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Timeless Reflections: Form, Cadence and Tonal Structure in the Scherzo and Finale of Schubert's String Quintet

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JOHN KOSLOVSKY

TIMELESS REFLECTIONS: FORM, CADENCE AND TONAL STRUCTURE IN THE SCHERZO AND FINALE OF SCHUBERT'S STRING QUINTET

Of all the movements in Schubert's C major String Quintet, it is the last two that typically attract the least amount of attention. After the formal intricacies of the Allegro and the otherworldliness of the Adagio, the Scherzo and Finale (Allegretto) might appear mundane by comparison. Indeed, on first hearing one is drawn to the transparency of the harmonies, the regularity of pulse and hypermeter and the relative simplicity of the outer forms. And since we usually seek out compositional innovation in the opening movements to a work, it is understandable that we have yet to discover what gems lie buried in these closing movements.

Previous Schenkerian scholarship has already brought many aspects of tonal structure in the Quintet to our attention and provides a solid base from which to engage the final two movements. These include David Beach's studies of form, harmony and durational reduction in movements 1 and 2; Peter H. Smith's examination of harmonic cross-references in movements 1 and 3; and Lauri Suurpää's exploration of linear bass progressions in movement 2.¹ By contrast, Nicholas Rast has offered an analytical perspective on the Quintet as a whole.² He begins by singling out the opening turn figure of the first movement (bar 4, violin 1) as the *Grundgestalt* for the entire work (Ex. 1). With this figure he proceeds to demonstrate the role this motive plays over the course of the piece through various transformations and large-scale repetitions; at the same time, he asserts a descending Urlinie structure from $\hat{8}$ that stretches across all four movements. Ex. 2, which reproduces Rast's analysis, shows that this Urlinie governs both the first movement and the entire work. Rast argues that 'ultimately, the Quintet's constant thematic metamorphosis and overarching linear progressions reveal more modernism in its construction than has hitherto been recognized.'³

While Rast's analysis has many intriguing aspects to it, I find little reason to view the entire Quintet along a single prolongational trajectory. For one thing, such a unidirectional reading strongly diminishes the piece's self-reflective qualities. As John Gingerich has argued, the Quintet is much bolder in its use of retrospection and introspection than in its display of a forward-driving plot: 'Schubert has bequeathed to us, instead of a heroic narrative of telos, music of tremendous courage in its refusal to shrink from the remembrance of loss or from

Ex. 1 Schubert, String Quintet in C major, D. 956, *Allegro ma non troppo*, bars 1–6

Allegro ma non troppo.

The musical score for Schubert's String Quintet in C major, D. 956, *Allegro ma non troppo*, bars 1–6. The score is for Violin 1, Violin 2, Viola, Violoncello 1, and Violoncello 2. The tempo is *Allegro ma non troppo.* The key signature is one sharp (F#). The score shows the first six bars of the piece. Violin 1 and Violin 2 have dynamic markings of *p* (piano) and *f* (forte). The Viola and Violoncello 1 have dynamic markings of *p* and *f*. Violoncello 2 has a dynamic marking of *p*. The score is written in C major and 3/4 time.

the self-dividing consequences of introspection.⁷⁴ For another, any Schenkerian analysis that attempts to reach across a multi-movement work must be driven by factors inherent in the work in question, factors that lean just as much on matters of prolongational voice leading as on more basic concepts of form and (especially) cadence. Given the strong tonal closure of both the first and second movements, no such interpretation seems necessary in the case of the Quintet.

But even though a linear progression spanning the entire piece contradicts the work's retrospective qualities and weakens the tonal integrity of the opening movements, a case can be made that the last two movements, while continuing to look back on the first two, do in fact deploy a single tonal trajectory. In this paper I offer a detailed assessment of the Scherzo, Trio and Finale in order to show how Schubert manages such a feat. Along the way I reveal how he continues to bring back many of the structural and expressive elements of the *Allegro* and *Adagio*, offering reflections on some of the work's most memorable musical moments.

Scherzo

Ex. 3 provides a graphic overview and a basic formal scheme of the Scherzo.⁵ It follows a rounded binary form: the opening A section progresses from the tonic, C major, to the dominant, G major (bars 1–56); the B section (as digression) works through the keys of E♭ major and B major before reaching a retransitional dominant (bars 57–130); and the A' section with coda reiterates the opening material and holds us firmly in the key of C major to the close (bars 131–212).

Along with its *presto tempo* and rustic character, the Scherzo deploys a number of procedures that impart to it an open-ended sound. Consider the

Ex. 2 Rast's structural interpretation of the Quintet

I. Allegro ma non troppo

II. Adagio

III. Scherzo

IV. Allegretto

Scherzo D.C.

The musical score is presented in four systems, each corresponding to a movement. Movement I, 'Allegro ma non troppo', features a series of notes with fingerings (1-6) and Roman numerals (I, II, V, IV, V6/4, I, 5, 3). Movement II, 'Adagio', is marked with a large 'N' and includes circled numbers (30, 64, 83, 86, 87) and Roman numerals (III#3/I, IV#3, V, I). Movement III, 'Scherzo', includes circled numbers (1, 29, 53, 56, 217, 220, 236, 255, 259) and Roman numerals (I, bVI, II, V). Movement IV, 'Allegretto', features circled numbers (1, 19, 27, 69, 127, 149, 311, 320, 370, 395, 396, 400, 401) and Roman numerals (V, V7, I). The 'Scherzo D.C.' section is marked with a circled '8'.

Ex. 3 Middleground interpretation of the Scherzo

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Ex. 4 Reduced (simplified) version of the Scherzo, bars 1–29

Antecedent

"Horn Counterpoint"

5

Double Pedal (Tonic) →

Consequent

Pedal on G

"Horn Counterpoint"

V? →

18

10 10

24

10

Tonic Pedal →

opening phrase, shown in Ex. 4 in reduced form. A musical period by construction, the phrase divides into two parts: bars 1–16 present the antecedent, bars 17–28 the consequent. Despite the thick texture of the five instruments and the use of double stops, the opening gesture for both the antecedent and the

consequent consists of nothing more than a combination of ‘horn counterpoint’ and a pedal point (or drone).⁶ The antecedent presents a clear sense of tonic with a double pedal on C/G and closes with a brief motion to the supertonic. In the consequent, Schubert recycles the material from the antecedent, only now he has now redistributed the voices: the bass pedal note C has been removed, the second cello takes over the lower part of the horn counterpoint and the pedal note G reaches into the upper register. The open G/D fifth at bars 17 and 21 in the lower parts, along with the incessant tremolo of the G in the upper voice, gives this consequent phrase a strong feeling of dominant function.

But the sense of dominant is hardly secure, nor is the sense of tonal closure. For one thing, we have yet to hear a dominant chord with a leading note; for another, the return to C at bar 24 seems more by force than by function. That is, the consequent quickly recaptures the tonic pitch and the pedal C not through harmonic motion but through a quick linear progression of parallel tenths at the end of the horn call (G–F–E in the upper part against E–D–C in the bass). Pedal notes, horn counterpoint and attenuated cadential gestures thus become the engine of this Scherzo: we hear them not only in these opening bars, but also at the end of the A section (bars 45–52) and twice in the A’ section (bars 147–154 and 175–182). At each cadence point, the upper voice arrives on $\hat{3}$, descending to $\hat{1}$ only after the tonic sonority has been reached (see again Ex. 3, bars 24, 52, 154 and 182). Even in the coda the tonic pedal continues to thwart any functional close (bars 187–210). At bar 197 the opening melodic dyad of the Scherzo (C–D) breaks free in a dramatic ascending run. As the first violin reaches the leading note at bar 205 and the first cello comes to rest on G, Schubert tries one last time to achieve closure. Using a trill in the first violin, double stops in the other parts, and a fortississimo in all voices, he initiates a V–I cadential gesture, but in the end the tonic pedal overpowers any definite sense of harmonic conclusiveness.

While whisking us along with its fast tempo and maintaining an open sound through the use of pedal points and horn counterpoint, the Scherzo makes use of three harmonic areas that distinctly recall the first movement: E \flat major, A \flat major and B major. As many scholars have noted, E \flat and A \flat are crucial to the tonal processes of the secondary areas of the Allegro: E \flat in the exposition and A \flat in the recapitulation. B major also plays a role as an upper-third extension of G in both the introduction and closing group of the exposition.⁷ In both the Allegro and Scherzo, then, these three keys offer the chromatic counterweight to the basic tonic-dominant polarity of C and G.

Ex. 3 shows the placement of E \flat , A \flat and B in the Scherzo. In the A section, C major reaches A \flat at bar 29 via a chromatic 5–6 shift (from C–E–G to C–E \flat –A \flat). This A \flat sonority then works its way through a series of parallel $\frac{6}{4}$ chords – it finally lands on an E \flat augmented sixth chord at bar 42, resolving on the local dominant D two bars later and closing the A section in G major. In the B section Schubert begins with a direct move from G to E \flat . At bar 83 he transforms E \flat to B major (bars 82–83) and makes one last 5–6 shift to G at bar 107, which is now the retransitional dominant to C.⁸

As he makes his way through the A' section, Schubert adds another twist. Instead of transposing the A♭ material of the A section to D♭ (the normative transposition by fifth), he returns to E♭, the key which opened the B section. And whereas he moved away from C with a 5–6 shift to A♭ in the A section, in the A' section he leaves the tonic with an abrupt move to the dominant of E♭ in the consequent phrase (compare bar 147 with bar 17). He then prolongs E♭ until another run of parallel $\frac{6}{3}$ sonorities ushers in an A♭ augmented sixth chord (bar 172), which then resolves on G and quickly brings the Scherzo to its close. In other words, the way in which A♭ and E♭ are used in the Scherzo is a reversal of the way they are used in the first movement.⁹

Trio

Whereas the Scherzo made use of E♭, A♭ and B to extend the tonic-dominant axis of C and G, the Trio employs the key of the flattened supertonic, D♭, as a way of further removing us from the home key. Schubert's decision to withhold D♭ major from the A' section of the Scherzo now becomes clear, for he has deliberately carved out a larger space in which this tonality can breathe more fully, thereby giving it a deeper significance in the overall structure of the third movement. What stands out immediately about the use of D♭ major is the way it functions as a chromatic upper neighbour to the key of the Scherzo. Looking back, we see that this is the same technique that Schubert used in the B section of the Adagio, where F minor acted as the upper neighbour to E major (the key of the flanking A sections). But while the tonal function of the Trio is similar to that of the Adagio's B section, its general character reminds us more of the A section from that movement. With his tempo indication of *Andante sostenuto* and his use of a rich homophonic texture, Schubert transports us back to both worlds of the Adagio.

Like the Scherzo, the Trio has a relatively straightforward outer form. It is in two parts – an A section, which is heard once, and a B section, heard twice – and concludes with a brief bridge back to the Scherzo. But unlike the Scherzo, the Trio contains a number of distinct cadence points: in the space of just 50 bars we experience no fewer than eleven cadences. Seven of these are authentic cadences in the home key of D♭ major (bars 8, 12, 19, 23, 27, 31 and 42), and four of them are half cadences: one in E major (bar 34), two in D major (38 and 45) and one in C major (bar 49). It is the repeated cadential progression in D♭, however, that becomes the reference point for the Trio. Ex. 5 reproduces this referential cadential progression in both the A and B sections. Note that each time we experience the cadence in D♭, Schubert inserts a G♭ into the upper voice of the A♭ dominant seventh chord (found in the first cello in the A section and in the first violin in the B section), and each time it resolves as expected to F, the third of the tonic triad. This is important because it slightly alters the weight of the cadence. Instead of perfect authentic closure, we continually experience imperfect authentic closure through this expressive descending semitone. And though

Ex. 5 Referential cadence in the Trio

A section (4x); B section (1x, altered)

Score for A section (4x); B section (1x, altered). The score is written for five staves: Vln. 1, Vln. 2, Vla., Vc. 1, and Vc. 2. The key signature is three flats (B-flat, E-flat, A-flat). The time signature is common time (C). The score is divided into two systems. The first system contains the A section (4x), and the second system contains the B section (1x, altered). The A section consists of four measures. The first measure is marked *f* and the second measure is marked *p*. The third measure is marked *f* and the fourth measure is marked *p*. The B section consists of one measure, marked *f*. The score includes various musical notations, including notes, rests, and dynamic markings. The A section is marked with a trill (*tr*) in the first measure. The B section is marked with a trill (*tr*) in the first measure. The score includes figured bass notation: IV, I, V⁴ — 7 — 3, I.

Score for B section (2x). The score is written for five staves: Vln. 1, Vln. 2, Vla., Vc. 1, and Vc. 2. The key signature is three flats (B-flat, E-flat, A-flat). The time signature is common time (C). The score is divided into two systems. The first system contains the B section (2x), and the second system contains the B section (2x). The B section consists of two measures. The first measure is marked *mf* and the second measure is marked *p*. The score includes various musical notations, including notes, rests, and dynamic markings. The B section is marked with a trill (*tr*) in the first measure. The score includes figured bass notation: VI, V⁶ — 5 — 4 — 3, I, V⁷, I.

a post-cadential descending melodic gesture $\hat{2}-\hat{1}$ finds its way into the texture on a couple of occasions, this does little in altering the fundamental cadential weight of the phrase and is perhaps nothing more (and nothing less) than Schubert's own continual 'remembrance of loss' (see bars 8 and 19).

Schubert's decision to insert F into the top voice of the cadence also has larger ramifications for the structure of the Trio (and that of the last two movements, as we will see later). The pitch F, it turns out, becomes the focal point of a two-part descending linear process that unfolds over the course of the entire Trio. Ex. 6 sketches this process. The A section opens with a descending gesture in the viola and second cello.¹⁰ It reaches from C, the closing tonic of the Scherzo, to G \flat , which is supported by a local IV chord. While this local descending motion offers relief to the dramatic ascending motion that closed the Scherzo, its span of a compound augmented fourth destabilises the key of the preceding movement and demands resolution. G \flat first finds its way to F at bar 6 in an inner voice, but just two bars later it reaches into the soprano for the first IAC – the linear augmented fourth (C–G \flat) becomes a vertical diminished fifth (C/G \flat) over V⁷ and resolves to D \flat /F, respectively.

Having established D \flat major and $\hat{3}$ (F) in the A section, Schubert employs a more gradual descent in the B section. From bar 31 the top voice continues chromatically from F while being counterpointed in parallel tenths; two half cadences punctuate the music along the way (bars 34 and 38). At bar 39 Schubert temporarily abandons the linear process. In a moment of harmonic reinterpretation, he transforms C \sharp into D \flat in the top voice and continues to A \flat in the bass (thus completing a descending tetrachord from D \flat to A \flat). This results in a shift away from the local half cadence in D major and towards the final imperfect authentic cadence in D \flat .¹¹ In the bridge, Schubert returns to the enlarged descending linear process that he so masterfully abandoned in the B section. Repeating bars 36–39 at bars 43–46, he now works his way from D to B in the upper voice. This completes the unfolding linear process. It is thus a completely chromatic descent from F to B, a linear diminished fifth whose resolution to E and C pulls us back to the Scherzo and the world of C major. In sum, the span of an augmented fourth found in the A section (C–G \flat) and that of a diminished fifth in the B section plus bridge (F–B) demonstrate the structural instability of the Trio.

The end of the B section and final bridge of the Trio are extraordinary not only for their use of extended linear unfoldings but also for the way they recall the bridge linking the Adagio's B and A' sections, bars 58–63 (what Scott Burnham has described as the 'threshold between' in his contribution to this issue). Ex. 7 compares these passages. The similarities are unmistakable: the funeral march rhythm, the chromatic unfolding from D to B in the first violin, the arrival on B in the upper voice at the half cadence and the breathtaking moment of the A major chord (marked in the example by arrows). In the Adagio, this A major chord (bar 62) acts as a local IV and heads towards the dominant of E major; in the Trio, the chord supports the enharmonic shift between C \sharp and

Ex. 6 Unfolding linear process in the Trio (A section: C→G♭; B section+bridge: F→B)

The image displays a musical score for a Trio section, divided into two systems. The first system (measures 1-12) is labeled 'A' and shows a linear process from C to G♭ to F. The second system (measures 24-50) is labeled 'B' and shows a linear process from F to B. Both systems include annotations for 'IAC (2x)' and 'Bridge'.

System 1 (Measures 1-12):

- Measure 1: C
- Measure 6: G♭
- Measure 8: F
- Measure 10: G♭
- Measure 12: F

System 2 (Measures 24-50):

- Measure 24: F
- Measure 31: F
- Measure 36: D
- Measure 39: C♯ = D♭!
- Measure 42: F
- Measure 43: D
- Measure 44: C
- Measure 45: B
- Measure 50: B

Annotations:

- IAC (2x) at measures 6, 8, 10, 12, 31, 36, 39, 42, 43, 44, 45, 50.
- Bridge at measures 43-44.
- to Scherzo ... at measure 50.

Ex. 7 Comparison between the Adagio and the Trio
Adagio, bars 58-63

The image displays a musical score for the Adagio section, bars 58-63. It is organized into two main systems, labeled D and C#, each containing five staves. The top staff of each system is in treble clef, while the others are in bass clef. The key signature is D major (two sharps). The score includes various musical notations such as notes, rests, and dynamic markings like *ppp* and *mf*. A large arrow points from the C# system to the D system, indicating a comparison or transformation. The bottom system (D) includes an arrow pointing to a circled note in the first staff, which is then compared to the corresponding notes in the other staves of the system.

Ex. 7 Continued

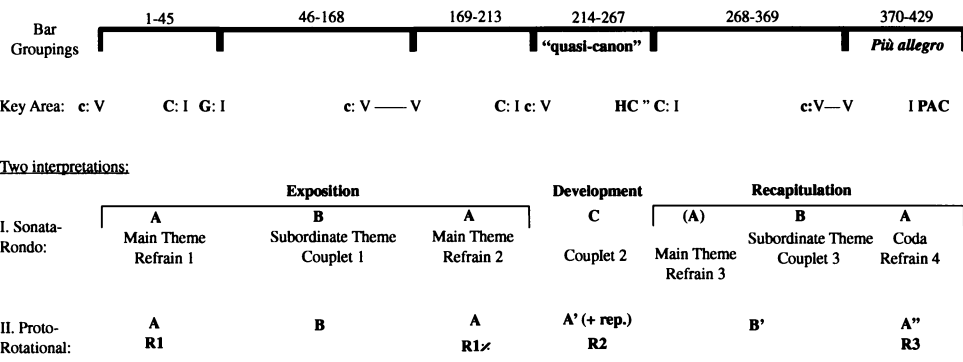
Trio, bars 36-50

[illegible]

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Ex. 8 Formal scheme of Schubert, String Quintet, Allegretto (with two interpretations)



D \flat in the B section (bar 38) and then returns in the bridge to complete the unfolding linear descent (bar 45). Close comparison reveals that Schubert writes this sonority in both movements with exactly the same voicings; not only that, but he uses it in what I consider to be the two most expressive, even transcendental moments of the entire Quintet. The closing bars of the Trio, then, represent something remarkable – Schubert’s reflection on one of his most timeless musical moments.

Allegretto

The Scherzo and Trio were straightforward with respect to their larger formal areas, but the Allegretto invites at least two somewhat contrasting views. Ex. 8 shows the bar groupings and basic key areas in two formal interpretations. The first of these reveals a type of sonata-rondo form: a series of refrains balanced by a series of couplets which project a larger three-part design. The second interpretation is a type of rotational form, which I call ‘proto-rotational’ in Ex. 8. While the form-functionality of the sonata-rondo clearly gives way to an ABA exposition, the arrival of the canonic material in bar 214 (labelled ‘quasi-canon’ in Ex. 8) throws our sensibilities into disarray. From a traditional sonata-rondo perspective (itself an entirely viable reading), the canonic material acts as the development section while telescoping the main theme and transition of the recapitulation, a technique that William Caplin has identified in many of Mozart’s works.¹² But from another, more phenomenologically orientated perspective, Schubert’s finale takes on a whole new dimension from bar 214 onwards. That is to say, as the music moves past the second refrain and launches directly into the canonic material, it is as if the refrains of the sonata-rondo become a series of heightened rotations in a rotational form. This happens not once but twice: in the first case the canonic material prolongs the dominant of C minor (bars 214ff), and in the second it transposes everything down a semitone,

prolonging the dominant of B minor (bars 233ff). At the *più allegro* (bars 370ff) Schubert ushers in one last utterance of the A material, pulling out all the stops to lead us into the work's dramatic denouement.

The opening harmonic trajectory of the Allegretto is no less daring. Unlike the previous movements, this one begins not on the tonic but on an extended dominant prolongation, one moreover that implies the key of C minor, not C major. Consider bars 1–19, shown in Ex. 9 and sketched in Ex. 10. This opening motion from dominant to tonic is punctuated along the way by four unisono bursts that span a fourth: G (bar 1), B \flat (bar 13), B \sharp (bar 17) and C (bar 19). In the meantime, the inner voices project a linear unfolding of ascending thirds while the upper voice leads chromatically from D to E, the primary note of the Allegretto.

Just like the Allegro and the Scherzo, the opening to the Allegretto makes extensive use of mixture and neighbour notes. This is already clear at the beginning owing to the chromatic alterations of E \sharp to E \flat and A \sharp to A \flat (hence the implied parallel minor). What is more, the E \flat colours the inner voice of a neighbouring $\frac{6}{4}$ chord (bars 2, 4 and 6), and the A \flat acts as a surface (and very salient) chromatic upper neighbour to G (bars 5–6). When we finally reach the tonic at bar 19, the feeling of minor has vanished and we hear an unambiguous C major. E \flat transforms into E \sharp , and the neighbour progression A \flat –G now sings in the high register as a diatonic A \sharp –G. Of course, the local colouration of E and the salient A–G neighbour motion come directly from the opening of the entire piece (see again Ex. 1). The A–G neighbour figure is echoed in another neighbour figure, D–C (bars 25–26 and 42–43). The latter is even stronger than the former, since it signals melodic closure and the end of each A section. Indeed, Schubert used this motive throughout the Scherzo and does so here with the same effect: that of announcing perfect authentic cadential motion without, strictly speaking, supplying it. In the case of the repetitive D–C motive, its onset is brought about only after the moment of harmonic close at bar 42, a mere fraction of a second.

The B material offers us a lyrical release from the incessant propulsion of the A material (Ex. 11, bars 46–53). It does this not only through the *biedermeierisch* nature of the tune, but also through the use of a diatonic descending tetrachord in the bass counterpointed at the tenth (a classic eighteenth-century schema that Robert Gjerdingen has called the Prinner).¹³ Like the A material, the B material does not begin on the tonic but on another sonority, this time on IV. Since the bass motion is from C to G, one might be tempted to think that the B material starts on the tonic and modulates to the dominant. It is better, however, to read the local progression (bars 46–49, repeated at 50–53) as an auxiliary cadence already in G major: IV–I⁶–V³–I. Thus, the opening ascent from G to C (V–I) is reversed as C to G (IV–I).

Although G major is clearly the key of the B material, its closure in that key is far from conclusive. Ex. 12 offers a sketch of this section, beginning at the final utterance of the theme and its continuation (bars 83ff). After a prolonged dominant on D (bars 88–106), Schubert begins a cadential progression to close

Ex. 9 Allegretto, bars 1–19

Allegretto *1*

The musical score consists of five staves. The first system (bars 1-5) shows a complex rhythmic pattern with many sixteenth and thirty-second notes. The second system (bars 6-10) continues this pattern, with some staves marked *simile*. The third system (bars 11-19) concludes the excerpt with similar rhythmic complexity. Dynamics include *f* and *fz*. The tempo is marked *Allegretto 1*. The key signature has one flat (B-flat). The notation includes various articulations like accents and slurs.

Ex. 9 Continued

The musical score for Ex. 9 Continued begins at bar 15. It is a five-part setting for Violin I, Violin II, Viola, Cello, and Double Bass. The notation is dense, featuring many sixths and dyads. Dynamics include *fz* (fortissimo-zwischen), *f* (forte), and *ff* (fortissimo), with some parts marked *etc.* The key signature has one flat (B-flat).

the section (bars 107ff). The moment of closure, however, brings uncertainty with it. In bar 125, just two bars before the cadence, Schubert effects a modal switch from G major to G minor. And although we can ascertain a cadence at bar 127, this switch from major to minor and the thinning of the texture weakens its impact. Bars 127–141, which form a post-cadential extension, offer something of a correction. Slowly Schubert turns minor back into major, and at bar 141 he attempts another cadence. This one, however, feels even weaker than the previous one, since the D–G bass motion is buried in the viola and the leading note takes over in the second cello. In bar 141 G begins its retransition to C. Strengthening the drive home is a large-scale chromatic ascent in the viola beginning at bar 153, played in double stops. Ex. 13, a deep middleground, reveals how the diatonic descending sixth that pulled us into the B section becomes a chromatic ascending sixth to pull us out.

No analysis of the Allegretto would be complete without a discussion of its final bars (Ex. 14). As mentioned earlier, the use of the neighbour-note progressions A–G and D–C form an integral part of this movement: A–G represents $\hat{6}-\hat{5}$ and D–C, $\hat{2}-\hat{1}$. At the very end of this work, Schubert once again turns back to the opening minor character of the Allegretto by reintroducing $E\flat$ and $A\flat$ at the final cadence (bars 419–423). At bar 423 he inserts an $E\flat$ into the inner voice, restoring the major mode. But repose was certainly not in Schubert's mind: immediately after the cadence at bar 423 he launches the upper voice into a swift linear ascent, just as he did at the end of the Scherzo. At bar 425 a $D\flat$ is introduced in the bass, forming a dominant French augmented sixth chord. With such a strong tendency to resolve to C, the $D\flat$ and B push their way to the tonic, and Schubert delivers the final blow: D–C in every voice.

Ex. 10 Sketch of Allegretto, bars 1–19

D—Eb D—Eb D# Eb Eb Eb

① ⑬ ⑰ ⑲

5—b6 5 #5 6 I

Ex. 11 Allegretto, bars 46–53

46

Vln. 1

Vln. 2

Vla.

Vc.

Vc.

p *fz*

p *fz*

p *fz*

G: IV I6 V 4/3 I

50

As I read it, this culminating gesture is just one final reflection on the entire work. While it clearly shows another use of mixture and is related to the neighbouring motions mentioned above, the role of the pitch D \flat should now be perfectly clear. For one thing, it functioned as the tonality of the Trio. For another, D \flat is one of the most expressive pitches in the piece: as an enharmonic C \sharp , it initiated the common-tone shift at the end of the Trio, and it sat on top of the A major chord in the transition of the Adagio. And motivically, it reminds us yet again of the ubiquitous descending semitone. Whereas A \flat –G became A–G at

Ex. 12 Sketch of Allegretto, bars 83–187

A **B: Theme + Continuation** **B: Cadential Progression**

B: Post-Cadential Extension **Retransition** **A**

3 $\hat{3}$ $\hat{b}3$ $\hat{2}$ $\hat{1}$

83 86 88 98 106 107 122 125 127

G: I V VI IV V⁷ I IV^b V⁷ +6 5 V^{6-b6-5} 4 $\frac{3}{2}$ I cad?

$\hat{b}3$ $\hat{2}$ $\hat{1}$

127 135 139 141 153 169 187

G: I Π^6 V⁷ I \Rightarrow C: V cad? $\frac{3}{2}$ I

Ex. 13 Deep middleground to the B section of the Allegretto

the opening, D–C becomes D \flat –C at the closing. Thinking back, we can also see how the opening ascending gesture of the Scherzo (C–D) transforms into a chromaticised descending gesture in the Finale (D \flat –C). Indeed, a unifying process has unfolded over the course of these final two movements – or, better, over the course of a single, overarching movement.

Tonal Structure and Conclusion

The above discussion has addressed many aspects of form, cadence and tonality in the Scherzo, Trio and Finale of Schubert's Quintet. As a final step, Ex. 15 shows the overall tonal structure that these movements project. First of all, it enables us to see how a single background governs the course of these two movements: the Scherzo prolongs $\hat{3}$; the Trio provides the upper-neighbour $\hat{4}$, which falls back to $\hat{3}$ at the Scherzo's repeat; and the Allegretto provides the final descent to the tonic. The graph includes other features that support my interpretation. In the Scherzo it is Schubert's use of the pedal point, the prominence of $\hat{3}$ and the cadential inconclusiveness that give this section its open-ended feeling. For the Trio's part, we now see its function in a larger context and can note the motivic parallelism between its local G \flat –F neighbour progression and the enlarged E–F–E neighbour progression of the Scherzo and Trio combined. In the Allegretto Schubert regains $\hat{3}$ in the upper voice through the initial auxiliary progression (see again Ex. 10), and he articulates the final descent through a late interruption at bar 266 and a final cadence at bar 423. To be sure, my analysis gives precedence to these two harmonic events, which are stronger than any others in the final two movements.

One of the most revealing aspects of analysing these movements is working out when we actually have tonal closure. As it turns out, at every cadence point but one (bar 423 of the Allegretto) Schubert avoids perfect authentic closure and

Ex. 14 Allegretto, bars 417–429

417

Vln. 1

Vln. 2

Vla.

Vc.

Vc.

421

Ex. 14 Continued

Ex. 15 Structural interpretation of Scherzo-Trio and Finale combined

instead uses imperfect authentic closure or obscures the cadence in some other way: an inner voice reaches over the soprano and concludes on $\hat{3}$, the dominant lacks the leading note, a pedal point is thrown in, a change of mode occurs or the voices simply drop out.¹⁴ As I have mentioned on a number of occasions, Schubert attaches the melodic motion $\hat{2}-\hat{1}$ only after the tonic sonority has been

reached. This explains the delayed arrivals, the post-cadential extensions and the many surface gestures that signal closure without actually providing it.

This analysis has highlighted two aspects of the Quintet: first, the way in which the Scherzo-Trio and Finale project a single, forward-driving tonal trajectory; and second, the way in which these closing movements simultaneously reflect upon the previous movements and upon themselves. It is often said of Schubert that his instrumental music imparts a sense of timelessness. Some, such as Adorno, have gone so far as to describe Schubert's music as crystalline, or even as a musical potpourri that lacks teleology.¹⁵ While such views are certainly appropriate for describing aspects of our aesthetic experience when listening to Schubert's music, it is equally important to seek out the ways in which the composer unfolds his musical drama in time, and to uncover how he carries out his formal and tonal processes. As I see it, he succeeds in producing an exciting conclusion to this work while simultaneously offering us a glance at the inner workings of his lyrical propensities and his expressive subtleties, recapturing again and again those moments that are so meaningful. The String Quintet is truly a piece that deserves a moment of reflection.

NOTES

1. David Beach, 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure', *Music Theory Spectrum*, 15/i (1993), pp. 13–15; Beach, 'Harmony and Linear Progression in Schubert's Music', *Journal of Music Theory*, 38/i (1994), pp. 2–7; Beach, 'Phrase Expansion: Three Analytical Studies', *Music Analysis*, 14/i (1995), pp. 29–34; Peter H. Smith, 'Harmonic Cross-Reference and the Dialectic of Articulation and Continuity in Sonata Expositions of Schubert and Brahms', *Journal of Music Theory*, 50/ii (2006), pp. 153–62; and Lauri Suurpää, 'The Path from Tonic to Dominant in the Second Movement of Schubert's String Quintet and in Chopin's Fourth Ballade', *Journal of Music Theory*, 44/ii (2000), pp. 455–65.
2. Nicholas Rast, 'Schubert's C major String Quintet D. 956', *Schubert durch die Brille: Internationales Franz Schubert Institut – Mitteilungen*, 21 (1998), pp. 111–25.
3. Rast, 'Schubert's C major String Quintet', p. 122.
4. John Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet, D. 956', *Musical Quarterly*, 84/iv (2000), p. 631. Gingerich has pointed to many cyclical references of the Quintet, most notably the central theme of the first movement (found in the secondary area) and the ubiquity of the descending semitone.
5. My comprehensive graph agrees for the most part with Smith's graph of the opening 52 bars. See Smith, 'Harmonic Cross-Reference', p. 156.

6. Jonathan Bellman has identified the prevalence of the *style hongrois* in Schubert's Quintet. He identifies, among other things, the use of horn counterpoint and drones in the Scherzo. See Bellman, 'Toward a Lexicon for the *style hongrois*', *Journal of Musicology*, 9/ii (1991), pp. 214–37; and Bellman, *The 'Style Hongrois' in the Music of Western Europe* (Boston, MA: Northeastern University Press, 1993).
7. For Beach, the E \flat of the exposition (both pitch and chord) gives a local and global 'colouration' of C major, as $\hat{3}$ and $\flat\text{III}$; and, as he sees it, B acts more as $\sharp\text{III}$ in G rather than as V in E. See Beach, 'Harmony and Linear Progression', pp. 2–7. See also Beach, 'Schubert's Experiments with Sonata Form', 13; James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', *19th-Century Music*, 2/i (1978), pp. 22–3; and Charles Rosen, *Sonata Forms* (New York: Norton, 1980), pp. 244–5. Steven Vande Moortele and Nathan Martin have drawn even further attention to the importance of E \flat in the exposition of the Allegro in 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', in this issue.
8. One might read the motion G–E \flat –B–G as a full major-thirds cycle, although such a reading ignores the contrapuntal dimension of the 5–6 motion at bar 107 (and more abstractly at bar 83). Others, such as David Damschroder, would read this same sequence of key areas as based exclusively in the 5–6 shift. This, however, favors the abstract contrapuntal motion between these sonorities over the surface harmonic (root) motion; see Damschroder, *Harmony in Schubert* (Cambridge: Cambridge University Press, 2010), pp. 56–60. I have chosen to adopt a middleground stance, which considers either the contrapuntal or harmonic motion a viable interpretive option.
9. By contrast, Smith finds no associational context in which to discuss Schubert's harmonies in the Scherzo. However, his study focuses on harmonic associations within movements, not across them. See Smith, 'Harmonic Cross-Reference', pp. 153–8.
10. Martin Chusid notes that the F minor character of the opening descent (which includes E \sharp and G \sharp) further recalls the F minor section of the Adagio. See Chusid, 'Schubert's Chamber Music: Before and After Beethoven', in Christopher Gibbs (ed.), *The Cambridge Companion to Schubert* (Cambridge and New York: Cambridge University Press, 1997), p. 184.
11. One might be tempted to label the A major chord of bars 38–39 as an incomplete augmented sixth chord; however, the effect of the A major sonority as a momentary half cadence and the lack of an F \sharp argues against such a reading.

12. See William Caplin, *Classical Form: a Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford and New York: Oxford University Press, 1998), p. 239. As I see it, however, Schubert's use of this procedure is entirely different, for the reasons described above. James Hepokoski and Warren Darcy would also interpret this sonata-rondo from a rotational point of view, but in a wholly different way from my own. For them, each return of the A section would represent the onset of a new rotation. That is, AB=R1; ACB'=R2; A=R3. See Hepokoski and Darcy, *Elements of Sonata Theory* (Oxford and New York: Oxford University Press, 2006), pp. 407–9.
13. Robert Gjerdingen, *Music in the Galant Style* (Oxford and New York: Oxford University Press, 2007), pp. 45ff.
14. By most accounts, two criteria define a perfect authentic cadence: (1) the bass motion V–I; and (2) the resolution to $\hat{1}$ in the upper voice from $\hat{2}$ or $\hat{7}$. Only one other place meets these requirements: bars 211–12 of the finale. This cadence, which lacks the leading note on the dominant and is followed immediately by the canonic material (i.e. the heightened rotation of the A material), is hardly a moment of repose.
15. Theodor Adorno, 'Schubert (1928)', tr. Jonathan Dunsby and Beate Perry, *19th-Century Music*, 29/i (2005), p. 9.

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ABSTRACT

Schubert's Quintet in C major has drawn the attention of a number of Schenkerian analysts. While most have examined aspects of form and tonal structure within specific movements (Beach 1993, 1994 and 1995; Smith 2006; and Suurpää 2000), others have attempted to analyse the entire Quintet along a single linear trajectory (Rast 1998). In general, however, Schenkerian analyses of this piece have emphasised the opening two movements, and they have quite understandably done so from a mainly teleological perspective. However, such a perspective stands in stark contrast to the more retrospective, introspective and lyrical qualities that the Quintet exhibits (Gingerich 2000).

This article offers an analysis of the last two movements of Schubert's masterpiece, the Scherzo-Trio and Finale (Allegretto). These deploy many of the same techniques as the first and the second movements: delayed tonal arrivals,

chromatically altered sonorities, harmonic and motivic cross-references and structured paths from tonic to dominant. While negotiating the ways in which form, cadence and voice leading articulate the overall tonal structure, the article aims to bring together the forward-driving and retrospective impulses by investigating the ways in which Schubert revisits many of the same 'timeless' moments found in the previous movements while still allowing the work to close as a single dramatic gesture.