9, 94 no. 1, and 105 no. 1) or a ternary form (as in op. 32 no. 9, 106 no. 5 and 112 no. 2). The variation form so produced is special to vocal music in that the modifications tend to concentrate on those features of music which in most instrumental variations Brahms leaves intact. Here the harmonic structure and rhythmic structure tend to be the areas for modification, whereas in instrumental versions it is texture and melodic detail which are the main areas for modification (the overall harmonic structure tending to remain intact and the overall rhythmic structure almost always preserved). Op. 105 no. 1 shows the form well. There are three verses: textural and thematic variation are eschewed; the harmonic structure of verses 2 and 3 is varied, and the rhythmic structure of verse 3 is varied by expansion. Verse 1 has: introduction  $\frac{1}{4}$  +  $4\frac{1}{2}a$  +  $4b$  ( $\rightarrow$  dominant) + interlude

$1x + 2c$  (confirming dominant) +  $1\frac{1}{2}$  link to second verse. Verse 2 has:-  $4\frac{1}{2}a$  (the phrase is intact but for a small change of harmony at the end of bar 4) +  $4b_1$  (opens as  $b$  but changes half-way through bar 1 over a change of harmonic detail; the second part of the phrase is over a change in harmonic structure which leads to a cadence in the subdominant) + interlude  $1x$  (transposed) +  $2c_1$  (melody much different in shape  $\rightarrow$  submediant minor) +  $2\frac{1}{2}$  link to third verse. Verse 3 has:-  $4\frac{1}{2}a$  (intact) +  $4b_2$  (changes at end of second bar to cadence in F major) + interlude  $1x$  (transposed) +  $2c_2$  (in shape like  $c$  but over an accompaniment which continues the motif of the interlude, this accompaniment continuing also into the following phrase;  $c_2$  has no harmonic cadence, but occurs at the beginning of a transition from F major (to A major) which hints at Bb major and G minor) +  $4d$  (a new additional phrase  $\rightarrow$  perfect cadence in the tonic) +  $3\frac{1}{2}$  epilogue. Op. 94 no. 1 has a very similar form to this, based on three verses each of which has a similar beginning and a distinctive ending; here also verse 3 is expanded structurally. Op. 33 no. 9 is again on a three-verse basis but here the modifications are applied to the first half of verses 2 and 3, and they are primarily of the harmonic structure. A further example of this form is op. 41 no. 2 wherein verses 1 and 2 are the same, verse 3 makes harmonic and melodic alterations within retained structure, and verse 4 begins by following verse 3 but later abandons the model, and, besides its own melodic and harmonic changes, makes rhythmic changes which result in expansion.

Mention must be made of two sacred works which use variation procedures, but each in a different way from the above. The four-part motet op. 74 no. 2 consists of five verses, which are a set of variations on a four-line chorale; the tune is mostly treated as a cantus firmus, and the piece is concluded by a coda-like Amen section. Op. 37 no. 3 is based upon the idea of textural strophes. The ensemble consists of two

soloists (S and A, who are in strict canon throughout by inversion around the supertonic) and a four-part chorus. The form of the piece is integrally related to the use of the concerto principle between these two components: there are five passages with a similar progression of textures and each ending with a perfect cadence. Each passage opens with the two soloists unaccompanied, who are later joined by the chorus (often with the soloists fading out subsequently). Although considerations of texturally induced form will tend here to override the importance of harmonic considerations, it must be noted that the work has a harmonic and thematic tendency towards ternary structure.

In op. 32 no. 9 and 106 no. 5 the variation process, which was used for all verses subsequent to the first in songs such as op. 105 no. 1, is applied only to a middle verse (in the former the third verse of four and in the latter the second verse of three), which creates a type of ternary form. The first verse of op. 106 no. 5 has:- 1 introduction + 4a (→ half cadence; melodically and rhythmically the grouping is 2 + 2 though each bar has a similarity of shape in the progression motion/rest) + 1 (the previous bar repeated instrumentally) + 4b (→ interrupted cadence in tonic; again the structure is 2 + 2 though the thematicism here is original) + 2 (the cadence repaired). The introduction bar for verse 2, similar to that for verse 1, also serves as the final point of verse 1. Verse 2 has, after this introduction:- 4a<sub>1</sub> (→ continued cadence in Gb major; the basic thematic shape is as before with the first two bars melodically identical to those of verse 1) + 1 (the previous bar repeated, as in verse 1, instrumentally) + 7c (this phrase is built upon a partially new 1-bar motif (the rhythm is from bar 8 and an important aspect of phrase b) which appears as such in bars 1-3 of the phrase, has a slight modification in bar 4 and an augmented version in bars 5-6; the final bar of the phrase is instrumental and is an imitation of the ending

of the vocal part; the internal structure of the phrase can be represented as  $\overbrace{2 + 2} + \overbrace{2 + 1}$  and the tonality is F minor  $\rightarrow$  C major  $\rightarrow$  dominant of F). Verse 3 follows verse 1 save for (i) the instrumental texture in bars 1-3, and (ii) a small extension of the cadence. Op. 112 no. 2 has a more complex version of a similar form to this and op. 93a no. 1 is a further example of this form, with modifications to the second and third verses of a four-verse structure. Op. 91 no. 1 must be mentioned here, since, although it is in a more regularly instrumental-type ternary form, this form is modified by a refrain at the close of each of the three sections.

As has been previously mentioned Brahms uses strophic procedure as part of a differing overall formal scheme, and this tends to happen when the number of strophes exceeds five. Examples of this use occur in op. 14 nos. 1 (six verses AAABAB), 2 (seven verses AAABB<sub>1</sub>A<sub>1</sub>A), 3 (six verses AABBBBA) and 5 (five verses AAABA), op. 43 no. 4 (nine verses AAAA<sub>1</sub>BBA<sub>1</sub>AA<sub>1</sub>), op. 84 no. 5 (six verses, AABBA<sub>1</sub>), op. 22 nos. 2 (seven verses AAAAABA) and 4 (seven verses AABBBAA).

PART 2: THE STATEMENT AND RESPONSE PRINCIPLE

Chapter 4: Binary Forms

Binary forms are used widely on all structural levels up to and including movement-level. Their appearance at movement-level in instrumental music is mainly as sonata form, though there are a number of movements in non-sonata binary forms - with some wide differentiation between them. The sonata/symphony tradition includes the mainstream of Brahms' achievement in movement-level sonata form in instrumental music, and these examples are studied in detail in Chapters 5 and 6 of the present work. The three tasks of the present chapter will be a study of the other uses of sonata form, the uses of non-sonata binary form, and a case study of op. 39. This latter task is an investigation of the possibilities, given a basic small-scale binary form, of bias towards ternary and sonata forms, and of the variety of phrase-construction and tonal organisation which Brahms considered appropriate to such forms.

Section 1: Some sonata forms.

Sonata forms which are not within the sonata/symphony tradition, but which are not widely distinguished from such usages as are within it occur in op. 11 i and iii, 16 i, and v and 81 (the Tragic Overture). The movements 11 i and 16 i have much in common from a formal viewpoint: the expositions have similar design with a diffuse binary first subject (i + ii + i + ii) and a progressive two-themed second subject; each movement also has a shortened recapitulation effected by omission in the first subject group. Both movements are informed by an uncomplicated lyricism which was to find its further expression in a first movement in op. 18 i. 11 iii and 16 v both

have unusual features. 11 iii has an expanded recapitulation, of which the first 16 bars appear transposed basically a semitone upwards. The size of this variation of tonality has more significance for future ternary and rondo forms than sonata forms; it appears at a time when Brahms was concerned with tonal alteration at the beginning of the recapitulation (as can be seen from the much less far-reaching alterations at that point in 11 i and 15 i). 16 v, as is explained in Chapter 8 is basically a sonata form with displaced development, the displacement being of 10 bars, there being an omission of 4 bars from the recapitulatory process and the development not being limited in the ways investigated in Chapter 6, Section 1. This is Brahms' first use of the notion of the displaced development. The Tragic Overture belongs to the other broad class of movements which bring their development and recapitulation sections into a closer relationship by the means discussed in Chapter 6, the class which is called there sonata with conflated response. The overall form of op. 81 can be represented as Exposition (first and second subject-groups) + Development (first subject-group) and Recapitulation (second subject-group). The development begins with the first part of the first subject-group in the tonic (bar 185) and proceeds to a lengthy development of the second part of the subject-group. The recapitulation of the second subject-group, now in the tonic, is immediately preceded by the bridge theme (bar 264) also beginning in the tonic. There is a coda (bars 365 ff) which is chiefly concerned with first subject material.

Sonata form is found in the four concerti in op. 15 i, 77 i, 83 i, ii and iv, and 102 i. Of these 83 ii is an idiosyncratic form which is explained in Chapter 7 as a ternary form with the A and A<sub>1</sub> sections in a special relationship; it can also be seen as sonata

form with a large episode between development and recapitulation; it is certainly a mixture of sonata and ternary forms. 83 iv is a sonata form with displaced development, the development being limited to its immediate surroundings in the recapitulatory process and there being no omission in the recapitulatory process save of the repeat of the first subject part 1. The movement is rondo in ethos with a sectional approach to thematic formulation and a tendency towards square-cut phrases. There are two special features of sonata form as it appears in concerto first movements, the so-called double exposition and a complex formulation in some of the subject-groups (which can be varied considerably on recurrence). 83 iv does not have a double exposition but it does have a complex second subject-group. The treatment of the double exposition in the first movements of the concerti is nowhere simple. 15 i does not approach two expositions, having something under one and a half. 77 i, after a first exposition partial as to second subject, has at the entrance of the soloist a pseudo-development over a tonic pedal of 46 bars. 83 i has perhaps the simplest approach to the notion of the double exposition; the complications here are that the first exposition is partial as to second subject and that the soloist appears at the beginning and end of the first exposition. 102 i has three expositions, all of which are different. The recapitulation provides opportunity for a new ordering of the presentational section, and this opportunity is taken in 15 i and 83 i, but it is not taken to any marked extent in the other two first movements. In 77 i the recapitulation is close to exposition 2 and in 102 i the first subject appears modelled on its appearance in exposition 2 and the bridge and second subject are taken from exposition 3. With regard to the tonalities of the expositions in this concerto first-movement form, the first

exposition will tend to be closer to the tonic than the second. In 77 i the tonic is the main key-centre throughout the first exposition, including the closing in the tonic minor, whereas exposition 2 has tonic → dominant (major/minor); the recapitulation is again basically tonic but coloured with mediant major at the beginning of the second subject (tonic → mediant → tonic major/minor). 102 i has its first exposition as tonic minor/major/minor, its second as tonic → submediant and its third as tonic → relative major; the recapitulation is again tonic throughout (tonic minor/major). In 15 i the tonic appears at the beginning and end of exposition one and is coloured in the middle, thus:- tonic → submediant minor → tonic minor/major; exposition two has tonic → mediant minor/major (relative major); the recapitulation has tonic → ~~#~~ mediant minor → tonic major. 83 i has its first exposition moving away from the tonic, but to a different point from that moved to by the second exposition; exposition one has tonic → dominant → mediant minor, exposition 2 has tonic → dominant major/minor, and the recapitulation has tonic major/minor. The treatment of the second subject-group in 83 iv is a good example of the possible complexities of subject-groups in concerto-sonata form (both as to thematic resources and as to internal organisation). In the exposition this subject-group has:- i (16 bars A minor) + basically in F major ii (16 bars) iii (16 bars) ii (8 bars, transposed and therefore with subdominant bias) iii (9 bars) + i (16 bars, A minor) + ii (8 bars, F major). This is recapitulated as i, iii, i, ii. The conception and treatment of this subject-group are less complicated than those of 15 i first subject-group and 83 i second subject-group.

102 i is a special case because of its three expositions. The first exposition, of 56 bars, consists of 4 + 22 + 4 + 26 where the two 4-bar sections are respectively from the two main subjects of the

movement and are orchestral and where each of these is followed by a developmental cadenza for the soloists. This exposition thus combines soloists and orchestra by juxtaposition rather than co-ordination; its main effect, however, is to bring the cadenzas to the beginning of the movement. The second exposition, of 55 bars, is purely orchestral and in terms of the third exposition and the recapitulation it is incomplete; both the third exposition and the recapitulation have two statements of the second subject (the first statement more extended than the second) which are separated by a characteristic 13-bar bridge passage, while the second exposition omits the first of these statements of the second subject and a bridge passage which precedes that statement. The third exposition, of 106 bars, combines soloists and orchestra in a presentation of material altered as to first subject and, as described, much fuller as to second subject.

Of the pieces for piano op. 76, 79 and 116-119 some ten pieces may be seen as using an overall sonata form. The form here can be fully treated, as in the 123-bar 79 ii or the 207-bar 116 i (with displaced development). More interestingly some of these examples of sonata form are miniature versions, such as the 55-bar 76 iv (which has a fully distinct second subject and the overall proportions of 20 + 12 + 23) or the smaller 41-bar 118 i (which has no separate second subject and which has 10 exposition + 10 development + 10 recapitulation). Sonata form also appears in this corpus of music in some seven sections of pieces which are almost all short (with miniature versions of the form) but which do include the more substantial 93-bar section 79 i A. The miniaturization of sonata form may be effected by the omission of a distinct second subject (this is found in the movements 76 vii and 118 i and in the sections 79 i B, 116 iii B, 116 vii B, 117 iii B and 119 ii B), but, as we have seen in 76 iv, these miniature forms can have a distinct

second subject (this is also to be found in the section 76 vi A where a difference in the thematicism is detectable in bars 5 *ff* in a sonata form with the proportions 8 + 8 + 8). Neither is the omission of a distinct second subject part of a necessarily miniature sonata form, as may be seen in the more substantial pieces 76 viii and 119 iii which do not have such second subjects. The corpus has a number of sonata forms with unusual features. The monothematic form of 76 i (which may be represented as AA<sub>1</sub> development A<sub>2</sub>) is preceded by a 13-bar introduction which returns after A<sub>2</sub> but before a 23-bar coda; this is a kind of displaced frame. 76 vii has a more ordinary use of the frame (as discussed in Chapter 7). 76 viii has no distinct second subject but its development begins with an episode (albeit closely motivically related to foregoing material); the recapitulation is shortened and altered, giving the effect of continuous development. 79 i A has also a development beginning with an episode, this after an exposition with a second subject group of two parts; the second subject group does not appear in the recapitulation. 79 i B has an harmonically varied recapitulation, and 119 iii has a much expanded recapitulation. The development of 76 vi A is tonally static but is nevertheless thematic development. The 'development' of 116 v, besides having a certain tonal stasis, has a distinct thematicism of its own (albeit related to previous material) and, while the form has strong affinities with sonata form, it must be ultimately classed as ternary. 117 ii is also on the borderline with ternary form but for different reasons, as may be seen in Chapter 7.

Sonata form makes a periodic appearance in vocal music. It appears on a large scale in op. 54 section B over 276 bars, and on a small scale in such songs as op. 7 no. 3 (with the proportions of 16 + 15 + 10) and op. 14 no. 4 (with the proportions of 18 + 20 + 21). Of these examples

the first has a distinct second subject and the subsequent two have no distinct second subject. A distinct second subject is rare in vocal sonata forms. Op. 45 ii section A has such a subject; 32 no. 8 and 85 no. 6 are intermediate examples in that their expositions have two thematic areas but the second area in each case begins in the tonic and leads to a cadence in the related key (32 no. 8  $\rightarrow$  mediant, and 85 no. 6  $\rightarrow$  dominant), and 70 no. 4 section B is a different intermediate example in that the exposition and recapitulation both end with a characteristic cadence. The expositions of op. 7 no. 3 and 14 no. 4 are binary statement and response structures: 7 no. 3 has 8  $\rightarrow$  hc + 8  $\rightarrow$  relative major, and 14 no. 4 has 9  $\rightarrow$  hc + 9  $\rightarrow$  hc in the dominant. The first of these examples has as recapitulation the equivalent of one such 8-bar phrase and thus has the overall shape of aaba. It will thus be seen that this is the equivalent on a slightly larger scale of the four-phrase binary structures (to be studied later) and the equivalent on a much smaller scale of sonata forms with repeated exposition. 45 ii section A has another example of such a form with 20 + 20 + 12 + 20; here the second exposition is fuller than the first by virtue of its vocal part (missing in the first exposition); the harmonic structures of the two expositions are the same. The development is over a dominant pedal and has the recapitulation as its climax. Similar aaba overall shape is to be found in op. 58 nos. 2 and 4, 97 no. 5 and Dem Dunkeln Schoss. In 97 no. 5 the second exposition is a simple repeat, in 58 nos. 2 and 4 the second expositions have alterations of detail, and in Dem Dunkeln Schoss the first exposition concludes on a half cadence in the tonic while the second exposition concludes on a perfect cadence in the dominant. The recapitulation of 14 no. 4 has the equivalent number

of phrases as its exposition (and the overall form could thus be represented as aabaa), so that, while its exposition is bi-partite, in terms of the proportions of the whole form it is not a double exposition. 57 v has a similar shape, the exposition here however being in bar form. Such overall ternary proportions are also found in the more common aba shape, of which examples are op. 32 no. 8, 70 no. 4 section B, 85 nos. 5 and 6 and 106 no. 4. The recapitulation is treated idiosyncratically in op. 6 no. 2, 7 no. 6, 19 no. 5, 58 no. 4 and 92 no. 4 section B. Expanded recapitulations are found in 7 no. 6, 19 no. 5 and 92 no. 4 section B; the last example has the overall proportions of  $8 + 8 + 17$  for the three basic sections of the form. Thematic alteration may be found in 6 no. 2 (the recapitulation of which is concerned with the pianoforte introduction to the song rather than the subsequent vocal exposition) and 7 no. 6 (where the sonata form is suggested more by the tonal organisation of the song than by the thematic organisation). Op. 58 no. 4 has a subdominant recapitulation. Sonata processes may be seen at work in the basically ternary 33 v and 72 i and the basically non-sonata binary 44 xi.

Sonata form is used with variety in scherzo or minuet and trio sections. Large scale sonata form sections may be found in op. 26 iii Scherzo (with  $54 + 64 + 50$  bars for its main subsections + a coda of 43 bars), 34 iii Scherzo (a form with conflated response with the proportions of  $46 + 97 +$  a coda of 50) and 40 ii Scherzo (with  $80 + 82 + 115$ ). Small scale versions of the form may be found in 11 iv Menuetto I (with  $10 + 7 + 8$ ) and Menuetto II (with  $8 + 8 + 8$ ), 11 v Trio (with  $8 + 8 + 10$ ), 16 ii Trio (with  $8 + 8 + 10$ ), 16 iv Menuetto (with  $9 + 12 + 11$ ) and 18 iii Trio (with  $10 + 20 + 10$ ). Some intermediate examples are 51 no. 1 iii Allegretto ( $26 + 29 + 31$ ), 51 no. 1 iii Trio ( $20 + 12 + 25$ ), 87 iii Trio ( $16 + 16 + 16$ ) and 99 iii

Trio (16 + 35 + 12).

About half of the scherzo or minuet and trio sections using sonata form have an exposition with a thematic pattern cognate with that of first movement sonata form, i.e. with distinct first subject, bridge and second subject areas. Such a thematic pattern is found in movements of all sizes. 26 iii Scherzo and 40 ii Scherzo are examples on a large scale. Examples on smaller scales are 11 ii Trio (with an exposition of 36 bars), 36 ii Scherzo and 51 no. 2 iii Trio (with expositions of 33 bars), 99 iii Scherzo (with an exposition of 32 bars), 11 ii Scherzo (with an exposition of 28 bars), 51 no. 1 iii Scherzo (with an exposition of 26 bars), 51 no. 1 iii Trio (with an exposition of 20 bars), 87 iii Trio (with an exposition of 16 bars), 51 no. 2 iii Minuet (with an exposition of 15 bars), 120 no. 2 ii Trio (with an exposition of 14 bars), 18 iii Scherzo, 111 iii Scherzo and Trio (all with expositions of 12 bars), 88 ii Section B (with an exposition of 10 bars) and 120 no. 2 ii Scherzo (with an exposition of 8 bars). 120 no. 2 ii Trio shows well a miniature version of the pattern: in its 14-bar exposition the first subject may be seen as the statement and response syndrome 4 + 4; a 2-bar bridge follows, evolved from the previous cadence and modulating, and the second subject is the subsequent 2 + 2 statement and response syndrome in the mediant. Not all the examples cited above have such a clear distinction between the material of the two subjects and the bridge. In 120 no. 2 ii Scherzo the bridge and second subject are parts of the same phrase. 88 ii B and 111 iii Trio are monothematic in that, in the former the second subject is part of the first subject in the dominant (bars 9 and 10 of the section) and in the latter the second subject is from the first subject in the mediant major (again in bars 9-10 of the section). 111 iii Scherzo has as exposition three binary 4-bar phrases which are not greatly

distinguished from each other.

In the remaining half of the sections under consideration, which again are of all the available sizes (although here there is a preponderance of small scale examples), a variety of structures is displayed wherein the number of distinctions in the thematic material within a structure is usually related to size (although this is not always the case). The largest of the sections with a pattern not cognate with first movement sonata form is 34 iii Scherzo, with its 46-bar exposition consisting of three distinct themes all in the tonic, the last of which (in the tonic major) leads to an enhanced half cadence followed by a codetta decorating the dominant chord. 1 iii Trio, in an exposition of 34 bars, has a statement and response structure followed by a development by exhaustion. 5 iii Trio and 8 version 1 ii Scherzo both have an exposition of 32 bars: the former has two themes the first in the tonic and the second beginning in the supertonic and leading to a half cadence, and the latter has one theme appearing once in the tonic and once in the dominant. 83 ii Trio with an exposition of 28 bars omits a bridge passage so that the first and second subjects are dramatically juxtaposed. 16 iv Trio in an exposition of 24 bars has three thematic areas the second being in the tonic → a half cadence and the third being evolved from the first and decorating the dominant chord. 99 iii Trio has in its exposition of 16 bars a basic statement and response structure with distinctive cadence material for the response. 2 iii Trio on the other hand has no thematic difference of any importance between the beginning and end of its 14-bar exposition. Of the smaller forms 11 v Trio, 120 no. 1 iii Trio (both with expositions of 8 bars) and 18 iii Trio (with an exposition of 10 bars) have an overall statement and response structure for their expositions of a really unified kind. 11 iv Minuet 2, 16 ii Trio,

87 iii Scherzo (with expositions of 8 bars), 16 iv Minuet (with an exposition of 9 bars) and 11 iv Minuet 1 (with an exposition of 10 bars) all have a phrase-structure of short + short + long and all have distinctive cadence material. The distinctive cadence material in these cases is a substitute second subject, but in the previous set of cases the substitute for the second subject is merely a change of key. Two other small scale versions of the form are not included in the above categories:- 16 ii Scherzo, with an exposition of 10 bars, has two subjects and no bridge-passage, and 40 ii Trio, with an exposition of 12 bars, has an AAB structure where B is developed from the previous  $\overbrace{4 + 4}$  phrases.

In Chapter 5 it will be seen that of the 59 movements there considered 26 have their exposition repeated. The use of the repeated exposition in sonata form in scherzo and trio sections is much more common than this. The repeat can either be simple (as in 16 ii Scherzo) or varied (tonally as in 120 no. 1 iii Trio, or texturally as in 120 no. 2 ii Trio). In some cases the repeat is part of an overall scheme in which both halves of the form are repeated (as in 18 iii Scherzo).

Some of Brahms' special treatments of sonata form in the scherzo or minuet and trio sections find parallels on the movement-level and some do not. A number of expositions in the sections close with a half cadence in the tonic (1 iii Trio, 11 iv Minuet 2 are two such) a parallel to which on the movement level may be found in 1 i. 11 ii Scherzo has a three-keyed exposition (D minor + C major + A minor) of which there are many movement-level parallels; 108 iv will serve as example here since it employs the same keys. 11 ii Trio and 111 iii Scherzo are both examples where a double exposition appears with a different tonal structure in each exposition; parallels for this on

the movement-level are to be found in the field of concerto-sonata form. 83 ii Scherzo shows development in the exposition after the second subject; a partial parallel for this unusual procedure may be found in 68 i. Special treatments of the development sections are the displacement in 40 ii Scherzo (an 8-bar displacement with no omission of material from the recapitulatory process and the development limited to first subject thematicism) and the conflated response in 34 iii Scherzo and 51 no. 2 iii Trio. The movement level parallels to these techniques are discussed in Chapter 6. False recapitulations within the development sections appear in 16 ii Scherzo and 36 ii Scherzo; movement-level parallels to this technique may be found in 60 iv and 99 i. Expansions of the recapitulation are to be found in 18 iii Scherzo (with 12 + 12 + 18 bars for its main subsections), 40 ii Scherzo (with 80 + 82 + 115) and Trio (with 12 + 12 + 16 + 36), and 87 iii Scherzo (with 8 + 24 + 29). Expansions in recapitulation sections do occur on movement level but have nothing like the size of some of these examples. Of the four examples cited above the last has a recapitulation which is nearly four times as long as the exposition; this of course is a vast expansion and a special case. The exposition is a continuous 8-bar phrase in which, for the purposes of analysis, four thematic shapes may be distinguished:-

$2 + 2 + 2\frac{1}{2} + 1\frac{1}{2}$ . Each shape is systematically expanded in recapitulation, into:-  $6 + 6 + 7 + 4 +$  the distinctive material from the close of the development, 6. 51 no. 2 iii Minuet shows a recapitulation altered by decorative variation applied to the first subject and bridge. 16 ii Trio has thematic alteration in its recapitulation in that while the tune is basically retained it appears with transposition and distortion. The  $2 + 2 + 4$  of the exposition is also the structure of the recapitulation but phrase one appears over the dominant chord (on the

same harmonic level) with notes 1 and 3 altered (a semitone downwards), phrase two is transposed up a diatonic 6th (its original form appearing as accompaniment), and phrase three has its first  $2\frac{2}{3}$  bars transposed up a diatonic 7th (with altered harmony) and a changed cadence. 16 iv Minuet shows a thematic alteration less explained by variation than the two previous examples. The recapitulation, in bar 22, is one of key primarily and to some extent motif as far as the first subject is concerned. The second subject is not much changed. Subdominant recapitulations are found in 18 iii Trio and 88 ii Section B. Large codas are to be found in 26 iii Minuet, 34 iii Scherzo, 88 ii Section B (with 10 + 11 + 9 + a coda of 18) and 120 no. 2 ii Scherzo (with  $\overbrace{8 + 8} + 20 + 12 +$  a coda of 32).

Some other instrumental sections which use a basic sonata form are:- op. 1 iv A, 8 version 1 iii B, 25 iv B and C ii, 78 iii C, 79 i A and B, 101 iii A, 102 ii A, 102 iii A, 114 iii C and 115 iv Theme. These examples vary from the motivically constructed 1 iv A (with a distinct second subject), 78 iii C (with a full development), 79 i A and 102 iii A to the lyrical unified song-forms of 101 iii A, 102 ii A and 115 iv Theme. 8 version 1 iii B is the only example above not showing a repeat of either section; 1 iv A, 78 iii C, 79 i A and 102 iii A show a repeat of the first section, and the remaining examples show a repeat of both sections. 8 version 1 iii B has an unusual key-scheme of  $E \rightarrow F\sharp$  majors for its exposition and a much-altered recapitulation; 25 iv C ii has the opposite extreme in this latter regard in that the recapitulation has no structural alteration at all and thus ends in the dominant. Both sections from 79 i show unusual treatments of the form; A has the second part of its second subject derived from the first subject, a development beginning with an episode and a recapitulation limited to the first subject only; in section B

the thematic and harmonic recapitulations do not coincide.

Sonata form occurs on the smallest possible level in some four-phrase binary structures. Where the second phrase of such a structure has an incomplete ending, the third is developmental (often by subdividing the phrase) and the fourth is a return of undeveloped opening material and key, a definite sonata shape is present. This shape may be represented by  $aa_1$  dev.  $a_2$  or  $ab$  dev.  $a_1$  depending upon the newness of the second phrase. Some examples of these miniature structures are op. 43 no. 1 A, 44 no. 1 verse, 51 no. 1 ii A, 71 no. 2 A, 84 no. 5 verse 1 et sim, 90 ii A, 92 no. 2 verse, and 103 no. 11. Of these 84 no. 5 has the unequivocal shape of  $ab$  dev.  $a_1$  because of new thematicism in phrase 2, and 43 no. 1 A has phrase 2 as partly old and partly new material. The remainder of these examples have the shape  $aa_1$  dev.  $a_2$ , in which  $a_1$  is usually old thematicism in a new harmonic structure (44 no. 1, 71 no. 2 and 90 ii) but in 51 no. 1 ii A phrase 2 equals phrase 1 with the counterpoint inverted. In the major key examples phrase 2 ends on (44 no. 1) or in the dominant (51 no. 1 ii, 90 ii and 103 no. 11). In the minor key examples 43 no. 1 has its second phrase going to the relative major, 71 no. 2 and 84 no. 5 both go to enhanced half cadences at the end of this phrase, and 92 no. 2 has phrase 2 in the subdominant. The developmental area often has thematic development by a shortening of the phrase-lengths; in 92 no. 2 the whole phrase is short, while in 43 no. 1, 44 no. 1, 51 no. 1 ii, 84 no. 5 and 103 no. 11 the phrase is clearly subdivided (in 44 no. 1 this is done by rests). 71 no. 2 and 90 ii have similar thematicism in phrase 3 to phrases 1 and 2 - in a different tonal context. The tonal contexts in these cases provide the main force for development. 84 no. 5 and 103 no. 11 have thematic development by inversion. 43 no. 1 has new material in a tonally developmental

context. Tonality in phrase 3 is usually developmental, be it with the increased chromaticism in 44 no. 1 or the sudden chord-change at the beginning of the phrase in 51 no. 1 ii, the simple use of new key as in 71 no. 2 and 92 no. 2 (relative major), 84 no. 5 (suggestion of subdominant) and 90 no. 2 (supertonic), or the structured use of key as in 43 no. 1 (2 → enhanced half cadence in relative major + 2 → half cadence in dominant minor) and 103 no. 11 (5 of dominant 7th of dominant + 7 of dominant 7th). Phrase 4 returns to the tonic in all cases (and concludes with a perfect cadence save in 51 no. 1 ii A) and the thematicism is modified to a greater or lesser extent. Examples with small thematic modification are 84 no. 5 and 103 no. 11 (with simple cadential extensions); greater modifications appear in 43 no. 1 (the constituent motifs of a are recapitulated in reverse order), 51 no. 1 ii (the phrase has a different substructure) and 90 no. 2 (where the phrase has much internal expansion). The overall proportions of these small structures can be quite regular as in 51 no. 1 ii (with each phrase of six bars) and 71 no. 2 (with each phrase of three bars), or basically regular with slight irregularity - one bar is added in 43 no. 1 (4 + 4 + 1 + 4 + 4), 44 no. 1 (3 + 3 + 4 + 3) and 84 no. 5 (4 + 4 + 4 + 5), or basically irregular:- 90 has 4 + 4 + 6 + 9, 92 no. 2 has 4 + 3 + 2 + 5 and 103 no. 11 has 8 + 8 + 12 + 10. 103 no. 11 is the only one of the above examples with internal repetition (both halves of the form are repeated) and which stands as a complete composition.

#### Section 2: Non-Sonata binary forms.

There are very few movement level uses of non-sonata binary forms in instrumental music. Op. 5 ii has a discursive approach to tonality (Ab + Db + Ab + Db) and thematicism (ABAC - although there are thematic connexions between B and C and a motivic connexion between these sections and the A section). The sections all have

cogent internal formal logic which the movement as a whole correspondingly lacks; all the sections are ternary with, in B, a binary repeat scheme applied. This movement is essentially an agglutinative form and shows that binary principles can result in loosely-knit structures as well as the cogent symphonic structures of sonata form. The ultimate possibilities in this sectional approach to binary form may be found in three of the Hungarian Dances. No. 1 has the pattern  $ABAB_1$  and nos. 16 and 17 the pattern ABCB. In these typically the sections are internally highly organised and conclude with perfect cadences; the only use of techniques of thematic integration (besides those resulting from the use of a consistent and circumscribed idiom) appears between sections B and C of no. 17. The form of nos. 16 and 17 can equally well be seen as ternary with introduction; especially since there is grouping of the final three sections in each case (in no. 16 the first section is in the tonic minor while the B sections are in the tonic major and the characteristic mode for the C section is also major; in no. 17 the grouping is by speed). Other examples of movement level non-sonata binary form may be found in op. 39, 76 iii and 80 and in the four dances of 1855, (Collected Edition, Volume 15, pp 53-58). The dances of op. 39 all have two repeated sections (in some cases the repeats are varied) and are basically binary. Each first section concludes in an incomplete way. The second section either confirms the binary pattern with binary proportions or modifies it by employing ternary proportions. Detailed consideration of these forms will be found below. 76 iii shows a simple binary structure of 15 + 15 with the thematic pattern of  $aa_1b \rightarrow$  enhanced half cadence +  $aa_2b_1 \rightarrow$  perfect cadence ( $b_1$  is extended by the lengthening of the last four bars). 80 has a symphonically conceived binary form of 240 + 161, in which the discursive and rich thematicism

of the first half is reduced in the second half by selective omission and, finally, is expanded by the addition of a concluding new and climactic tune. In the four short student dances the thematicism is not discursive; in the case of the two gigue the two halves are fugal and in the second half the subject in each case is treated mostly by inversion.

Non-sonata binary forms have a wider use in vocal music on the movement level. Chapter 3 took the simplest type of vocal binary form as the two-verse strophic form and showed how modifications could be applied to this archetype. Op. 44 no. 9 was used as an example of the archetype and op. 3 no. 5, 46 no. 2, 107 no. 4 and 59 no. 8 were cited, among others, as examples of modification showing various degrees of complexity. In order to investigate further the possibilities for simplicity and complexity within overall binary form we shall compare op. 103 no. 3 and 104 no. 4 with op. 46 no. 3 and 96 no. 1. 103 no. 3 and 104 no. 4 are really written out two-verse strophic forms with each verse having two quite distinct sections; the overall form for each can thus be represented as ABAB. In 103 no. 3 the recurrences are exact and the sections are distinguished by speed, texture and thematicism; both sections have a cogent internal form ending with a perfect cadence. In 104 no. 4 the recurrence of B is exact, while that of A is structurally exact but has a change of texture. The sections are distinguished by speed, texture, thematicism and key; both sections have a cogent internal form and end on a tonic chord. Op. 46 no. 3 has an overall form of 40 → mediant major + 44 → tonic; its conception is altogether more symphonic than our two previous examples. There are thematic contrasts (such as the passage beginning bar 23) but these are integrated with each other by motivic means. The first half of the form can be seen

as having ABC thematic areas of which B uses intervals and rhythms from A, and C is in two parts, the first evolved primarily from A the second primarily from B. The second half has as thematic plan A extended + C<sub>2</sub> extended. A detailed plan of the song may be found in table 7. Op. 96 no. 1 can be seen as having a binary form of 13 + 18. The first half has a statement and response theme + a modulatory bridge to a second subject area in the dominant minor in which the thematicism is evolved from the responsive phrase of the first theme. The second half has both thematic areas expanded and the bridge omitted. A detailed plan for the song might thus be:  $\overbrace{3a + 2\frac{1}{2}b}$  (tonic → perfect cadence) +  $4\frac{1}{2}$  bridge + 3 second theme, (dominant minor → perfect cadence with major third) + 2 from a + 2 from b +  $\overbrace{3 + 2}$  from a and b (chromatic in tonic) +  $\overbrace{2\frac{1}{2} + 2}$  from second theme, (tonic with flat-side chromaticism).

Binary songs which alter the second part of the second half can be represented either by the pattern ABAB<sub>1</sub> or by the pattern ABAC. The former is more appropriate to op. 33 no. 13, 44 no. 10, 59 no. 7, 62 no. 6 and 110 no. 3. Op. 33 no. 13 has a clearly sectional structure with each of the four sections ending in the tonic, but the sections are not distinguished except by thematicism; the alteration in B<sub>1</sub> comes in bars 4-8 of the section and is harmonic. Op. 44 no. 10 has also a clearly sectional structure with B differentiated from A by thematicism and mode; the alteration in B<sub>1</sub> concerns the cadence - in B the cadence is an enhanced half cadence and in B<sub>1</sub> it is extended by one bar into a perfect cadence. The form of op. 59 no. 7, is not sectionalized: A concludes on a half cadence and B opens with a transposed inversion of the opening of A, progressing to new material and concluding with a perfect cadence in the relative major. The alteration in B<sub>1</sub> is substantial. The section is some five bars longer,

# TABLE 7: SOME DETAILS OF OP. 46 No. 3

Melodic Form:

A (10) w w w<sub>1</sub> x y

Accompanimental Shapes:

n o

Tonality:

E major (Tonic) with slight dominant emphasis at end of phrase

B (12: 6b + 6b<sub>1</sub>) rhythm from A w b<sub>1</sub> = b with shortened opening and extended ending

towards... G# minor

C<sub>1</sub> (4+6) evolved from A w y extension of previous phrase. rhythm from A C<sub>2</sub> (8) evolved from B

G# major to half cadence (via sequence)

D# major

cadence from b<sub>1</sub> A extended (21+6)

G# minor E major

x y

o repeated and developed

modulation

x 3 3 C<sub>2</sub> (7+10)

B major E major

(showing the connexion of C<sub>2</sub> with B)

is altered as to mode (to major) and concerns itself initially with a transposition (uninverted) of the opening of A, which is extended and leads to the recurrence of the characteristic B material followed by a cadence based upon the opening of A. Op. 62 no. 6 has the key and mode organisation of 59 no. 7 but its form is once again more sectional. A ends with a perfect cadence and B is differentiated from A by an alteration of metre; the thematic shape for the first two of B's three phrases is clearly evolved however from the opening of A. The alterations in  $B_1$  are of length (the section is twice as long owing to the fact that it is given a varied repeat whereas B itself is unrepeated) of mode (now major) and of thematicism (the last three bars are changed, twice). Op. 110 no. 3 has A as a self-contained binary section concluding with a perfect cadence in the tonic, and B as a section distinguished by metre, tonality and thematicism. B is of 17 bars;  $B_1$  however is of 30 bars.  $B_1$  has its opening  $4\frac{2}{3}$  bars and its closing  $6\frac{2}{3}$  bars as the equivalent in B. The middle 6 bars of B are much expanded in  $B_1$  to 20. The pattern ABAC describes better op. 71 no. 3, 72 nos 2 and 3, 92 no. 3 and 105 no. 4. In op. 71 no. 3 a binary plan of 16 + 17 has each half beginning in a similar manner (the second beginning with a decorated version of the first), the first then proceeding to new material, the second to development of material from A; thus the thematicism of bars 9-16 does not recur (it is however motivically linked with the rest of the song). In this example C represents development; in the remaining examples, however, it represents new thematicism. Op. 72 no. 2 has a plan of  $17\frac{1}{2} + 21\frac{1}{2}$ . The second half has an expanded version of the introduction followed by the vocal part, intact for its first two phrases (2 + 2) and beginning its subsequent phrase as in the first half but deviating after five notes and introducing, in its following phrase, a quite

new notion of 3 bars (bars 31-33). This new notion is given a varied repeat which acts as final cadence. Op. 72 no. 3 has 11 + 14 in which a four-phrase first half is expanded in the second half in three ways. A two-bar episodic passage precedes the return of the opening, the conclusion of the second phrase is melodically altered and, instead of the last two phrases of the first half (2 + 4), new material is introduced in the shape:  $\overbrace{2 + 2} + 4$ . Op. 92 no. 3 can be seen as a binary form of 28 + 32 of which the second part has only the opening two phrases (2 + 2) as the first. Op. 105 no. 4 has already been referred to in Chapter 3. Unlike the previous four examples contrasts of animation, metre, tonality and thematicism make C a very distinct section in this song.

Examples of binary forms where the endings of the two halves are the same and the beginnings different are op. 19 no. 3 and 86 no. 2 (with the shape  $ABA_1B$ ) and op. 19 no. 1 and 72 no. 5 (with the shape  $ABCB$ ). None of these examples show sectionalization in the sense of such forms as those of 44 no. 10 or 105 no. 4. In op. 19 no. 3 just the first nine bars of the second half (of fully 36 bars) show a change from the first half; the change is one of mode (from minor to major) and harmony (the first half has D minor  $\rightarrow$  half cadence in relative major; the second has D major  $\rightarrow$  perfect cadence in dominant) and there is a small omission of interlude material. In op. 86 no. 2 the final seven bars of each half are identical, as also are the first two bars. The third bar of the second half deviates from the model in the first half and proves to be the beginning of a  $5\frac{1}{2}$ -bar phrase with similar melodic configuration to the 5-bar phrase for which it substitutes but with much altered harmony and modified substructure. The subsequent  $2\frac{1}{2}$ -bar phrase in the second half is a melodic and to a limited extent harmonic variant of the 2-bar phrase

in the first half for which it substitutes. In op. 19 no. 1 a first half of 22 bars has its last 10 bars recurring in the second half (bar 33  $\text{ff}$ ) with an harmonic modification at their end and a coda added of 7 bars. The new melody for the first 10 bars of the second half is motivically connected with the opening of the first half. The beginning of the second half of op. 72 no. 5 (in bar 40) shows new material for 10 bars which is followed by an harmonically varied appearance of the phrase beginning in bar 11 of the first half. The subsequent music is an intact repeat save for an expansion of the ending.

Other binary thematic patterns show a fairly even spread of modification through their second halves either in the pattern  $ABA_1B_1$  (op. 46 no. 4, 52 no. 14, 63 no. 9, 84 no. 3, 105 no. 2 and Regenlied) or in the pattern  $ABCA_1B_1C_1$  (op. 46 no. 2 and 59 no. 6). Also using the first of these patterns are op. 121 nos. 1 and 4, but in a way quite new. Brahms is here inspired to formal prose by textual prose. The  $ABA_1B_1$  pattern in 121 no. 1 has divergent proportions and thematicism between the parallel sections; thus the proportions are  $25\frac{1}{2} + 50 + 6\frac{1}{2} + 34$ , with the two main elements of A appearing in  $A_1$  and a discursive B section (with an aab form + a binary form) giving rise only to the opening of  $B_1$  whereafter is new material. 121 no. 4 has the proportions  $47 + 28 + 7 + 17$  for its four sections; here the  $A_1$  section includes only part of the thematic material of its prototype and adds thereunto new material, while  $B_1$  merely halves by omission the two-strophe form of B itself.

Two songs have the non-sonata binary pattern of AB dev. A (op. 72 no. 1 and 96 no. 4) and two others have similar patterns - 86 no. 4 (AA dev. A) and 97 no. 2 (ABCA). All these forms are close to sonata form: the first two examples merely lack a full recapitulation; op. 86

no. 4 has its opening A sections concluding with perfect cadences in the tonic, and in 97 no. 2, (since B concludes in the dominant and C, while being episodic, has the ethos of development), the lack is again of a full recapitulation. In op. 96 no. 4 and 97 no. 2 the opening A section is for piano alone; in the former case it is a substantial section, in the latter little more than an introduction. The final A section in each case is vocal.

Op. 58 nos. 6 and 7, and 96 no. 3 show thematic fantasias in a binary harmonic structure. Some idiosyncratic forms not discussed above are found in op. 41 no. 1 (AAABAB), 69 no. 9 ( $AA_1BA_2CCCA_3C_1$ ) and 92a no. 2 ( $ABCB_1C_1$ ), in which binary elements appear. Op. 57 nos. 3 and 7 are examples of binary form with important thematic omissions in their second halves.

Non-sonata binary sections are of great importance on the sub-movement level. They have many uses in varied sizes and shapes. They can occur as scherzo or trio sections (op. 2 iii Scherzo and 38 ii Trio), as substantial sections within other movements (op. 8 version 2 iii section B and 51 no. 2 ii both sections), as song verses (op. 6 no. 3 and op. 19 no. 2), as themes for variations (op. 18 ii and 120 no. 2 iii), as subjects in sonata form (op. 34 iv first and second subjects), and as small phrase-level structures (the multiplicity of uses here will be discussed later). Some large-scale examples are:- op. 54 section A (with 40 + 35 bars), 25 iii section B (44 + 25), 45 vii section B (36 + 26) and 51 no. 2 ii section A (17 + 25). Some smaller-scale examples are:- op. 51 no. 2 ii section B ( $9\frac{1}{2} + 17\frac{1}{2}$ ), 34 ii section B (8 + 13), 104 no. 5 section A (9 + 10) and 117 i section B (8 + 9). The first subject of op. 34 iv shows a number of binary forms of varying sizes working within an overall 16 + 22 bar structure. A detailed plan of the thematic structure of

the subject is:-

$$\begin{array}{c}
 \overbrace{2 + 2a} + \overbrace{1 + 1} + \overbrace{2b} + \overbrace{1 + 1} + \overbrace{2b_1} + \overbrace{2 + 2a_1} \quad | \quad \overbrace{2 + 2a} + \overbrace{1 + 1} + \overbrace{2b_2} \\
 \overbrace{1 + 1} + \overbrace{2 + 2b_3} + \overbrace{2 + 2a_2} + \overbrace{1 + 1\frac{1}{2}} + \overbrace{1\frac{1}{2}} \text{ extension.}
 \end{array}$$

From this may be seen that the two b sections within each half are themselves in a binary relationship and within each b section is an SSL structure and within the first half of this is another binary structure. Non-sonata binary sections show a variety of shapes. The second half may be longer than the first, an expansion thereof (as in both sections of op. 51 no. 2 ii, in 53 section A and 93a no. 4 verse) or the second half may be shorter than the first (as in op. 45 vii section B, 54 section A, 82 section B and 90 iii section B). The thematic content may be discursive (as in op. 33 no. 6 section B, 51 no. 2 ii section B and 86 no. 6 section A) or may be closely-knit (as in op. 34 iv second subject, 38 ii Trio and 118 v section A).

Of the four-phrase binary forms the shapes  $aa_1$  dev.  $a_2$  and  $abdev.a_1$  have already been discussed because they are the smallest types of sonata form. There are other shapes to this fundamental unit, some of the variety of which is shown by the following examples:-  
 op. 103 no. 8 section A has  $aa_1aa_2$ , 93a no. 3 section A has  $aa_1a_2a_3$ ,  
 103 no. 5 has  $aa_1ba_2$ , 103 no. 4 has  $aa_1bb_1$ , 85 no. 1 section A has  $aa_1bc$ ,  
 49 no. 1 section A has  $abab_1$ , 72 no. 3 section A has  $aba_1c$ ,  
 94 no. 4 has  $abb_1c$  and 70 no. 4 section A has  $abcd$ . The constituent phrases are held together by internal harmonic organisation, often with the second phrase going to a half cadence as in op. 70 no. 4 or 71 no. 1. The basis of the form is a succession of four regular phrases (as in op. 49 no. 1) but this basis may be expanded by the extension of one or more of the phrases or by the addition of extra phrases. Op. 93a no. 3 has  $2 + 2 + 2 + 5$  the final phrase being

lengthened by augmentation and extension; op. 61 no. 1 verse 1 has  $3 + 3 + 4 + 4$ . As examples of the addition of extra phrases we may take op. 44 no. 6, the opening of 92 no. 3 and 95 nos. 2 and 4. Of these op. 92 no. 3 has  $2a + 2a_1 + 2b + 2\frac{1}{2}c + 2d$  and would form an orthodox four-phrase binary structure if the fourth of these phrases were omitted, and op. 95 no. 4 has  $3a + 2b + 2b + 2c + 2d + 2e$  where the third phrase is a pft repeat of the previous phrase and where the sixth phrase is a return to the tonic which was not provided by the end of phrase 5. These small structures may either be self-contained or integrated into a larger form. Op. 103 no. 3 section A is a clearly defined structure with thematic cogency and a perfect cadence at its end. The second subject of op. 101 i is a four-phrase binary structure with the form  $4a + 4a_1 + 4b + 5c$  in which all the phrases are related and c is developmental; the cadence to the section is overlapped by two bars with a varied repeat of the subject; this repeat has a new final phrase which is extended by repetition and fragmentation.

The two-phrase binary structure is of fundamental importance for Brahms. Such structures are ubiquitous in his music. They vary in size from such as the opening of op. 73 ii (with  $1 + 1$ ) to such as the opening of op. 36 i (with  $14 + 16$ ). The opening of op. 98 i shows a number of binary structures of different sizes, in similar manner to op. 34 iv first subject (see above). Here the first eighteen bars are the first part of a statement + expanded variation; within these bars is a chain of smaller statement and response structures opening with  $4 + 4$ , where each of these phrases has  $2 + 2$  and where each of these smaller phrases has  $1 + 1$ . The passage is a complex organism where each part has both separate identity and logical function in the whole. (The statement + expanded variation which

forms the first subject is of course also part of the statement + expanded response which is the whole sonata form.) The two-phrase binary structures may show thematic dissimilarity between the phrases (as in the opening of the solo part in op. 96 no. 3 with  $2a + 2b \rightarrow$  perfect cadence) or may show thematic similarity (as in the opening of the solo part in op. 96 no. 4 with  $6a + 6a \rightarrow$  half cadence in the dominant). One way of making the response different but similar is response by inversion, as in op. 68 iii opening (where the inversion is exact) or in op. 32 no. 9 (where the inversion is free). The dissimilar response is a progressive feature, whereas a similar response has a tendency to close the formal unit in on itself. The harmonic organisation in a two-phrase binary structure usually includes an unfinished ending to the first phrase (in 96 no. 3 phrase 1 ends in a different key; in 96 no. 4 phrase 1 ends on a half cadence) which creates cogency within the structure; the cadence at the end of the second phrase will depend on whether the structure is intended to be complete or is intended to point forward. Irregularly sized phrases are sometimes used in the two-phrase binary structure, and the first subject of op. 68 i shows three structures with irregularly sized phrases (having the rhythmic shape from bar 42 of  $\overbrace{4 + 5} + \overbrace{6 + 13} + \overbrace{8 + 11}$ ). The two-phrase binary structures may be clearly defined by being thematically separate from their surroundings, as in op. 73 ii where the opening  $1 + 1$  is followed by new material; or they may be integrated into their surroundings by being part of some larger binary structure (as in op. 73 i opening) or by being followed by related material (as in op. 90 i opening).

A specialized form of statement + response structure on the phrase-level which finds much use is the SSL (short, short, long) shape, where the first part of a statement + response shape is subdivided and the

second not so divided. Some examples of this may be seen in op. 38 ii bars 2 - 11, 41 no. 1 throughout and 99i bars 1 - 4 and bars 5 - 8.

Small statement + response structures may be built into old sequence form (as described in Chapter 3) by the addition of several of them each with distinctive thematic material. This may be seen in the first subject of op. 67 i (with five such units), the opening of op. 115 iii (with two such units) and the theme of op. 120 no. 2 iii (which is comprised mostly of such units in half-bar or one-bar phrases). This technique can also appear within a phrase as is shown in op. 76 no. 5 and op. 118 no. 3 section B.

A limited use of repeated thematicism can occur in the middle of a phrase or pair of phrases in the design abbc. This may be seen in the opening phrase of op. 22 no. 7 and 69 no. 4, in the third phrase of op. 111 ii, and in the opening pair of phrases in op. 31 no. 2 and 66 no. 3.

Small statement + response structures may be decorated by having different instrumentation for their constituents. This is the concerto principle on the phrase-level. It may be seen in the opening of op. 8 iii, in 35 i variation 6 (where the difference is between two textures on the same instrument), in 42 no. 3 (where the difference is between high and low voices), these examples showing a progressive two-phrase structure in that the thematicism of the phrases is dissimilar. In op. 104 no. 1 the difference of presentation is between high and low voices, and in op. 109 no. 1 section A the technique is polychoral; both these examples show the phrases within each two-phrase structure having similar thematicism. The concerto principle appears on the sub-phrase level as a means of development or variation in op. 83 iv (bars 129<sup>f</sup>), 101 iii (in the returning section) and 102 i (bars 300<sup>f</sup>); in each of these cases a tune is divided between two instrumental

forces in segments smaller than a phrase (the tunes having originally not been so divided). The principle may be found above the phrase-level in such situations as the inverted counterpoint upon repeat of the sections of op. 56 variation 4, and the dialogue song op. 75 no. 1.

Finally it should be said that while phrase-structures with phrases of basic lengths of two or four bars are common in Brahms, phrase-lengths of three and five bars are by no means uncommon. Three-bar phrases may be seen in op. 2 iii Trio, 25 iv, 47 no. 5, 51 no. 2 ii and iv, 61 ii and 94 iv. Five-bar phrases may be seen in op. 22 no. 1, 33 no. 7, 42 no. 2, 95 no. 3, 100 i opening, 117 no. 3 and 119 no. 4.

### Section 3: Some details of op. 39.


Knepler has said:- "Die Walzer op. 39 ..... brauchen durchaus nicht als Nebenwerk bewertet zu werden."<sup>1</sup> Furthermore for our present purpose, they provide a most interesting demonstration of the variety of possibilities of detailed organisation of material within a basic small-scale binary scheme.

The dances of op. 39 all have two repeated sections (in some cases the repeats are varied) and are thus basically binary. In all except one the first half ends in a key other than the tonic; no. 10 has no change of key here but closes on the dominant chord. Of the eight other waltzes in the major key, five have their first halves ending in the dominant key (nos 2, 5, 8, 12 (the A  $\flat$  in the LH bar 11 is a subdominant decoration of the dominant) and 13), two have them ending in the mediant minor (nos. 1 and 15), and no. 6 has its first half ending in the diatonic submediant (or relative minor). Of the seven waltzes in the minor key, three first halves end in the relative major (nos. 3, 7 and 16). That of no. 4 ends in the dominant major

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1. Die Form in den Instrumentalwerken. Johannes Brahms, p. 135.

while that of no. 11 ends in the dominant minor. No. 9 has its first half ending (peculiarly) on the dominant of the subdominant and the first half of no. 14 ends in the submediant. The length of the first half in all but four of the dances is eight bars, and one of the four (no. 11) is merely double this length. Some of the 8-bar first sections emphasise the statement and response construction which is basic to them all. Nos. 1, 2, 5, 6, 13 and 15 do this; here there is less purpose in subdividing the 4-bar phrases in no. 1 than in nos. 2, 13 and 15, which clearly exhibit the construction  $1 + 1 + 2$  in each of their 4-bar phrases, and in nos. 5 and 6, which clearly exhibit 2-bar phrasing throughout their first halves. Nos. 4, 7, 10 and 11 emphasise the short, short, long construction. No. 10 is the most obvious in this since its concluding long phrase cannot be properly subdivided, while in nos. 4, 7 and 11 the concluding phrase is of a developmental nature. The first half of no. 3 is a continuously flowing tune in 1-bar units, which, on figurative grounds, can be subdivided into  $2 + 2 + 1 + 1 + 2$ . This structure is found in a more sophisticated form in the opening LH eight bars in no. 16, where the two 1-bar phrases are developmental of the latter parts of the two opening 2-bar phrases and where the final 2-bar phrase is composed of the first parts of the opening 2-bar phrases repeated. No. 9, like no. 3 in a different way, also has one phrase in basically 1-bar units, save for the last unit, which is of 2-bars. There are remaining for consideration the three waltzes which have a 12-bar opening section. Of these no. 8 has perhaps the most complicated structure. It consists of 1-bar rhythmic units, which on melodic grounds form the phrase-structure  $3 + 2 + 4 + 3$ . The first half of no. 12 opens with a  $4 + 4$  pattern but the responsive phrase is extended for an additional four

bars by the development of the figure . No. 14 has a complicated figurative pattern in six 2-bar phrases which can be represented by the pattern  $ABA_1B_1CC_1$ . In all cases the first halves are incomplete (thus requiring a response) and their detailed structure shows various applications of binary principles of phrase-structure.

The second half either (i) confirms the binary pattern with binary proportions or (ii) modifies it by employing ternary proportions. In the first of these categories are nos. 3, 10, 13 and 16, each with an 8-bar second section making a simply balanced form. No. 3 has a phrase-structure in its second half identical to that of its first half. No. 10 is more sophisticated, both in key (the second half begins on the mediant major, which chord is followed by the mediant minor in order that the tonic may be regained) and design. Each half has the structure  $2 + 2 + 4$  but whereas the first half has two ideas  $2 + 2$  (A) + 4 (B) the second half concerns itself with only the first of these, presented in an extended form. The second half of no. 10 thus includes development on an harmonic and figurative level. No. 13 includes a certain harmonic development in its second half but the rhythmic and thematic structure of the two halves exactly correspond. Each 4-bar phrase consists of the structure, short, short, long in the following scheme:-  $4$  (C major) +  $4$  ( $\rightarrow$  G major) :||:  $4$  (G major  $\rightarrow$  Eb major ) +  $4$  (Eb major  $\rightarrow$  C major). No. 16, on the other hand, has a sophisticated phrase-structure and a simple harmonic scheme; the first half - see above - has the sophisticated phrase-structure, while the second half has the simpler structure of  $2 + 2 + 4$ , but the key-system throughout is extremely simple, being D minor  $\rightarrow$  F major :||: F major  $\rightarrow$  D minor. (No. 16 is the only dance to employ double counterpoint; the interchange takes place in a varied repeat of the first half, between the whole of

the upper part and the RH of the lower part).

The remaining 12 waltzes combine ternary proportions with a binary structure. These pieces become more or less like miniature sonata movements according to whether they have the following features:- (i) a formal recapitulation, (ii) a developmental passage and (iii) defined secondary material. The 12 waltzes in this category can be divided into three sub-groups according to the characteristics they possess from the above list, viz:- group a) dances 12 and 14 have all the characteristics, group b) dances 1, 2, 4-6, 11 and 15 have the first and second characteristics, and group c) dances 7, 8 and 9 have no formal recapitulation and thus form a group very much distinct from the other two groups and one which will be discussed separately. The second characteristic needs some investigation since these pieces are too short to allow of a developmental passage akin to those in bigger sonata movements, (though some of these developmental passages are more like those of bigger movements than others). The middle sections in dances 1, 5 and 15 are developmental more because of context than because of very nature. In no. 1 this section consists of two 4-bar phrases in exact sequence (B major + E major); in no. 5 the section is even simpler, consisting of two 2-bar phrases in sequence (F $\sharp$  minor + E major) over a dominant pedal; and in no. 15 we find three 2-bar phrases with the harmonic scheme tonic, sub-dominant, dominant preparation. The development passages in the remaining six waltzes which have a formal recapitulation are more progressive in purpose. No. 4 will provide a simple example: the first part of the development passage develops the rhythm of bar 1 in G major, while its latter part takes the octave leap of the first part as a basis for development in more

continuous movement, in an harmonic context of conjunctly-moving chromatic chords leading to dominant preparation at the end of the phrase. Waltz 14 has the most fully-fledged development section of all, with three distinct but integrated sections.

Of the two dances in sub-group a) above, no. 12 opens with a simple 'short, short, long' idea in the tonic. The 'short' element in this proves to be the germ of the whole piece - it is  $\text{d} | \text{d} \text{r}$ ; in the second phrase (at bar 5) this germ is extended firstly by omitting the rest and adding a suspension and subsequently in bars 7 and 8 by decorating the suspension. Development of this decoration provides the extended close to the first half, the key structure of which is simply tonic  $\rightarrow$  dominant. The 8-bar development section treats the original germ in a series of six 1-bar units which culminate in one 2-bar unit and which move from E minor to F major. The recapitulation is subtly introduced with certain melodic alteration over a decorated dominant pedal in bar 20-21; the second phrase, with its extension as in the exposition, here leans towards the subdominant. Waltz no. 14 has a clearer sonata design in that its secondary material is more distinct from the opening. The secondary material occurs in bars 9-12 in the exposition ( $\rightarrow$  F minor  $\rightarrow$  F major) and at bars 45-48 in the recapitulation (in an altered version wholly in A minor). Of the recapitulations in group b) those of dances 1, 5, 6 and 11 call for comment because of harmonic peculiarity, those of dances 4, 5 and 6 call for comment because of rhythmic extension, while those of dances 2 and 15 could be described as normal. The key-system of no. 1 is on the same principle as those sonata form movements (sometimes to be found in Schubert) which begin their recapitulation in the subdominant - there is indeed a large subdominant bias in the second half. In the recapitulation of no. 5 the responsive phrase which in

the exposition leads to the dominant is here altered not to the tonic but to the subdominant; this alteration requires, since it persists for the whole phrase, an extension of 2 bars to cadence in the tonic. In the recapitulation of no. 6, the first 4-bar phrase is recapitulated exactly but the responsive 4-bar phrase is extended both rhythmically and harmonically (to include the key of the flattened mediant major - a key which has been extensively employed in the short development section). The recapitulation of no. 11 begins, is centred around, and ends in the tonic major. The proportions and scheme of the exposition are reproduced, though the details of the rhythmic development which constitutes the last eight bars of both exposition and recapitulation are altered in recapitulation. In no. 4 the general plan of the exposition is adhered to in the recapitulation, but, after a harmonic change in the second phrase (of two bars), the phrase which in the exposition was four bars consists of a lengthier development and now occupies six bars. No. 5 requires an additional two bars for harmonic reasons. The extension in the recapitulation of no. 6 is again to the second of the two phrases. By an harmonic alteration the phrase has one bar added to its main body and the phrase leads to a five-bar decoration of the final chord by the use of the auxiliary subdominant  $\frac{6}{4}$ . The final phrase is thus extended from a hypothetical four bars to a practical ten bars.

Waltz no. 7 belongs to group c). This piece has development as a feature in its second half. This half begins with two 6-bar phrases extended out of the opening of the piece:- 6 (E major  $\rightarrow$  B major ) + 6 (F $\sharp$  minor  $\rightarrow$  A major). Thereupon the configuration of the opening reappears but the key is wrong - 8 (developmental, A major  $\rightarrow$  F $\sharp$  major  $\rightarrow$  dominant preparation). The tonic major key, which obtains in the final eight bars, after the large dominant preparation, has no more than fragmentary representations of the opening theme. The second half

of no. 8 begins with a statement of the opening of the piece in D $\flat$  major (the flattened mediant major) which persists for seven bars. In bar 8 the chord is a dominant in B $\flat$  which cadences onto a dominant in E $\flat$  in bar 9 and the final cadence of this eighteen-bar half is reached via a substantial sojourn in this key. Characteristic shapes from the opening reappear after the dramatic change from D $\flat$  major, but there is nothing either melodically or harmonically definite enough to be labelled as recapitulation. No. 9 consists of three eight-bar sections, the last two of which are grouped together. All three of these sections accelerate in excitement towards their endings, the second of them the most of all. The second of them is also harmonically developmental (using the key of E $\flat$  for its first half) and during its course a perfect cadence in the tonic is deliberately avoided. The last section is distinguished from its predecessor merely by a change of texture; it is still modulatory (G minor  $\rightarrow$  F major  $\rightarrow$  D minor) but it concludes, as did the first half, with an imperfect cadence, here on the dominant of the tonic.

## CHAPTER 5: SONATA FORM - THE STATEMENT.

In this and the subsequent chapter a study will be made of the sonata form movements in the sonata/symphony tradition with a view to the appreciation of the variety of resource and of the formal habits which Brahms displays therein. Sonata form is of course of great importance for Brahms, and some understanding of his treatment of it is essential to an appreciation of his artistic attitudes. As Mitschka has said: "Der Sonatensatz..... its auch bei Brahms noch die zentrale Form der Instrumentalmusik....."<sup>1</sup> It is the importance of this form for Brahms which places him firmly in the classical tradition. As Gal has said: "Brahms always revered the exalted sense of traditional form,"<sup>2</sup> and also Tovey: "Brahms, the last great master of sonata forms....."<sup>3</sup>

Brahms uses sonata form in all the 33 works within the Sonata/Symphony tradition (for the purposes of the present analysis the two versions of op. 8 must be counted as two works). The form occurs in the first movements of all these works save that of op. 40, in the second movements of op. 98 and 108, in the third movement-types of op. 98, 108 and 115 (the use of the form on the movement level only is under discussion), and in the final movements of all the works save those of op. 1, 5, 18, 25, 67, 78, 98, 99, 100, 115 and 120 nos. 1 and 2; the extra slow movement in op. 5 also uses the form. Thus of the 128 movements in these works 59 use sonata form.

### Section 1: The First Subject Group.

The first subject group may be considered under the following heads, where each is a theoretical continuum defined by two extremes:-

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1. Der Sonatensatz in den Werken von Johannes Brahms, p.2.
  2. Op. cit. p.169.
  3. Essays in Musical Analysis, volume 5, p. 227.

lyrical - terse, unified - diversified, formal - progressive, mainly presentational - developmental also, short - long, and tonally unified - tonally diversified.

The first of these heads is important because of traditions of criticism in this form, traditions exemplified by Macpherson in referring to the first subject: "..... this First Subject which ..... is usually less of the nature of an extended melody than of some terse, pithy utterance which arrests the attention at the outset."<sup>1</sup> and by Morris in referring to the second subject: "One at least of the themes in this section is commonly a broad melodic stanza - a tune, in fact - that both contrasts with and stabilizes the more energetic and restless rhythmical parts."<sup>2</sup> At the beginning of his creative life Brahms gives us the extremes of the lyrical - terse continuum with regard to the first subject group. (Einstein has: "He began as a genuine Romantic, with a period of storm and stress....."<sup>3</sup>). Op. 8 i in both versions has one of the longest tunes Brahms wrote as a first subject, whereas the first movements of the three piano sonatas all begin with short arresting figures. 8 i has a first subject of some sixty bars of which the opening 42 present a clearly-phrased, formally coherent and smoothly shaped tune. As Tovey has pointed out (in Cobbett's Survey) this created problems of symphonic pace for the movement as a whole - which, of course, Brahms in later life felt that he had not met. At the other extreme op. 1 i has a first subject of sixteen bars (8 + 8) in which the first  $1\frac{1}{2}$  bars generate most of the remainder of the subject. Brahms' use of interpretative signs is a clue to the widely different ethos of these

1. Form in Music, p. 120
2. The Structure of Music, p. 44
3. Music in the Romantic Era, p. 150.

two examples. Table 8 column 1 shows those first subjects which are not from slow movements which may be described as having a pronounced lyricism or terseness. Of the subjects mentioned for lyricism those of op. 18 i, 36 i and iv, 73 i and 100 i progress to second subject groups which include a broad lyrical tune, and none progress to unduly terse second subject groups although the second subject of 8 i version 2 is noticeably more terse than the first subject. Of the first subjects mentioned for terseness one (op. 2 i) progresses to a noticeably terse second subject, and 5 i and 68 i progress to second subjects which are smooth without being broad tunes, while 1 i and 101 i show second subjects with noticeable lyricism.

The first subject group may show unity of material, as in 68 iv, or a more diverse approach, as in 34 i (where two well differentiated themes are separated by development of the first of them). Column 2 of the Table shows an attempt at a classification of the amount of diversity within the first subject groups, although ultimately each subject has its own degree of diversity. The classification is basically threefold: those subjects which are a basic unity (shown as U), those which show some appreciable diversity within a basic unity (shown as U/d) and those showing definite diversity of thematic resource (shown as D, with the number of distinct themes in each case following). The first class includes 2 iv, although this has distinctive cadence material, 8 i, although this has a definite ababa + coda form (a and b being of similar character and motific basis) and 34 iv, although this has three distinct ways of treating a basic motif. The second class comprises the following subjects:- 8 iv, 26 i, 99 i and 115 i, which have an opening thematic period with two areas (a + b); 38 iii, which consists of a fugal exposition with of course counter-subjects; 40 iv, 108 i, 111 i and 115 iii, which during their course evolve a relatively new but not separate thematic notion; 51 no. 2 i,

TABLE 8: Some Features of First Subjects in Sonata Form.

		lyrical- terse	unified- diversified	formal- progressive	Mainly presentational -developmental also	short- long	tonally unified- tonally diversified
i	(1i)	T	U	F(binary)		S	D
i iv	(2i) iv	T	D(fig) U	F(ternary) F(ternary)	D D	S	U
i iv	(5i) iv	T	Dii U	F(ternary) P/f		L	D D dominant
p. Posth iv	i iv	L	U Dii	F(binary) F(ternary)			D dominant
8 version 1	(8) i iv	L	U U/d	F(ababa + coda) F(binary)	D	S	D dominant
version 2	(8) i iv	- -	- -	- -	- -	L	- -
8 i	(18i)	L	Dii	F/p	D		D
5 i	(25i)		Dii	F(ternary)	D		D
6 i iv	(26i) iv		U/d Dii	F(binary) F(binary+ coda)	D		D
4 i iv	(34i) iv	T	Dii U	P F(binary)	D		
6 i iv	(36i) iv	L L	Dii Dii	F(ternary) F(intro + ternary)		L L	D D
8 i iii	(38i) iii		Dii U/d	F(ternary) F(fugal)	D	S	D
0 iv	(40 iv)		U/d	F(ternary)	D		
1 no. 1	(51 no. 1) i iv	T T	Dii Diii	F(ternary) P	D D	L	D
no. 2	(51 no. 2) i iv		U/d U/d	P P/f		S	
0 i iv	(60i) iv		U/d Dii	F(ternary) P	D D	L	D
7 i	(67i)		U/d	F/p (ternary)			

1. (1) The first subjects are structurally the same in both versions of op. 8

**TABLE 8: contd.**

			lyrical- terse	unified- diversified	formal- progressive	Mainly presentational -developmental also	short- long	tonally unified- tonally diversified	
68	i iv	(68i) iv	T L	Dii U	F(ternary) F(binary)	D			
73	i iv	(73i) iv	L	Diii Dii	P F(binary)	D		D	
78	i	(78i)		Dii	F/p (ternary)			D	
87	i iv	(87i) iv		D(iii) U	F/p (ternary) F(ternary)	D		D	
88	i iii	(88i) iii	L	U/d Dii	F(ternary) P	D D	S L	D	
90	i iv	(90i) iv		Dii Dii	P F(ternary)			D	
98	i ii iii	(98i) ii iii		U/d U/d Diii	F(binary) F(sonata) F(bogen)	D D D	L L	D D D	dominant
99	i	(99i)		U/d	F(binary)	D			
100	i	(100i)	L	Dii	F(binary)				
101	i iv	(101i) iv	T	Dii U	F/p (ternary) F(sonata)	D D		D D	
108	i ii iii iv	(108i) ii iii iv	T	U/d U U U	(F) F(binary) F(binary) F(abba)		S	D D	dominant dominant
111	i iv	(111i) iv		U/d Dii	(F) F/p (ternary)	D		D	
114	i iv	(114i) iv		Dii Diii	F(binary) P	D		D	
115	i iii	(115i) iii	T	U/d U/d	F(binary) F(binary)	D D		D	dominant
120	no. 1 no. 2	(120 <sup>no. 1</sup> ) i		Dii U/d	F(binary) P	D			

a + b). and the abba

67 i, 98 i and 120 no. 2 i, which have as their opening periods a sequence of contrasted motifs; 51 no. 2 iv, with an aab form where b is a distinctive development of the a phrases; 60 i, which, besides having some new material in the second strophe also evolves a new version of the opening theme in the third of three strophes; 88 i, which has a middle development beginning with the rhythm of the theme in a new melodic guise, and 98 ii, which is sonata form subject with the second theme evolved from the first. The third class includes 2 i with three different figurations within the first eight bars, formal subjects such as 5 i and op. posth. iv with ternary form, and progressive subjects simply with two themes one after the other as in 34 i or 90 i. Five of the first subject groups in class 3 may be seen as having three separate themes. 26 iv and 78 i besides showing a clear two-themed division also have distinctions of figuration in the first of their themes.

Column 3 of Table 8 seeks to indicate whether a first subject group has a formality of its own. The nineteen subjects shown as having binary form may either have thematic unity as in 1 i and 108 ii or, more usually, have some differentiation of thematicism as in 8 iv (with its simple abab structure) and 98 i (with its rich motific structure). The statement + expanded response structure may be found in many of these binary subject groups. In 26 i, 99 i, 115 i and 120 no. 1 i this structure is used within the group, before the bridge-passage. In 73 iv and 98 i this structure incorporates in its latter stages the harmonic characteristics of a bridge. Binary form subjects which also incorporate the beginning of the bridge into their structure may be seen in the abab form of 100 i and the statement + response form of 115 iii. Special features in some forms include the shortened second half in 26 iv, the developmental beginning to the response in 68 iv and, on a much bigger scale, in 114 i (with a + b + development of a + b), and the abba<sub>1</sub> organisation of each of the two halves in 34 iv.

98 iii and 101 iv show miniature sonata forms.

The fifteen subjects shown in Table 8 as F (ternary) either have a more or less straightforward returning section as in 5 i, Op. Posth. iv, 51 no. 1 i, 87 iv and 88 i, or have a developed return (a more progressive feature) as in 2 i and iv, 25 i, 36 i and iv, 38 i, 68 i and 90 iv. In these latter examples the development lengthens the return in all but 36 iv and 90 iv (in 90 iv the return is dramatically short). 67 i, 78 i, 87 i, 101 i and 111 iv show a developed return which is also the beginning of the bridge-passage; these are shown in Table 8 as F/p (ternary). The middle section of ternary form subject groups may be either of contrasted thematicism (as in 5 i, Op. Posth. iv, 25 i etc) or, less usually, of development of the A section (as in 2 iv, 87 iv and 88 i). 40 iv and 60 i may be regarded as having three strophes each opening with the same thematicism but the latter two diverging to their own separate treatments involving expansion (with new material and tonality) in strophe 2 and a much altered return in strophe 3. 40 iv will serve as example. The 44-bar subject has 8 + 28 + 8 where each of these periods begins with a statement of the beginning of the main theme in the tonic key. The first period has: 4(Main Theme, bar 2 being an almost exact inversion of bar 1, and bar 4 being almost identical to bar 3; over a tonic pedal) + 4(continuing the period with development; bars 1-2 sequential being repetitions of bar 1 MT and bars 3 and 4 being identical (on a dominant chord) and being an important cadence figure, x). This first period is symptomatic of the movement in the skilful manner in which new material and development are combined. The second period begins with 4 MT as before but the development following is more protracted and complex:-

2 { bars 5-6: bar 5 of the movement reappears with a new  
 + { diminished version of x appended.  
 2 { bars 7-8: a sequential repetition of the previous  
 { two bars

4 +	bars 9-12:	2 (x now as a perfect cadence in G minor) + 2y (new material modulating to tonic)
	bars 13-16:	a slightly altered sequential repeat of the previous four bars → G minor
4 +	bars 17-20:	x appears three times over SSL development of the opening of y in G minor
	bars 21-24:	a repeat of the previous four bars with altered texture and ultimate note
4	bars 25-28:	development of x: $1 + 1 + \frac{1}{2} + \frac{1}{2} + \frac{1}{2} + \frac{1}{2}$ as link to the next period.

The last period of the first subject has a cadential version of MT (bar 1 intact, bar 2 a descant version, bars 3-4 new cadential figure z, bars 5-6 altered repeat of z + 2 bars of dominant chord). The phrase and the period close with a half cadence (enhanced) in the tonic.

Other forms appearing in first subject groups are the specialized rondo of 8 i, the fugal exposition of 38 iii (a kind of strophic form), the bogen form of 98 iii and the abba form of 108 iv. Two subjects appear in Table 8 as P/f and these are 5 iv with a binary + binary structure (a short example of old sequence form) and 51 no. 2 iv with a bar form. Of the subjects denoted by F/p in Table 8, 18 i shows an harmonically ternary structure with a progressive thematic structure of a + a + development of a + b, and 67 i shows an extensive use of old sequence form followed by a return of the opening of the subject at the beginning of the bridge.

The denomination 'progressive' in Table 8 is self-explanatory. Of the subjects which appear in column 2 as diversified and in column 3 as progressive, 34 i, 51 no. 1 iv, 60 iv and 88 iii show a shape wherein a theme at the beginning of the subject is linked by development to another theme at the end. In 51 no. 1 iv the first theme is itself diversified, and in 88 iii the first theme is a fugal exposition. 73 i, 90 i and 114 iv, which are the other diversified and progressive subjects, have a sequence of themes with no developmental passage. Two subjects (51 no. 2 i and 120 no. 2 i) appear as 'U/d' in column 2 and

as 'progressive' in column 3. This somewhat paradoxical description would seem a useful way of showing the richness of these nevertheless cogent periods of music. 51 no. 2 i will serve as example; it has a subject of 20 bars in the tonic with a characteristic texture for its under-parts in bars 1-12, which is abandoned in bars 13-20. A detailed plan of the subject would be:- 4(two main notions 2 a + 2b) + 2b<sub>1</sub> (in sequence) + 3c (with the anacrusis of b<sub>1</sub>) + 2c<sub>1</sub> (c developed, including in the first bar an arpeggio in beats 2-4) + 3 (the arpeggio of c<sub>1</sub> developed) + 6 (3 + 3 - a new cadence).

The subjects of 108 i and 111 i are similarly both rich and cogent and would be classed with the two previous subjects but for the fact that their cadences are a return of opening material. They appear in column 3 as '(F)'.<sup>1</sup>

Column 4 of the Table shows those first subjects which make a feature of development of material. The distinction between a solely presentational subject and one that includes development is difficult to make and probably ultimately unreal. 34 iv, for instance, may be considered basically presentational, but the subject, within a clearly organised form, makes use of shortened phrase-lengths and inversion (which could be considered developmental procedures). The distinction in column 4 however is one between those subjects which are mainly presentational and those which make a feature of development. Thus 26 iv which has a short but obviously developmental bridge at bars 40-52 is not included among those subjects which make a feature of development because here the development is comparatively unimportant. Again the distinction is difficult to make and somewhat subjective.

Those subjects which do appear as involving development importantly in column 4 fall into three broad classes:- subjects having a distinct developmental passage as a link between two different themes, subjects having development within a comparatively enclosed

formal structure, and subjects based upon intricate motific work. 51 no. 1 iv is an example of the first type. Bars 21-32 link the ternary part 1 of the subject with part 2, and they have a rhythmic development expanded from bars 11-12. Similarly functioning development will be seen also in the subjects of 34 i, 60 iv, 88 iii and 101 i. 8 i shows a coda development before the beginning of the bridge. The second type of developmental usage within subjects can be the middle development of a ternary form (2 iv, 18 i, 38 i, 60 i and 88 i) or sonata form (98 ii and 101 iv), the expanded return of a ternary form (2 i and iv, 25 i and 98 iii), or the expanded variation part of a binary statement + expanded variation structure (26 i, 73 iv, 98 i, 99 i, 114 i, 115 i and 120 no. 1 i). Some discussion will be found above of the uses of ternary form in these first subjects, and some discussion of the statement + expanded variation will be found in Chapter 2. One of the works there discussed is 99 i; 115 i is similar but a much larger expansion is used. Here the first subject is of 24 bars with a structure of 4 statement + 20 response. The statement has two thematic notions, which are expanded in order in the response. The response has the internal phrase-structure of 1 + 8 + 4 + 4 + 3 of which the first nine bars are concerned with bars 1-2 of the statement and the remaining eleven bars are concerned with bars 3-4 of the statement; the expansion involves some new material. The third class of subject involving development comprises those which have development of motif as an integral part of the thematic notions. The subject material is made up of short figures and within the course of the subject these figures receive rich expansion and alteration. Subjects of this type are 40 iv, 51 no. 1 i, 68 i, 87 i, 111 i and 115 iii. The

first section of 68 i will serve as an example:

As can be seen from the quotation the initial section of the subject contains three basic figures. Two of them are in themselves developmental;  $z$  is based on the interval of the third, and  $x$  has a similar relation to part of the semitone scale. On a larger scale, development is by combination in phrases 2 and 3 and by expansion and inversion in phrase 3.

Column 5 shows marked with an S those first subjects which are shorter than both the bridge-passage and the second subject considered separately. (The first subject is usually shorter than the second). The junction between the first subject and the bridge-passage is often vague, and the value of this exercise is further reduced by the fact that length does not mean weight. The shortest subject for the

outside movements is the thematically rich eleven bars of op. 120 no. 2 i. Marked with an L are those first subjects which are longer than both the second subject and the bridge considered separately. Here the longest subject is the 95 $\frac{3}{4}$  bars of 36 i. 108 ii is a peculiar case in that the first subject is shorter than the bridge but longer than the second subject.

Almost all these subjects have some departure from diatonic tonic tonality (only 2 i remains convincingly in the tonic throughout), but only included in column 5 are those subjects in which the contrasted tonality has importance either because it is static for a substantial portion of the subject, or because new material is presented in it, or because of the unusual nature of the contrast. Thus the colouring in 68 i, where all the phrases of the first subject end with a half or perfect cadence in the tonic while there is much chromaticism within the phrases, does not qualify. Subjects with tonal diversity fall into two broad groups: (i) those with a ternary contrast in tonality, and (ii) those with a progression of tonalities not formalised in this way. Those subjects in the first group which present new thematicism in the new key in a ternary form subject are 5 i, 25 i, 36 i, 36 iv, 38 i, 51 no. 1 i, 78 i, 87 i, 90 iv, 98 iii and 101 i. They show a preference for mediant relationships. The major subjects have:- G major + B major + G major (36 i and 78 i) and C major + Eb major + C major (98 iii); two which do not show mediant relationships are 36 iv (tonic + dominant + tonic) and 87 i (tonic major/minor/major). The minor subjects have:- G minor + Bb major + G minor (25 i), E minor + G major + E minor (38 i), C minor + Eb major + C minor (101 i) and F minor + Ab and Db majors + F minor (90 iv); two which do not show mediant relationships are 5 i (tonic + dominant minor + tonic) and 51 no. 1 i (tonic + subdominant + tonic). The other ternary subjects showing a new middle key with

development of previous thematicism are:- 18 i (Bb major + Db major + Bb major), 60 i (with the unusual relationship of C minor + Bb minor + C minor) and 88 i (F major + D major + F major). Binary subjects with new material in a new key are 26 iv and 73 iv both with the dominant as subsidiary key. 1 i has its response beginning in Bb major after the statement began in C major, and 98 ii and 101 iv are shown as having tonal diversity because of the essential part this diversity plays in their forms. In the second group the following subjects close in their dominant in spite of the fact that they are followed by bridge-passages:- 8 iv, 108 i in minor keys, and Op. Posth. i and 108 ii in major keys. The same progression occurs in 5 iv, 98 i and 115 iii in minor keys where the close of the first subject has the function of the bridge-passage. Two cases of progressive tonality remain for consideration; both are unique. 111 iv begins in a key other than that of the tonic with:- 9 (B minor → half cadence) + 4 (hovering between B minor and G major) +  $\overbrace{4 + 4} + \overbrace{4 + 4}$  (G major throughout). And 114 iv has a subsidiary first subject in the tonic major (bars 17-24).

### Section 2: The Bridge Passage

Table 9 seeks to show some of the variety Brahms accords to the transition from first subject group to second subject group by asking the following questions:- (i) is the thematic material of the bridge derived or new? (ii) is the bridge distinct from the first subject group? (iii) is there formal organisation within the bridge? (iv) is the bridge short or long? and (v) is the bridge tonally direct?

The largest type of bridge passage in the question of derivation of thematic material has most of its material as a development of material in the first subject: about  $\frac{2}{5}$  of the movements under consideration belong to this type. (Since this is the largest type

TABLE 9: Some Features of Bridges in Sonata Form.

	Thematic derivation	Clear beginning - Growing organically	Thematic Formality	Short-Long	Tonally direct or indirect
1 i	B	3		L	
2 i	&2	1		L	
iv		3	F		
5 i	&2	1	F	L	I
iv		in 1			
Op. Posth. i	OM	1			I
iv		5c	F	S	
8 version 1 i		3			
iv		3		L	I
8 version 2 i	B	3			
iv		3		L	I
18 i		4	F		
25 i	B	5c		S	
26 i	B	4		L	
iv	B	5b		S	
34 i		in 1			
iv		3			
36 i	OM	1			I
iv		4			I
38 i	B	3		L	I
iii		3		L	
40 iv	Omitted. The bridge is 1-bar's rest.				
51 no. 1 i	OM	5b	F	L	I
	(related to 1st S)				
iv	B	5c			
no. 2 i	OM	1		L	I
iv		2		S	
60 i	OM	1		L	I
iv		in 1			
67 i		4	F	S	I
68 i	B, &2	2		L	
iv	B	4			
73 i		3			I
iv	B	5c			I
78 i		4			

TABLE 9: contd.

	Thematic derivation	Clear beginning - Growing organically	Thematic Formality	Short- Long	Tonally direct or indirect
87 i	B	4			
iv		2	F		
88 i	B	2		L	I
iii		5c			
90 i		5c			I
iv		5c			
98 i	B	5b		S	
ii	&2	4			I
iii		4			I
99 i	B	2		L	
100 i	B	5c			
101 i	B	4		L	
iv	OM	1	F		I
108 i	B	2			
ii	OM	1		L	
iii	&2	3		L	
iv	B, &2	1			to wrong key
111 i	B	4			
iv		3			
114 i		3		S	
iv		3			
115 i	OM	1	F		
iii		<b>in 1</b>			
120 no. 1 i		3		S	
no. 2 i		4			I

examples of it have no entry in column 1). 51 no. 2 iv provides a short example. The bar form first subject cadences into bar 37, which is the beginning of an 8-bar bridge-passage. Thematically this takes the final five notes of the first subject, not including the cadence note (i.e. bars  $35^2 - 36^3$ ), and begins by developing them simply as 2 + 2. In bar 5 of the bridge a diminished version of this figure is used which flowers into an arpeggio in bar 6 and an inversion of bars 39-40 treble in bars 7 and 8. (The diminished version of the main figure is also used as an accompanimental feature for the opening part of the second subject). The bridge in 120 no. 2 i is a more substantial example, being of the same length as the (very condensed) first subject. Its material is mainly derived from the first subject, and it falls into three main areas:- (i) 4 (tonic, the first bar of the movement is developed: 1 + 1 in sequence, the material shared between LH (beats 1-3) and clarinet (beats 4-5), + 1 + 1 an altered version in sequence, in LH only, the clarinet here having a 3-beat elaboration of the share it took of the opening figure of the movement in the previous two-bar period); (ii) 3 (pft. only, via C minor to dominant chord in Bb; the RH consists of two phrases, each of  $1\frac{1}{2}$  bars, the second full beat of each having as decoration the figure formed by notes 2-4 of the movement (figure x) in inversion and diminution; the two phrases are in pseudo-sequence, and the LH is in canon at the diatonic 5th below at a beat's distance and simplified by the omission of the x decoration); and (iii) 4 (the Eb minor chord at the beginning of the phrase, which interrupts the cadence from the previous phrase, leads, via a circle of fifth-related dominant 7th chords in the subsequent bar, to Gb7 in bars 3-4, which is quitted as a german 6th upon the b-submediant of the dominant key; the phrase is a development of the opening bar of the movement (figure a), which appears intact in bar 1 accompanied by a characteristic rhythm for its first two beats; in bar 2, after an appoggiatura, 'a'

appears in diminution to half a beat's length - this, with the appoggiatura, is in the rhythm of the accompaniment of the previous bar; the half-bar version of 'a' is repeated in sequence in the second half of bar 2 and is followed by  $\frac{1}{2}$ -bar development of the triplet opening figure +  $1\frac{1}{2}$  cadence).

Eight of the 59 movements under consideration use mostly new material for their bridge; these appear as OM (own material) in column 1. Op. 60 i has a 28-bar bridge based upon two thematic notions - the slow trills (in semiquavers) which are used throughout the section and are characteristic of it since they do not appear elsewhere in the exposition, and the four-beat figure bars 42-3 pft. This bridge has the following structure:- 4 (tonic  $\rightarrow$  chromatic supertonic chord, employing the concerto principle in miniature); this is a statement of the thematic material of the bridge which is then developed thus:- 6 (G minor  $\rightarrow$  Eb minor, closing with an augmentation of part of the second thematic notion) + 8 (on dominant of Bb + link harmony) + 4 (Gb) + 6 (on dominant of Eb). In the first eighteen bars of the bridge the slow trill notion could be said to be the dominant motif, whereas for the remainder it assumes an accompanimental role to the second thematic notion, which is developed in the final ten bars in augmentation. The 10-bar bridge of Op. Posth. i also has two main thematic notions, but here they appear consecutively. The bridge of this work has been classified as having its own material, although the second and more important of the thematic notions is ultimately derived from the accompaniment to the latter bars of the first subject; this derivation is however quite remote. The bridge has  $2\frac{3}{4}$  bars of the first thematic notion, a statement and response shape where the response cadences into the subsequent material, and 7 bars of the second notion in the shape:- 2 (half cadence in C  $\sharp$  minor) + 2 (in

sequence in C minor) + 2 (the sequence continued, in B minor) + 1  
(dominant preparation for the dominant).

The next type of bridge has both its own material and developments of first subject material. This is the other favoured type in these works, with nineteen examples; they appear designated by the letter B in column 1. The first movements of both op. 25 and 26 are clear examples of this type. The latter has two thematic areas in its 26-bar bridge:- bars 27-36 are development of the first subject and this is followed by a new idea 4 + 4 (varied repeat) + 8 (developmental variation of the beginning of the new idea). The former has three thematic areas in its shorter 13-bar bridge. The first of these is a continuation of first subject material, now moving away from the tonic (bars 37-40); the second is a development of the opening of the first subject, with 1 (the rhythmic and melodic shape from bar 1) + 1 (the rhythmic shape only from bar 1) + 1 + 1 (in pseudo-sequence) + 1 (another pseudo-sequence begins); and the third is a flowering from the second in the shape of a 4-bar tune based on scalar motion which (i) was introduced by the second and fourth bars of the second thematic area and (ii) is partially required by the statement in bar 45. 108 iv is in many ways an intriguing bridge-passage. Beginning in bar 17 it extends for 22 bars and is based on both its own material (bars 17-18 et sim) and material from the first subject (bars 19-20 et sim) and from the second subject (bars 33-38). This makes it thematically most unusual if not quite unique (68 i is similar, as we shall see), but tonally it is unique in that it prepares the wrong key of A, which is contradicted by the opening of the second subject in C major.

This leads to consideration of a few bridges which use material from both first and second subject groups. There are six of these, shown in Column 1 as '1&2'. 68 i is a dubious case in that its reason

for inclusion is that the first and second subjects of the movement are based on similar thematicism. The bridge-passage here presents its derived material in a characteristically new guise and concludes with its own cadence (which appears enlarged at the close of the second subject). The categorization of the bridge of 108 iii also needs some explanation in that the movement's  $24\frac{1}{2}$ -bar exposition has no clear second subject and yet cadences in the dominant minor. (This type of exposition is common in the version of sonata form used for minuet and trio type sections). The exposition falls into three roughly 8-bar periods the last of which expands the arpeggio of the second into two elaborate cadences in C $\sharp$  minor; the first such cadence is approached by the submediant german 6th and interrupted, and the second is approached from a chromatic subdominant. The first movements of op. 2 and 5 show clear cases of the type. The former begins in bar 16 with a figure which proves to be an important part of the beginning of the second subject, while bars 23 and 25 et sim. develop the opening idea of the first subject. The bridge of op. 5 i begins in bar 23 by combining the first three bars of the second subject in irregular diminution in the treble with a figure from the beginning of the first subject in the bass; the treble here also has affinities with the first subject.

There are two other methods of transition from first to second subject groups. One is to omit the bridge and substitute, in the case of 40 iv, a 1-bar rest, and, in the case of 60 iv, a continuation and slight alteration of the final chord of the interrupted cadence on which the first subject ends. The other is to make a tonal transition at the close of the first subject, and cases where this is clearly done are 5 iv, 34 i and 115 iii. All these cases show the tonal alteration characteristic of a bridge towards the close of a responsive phrase in the first subject. In 115 iii this phrase is figuratively developmental but of orthodox length (the exposition as

far as the second subject has 10 + 10), in 34 i this phrase is rhythmically developmental (expanding a 2-bar phrase into five bars) and in 5 iv the phrase is developmental in nothing but tonality. The bridge undoubtedly exists in each case but is rhythmically inextricably woven into the first subject. All the above examples are shown in column 1 by the designation 'in 1'.

In column 2 these three examples are again shown as 'in 1'. The opposite extreme in the matter of distinguishing the bridge from the first subject is likely to be found in those movements with bridge-passages based mainly on their own material, and such movements make up the majority of the first of the five broad classes for column 2. This class includes those bridges which begin with new material, and their junction with the first subject is quite clear. 36 i, 51 no. 2 i and 60 i are examples which begin after a perfect cadence in the tonic; and op. posth. i, 101 iv, 108 ii and iv are examples which begin after a half cadence, as also are 2 i and 5 i which begin after a pause in the former and rest in the latter (after half cadences) with material which is new because it is derived mainly from the second subject. Class two comprises those bridges which begin by developing the cadence figure at the close of the first subject, and has 51 no. 2 iv, 68 i, 88 i, 87 iv and 108 i (in all cases but the last the cadence concerned is a perfect one in the tonic). Like class three the junction is usually clear. Class three has those bridges which begin by developing some other part of the subject, 1 i, 2 iv, 8 i and iv in both versions, 34 iv, 38 i and iii, 73 i, 108 iii, 114 i and iv, and 120 no. 1 i. The majority of these cases have the beginning of the bridge following a clear cadence in the tonic, either perfect 1 i, 2 iv and 38 i, or, more usually imperfect. 111 iv has such a bridge following an interrupted cadence. Class four contains those cases where the bridge begins with a restatement of the first subject in the tonic unrequired

by the exigencies of the statement and response syndrome, though this usually suggests some sort of ternary formalism within the first subject (as in 36 iv or 101 i). In this class the bridge is analytically but not aurally clear. Examples of this type of bridge are as follows (each case is followed in brackets by the number of bars of the original subject which remain intact at the beginning of the bridge):- 18 i ( $2\frac{1}{3}$ ), 26 i ( $3\frac{1}{3}$ ), 36 iv (the opening two bars of the subject twice), 67 i (4 bars are expanded from the opening 2), 68 iv ( $1\frac{5}{8}$ ), 78 i (varied), 87 i ( $3\frac{2}{3}$ ), 98 ii (the subject is in transformation), 98 iii ( $5\frac{1}{2}$  melodically intact, 3 harmonically similar), 101 i (1), 111 i (bars  $1^3 - 3^1$  appear with altered harmony and intervals twice in bars  $15^3 - 18^1$ ) and 120 no. 2 i ( $1\frac{1}{2}$ ). Class five contains those bridges in which the tonal alteration takes place within first subject material where that material is structurally attached to the first subject. This class can be seen as having three subdivisions: (i) 5 iv, 34 i and 115 iii, where the first subject material leads directly to the second subject, (ii) 26 iv, 51 no. 1 i and 98 i, where the tonal alteration in the first subject is followed by new material, and (iii) Op. Posth. iv, 25 i, 51 no. 1 iv, 73 iv, 88 iii, 90 i, iv and 100 i, where the tonal alteration in the first subject is followed by old material. Subdivision i is discussed above. Subdivision ii provides some interest in that a case could be made out for regarding new material after the tonal transition as part of the second subject group. This becomes a point for serious consideration in the latter two examples; 26 iv has a very short bridge in which the new material is scalic decoration of a dominant chord of the dominant (bars 81-3). In 98 i the new material is much more substantial: it consists of two thematic notions, (i) bars 45-52 (a statement and response structure) and (ii) bars 53-6 (again with statement and response elements). The grounds for regarding these bars as part of the transition are mainly

harmonic in that they decorate the submediant and the dominant chords in B minor respectively and thus well introduce the beginning of the second subject. Tovey supports this analysis.<sup>1</sup> In the case of 51 no. 1 i the arguments for regarding bars 33-62 as part of the second subject group are much stronger. The nomenclature ultimately matters little, as long as, if we regard this as bridge material, we acknowledge that the bridge here has a much-enhanced status in the field of thematic presentation. These bars are based upon a statement and expanded and variational response syndrome with 8 (Eb minor → Bb minor) + 22 (Eb minor + modulation (including D major) → dominant preparation of a kind for Eb major). Thematically the first four bars of the response are expanded from the first two of the statement, the subsequent four bars of the response are expanded from bars 3 - 4 of the statement, the subsequent four bars of the response are expanded from bars 5-6 of the statement and the final ten bars are new. The analysis as bridge-passage will be favoured by those who feel strongly the modulatory and developmental sides of the passage and the progressive thematicism of the closing parts of the passage. On the other side will be those who emphasize the underlying form of the tonality and thematicism. Knepler supports, in passing, the analysis as bridge.<sup>2</sup> Two examples from class five as a whole call for comment. In all cases save those of 51 no. 1 i and 90 i the tonal modification of the bridge takes place in the response part of a statement and response form within the first subject. In 51 no. 1 i the modification is at the very end of a returning section in ternary form and in 90 i the modification takes place at the very end of the statement part of a statement and response form.

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1. Essays in Musical Analysis, Vol. 1, p. 117.

2. Op. cit. p.77-8.

The classification in column 2 leaves two special cases. 115 i has, after a first subject in statement + expanded response form, a further binary form of 7 + 7 (where the first phrase is new material in the tonic → half cadence, and the second has a contracted response + link material to the second subject; tonal modification begins in bar 4 of the response, and the two phrases are overlapped by one bar). If this latter binary form is regarded as wholly bridge material then this case belongs to Class one, above; viewed otherwise it could belong to Class 5 (a); either view has some justification. Here the former terminology has been adopted on the grounds of (i) the obscure nature of the overlap (the cello has bar 1 of the melody of the response in bar 31) which means that the binary form is not clearly audible and (ii) the developmental nature of the thematic material. 99 i has the same form for its first subject as 115 i, and the variation ends, according to its own logic, at the beginning of bar 21. The rhythmic structure of the bridge is best seen if we regard the bridge as being overlapped by one bar with this variation (the bridge then having 2 + 2 + 2 + 4 + 4); the opening thematicism of the bridge is taken from bar 18-19<sup>1</sup> - this is obvious save for the last note of 19 beat 1 which is the beginning of a subsequent phrase. This note is added in bar 21 (second quaver) and the same process of addition provides the cello note in bar 22. The difficulty of classification lies in the following facts (i) the variation in the first subject could be regarded as ending either at bar 21 or at bar 25 (the first depending on a certain logic and the second depending on the close of the thematicism) and (ii) tonal alteration does not come until bar 26. Thus the case is strong for regarding the bridge as beginning at bar 26; we have preferred here however the alternative explanation (added force is given to this if bars 26-9 are seen as the extended ending of a phrase beginning in bar 24), and have placed the bridge in class two above.

Column 3 seeks to show those bridges which have an unusually formal thematic approach; a formal harmonic approach is clearly not possible. There will always be a certain structure in the phrases - see 68 i - but we are concerned here with an overall form. Such form occurs in very few cases and it is always binary; some of the examples are the short bridges of 2 iv, Op. Posth. iv, and 87 iv. There are no cases of contrast forms such as ternary or rondo.

Just over half the movements here discussed have a bridge which is less than half the size of the first subject, while ten of the movements have a bridge the same size or greater than the first subject. In well over two-thirds of the movements the bridge is less than half the size of the second subject. In five cases the bridge is the same size or greater than the second subject, but the majority of these are in inside movements. 28 of these bridge passages take between 10% and 20% of the exposition space; those under 10% are marked in column 4, with S and those over 20% with L.

The tonal purpose of the bridge-passage is to establish or introduce the new key for the beginning of the second subject. Some establish - often by emphasizing or modulating to the dominant of the new key (as for instance 36 i or 68 i), others introduce (such as 18 i or 108 iv). The bridges arrive at the new key by various degrees of directness (among the most direct are 87 iv and 90 iv); the more indirect ones are shown in column 5 of table 9 by the letter I. 73 iv is an example of an indirect bridge in that, after a chord of the dominant of the dominant in bar 60, the following few bars are in F major, the phrase ending in an interrupted cadence in that key. 90 i also has an intermediate key suggested - that of Db major. For a fuller analysis of another tonally indirect bridge see that of the bridge of Op. 51 no. 1 i supra. A very short example of an indirect bridge is that of 67 i which is included because the new key is approached from

its neapolitan key. Two other features of tonality deserve to be mentioned here: (i) the use of quick modulation - which of course makes the establishment of a new key easier (such occurs in Op. Posth i, 36 iv, and 73 i and 88 i albeit in the latter two examples after the new key has been introduced) and (ii) the use of the scalic bass, which is an important feature in 68 i and 73 iv (where it moves in both directions), and also occurs in 18 i, 60 i (in the latter stages of the bridge), 87 i, 90 iv, 100 i and 114 i.

#### The Second subject group.

The six columns in table 10 ask the same questions concerning the second subject group as were asked in Section 1 of this Chapter concerning the first subject group. Most of the second subjects here considered have a diverse thematicism (as may be seen from column 2) and they tend to include in the one subject lyrical and less lyrical or actually terse thematic areas. An example of this very common procedure is 73 i; this shows at bar 82 a flowing subject initially on the cello (marked cantando) and the group progresses with a more energetic short-breathed theme at bar 118 (staccato, ben marcato). The order of this variety in this example seems significant in that a second subject group is more likely to start lyrically and move to more terse material than the other way round (further examples are 34 iv, 90 i and 98 i), although the opposite progression is found in such cases as 8 i version 1, 38 i and 60 iv. This diversity of material as the rule for second subject groups will explain why there are so few subjects which are entirely lyrical or entirely terse. Subjects which we have shown in column 1 as being wholly terse are not only few in number but also subject to qualification. Two of them, 5 iv and 108 ii, belong to slow movements using a small version of sonata form, and the other, 2 i,

TABLE 10: Some Features of Second Subjects in Sonata Form.

		Lyrical- terse	Unified- diversified	Formal- progressive	Mainly presentational -developmental also	Short- long	Tonally unified- tonally diversified
1	i		D ii	F (binary)	D		
2	i	T	D ii	F (ternary)	D		D (t)
	iv		D ii		D		D
5	i		D ii			S	D
	iv	T	U	F (binary)			
Op. Posth.	i		D iv				
	iv		D ii	F/p (ternary)		L	D (t)
8 version 1	i		D iii				D (t)
	iv	L	U	F (ternary)	D		
	version 2		D ii	F (ternary)	D	S	
	iv		D ii				
18	i	L	D iv				
25	i	L	D v		D	L	D
26	i		D iv	P/f(ternary)			
	iv		D iii				
34	i		D ii		D	L	D
	iv		D ii		D		
36	i		D ii				
	iv		U	F (binary)	D	S	
38	i		D ii		D	S	D
	iii		D ii	F (binary)	D	S	
40	iv		D iii		D		D
51 no. 1	i		U/d		D	S	
	iv		Diii		D		
	no. 2		D ii		D	L	
	iv		D vi				
60	i		U/d	F (variations)			
	iv		D ii				
67	i		D iv		D	L	
68	i		D ii			S	
	iv		D ii		D		D

TABLE 10: contd.

	Lyrical- terse	Unified- diversified	Formal- progressive	Mainly presentational -developmental also	Tonally unified- Short tonally -long diversified
73 i		D iii	F (ternary)	D	D
iv		D iii		D	
78 i		D iii		D	D (t)
87 i		D iv	P/f (ternary)	D	
iv		D ii		D	D
88 i		D iv	F (binary)		D (t)
iii	L	D ii			
90 i		D ii		D	D
iv		D ii		D	D
98 i		D iii		D	D
ii	L	U/d		D	S
iii		U/d			
99 i		D iii		D	D
100 i		D iii	P/f (abac)		D (t)
101 i	L	U/d	P/f (binary +coda)		
iv		D ii		D	
108 i		D ii	F (rondo)		
ii	T	D ii			S
iii		U/d	F (binary)		S
iv		D ii	P/f (AbCb <sub>2</sub> )		L D
111 i		D iii			
iv		D ii		D	
114 i	L	D iii			D
iv		D ii			
115 i		D iv		D	
iii		U (with var.)	F (binary)		
120 no. 1 i		D iii		D	D
no. 2 i		D ii		D	

belongs to Brahms' 'Sturm and Drang' period. Terseness as the ethos of the second subject group is thus a rarity and in this sense Brahms' practice conforms with the traditional criticism referred to at the beginning of this Chapter. Of the seven movements shown as having solely lyrical second subject groups three have unity of thematic material and the rest diversity (including the large groups of 18 i with its four separate themes and of 25 i with its five separate themes). 101 i is a notably beautiful example of the lyric second subject: it consists of a clearly-phrased, long-breathed melody beginning in bar 38 (*f*, *ma cantando*); the tune is overlapped with a varied repeat of itself and the final cadence is extended and evolved into new cadential material. In modification of traditional criticism it should be said that by no means all second subject groups have notably lyric elements; a lack of smoothness in the flow of the melody (as in 115 iii) or a shortness of phrase (as in parts of 88 i) makes for an intermediate ethos.

In Column 2 of Table 10 the same classification is used as was used in Column 2 of Table 8. Far fewer second subjects than first subjects show a basic unity: four second subjects appear in the Column as U and six appear as U/d. Of the former group (having a basic unity of material) 5 iv has a very short subject in a slow movement, 8 version 1 iv has a ternary form with middle development (and a developmental coda), 36 iv has a binary form with the second half including development and 115 iii includes a decorative variation. The group of subjects marked U/d (having appreciable diversity within a basic unity) includes those of op. 51 no. 1 i, 60 i, 98 ii, 98 iii, 101 i and 108 iii. The second subject of op. 60 i, with its theme + variations form, has already been discussed in Chapter 2 p. 33-4. From this discussion will be seen that an important new accompanimental motif is introduced in variation 2;


this adds to the diversity of the subject within its basic unity. The short second subject of 108 iii is included here because (as with a number of first subjects) it opens with a period having two motific areas. The other subjects in the present group employ a technique which might be called motific evolution: while the close of the subject is clearly different from its beginning the process of change is gradual. Thus the motif in the second half of bar 49 of op. 98 ii which is repeated and then fragmented in the subsequent bars, derives rhythmically from bar 48 and melodically from such figures as those appearing in bar 42. In 98 iii the smooth crotchet ending to the second subject in bars 76-84 is related to the opening of the subject by an intermediate simplifying variation of the opening. The second subject of 101 i has already been discussed in Chapter 4 p. 82: a new cadence figure appears at the end of a varied repeat of a clearly structured melody and this cadence is subsequently much expanded. 51 no. 1 i presents an intriguing example of motific evolution. The second subject is from bars 62<sup>3</sup>-74: a characteristic accompaniment rhythm is used for bars 1-4 only (having been used in the bridge and as a short introduction to the present subject) over which a short motif is melodically expanded in a progressively faster motion until continuous quaver motion is established in bar 5 of the subject; the quaver motion has such figures as 68<sup>1</sup> and <sup>3</sup>, 70<sup>1</sup> and <sup>3</sup>, 71<sup>2</sup> directly related to the opening motif, but these are interspersed with unrelated arpeggii (the arpeggii are suggested by parts of the initial melodic expansion, 65<sup>2</sup> for instance). The underparts have a transformation of the opening motif from bar 70<sup>3</sup> onwards.

The majority of subjects however show a definite diversity of thematic resource. This diversity may use various sizes of thematic unit. 2 i and 8 version 2 i show formal subjects with two distinct

thematic figures; in each case the second of these is made the basis for development after which the first returns with some force. The figures involved are short: 2 i has  $1\frac{2}{3}$  overlapped with  $1\frac{2}{3}$  bars and 8 version 2 i has  $2(1 + 1) + 2$  bars. The subjects 88 i and 98 i part three both show a diversity of material in which the constituents are somewhat larger. 88 i has initially three thematic notions with the proportions  $4 + 4 + 4$  and the theme 98 i part three of the second subject (beginning in bar 107) has initially two thematic notions with the proportions  $3 + 4$ . The largest distinct thematic units involved in diverse second subjects occur in those subjects which are a group of more or less self-contained tunes, as in 18 i and 25 i. In the former, four tunes appear consecutively each being given a repeat which is varied in different ways; the structure of the whole subject group is:  $8 + 16 + 9 + 9 + \text{link } 4 + 4 + 4 + 8 + 8 + 7$ . 25 i has five large tunes for its second subject group, which shows the following structure:  
 i  $4\frac{1}{2} + 4\frac{1}{2} + 9$  (a repeat) + 11 development of the final bar + ii  
 8 ( $4\frac{1}{2} + 2 + 1\frac{1}{2}$ ) +  $5\frac{1}{4}$  development of the first phrase + iii 9 + iv  $12\frac{1}{2}$   
 + v  $7 + 10$ . A subject showing distinct tunes may have them linked by a common feature such as the use of the rhythm  $| \cdot \cdot |$  or its variant  $| \cdot \gamma \cdot |$  in the four tunes of the second subject of 18 i, and the use of the rhythm  $| \cdot \cdot \cdot |$  in each of the three tunes of the second subject of 78 i. 25 i has tunes 1-3 linked by their similar uses of scale at their beginnings.

Subjects may of course show diversity on more than one of these levels: 34 i for instance has basically two themes, of which the first begins (in bar 35) with the distinctions of  $4a + 2b + 2c$  and the second begins (in bar 74) with the figures  $2x + 1y + 1z$ . 98 i has as second subject three presentational areas of which the first is a unified binary tune, the second shows a small-scale ternary form and the third

a binary form with discrete halves.

Column 2 of Table 10 seeks to show the thematic diversity of a subject on the largest level in which it appears in each subject. Thus the designation D ii includes subjects which have such different amounts of thematic richness as 2 i and 68 iv; it should be said however that only a few subjects show only small-scale diversity. Diversity in the second subject can stretch from the two prime thematic areas of 90 iv, through the three of 111 i, the four of 18 i, to the five of 25 i and the six of 51 no. 2 iv. Subjects with two or three such areas are commonplace, while the higher numbers are rarer. Although 51 no. 2 iv can be said to have six thematic areas, important interrelations between them do occur and the whole subject is not unduly extensive. The subject group is of 56 bars in C major throughout (with some chromatic colour) and it has two definite perfect cadences in that key, the first after the end of the third thematic area and the second at the end of the period. The group begins with a 10-bar tune over a dominant pedal; the rhythm of bars 8<sup>3</sup> → 9 is the important feature of the following two thematic areas. Area two is of 8 bars (4 unadorned characteristic rhythm + 4 with a filling). This area acts almost as an anacrusis to area three, another eight-bar period (2 + 2 + 2 + 2) where the first bar uses the  characteristic rhythm, the second bar being in pseudo-sequence, and where the second 2-bar phrase is based upon the opening bars of the movement and is immediately repeated with altered harmony, and the final bars are cadential (1 + 1). The cadence leads into area four which is another new tune of 4 bars. It is followed by area five, which consists of quaver motion in a close concerto texture and is also of 4 bars. The two areas are repeated 4 (area four with new inverted texture) + 4 (area five also inverted), and this is followed by area six, of 14 bars which is based on the

accompaniment figure in area one presented in two textures: 4 + 10 (a syncopated augmented expansion).

The fecundity of most second subject groups as emphasized in the discussion so far is usually found with and emphasized by a lack of overall formal organisation within the subject group. Only 19 of the subject groups under discussion have any kind of overall form and some of these show only a weak formalism. Of the 10 subjects showing binary form three are from inside movements and are small-scale subjects. The remainder show either quite a coherent structure, as in 1 i (with its two tunes in the format i + ii + i developed + ii where the last occurrence of ii is after the big cadence in the key of the group and acts as a link to a repeat of the exposition or the development section) or a form with very important progressive aspects, as in the abac shape of 100 i or the most interesting AbCb<sub>1</sub> shape of 108 iv. In this latter the b elements, subordinate to the other elements in size, are striking transformations of material from the A section. The expanded response in 38 iii is not without interest. The whole subject is of 23 bars and takes the unusual form of: 6 (a statement of the principal motivic fragments which make up the complex whole of the subject:- 2a, the first phrase of countersubject i from the first subject twice in LH, in canon in RH by inversion around the 5th, G major + 2b, a new version of the first three notes of 'a' repeated and with a new continuation, in B minor + 2c, two identical bars comprising a characteristic working of the final three notes of b, also in B minor) + 11 (an extended variation of the foregoing presentation, which is not only a rhythmic variation but also an harmonic one, thus:- 2a, now in B minor, the counterpoint interchanged between RH and LH + 4b, once on the cello, ornamented, followed by a repeat on the pft, G major + 5c (2 + 3) in G major); the cadence to this phrase is followed by development of the figure formed

by the last three notes of the pft part of bar 66 in the format 2 + 4, each phrase ending with a positive G major cadence.

Ternary based forms are also used, appearing in seven subject groups. Perhaps the clearest case of this is in Op. Posth iv, with a well-contrasted middle section; progressive elements are present however in the new material which is used in the returning section. A plan of the second subject is: -i 8a + 8a (exact repeat) E major + ii 18b (11 + 7, C $\sharp$  minor) + 18b (with alteration of harmonic detail at the opening, and of harmonic structure in the final bar  $\rightarrow$  E major) + i 6a (E major) + 6c + 8a + 10d ( $\rightarrow$  E major). In 8 iv version 1 the middle of the 90-bar subject is a development, following a first part of 24 bars ending in the tonic; the recapitulation has a coda development added. 8 i version 2 is very similar (with a first part ending in the tonic and a middle development) but here the expansion of the recapitulation is more integrated than in the previous example. 2 i has a relatively longer development than either of these examples and the return of the opening is thematically, but not tonally, changed. A weaker ternary form is apparent in 73 i, 26 i and 87 i. In the first case the subject ends with a shortened version of its opening in a new tonality, after two other thematic areas. In the second case the subject can be said to have four thematic areas the last of which is an 8 + 10 bar tune, a thematic reminiscence in a new structure of a small part of the first thematic area. In 87 i the exposition concludes with a codetta development of the opening of the second subject group. There are two other forms used in the second subjects under consideration, the theme and variations of 60 i, which has already been commented upon, and the specialized rondo of 108 i.

The uses of development in second subject groups fall into the three broad types which were found in first subjects. A distinct

developmental passage may appear between two themes, or development may appear as part of a closed form, or development of motif may be an integral part of the thematic material. To these uses must be added two others: the appearance of development at the end of a subject group and the evolution of motific material.

Examples of subjects with distinct development between two themes are: 25 i (at bars 68-78), 51 no. 2 i (bars 82-104), 68 iv (bars 128-148), 73 iv (bars 98-113 and 122-141), 78 i (bars 44-60), 87 iv (bars 31-42), 90 i (bars 49-60), 90 iv (bars 62-74), 98 i (bars 73-90) and 99 i (bars 46-51). Subjects which include a developmental response in an internal binary form which also leads to a subsequent theme may be found in 2 iv (the response being at bars 80-94), 34 i (bars 47-74), 38 i (bars 66-77), 40 iv (bars 53-67), 67 i (bars 39-57), 73 i (bars 131-155) and 120 no. 2 i (bars 28-39 and 44-47). Further uses of the developmental response may be found in subjects which either consist overall of a binary form or use the statement + expanded response at their ends. Examples of the former are: 1 i (with the response at bars 60-89 of which bars 64-75 and 80 onwards are developmental), 36 iv (the response being bars 38-51) and 38 iii (the response being bars 59-75), and examples of the latter type are: 68 iv (bars 156-183) and 98 i (bars 114-136). The featured developmental passage in the second subject may be the middle of a ternary form, as occurs in 2 i (at bars 51-58), 8 version 1 iv (bars 129-152) and 8 version 2 i (bars 84-95). The final return of a in the specialized rondo of the second subject of 108 i is developmental (bars 74-83). The featured developmental passage may be a tail development as in 34 iv (bars 125-161), 67 i (bars 85-102), 101 iv (bars 66-84) and 111 iv (bars 65-72). In this latter example the development is used to combine developmental versions of two previously separate themes in the second subject. In some

subjects the developmental passage has almost the force of a presentational area; this is possible when the development assumes and maintains a distinctive shape. Examples may be seen in op. 51 no. 1 iv (bars 58-69) and in 115 i (bars 59-62 and bars 63-69). The developmental passages within the second subjects do not necessarily restrict themselves to second subject material; material from the first subject makes an appearance in 78 i (bars 53-59), 90 i (bars 49-60) and 101 iv (bars 68-9 and 71-2), and material from the bridge makes an appearance in 51 no. 1 iv (bars 58-69), 98 i (bars 73-90) and 114 iv (bars 54-57).

Examples of motific subjects may be found in 26 iv part two, 36 i part two, 38 iii, 60 iv part one, 68 i throughout, 87 i parts two-four and 111 i part three. The evolution of motifs has been discussed above. Shown in Table 10 column 3 are those subjects in which any of the above procedures is an important technique.

With regard to length in the second subjects, in two cases the second subject is shorter than the first subject and the bridge considered separately (51 no. 1 i and 108 ii). 38 iii shows a second subject shorter than the bridge but longer than the first subject, and there are thirteen cases where the second subject is shorter than the first subject but longer than the bridge (of which 36 i is an example). 2 iv has the second subject as long as the first, both being longer than the bridge. There are fourteen cases where the second subject is longer than both the bridge and the first subject considered separately but not longer than them considered together (included here is 73 iv, with the proportions 47 + 30 + 77 bars). The remaining 28 cases show a second subject longer than the first subject + the bridge. According to the analyses adopted in the present work the average proportions of the first subject + bridge + second subject expressed in percentages are: 34 + 17 + 49. In Table 10

column 5 appear marked with S those second subjects which take 35% or under of the total space of the three areas, and marked with L are those second subjects which take over 60% of the total space of the three areas.

Subjects shown in Column 6 of Table 10 as being tonally diversified fall into two classes: those subjects which have a ternary tonal organisation with a middle key of some importance (either because of length or because of the presentation of new thematicism therein) and those subjects which show a progressive tonality and which are part of a basically three-keyed exposition. Subjects belonging to the first type are shown by the symbol D (t); all six of these subjects show relationships based on the third (2 i and 100 i have the diatonic mediant, 78 i has the mediant major in a major key, and op. posth. iv, 8 version 1 i and 88 i have the diatonic submediant). Sixteen subjects have a progressive tonal structure, of which eight have simply an alteration of mode (minor to major in 2 iv, 25 i, 34 i, 38 i, 40 iv and 98 i and major to minor in 90 i and 90 iv). The remainder of the subjects showing progressive tonality have a change of key-note. Often the two keys here show relationships based on the third (68 iv G → E m, 73 i F# m → A, 87 iv E m → G, 99 i C → A m, 108 iv C → A m and 114 i C → E m), but two cases do not have such relationships: 5 i with Ab → Db and 120 no. 1 i with Db → C m.

Brahms may close the exposition with a cadence to the second subject overlapped by the beginning of the development (as in 38 iii or 88 iii), or the cadence at the end of the second subject may be unoverlapped (as in 5 i, op. posth. iv or 101 iv - a half cadence in the latter example). His favourite way of closing the exposition is with the cadence to the second subject followed by a link passage; this link may be based on the first subject (as in 18 i and 51 no. 2 i)

on the bridge (as in 8 version 2 i) or on the second subject (as in 2 iv or 40 iv). Sometimes the cadence at the close of the second subject is in a key other than the tonic of that subject; in other words the link process is transferred to inside the second subject (this may be seen in op. posth. i or 26 i). Rarely there is no important cadence at the close of the second subject group, but such a procedure may be seen in 36 iv, 67 i 87 iv, 90 iv and 108 iv. Just as rarely Brahms follows the cadence to the second subject group with a return of material in a passage more important in purpose than a link passage. Such occurrences we may call codettas and they occur in 25 i, 34 iv, 60 i, 68 i, 87 i and 120 no. 2 i. All these codettas save that of 87 i have material from the first subject in a cadentially developmental guise, and all save 34 iv and 68 i begin and end in the key of the close of the second subject group. 34 iv forms a link to a return of the first subject but may be distinguished from a simple link by its intermediate cadence in its own tonic. In 68 i the codetta has its own key (a minor version of the tonic of the second subject). 87 i is the only example which shows a return of second subject material in the codetta; the codetta is a 14-bar decoration of the dominant chord (of the work) using a development of part one of the second subject. 120 no. 2 i is the shortest of these codettas with 4 bars; it is not a true link passage because it remains in the dominant of the work until the interruption of its cadence with a tonic minor 7th in that key. The codetta of 60 i is of 12 bars, that of 87 i 14 bars, that of 34 iv 21 bars, that of 25 i 31 bars and that of 68 i 32 bars.

#### Section 4: Some Aspects of the Exposition as a Whole

It now remains to investigate the overall tonal schemes of the exposition and to note pressures for thematic unification within the exposition.

Of the 59 movements here considered 29 are in major keys and 30 in minor keys. Table 11 shows the relationships of the important tonalities in the exposition as a whole. The table is self-explanatory.

Thematic unification or the use of deep and intricate relationships between superficially different themes is a very important part of Brahms' technique. Important sources for the discussion of this are Urbantschitsch 'Die Sonatenform bei Brahms' chapters 5-7, Reti 'The Thematic Process in Music' (especially pp 78-81) and Mitschka 'Der Sonatensatz in den Werken von Johannes Brahms' at the beginning of chapter 2.

The unification of disparate thematic elements by motific means is one of Brahms' chief glories in his handling of sonata form, and may be seen in works from every stage of his creative life. Here we shall take as examples the first movements of the Third Piano Sonata and the Fourth Symphony. Table 12 shows parts of the main themes of the expositions of these two works. (If such motific unity is apparent in the exposition of a movement, it will also appear in the remaining sections.) It may be seen from the extracts from op. 5 i how each theme after the opening is related to the opening. The underlying unity of op. 98 i is perhaps more complex. Here the opening theme is based primarily on the interval of the third (using also its inversion, the sixth) and has at its beginning the notes B G E C. It is possible to maintain that this figure is a basic motif present in all the other themes. Sometimes the motif appears straightforwardly as in the second bridge theme, sometimes it underlies a theme as in part one of the second subject, sometimes the semitone created by notes 1 and 4 appears separately as in bar 3 of bridge theme one, and often the interval of the third appears decorated by a passing-note. In Table 12 the whole motif is called a, the

TABLE 11: Concerning the Main Key-centres of the Exposition

- i Movements in major keys which do not have the dominant as a secondary tonality in the exposition:
- a) Expositions with basically two key-centres:  
1 i (C, A m), 8 i version 2 (B, G# m), 88 i (F, A),  
88 iii (F, A).
  - b) Expositions with three key-centres:  
8 i version 1 and 90 i.
- ii Movements in major keys which have three-keyed expositions:
- a) Expositions with progressive tonality in the second subject area:  
40 iv (Eb, Bb m, Bb), 68 iv (C, G, E m), 73 i (D, F# m, A),  
87 iv (C, E m, G), 90 i (F, A, A m), 99 i (F, C, A m)
  - b) Expositions with ternary tonal organisation in the second subject:  
Op. Posth. iv (A, E, C# m, E), 8 i version 1 (B, G# m,  
E, G# m), 78 i (G, D, B, D), 100 i (A, E, G# m, E).
- iii Movements in minor keys which do not have the relative major as a secondary tonality in the exposition:
- a) Expositions with basically two key-centres, all using the dominant:  
2 i (F# m, C# m), 5 iv (Bb m, F m), 8 iv version 1  
(B m, F# major), 34 iv (F m, Cm), 101 iv (C m, G m),  
108 iii (F# m, C# m), 115 iii (B m, F# m)
  - b) Expositions with three key-centres:  
All those listed below save for 2 iv, 68 i and 114 i
- iv Movements in minor keys which have three-keyed expositions:
- 2 iv (F# m, A m, A), 5 i (F m, Ab, Db), 25 i (G m, D m  
D), 34 i (F m, Db m, Db), 38 i (E m, B m, B), 68 i  
(C m, Eb, Eb m), 90 iv (F m, C, C m), 98 i (E m, B m, B),  
108 iv (D m, C, A m), 114 i (A m, C, E m), 114 iv  
(A m, A, E m), 120 no. 1 i (F m, D b, C m).
- v Appendix:
- a) Those major movements using the dominant as the secondary tonality in a two-keyed exposition:  
Op. Posth. i, 18 i, 26 i and iv, 36 i and iv, 67 i,  
73 iv, 87 i, 98 ii and iii, 108 ii, 111 i and iv,  
120 no. 2 i
  - b) Those minor movements using the relative major as the secondary tonality in a two-keyed exposition:  
8 iv version 2, 38 iii, 51 no. 1 i and iv, 51 no. 2 i and iv,  
60 i and iv, 101 i, 108 i, 115 i.

TABLE 12: THEMATIC UNIFICATION IN THE EXPOSITIONS OF OP. 51 AND 981

Op. 51 bar 1

bar 7

bar 23

bar 39

bar 56

Op. 981

bar 1

bar 45

bar 53

bar 57

bar 76

bar 80

bar 90

bar 95

bar 107

bar 133

part of a

interval of the third  $x$  and the semitone  $y$ . Some of the manifestations of the motif and its constituents shown in the main themes of the exposition are indicated in the table.

Of the 59 sonata form movements discussed in this present Chapter, 26 have repeated expositions. Of these 26, 20 are first movements, 5 last movements (2 iv, Op. Posth. iv, 36 iv, 40 iv and 60 iv) and one is a third movement (108 iii). Of the 33 movements without a repeat of the exposition, 12 are first movements, 16 last movements, 3 slow movements and 2 are third-movement types. From these figures may be deduced that Brahms prefers within the sonata/symphony tradition to repeat the exposition in first movements, prefers not to do so in finales and third-movement types and does not repeat the exposition in slow movements. Beyond this there seems to be no obvious principle involved in the choice between whether to repeat or not: both long and rich expositions are repeated (18 i, 34 i, 115 i) and are unrepeated (25 i, 51 no. 2 iv, 98 i) and less long and rich expositions are unrepeated (87 iv, 108 i, 120 no. 2 i) and are repeated (2 iv, 36 iv, 108 iii). Even if the choice were somewhat arbitrary in Brahms' mind at least he exercised choice and the repeat marks should be observed in performance.

CHAPTER 6: SONATA FORM - THE RESPONSESection 1: Methods of bringing the Development and RecapitulationSections into a closer Relationship

In twelve of the 59 movements under discussion Brahms brings his development and recapitulation sections into a closer relationship than normal by the application of two or three special techniques. These techniques are the displacement of the development, the omission of material from the recapitulatory process at the point at which the development occurs, and the limitation of the thematicism of the development.

In the first of these techniques the development is preceded by part of the recapitulation; in all cases this part of the recapitulation does not extend beyond the first subject. The amount of first subject recapitulated before the development is usually quite small but in two cases it extends to 38 bars. A list of the twelve movements follows with, after each movement, the number of bars of recapitulation which appear before the development process begins: 8 iv version 2 (38 bars; although developmental processes are applied during the latter stages of these bars the music remains in the tonic), 25 i (10 bars), 26 iv (38 bars, being a compression of an equivalent 52 bars of the exposition), 34 iv (13 bars, being an expansion of an equivalent 12 bars of the exposition), 51 no. 1 iv ( $2\frac{1}{2}$  bars), 68 iv (15 bars), 90 iv (26 bars, being an expansion of an equivalent 18 bars of the exposition), 98 ii (14 bars), 98 iii ( $5\frac{1}{2}$  bars), 101 i (6 bars, being an expansion of an equivalent 4 bars of the exposition), 108 iv (16 bars, bars 1-3 being transposed) and 114 iv (12 bars, the final bar acting as the beginning of the development).

Some of these movements have the recapitulation resuming after the development at that point at which it was abandoned prior to the

development; this happens in three cases - 25 i, 101 i and 108 iv. In the other nine movements there is an omission of exposition material from the recapitulation process at the point of insertion of the development section. The amount in each case can be seen as:- 8 iv version 2 - 26 bars (the bridge-passage), 26 iv - 18 bars (being part of the first subject), 34 iv - 26 bars (being part of the first subject), 51 no. 1 iv -  $29\frac{1}{2}$  bars (being the first part of the first subject), 68 iv - 29 bars (1 bar from the end of the first subject + 16 bars, being the whole of a repeat of the first subject, and 12 bars from the bridge-passage), 90 iv - 14 bars (1 bar from the end of part one of the first subject and the whole of part two of the first subject), 98 ii -  $17\frac{1}{2}$  bars (11 from the first subject and  $6\frac{1}{2}$  from the bridge-passage), 98 iii - 4 bars (part two of the first subject, which recurs in any case later in the recapitulation) and 114 iv - 4 bars (being part of part one of the first subject).

In all the twelve movements under discussion Brahms limits the thematicism of his development section either to those themes which immediately surround the development or to that part of the thematicism which is omitted from the recapitulatory process. The three movements which show no such omission obviously belong to the first type (the developments in 25 i, 101 i<sup>1</sup> and 108 iv are limited to treatment of the first subject); so do also 98 iii and 114 iv wherein the developments are limited to the first subjects, but have a greater range within the first subjects than the range of the very small omission in each case. In the remaining movements (save for 98 ii, which will be discussed below) the development, basically treating of the omitted thematicism,

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1 101i is a peculiar case in that although there is no omission at the point at which the development breaks into the recapitulation, the second theme of the first subject is omitted from the recapitulation at a later stage.

substitutes in a real way for the recapitulation of that thematicism. In these examples the development can be seen as a process at work within the recapitulation, expanding the normally ordered restatement of material; here the conflation of development and recapitulation reaches its highest degree of integration. These examples are 8 iv version 2, 26 iv, 34 iv, 51 no. 1 iv, 68 iv and 90 iv. In all but 8 iv version 2 and 68 iv the limitation is to first subject material; in 68 iv it is somewhat to first subject material but mainly to bridge material, and in 8 iv version 2 it is to bridge material. The limitation is more strictly applied in some cases than in others. 68 iv for instance has material from the introduction used in its short development of the first subject and a figure from the first subject introduced in its long development of bridge material, whereas 26 iv has a simple expansion of first subject material without any intrusions of other material. In 98 ii the development is limited to less material than is omitted, so in a sense the omission is excused by an over-limited development; this is a special case.

The variety of detailed application of these techniques can best be seen by closer consideration of some selected examples. We shall take one example showing no omission from the recapitulatory process with the development limited to its immediate surroundings (108 iv), one example showing omission from the recapitulatory process with the development limited to the omission and its immediate surroundings (114 iv) and one example showing omission from the recapitulatory process with the development limited to the omission (26 iv). We shall then pass to consideration of the special cases of 98 ii, 68 iv, 51 no. 1 iv and 8 iv version 2. In 108 iv the response section of the Sonata form begins at bar 114 with the 16 bars of the first subject (with bars 1-3 transposed), which precede a 64-bar development with the following plan:- 4 (link, by augmentation of the previous cadence)

+ 24 (fugato, with the 8-bar subject a simplification of bars 5-10 of the first subject + a new continuation which expands the semitone by repetition, and with the regular counter-subject using the rhythm of bars 96 ff and hints of melodic shape from there and the opening of the second subject) + 18 (based initially on bars 147<sup>2</sup>-149<sup>2</sup>, being the close of the fugato subject, its countersubject and a chromatic descending bass, for 3 + 3 + 2 + 6, and this followed by four bars from bars 5-8 of the first subject) + 18 (having 5 + 6 + 7 where each phrase begins with the last 1½ bars of the first subject's second phrase (i.e. bars 7<sup>2</sup> → 8) extended by half a bar, and where each phrase continues with development of the fugato counter-subject). The recapitulation resumes at bar 194 with the opening of the bridge-passage. In 114 iv the response section of the Sonata form begins at bar 66 with 12 bars of part one of the first subject. The last bar of this is also the beginning of the 39-bar development, which is based on the arpeggio from the first subject (bar 2 or bar 12) and, later, bars 1-2 of the second theme of the first subject. The development has:- 2 + 2 → F major (the interval of the third fragmented from the arpeggio and repeated, with imitation) + 4 (based on the third → D minor, half cadence) + 4 (response → F major, with new arpeggiatic accompaniment) + 4 (a further new rhythm for the third fragment → Db) + 4½ (response → A major) + 4 (another new shape for the fragmented arpeggio, A major) + 3½ (repeat, with altered harmony). So far is based on part one of the first subject; the remainder is based on the second theme of the first subject: 2 (fragment A major with a subdominant lean) + 2 (a repeat with varied melodic rhythm and harmonic detail) + 2 (the opening two bars of this period in sequence on G) + 2 (a repeat on F with the melodic alteration as before) + 3 (an augmented repeat with altered harmonic detail + link harmony). The

recapitulation resumes at bar 116 with the second theme of the first subject, and thus 4 bars are omitted from the recapitulatory process, being the close of part one of the first subject. The response section of the Sonata form in 26 iv begins at bar 205 with 38 bars of recapitulation. This recapitulation is up to half-way through the binary form of the first subject, or bar 52 of the original exposition, with omission and alteration, and it is succeeded by a development of 69 bars which substitutes for the second half of the binary form. This has:- 8 (bars 1-8 of the first subject tonally expanded but rhythmically intact; A minor → C major → its dominant; a new countersubject is evolved from the subject itself) + 8 (the same; C minor → Eb → its dominant) + 12 (development by fragmentation of the foregoing; Eb minor + E minor → C major) + 21 (4 + 4 + 4 + 3 + 3 + 3 a fragmentation of the first subject bar 2, C major + modulation → A minor) + the first subject theme two (bars 33 ff) stated, 4 (as in the response bars 221 ff but transposed into A minor) + 16 (an internally expanded repeat; bar 3 expanded by fragment-repetition and distortion for an extra 5 bars, and bar 4 expanded by fragment-repetition and a new descant for an extra 7 bars; basically A minor). The recapitulation is resumed at bar 312 with the coda part of the first subject. 98 ii is in a class of its own, it will be remembered, because not all the exposition is represented (either by development or by recapitulation). The responsive section of the form begins at bar 64 with the first 14 bars of the first subject (without introduction) as previously but with new figuration in the final four of these bars, which leads into + 6, a new development (of the first subject, continuing the development started by the first subject's own developmental passage). The recapitulation is resumed at bar 84 with the second part of the bridge transposed and slightly altered.

68 iv must be included in the special cases to be considered because, unlike all the other examples, the conflation of development and recapitulation is further enhanced by the fact that the development as a process acts not once but twice. The first subject begins the response section of the form at bar 186; its ending is slightly extended and leads, instead of to the repeat of the first subject as it appears in the exposition, to a development of 16 bars (8, being 4 from the beginning of the first subject, in Eb major + 4 from the introduction, in Bb minor; + 8, being 4 from the beginning of the first subject, in B major + 4 from the introduction, in B minor). The bridge is then recapitulated for its first 12 bars (4 + 4 + 4), and this is followed, after a further 2 bars added to the previous phrase, by a development of 68 bars, which substitutes for bridge-theme ii (8 bars) + bridge-theme iii (4 bars) with a development of bridge-theme ii (and a figure from the first subject) of 45 bars, and a development of bridge-theme iii of 23 bars. The tonality has more reappearance of the tonic of the movement during this development than would be expected in more normal movements, as can be seen from the following plan of the chief tonal centres:- 15 D minor → 8 C major (→ F# minor and E major →) C major + 4 C minor + 9 F minor + 2 G minor + 14 C minor + 17 C major. The normal restatement of material in the tonic, as opposed to the vastly expanded restatement of bridge-theme iii (or part two of the introduction) in the tonic, resumes with part one of the second subject at bar 302. 51 no. 1 iv is a special case for exactly the opposite reason; instead of there being too much tonic there is too little. The response section of the Sonata form here begins at bar 94. Instead of a first subject of 36 in C minor with two themes i  $\overbrace{12 + 20}$  binary + ii 4, we now have 34 bars of non-static tonality with the following rhythmic, thematic and tonal structure:-

8 (the opening of theme i of the first subject as it appears in the responsive phrase in the exposition which leads, after  $2\frac{1}{2}$  bars to fragmentation and extension, C minor  $\rightarrow$  C $\sharp$  minor) + 8 (the previous phrase repeated G $\sharp$  minor  $\rightarrow$  A minor) + 14 (a more complete version of one of the sentences in the opening binary form of the exposition first subject, E minor  $\rightarrow$  A minor viz:- bars 1-4 as those of the responsive phrase of the exposition (bars 13 ff) + 5-10 based on 5-8 of the responsive phrase of the exposition + 11-14 as the final 4 bars of theme i of the first subject in the exposition, with slight alteration) + 4 theme ii of the first subject as before, in A minor. Thematically developmental processes begin by being quite strong for 16 bars, continue in a less strongly applied fashion for 14 bars and have ceased by the final 4 bars of this representation of the first subject. We have therefore taken the recapitulation as resuming with theme ii of the subject at bar 124, but other views are of course possible. 8 iv version 2 has some special features which make it akin to 68 iv (like it, and unlike the other movements here considered, the main developmental expansion comes in place of the bridge-passage, but also like 68 iv the first subject is not untouched by developmental processes), and yet it remains unique (the first subject ends in the tonic, and the development is tied to the thematic order of the exposition bridge only in a general sense). The response section of the Sonata form begins at bar 111 with the first subject recapitulated thus: 18 (with an augmented ending but otherwise as before) + 20 (a developmental variant, using only the first notion of the subject, and cadencing in the tonic with the characteristic cadence figure). Instead of the exposition bridge of 26 bars we now have a 56-bar expansion of the same. The thematic derivation of the exposition bridge in this work may be seen as being wholly from the first subject

in the following scheme:  $8a + 8b + 10c$ , where  $a$  is an altered repetition of the last eight bars of the first subject,  $b$  is concerned with the cadence figure of the subject and  $c$  is concerned with the opening two bars of the subject. The expansion of this bridge-scheme in the response takes the form of  $4x + 8y + 10x_1 + 10y_1 + 10z + 14z_1$ , where  $x$  and  $z$  are concerned with the opening two bars of the first subject and  $y$  is concerned with the auxiliary-note cadence figure;  $z$  also includes a legato version of the falling third of the opening two bars of the subject which evolves into the very ending figure of the original bridge. The relationship between the two bridges is that  $y$  is a new treatment of the thematic material of  $b$ , and  $z$  is a new treatment of the thematic material of  $c$ ;  $x$  is related to  $c$  and  $z$ . Thus while the general thematic progression of the expansion parallels that of the original bridge, the form of the expansion is complicated by the  $x$  passages.

If we wished to generalize more than heretofore about these principles, we could reduce these examples into two broad types: that in which the recapitulation is interrupted for the development, or sonata with displaced development (25 i, 98 iii, 101 i, 108 iv and 114 iv) and that in which the recapitulation is expanded or modified by the process of development, or sonata with conflated response (8 iv version 2, 26 iv, 34 iv, 51 no. 1 iv, 68 iv, 90 iv and 98 ii). An even broader view gives rise to a point which must be made: that by bringing development and recapitulation into a closer relationship Brahms underlines the binary basis of sonata form and to some extent renounces (especially in those movements with what has just been called a conflated response) the ternary aspects which the form in general accreted to itself in the course of evolution from its basic binary origins.

Two-thirds (or eight) of the examples displaying these principles are last movements, whereas of all the sonata form uses discussed in Chapter 5, the form is used for last movements in just over one third of the cases. It is thus possible to say that Brahms preferred to use these specialized principles in last movements. At first sight this could be because of the possibilities of suggestions of rondo or rondo sonata forms; such suggestions are to be found in most of the twelve examples. In 90 iv for instance the first subject recurs at the beginning of the development, at the beginning of the recapitulation and at the end of the recapitulation and the beginning of the coda. However, the opportunities for any kind of rondo influence in these specialized forms are really no greater than in more ordinary sonata form. 98 i for instance begins its development with the first subject in the tonic and has another appearance of this theme in the coda; 51 no. 2 iv is another such example.

There is however room for wide differences of opinion in discussing mixtures of Rondo and Sonata forms, both in the general and in the particular. Urbantschitsch defines Rondo-sonata form as: "A (tonika) B (dominant) Durchführung von A-B (tonika) Koda."<sup>1</sup> Prout proposes the following plan: A (tonic) B (dominant) A (tonic) Episode or Development A (tonic) B (tonic) A (tonic).<sup>2</sup> And two great English analysts can disagree in the particular view: Tovey has of op. 34:- "The finale is, like that of the A major Quartet, a big binary movement with the development section omitted, or rather replaced by a considerable discussion between the recapitulation of the 'first subject' and that of the second. This form was amplified from Mozart by Schubert..."<sup>3</sup> while Colles has "The finale of the A major Quartet, also a rondo in

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1. Die Sonatenform bei Brahms, Chapter 18

2. Applied Forms, p 212

3. Cobbett's Cyclopedic Survey of Chamber Music, p 170

fact..."<sup>1</sup> and later in discussing 34 iv "While rondo is the basis of the form..."<sup>2</sup>. To enhance the confusion, here is Tovey speaking of 108 iv in the same article: "With the finale we return to symphonic dimensions in a powerful sonata rondo..."<sup>3</sup> Since the only difference between 26 iv or 34 iv, and 108 iv is in the degree of developmental process applied to the final appearance of the main theme, we may see how fine and difficult definitions are in this field. Ultimately terminology matters little, and differing views as to the basic form of particular movements can be equally valid. These facts being so it is the mere duty of this present work to state its position and proceed with the discussion of the music. It is the view of the present writer that rondo principles are not the primary formal determinants for any type of sonata form, that rondo principles are based upon contrast in a deeper manner than is shown by the organic forms discussed above, and that examples of ABACABA form discussed in Chapter 8 are different from any examples discussed above in this respect. Accordingly we have called the movements here discussed modifications of sonata form and have kept the term Rondo Sonata for the contrast-based form ABACABA (in line with a noble tradition of English analysts<sup>4</sup>). It is certain that for the twelve examples above a sonata analysis as used explains more of the details of the form than a rondo analysis.

It now remains to provide a rough guide to the thinking of three specialists in the study of Brahms' sonata form, on the principles with which this Chapter has so far been concerned. Knepler has little: he remarks a displacement of the development in 25 i and 26 iv.<sup>5</sup> Urbantschitsch<sup>6</sup> treats the examples either by (i) omitting them

1. Oxford History of Music, volume 7, p 55

6. Op.cit.

2. Op. cit. p 61

3. Op. cit. p 179

4. Including Prout, Macpherson, Morris and Davie.

5. Die Form in den Instrumentalwerken Johannes Brahms, p 57

altogether (98 ii, 98 iii, 34 iv, 8 iv version 2) or by (ii) classing them as rondo-sonata (68 iv, 90 iv, 51 no. 1 iv, 26 iv, 114 iv and 108 iv) - remembering his special understanding of the term - or by (iii) omitting mention of anything special about them (25 i, 101 i). He names 9 examples of his rondo-sonata form, two of which (11 vi and 83 iv) occur in works outside the scope of the present Chapter and one of which, 111 iv, a most interesting special case, will be discussed later in the present Chapter. Mitschka recognises a type: "Ich möchte diese Sonderform des Sonatensatzes ... den kontrahierten Sonatensatz nennen" (the contracted sonata movement)<sup>1</sup>; he applies it first of all in his Chapter 6 to 98 ii and further in Chapter 7 to 26 iv, 34 iv, 51 no. 1 iv, 68 iv, 90 iv, 8 iv version 2, 108 iv and 114 iv. He omits 25 i, 98 iii, and 101 i, and he does not investigate the various detailed principles at work.

Brahms used the principles outlined above from the 1860's onwards within the Sonata/Symphony tradition. He begins with 25 i (completed in 1861), has two more examples in the first half of that decade, two in the 1870's, six in the 1880's, and his final example (114 iv) in 1891.

## Section 2: Method in Development Sections

Table 13 presents a scheme for enquiry into the overall and detailed thematic and tonal construction of development sections. The detailed processes of development are not necessarily confined to development sections (they are likely to be evident in bridge-passages and codas, for example) but since they are concentrated therein and are a necessary feature thereof, now is a good point to study them. We begin with two thematic features of development sections which are not expected or usual features; the first is the use of new material

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1. Der Sonatensatz in den Werken von Johannes Brahms, p 225

TABLE 13: A Scheme for Enquiry into the Overall and Detailed Thematic and Tonal Construction of Development Sections

Thematic matters:

New theme  
Statement of old theme  
Method of thematic development:  
    Length of theme:  
        Fragmentation; extension, expansion, evolution  
    Nature of theme:  
        Ausdruckskontrast; inversion, retrograde, diminution  
        and augmentation, simplification, decoration,  
        distortion  
    Bringing themes into new relationships:  
        New juxtapositions, confluences, new contrapuntal  
        combinations, inversion of parts, canon and fugue  
Significant thematic order: opening with the first subject  
    in the tonic, paralleling exposition  
Internal formal structures (of various sizes)  
Thematic restriction or discursion

Tonal matters:

Structure if schematic  
Methods of controlling lack of stable tonality in the small  
scale - small modulatory schemes  
    sequential repetition  
    scalar bass  
    other contrapuntal means  
Unusual stasis in tonality  
Use of tonic in development  
Length of dominant preparation, and other harmonic means  
of preparing the recapitulation

Tonal and thematic methods of joining development and recapitulation

and the second is the absence of treatment of old material, or restatement.

It would be a truism to say that no material is entirely new; all music is composed of pitch-relationships (of which there are a limited number), but it is possible to maintain that some music in development sections is distant enough from exposition material to be described as new. The new material can either be a free-standing tune (67 i where it acts as a frame to the development section as a whole or 68 i where it is integrated by alternation with another theme) or motif (36 i - bar 327, and 60 iv - bar 119; in both cases this is a descending semitonal scale and in both cases this is a vast expansion of the semitone in the first subject), or a new counter-subject (88 i) or passage-work insertion (120 no. 2 i), or a new, almost self-sufficient structure with motivic basis in the exposition (5 i and 8 iv version 1), or a lyrical tune with a clear point of origin (40 iv, where the tune at bar 104 is evolved from bars 76-77, 85-86 and suchlike figures, and 108 i, where the tune in bar 108 comes from the accompaniment to bar 9 or, by distortion, from bars 12-13<sup>2</sup> and suchlike figures). Statement is another feature which involves some subjective judgement since even in the most deep developmental process some material must be restated, yet in certain cases the statement is long enough to be an unusual feature. Statement can be used within some larger purpose. In 38 i and 51 no. 2 iv the development sections, by following the thematic order and content of the expositions, become a kind of variation of the expositions, and in these two sections statement is certainly a feature. 51 no. 2 iv has at bar 116 part one of the first subject stated in the tonic (13 bars, with a small expansion) and at bar 144 part one of the second subject stated in F major (10 bars); 38 i has at bar 126 part

one of the second subject stated in F minor (8 bars) and at bar 149 part two of the second subject stated in E minor (with alteration of mode 4 + 4). In 8 i version 1 and 101 i statement is also a feature in the development sections and in each case is followed by omissions in the recapitulation. This technique is a further method of unifying development and recapitulation sections. In 8 i version 1 beginning at bar 222 the second theme of the second subject is stated, albeit with distortion, but beginning in its original key; in 101 i the first four bars (2 + 2) of the second theme of the first subject are stated at bar 113 up an augmented fourth and at bar 122 another semitone higher, and this theme is omitted in the recapitulation but recurs in the coda. Brahms has two methods of beginning his development sections with statements. The first of these, much more common than the second, is to begin with part of the beginning of the first subject in the tonic (this is a separate technique from the beginning of the composite responses discussed in Section 1 of this Chapter). The following movements have such a beginning to the development, and in each case the number of bars of the first subject which appear is given in brackets:- Op. posth. i (2 bars with altered mode), 8 iv version 1 (4 bars), 36 iv (1 bar of A minor chord, as the opening of the movement), 51 no. 2 iv (13 bars, as the opening 12 bars of the movement), 73 iv (4<sup>4</sup> bars), 78 i (10 bars, with melodic alterations in the last 3), 87 i (4<sup>1</sup>/<sub>8</sub> bars), 98 i (9 bars), 108 i (2 bars) 111 iv (10 bars, as 9 bars at the opening of the movement, and in B minor) and 120 no. 2 i (2 bars). The second method is to repeat transposed the material which closed the exposition; this happens in Op. posth. iv and in 2 iv. In the first case the passage is of 10 bars (transposed down a major 3rd) and in the second the passage is of 16 bars and is a tone higher. At the other end of the development, statement acts as a false recapitulation

in 60 iv (at bar 188 the first subject appears for 8 bars in B minor and then 6 bars in D minor) and 99 i (with the right key but the wrong texture!), or as a recapitulation begun in a wrong key (2 i, 68 i and 120 no. 1 i). In this latter technique the division between development and recapitulation is blurred by the recapitulation of theme and key at different times; the passages under discussion are partly developmental and partly recapitulatory, and this provides yet another way of closing the relationship between the development and recapitulation. In 68 i, bars 335-342 are the equivalent of bars 1-4 of the exposition; in 120 no. 1 i beginning at bar 130 we have 4 bars of part one of the first subject + 4, the cadence repeated in augmentation and extended with link harmony; in 2 i harmonic alteration is applied to the first 8 bars of the first subject (bars 123 ff). Appreciable statement appearances which are not part of the larger purposes outlined above occur in the following ways in the following movements:-

(i) Unaltered as to key, 87 iv (bar 59 sees the beginning of 9 bars of the first subject with simple decoration); (ii) Altered as to key, 2 iv (at bar 128, phrase one of the first subject stated in G ~~♯~~ minor), 5 i (at bar 79 - 10 bars, part two of the first subject stated), 34 i (bar 150 sees the beginning of 4 bars of part one of the second subject in C minor, as the culmination of a preceding development of itself) and 120 no. 1 i (at bar 120 - 4 bars from part two of the second subject slightly distorted); (iii) Altered as to mode, 26 iv (at bar 292); (iv) Altered as to key and mode, 36 i (bar 253 sees the beginning of a long statement of 14 bars of the first subject in C ~~♯~~ minor).

Fragmentation of thematicism is a universal process in the movements under consideration, and this process is also the basis for extension, expansion and evolution. Table 14 shows some simple examples of these processes. Example 1 shows a systematic shortening

# TABLE 14: SOME PROCESSES OF DEVELOPMENT

40 iv bar 124. 8ve

op. 40 iv bar 91

op. 99 iv bar 94

8ve - p - - -

op. 108 iii bar 69 (fragmentation providing an extension)

op. 90 i bar 77 (fragmentation providing an expansion)

op. 101 i bar 98 (fragmentation involved in evolution)

the constituents being drawn from:

op. 101 i bar 1

# TABLE 15: SOME FURTHER DEVELOPMENTAL PROCESSES

op. 100 i bar 109

Example ① shows inversion

op. 60 iv bar 116 (from the middle of a 16-bar period)

extension and decoration of a fragment from the first subject

augmentation of part of first subject

133

fragments from the first subject

Example ② shows retrograde and pure and irregular augmentation

retrograde augmentation of fragment  
of first and second subjects

③

op. 87 i bar 1

second subject bar 1, also  
an augmentation from the first subject

retrograde irregular  
augmentation of the same fragment  
(arco)

bar 165

augmentation of the same fragment

bar 192

bar 201

op. 11 bar 167

op. 90 iv bar 134

op. 87 iv bar 59

op. 60 iv bar 155

op. 8 version 2 iv bar 167

op. 26 iv bar 243

second phrase treated  
similarly on violas  
and cellos.

Etc. for

bar 1

bar 1

from

bar 75

for bar 1

with octave above

at octave above  
and below

of the fragments, example 2 shows a 1-bar fragment repeated four times with a systematic distortion applied, and example 3 shows repeated fragments arranged into phrases. Extension and expansion are self-explanatory terms; we have used the term evolution where a distinctly new tune has been created out of fragments of the old, the tune having some identity of its own. Examples of these three not entirely separate techniques appear in Table 14, examples 4-6. Further examples of extension by the repetition of fragments are to be found in 88 i (a large extension, bars 77 ff), 78 i (another large example, bars 82-97), 51 no. 1 iv bar 96, 38 i bar 141, 120 no. 1 i bar 90, 120 no. 2 i bar 74, 2 i bar 83, 5 i bar 72; further examples of expansion by the insertion of fragments are to be found in 73 i bar 187, 34 i bar 96, 25 i bar 196, 26 iv bar 296, 60 iv bar 157, 8 i version 2 bar 137, 108 i bar 84-95 (et sim), 38 i bar 91, 2 iv bar 138; further examples of evolution using fragmentation are to be found in 8 iv version i bar 201, 100 i bars 117 and 137 (an obscure derivation), 108 iii bar 53, 99 i bar 68, 120 no. 2 i bar 96.

Ausdruckskontrast, a useful term coined by Mitschka and a process discussed by Urbantschitsch 36 years previously<sup>1</sup>, denotes the alteration of the ethos of a theme (contrast of expression or presentation). 98 iii at bar 181 is a nice example of this: here the third theme of the first subject is altered from the vigorous, boisterous ethos of the exposition and recapitulation appearances into a smooth, gentle tune by slight alteration of note-values, a softer harmonic shift in phrase three, and the substitution of legato for staccato performance.<sup>2</sup>

1. "elegische ins Heroische, bukolische ins Leidenschaftliche und umgekehrt" (*Die Sonatenform bei Brahms* p. 159). He gives as examples 87 i, 100 i, 15 i and 98 i, and goes on to say that the technique is essentially a romantic one.

2. Colles (in the *Oxford History of Music*, vol. 7 at p. 206) names this version a new theme.

*Ausdruckskontrast* can make use of more technical device than this; the treatment of theme two of the second subject of 111 i at the beginning of the development includes canon and imitation. Examples of some of the technical processes listed in Table 13 are shown in Table 15. Diminution and augmentation are sometimes pure but are more often irregularly applied - the theme is shortened or lengthened but the individual notes are changed by differing amounts (some notes perhaps remaining the same). These are important processes for Brahms. Two examples of them appear in Table 15 at examples 3 and 4. In example 3 the original theme is given, followed by an irregular augmentation from the development section wherein note 1 is multiplied by  $1\frac{1}{2}$ , note 2  $\times 2\frac{2}{3}$ , note 3  $\times 4$ , note 4  $\times 2\frac{1}{2}$ , note 5 untouched, note 6  $\times 2$  etc. (the downward arpeggio is, of course, expanded by an extra note), and an irregular diminution of a fragment of the theme from later in the same development section is also given, where note 1 is  $\div 4$  and notes 2-3 are untouched. Example 4 shows the use of irregular diminution in a development of passage-work from the end of the development section of 1 i. Example 5 is unique: it shows an expansion (although no notes are inserted), an irregular augmentation (although no notes are actually lengthened) and fragmentation (although in a sense the tune remains complete). We have arbitrarily included it with the irregular augmentations (because included somewhere it must be). Simplification of thematicism occurs very rarely in these development sections (two examples are in the creation of the fugato subject in 108 iv bar 134 ff by the treatment of bars 5-10 of the original first subject, and in 120 no.2 i at bar 60 - being a simplification of bar 15 ff). Example 6 of Table 15 is a straightforward example of decoration from 87 iv, while example 7 shows the use of decoration and expansion in 60 iv. Distortion of rhythm is, of course, what we have described as irregular

diminution and augmentation; distortion of melodic content is a process whereby certain pitch-intervals are enlarged or compressed. This was seen applied to a fragment in Table 14 example 2. In Table 15 examples 8 and 9 we have melodic distortion applied to the first four bars of the first subject in each case. This is a very important process.

New juxtapositions can be just the result of the greater freedom in thematic ordering which goes with development sections, or can be highlighted by repetition (as in 73 i bars 246 ff) or by being part of some internal form of the development section (as in the ternary form of 51 no.2 i). Conflations happen when the juxtapositions have been closed into superimpositions - a fairly rare technique whereby one melodic line will have clear elements of two previous melodic lines. In 98 i the appearance of the second theme of the second subject in the development at bar 188 has some aspects of its new melodic shape drawn from the second bridge-theme (bar 53); in 111 iv the fugue subject at bar 99 has an alteration of the two bars 13<sup>2</sup>-15<sup>2</sup> joined to a repeated fragment from bar 18; and in 26 i the string parts of bars 156-161 have the triplets from notion one of the first subject (bar 1) imposed upon the melody of notion two of the first subject (bars 5 ff). New contrapuntal combinations are fairly common, beginning with the new combination of fragments in bar 92 of 2 i and in bars 105 and 116 of 1 i, and appearing in later life in 98 iii (bars 113 ff and bars 159 ff) and 100 i (bars 117 ff). Inversion of parts (5 i), canon (whether the featured usages of 1 i or 36 i, or the passing usages of 51 no.2 i or 114 iv) and fugato (36 iv, 108 iv, 111 iv) are all methods of bringing the theme under treatment into a new relationship with itself.

The preceding techniques of thematic development may appear separately or in almost any combination. The following three suggestions

for enquiry concern, on the whole, larger scale considerations. Those development sections which begin with the first subject in the tonic (listed above) will show an influence from old rondo form in the form of the whole movement (a further appearance of the first subject in the coda will add thereunto the necessary feature for an influence from rondo sonata.) Those development sections which have a thematic order paralleling that of the exposition will show an influence from variation form in the whole movement. Such an influence is most strong in 38 i where the exposition is completely paralleled. Partial parallels occur in 34 i, 36 iv and 51 no. 2 iv.

Some development sections have an overall form applied to their thematic content. Ternary occurs as a strong feature in 51 no.2 i and as a hint in 5 i, 8 iv version 1, 26 i, 51 no.2 iv and 99 i. Rondo occurs in 87 iv (the form being reinterpreted as it were for developmental use, in that throughout the first subject is gradually reduced from the initial statement, through a fragment consisting of the whole of bar 1, to a fragment consisting of the accompaniment to bar 1). An arch form is suggested in 60 iv. Binary form of the shape  $aba_1b_1$  occurs in 2 i and 8 iv version 2, and in the less cogent forms of  $aba_1c$  in 87 i and of  $abca_1b_1d$  in Op. Posth. i, while a more persistent oscillation occurs in 8 i version 2 (the form can be represented as  $aba_1b_1a_2b_2a_3b_3$ ).  $AA_1B$  is the design of the development sections of 108 i, ii and iii; two such forms appear in the development sections of 40 iv and Op. Posth iv, and though in neither case does this structure ( $AA_1BCC_1D$ ) constitute the whole of the section, it is certainly the chief part thereof. 114 i could be represented as having an overall shape to its development section of  $ABB_1$ .

Certain of the sections which show an overall form show this combined with a schematic rhythmic structure. The ternary form of

51 no.2 i is supported by a clearly-structured 1848+18 bars (the two themes involved are part one of the first subject and part two of the second subject in the pattern 1 i + 2 ii + 1 i, and the junctions (bars 147 ff and 165 ff) show a blurring by the technique of new thematic combinations). Similar ternary development is also found in 79 ii (21 + 11 + 21) with the themes 1 i + 2 ii + 1 i. The other ternary hints mentioned above are not so supported; neither are the forms of 87 iv, 60 iv and 8 i version 2. 87 iv has for its rondo form:- first subject (21 bars) + second subject ii(4) + first subject (9) + second subject ii (5) + first subject (25). Two of the binary forms have a partly schematic rhythmic structure, with 8 + 10 + 10 + 22 in 8 iv version 2, and 12 + 24 + 24 + 20 in 87 i (where, in each case, the two middle sections are equal in length); 2 i has 9 + 16 + 4 + 11 (where each of the sections  $a_1 b_1$  is reduced by 5 bars from ab); and Op. Posth. i has  $\overbrace{9 + 3 + 3} + 9 + 3 + 17$ . The three overall AA<sub>1</sub>B forms each have a schematic rhythmic structure, with equal-length periods in 108 ii (4 + 4 + 4), a lengthened B period in 108 i (12 + 12 + 22) and a shortened B period in 108 iii (22 + 22 + 21½). There may well be many other overall determinants for development sections, such as the facts that 88 iii consists of four developments by exhaustion, that 2 iv has an almost undisturbed shortening of treatments (second subject ii 32 + c 9 + first subject and c 18 + second subject 17 + first subject 10 + introduction 7), and that 51 no.1 i, as Mitschka has pointed out, has a single span (though using binary substructures). 51 no.1 i makes use, in its development, of the techniques of fragmentation, new juxtaposition and combination within one dynamic process. The section treats of 6 bars of exposition material (bars 1-2 of the first subject and bars 1-4 of the bridge), which are developed for 54 bars. After a treatment of the bars from the first subject at the

opening of the development (balanced by a development of the bridge at the close of the development section) the central process begins. The idea of this process is to work from a new juxtaposition of the two elements (bars 92 and 95) through a closer juxtaposition (bars 108-9) to a combination of the two (bar 114 violins and cello) and further to a fragmentation of the combined material (bars 118 ff). The only simple overall scheme of rhythmic organisation not allied to a thematic form is the 6 + 6 of 5 iv.

Within the sections binary structures can be seen in many cases, of varying sizes; the beginning of 78 i for example has  $ab+a_1b_1$  of  $\overbrace{17 + 19}$  bars, and at the ending a similar formal unit occurs of  $\overbrace{8 + 14}$  bars, while on a smaller level the development section of 114 iv consists of five statement-and-response units varying between the  $\overbrace{2 + 2}$  of the opening to the  $\overbrace{4 + 7}$  of the ending. In 26 i, 60 i and 88 i we find, as part of the development, a set of free variations much on the lines of the special vocal variation form discussed in Chapter 3, wherein the tonal and rhythmic structures were the main parameters for variation, rather than the thematicism. 60 i provides the strictest usage of the three examples. At bar 176 it has, from variation 2 of the second subject, 8 (from bar 2 in canon at 1 bar's distance; using the chord of G major + minor 7th over a dominant pedal in C minor) + 6 (from bar 2 in canon at 2 beats' distance; using the chord of A major at the opening and a rare whole-tone chord at the closing, over a dominant pedal in C minor) + 8 (from bar 2 in canon at 1 beat's distance; using the chord of the dominant in F minor at the opening, over the G pedal, and closing with octave G's). Here the difference in length of the periods is not great. The essence of the form is that each period or 'variation' should open with the same thematicism. In 26 i beginning at bar 144 there is such a form, of 8 + 10 + 14, showing

greater freedom in the continuations than in the previous example. And in 88 i beginning at bar 111 there is an even freer example, of  $3 + 4 + 11 + 8$ , where the last period is thematically partial. The internal AAB forms have already been mentioned in connexion with 40 iv and Op. Posth. iv.

The extremes of restriction or discursion in the amount of exposition material used in the development sections are very different and thus delimit a wide scope of possibilities; in 101 iv the first  $4\frac{1}{2}$  bars of the movement provide the 39 bars of development, in 100 i  $5\frac{1}{2}$  bars of exposition material provide the 69 bars of development, and 38 iii has  $1\frac{1}{2}$  bars of the first subject and 1 bar of the second counter-subject providing the 47 bars; whereas in 1 i and 38 i, for instance, all the three main themes of the exposition are used.

The total organisation of the modulations of the development section around main key-centres which are triadically related is quite common. 88 iii for instance has  $D\ m \rightarrow Bb\ m \rightarrow F\ \text{minor/major}$ ; and like it in that a major and a minor third exist between the keys is 115 iii (with its basis of  $D \rightarrow B\ m \rightarrow G + G\ m \rightarrow D\ m \rightarrow B\ m$ ), 114 i (with its basis of  $E\ m \rightarrow F\# \ m \rightarrow D \rightarrow A\ m$ ), 120 no.1 i (with its  $Ab + E \rightarrow C\# \ m$  basis), and 51 no.2 i (with its centres of  $C\# \ m$ ,  $E\ m$  and  $A\ m$ ). 114 iv has two major thirds with  $F \rightarrow Db \rightarrow A$ , while 101 iv shows, in its  $G\ m$ ,  $E\ m$ ,  $C\# \ m + \text{modulation} \rightarrow \text{tonic}$ , two minor thirds. A number of development sections are organised around two keys a third apart:- 98 iii ( $A\ m + C\# \ m/\text{major}$ ), 26 i ( $C\ \text{major}/\underline{\text{minor}} + A\ \underline{\text{minor}}/\text{major}$ ) and iv ( $C \rightarrow A\ m$ ), 108 iii ( $A\ \text{major}/\text{minor} + F\ \text{major}/\text{minor}/\text{major}$ ) and 2 i ( $A + \text{the dominant chord elaborated}$ ). Triadic relationships are a feature of 115 i (with  $C\# \ m/\text{major}$ ,  $A\ F + \text{modulation} \rightarrow B\ m$ ), 38 i and 120 no.2 i, and they also occur during 60 iv and 108 iv.

The only section to have its tonality based totally on relationships of 4ths and 5ths between keys is 5 i (with  $C\# \ m \rightarrow G\# \ m$ ,  $C\# \ \text{major} \rightarrow Gb\ \text{major}$ ), but such relationships have a part in such sections as

73 i, 60 i, 100 i, 108 iv and 99 i. Three sections are based totally on relationships of semitones between keys - 34 i, 78 i and 5 iv.

34 i has the mirrored key pattern of  $C\ m \rightarrow B\ m \rightarrow Bb\ m + Bbm \rightarrow B\ m \rightarrow C\ m$ , 78 i has  $G \rightarrow Ab + \text{modulation} + G\ m \rightarrow \text{major}$ , and 5 iv consists of an elaborate interrupted cadence. Such relationships have a part in such sections as 8 i and iv version 1, 60 i, 60 iv and 101 i. Relationships based on a tone also have a part within sections (e.g. 38 iii and 87 i) but no section is based totally on such a relationship. The tonal determinant of most of the development of 98 i is a series of keys based on a rising scale which employs both semitones and tones: E m, F (bar 153), G m (bar 157), Ab (bar 165), Bb m (bar 169), B m (bar 181), C m (bar 191), C $\sharp$  m (bar 195), D m (bar 199), Eb m (bar 201), E m (bar 210).

Some idea of the composite patterns which may be made from a combination of these relationships may be seen in 87 i ( $C \rightarrow G\ m$ ;  $G\ m \rightarrow F\ m \rightarrow C\ m$ ;  $C\ m \rightarrow Bb\ m \rightarrow F\ m$ ;  $Db \rightarrow E$ ;  $A\ m \rightarrow C$ ;  $F\ m \rightarrow Ab \rightarrow C$ ). 34 i, 60 i and Op Posth. iv (with  $C + F\sharp + D$ ;  $D\ m + G\ m + E$ ) are important because they show an overall binary scheme to their key structure. Small scale binary schemes may be seen in 87 i.

Brahms usually controls the tonal fluidity of quick modulation by organising the constituent modulations into a small schematic pattern involving sequence. In the relatively large-scale examples of 73 i bars 204 ff and 90 i bars 90 ff the schemes are based on fifths (the example from 73 i having C m, G m, D m, A m, and the example from 90 i having A, D, G). Smaller schemes can be seen in 111 iv bars 88 ff, where a harmonic sequence of B m, Bb m, A m (Ab m) is applied to a thematically altered sequence, and in 36 iv bars 61 ff. In both these examples the movement of the bass is basically downwards by step (in the first case by semitones, in the second by tones). The scalar bass

as a means of harmonic control can also be seen in 114 iv (bars 105 ff) and 88 iii (bars 57 ff). Brahms can create tonal fluidity by employing scalar movement of parts in another, somewhat more static, way. In 99 i at bar 87, for instance, there is a chord of the supertonic in G $\sharp$  minor with 7th; in bar 88 the third and the fifth of this chord are raised by a semitone, in bar 89 the bass is raised by a semitone and the third dropped by a semitone, and the third is restored up a semitone in the subsequent bars. The result is a sequence of chords, after the G $\sharp$  minor supertonic, of dominant 7th in Eb + dominant 7th in Gb + chromatic supertonic in F, but the controlling force is the semitonal part-movement. In 1 i at the end of the development a C $\sharp$ EGB chord is altered one note at a time to C $\sharp$ EGBb and finally, at the recapitulation itself, to C $\flat$ EGBb; similarly in 90 i at bar 112 the chords outlined by the melodic unison are, in bar 112 Eb major, bar 113 Eb minor and bar 114 Cb major. The sequential quick modulations over a scalar bass in 36 i at bars 285 ff also work by semitonal movement of all the parts, and 90 i bars 98 ff show harmony created by a contrary motion semitonal scale in top and bottom parts, beginning and ending in G.

The next two tonal features suggested for investigation in Table 13, unusual stasis in the tonality and the use of the tonic key in the development, are in a way the equivalents in the tonal field of the first two thematic topics for investigation. Unusual tonal stasis will, like the use of new thematic material, tend to bias the form of the whole movement towards ternary models, and the use of the tonic is, like the statement of exposition thematic material, an intrusion into the developmental process of something which more properly belongs elsewhere. A movement which has both of these characteristics in its development section is 26 i with 52 of its 85 bars centred around C major and minor, and 25 bars centred around A minor and major.

Unusual stasis can also be seen in 1 i, 2 i, 5 i, 34 i, 38 i, 67 i, 100 i, 101 i, 108 iii, 115 i, 120 no.1 i and 120 no.2 i; of these 2 i (with 24 of its 40 bars centred around A major), 5 i (with 28 of its 59 $\frac{2}{3}$  bars centred around C $\sharp$  major) and 100 i (with 35 of its 69 bars centred around C $\sharp$  minor/major) are notable examples. The tonic appears incidentally in many developments, but its appearances in 26 i and iv, 51 no.2 iv, 68 iv, 78 i, 87 iv and 88 i are strong features; 78 i for instance has the tonic for 10 bars at the opening of its 74-bar development and as centre, in its minor mode, for 22 bars at the close of the section.

In the matter of dominant preparation for the recapitulation it is necessary to consider those twelve movements which were discussed in section 1 of this Chapter separately, because, in the case of those movements with displaced developments, while a dominant preparation is likely, the beginning of the recapitulation may not be on the tonic chord, and, in the case of those movements with conflated responses, a dominant preparation and the clear junction which it implies are not really to be expected in view of the pressures for unification between the sections in this formal type. In the five movements with displaced developments we find dominant preparations in 98 iii (although the resumption of the recapitulation does not begin with the tonic chord), 25 i (although this is clearly in the dominant key) and 101 i (but here the resumption of the recapitulation begins over a dominant pedal with a dominant chord), while in 114 iv the chord progression from development  $\rightarrow$  resumption of recapitulation is supertonic  $\rightarrow$  dominant chords, and in 108 iv the chord progression is subdominant  $\rightarrow$  tonic  $\frac{6}{4}$ . With the seven movements with conflated response three have dominant preparations - 34 iv (although the resumption of the recapitulation is not on the tonic), 26 iv (7 bars  $\rightarrow$  resumption of

the recapitulation on the tonic) and 8 iv version 2 (the end of the developmental process is also the end of the bridge before the recurrence of the second subject in the tonic major); two have the tonic key established before the resumption of the thematic recapitulation - 68 iv and 90 iv; and two do not have a dominant preparation or indeed a recapitulation which is resumed on the tonic - 98 ii and 51 no.1 iv. Of the remaining 47 movements dominant preparation occurs in over  $\frac{3}{4}$ ; it can vary in size and strength from the 1-bar preparations in 8 i version 2 and 87 i to the large-scale preparation of 88 i (31 bars in a 61-bar development section) and the exceptional 108 i in which the whole of the development section is over a dominant pedal. The more important other methods of approaching the recapitulation are by submediant preparation, by tonic minor preparation and by supertonic preparation. Submediant approaches are to be found using the flat-submediant key in 111 i and chord in 51 no.1 i and 60 iv, using the german sixth on the flat-submediant in 18 i, and using a chromatically altered and decorated natural submediant in 1 i (at least, the chord in this rare case is approached as such but quitted as a tonic minor 9th. An approach to the recapitulation using tonic minor chords quite close to the junction between development and recapitulation may be seen in 36 iv although the ultimate approach is really a plagal one (including the minor subdominant) and the actual chord preceding the recapitulation is a german 6th on the flat-supertonic; tonic minor approaches may be seen in conjunction with dominant preparation in 8 i version 1, 26 i and iv, 36 i and 88 iii. A chromatic supertonic approach can be seen in 115 iii, a general neapolitan approach in 5 i, and a subdominant approach in 108 ii (and, of course, 108 iv). Three movements are not however covered by the principles discussed so far: 90 i has small changes of chord

and decoration over a tonic pedal, 100 i has no attempt at a junction but a clean break at the end of the development and a fresh start at the recapitulation, while 111 iv is an unusual case because the movement as a whole begins in the wrong key (reaching the tonic G from the starting tonality of B minor after two phrases 9 + 4). In the section of the movement under consideration the first phrase of the movement is recapitulated in B minor in an expanded form of 11 bars after an  $F\sharp$  major preparation of  $3\frac{1}{2}$  bars, and the second phrase of the movement is expanded to 6 bars of which the latter parts act as a dominant preparation for the real tonic. Just, then, as the opening had two beginnings so there are two recapitulations.

There are three basic ways (each with two methods) of further closing the seam between the development and recapitulation sections: by returning to the tonic and the first theme at different places, by applying developmental processes to the beginning of the recapitulation, or recapitulatory processes to the end of the development, and by beginning the recapitulation not with the pure tonic chord. The first of these ways can have either the theme before the tonic (2 i, 68 i, 120 no.1 i) or the tonic before the theme (68 iv, 73 i, 90 iv and 99 i). The second of these ways can have developmental processes applied to the beginning of the recapitulation (34 i, 51 no.1 i, 88 iii just after the beginning and 98 i) or the 'false recapitulation' (60 iv, 99 i). The third of these ways can have either some other chord beginning the recapitulation (as in examples discussed above and 2 iv, 38 iii, 51 no.2 i and 60 i) or a decorated version of the tonic chord (1 i and 78 i).

### Section 3: The Recapitulation and Coda

The first subject group is often shortened in recapitulation; sometimes its original length is retained, and rarely it is lengthened. Shortening can destroy the old form: in 68 i and 88 i the old ternary form disappears with the omission of the last section of it (bars 69-89 in the first example and bars 16-21 in the second) and in 101 iv just the exposition + development of a miniature sonata form are retained (bars 22-34 of the original being omitted). Shortening may also involve much alteration of the remaining material as in 60 i, 114 i, and 120 no. 1 i. In 73 i the shortening is effected by a new contrapuntal combination of themes previously separate. Some large-scale examples of shortening occur in 8 i version 2 (with 17 bars in the recapitulation instead of the 62 bars of the exposition, being bars 21-28 + 36-44 of the original) and in 100 i (with 14 bars instead of 34, being bars 1-14 of the original). Examples of shortening of the first subject with entire omission of some important theme may be seen in 87 i (with the omission of theme three of the subject) and 101 i (with the omission of theme two of the subject). First subject groups which remain the same length may be intact (as in 40 iv or 87 i) or may have small alterations (as in 51 no. 2 i where the first eight bars are altered as to harmony and texture and very slightly as to tune, or in 120 no. 2 i where the first four bars have a slightly more elaborate accompaniment than before) or may have large alterations (as in 60 iv where part two of the first subject now appears in the tonic major, shortened by half and preceded by a new eight-bar development, or in 98 iii where a four-bar omission at the beginning is compensated for by a four-bar extension at the end). Lengthening of the first subject group is never by many bars (51 no. 1 i has its subject lengthened by 7 bars, 67 i by 3 bars, 90 i by 2 bars etc.);

techniques of expansion in recapitulation may involve augmentation (51 no. 1 i and 98 i, although this latter subject is shortened overall) or the addition of material (90 i has its opening 2 bars expanded to 4 by an inserted altered repetition, and 25 i has bars 247-258 added, which are a development of the preceding part two of the first subject by free inversion and cadential extension).

The recapitulation of the first subject almost always has the tonic as its basis although this may be coloured in ways discussed at the close of the preceding section of this Chapter. There is only one exception to this rule and that is 51 no. 1 iv, which has already been discussed above. (38 iii does not begin its recapitulation with either the first subject or the tonic key.) The internal tonal organisation for the retained parts of the first subjects may either be preserved (as in 36 i or 88 i) or altered (as in 18 i or 51 no. 1 i). Some examples of important tonal alteration occur in 25 i (where the recapitulation begins with part two of the first subject in the tonic major rather than its old key of the relative major) and 34 i (where part two of the first subject is in the subdominant).

The bridge-passage may also be shortened in recapitulation, or have its original length retained, or be lengthened. In some cases the bridge-passage is omitted entirely; this occurs in 2 i, iv, 73 i, iv, 78 i and 99 i. As with the first subject Brahms prefers to shorten the bridge in recapitulation but may sometimes retain the original length; he rarely lengthens the passage. Some examples of shortening occur in 25 i, 60 i, 68 i, 88 i, 90 iv and 101 i. 25 i has 6 bars instead of 13, the new bridge being the first 4 bars of the old altered + 2 bars from later in the movement; the omission in this recapitulation after the first 4 bars of the bridge passage is of 36 bars and includes the whole of part one of the second subject

and all but two bars of its following development. 60 i, one of Brahms' most altered recapitulations, has a fusion of first subject material with bridge material in the first subject recapitulation (the first subject being recapitulated from bars 198-227) and a fusion of first subject material with second subject material acting as a new bridge-passage from bars 228-235. In 68 i the shortening is by simple omission of the first 8 bars. In 88 i the bridge is shortened by 3 bars to 21 bars, in which the final 16 are as before but transposed and the opening 5 treat of a new part of the first subject combining this with a rhythm from the old bridge. 90 iv has a simple omission of 4 bars from the beginning of its bridge which means that it no longer begins as a responsive phrase to part three of the first subject. 101 i has the recapitulated bridge as 10 bars instead of 18 in which the development of the first subject part one is omitted and the bridge theme receives initially new treatment; the last 4 bars of the bridge are as before. Some examples of bridges in which the original shape and size is retained occur in op. posth. i, 51 no. 1 i and iv, 87 iv and 101 iv. Of these examples 51 no. 1 i and iv and 101 iv show a simple transposition of the old bridge passage, the tonal modification, necessary in recapitulations before the second subject, having taken place before these bridges begin. Op. posth. i has the rhythmic and thematic structure as before with a simple tonal alteration in bar 2, and 87iv also with its rhythmic and thematic structure as before has tonal modification in its last  $3\frac{1}{2}$  bars. Examples of lengthened bridges occur in 98 iii, 108 i and iv, and 120 no. 1 i. In 98 iii the lengthening is by a two-bar insertion at bar 241. In 108 i the lengthening is much more substantial being from 16 to 25 bars; in the new bridge the opening development of the opening figure of the movement in the old bridge is expanded and has additional

material in the shape of a unison passage based upon bar 10 of the movement. In 108 iv the beginning and end of the bridge are parallel with the old bridge but alteration in the middle results in 2 bars greater length. 120 no. 1 i has its new bridge of 8 bars instead of 5 and, very rarely, it consists of new material (bars 146-152).

The tonal alteration which makes possible the retention of the tonic for the first subject in recapitulation and the alteration of key for the second subject in recapitulation usually occurs in the bridge (either at its beginning as in 5 i or during the passage as in 87 iv) or at its point of omission (as in 2 i); it may however occur in the first subject (as in 5 iv, 34 i and 51 no. 1 i).

The rhythmic and thematic structure is typically retained for the recapitulation of the second subject. It can appear entirely intact in these respects (as in 18 i or 36 i) or it may have the final few bars missing or changed (as in 8 iv version 2, where the final 7 bars are missing, or 51 no. 2 i where the final 12 bars do not appear in their original form but, developed, may be regarded as constituting the beginning of the coda). There are exceptions to the general rule of preservation of the second subject; among these 8 iv version 1 shows the opening 48 bars and the closing 2 of the exposition version of the second subject omitted in recapitulation, 25 i shows the omission of its first 27 bars and thereby the entire first theme of the subject, 38 iii shows a reduction of its second subject from 23 bars to 9, and 60 i shows a change in thematicism, which has been discussed in Chapter 2 (at p. 34). All the subjects show a tonal change; this is of course part of the large tonal process of sonata form.

It is possible to postulate the following rules for Brahms' practice in the matter of the responsive keys used in the recapitulation

for the main secondary tonal areas of the exposition with regard to works in the sonata/symphony tradition: (i) the mode is retained (ii) the dominant is answered by the tonic, (iii) the mediant is answered by the tonic or the submediant, (iv) other keys are answered by the tonic save for keys on the seventh degrees of the basic tonic which are answered by the mediant. Rule (i) is applied in all cases save perhaps three: 25 i is a full exception in that themes 3-5 of the second subject + the codetta are altered from major to minor, and 2 iv and 5 iv are partial exceptions (2 iv has the opening of the second subject altered from minor to major and 5 iv with a subject consisting of two cadences has both with a tierce de picardy instead of just the second). Rule (ii) is not applied in the case of 25 i theme 2 wherein the dominant of the exposition is answered by the submediant. Rule (iii) is not applied in the cases of 38 iii (where in a reversed recapitulation the mediant of the exposition is answered by the dominant) and 60 i (with the same key-change). With regard to rule three 51 no. 2 i and 88 iii show simple examples where the mediant is answered by the tonic, and 73 i and 87 iv show simple examples where the mediant is answered by the submediant; 88 i and 90 i show a technique which uses both of these possible answers in the order submediant + tonic. Rule (iv) applies to the submediant answered by the tonic save in the cases of 34 i where it is partially answered by the neapolitan and 5 i where it is answered by the subdominant, and the subdominant of 8 version 1 i answered by the tonic; the two examples of keys on the seventh degrees of the scale occur in 100 i and 108 iv.

The recapitulation of second subjects may show internal alterations of tonality; these occur in 68 iv, 88 i, 90 i and 120 no. 1 i which obey the rules as set down above (68 iv obeys rules (ii) and (iii) with C G E m of the exposition answered by C C C m, 88 i and 90 i

have already been discussed, and 120 no. 1 i obeys rules (iv) and (ii) with F m Db C m being answered by F m F F m. Internal alterations of tonality not a product of the above rules occur in 25 i (with G m D m/major answered by G Eb G m), 34 i (with F m C# m/major being answered by F m Bb m F# m F) and 120 no. 2 i (where the opening of the second subject is coloured by Cb tonality for four bars).

The most altered recapitulations overall occur in 8 i version 1, 25 i and 60 i. In the first of these examples the first subject is recapitulated intact and thereafter the recapitulation is abandoned in favour of 42, a fughetta on part of part one of the second subject, + 99, a coda based upon the first subject; thus major portions of the second subject do not appear in the recapitulation. The latter two examples have been already discussed. Some of the least altered recapitulations occur in op. posth. iv, 40 iv and 87 iv. 38 iii is the only movement under consideration to show a full reversal of thematic order in the recapitulation: it has second subject + first subject + the extensive bridge passage. Partial uses of reversal of thematic recapitulation occur in 51 no. 1 iv and 101 i where a theme is omitted from the recapitulation and is included in the coda; in the first example this is the first theme (which had not been omitted in recapitulation so much as obscured by the development attendant upon the technique of the conflated response) and in the second example it is the second theme.

Codas are of various lengths (short examples occur in 2 i with 23 bars and in 78 i with 25 bars, and long examples occur in 34 iv with 151 bars and 68 i with 91 bars) and have various techniques according to their various purposes. These purposes may be served by statement of material. Such material can be from another movement (as in 90 iv, creating a frame for the work) or from the movement

itself (as in 68 iv and 98 ii, creating a frame for the movement, as in 108 i and iv creating a rondo effect, or as in 51 no. 1 iv and 101 i providing a supplementary recapitulation). A coda may contain new themes; this is very rare but may be seen in 5 iv at bars 38 ff and in 111 iv at bars 248 ff. The purposes of a coda may be served by variation (as in 26 iv at the beginning or 51 no. 2 iv), or transformation (as in 34 iv or 88 iii), and by all the usual developmental techniques discussed above. Some examples of such techniques used in codas occur thus: fragmentation 87 i and 111 i, expansion 108 ii, new evolution op. posth. i and 73 i, augmentation, 87 iv, new juxtapositions 101 iv, new combinations 34 iv. The coda may partially parallel the development section by at some stage using the same developmental technique as part of that section; this is of frequent occurrence, and it creates a certain binary balance between exposition + development and recapitulation + coda. Some examples of this occur in op. posth. iv, 36 i (the end of the development) and iv (the beginning of the development), 60 iv, 73 iv, 99 i and 108 i (where the development's dominant pedal is answered by the coda's tonic pedal). Tonally the coda may restore the tonic if the recapitulation does not close therein; this occurs in 60 i, 100 i and 115 i. Part of the purpose of almost every coda is the glorification of the cadence; even before the end of the movement phrases will have a powerful momentum towards their own cadences and the point of this may well be reinforced by repetition and short phrases. Some powerful examples of such cadence-drive occur in op. posth. iv (bars 309 ff) 8 version 1 iv (bars 473 ff), 40 iv (bars 255 ff), 51 no. 1 iv (bars 231 ff) and 51 no. 2 i (bars 305 ff).

PART 3: THE CONTRAST PRINCIPLECHAPTER 7: TERNARY FORM

The ternary principle, which at its archetypal level can be represented as ABA, may be found at all structural levels of composition in Brahms' music (works, movements, sections and phrases). In multi-movement works ternary influence may be seen rarely in those works which recall their first movement towards the end of their last (see Chapter 1 page 5 ff); the concomitant procedure in variation sets is the restatement (even if only partial, as in op. 23 and 56) of the unvaried theme at the close of the set. Such large-scale influences are not of course the primary formal determinants for the works concerned, and as such this technique has something in common with the notion of framed movements which occurs occasionally in Brahms (as in the framed sonata movements of op. 76 vii and 115 iii). The ternary principle finds its main use as a formal determinant in movements and sections. It can be found on the phrase-level in such structures as op. 94 no. 2 section 1 with the thematic form  $aa_1ba_2a_3$ , op. 84 no. 5 in the A sections with the thematic form  $abca_1$  and op. 92 no. 2 in verse 1 and most of verse 2 with the form  $aa_1ba_2$ ; in all these cases the harmonic scheme is binary and the basis of the form could be called the four-phrase binary section. Op. 108 iv has as first subject the structure  $abba_1$  which is perhaps a purer example of ternary form on the phrase-level.

If the archetype of the ternary principle is two contrasted sections in the relationship ABA then Brahms modifies the archetype in a number of ways which lead to greater complexity between the sections. The A and B sections may be brought into a closer relationship by thematic means in that they will have some thematicism in common - a modification of the basic contrast. The return of section A may be varied from its

initial exposition - a weakening of the force of the basic contrast by placing contrast elsewhere. A coda may be added, and this often recalls the B section: if this is the case we have a modification of the ternary structure in a binary way. Bridges may be used to complicate the form; they can be used as links which smoothe the juxtapositions, or occasionally as bearers of some more important role. The individual sections may lack formal unity and may possibly include some marked contrasts within themselves - again this weakens the central contrast.

### Section 1: The First Modification

The contrast between sections A and B weakened by thematic means may be effected by using a theme or motif from the A section as an accompanimental figure in the B section or as ancillary material in the B section. Examples of the use of an accompaniment derived from the A section are op. 106 no. 1 bars 18, 20 and 23, op. 68 ii bars 39 et sim, op. 105 no. 5 where the second B section includes phrase one of A, 2 bars, as bass at its beginning, and op. 104 no. 3 bars 19 ff. Of these examples the first shows the use of an originally accompanimental figure, the second and third show the use of part of a theme in the A section, and the fourth is an intermediate case. Examples of the appearance of material from A as ancillary in B are op. 77 ii bars 60-61 and 69-73, op. 84 no. 2 bars 22-23, op. 118 iii bars 53-6, and op. 118 vi bars 53-4 and 59-60. In the first of these a link figure from bar 11 of the movement acts in the B section as an important figure in the secondary parts of a discrete binary form of  $ABA_1B_1$ ; in the second the opening fragment of the first verse of the song is a prime melodic feature of line 3 of verse 2; and the two final examples show the use of a less flexible type of quotation (118 iii has bars 1-2 and 5-6 of the opening theme of the movement as the latter half of the first responsive 8-bar phrase in the B section, and 118 vi has bars 1-2 of the

opening theme of the movement at two climactic points in the second part of the middle section).

The thematic cross-over from the A section may be integral to the form of the B section. Under this heading we turn first to two parameters of music which impinge on thematicism and condition its power for contrast in the ternary principle: the parameters of rhythm and tonality. Speed may be a feature for contrast (as in op. 116 ii with its change from  $\frac{3}{4}$  andante to  $\frac{3}{8}$  non troppo presto, or op. 117 i with its change to piu adagio) or for continuity (as in op. 76 vi and 118 iii); so is it also with metre (where examples of contrast are op. 68 iii and 116 vii, both showing a progression from  $\frac{2}{4}$  to  $\frac{6}{8}$ , and op. 116 iii showing a similar change, though this is not written by a change of time signature, and where examples for continuity can again be op. 76 vi and 118 iii). Tonality is usually a feature for contrast, sometimes being a simple change of mode (from minor to major in op. 119 ii or the reverse in op. 115 ii), sometimes being of prosaic diatonic type (as in the C minor  $\rightarrow$  F minor of op. 101 ii or the C major  $\rightarrow$  A minor of the subsequent movement) and sometimes being of a remoter more colouristic type (such as the Ab major/E major contrast of op. 34 ii or the D major/F major contrast of op. 102 ii). An example of a middle section in the same key as the outer sections may be found in the trio of op. 36 ii. These parameters serve to condition and define changes of ethos between sections which can also be conditioned by other features, such as texture, tessitura, dynamics, quality of attack (staccato or legato, etc.) and quality of motion (conjunct or disjunct). For instance op. 118 iii, which has already been cited for showing similar metre and speed between its A and B sections, has, besides a difference of key and thematicism, a change from staccato and

accented thick chords with much forte marking to legato three-part flowing texture marked "pp una corda"; and op. 119 i, which has similarities of rhythm (speed and metre) and differences of tonality and thematicism, has also a change in tessitura and a change in the texture of thematic presentation (the tune being in octaves). The ternary form of op. 83 iii is accentuated and to some extent created by the instrumentation; the first section is entirely for orchestra save for the entry of the piano three bars before its ending, the second section has the piano as the main instrumental feature throughout (it beginning the section without accompaniment for ten bars), and the final section is once again basically orchestral (the piano not excluded but being mainly decorative in role - see bars 76-9, 82-6 etc. - until the return of the cadential motif and an additional 4-bar coda). The outside sections are characterized by the prominent use of a solo cello.

We return to the consideration of integral use of thematicism from A in the B section. This can be either in the nature of motivic connexion (as in op. 16 iv, 57 no. 1, 79 i, 83 iii, 102 ii B, 115 ii, 116 iii, 118 v, 120 no. 1 ii or 120 no. 1 iii) or in the nature of thematic transformation (as in op. 36 ii Trio, 117 ii or 119 ii). In op. 16 iv the first phrase of the scherzo provides two motivic fragments for the trio (bar 1 of the scherzo can be seen in much evidence in the trio, it appearing in every bar of the first two four-bar phrases and much subsequently; bar 2 of the scherzo provides the tune of bars 1-2 et sim of the trio - these two fragments thus appearing simultaneously); there is also a falling scalar figure which appears in the scherzo at bars 6 and 29, and elaborated at bars 17-19, which is related to the scales in the trio (bars 46-8, 65-8, and 82-3). The

song op. 57 no. 1 has the overall shape of  $ABB_1A_1$ , and here bars 15, 19 et sim (in the B section) come from bar 6 (in the A section) and bars 22-4, 27-30 et sim (in the B section) come from bars 3-4 (in the A section). Op. 79 i has its B section main tune evolved from the episode at the beginning of the development in the A section by simple extension. Op. 83 iii has a diversified middle fantasia based on motific transformations from the A section together with some new material. This fantasia divides into three sub-sections. The first of these, of ten bars, begins in bar 25 with a transformation of the opening of the movement: the opening seven notes appear in a new rhythm with the first having been previously held; the last two of these notes form the beginning of a sequential repetition of the figure produced by the first five, after which the first 2-bar phrase of this section proceeds in a developmental way with short sub-phrases and varied texture. The next transformations of the same motif occur at the beginning of the second of the sub-sections, which is bi-partite with a tail development. It begins with:- 1 (bar 1 of the movement + first note of next bar, Bb minor) + 2 (in half-bar units each unit consisting of a diminished presentation of the first five notes of the movement followed by an arpeggio, F minor) + 4 (1 + 1 +  $\frac{1}{2}$  +  $\frac{1}{2}$  + 1x being the third transformation of the first five notes of the movement, set in a triplet rhythm; the last bar of the phrase is a forceful recurrence of bar 23 of the movement). The second part of this sub-section is a responsive 7 bars to the preceding, and it is succeeded by a 6-bar tail development with the following format:- 1 + 1 the third transformation + 1x, + 1 + 1 + 1 the third transformation, basically in Bb minor. A bridge of 1 + 1x + 1 + 1x, where bars 1 and 3 are from the opening of the movement, leads into the third sub-section of the middle fantasia. This has a new theme with an accompaniment

evolved from x. A comparison of this slow and calm sub-section with the impassioned passage-work of the previous sub-section gives part of the spiritual diversity of the middle fantasia. The new theme is chromatic in F major and may be seen as 6 (→ enhanced half cadence) + 6 (including a passing reference to bars 17 and 18 in bar 68 → a perfect cadence into the returning section). This treatment of the ternary principle contrasts markedly for several reasons with that in op. 119 ii. With regard to the differences in thematic cross-over from the A section, we here have an example of simple thematic transformation, as opposed, in 83 iii, to the transformation of fragments of the opening tune. In 119 ii the first two bars of the movement transformed by mode, rhythm and texture form the first four bars of the B section, which bars are half of the exposition in a monothematic miniature sonata form. (Other differences between the B section here and in 83 iii which are incidental to the present stage of the discussion but not, of course, to the overall investigation are those of self-contained formalism and of the resultant overall ethos.) Further examples of thematic transformation of phrases rather than motifs can be found in op. 36 ii Trio where bars 165-172 are of course based upon the opening tune, and in op. 117 ii where bars 23-25 are a more lyrical transformation of the opening theme.

Some ternary forms have discursive middle sections consisting partly of development of material from section A and partly of new material. Furthermore, in that borderland between ternary and sonata forms (to be discussed later), are those movements which, although they are categorized as ternary because of the tonal unity of their first section or because of some special overall unity attaching to their middle section (both features accentuating the contrast between

the A and B sections), nevertheless have a middle section consisting of development. Some ternary forms with their B sections consisting of new material + development are, on the movement level op. 16 iii, 60 ii and 116 ii, and on the section level op. 91 no. 2 B and 117 i A. Some examples of ternary forms with middle sections wholly of development are the movement op. 10 i and the section op. 118 iii A. The C minor Sonatensatz has the middle of its ternary Trio as a short development of a motif from the middle of the ternary Scherzo.

### Section 2: The Second Modification

The modification of the archetypal ternary form by the variation of A in the returning section can be considered under four basic headings: the lengthening of the repetition, the shortening of the repetition, significant thematic variation (either by the wholesale variation of texture or by the inclusion of new material) and significant tonal variation (which can be a functional variation, often bringing the two A sections into a binary relationship, or a colouristic variation).

The lengthening of the repetition may be seen in such examples as op. 6 no. 6, 34 ii, 41 no. 1 verse, 47 no. 1, 48 no. 7, 49 no. 2, 55 no. 1, 84 no. 2 and 99 ii. These examples include a wide range of possibilities from the minimal expansion in op. 41 no. 1 verse (where the final phrase is elongated to eight bars from the original five) to the vast expansion in op. 55 no. 1 (where the original A section is of 30 bars and its repetition is of 90 bars), from the simple repetition at the beginning of the return in op. 34 ii to simple expansion, as in the above examples and also in op. 47 no. 1 or 48 no. 7 where this is tied to word-painting, and to the insertion of extra material as at the end of the returns in op. 34 ii and 99 ii. In op. 6 no. 6 instead of the phrase bars 12-13 + the final 3-bar cadential phrase of the original section, we have at bars 43 ff the two-bar phrase as

before + an inserted sequential repeat of it + an altered final phrase of 4 bars (of which bar 2 could be considered an insertion). The opening of the return in 34 ii is lengthened by simple repetition of the first two phrases (together eight bars) on different instruments; thereafter the thematic structure is as before until bar 104, the equivalent of bar 22 in the opening section and the final bar of the sixth phrase of the original tune. The original section has at this point two further phrases before the beginning of the middle section. The first, of four bars, is in the tonic (with a perfect cadence into the next phrase) and is based in SSL format on its opening bar, which is a new cadential figure (x). The second of the phrases acts as a bridge harmonically and an extended response including new material thematically; it has 8 (the opening two bars are those of the previous phrase; the following two are a development by distortion of bars 3-4 of the previous phrase; bars 5-6 are a development by irregular augmentation of a fragment of x, and bars 7-8 establish the new key with a characteristic harmonic figure y). The returning section at bar 104 has at beat 2 the final two beats of bar 22 diminished and begins with anacrusis the subsequent phrase. Thereafter the music has the following plan:- 4 (the pft has y in inversion while the strings develop the anacrusis to B which has already played such an important role in the B-A bridge passage; x is hinted at in bar 3; tonic → perfect cadence) + 9 (beginning with the opening two bars of the previous phrase and continuing with a development of bar 3 of the previous phrase for four bars + a further three bars each using the opening rhythm of the x treatment preceding; tonic with subdominant bias → tonic perfect cadence) + 9 (a fuller recall of the original x phrase beginning with its first two bars intact on the cello over a

tonic pedal). In so far as this lengthening process has, before the original cadence from A, a return of motifs from later in the movement (y and the anacrusis to B) in a coda developmental structure, which is then followed by a fuller return of the original cadence, we may consider it a technique of displacing the coda. A clearer example of the same technique occurs in the returning section of 99 ii. This is clearer because the cadence to the A section (bars 18-19) makes no reappearance at its logical place (after bar 62) until after the coda insertion of 4 bars (2 A i and 2 B i), whereas in 34 ii the insertion had also used the cadence. Thus we have seen examples of repetition, expansion and insertion as means of lengthening the returning section.

The vast expansion in the returning section of 55 i, seemingly the biggest to be found in Brahms' works, is not only of interest in itself but also because it was written at the same period as op. 54 which shows, as we have already seen in Chapter 3, the opposite technique also in extreme. This pairing of similar formal experiments is one of the hints available to a student of form in Brahms of the degree of consciousness of formal matters which Brahms had and of the importance which formal possibilities held for him. Other such pairing of like formal experiments are the two idiosyncratic binary forms in 80 and 81, and the technique of displacement (having been evolved in 16 v as we shall see) applied to other than last movements in 25 i and 26 ii (the technique is of course also used in 26 iv). Such groupings find parallel in Brahms' oft-commented-upon proclivity for writing works of the same genre and texture in pairs.

Shortening the returning section seems to fall into the following main categories: the omission of repeats within a section (with or without compensating expansion of the remaining material) and the omission of smaller sub-sections which can involve either the disappearance

of part of the thematicism of the opening section or a rearrangement of the form in the returning section. Examples of the omission of repeats, without any compensating expansion of material, from scherzo and trio type movements are 18 iii (without both repeats + coda), 36 ii (almost exact da capo without both repeats), 26 iii (without the only repeat which is, in the original section, of the first part) and 111 ii (without the repeat of the second part + coda) and 120 no. 1 iii (without the repeat of the second part, no coda). An example not from this class of movements is 118 ii where the opening tune of the original section has 4 + 4 repeated with small variants; the corresponding feature of the returning section is 4 + 4 (with small new variants) unrepeated. Examples of this type of omission but with a semi-compensating expansion of the remaining material can be found in 7 no. 2 and 104 no. 3. In the former the overall form is AABBA<sub>1</sub> where A<sub>1</sub> has, as well as important harmonic change, an extra 4-bar climactic phrase in the voice-part. In the latter the 9A<sub>1</sub> + 9A<sub>1</sub> of the original section has as equivalent in the return 12A<sub>2</sub>, in which the first four bars are as before but the latter part of the phrase is expanded. The omission of part of the thematicism of the opening section may involve its disappearance altogether from the returning section or may involve a reforming of the returning section. Examples of the former type are on the movement level 82 and 116 vi and on the section level 78 ii A, all of which involve some expansion of material. Examples of the latter type are 10 iii and 68 iii on the movement level and 25 iv section 1 on the section level, in the first and third of which no expansion is involved (save, in 10 iii, after the cadence). The opening of 82 has:- Introduction 24 + the A section: 22a (D major fugue 16 = 4s + 4a + 4s overlapped by  $3\frac{1}{2}$  with 4a overlapped by  $\frac{1}{2}$  with 4, development of the last bar of s + 6x homophonic

in ethos → half cadence) + 18a<sub>1</sub> (D major; fugue 12 = 4a + 4s overlapped by 3½ with 4a overlapped by ½ with 4, development of the last fragment of s + 6x → half cadence) + 10b (2 F major + 4 F major → half cadence in A minor + 4 F major → half cadence in D minor; over development of opening fragment of s, concluding with the cadence from x) + 10b<sub>1</sub> (4 F# minor → D major + 5 → A major → F# minor half cadence from x<sub>1</sub> overlapped with 2 cadence in C# major). This compares with a returning section in which b and b<sub>1</sub> find no place, viz:- Introduction 8 (4 as opening + 1 + 3 from the second phrase) + the A<sub>1</sub> section:- 14a<sub>2</sub> (4s + 4a + 1 + 5x<sub>1</sub> → perfect cadence in D major) overlapped by 1 bar with the Coda:- 20 (8, fragmenting the opening of s + 6, fragmenting the middle of s + cadence with reminiscence of x, + 6 present cadence developed; D major). In 116 vi the A section, of a 2 + 2 → half cadence + 2 + 2 in sequence save at close → submediant major + b 2 C# + 2 → A major + 1 + 1 chromatic supertonic in C# (and E) + a<sub>1</sub> phrase 1 omitted 2 → half cadence + 2 as before + 1 + 1 insertion x + 3 → tonic + 1 link, compares with a returning section in which b finds no place viz:- a<sub>2</sub> 2 + 2 + 2 as before + 1 + 1 + 1 + 3 expansion of insertion x + 2 → tonic + 1 link. In 78 ii A the return of the opening theme in bars 17<sup>2</sup>-24<sup>1</sup> has a re-statement of the first two bars followed by a development of the first three notes culminating in a new version of the first two bars; this is followed by yet another new version of the same, paralleling the cadence at the end of the first section (in bars 7<sup>2</sup>-9<sup>1</sup>). Thus the scalar figure in bars 2<sup>2</sup>-3 and its inversion in bars 6<sup>2</sup>-7<sup>1</sup> finds no place in the return. In 10 iii the shape aba<sub>1</sub>b<sub>1</sub>a<sub>2</sub> is altered in the returning section to aba<sub>3</sub>. 68 iii has an opening section of ababcca (where c has certain thematic proximities to a and b) and a returning section of ab (albeit expanded). 25 iv, first sub-section, has the shape aabaa<sub>1</sub> which, after a middle sub-section, reappears as

baa<sub>1</sub>. 68 iii is the representative here of a type which will be subsequently discussed in that **its** form is an admixture of ternary and rondo. Also in this discussion of partial returning sections we must remember those sections and movements which have the form aaba<sub>1</sub> which is an admixture of ternary and binary. To give a further indication of the variety to be found in the technique of shortening the return we shall conclude by comparing 54 (in which the curtailment is so drastic that the work was mentioned in Chapter 3) and 115 ii (in which the returning section has its first bar only missing, substituted for by the preceding bridge).

Under the heading of significant thematic variation we shall discuss the following possibilities:- variation of texture, consistently applied (as in 101 ii) or partially applied (as in 67 ii), the inclusion of new thematicism (as in 118 iv), the inclusion of thematicism from B (as in Sonatensatz Trio, 43 ii, 97 i and 112 iv) and melodic transformation and formal reorganization (as in 109 i, or as in 47 ii, 59 i and 121 ii carried to such an extent as to compromise severely the ternary principle and bias the form towards a fantasia type). In 101 ii the main tune of the first section (bars 4-13 and 17-27) returns in the same rhythmic and thematic structure (bars 98-107 and 111-120) but instead of the presentation being in octaves on the piano accompanied in the main by detached chords on the strings, it is now at one pitch only on the violin accompanied by legato arpeggiated chords on the piano and, except towards the end of each period, by a rhythmic canon with a free melody on the cello. This is a change mainly in accompanimental texture. In 67 ii the technique is such as could be used as part of an instrumental variation set, in that the melodic integrity of the theme is disrupted, although not severely. The technique is applied for the first eight bars of the returning section (beginning in bar 57: the tune is presented in  $\frac{1}{2}$ -bar phrases alternately on the cello and first violin,

each of which is of four quavers (except the eighth), until bar 6 wherein the first violin presents a simply decorated version for  $1\frac{1}{2}$  bars concluding with a return to the original form. In the first five bars the new accompanimental texture underlines the  $\frac{1}{2}$ -bar phrase-structure. The newness in the thematicism of the returning section of 118 iv has its roots at  $110^2$  which is the equivalent of  $11^2$  in the opening section. From there the music proceeds as before for 1 bar (with the operative transposition) and thereafter has:- 4x (the first two notes of A transposed with altered harmony repeated four times) + 4y (a new tune, albeit based upon bar  $107^2$ -108 in free inversion and 109 modified) + 4x (as before, at different octave pitch) +  $10\frac{1}{2}z$  (bar 1 of y developed for  $5\frac{1}{2}$  bars + 5 final chord); the x phrases have a subdominant bias while their succeeding phrases re-establish the tonic. In the trio of the Sonatensatz the accompanimental violin part to the returning section is an obvious derivative from the main thematicism of the middle section. The following examples of inclusion of B thematicism in the returning section are more interesting because more substantial. The return of 43 ii presents the first two 3-bar phrases of the first section as before, but then, instead of  $2 + 3 + 1$  as in the opening, the return has the final 5-bar phrase of the middle section's free fantasia +  $1 + 4$  of which only the final cadence figure parallels the closing passages of the first section. The 5-bar phrase from the middle section could be thought of as a very free paraphrase of bars 9-11 of the first section (expanding the initial scale and final arpeggio of those two bars) but it does have a distinct shape of its own (which is exactly reproduced in the returning section). The return of 97 i is partial - in the words of the song "Ein leiser Widerhall". It has eight bars (corresponding to the opening eleven) in which the piano is reminiscent of the opening section for four bars

while the voice has  $1 + 2$  based on the opening three quavers of the previous phrase, and both performers join together for a cadential 4-bar phrase using the three-quaver figure just indicated on piano and voice in bar 1 and on piano developmentally in the subsequent two bars. The tonality of the song overall makes the ternary form clear. This is not the case with the following example, 112 iv, in an unusual form with ternary influences, all parts of which are in the same key. It consists basically of a two-phrase section ending in the dominant and given a varied repeat ( $4 + 4 :||$ ) followed by a new two-phrase section ending on a half-cadence ( $6 + 4$ ) overlapped with an accompanimental link to a final 7-bar phrase (mainly vocal) which is a combination of elements from both the previous sections. Apart from the final two notes the vocal part is a decoration of phrase one of the piece preceded by an elongation of the first note; the technique of decoration is reminiscent of the second section of the piece and the cadence also comes from thence. The third section of 109 i depends upon an 8-bar tune which is given a varied and expanded repeat. Here the unvaried tune and its repetition are segregated whereas in the first section each line was separated from its successor by a variation upon it. The tune in the final section is a duple time transformation of the fractured unison tune of the first section; the first phrase here combines phrases 1-2 of the unison tune and the second phrase here combines phrases 3-4 of that tune. The two tunes are shown below.

Section 1

Section 3

In 47 ii, 59 i and 121 ii the links between the first and last sections are more tenuous because more partial and in the first two cases the last sections include new material. 47 ii has only the first phrase of its three-phrase final section connected in any obvious way with the opening section. The opening section, in F minor, has:- 4 piano + 5a + 5a<sub>1</sub> + 9b; whereas the final section, in F major, has in bars twice as long:- 4a<sub>2</sub> + 4x + 5x<sub>1</sub>. 59 i has in its 33-bar final section the same key-change as in the previous example and, also as in the previous example, a partial return of material from the opening section is succeeded by new material. Here however the material from the opening section is not from the beginning thereof but from lines 3 and part of 4; the final section overall has the thematic plan:- 4 (the third phrase of sections A and A<sub>1</sub> now in G major) + 2 (the beginning of the fourth phrase of sections A and A<sub>1</sub>, G major) + 4 (the first two bars repeat the previous phrase in the voice and the second two bars repeat it decorated in the piano); thereafter the music (9 + 12 + epilogue 3) has no overt connexion with previous material. In a number of ways these two songs are forerunners of the form of 121 ii. For a full analysis of the complex treatment of the ternary principle in this example the reader is referred to the end of the present chapter. Each of these three examples has four sections (if the plan of 47 ii is ABCA<sub>1</sub> and of 59 i is AA<sub>1</sub>BA<sub>2</sub>, the plan of 121 ii is ABA<sub>1</sub>A<sub>2</sub>) and each has a partial return in the major in its last section; each is ultimately a mixture of ternary and fantasia principles.

Significant tonal variation between the two A sections can be found in those movements which have the first A section finishing in the dominant and the second A section finishing in the tonic. The sections considered in isolation thus form the two halves of a binary form. In 51 no. 2 iii a simple small-scale sonata movement as first

and third sections ends firstly with a half cadence and secondly, after an exact return, with an extended and perfect cadence. In the first and last sections of 57 i the difference in endings is the more substantial one of key rather than chord, and this is also the case in 101 iii B. In the former of these two examples the second ending is extended (instead of four bars in the opening section, bars 11-14, the equivalent passage in the last section has seven bars, bars 62 - end) and does not use the distinctive cadence figure of the first ending but substitutes one of its own. In the latter of these two examples the difference in tonality between the endings is effected by simple transposition (bars 49-50 being in E minor and bars 69-70 being in A minor). In 45 v a substantial amount of material is involved in a transposition complicated by rearrangement of parts and a new solo descant. The chorus entry in section 1 is bars 19-26, consisting of three phrases mainly in the dominant and certainly beginning and ending in that key; the final section has the equivalent passage (bars 65-72) in the tonic with the same basic thematicism and rhythmic structure. The design of section 1 is not reminiscent of a sonata form exposition since, although it has basically two thematic areas and begins and ends in the tonic and dominant respectively, each thematic area has its own tonal progression from tonic → dominant and also the second thematic area provides the material for the introduction.

99 ii also has two halves of a binary form both thematically rich and both substantially tonally different. The three themes are presented in F♯ major, F♯ major →, C♯ major and are recapitulated in F♯, D →, F♯ majors. Here the positioning of the thematic material and tonalities in the first section is not reminiscent of a sonata form exposition, not as reminiscent, at least, as the first section of the Sonatensatz. scherzo. Here the plan is that of a miniature sonata form exposition.

It could well be argued that the whole scherzo was a sonata form of such proportions with an episodic development (which has no self-contained key scheme and motivic connexions with the exposition). This is one of those borderline cases between sonata and ternary forms. In the present study ternary designation is preferred here because of the newness and the cogent phrase-structures of the middle section.

Such organisations of tonality as have been discussed above have here been called functional differences between the two A sections because, be they ever so slight - as in 51 no. 2 iii, they have an important role in the overall form. Tovey found the idea of first sections ending away from the tonic in ternary form so difficult to accept that he denied the use of the term ternary in such cases.<sup>1</sup> Such a view is a logical product of Tovey's concern with the temporal dimension of the art of music. While however we can understand Tovey's logic here it does not mean that we have to accept it. In the present study we are concerned with the deepening of a listener's knowledge and response by a study of a composer at work, as it were; Tovey's position comes from his greater stress on the importance of the first hearing in a listener with musical sensibilities but without specialized knowledge. A clue to further justification of the opposite view to Tovey's can be found in the second sentence of the Introduction cited, which begins thus:- "The first condition for a correct analysis of any piece of music is that the composition must be regarded as a process in time. There is no such thing as a simultaneous musical coup d'oeil; not even though Mozart is believed to have said that he imagined his music in that way." If we believe that a composer used spatial concepts in his compositional process then it may well deepen our understanding of his music if we use them in analysis of the same.

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<sup>1</sup> See the Introduction to his "A Companion to Beethoven's Pianoforte Sonatas"

Three further examples must be considered in this discussion of significant tonal alterations of a functional kind in the returning section. Two of these show a subdominant return (25 ii Trio and 116 v), although in neither of these cases is the technique of simple transposition applied to a first section which ends in or on the dominant, and the third example (83 ii) shows a special relationship between A and A<sub>1</sub> belonging to the sonata form category. 25 ii Trio has an overall form of AABBA<sub>1</sub> in which A has three 5-bar phrases and cadences in the tonic with a plagal cadence into the altered repeat, which concludes in the tonic minor with an interrupted cadence into the first B section. The second B section is, unlike the first (E major), in the tonic and this must be part of the formal logic of the subdominant return. A<sub>1</sub> has its first two phrases as a transposition with new texture of the equivalent phrases in A; its third phrase begins as an harmonically altered version of the third phrase of A but through development becomes an inconclusive 16-bar link to the return of the Intermezzo preparing C minor. In 116 v the first section does end in the dominant (in another form on the borderline between ternary and sonata), but the return is an exact transposition only for its first 1½ bars. Part of the logic of the subdominant return is again to be found in the middle section which is firstly in the dominant major key and then on the dominant chord. The special design of 83 ii is that a simple scherzo and trio design has been complicated by making the trio an episode which is interpolated between the development and the recapitulation of an overall sonata form. The first section of the ternary form thus consists of exposition + development.

Examples of significant tonal change of a colouristic kind are op. 51 no. 2 ii, 83 iii, 99 ii, 67 ii, 119 iv, 64 ii, 71 iv and 45 v. The first five of the foregoing list use keys based upon a third

relationship to the tonic rather than, as heretofore in this investigation of tonal change in the returning section, relationships of a fourth up from the tonic. These five examples are based on the third down from the tonic, the first three of them using the flat submediant major and the second two using the diatonic submediant major - in all these five examples the tonic is major. In 51 no. 2 ii the first  $10\frac{1}{2}$  bars of  $A_1$  are in F major with a variant texture; more exactly they begin in F major and follow that transposition for  $10\frac{1}{2}$  bars. The original A section was binary, of 17 + 25 bars. In 83 iii the opening of the A section, of 25 bars, has:- 4a (Bb major) + 4a<sub>1</sub> (Bb) + 9a<sub>2</sub> (which touches upon the dominant (bar 3) and subdominant (bar 5) but is in a basic Bb), while the beginning of the  $A_1$  section at bar 71 has:- 4a (F $\sharp$  major) + 3 bridge  $\rightarrow$  + 9a<sub>2</sub> (as before in Bb major, with a new piano part in its latter 5 bars). These two examples show the beginning of the return coloured; 99 ii has such a key relationship within the section  $A_1$ , the second of its three themes appearing in D major. In 67 ii the A section itself is ternary with, after a 2-bar introduction, Theme 1: 4a + 4b ( $\rightarrow$  dominant, C major) + Theme 2: 2c (dominant) + 2c<sub>1</sub> ( $\rightarrow$  Ab major) + 2d (Ab major) + 2d ( $\rightarrow$  C major) + Theme 1: 4a<sub>1</sub> + 4b<sub>1</sub> (tonic; altered as to harmony and rhythm). The section  $A_1$  of the movement begins with Theme 1 in a simple textural variation (see above) in the submediant major  $\rightarrow$  its dominant (i.e. A major) and thereafter has:- Theme 2 being 2c<sub>2</sub> (on dominant of D, with a new countersubject in the bass using the scalar fourth from bar 2 of the introduction) + 2c<sub>2</sub> (on the dominant of F with the new countersubject in the treble) + 2d + 2d (both as before as to structure and pitch) + Theme 1 being 4a<sub>1</sub> + 4b<sub>1</sub> (intact). A similar technique is used at the beginning of the return of 119 iv where the first 20 bars appear in a simple textural variation and in the key of C major (the tonic of the A section being Eb major). 64 ii and 71 iv are both

examples where the mode of  $A_1$  has been changed from minor to major. In the former this is on the movement level and is accompanied by an expansion of the section. In the latter this is on the phrase-level (being used in each of the first three strophes of a four-verse song in which the fourth strophe is wholly in the major) and is accompanied by much alteration, the return having two expanded major versions of the first of two motifs in the original A section. The opposite modal change can be seen in partial use in the return of 45 v. Here the first fourteen bars of the A section (which had:-  $3\frac{1}{2}$  introduction + 5b in the voice decorated with decorated diminutions in the orchestra → enhanced half cadence + 2, perfect cadence in dominant +  $1\frac{1}{2}$  altered version of previous cadence → dominant + 2 new perfect cadence in D major, the phrase opening with dominant minor coloration) is represented in the  $A_1$  section by 12 bars with the following detailed structure:-

$2b_1$  introduction (the first two bars of b with dominant 7th harmony) +  $5b_2$  (contour slightly changed in bar 3, details of melody and new harmony give a tonal structure of C minor → half cadence in G minor) + 2c (Eb minor → half cadence in that key; a new phrase) +  $2\frac{1}{2}$  (a slightly expanded version of the fourth vocal phrase of A → perfect cadence in D major).

Heretofore in the discussion of tonal change we have been concerned with change within a closed tonal system; we shall conclude with two examples where such change is not enclosed. In 52 xviii the return in the mediant minor is part of a piece with progressive tonality (the piece begins in Bb minor and concludes in its mediant major), and the tonal changes in 53 ii are a concession by the closed form of the section to the open form of the piece. This second section of the piece has as its first A (sub)-section  $abb_1$  C minor → Ab major whereas the returning sub-section has  $ab_2$  C minor → G major.

### Section 3: The Third Modification

The basic ABA contrast can be further modified by the recurrence of some material from B in the coda. This technique is to be found mainly on the movement level in instrumental music, although 101 ii B is an example of it on the section level and 45 v is a vocal example. The technique is of two types, one concluding the movement with material from B, the other concluding the movement with material from A after the recurrence of the B material. The first type gives a binary bias to the form while the second gives a specialized rondo bias.

The recurrence of the material is partial (otherwise the forms would become full examples of binary or specialized rondo) and usually involves a change of key from that of its first appearance. In the type involving binary bias the recurrence can be as partial as the merest hint in 90 iii, where the first two chords each of its two phrases recall the first chord of the B section, or as full as the 13 bars in 51 no. 2 ii (from the second part of the middle) or the complicated 19-bar coda of 102 ii, but it is usually somewhere in between these possibilities. In the type involving binary bias the recurrence is always in the tonic of the A sections, although this can well include subdominant coloration (as in 68 iii or 76 vi). Such recurrence sometimes involves a change of mode for the B-section material (as in 115 ii from minor to major, or 118 iii from major to minor), sometimes involves a change of mode from minor to major at the end of the movement where B, being major, recurs without change after a minor A<sub>1</sub> section (as in 2 iii or 25 ii), and sometimes involves no such changes where the A and B sections happen to be in the same mode (as in 68 iii or 102 ii). The ethos of the recurrence is often in the nature of quiet reflective restatement, but Sonatensatz has a climactic version of the first four bars of B extended (in the tonic major) and 76 vi has

a development of bar 1 of B in two motifs albeit in a cadential setting. The following are typical examples:- 2 iii (with the first  $3\frac{1}{2}$ -bar phrase of B in the tonic major), 25 iii (with phrase 1 of B (5 bars) extended in the tonic major), 101 iii (with two four-bar phrases using material from bar 51 in their first halves, chromatic in the tonic major), 111 iii (the first two 2-bar phrases of B, the first in inversion, overlapped with a 10-bar fragmentary development; in the tonic major, B's original key), 116 iv (phrase 1 of B extended, chromatic in tonic major) and 118 iii (with the first 2 bars of B, being half of the first phrase, in the tonic minor + the first note of bar 3 held as the top of the final chord for 2 bars). The most complex of these binary-bias codas occurs in 102 ii at bar 100. It is of 19 bars with:- 4 (the first two phrases of B on the orchestra, with the middle of B on the soloists as descant and the first two notes of A twice in the strings) + 6 (development of the soloists' descant by the soloists, and of the opening of B on the strings) + 9 (the first four notes of A developed for 4 bars with the opening of B in evidence, which after 2 bars becomes the recurrence of the special material of the B - A<sub>1</sub> bridge (at bar 71), the movement concluding with a cadence based on this figuration). The coda is chromatic in D major including much subdominant bias, and, at the end of the 6-bar development, a prolonged neapolitan preparation. In the interesting and special case of 117 ii the binary-bias coda in a ternary analysis could also be the recurrence, altered, of the second subject in a sonata analysis.

Examples of the rondo-bias coda may be seen in op. 51 no. 1 ii, 60 iii, 78 ii, 90 ii and 120 no. 1 ii, of which the most substantial is 78 ii, with 18 bars from the middle section + 13 from the outer sections, and the slightest is 120 no. 1 ii with 4 bars from the middle section + 7 from the outer sections. 51 no. 1 ii has 11 + 11 bars,

60 iii 8 + 4, and 90 ii has a more complex coda of 8 (a new evolution from the cadence to A) + 6 + 13 and thus has a bias not towards ABABA form but towards ABACBA form.

#### Section 4: The Fourth Modification

The natural purpose of a bridge passage is to effect a smooth join between sections. Such a join may be made primarily by thematic means (as in 2 iii Trio → Scherzo, 25 ii Trio → Scherzo and 114 iii A → B where it is an important part of the purpose of the overall form to make clear the thematic connexions between A and B), by tonal means (as in 99 ii B → A and 120 No. 1 ii B → A) or by textural means (as in 115 ii A → B where the transition is one of ethos, and 116 vii B → A where the purpose of the bridge, and its only purpose, is to present the return of A as a climax). Occasionally Brahms invests bridge passages with more importance. This can be either because the bridge carries its own thematicism or because it carries important development. The former, rare, technique can be seen in 68 ii .

The enrichment of the thematic resource by the inclusion of two bridges each carrying their own distinct thematicism must be seen as part of a larger purpose in which the similarities of motif between sections A and B are involved. Examples of the bridge as a carrier of important development are 25 iii, 60 ii, 115 ii and 117 ii. In 25 iii the importance can be gauged somewhat from the simple proportions involved (A 39 + bridge 35 + B 69 + bridge 24 + A<sub>1</sub> 39 + Coda 29). The middle section of 60 ii can be seen as having 43 bars of episode in a binary format + 40 bars of development of the opening eight bars of the movement; this latter takes on the role of a bridge passage in so far as it has no cadential point until it cadences into the returning section. In 115 ii the bridge from B → A also acts in the role of climactic coda to B, and in 117 ii the bridge from B → A acts also as

a development section in a possible sonata form analysis.

### Section 5: The Fifth Modification

Much has already been said incidentally of some structures of individual sections in ternary form, but some further codification and exemplification is necessary in the matter of the discrete form of some sections. With regard to A sections we have already seen examples of formally coherent structures in 51 no. 2 ii (binary) and 67 ii (ternary), and of progressive structures in 99 ii (with its succession of three themes) and the Sonatensatz (with its sonata form exposition shape). To this latter type repetition (possibly with modification) lends logic. To discrete B sections no such logic is of course lent. With regard to B sections we have already seen an example of formally coherent structure in 119 ii (to which may be added most of the Scherzo and Trio type movements and 51 no. 2 ii, and 85 i and 94 ii both of which show binary structure while being tonally progressive) and examples of progressive structures in 43 ii and 83 iii. Common twofold discrete B sections have either two episodes, forming the plan ABCA<sub>1</sub> (examples of this type are 46 i, 59 iii, 67 ii and 106 iii), or an episode followed by a development of A, forming the plan AB dev. of AA<sub>1</sub> (examples of this type are 16 iii, 60 ii and 116 ii). The last of these examples has as its development of A a kind of developmental variation, and it is difficult to determine (if this is indeed necessary) whether it should be regarded as part of the B section or part of an expanded return. There are some threefold discrete B sections - in 73 ii, 83 iii and 90 ii on the movement level and in 91 ii B on the section level. 73 ii B has a nearly self-contained tune (the final cadence is missing) of 12 bars in a miniature sonata format, followed by a new tune of 2<sub>2</sub> (F<sup>#</sup> major - the key of the previous 12-bar tune) + 2<sub>2</sub><sub>1</sub> (→ B minor), with a developmental pseudo-fugue

on z of 8 bars (modulatory), which is followed by 8 bars which mix a development of the opening of the movement with the material at the close of the preceding phrase. The threefold middle fantasia of 83 iii has already been described. 90 ii has three distinct tunes (10 + 6 + 6) with a slight hint of ternary in that the last of the tunes grows from the accompaniment to the first, the middle tune being quite different. 91 ii B has (at bar 40)  $2_x + 2_{x1}$  A minor +  $2y$  (half cadence in G) +  $2y_1$  (in sequence, a half cadence in A) +  $3z$  ( $\rightarrow$  A major) + (overlapped by 1 bar)  $2 + 2$  from the opening of the A section + 2 sequentially linked to the preceding (the last three phrases descend in sequential  $\frac{6}{3}$  chords, one per phrase, A major, G major and F major). The first part of 89 has an idiosyncratic form which can be seen as ternary with a four-fold middle section; it can be represented by the formula AB Dev of A B Dev of A A. It has clear influences from sonata form, and its opening three features parallel sonata form exactly.

#### Section 6: Proximities to Other Forms

Ternary form has a close proximity to two other forms, so much so that the borderlines of definition are blurred. These two forms are sonata and rondo. The proximity to sonata needs but little explanation because the proportions of sonata form, considered alone, are already ternary. This borderland between ternary and sonata is inhabited by smaller forms. The specialization of ternary towards sonata consists in an ordering of the A section either with two subject areas the second in a related key (as in the Sonatensatz Scherzo) or as a thematically unified structure with a related key at the close (as in 102 ii B), and an ordering of the B section to be essentially development rather than a passage forming a self-contained contrast. Between the episode of pure ternary form and

the development of sonata form exists a kind of half-way position of a self-contained section, thematically speaking, with motivic relations to A (this can be seen in Sonatensatz Scherzo, 102 ii B and 116 v) which here we have preferred to call a ternary feature. If we apply the above considerations to Sonatensatz Scherzo, 38 ii Minuet, 102 ii B, 116 v and 118 iii A, we conclude that they are all best described as ternary for the following reasons: Sonatensatz has a contrasted ethos in its thematically cogent middle section (in spite of the motivic relations with A), 38 ii Minuet has a first section of unified thematicism ending with a half cadence in the tonic (its middle consists of development + episode), 102 ii B and 116 v have thematically unified A sections each ending in a related key and B sections which are self-contained with motivic relations with the A sections, and 118 iii A has a clear case of development in the middle but its first section, of unified thematicism, closes in the tonic. The forms aaba (both as a four-phrase structure and as something a little larger, examples of which are:- 34 iii Trio, 59 ii, 71 i, 71 v, 90 iii A, 95 vii and 115 ii A) and the related a :||: ba (as may be found in 25 iv C i and 52 i, v, ix, xi, and xviii) are of frequent occurrence and their categorisation as binary (sonata) or ternary, if ultimately it matters, must depend upon the above considerations. 117 ii is a new way of confusion between sonata and ternary in that two analyses are possible, with the bridge from B - A in the ternary analysis being a development in the sonata analysis and the coda in the ternary analysis being an altered recapitulation of the second subject in the sonata analysis.

The forms in 13, 33 iv and 68 iii show one of the possibilities of proximity between ternary and rondo forms. In the ternary view these examples have a ternary A section and a partial return which

omits two parts of that ternary section. This would be an obvious simple rondo form but for the similarities between A and B and the dissimilarities between A and C, in the overall ABACA pattern, and but for the proportions which show ABA to be of size with C. In 13 a simple agglutinative structure, of  $A_{24} + B_{10} + A_1_{14} + C_{40} + A_2_{18}$ , all sections are in C minor save the C section in C major; the C section also sees an increased use of colouristic modulations and less regular phrase-lengths; it also has its own ternary organisation. 33 iv is exactly analogous, with a ternary C section showing greater differences of key and thematicism between itself and A than occur between A and B. In 68 iii the C section is binary and the B section (bars 45-61) shows marked motific connexions with A. In 114 iii, where the ternary nature of the form is emphasized by the fact of the movement being a minuet and trio, the similarities exist between B and A but the proportions of the form -  $A_{56} + B_{41} + A_1_{16} + C_{56} + A_2_{37}$  - would indicate a further example of rondo form. This movement is an idiosyncratic mixture of rondo and ternary principles.

Rondo-sonata form as has been understood in the past by English theorists is of course already a ternary form (ABACABA) with which sonata form has but little to do. The little that it does have, the appearance of B in the dominant and  $B_1$  in the tonic, is dispensed with in 91 ii in which B is at the same pitch on each occurrence (beginning in A minor). There are two other special cases of rondo form bias in ternary movements not dealt with above, which are 91 i and 26 ii. In the former each section of the ternary structure is binary and each second half of the binary structures is the same; thus the overall pattern becomes  $AxBx_1Ax$  ( $x_1$  does differ from x by having minor coloration in its second half). 26 ii is more immediately interesting from the viewpoint of the present study, since it could well be a case where Brahms is using a conscious displacement technique. The form is

certainly unusual in Brahms' works; it has the immediate shape of a rondo form with partial returns, the second episode being a partial return of the first. A diagrammatic presentation of the shape would be ABACDABCA. But if Brahms took ternary form as his starting-point (ternary form with ternary sections) then the form can be explained by a simple displacement and transposition - the last part of the middle section of the overall ternary design has become displaced into the returning section. This movement was written at a time when Brahms first used the displacement technique in a sonata form first movement.

Section 7: Two other, ancillary, aspects of Brahms' use of the Ternary Principle.

Two further aspects of Brahms' use of the Ternary Principle remain to be elaborated; both have already been mentioned in the present work. The first is the notion of the frame, which was mentioned at the beginning of the present chapter, and the second is the use of the ternary principle mixed with strophic principle in special ternary song forms, which was mentioned at the close of Chapter 3. The frame is of fairly rare occurrence, but can be seen in 68 iv, 76 vii, 91 ii and 115 iii. In 68 iv an important theme is used only in the introduction and coda (bars 47-51 and 407-416), and it forms proportionally but a small part of each. 76 vii is a simple framed sonata movement, with an 8-bar independent theme appearing both before and after a miniature sonata form of 58 bars (with repeats). In the subsequent two examples the material of the frame is used within the framed movement. In 91 ii the borrowed 'Altes Lied' appears fully as introduction (bars 1-10) and epilogue (bars 145-154) but generates much of the thematic material in an obvious way for the outer sections of the ternary form. 115 iii can be seen as one of Brahms' formal

experiments with the scherzo and trio type. In this movement the scherzo element is a central sonata design of 159 bars in B minor (the bars each of half the length of those of the introduction), and the trio element is a 33-bar introduction in D major, which is partially recalled at the end of the coda of the succeeding sonata, and which thus acts as a frame. The introduction acts as a generative section for the material of all but the second subject of the ensuing sonata, the introduction thematicism undergoing metamorphosis to provide the material for the sonata save in the case of the figure x (bars 20-23), which lyrical shape appears at times untransformed (especially during the development section) and gives a rondo aspect to the form. 76 i has: Introduction + A + A<sub>1</sub> + development + A<sub>2</sub> + Introduction + coda. It may be considered as a movement with a displaced frame.

The mixture of strophic and ternary forms is hardly special when it involves only single repeats of sections (as in 63 viii and 86 v both with a basic ABBA form, or yet in 63 iii and 84 v with a basic AABBA), but becomes more so when a section appears more than twice. The first section can appear up to five times (14 ii and 14 v both have it three times, 43 iv has it four times, and 22 ii has it five times); the second section can appear up to three times (three times occurring in 14 iii and 22 iv), as can also the final section (as in 43 iv). 43 iv has the largest number of verses with nine; 14 ii, 22 ii and 22 iv each have seven.

#### Section 8: Two examples of Ternary Form from late works.

To close this study of Brahms' use of the ternary principle we shall consider in detail two examples of movement-level ternary form from his last works:- 120 no. 1 ii (of 1894) and 121 ii (of 1896). The two uses of the form are in much contrast, the first being simple music clearly organised and the second showing the compromise of

ternary with fantasia form which was earlier mentioned - it has as it were a formal prose paralleling the prose of the text.

120 no. 1 ii has a simple ternary form with coda, in which the AB and A<sub>1</sub> sections are binary and there is a bridge between B and A<sub>1</sub>. A has 12 + 10 in which each period has a similar thematic progression. The detailed design of the first period is:- 4a (Ab major, with distinctive diatonic discord harmony and a distinctive anacrusis figure to the second two-bar phrase and to the subsequent phrase) + 2b (Eb major, the anacrusis developed in the clarinet over a figure x in the piano) + 4c (F minor → Eb major; x appears in the clarinet in diminution and sequence in the first two bars of the phrase and this flows into an arpeggiatic cadence figure (y) → an interrupted cadence); a pianoforte imitation of y acts as link over the interruption to + 2 (a repetition of the cadence repaired to a perfect cadence in Eb, with link harmony). The second period of A has:- 4a<sub>1</sub> (as before save that the harmony of the final bar is altered, as is the anacrusis at the close of this bar) + 2b<sub>1</sub> (the anacrusis developed in similar texture to b with changed harmony and melody - x appearing decorated and distorted in the clarinet - now in Ab major) + 2c<sub>1</sub> (→ interrupted cadence in Ab; only the closing cadential figure of the original c appears and it is expanded in intervallic range); as before a pianoforte imitation of this figure acts as link to + 2 (a repetition and repair of the previous cadence, Ab major + link harmony). B follows directly; it has the plan 8 + 10 again with each of the two periods having similar thematic progression. The first period of B has:- 2d (in 1-bar units, each bar being a half cadence in Db, and the first bar (piano alone) being melodically a decorated diminution of bars 1-2 of A without the anacrusis from the end of bar 2) + 2d<sub>1</sub> (d repeated a tone lower; this corresponds with the sequence in bars 3-4 of A, which have the

previous two bars in diatonic sequence, altered)+ 4e (the phrase, beginning a further tone lower on a chord of A major, develops the arpeggi of d and d<sub>1</sub> → a half cadence in Db minor in the piano; the clarinet has a more sustained counter-subject). The second period of B has:- 2d (similar thematicism and same harmony, with a change of texture) + 2d<sub>1</sub> (thematicism and harmony as before with change of texture as in the previous phrase, from which however it is displaced by an octave) + 4e<sub>1</sub> (the piano begins in the same way as it did in e but changes harmonically in the second half of the second bar → half cadence in E major; the clarinet counter-subject has a more elaborate opening while the final two bars have the original disposition) + 2e<sub>2</sub> (the harmony of the previous two bars is repeated while the clarinet has an expansion of its counter-subject at that point - including y in diminution in bar 1). The 8-bar bridge, in the nature of an anticipation of A<sub>1</sub>, follows immediately; like the main sections of the movement it also is bi-partite thus:- 4 (based upon a in E major; the harmony of the first 3 bars is intact, and that of the third is prolonged into the fourth bar; the tune is intact for 2½ bars, after which a semiquaver triplet version of the anacrusis in the latter half of bar 2 appears and gives rise, in bar 4, to a recitative in triplet semiquavers; the texture is altered, the clarinet helping to accompany the piano RH) + 4 (constructed as the previous phrase with the following changes:- (i) harmonic: the key is now C major, (ii) melodic: the final bar is of the same rhythm as previously but is altered as to melody, and (iii) textural: the phrase is for piano alone). A<sub>1</sub> follows directly; it has the same structural and harmonic plan as its prototype and contains the following changes of detail:- (i) changes of tune: bars 1-10 of the clarinet part are now an octave lower than formerly, (ii) changes of accompaniment: bars 1-10

have new texture as do also bars 13-20, and (iii) the final bar is altered as to melody to form a link to the coda. The coda is of 11 bars and is bi-partite with:- 4 (1 + 1 + 2 a development of d, with subdominant lean) + 7 (the first 4 bars of a appear over a tonic pedal opening with continuation of the subdominant lean and concluding with a perfect cadence in Ab; the final anacrusis of bar 4 is missing and the final chord is held for a further 3 bars).

The ternary form of 121 ii divides into four sections with a plan which can be broadly represented as  $ABA_1A_2$  where the first section is complete with a perfect cadence at bar 14, the second section is concerned both with contrast to and supplementation of the first section and ends after modulation with a half cadence, the third section beginning in the tonic but modulating is concerned with the initial thematicism of A, and the final section in the tonic major is concerned with the second thematic notion of A. The form has of course binary influence in the proportions and in the harmonic concepts at the end of B and beginning of  $A_1$ , but the ternary element of contrast is present, both in the thematicism of the B section and in the harmonic disposition overall which shows tonal stasis in sections A and  $A_2$  and modulation in sections B and  $A_1$ . The form has something in common with the four-section ternary forms which have already been discussed (including the non-vocal 116 ii), and the tonic major conclusion is also a feature which has been previously noted. The details of the form in 121 ii, perhaps the most complex of all Brahms' ternary forms, are as follows. The first section, of 14 bars and 3 phrases, has:- 2 Introduction, on the arpeggio from the subsequent phrase + 4a ( $\rightarrow$  half cadence) + 4b ( $\rightarrow$  half cadence) + 4b<sub>1</sub> ( $\rightarrow$  perfect cadence); the connexions between a and b are tonal, in that the tonic prevails throughout, and thematic, in that the bass

of  $b$  and  $b_1$  has initially an arpeggio, and in that bars 3-4<sup>1</sup> of  $a$  have something to do with bars 1-2 of  $b$  (and the melody of bars 3-4 of  $b$  is extracted, with the addition of decoration, from the previous two bars). The second section, of 22 bars and 5 phrases, has a ternary substructure in which the middle part is derived from  $b$  while the outer parts are mainly new. The broad form may be represented thus:-  
 $x + x$  (Eb major) +  $b_2 + b_3$  (mainly in D minor) +  $x_1$  (mainly G major)  
 where all the phrases save the last are of 4 bars length. The first of these phrases opens with the figure  $x$  in the pft RH (this is a 2-bar figure taken from notes 2-4 and 6-7 of  $a$  in new guise) and the phrase is over an irregular augmentation, of 4 bars, of its inversion; the voice enters over the last two bars of this inversion with a new shape (a reorganization of the downward arpeggio) while the pft RH has  $x$  in regular 1-bar diminution twice. The second phrase of the section is a varied repeat of the first with the voice taking part in the first 2 bars, the voice's original shape in bars 3-4 omitted, and a melodically varied last bar. The third phrase of the B section has  $b$  modified in the harmonic context of D minor → enhanced half cadence, while the fourth has a greater modification (disturbing the hitherto consistently conjunct motion of the  $b$  phrases) in the harmonic context of G minor → perfect cadence in D with tierce de picardy. An imitative pianoforte 1-bar link in the last bar of this phrase leads to:-  $5x_1$  (prolonged by silence for 1 bar) in a basic G major, with the bass augmentation as before and the first 3 bars of the melody (2 bars of the figure  $x + 1$  bar diminution) likewise, but the two-bar cadence is a new evolution. The third section, of 24 bars and 6 phrases, has:-  
 $4$  (tonic, an expanded version of the opening arpeggio of  $a$ ) +  $4c$  (a new responsive phrase → half cadence) +  $4$  (another expanded version of  $a$ , G minor with the chromatic supertonic in a very strong position

at the end of the phrase) +  $4c_1$  ( $\rightarrow$  half cadence in the dominant minor) + 4 (on an ambivalent diminished 7th chord, with silence from bar 3 - an important part of the textual presentation) +  $4c_2$  (E minor  $\rightarrow$  half cadence). The feeling of this section is one of development, despite the basically static phrase-structure. The key pushes out on the sharp side, and theme a is developed firstly by rising pitch and then, in the fifth phrase of the section, by a statement of only just over half its substance. The new phrase c has its most obvious alteration in its third interval which rises from a major 2nd to a major 3rd to a perfect 4th in the three presentations. The fourth section is of 15 bars (including the epilogue) and 2 phrases. It has:- 4 (2 + 2) + 5 as vocal phrases, of which the first is based on a version of the first bar of b, while the second is based on the second bar of b for its first two bars and on the last bar of b for its final three bars. A 7-bar epilogue overlaps the vocal cadence, and is based upon it. The section is in the tonic major throughout.

CHAPTER 8: OTHER CONTRAST FORMSSection I: Rondo

The four basic types of rondo form to be found in the music of Brahms can be represented by the following diagrams:- ABABA, ABACA, ABACBA, and ABACAB<sub>1</sub>A. The first type is simply a multiplied ternary form, which we shall call specialized rondo; the second is the accepted sense of the term rondo form and we shall thus call it ordinary rondo; the third is a combination of both the previous types which we shall call extended rondo; and the fourth is what is understood by English theorists as rondo sonata, and, believing rather in avoiding confusion than in the aptness of the name, we shall continue with the term. More important than any terminology are two facts concerning this list, namely (i) the forms appear in order of basic complication and (ii) the order of appearance is coincidental with the seeming frequency of occurrence in Brahms' works (the specialized rondo being the most frequent and the rondo sonata the least frequent - provided, with regard to this latter, those movements which have here been analysed as sonata with displaced development are excluded from reckoning). (The proximity of sonata with displaced development form and rondo sonata form has been previously discussed, but it ought to be pointed out again that the separation of the two forms is not intended as a polemical correction of any previous work but as an attempt at further explication of Brahms' procedures by more detailed distinctions.)

Table 16 shows the occurrences of these forms and on what structural levels they may be found. These forms find their main use on the movement level. They appear to have no application on the multi-movement level, while they are found occasionally at the section and phrase-levels. From

TABLE 16. Brahms' uses of Rondo Forms

<u>Rondos</u>	<u>Movements</u>	<u>Sections</u>	<u>Phrases</u>	<u>Some Influences</u>
ABABA	6 i, 31 i, ii, 33 ii, 40 i, 45 i, 63 ii, 73 iii, 88 ii, 100 ii, Op. Posth. ii	1 iv B, 5 v coda, 25 ii Scherzo (possibly sonata), 67 iii T, 78 ii B, 78 iii B, 101 ii A, 108 i second subject, 117 iii A	50 ix, Ophelia Lieder iv	51 no. 2 iii (in ternary), 16 v (in sonata)
ABACA	1 iv, 4, 5 v, 15 iii, 33 xiv, 49 v, 52 vi, 63 i, iv, 78 iii, 114 iii, Kleine Hochzeits- Kantate, 45 iv (an equivocal case)	93 b section 1	40 iii opening, 41 ii verse	67 ii, 89, 90 i (in sonata) 108 i (in sonata)
ABACBA	10 iv, 11 vi, 25 iv, 76 ii (could be ternary) 76 v, 77 iii, 120 no. 1 iv, 33 xv, (AB dev. ABCA)			
ABACAB <sub>1</sub> A	18 iv, 99 iv, 100 iii, 102 iii, 114 ii.	74 i section 1, 102 iii C (without A <sub>3</sub> )		All sonata forms with displaced development have the first subject appearing in the coda. The nearer the appearance is to statement (as in 114 iv) rather than development, the closer is the movement to Rondo sonata form.

the Table it will be seen that the form ABACBA does not appear on the section or phrase-levels and the form ABACAB<sub>1</sub>A does not appear on the phrase level. It will also be seen that the first uses of specialized rondo form on the movement level are Op. Posth. ii in instrumental music and 6 no. 1 in vocal music, and that this form is used for the important experimental first movement of op. 40 and the important experimental middle movements of op. 73 iii, 88 ii and 100 ii. The first uses of ordinary rondo on the movement level are in op. 1 iv in instrumental music and in 33 no. 14 in vocal music. The first instrumental uses of extended rondo and rondo sonata forms are 10 iv and 18 iv respectively. Neither form is used in vocal music, save that the idiosyncratic form of op. 33 no. 15 has been grouped in Table 16 under the heading "extended rondo."

Similar modifications to the basic contrast-archetypes occur in the rondo forms as occurred in ternary form and these will be studied under the similar headings of (i) the blurring of thematic contrast (ii) the variation of repeated sections (iii) the use of the coda (iv) the use of bridge-passages and (v) a study of differing structures within sections. The blurring of thematic contrasts between sections may take place between A and the Episodes, between the Episodes and A<sub>1</sub> or 2, or between the Episodes themselves.

A selection of examples showing thematic connexions between A and an episode or episodes and also showing a cross-section of the available techniques of such thematic connexion might be as follows:- op. 6 no. 1, 63 no. 1 and 77 iii (showing ancillary uses of thematicism derived from A), 33 no. 15, 73 iii and 114 iii (showing thematic metamorphosis between A and an episode or episodes, 15 iii and 76 v (showing small motific connexions), 76 ii (showing more important motific connexions) and 18 iv

ll4 ii and l iv B (showing middle development). Op 6 no. 1 has bars 5 and 7 of each of its identical 10-bar B sections as a transposition into the dominant major of bar 3 of its A section; in addition bars 2, 4, 6 and 8-10 of the B sections are evolved from bar 5 of the A section. In the B section of 63 no. 1. at bars 27-28 and 33-35 of the song both the notion of shorter cadential phrases at these points in the structure of the episode and the rhythmic formulation and texture of the accompaniment are cross-overs from the A section. The C episode shows the same influences but now separated: bars 60-61 show the shorter cadential phrases and bars 63-65 show the characteristic accompaniment. In 77 iii at bar 120 the C episode has 4 (G major → D major) of its own tune + 4 from A (B major → E major) whereafter the episode continues restating and evolving its own tune (2 E major → + 6 C major → + 5, G minor). The quotation from A recalls the bridge from A<sub>1</sub> → C rather than A itself.

In 33 xv the C section, distinguished by the speed change to "Lebhaft," begins and ends with a simple metamorphosis of the opening four bars of A, which happen to be a pianoforte introduction to the main theme of A for which they also act as accompaniment. The first note of each bar is doubled in relation to the others and bar 4 is altered as to pitch. Of 73 iii Hopkins says: "In form it is a combination of three things: a rondo, a set of variations and an inversion of the classical scherzo and trio".<sup>1</sup> It is with his second point that we are at present concerned, because this is his way of describing a situation where the B episodes of a specialized rondo form are evolved mainly by thematic metamorphosis from the A section. Bars 33-40 are the first eight bars of the first episode and are a simple transformation by repetition of notes and changes of metre, rhythm and accentuation of the first eight bars of the

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<sup>1</sup> Talking about Symphonies, p. 120.

movement. After ten bars developing the cadence the episode continues with its second main tune which is related in a less obvious way to the opening of A; bars 1-2 of the new tune are a free inversion of bars 1-2 of the movement and an extension also of bar 8 of the movement. The second episode uses these two thematic notions in a different transformation and in a form curtailed by omission (of the first part of the ternary plan of the first episode) but in fact lengthened (by expansion of both the remaining parts of the plan). Bars 132 ff show the new transformation of the second main tune of the first episode and bars 172 ff show that of the first main tune, in the cello part. 114 iii has already been somewhat discussed in the previous chapter. It is basically a rondo form which has been strongly biased towards ternary form by making the first episode extremely close to the A section in thematicism. This episode has 8 x (a four phrase tune on the clarinet has (i) the first three notes of A transposed, (ii) the same inverted, (iii) notes 4-7 of A transposed, and (iv) the first three notes of A in retrograde and irregular augmentation; the cello has imitation throughout; F# minor → C# minor) + 8y (4 beginning with the first three notes of A which are developed into a new ending, C# major + 4 a descant version of the previous phrase, C# major + link harmony). This is the first half of the binary episode; the second follows a similar thematic progression with altered tonality.

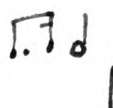

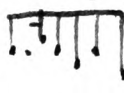
Examples of small motific connexions between A and episodes may be seen by comparing bars 66-7 (which are the opening of the second tune of the first episode) with the opening bars of the movement in 15 iii, and bars 240-1 (part of the second episode) with the accompaniment of bars 1-2 of the movement. (A further connexion between C and A is the occurrence of bars 1-2 of A as one of the counter-subjects in the fugato at the end

of C.) 76 v has an even slighter example in that bars 1-4 of the second episode (et sim), that is bars 53-6 of the piece, are each an inversion of bar 1 of the piece; however the material involved is nothing less common than the scalar third. On the other hand from the same set of pieces, in 76 ii, may be found some most important motific connexions. Here the opening of the second episode, bars 46-8, has the fragment bar 7 beat 1 in augmentation twice in the treble accompanied by the fragment bar 1 beat 2 in the alto; but the more interesting thematic cross-over in this piece is between the A section and the B section. The B section consists of a six bar tune in D major + a transposition of the link of 2 bars from the end of A, the whole being repeated. The six bar tune uses exactly the rhythm of bars 5-10 of A, (which is of distinctive character) without utilizing the melodic shape of the motifs.

18 iv and 114 ii are both rondo sonata movements with a middle section consisting both of new elements and of development of old material. 1 iv B shows nothing but development in its two episode areas.

The examples 5 v and 31 i both show a final return of A much influenced by episodic material, and 11 iv shows a second episode much influenced by previous material mainly from the first episode. The return  $A_2$  in 5 v beginning at bar 194 has:- (2(phrases one of A, tonic, over a new bass from C(bar 1))) + 2(from phrase three of A → dominant, over the same bass melodically altered) + 10(from bar 1 of C as developed at the end of that episode, F minor → Ab major) + 2(from phrase one of  $A_2$ , Ab major) + 2(from phrase two of  $A_2$ , modulatory) + 3( from bars 11-15 of A, dominant minor + major chord). Thereafter the return is unaffected by C until bar 236 which sees the beginning of a new 13-bar bridge passage to the coda, and this bridge is based upon bar 1 of C as developed at the end of that episode. In the final section of 31 i the juxtapositions

from the B section into a coda.

of tonality, theme and texture which before occurred between A and B now occur within the section.. The basic form of the section, unlike that of either A or B is a simple strophic binary of 17 overlapped at the cadence by 25, an epilogue being added to the second strophe. The details of the form are as follows:- 2(alto and bass; the first two bars of A in homophony and in  $A^b$  minor; melodically slightly varied) + 2(soprano and tenor; thematically new but recalling the smooth flow of B and more particularly the scalar motion, in  $A^b$  major  $\rightarrow$  perfect cadence) + 2(the alto and bass continue with bars 3-4 of A in homophony and in  $A^b$  minor  $\rightarrow$  half cadence in relative major; melodically exact) + 2(soprano and tenor; their previous phrase reproduced in  $C^b$  major  $\rightarrow$  perfect cadence, with anacrusis added) + 4(alto and bass; the tendency towards heavy repeated notes distilled into a new theme;  $F^b$  major  $\rightarrow$   $E^b$  major, still homophonic) + 5(soprano and tenor; a soaring cadential phrase using in the main scalar motion;  $A^b$  major). The cadence is overlapped with a repeat of the above plan. The accompanimental rhythm to the first strophe is taken from A save for the final 4 bars which come from B. The repeat of the strophe is intact as far as rhythmic structure is concerned (with the cadence overlapping with a 9-bar pianoforte epilogue continuing the cadence) but it is altered as to melodic detail. The key-system is intact, the final cadence thus being in the key of the episodes rather than of the opening section. The accompaniment combines in closer fashion the two figures x  and y  which have characterized the previous A and B sections respectively. It begins with  $2x + 2y + 2x + 2y$ , after which it combines the two figures into z  and uses all three figures thus  $4z + 2y + 6z + 2x$ . In 11 vi the C section, beginning at bar 142, has a collation of old and new material, the old material coming mainly from the B section but a subsidiary theme from A also appearing. C has

the following plan:- 4(from the accompaniment at the opening of B (bars 71~~f~~) with a motif from the beginning of the tune at this point; C major → dominant) + 10(bars 1-4 of the opening tune of B in the bass over a pedal, and developed subsequently + a new tune using the rhythm of this characteristic theme from B; C major → enhanced half cadence) + 8(bars 1-4 of the previous phrase slightly altered + a development of the same → B $\flat$  major) + 7(subsidiary theme from A (bars 17-20) stated in B $\flat$  major, and extended) + 4(from the accompaniment to B, B $\flat$  major → half cadence in D) + 3(extension from subsidiary theme from A, on dominant of D) + 4 + 7 (from the accompaniment to B in D minor, together with the first two notes of the subsidiary theme from A → half cadence in D).

The parameters of rhythm (speed and metre) and tonality, as discussed in Chapter 7, may be features for contrast or for continuity between sections; these parameters condition the power for contrast of the thematicism. The force of the contrast is individual in each case, and its dependence on differing features is also individual. Thus we have already seen changes of speed playing an important role in the contrasts of 33 xv and 73 iii, and of tonality in 114 iii and 76 ii. The rondo form with possibly the least degree of contrast between its sections is the specialized rondo 63 ii. Each of its sections has a 4-phrase tune in basically 4-bar phrases (with the fourth extended). The B section has the same rhythm and opens even with the same phrase as A phrase 2. B modulates but concludes in the tonic (used for its last two phrases). The only forces for contrast are ultimately melodic shape and transitory modulation.

With regard to the variation of repeat for recurring sections the important variations would seem to be the shortening of sections, significant thematic variation and significant tonal variation. The

shortening of repeated sections often includes the omission of some important thematicism and can be organised on a progressive basis. Op. Posth. ii shows progressive shortening with thematic omission thus:-  $95 AA_1B + 77 XYX_1 + 42 AB_1 + 19X_1 + 33B_2$ . 78 iii, 100iii and the Kleine Hochzeits-Kantate show similar declension with regard to their A sections. 78 iii has for its three A sections:-  $28 abcabc/22 abcab/16 a_1 \rightarrow$  coda which begins with reference to c. 100 iii has for its four A sections:-  $31 xyx/27 xy/11 x/9$  the first third of x only. The Kleine Hochzeits-Kantate has for its three A sections with alteration in the second and omission in the third:-  $9/6/4$ . 40 i and 73 iii both show differing partial applications of this technique. In 40 i the shortening is applied for sections three and four of the specialized rondo form; both these sections omit the middle parts of their originals and the proportions are overall:-  $76 + 54 + 36 + 33 + 67$ ; the final section deals with only that A thematicism which appeared in  $A_1$  which it subjects to much development. 73 iii shows shortening in section three of its specialized rondo form and omission but without shortening overall in its fourth section; the complete design here is  $32 xyx_1 + 74 non_1 + 19x_2 + 79 o_1n_2 + 47 x_3yx_1$ . Another specialized method of shortening applied to the A sections involves the omission of thematicism in sections  $A_1$  and  $A_2$  so that together these sections comprise a complete presentation of the original A section; because of possible expansions within  $A_1$  and  $A_2$  this does not necessarily mean a parallel reduction of the proportions of the sections. The technique can be seen in 25 iv, 45 i, 77 iii and 108 i second subject. 45 i has:-  $A 15x + 15y + 18z$  (each subsection being overlapped with its neighbour within the section) =  $A_1 15x_1 + A_2 24y + 17z$ ; 77 iii has:-  $35 aaba_1 = 12 aa + 35 b_1a_2$ ; and 108 i second subject has:-  $8xy = 6x + 10y_1$  (meanwhile the B section of this

specialized rondo is expanded simply in  $B_1$ , the proportions being 8/12). 25 iv shows a similar technique applied to a ternary A section, save that  $A_2$  has an insertion of all the episodic material as a displaced coda. The general technique of equating  $A_1 + A_2$  with a complete statement of the original section has obvious parallels with the treatment of the first subject in most of the movements showing the form of sonata with displaced development.

Significant thematic variation in repeated sections in rondo forms falls into the same broad headings as were applied in the case of ternary form. Variation of texture can be seen in 100 ii  $B_1$  and 120 no. 1 iv  $A_2$ ; variation of thematicism by the inclusion of new material can be seen in 5v $A_2$ , 31i $A_2$ , 31 ii  $A_2$  and 88 ii  $A_2$ ; and variation of thematicism by melodic transformation may be seen in 73 iii  $B_1$  and 88 ii  $B_1$ , with an example of melodic transformation combined with formal reorganization in 74 i section 1 $B_1$ . In 100 ii the second B section has several applications of variation of texture; the first eight bars of B (bars 16-23) appear in a simplifying variation in bars 94-101 (the corresponding position in  $B_1$ ), the subsequent eight bars receive a variation similar in notion but differing as to details, and the recurrence of this thematicism (at bars 49 in B and 127 in  $B_1$ ) has a further change of detail of the broadly similar variation technique. These are variations of melody; variations in the texture of presentation of the melody at other places in  $B_1$  are common. For instance, the tune at bar 43 *ff* in B is divided between the violin and piano RH (each taking alternate notes) at bar 121 *ff*. The structures of B and  $B_1$  in this movement are the same. Also in 120 no. 1 iv the structure of the recurring section into which significant textural alteration is introduced remains the same. Here we are concerned with the A section.  $A_2$  has its first fourteen bars in a melodic paraphrase,

while its final ten bars are as before; thus within the same broad harmonic structure bars 184-197 represent thematically bars 9 - 22.

5 v  $A_2$  and 31 i  $A_2$  have already been discussed in relation to the thematic expansion contained in them; they differ from the other two examples under the heading of variation of thematism by the inclusion of new material in that in the other two examples the material concerned is new to the movement, whereas in 5 v and 31 i the material concerned is a cross-over from episodic material. 31 ii is a sophisticated dialogue song of a basic three units of text each of which is presented by TB + SA + TB. The first two such units occupy each an A+ episode section of music, with A for TB and Episode for SA + TB. The third unit of text is compressed into the final appearance of the A section which is in addition the shortest of the three appearances.

Texturally newness comes to the  $A_2$  section by the inclusion of SA voices within it, and thematically by the use of a new countersubject bearing those two parts of the text which in previous textual units were assigned to the episodes. The  $A_2$  section has:- 4a (being bars 2-5 of the opening, in the Bass, with the Tenor taken from  $A_1$  and the Soprano and Alto having the new countersubject; the Soprano has the four bars divided into three 5-beat phrases, the first of which is in canon in the Alto at the 5th below and one bar's distance, after which the alto has a free part). 4 a is the basis of the next phrase although its third bar is completely missing. (The Soprano has the first two bars of a and, after  $2\frac{1}{2}$  beats rest, the characteristically tenor phrase (from  $A_1$  and the opening of  $A_2$ ); the Alto has a free accompaniment simultaneously with the Soprano; the Tenor has the Soprano part of the previous 4-bar phrase complete; and the Bass has the Alto part of the previous 4-bar phrase until its final bar, which is that of a itself.) The inclusion of new material in  $A_2$  of 88 ii is

part of Brahms' plan in using his previously composed material. The sarabande of 1855 is used in the A sections throughout the movement but part one of the sarabande appears in all such sections while part two only appears in  $A_2$ . The A sections are all in a basic ternary form, which in A has the detailed design of  $4a$  C# major +  $5a_1$  C# minor  $\rightarrow$  enhanced half cadence, overlapped with  $2b + 2b_1 + 4c \rightarrow 5a_2$  C# minor +  $10a_2$  (expansion of development as at close of  $a_1$  4 + a characteristic cadence  $2 + 2 + 2$ ) C# minor.  $A_1$  has the detailed design of  $4a$  C# major (almost as before) + 10 (development of cadence, 6 + development of cadence with opening of a, 4; C# minor) +  $5a_1$  (C# minor  $\rightarrow$  enhanced half cadence, new texture) overlapped with  $2b + 2b_1 + 4c \rightarrow 11a_3$  C# minor. In these two A sections the first eight bars of A (without the last beat) are taken from the first part of the sarabande, mutatis mutandis for other appearances in the sections. In  $A_2$  parts one and two of the ternary structure appear with harmonic alteration ( $4a$  A major +  $5a_1$  A minor overlapped with  $2b$  (half cadence in F# minor) +  $2b_1$  (half cadence in G# minor) +  $7c_1$  ( $\rightarrow$  C# minor)) and instead of the final part of the ternary form being as before the second part of the sarabande is introduced. This has initially the characteristic of a decorated inversion of bar 1 of the piece treated sequentially, the decoration also affecting bars 14-15 of the piece. The eight bars of the second half of the sarabande appear expanded from bar 184 as  $5 + 5$  and lead to 2 bars combining b and c and 13 bars cadence expanding that of A and  $A_1$ .

As already indicated the two episodes of 73 iii are related to each other by simple thematic transformation. This is also true of the two episodes in 88 ii, where, unlike the technique in 73 iii, the thematicism involved is contrasted with that of the A section (rather than coming originally from it). Also the form of B is preserved in  $B_1$ ,

in 88 ii, and the metamorphosis is more complex. 74 i section 1 shows in its  $B_1$  section a thematic metamorphosis which is combined with a reorganisation of the form (although the form was not preserved in 73 iii it was simply shortened by omission). The first B section of 21 bars (beginning at bar 4) consists of a fugal exposition with a partial redundant entry and a sequence; the fugue subject is shown below. The second B section has the overall plan  $XYX_1Y_1$ , where X and  $X_1$  are versions of the fugue subject presented in octaves and the rhythmic and harmonic schemes are also binary; the metamorphosis is given below under the original.




With regard to significant tonal variation in the treatment of recurring sections, parallels to the functional modifications discussed in Chapter 7 under this heading are to be found mainly in Brahms' treatment of recurring B sections, while parallels to the colouristic modifications in Chapter 7 are to be found in his treatment of recurring A sections. In rondo sonata movements, where the treatment of the tonalities of B and  $B_1$  is the main feature to be carried over from sonata form, one expects and finds B in a typical key for a second subject in sonata form (dominant in 18 iv and 114 ii, relative major in 102 iii, and mediant minor in 99 iv).  $B_1$  then assumes a tonality

parallel with the typical sonata form recapitulation response (in 18 iv and 114 ii this is the tonic, in 102 iii the tonic major and in 99 iv the submediant minor). This technique is found also in the extended rondo forms with such examples as:- dominant + tonic 11 vi, 120 no. 1 iv; relative major + tonic major 25 iv, 76 ii; and 77 iii with dominant + subdominant. While no rondo sonata movement shows no modification, 76 v, and 33 xv of the extended rondo movements both show no modification, and the treatment of the B sections in specialized rondo is much in favour of showing no modification. Two specialized rondo movements do however show modification, and these are 33 ii and 40 i. Recurrences of the A sections are not subject to these kinds of modification, but they are subject to colouristic modifications. The range of keys is wider than that documented in Chapter 7 for ternary form as may be seen from the following list of examples. In each case the alteration takes place at the beginning of the  $A_2$  section, which in rondo sonata form is not, of course, the final appearance of A. In the list the number of bars of  $A_2$  appearing in the coloured tonality is shown in brackets. The list is as follows:- 99 iv (neapolitan, 7 bars), 40 i (flattened mediant, 12 bars), 100 iii (subdominant, 12 bars being the complete  $A_2$  section) and 114 ii (subdominant, 1 bar), 45 i (flattened submediant; 6 bars), 88 ii (diatonic submediant, 9 bars) and 100 ii (diatonic submediant, besides being used for  $A_2$  2 bars, the key is also used at the beginning of the  $A_1$  section for 7 bars), and 73 iii (the key of the leading note, for 4 bars, after which the section modulates to the mediant major for a further 9 bars). All these examples, save 88 ii, use major keys - the majority of examples of colouristic tonal variation in ternary form were also major as to key.

Codas, by returning to episodic material, can bias the overall

form of the movement in a parallel way to the binary bias of certain codas to ternary forms, or they can, in two rare cases, substitute for the final section proper, or they can merely extend the form in some idiosyncratic way. In the two specialized rondo forms 31 ii and 100 ii the codas revert to the material of the B sections and thus provide an old sequence form bias. In both these cases the codas are short. 31 ii has nine bars of which the first two are from A followed by:- 2(bars 1-2 of B in the subdominant) + 3(from bar 7 of B) overlapped with a pft epilogue also based on bar 7 of B. 100 ii has as coda simply a 7-bar phrase based on bar 1 of B in F major. In the rondo sonata form 100 iii the coda gives a slight binary bias to the overall form by reverting to the thematicism of the C section; the coda here is of 13 bars in two phrases 4 + 9, each of which begins with bar 1 of C twice in the tonic. The first phrase then proceeds with a 2-bar irregular diminution of bars 1-4 of A, and the second phrase then proceeds with an expansion of bar 1 of this diminution. The coda of 102 iii acts as substitute for a more regular  $A_3$  section. It begins at bar 297 and is of 44 bars which are in the tonic major throughout and solely based on the first four bars of the movement. A similar substitution may be found in 117 iii A on the section level, where a 5-bar codetta on the first two bars of the movement acts as the final return of a previously 10-bar sub-section. Some of the larger codas in rondo forms appear in 5 v, 15 iii, 25 iv and 77 iii. 5 v has in a movement of 365 bars a coda of 117 bars; its thematicism has a rondo aspect, which can be represented as CACAC, although the relative proportions are not normal. 77 iii, with a coda of 126 bars in a movement of 347 bars, has a 45-bar bridge-like development of material from A (beginning with the cadence to  $A_2$  and moving to the opening motifs) leading to a further rondo section, here with more

convincing relative proportions  $(4 + 8 + 13a + 12b + 11a + 12b_1 + 21a)$ .  
 15 iii and 25 iv have codas which recall much of the important episodic thematicism - an extension of the extended rondo technique. Both include cadenzas. In 15 iii the coda is of 209 bars in a movement of 536 bars, and it has the general shape BCA. In 25 iv the coda takes the shape of a 70-bar insertion into the  $A_2$  section, and is yet another manifestation of Brahms' concern with spatial formal concepts at this period of his life (see also 25 i and ii and 26 ii and iv). The 70 bars have the shape:-  $\text{cadenza} + C_2^9 + B_{10} + C_1^{22} + C$  and B developed 28.

Examples of Brahms' investing bridge-passages in rondo forms with parallel increased importance to the examples 68 ii, 25 iii and 60 ii of ternary form may be found in 114 ii, 120 no. 1 iv and 5v. The two types of increased importance found in the ternary form examples were the enrichment of the thematic resource of a movement by making a bridge-passage carry its own distinct thematicism, and the complication of the basic form by making a bridge-passage carry important thematic development. The two bridge-passages  $A \rightarrow B$  and  $B_1 \rightarrow A_3$  in 114 ii show the use of separate thematicism; each has its own distinct thematicism and is non-recurrent. The first is of six bars beginning at bar 9 of the movement, and is initially evolved from the preceding cadence. The second is of four bars beginning at bar 45. The piano has its texture derived from that of the main part of C while the other instruments have the distinctive material which, while being new, is not unrelated to previous material: they have imitative work in which the prominent  feminine cadence is old, and bar 2 of the passage shows the relationship of the triplet semiquavers of bars 1 and 2 to bar 1 of the movement. It cannot be claimed that the introduction of eight bars to 120 no. 1 iv is motivically independent from the remainder of the

movement (this introduction has clear connexions with A and B and more obscure connexions with C) but it does have certain distinctive features which are preserved in certain bridge-passages in a way that they are not preserved during the main thematic sections. It recurs as bridges 1, 2 and 4 (i.e.  $A \rightarrow B$ ,  $B \rightarrow A_1$ ,  $B_1 \rightarrow A_2$ ) and finally as a short coda. Thus in so far as it is independent of the other material in the movement, it creates a separate rondo interwoven with the main form. The main thematic sections use short motifs (as in A) and distortions of fragments (as in B) from the introduction whereas the bridges enumerated above and the coda maintain the original shapes in a purer way (a way albeit including development). The bridge in 5 v from  $B \rightarrow A$  shows the use of such a passage to carry a substantial development; it is of 29 bars (bars 71-99) and succeeds two sections which have been of 38 and 32 bars respectively. The passage is concerned with bars 1-2 of the movement, and it could not, in the light of its immediate surroundings, be said to be harmonically or thematically necessary in the sense of making a smooth join.

Separate sections in rondo forms may show a high degree of organisation and formality or they may be discursive. Examples of the former type are 18 iv A (ternary), 78 iii B (specialized rondo), 78 iii C (sonata) and 102 iii C (rondo sonata without  $A_3$  - thus paralleling the large-scale form of which it is a part) and 100 iii C (binary); and examples of the latter type are 15 iii B (a fantasia of four tunes following one another), 33 xv B (a self-contained ten bars is followed by development of itself), 114 ii C (a developmental section with old and new material passing through non-recurrent phases) and 120 no. 1 iv B (a melodic but also progressive section).

The proximity of certain rondo forms to sonata forms has already been discussed at some length (see Chapter 6), but it may be useful

to summarize. Where an ordinary sonata form has the first subject at the beginning of its development and somewhere in its coda then a close parallel to rondo sonata form is created. If the first subject appears only three times rondo influence may be seen. Sonata form with displaced development is a specialized way of starting the development with the first subject. Rondo sonata form already has a close proximity to ternary form (as has been discussed in Chapter 7). Another example of the proximity of rondo and sonata forms may be seen in the idiosyncratic 25 ii Scherzo, which has basically:- Iab 16 + Iab 16 (tonic) + 2 + II 18 (subdominant) + Ia 22 (bars 1-12 as before but in subdominant + 10 modulating development)+ II 20 (tonic) + Ib 10 (tonic) + Coda treatment of Ia. This can be seen as sonata with reversed recapitulation or as ABABA; probably it is best seen as both. 16 v is an interesting movement with regard to the sonata/rondo proximity. It has a sonata form with displaced development, a development which mostly parallels the exposition (with the second subject stated in F# minor, bars 168ff) and a small coda reminiscence of the first subject. It is interesting because a) it is Brahms' first full use of the displaced development technique, and b) Brahms heads the movement Rondo. This latter fact need not worry us unless we are convinced that Brahms was providing a definitive, detailed and exclusive analysis rather than merely an indication that rondo ethos and principles are involved. The analysis as sonata does not exclude the rondo principles and it does explain the form in greater detail.

Proximities between rondo forms and ternary form are not surprising if one sees rondo forms as extensions of the ternary principle. The two forms overlap in the form of rondo sonata (otherwise ternary with ternary sections) and to a more limited extent in the form of specialized rondo, a semblance of which is produced when a binary

repeat system is imposed upon a ternary form thus a: ||:ba (some examples of which are listed on Chapter 7, p.183). In 67 iii Trio this form is fully written out so that the overall scheme is AABABA. The special proximity of ternary with shortened return to ordinary rondo (which reaches crisis point in 114 iii) has already been discussed (Chapter 7, p.184). A further special proximity between ternary and ordinary rondo forms can be found in 45 iv, which, with the form ABACA, nevertheless has certain modifications to an unequivocal version of the form which suggest that an analysis as ABA + coda might be helpful. The modifications are (i) the sections A and A<sub>1</sub> are designed as two halves of a binary form while the A<sub>2</sub> section is merely a cadential development and (ii) C is not contrasted tonally, whereas B is so contrasted.

The notion of rondo influence being imposed upon forms other than sonata can be seen in the rondo hint in 89 (otherwise a fantasia), in 51 no. 2 iii (where in the middle of a ternary form the characteristic speed and motifs of the outer section are resumed for 6 bars - this is integrated into the middle section as the end of the first half of a binary form with disjunct material in each half) and in 40 iii A and 101 ii A (where in each case a complete binary tune is framed and interrupted by distinctive subsidiary material). 67 ii has its 2-bar introduction used as a refrain in that it acts as introduction to the middle section and also provides all the material for the coda. This is similar to the use of the introduction in 120 no. 1 iv, and is found more often in vocal music. Rondo influence of this type in strophic vocal forms has already been discussed, (Chapter 3, p.57); further examples to the ones there given are the simple cases of op. 95 no. 4 and 107 no. 3, and also 32 no. 7 where the coda recalls the beginning of the verses. Op. 33 no. 13 is an example of this technique

applied to a non-strophic form. The use of the refrain in vocal music is another rondo influence thereon; this may be seen in op. 64 no. 1 and 91 no. 1. Op. 112 no. 1 with an independent introduction before the two A sections in a ternary form which recurs vocally as the penultimate phrase, provides a mixture of these two types (and an opposite case to the details of op. 32 no. 7).

## Section 2: Further Contrast Forms

In this section we shall be concerned with Bar form (AAB), with its opposite, ABB form, and with Bogen (or Arch) form.

Bar form finds its main use on the movement and section-levels as a vocal form. There are some 24 examples ranging in size from such examples as the verse of op. 97 iv (with  $4\frac{1}{2} + 4\frac{1}{2} + 6$ ) through the intermediate size of op. 106 ii (with  $24 + 23 + 24$ ) to the largest example, the last movement of op. 50 (with  $128 + 114 + 104$ ). There is one example of the use of the form on the movement-level in instrumental music, that of op. posth. iii. Otherwise the form appears in instrumental music as part of a movement, as in the second part of the second subject of 34 i or the first subject of 51 no. 2 iv. The form may be seen on the phrase-level in the SSL shapes discussed in Chapter 4 and in such thematic formulae as the opening of the vocal part of 107 iv (with  $2 + 2 + 2$ ) and the first twelve bars of 103x (with  $4 + 4 + 4$ ). Bar form is not an enclosed form. If the B section is distinct from the A sections then we have a fantasia with repeated first section; if the B section is a development or evolution of material from the A sections then we have a binary form + coda, or, if the modification is not great (as in 110 ii), then a modified strophic form. Examples of Bar form with distinct B sections may be found in op. 44 iv, 48 iv verse and 97 iv verse. In the first and last of these examples the animation is the same for all sections but the melodic material is relatively new, although in

44 iv the scalar rising third is a common feature of the A and B sections. In 48 iv the animation changes for a distinctive cadence using a neapolitan approach, which is once repeated and which forms the B section. Examples of Bar form in which the B section is almost exclusively development of material from the A sections may be found in op. 3 i, 103 x (the whole verse), the exposition middle and return sections of the Sonatensatz Scherzo considered separately, op. posth. iii, the second subject (part two) of op. 34 i, op. 76 vi section B and the development section of op. 108 iii. The most common procedure for the construction of the B section in Bar form is however to combine new and old material. Some examples of this procedure may be found in op. 6 iv, 7 i and v, 22 v, 29 ii section C, 44 ii, 45 vii section 1, 86 iii, 93b and the song Mondnacht, and in the first subject of op. 51 no. 2 iv and the development sections of 108 i and ii. The balance between old and new material varies as does the detailed arrangement of the material within the B sections. Op. 7 i shows very little new material in its B section, whereas op. 45 vii section 1 shows much new material. 6 iv, 44 ii and Mondnacht are examples where old material at the beginning of the B section is followed by new, whereas 7v and 22 v show the opposite arrangement. The first subject of 51 no. 2 iv shows a B section in which material from the A sections is subjected to a development using a distinctive new rhythm. In 29 ii C on the other hand the B section is evolved from the cadence to the A sections with subsequently new material added, but the old rhythm and canonic method are preserved.

Some examples of variation in the second A section may be seen in 33 vi section 1, 45 vii section 1, 48 iv verse, and 106 ii. In the A<sub>1</sub> section of the first example the melody and harmony are changed but the basic thematic shape is maintained. The second example shows important

harmonic change with the melody preserved. 48 iv verse has in its  $A_1$  section a change of melody and harmony after bar 1, but bars 3-4 of the four-bar section are directly derived from bar 2 of the song. In the  $A_1$  section of 106 ii there is a reversal of the thematicism of the A section with the two sections being  $xx_1 \rightarrow$  dominant,  $yx_2 \rightarrow$  tonic +  $y_2z \rightarrow$  dominant,  $xx_1 \rightarrow$  tonic. Further examples showing important harmonic change in the  $A_1$  section occur in the Sonatensatz Scherzo, op. posth. iii, op. 50 last movement and 76 iii section 1.

Special variants of Bar form occur in op. 86 i, 92 i and 107 v. 86 i has its B section as a combination of material from the Introduction which has not appeared in the A sections, and material from the Introduction which has appeared in the A sections, and new material. 92 i has a combination of Bar and Rondo forms in the shape  $xAxABx$ . And 107 v has an expansion of the form to AAAB, where B is a coda based upon A. Bar form may also be seen as being present in binary forms where the first half but not the second is repeated. This occurs in the section 115 ii B, and on a larger scale in those sonata form movements with repeated expositions.

ABB is a rare form but may be found in op. 50 in the middle of the movement 'Bunte, reichgeschmückte Beete' at letter K ('Rings umgeben Gallerien'), where it has the shape 10 + 22 + 22, and also in op. 104 iv section B on a smaller scale with 5 + 3 + 3. Further small scale examples may be seen in bars 36-47 of op. 106 ii and the first fourteen bars of op. 121 ii. Op. 28 iii and 34 iv coda have the form in the guise of ABX where X is (A + B) with B as the dominating thematicism. Bogen form is also rare but may be found in op. 10 ii, 20 i and 98 iii first subject, with the shape ABCBA, and in op. 32 i with the shape ABCCAB.

CHAPTER 9: CONTRAPUNTAL FORMSSection 1: Fugue

- a. Fugal Types. Brahms' fugal technique finds four basic formal uses, which may be called fugue, fugato, fugue with cantus firmus and fugue with sonata form. Fugue is here taken as a formally complete structure which obeys detailed rules of procedure for its opening and maintains a more or less contrapuntal ethos throughout. Fugue being primarily a texture rather than a form, appears in several forms; binary may be found in the two giges, sonata in the A minor organ fugue, ternary in op. 45 iii C and rondo in 45 vi last section. Often a fugue is part of a larger work, but this does not of course prevent it from being formally self-sufficient. There are only three fugues which are not part of larger works, none of which have an opus number and only one of which Brahms himself saw published. These three are the two Giges of 1855 (regarded as student exercises) and the Ab minor organ fugue of 1857 (published 1864). Fugato may be considered as an incomplete structure within a formal structure other than fugue; it consists of a fugal exposition with perhaps further fugal material. The second subject of 36 ii Scherzo is an example of fugato with a 3-part exposition and a simple extension of the cadence; 8 version 1 i has in its recapitulation a 4-part exposition followed by an episode (beginning with a pseudo-middle entry), middle entries in stretto and a further episode. There are borderlines of definition on both sides of this formal usage. Op. 92 no. 4 introduction depends for its structure on imitation, but the parts, other than when they have the subject, cannot be said to maintain a contrapuntal approach. Op. 29 ii section 4 and 55 iii section 2 (at 'Und er tritt') both have the length and

shape of fugato rather than fugue, save that they are harmonically complete. There are three examples of fugue with cantus firmus of which the first differs from the subsequent two: these are the fugue on 'O Traurigkeit', the fugue in op. 29 i and the chorale-prelude op. 122 i. There are two examples of fugue with sonata form, both final movements of three-movement works within the sonata/symphony tradition (38 iii and 88 iii). This form is presaged by the A minor organ fugue which may be regarded as a fugue in sonata form.

- b. Forms of full fugue. i) Instrumental. The six instrumental fugues all date from early in Brahms' output, the last of them being the climactic fugue at the close of op. 24. The two giges are both binary fugues, both having a double bar in the middle (the A minor gigue dividing into 19 + 25 and the B minor gigue into 18 + 21) with the first half ending on a half cadence in the tonic and the second half treating the subject by inversion. Some details of the forms of the two pieces also coincide. Both have a 3-part exposition with regular countersubject and a codetta between entries two and three. Both follow this by a short episodic passage leading to a redundant entry (of the answer in the A minor gigue and of the subject with the first note altered in the B minor gigue). Both have <sup>an</sup> intermediate cadence in the first half in the subdominant, heralding an entry of the subject, and both use augmentation towards the close of the half. The second halves have entries of the subject in inversion, episodic work, and endings which repeat in altered form the last bars of the first halves (in no. 1 4 bars and in no. 2 5 bars). Some features of the forms are not however held in common, of which the most prominent are the simultaneous presentation of uninverted

and inverted subjects in the first gigue at bar 36, and the dominant pedal succeeded by a two-part stretto in the second gigue at bar 29. The opening form of these examples, exposition + short episode + redundant entry (i.e. an entry of the subject or answer at the original pitch), is of importance in Brahms' fugal technique and may be found in all his full instrumental fugues here considered save the A minor organ fugue, and the Ab minor organ fugue which has a redundant entry immediately following the exposition.

The A minor organ fugue has already been discussed somewhat in Chapter 1. As with the gigue fugues the overall scheme is binary, although here a sonata plan is followed in that distinctive secondary material appears and the overall scheme becomes fugal exposition 17 + second subject 5 + development 10 + fugal exposition altered 17 + second subject 7 + coda 13. The opening exposition is for 4 voices, though the fugue is mostly for 3 voices (and indeed the second entry of the answer has only two parts accompanying it); the opening exposition has a semi-regular counter-subject and a codetta between entries 3 and 4.

The G minor fugue has no such overall scheme. It is in the nature of a fantasia with three periods, the latter two of which introduce new material and subsequently combine this with old material. The first period, of 26 bars, consists of a 4-voice exposition (of subject x) with a semi-regular counter-subject and a codetta between the 3rd and 4th entries + a short episode on part of the counter-subject + a redundant entry, chromatic in the tonic. The proportions of the period are 19 + 3 + 4 (G minor → perfect cadence). The second period, of 24 bars, opens with a new two-voice idea of 2 bars (y), which receives a fugal answer;

x and y are then combined (4 bars), developed by fragmentation (7 bars) and once more presented in combination (9 bars). The period begins and ends in G minor with C minor as an important intermediate key. The third period, of 28 bars, opens with a new figure (z) of 9 bars; x and z are then combined (5 bars), and x, part of y, and z are then combined (3 bars), developed (2 bars), and once more presented in combination (4 bars), and a coda of 5 bars based upon the chromatic scale of y and part of the original counter-subject is added. The period is chromatic in G minor.

The Ab minor organ fugue may be seen as having a combination of formal influences. Binary influence may be seen in the fact that in bar 30 (half way through the piece) a new fugal exposition appears with new countersubjects (there are four entries, of subject, answer, subject, answer, the first accompanied by three voices, the second by two). The key-structure can support this binary structure, being Ab minor ( $\rightarrow$  Eb minor  $\rightarrow$  Ab major/minor)  $\rightarrow$  Cb major; Cb minor  $\rightarrow$  Gb minor  $\rightarrow$  Eb minor  $\rightarrow$  Ab minor; or the key-structure may be seen as ternary with 26 bars in or around the tonic at the beginning and 13 in or around the tonic at the end. Thematically there is a rondo influence in the use of two episodes (bars 16-21<sup>3</sup> and 28-30<sup>3</sup>) both using material other than subject material, and both in major keys. An important formal feature is the use of an increase of pace during the fugue; this is occasioned by an increase in animation to predominantly quaver motion at the middle of the fugue, and the use of stretto is more substantial in the second half of the fugue (bars 36-52) than in the first half (bars 21-27). The fugue is in four parts throughout, save for the addition of a new

voice for (i) the final beat of bar 24 and (ii) the harmonic passage bars 52-4 which precedes the final statement of the subject. The exposition has two regular counter-subjects and much use of inversion. This fugue must be considered as Brahms' most intricate example; some of the intricacy may be apparent from the analysis in table 17.

The fugue at the close of op. 24 is the only complete instrumental fugue of Brahms in a major key. The overall form here is based upon an harmonic bogen scheme (Bb → Bb minor + F minor → Db major + Gb major → Bb minor + F minor (→ Db and Gb) → Bb major) and a thematic oscillation between statements of the subject and simple developments of exposition material (in a basic plan of  $\overbrace{12s_1 + 12d_1} + \overbrace{12s_2 + 12d_2} + \overbrace{10s_3 + 16d_3} + \overbrace{4s_4 + 31d_4}$ ).  $S_1$  in the tonic is the fugal exposition consisting of four entries + a short sequence + a redundant entry. The two basic motifs for the counter-subject material throughout the exposition are present in the first counter-subject (bars 3-4), and these together with the two basic motifs of the subject (bar 1 and bar 2) form the thematic material for the fugue.  $S_2$  has five entries: Bass Bb minor + Treble F minor + 2 bars link development + Bass Db major + Treble Db major by inversion + Treble Gb major by inversion.  $D_2$  includes a statement of the subject (bars 3-4 in A minor in inversion) but this is an integral part of a large developmental process.  $S_3$  has three statements of the subject:- Bass Bb minor in augmentation, Tenor F minor, Treble F minor in augmentation. The succeeding development uses the keys of Db major (bars 59-61) and Gb major (bars 63-69), which, while they are not keys for presentations of the subject, nevertheless serve to

Table 17 : Some features of the Ab minor organ fugue.

Bars		
1	Exposition	T subject
3		A answer (by inversion around the 3rd), T c/s i
5		B subject, A c/s i (by inversion around Cb), T c/s ii
7		S answer, B c/s i, A c/s ii (by inversion around Cb), T c/s iii
9		T subject, S c/s i (inverted and decorated; modification x), B c/s ii with altered ending, A parallel with S.
11	Development	of close of c/s i
13 <sup>3</sup>		B subject in dominant with homophonic writing in upper three parts, S being in close imitation of B.
16	Episode I	B dominant pedal with decorated half-cadence at close, T c/s i in irregular augmentation followed by more florid motion based on x, S a new melody using the scalar third of x in inversion, A in imitation of S.
21	Stretti	T subject tonic, last two notes altered.
22		A subject subdominant, penultimate note altered
23		S subject a further 4th higher but with notes 6-end altered
24		T answer tonic with last two notes altered
25		S answer a 5th higher with last two notes altered, B c/s i
26		T answer a further 5th higher with last three notes altered, A c/s i altered
28	Episode II	Diminution and extension of x
30	Counter-exposition	A subject B minor, S c/s iv (slow descending scale), T c/s v (an inversion of the second episode version of x further extended)
32		S answer in dominant of B minor, T c/s iv inverted, A c/s v inverted
34	Stretti	A subject B minor, S c/s iv, T c/s v.
36		B answer (incomplete) with S in stretto with answer 2 beats distant at same pitch-level (15th higher), A c/s v inverted, T free.
38		T subject F <sup>#</sup> minor, B c/s iv, S c/s v, A free.
40		T subject Eb minor (distorted), S c/s v, A in stretto with subject 4 beats distant
42		B answer Bb minor, with altered close, T c/s iv inverted, c/s v inverted in A and S.

Bars

- 44 A subject Db major, with altered close, S in stretto with answer at 2 beats distant, c/s v developed in B.
- 46 A subject in diminution in tonic (plagal mode) over, B answer Db major with altered close; S subject in diminution in tonic 6 beats after the entry in A, T answer in diminution in tonic 6 beats after the entry in S under, S subject in Eb minor; A answer altered in diminution 7 beats after the entry in T
- 50 B partial presentation of answer (notes 1-8) in tonic in augmentation x 2, subject developed in S.
- 53 B subject tonic, homophonic 4-part texture above
- 55 T answer, B c/s iv inverted and developed, S c/s v inverted and developed, A from bar 42

balance the same keys used in  $S_2$ .  $S_4$  has two entries, the first in the tonic, and the second in the supertonic (slightly distorted) over a dominant pedal, and both being simultaneous with their own inversions.

- c. Forms of full fugue ii) Vocal. Vocal fugues may be found in op. 29 ii sections B and D, 45 iii section C and vi Last Section, and 55 ii section B and iii section B. Of these three are full fugues (29 ii B, 45 iii C and 45 vi last section), two, as already described, have fugato shape but are tonally complete, and 55 ii B is a special type of fugue which will here be called a stretto fugue.

29 ii section B is a 55-bar fugue with a very closely worked texture to which form is lent by key structure (contrast keys during the middle section being Bb major and C minor), use of episodic passage-work (bars 22-3, 32-3, 47-9 and 52-end) and use of stretto, pedal, inversion and augmentation. The form is articulated by cadences and by the alternation of 3- and 4-part textures. An exposition of 15 bars has four entries, the second and third of which are separated by a codetta, with an unusual treatment of counter-subject 1 (which always appears in the tenor) and with a 1-bar final extension. The ensuing middle section can be seen as working in three strophes 14 + 10 + 10, of which the first is close to the exposition by key and initially follows Brahms' previous practice of short development + redundant entry. The first strophe has:-

8(3 voices, stretto of two partial entries + entry in tonic + episodic material → enhanced half cadence) + 6 (4 voices, entry in tonic over dominant pedal + stretto of two full entries and one partial entry all inverted → half cadence in

A minor). The subsequent strophes follow a similar order. The second strophe has:- 4(3 voices, stretto of two partial inverted entries + episodic material → Bb major half cadence) + 6 (3 → 4 voices, stretto of two full entries both inverted, the second augmented, partially over a dominant pedal in Bb). The third strophe has:- 5(3 voices, entry with its own inversion + development of subject, modulatory) + 5 (4 voices, close stretto of two full entries in C minor + extension over dominant pedal in C minor). The final section, chromatic in the tonic, is of 6 bars in 3 voices with a close stretto of two full inverted entries plus extension.

In 29 ii section D a four-voiced 9-bar exposition, with a codetta between entries two and three, is overlapped by a development of 8 + 8 which is succeeded by a weighty cadence of 4 bars. The first 8-bar developmental period begins with distorted entries in stretto between S and T (two entries each) in sequence, and continues with imitation of a fragment of the subject in antiphony between SA and TB<sub>1</sub> over a dominant pedal. The subsequent 8-bar developmental period is formed around the following features: (i) the grouping of basses one and two which develop bar 2 of the subject in augmentation for three bars and bar 1 of the subject for the subsequent four bars, (ii) the S after the first bar of the subject at bar 126 maintains an inverted tonic pedal and (iii) the A and T have distorted entries (A bar 127 and T bar 128), and subsequently develop bar 2 of the subject. This fugue thus has the form exposition + development + cadence.

45 iii section C has a clear ternary structure, over its

tonic pedal, of 15 + 8 + 13. There is a little episodic material which follows the partial redundant entry at the close of the exposition; this recurs after the five entries of the final section and is extended into the cadence. The first section has a 4-part exposition, with no codetta and two regular counter-subjects, and a partial redundant entry leading into the 3-bar episode which establishes the subdominant. The middle section consists of six entries of the subject in paired stretti in G major → D minor → G minor. And the final section consists of 6 bars with five entries, the first four in paired stretti, in the tonic with a dominant bias + 7 bars with the episode extended.

The extended fugue (of 142 bars) closing op. 45 vi shows a rondo thematic shape on the following lines:- A<sub>2</sub>7 + B<sub>9</sub> + A<sub>1</sub>46½ + C<sub>1</sub>14½ overlapped with A<sub>2</sub>12½ + C<sub>1</sub>14½ overlapped with A<sub>3</sub>20. A begins with a 4-part exposition of 16 bars, without a codetta, with two regular countersubjects and an independent orchestral bass, and continues with 11 (stretto entries over pedals with a new counter-subject, modulatory → homophonic half cadence in the dominant); the development here is chiefly concerned with part one of the subject. B has certain figurative similarities to an inversion of the opening of the subject, but is melodically, harmonically and texturally new; C minor → E b → C minor. A<sub>1</sub> has one statement of the subject in the tonic (4 bars) and progresses to a development, which begins as at bar 17 of the fugue, but after two bars differs and becomes a development chiefly concerned with part two of the subject. C and C<sub>1</sub> both have the shape of aab form; C<sub>1</sub> is different from its model in the first four bars both texturally

and harmonically. Both  $A_2$  and  $A_3$  develop the subject in its two parts.  $A_2$  has four stretto entries of the first part of the subject followed by a massive extension of the second part;  $A_3$  has closer stretto treatment for the first part and subsequently augmentation applied to the second part. Certain anti-fugal manifestations are apparent in this fugue in the use of homophony, of important unoverlapped cadences and of two episodes more melodic than contrapuntal.

55 ii B (Denn der allmächtige Gott) can be viewed as a simple ternary structure of 6 + 22 + 6. It has a reversal of more normal procedure in that the frequency of entry of the subject decreases during the fugue. Thus the exposition has entries every half bar thus:- 3 (entries every half-bar for two bars + 1 concluding bar, on the notes DDAA with nos. one and three full entries in  $B_1$  and  $T_1$  and nos. two and four partial entries in  $B_2$  and  $T_2$ ) + 3 (entries every half-bar for two bars with 1 concluding bar, on EEDD with distorted entries in  $A_1$ ,  $S_1$  and  $S_2$  as entries one, three and four respectively, while no. two is a very partial entry in  $A_2$ ). The final section however merely consists of one entry with internal expansion. The middle section begins with entries every bar and changes to roughly one every two bars (although bars 18-21 consist of one expanded entry, while bars 26-8 have two partial entries, each accompanied by partial inverted diminution). The middle section is widely modulatory ( $\rightarrow$  B minor,  $F\sharp$  minor,  $G\sharp$  major, G minor, A major/minor, E minor).

55 iii B (Und er tritt) consists of five entries of the subject of four bars in mild stretto (the subject entering every three bars) followed by a weighty 6-bar cadence. It

thus may be termed, with 29 ii D, a complete fugato. The entries do not follow the harmonic pattern which is used in full fugues, and parallels to this may be found among examples of fugato. The entries are in F $\sharp$  minor (beginning on C $\sharp$ ) Bass, B minor Tenor, E minor Alto, A minor Soprano, and D minor Bass, the last entry altered in its third bar  $\rightarrow$  A major and the remainder of the section returning to F $\sharp$  minor. The counter-subject may be regarded as lasting for three entries; it appears fully in Bass and Tenor, which are thus in a loose canon, and only partially in the other two voices.

- d. Fugato. As with full fugues the form appears in instrumental and vocal music. Instrumental examples may be found in op. 8 version 1 i (b 354 ff), 15 iii (b 238 ff), 34 iii Scherzo (b 67 ff), 36 ii Scherzo (b 17 ff), 36 iv (b 52 ff), 40 iii (b 19 ff), 73 ii (b 17 ff), 108 iv (b 134 ff) and 111 iv (b 99 ff); and vocal examples may be found in 31 no. 2 (b 2 ff), 50 no. 8 (at Nein, nicht länger), 74 no. 1 section 1 (b 4 ff), 82 (b 25 ff) and 92 no. 4 (b 3 ff). In the light of these examples it is difficult to understand Kratzer's statement "Brahms hat in seinen Werken sehr selten Fugatos geschrieben, wir finden nur zwei Beispiele dieser Art."<sup>1</sup> He then proceeds to describe op. 8 version 1 i and 36 iv.

Of the instrumental examples above all are from works within the sonata/symphony tradition. One occurs in a first movement (8 version 1 i) as a developmental process within the recapitulation; two occur in scherzi (34 iii and 36 ii), the first of these occurring within the development of a type of

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1. Die Kontrapunktik bei Johannes Brahms, p. 112.

sonata form and the second occurring as second subject material in a sonata form; two occur in slow movements (40 iii and 73 ii), both as secondary material; and four occur in final movements, that in 15 iii as a developmental part of an episode in a rondo form movement and the others (36 iv, 108 iv and 111 iv) as part of the development in sonata form. In these uses there is a basic difference between those examples using fugato to present thematic material (36 ii, 40 iii and 73 ii) and those using it as a developmental process. The vocal examples all use fugato as a means of thematic presentation and all the examples have the fugato at or near the beginning of the work or section; in all the examples the thematization is of primary importance in the overall form.

All fugatos begin with a fugal exposition. This is usually much on the lines of expositions for full fugues, but there are examples of distinctive treatment. Distinctive treatment concerning pitch of voice-entries may be found in 108 iv, 50 viii, 74 no. 1 section 1 and 92 no. 4. 108 iv has the simple pattern of entries on G, Bb and C $\sharp$ , 74 no. 1 of entries on D, A, E, B and F $\sharp$ ; 92 no. 4 has a more complex pattern of F $\sharp$ , B, C, F, and 50 no. 8 has entries on C, G, Bb (a major entry) and C (a distorted entry). Subdominant answers may be found in 40 iii and 82 (save for the first note in each case). Distinctive treatments concerning texture may be found in 34 iii, 36 ii, iv, 108 iv, 111 iv and 92 no. 4. In 34 iii the first entry is accompanied by counter-subject i, the answer by counter-subject i and ii and the subsequent two entries by three parts each. 111 iv has each

of three entries accompanied by three counter-subjects albeit moving in a similar rhythm. 108 iv has simple chordal accompaniments to each of its first two entries, and 92 no. 4 has a simple accompaniment to the first bar of its first three entries by the fugal voices which have not yet had the subject, in addition to an independent instrumental accompaniment. The two fugatos in 36 are unusual because of certain tendencies to orchestrate. The subject and its succeeding counter-subject in 36 ii are stated in octaves, the answer is not so stated, and the third entry also appears in octaves. In 36 iv the third entry appears in octaves with the lower octave having a simplified version.

Fugatos may continue with further fugal material, may merge into less contrapuntal developmental writing or may draw to a clear cadence immediately, or soon, after the exposition. Examples of the first type are 8 version 1 i, 15 iii, 34 iii Scherzo and 111 iv, examples of the second type are 36 iv, 40 iii, and 108 iv, and examples of the third type are the remainder. 8 version 1 i, after its four-voice exposition with a codetta between entries two and three, and with no regular counter-subject though having recurrent motifs, has an episode (beginning with a partial entry of the subject) + middle entries in stretto + a further episode which becomes less contrapuntal and leads into a new section upon different thematicism. 15 iii, after its four-voice exposition (with a counter-subject appearing twice in Violin 2 with entries two and three and a second more regular counter-subject, and with a diminished partial entry accompanying entry four) has a short link to an augmented partial entry

with development of counter-subject ii and part two of the subject, which is overlapped by a diminished entry of part one of the subject. This entry is developed antiphonally in a development which becomes markedly less contrapuntal after three bars. 34 iii Scherzo has, after its 4-voice exposition, a redundant entry + a 12-bar development of part of the subject and parts of counter-subjects one and two, which leads into a unison statement of the theme/subject. While the development is concerned with material from the fugato, it has a certain symphonic power which leads away from the fugato back to sonata concepts. In 111 iv the exposition is followed by contrapuntal development for 19 bars, through which texture partial entries appear at the tenth and fourteenth bars. The subsequent development is still contrapuntal but is concerned with a different thematic formula. The examples of the second type all follow the exposition with development which could still be part of a fugue but which does not return to any specifically fugal procedures. The remaining examples have a clear ending to fugal procedure shortly or immediately after the exposition. 36 ii has four bars of cadential reinforcement before a link bar to a repeated sonata exposition or to the development section; in the recapitulation version the cadence is expanded further. 73 ii has two bars after its exposition which act as link to the return of a previous theme. 31 no. 2 has an extended cadence to its third entry before a simple link into the second section of the song. 50 no. 8 moves directly into homophonic style after its fugal exposition. 74 no. 1 section 1 has a 4-bar sequence to a half cadence succeeding

its partial fifth entry and preceding a return to a homophonic thematic unit. 82 has a 3-bar contrapuntal passage leading to a clear cadence before moving to new non-fugal material. And 92 no. 4 has an extension of its final entry into a homophonic cadence.

- e. Fugue with Cantus Firmus. The fugue of the Chorale-prelude and Fugue upon "O Traurigkeit, O Herzeleid" is of 47 bars and has a continuous 3-voice fugue in the manuals under which the pedal as bass presents the chorale once in long note values as cantus firmus, the lines being separated. The predominant motion of the upper parts is in semiquavers, while the cantus firmus moves in minims. The cantus firmus appears thus:-  $12\frac{1}{2}$  rest +  $2\frac{1}{2}$  line one with the final note doubled in value +  $3\frac{1}{2}$  rest +  $2\frac{1}{2}$  line two with the final note doubled +  $3\frac{1}{2}$  rest +  $4\frac{1}{2}$  line three + 3 rest + 4 line four + 4 rest + 7 line five with the final note quadrupled. The fugue is based upon a subject of  $1\frac{5}{8}$  bars, which has melodic affinities with each line of the chorale without being derived from any in particular, and upon two regular counter-subjects. The entries of the cantus firmus do not coincide with any obvious structural points in the fugue, and the two textures may be regarded as independent. The fugue consists (after a 7-bar exposition of the three voices with answer both by inversion (bar 2) and by more normal principles (bar 5), two regular counter-subjects and a redundant entry) of alternation of subject entries and episodic material which is often based upon counter-subject ii. Three of the large episodes (bars 8 - 11<sup>2</sup>, 21<sup>2</sup> - 25<sup>2</sup>, and 37<sup>2</sup> - 40<sup>2</sup>) are canonic and are based upon counter-subject ii. The fugue is limited as to tonality,

an important effect of the cantus firmus.

In the motet 29 i a straightforward 4-part setting of the seven-line chorale 'Es ist das Heil' is followed by a 5-part fugal setting. In this the first Bass does nothing but present the chorale in minims with large rests between each line (save at the end where this voice joins in the cadential extension). The other parts work a fugal texture throughout, which before and during each presentation in  $B_1$  is woven from the line in question in note-values diminished by half. The fugue maintains a basic E major tonality, the modulations, mostly to the dominant and subdominant, being shortlived. This chorale-prelude type form works in the following detailed manner:-  $9\frac{1}{2} + 3$  (line one - the fugal answer is at the fourth above; the exposition of  $4\frac{1}{2}$  bars is followed by sequence based upon the subject; the cantus firmus is accompanied by two entries of the subject, the second in inversion),  $6 + 3\frac{1}{2}$  (line two - the answer is at the fourth above; the exposition of 4 bars concludes with a close stretto (between T and S) and is again followed by sequential work, here based upon an inversion of the subject; the cantus firmus is accompanied by four inverted entries, two of which are augmented); the settings of these two lines, as in the model chorale, are repeated exactly, save for an extended ending to the second line which adds one bar to its length. The work proceeds with:-  $6\frac{1}{2} + 2$  (the 5-bar exposition has a regular counter-subject, for the first time in the work; it is followed by two pairs of stretto entries before the cantus firmus enters),  $3\frac{3}{4} + 2$  (the subject appears with counter-subject and is answered at the fifth

below; the exposition of  $2\frac{1}{2}$  bars is followed by sequence based upon the end of the subject; the cantus firmus for the first time forms the bass of the texture; it is accompanied by an entry of the subject in S),  $4 + 2 + 4\frac{1}{2}$  (the subject here does not use all the notes of the line which it precedes but omits the final three, and the part which it uses is distorted by the insertion of rests; the answer is in close stretto with the subject at both its pre-cantus firmus entries; the cantus firmus is accompanied by a continuous diminished version of itself with the opening interval inverted, and development of this forms the cadential extension).

Op. 122 i, 'Mein Jesu,' is similar in form. A 6-line chorale appears in minims in the pedals; after the  $5\frac{1}{2}$  bar opening the 4-bar lines appear separated by 4-bar rests, the sixth line being extended by half a bar and concluding the piece. Each line of the cantus firmus is preceded by a fugal exposition employing a subject which is an ornamented version of the relevant chorale line. After the entry of the cantus firmus the fugal texture is continued in a closely developed manner, often employing inversion (as in the first such exposition). The first, second, third and fifth expositions have regular counter-subjects, while exposition six (in four parts) has the subject exposed in stretto. The first and second, and third and fourth expositions are overlapped.

- f. Fugue with Sonata Form. Superficially there may seem to be no formal conflict between fugue and sonata form. Fugue has been defined above as a form which depends upon specific rules concerning its opening and thereafter upon the maintenance of a contrapuntal texture. Sonata form, that most sophisticated

pattern of tonal balance and thematic fulfilment, implies a specific order of tonal and thematic events throughout. Provided therefore the sonata form begins with a fugal exposition and maintains a generally contrapuntal texture there is no problem in the conflation of fugue and sonata. The resulting movement will simply be longer than other fugues and will perhaps have more variety of key, theme, texture and rhythm than they. There is however a deep contrast of ethos between the two forms. The essence of fugue is vertical contrast with independence of parts operating within an evenly animated and not necessarily articulated flow. The essence of sonata is drama depending upon horizontal contrasts and processes. In a fugue with sonata form movement we are more likely to find articulated contrast between successive thematic workings, clear phrase structure, motific work, non-fugal passages, cadence-drive and other horizontal processes, than in a straightforward fugue. In 38 iii the articulations found in bars 25, 31 and 37 are sonata form features with the contrapuntal details as fugal features; the passage beginning at bar 91 shows such contrasts built into a binary structure of  $4a + 4b + 6a_1 + 10b_1$ . Clear phrase-structure marked by cadences may be found in 38 iii second subject. The beginning of the development of this movement shows motific work, based upon thematic fragmentation, which is basically non-fugal but which is made more fugal by the use of canon and imitation. (In a more ordinary sonata form this imitation could well have been omitted). An example of motific work from 88 iii in bars 44 **f** shows also a passage which considered in isolation is not contrapuntal enough to

remind us of fugue. Other such passages may be found in 38 iii bar 38 and 88 iii bar 22; in this latter example a unison tune of clear phrase structure has a slight contrapuntal feature in the decoration in some of the middle parts (this decoration could well have been omitted if the movement had been simply a sonata form). Examples of the powerful force of cadence-drive may be found in the codas to both movements. Another example of a horizontal process is the use of climax throughout the development section of 88 iii.

In the second subjects of each movement contrast is neatly combined with continuity. In 38 iii this is achieved by the simple metamorphosis and extension of the first counter-subject of the fugue into the second subject. In 88 iii the fugue subject acts as counter-subject to the second theme.

### Section 2: Canon

The intricacies of canon attracted Brahms early in his life (as we know from May<sup>1</sup>) and he used this formal technique throughout his life in a variety of ways. Canons appear in instrumental music chiefly as a short incidental use within a work or as a variation within a variation set; 118 iv is an exception, being largely based on canon. The vocal uses are as a short incidental use within a work, as the section of a larger work, or as a complete piece.

Examples of short incidental instrumental uses are:- 1 i (development, bars 90 **f**), 26 iii (the first subject and bridge of the sonata form Trio, bars 212 **f**), 36 i (development, bars 217 **f**), 51 no. 2 ii section B (bars 43 **f** and 52 **f**), 51 no. 2 iii middle (bars 73 **f** and 123 **f**), 100 i (development, bars 124-6), 101 i

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1. The Life of Johannes Brahms, p. 87 (second edition).

(bars 140 ff), 101 ii (coda, bars 125 ff), 108 i (in the second subject, bars 56 ff), 114 i (in the second subject, bars 52 ff), 114 iv (in the second subject, bars 46 ff), 120 no. 1 i (coda, bars 214 ff) and 120 no. 2 i (at the second subject, bars 22ff). These examples are of various lengths ranging from the  $2\frac{2}{3}$  bars of 100 i and the 4 bars of 101 i to the 10 bars of 120 no. 1 i, the 21 bars of 36 i and, longest of these examples, the 21 and later 27 bars of op. 26 iii. These examples show canon in different roles within the works; thus in some cases the canon is part of a developmental area and in others it is part of a presentational area. The canons in these thirteen extracts are mainly for two voices (the exceptions being 36 i with a canon 4 in 1 and 51 no. 2 iii with a canon 4 in 2) and they employ a variety of pitch and distance techniques (using canon at octave, seventh, fifth, fourth and by inversion at mostly either 1 bar or 1 beat distances). There are two points of chronological interest in these examples: (i) the use of canon at the seventh occurs in op. 100 i and 101 i and these, with also 104 i, form a group of uses of a somewhat rare interval technique in Brahms' output and are all at the seventh below, and (ii) the use of canon for the presentation of the second subject in sonata form has a group of uses occurring in 108 i, 114 i and iv and 120 no. 2 i (this technique is presaged by the canons in 8 version 1 i second subject and the snatch of canon at the beginning of 38 iii second subject).

Canonic variations in instrumental music occur in op. 9 (variations 8, 14 and 15), 21 no. 1 (variation 5), 21 no. 2 (within the coda), 24 (variation 6) and 35 i (variation 12). Partial use of canon occurs in op. 9 variation 10 and op. 23 variation 4. It will be noted that all the above examples occur within sets which are complete works. The sets which are movements in multi-movement

works do not use canon, save for the example of its use in op. 98 iv at bar 241. A variety of pitch and distance techniques are employed, the pitch techniques including the octave below (op. 9 variation 8) and above (op. 35 i variation 12), the sixth below (op. 9 variation 15), the third below (op. 21 no. 2 coda), the second above (op. 9 variation 14) and two inversions (op. 21 no. 1 variation 5 and op. 24 variation 6 middle). The distance techniques vary from the 1 beat's distance of op. 98 iv to the 2 bars' distance of op. 9 variations 8 and 14.

Op. 118 iv is the only example of instrumental music which is substantially canonic: some 97 bars of its full 133 bars are canonic. The majority of these bars however are canonic work of an unusual kind which render the canon more of a textural decoration of a single tune rather than a contrapuntal weaving of two parts. This is the result of the canon being at 1 beat's distance and the melody often moving in notes of two beats' length. This does not obtain in bars 8-11 and similar passages.

Short incidental vocal uses of canon may be found in op. 3 no. 2 (bars 5-8), 45 ii (bars 233-7), 45 v (bars 18-20), 55 ii (the middle of section A, bars 24-8) 59 no. 7 (bars 5-10), 66 no. 2 (bars 4-9), 72 no. 5 (bars 40-6), 89 (bars 40-3), 104 no. 2 (bars 10-12), 109 no. 2 (bars 1-11) and 121 no. 3 (bars 5-7). These examples vary in length from the approximately two bars of 45 v and 121 no. 3 to the eleven bars of op. 109 no. 2. All the examples are of two-part canon, save that in 59 no. 7 three voices are involved (of which only two appear simultaneously). These examples show preference for unison or octave pitch, but 59 no. 7 has canon at the sixth below, 121 no. 3 has canon at the fifth below and there are two cases of inverted canon (op. 55 ii and

104 ii). Again the canonic distances are quite short. In these vocal examples we find the use of two canonic techniques not encountered in instrumental uses, the techniques of augmentation (both examples from op. 45, and 66 no. 2) and diminution (op. 59 no. 7). The augmented part may begin simultaneously with the faster part, as in 45 ii, or later as in 45 v (by half a beat) and 66 no. 2 (by  $1\frac{1}{4}$  bars); in op. 59 no. 7 the diminished part begins  $3\frac{1}{2}$  beats after the antecedent.

Vocal examples of canon used for a section of a work may be found in op. 29 no. 2 sections A and C, 66 no. 1 verse 2, 74 no. 1 section B, 74 no. 2 verse 5 and the Amen section and 104 no. 4. The opening of op. 29 no. 2 has a 25-bar section with a 12-bar tune in the top part which is repeated once with a final cadential bar added. This tune appears once in the bass in augmentation; this presentation is not quite exact since it omits two crotchets of the model between bars 17 and 18. Section C of this work is throughout in canon at the seventh below at 1 bar's distance. The second verse of op. 66 no. 1 has an expanded version of verse 1 and is in 2-part canon inverted around the third at 1 beat's distance. Op. 74 no. 1 section B begins with nine bars of canon 4 in 1 on a seven-bar tune, the entries being at the fourth, fifth and octave below the antecedent and being each at a half-bar distance from the preceding entry. The canon begins again at bar 9 but proceeds to non-canonic work at bar 13. (This example incorporates the main thematic material from an early canonic Benedictus.<sup>1</sup>). Verse 5 of op. 74 no. 2, after a three-bar introduction, presents an ornamented and faster version of the chorale on which the work is based. This presentation is in the soprano, and the bass is throughout in canon by inversion around the third at varying distances (for line 1 of the chorale it is at

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1. Published in facsimile in 'Notes' vol. VII no. 2 (1950) p. 187-8.

1 bar's distance, for line 2 it is at  $\frac{1}{2}$  bar's distance, for line 3 it is at 2 bars' distance and for line 4 it is at  $1\frac{1}{2}$  bars' distance). The subsequent Amen section also uses canon by inversion around the third between soprano and bass and adds a canon by inversion around the third between the alto and tenor. Both canons are at the distance of 1 bar. For the opening  $2\frac{1}{2}$  bars the part of the second canon is similar to that of the first so that the Amen begins with a canon 4 in 1 at half-bar distances. Op. 104 no. 4 has an A section of 11 bars with a clearly-phrased tune in canon at the unison at 1 bar's distance.

Complete vocal works using canon may be found in op. 30, 37 nos. 1-3, 44 no. 12, 52 no. 16, 93 a no. 6, 104 no. 1, 'Mir Lächelt', 'Spruch' and the rounds and perpetual canons in op. 113 and without opus number in Volume 21 of the Complete Edition. Some of the finite canons have strict canonic technique applied throughout, others however show canonic technique broken at intermediate cadences or abandoned for freer codas. 104 no. 1 is an unusual example of extreme flexibility in canonic technique. Op. 30 has a ternary form + coda in which the three central vocal periods are canonic and are introduced and separated by non-canonic accompaniment. Each vocal period has a clear cadence which temporarily terminates the canon. The overall form of the piece is:- 8, Introduction + 11 (canon 4 in 2, each canon being at the ninth below at 1 bar's distance) + overlapped by 1 bar, 4, Interlude + 14 (canon as before) + 5 Interlude + 11 (period 1 as before) + 15 Coda (here the canonic work is very free but is still present, as 4 in 2 at the ninth above and seventh below). In op. 37 no. 1 the canon is also broken at an intermediate cadence and treated with freedom towards the end. The piece has:- 6 (canon

4 in 2, each canon being by inversion around the sixth at 1 beat's distance; the canon is broken at the cadence) +  $4\frac{1}{2}$  (the same canonic method, broken in the last half-bar) +  $7\frac{1}{2}$  (over a free bottom part there is some use of imitation but not of canon). In op. 37 no. 2 the distinction in texture between beginning and end is clearer. The piece divides clearly into two parts, 26 + 10, where the first part is chiefly of intricate canon (the canon is abandoned in bar 23) and the second part is of slow homophony. The canonic work is strict and is 4 in 1 with the soprano 1 followed at 1 bar's distance at the fourth below by soprano 2, which is followed at 2 bars' distance by the alto 1 at a fifth below soprano 1, which is followed at a further bar's distance by alto 2 at an octave below soprano 1. The form of 37 no. 3 has already been described<sup>1</sup>; its canonic technique is mostly 2 in 1 by inversion around the supertonic but in bars 49-67 a canon 4 in 2 by inversion around the supertonic is used, both canons being at 1 bar's distance. Op. 44 no. 12 is a clear case of fantasia construction in that it consists of two thematically independent sections. Both however have the same canonic technique which is 4 in 2, each canon being at the unison at three bars' distance, and the canonic technique is not broken between the sections. As with the end of op. 74 no. 2 each section sounds as if it is a canon 4 in 1 for its opening few bars. Op. 52 no. 16 has an overall binary scheme with three vocal periods 8 :||: 10 + 18. The first period has canon by inversion around the supertonic at 2 bars' distance between Soprano and Bass. The second period has canon by inversion around the mediant at 2 bars' distance between Bass and Soprano. The third period has canon involving all four voices, but only two parts are canonic at any one point; the canon

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1. Chapter 3, p. 56-7

is by inversion around the supertonic of the prevalent chord at 2 bars' distance. The last 10 bars of the period are not canonic. It will be seen that the canonic technique of this piece includes the breaking of strict canon at each intermediate cadence and for the final cadence. Op. 93 a no. 6 is, as op. 44 no. 12, a fantasia with two sections; here however the canon is broken some way before the cadence to each section. The first 8 bars of the 15-bar first section are canonic (beginning as canon 2 in 1 at 1 bar's distance and becoming canon 4 in 2 at bar 5) and the first 24 bars of the 33-bar second section are canonic (4 in 2 at the octave above at 1 bar's distance). The 29 bars of op. 104 i contain a number of canonic techniques as follows:- bars 1-7 canon 2 in 1 at the seventh below at 1 bar's distance, bars 5-7 canon 2 in 1 at the sixth above at 1 beat's distance, bars 7-8 canon 2 in 1 at the fifth below at 1 beat's distance, bars 8-10 canon 2 in 1 at the fifth above at 1 bar's distance, bars 11-15 canon 2 in 1 at the ninth above at 1 bar's distance, bars 17-18 canon 2 in 1 at the fifth below at 2 beats' distance, bar 21 canon 2 in 1 at the sixth below at 2 beats' distance, and bars 22-26 canon 2 in 1 at the fourth altering to the octave above at 2 beats' distance. 'Mir Lächelt kein Frühling' is a canon 4 in 1 based upon a 16-bar tune which appears twice in the antecedent the second appearance being a major 3rd lower than the first. The unusual feature and technical tour-de-force here is that each entry of the tune is made a semitone lower and there are eight entries (the final entry thus being on the subdominant of the first entry). The voices enter at 4-bar intervals and this pattern is maintained by the antecedent beginning its second statement immediately after the close of the first. The modulation

which is repeated throughout is effected by treating a dominant chord in the old key as a submediant in the new. 'Spruch' is an 11-bar piece with canon 2 in 1 at the octave below (later above) at 1 bar's distance; the canon is broken at bar 6 and bars 6-10 are an exact retrograde of bars 1-5.

Brahms wrote eleven rounds (op. 113 i-v, vii, x-xiii and without opus number 'Grausam erweist sich Amor') and seven perpetual canons (op. 113 vi, viii, ix and without opus number 'O wie sanft', 'Wann', 'Töne, Lindernder Klang' and 'Zu Rauch'). These forms are strophic based.

The chief formal features of the Round are that all the voices sing the same melody in the same way in canon and that the vocal entries are evenly spaced. The number of voices in Brahms' examples is either three (as in four of the examples) or four, although 113 xiii has an independent two-voiced accompaniment to its four-voiced round. The distance between entries in his examples can vary between two bars (113 v) and ten bars (113 vii). The thematicism in a round may be skilfully differentiated with the complete melody a progressive one; when the full texture is reached in examples showing this thematic differentiation, it is of intricate counterpoint. This may be seen in 113 i. Such counterpoint may involve complementary rhythms, as in 113 ii and xi. Sometimes there is grouping of parts in the full texture; this may be seen between parts 2 and 3 in 113 ii and xiii, between parts 1 and 3 in 113 xi and between parts 2-4 in 113 i. On the other hand the complete melody for a round may be unified and formal, which makes on the whole for less counterpoint in the full texture. Examples of this approach to the writing of rounds may be seen in 113 iii and v (both of which are on folk-song texts). The phrase-

structure of a complete melody for a round is sometimes such that the number of phrases is the same as the number of the voices and the length of the phrases is the same as the distance between each entry (this may be seen in 113 i, iii, v and xi); but it is by no means always the case, as may be seen from the examples 113 vii, xiii and 'Grausam erweiset'. The thematic areas may sometimes have an internal form, as in the arch of 113 ii area 1 or 113 xi area 1.

The perpetual canons differ from the rounds in that whereas the rounds have all voices singing one tune in the same way, the perpetual canons have some of the voices differentiated either by canonic method (as in 113 vi) or by tune (as in 113 ix). The length of tune in Brahms' examples of perpetual canon varies from the 4 bars of 'Zu Rauch' to the 22 bars of 'O wie sanft'. Two of the examples use more than one tune and both are canons 4 in 2: 113 ix has two canons both at the fifth below at 1 beat's distance, and 'Zu Rauch' has two canons both by inversion around the fourth at 2 bars' distance. The remaining examples are canons 4 in 1, save for the two-part 'Wann', which has canon at the fifth below at 1 bar's distance. The canon in 113 vi involves canon at the unison and by inversion around the second, that in 113 viii involves canon at the unison and the fifth below, and that in 'O wie sanft' involves canon at the unison and by inversion around the tonic. 'Töne, lindernder Klang' has canon in which each entry is at the fourth below its predecessor (with entries on E, B, F $\sharp$  and C $\sharp$ ); it is a technical tour de force including much chromaticism.

If such generalizations are meaningful having regard to the many different situations outlined above in which canon is used by

Brahms, we may say that he prefers canon in two parts and his favourite pitch techniques are canon at the octave or unison and by inversion; the time intervals between canonic parts vary between the close finite canons and the greater distances displayed by some of the rounds. Brahms seems to prefer the medium of voices for his canonic writing.

### Section 3: Cantus Firmus.

Brahms' use of cantus firmus has already been discussed with regard to those works which combine cantus firmus with fugue and with regard to the passacaglia forms of op. 56 and 98 iv. An immediate distinction between these two types must be drawn in respect of the former consisting of a single presentation of the cantus firmus and the latter consisting of a set of strophes presenting the tune many times.

Further examples of cantus firmus in single presentations occur in op. 122 nos ii-xi. Cantus firmus combined with fugue, as discussed above, has a clear differentiation of animation between the cantus prius factus and the other parts. Throughout op. 122 (save perhaps in no. 11) Brahms uses cantus prius factus presented in notes longer than the prevailing motion of the piece, although, because the cantus prius factus is sometimes ornamented, it does not always appear in long held notes. This gives an important distinction in Brahms' technique in op. 122 between those pieces in which the chorale is unornamented (such as nos 5 and 10) and those in which the chorale is ornamented (such as nos 8 and 9). Some pieces in this set have the chorale ornamented very slightly (such as nos 2 and 6). Other features of formal importance in Brahms' setting of the chorales in op. 122 are whether the chorale is presented continuously and whether the

additional parts are derived from the chorale. Continuous presentation of the chorale may be found in nos. 2, 5, 6, 8 and 9. Of the others, no. 3 has lines three and six preceded by imitation of a diminished version of the first few notes of each of the lines; no. 4 has each of its lines preceded by a mainly subdominant version of the relevant line in a thinner texture; no. 7 has each of its lines preceded by an introduction which contains a diminished and ornamented version of the succeeding line, which version is itself preceded and succeeded by development of itself; no. 10 has its lines presented in pairs, the first of each pair being presaged in the bass either completely (as before lines 1 and 3) or partially (as before lines 5 and 7); and in no. 11 the imitation succeeds rather than precedes the line which it treats and takes the form of a double echo of the cadence to every line.

There would seem to be three possible techniques for the creation of the additional parts to the chorale: (i) direct derivation from the unornamented chorale, (ii) use of figures in the accompanying parts which are also used to ornament the chorale and (iii) the use of independent additional parts. (These techniques may all occur during one piece, either simultaneously or consecutively). Of the pieces using continuous presentation of the chorale nos 5 and 6 use mainly the first technique, nos 2 and 9 use mainly the second technique and no. 8 (where the part with the chorale is the most animated) uses the third technique. Of the pieces using discontinuous presentation of the chorale no. 3 uses mainly the second technique but also the first technique, nos 4 and 10 use mainly the third technique but also the first, and no. 7 uses techniques 1 and 2 and to some extent technique 3. No. 11 basically consists of a somewhat elaborate harmonization of the

chorale in five parts (with the cadence echoed) and may be seen as using all three techniques.

No. 5 exemplifies well the first technique: the continuous presentation of the chorale is accompanied by two other parts using quaver and semiquaver motion, where most of the semiquaver motion is derived from line 1 of the chorale. No. 9 exemplifies well the second technique: the chorale is decorated with scales, auxiliary notes and changing-note figures, which together with the opening anacrusis of the chorale generate most of the additional parts. No. 10 exemplifies well the third technique: the main feature of the added parts is a continuous stream of semiquavers using mainly arpeggi and auxiliary notes which seems to have little figurative relation to the chorale.

Vocal uses of chorale melodies may be seen in the four-part elaborate, somewhat Bach-like settings of op. 29 i section 1 and op. 74 i section 4, and in the chorale-variations of op. 74 ii. This latter work is a set of five chorale-variations which treat the basic tune as a cantus firmus mostly in the soprano but also in the tenor for verse 3 and the bass for verse 4. For a fuller discussion of this work see Kross p. 374 .<sup>1</sup>

The cantus firmus technique of op. 56 coda and 98 iv depends of course on a held melody, often in the bass, this melody decorated with notes of shorter value and the whole section or movement assuming the style of a set of variations. There are no other examples by Brahms of similar technique. Op. 65 xv, in sections 1 and 3, has a held melody in the bass with decorations in notes of shorter value, but it does not have the style of variations in that

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1. Die Chorwerke von Johannes Brahms.

the countermelody in the treble over the four occurrences of the bass in the first section is unified and of consistent animation. Op. 16 iii has an ostinato in the bass for its first section but this ostinato is of similar animation to the upper parts and the consistency of the upper parts is against variation style; in this example the ostinato is much transposed. Op. 33 vi at bars 22 **f** has an ostinato appearing four times incidentally during a piece, and op. 63 i section 1 shows a very short ostinato as accompanimental figure.

### CONCLUSION

The foregoing study has been concerned with showing something of the variety with which Brahms treats various formal principles and something of the complex and intricate nature of many of his thought processes therein. The variety has been apparent throughout, and some of the more obvious manifestations of the complexity are the richness of thematic resource in his large-scale sonata movements, his interest in modifying the contrast-based forms as discussed in Chapters 7 and 8, and his interest in writing fugues and canons. Much complexity in Brahms' formal processes comes from pressures for the integration of disparate material (as in some of the multi-movement works discussed in Chapter 1, as in his treatment of large-scale sonata form movements and as in his approach to the creation of contrasted sections in ternary and rondo forms) and from pressures for the diversification of similar musical units (as in variation form, some strophic forms and binary form and as in his approach to the repetition of sections in ternary and rondo forms).

Much of Brahms' formal complexity is a product of hard cerebration. (To say this does not of course in any way diminish its worth or artistic importance.) "There is no doubt that Brahms believed in working out the ideas which he called 'gifts of grace' " (Schoenberg).<sup>1</sup> "Er sprach stets von 'Arbeit', sein Grundprinzip war 'Ratio über alles' " (Kurzweil).<sup>2</sup> Some internal evidence of this is to be found in the music. On the small scale there are such things as the use of techniques of melodic fragmentation and distortion as discussed in Chapter 6, the use of canon, and the appearance of schematic designs

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1. The Essay 'Brahms the Progressive' in 'Style and Idea' p. 98

2. 'Die Harmonik als formbildendes Element bei Johannes Brahms' p.18

where one would not necessarily expect to find them (as in the design of the development of op. 51 no. 2 i as 18 + 18 + 18 bars, or the design of the first subject + bridge in op. 26 i as 26 + 26, or the design of the first subject and bridge + second subject in op. 73 iv as 77 + 77). On the large scale there are, as mentioned in Chapter 7 (p. 166) a number of pairings of formal experiments (the two types of alteration of length of returning section in ternary form carried to extremes in op. 54 and 55, the two large-scale binary forms of somewhat unusual cast in op. 80 and 81, and the technique of displacement applied to other movements than the last in op. 25 i and 26 ii). These features are not the stuff of which inspiration, as it is usually understood, is made. All these features hint at the conclusion that formal decisions were for Brahms conscious decisions, decisions just as conscious as the choice of the medium for which he wrote.

There is no doubt of the importance of formal matters for Brahms however conscious he was of them. (Therefore of course, if we are to approach a true knowledge of his work, these matters become important objects of study for us.) Hadow recognised the importance of form in Brahms: "It is as a master of form that he will live"<sup>1</sup> Hadow also has elsewhere a penetrating remark not only on form in Brahms but also on form in general; he says of Brahms "...by his own genius he has made the forms wider and more flexible and has shown once more that they are not artificial devices but the organic embodiment of artistic life."<sup>2</sup> Geiringer in recognising the importance of form for Brahms sees form as a generative discipline; he says of Brahms: "It is characteristic of him that where he confined himself within the strictest formal bounds his imagination soared to its most magnificent heights"<sup>3</sup>

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1 Collected Essays p. 142

2 Studies in Modern Music, Second Series p. 283

3 Op. cit. p. 337

Brahms' choice of certain forms is an important aspect of his artistic personality. That he was early attracted to writing variations and canons, that he wrote fugue, that among his major achievements are sonata form works and movements - all these tell us of the man. They also tell us of his classicism in a romantic period; "Brahms hält die Gestaltungsidee und den Formungswillen der Klassiker fest" (Kurzweil).<sup>1</sup> As Wagner said after hearing op. 24 "Man sieht, was sich in den alten Formen noch leisten lässt, wenn einer kommt, der versteht, sie zu behandeln".<sup>2</sup>

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1 Op. cit. p. 25

2 Quoted by Kratzer (op. cit.) at p. 51

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