The Romantic Overture and Musical Form from Rossini to Wagner

Steven Vande Moortele

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In this book, Steven Vande Moortele offers a comprehensive account of operatic and concert overtures in continental Europe between 1815 and 1850. Discussing a broad range of works by German, French, Italian, and other composers, it is at once an investigation of the romantic overture within the context of mid-nineteenth-century musical culture and an analytical study that focuses on aspects of large-scale formal organization in the overture genre. While the book draws extensively upon the recent achievements of the "new *Formenlehre*," it does not use the overture merely as a vehicle for a theory of romantic form, but rather takes an analytical approach that engages with individual works in their generic context.

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Finally, I would like to thank my wife, Sarah Gutsche-Miller, for being my most caring editor and my in-house music historian – and for everything else.

Abbreviations

Technical Abbreviations

ant.   antecedent
b.i.   basic idea
cad.   cadential
c.b.i.   compound basic idea
c.c.i.   compound contrasting idea
c.i.   contrasting idea
cons.   consequent
cont.   continuation
D   dominant
DA   dominant arrival
DC   deceptive cadence
DEV   development
EC   evaded cadence
ECP   expanded cadential progression
exp.   expanded
fr.   fragment
HC   half cadence
IAC   imperfect authentic cadence
MT   main theme
no cad.   no cadence
OMT   "one more time"
P   parallel
PAC   perfect authentic cadence
PD   pre-dominant
PETR   post-exposition transition
pres.   presentation
R   relative
RHC   reinterpreted half cadence
ST   subordinate theme
T   tonic
TR   transition

Abbreviations for Frequently Cited Nineteenth-Century Periodicals

AMZ	*Allgemeine musikalische Zeitung*
AMZÖK	*Allgemeine musikalische Zeitung, mit besonderer Rücksicht auf den österreichischen Kaiserstaat*
BAMZ	*Berliner allgemeine Musikzeitung*
Iris	*Iris im Gebiete der Tonkunst*
NBMZ	*Neue berliner musikalische Zeitung*
NZ	*Neue Zeitschrift für Musik*
WAMZ	*Wiener allgemeine Musik-Zeitung* (until 1844: *Allgemeine Wiener Musik-Zeitung*)

Introduction

Formenlehre, Genre, and the Romantic Turn

"Musical *Formenlehre*," Carl Dahlhaus once wrote, "is always also a theory of genre."[1] That may seem self-evident. The musical forms that are the subject of *Formenlehre* are, in a general sense, genres: codifications of norms and conventions that guide the interpretation of individual pieces and facilitate the generation of analytical meaning. But such "formal genres," as they may be called, are not what Dahlhaus had in mind with his comment, which appeared in a discussion of Adolf Bernhard Marx's *Lehre von der musikalischen Komposition*. The *Formenlehre* in the third volume of that book, Dahlhaus pointed out, is a thinly veiled theory of form in piano music, even though it is presented as a comprehensive theory of form.[2] What Dahlhaus meant, therefore, was that Marx's *Formenlehre* is limited in its applicability to a specific *musical* genre, and that the choice of genre conditions the theory: had Marx focused on another genre – had he written about symphonies or string quartets rather than about piano sonatas – his theory would have looked different. For Dahlhaus, an abstract theory of form that transcends the differences between musical genres was "a fiction."[3]

It is instructive to confront Dahlhaus's assessment of Marx's *Formenlehre* with what is arguably one of the great success stories in the recent history of music theory, namely the "new *Formenlehre*" of William E. Caplin's *Classical Form* and James Hepokoski and Warren Darcy's *Elements of Sonata Theory*.[4] The historical and geographical focus of

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1 Carl Dahlhaus, *Die Musiktheorie im 18. und 19. Jahrhundert. Zweiter Teil: Deutschland*, ed. Ruth E. Müller (Darmstadt: Wissenschaftliche Buchgesellschaft, 1989), 222. All translations are my own unless otherwise indicated.

2 Adolf Bernhard Marx, *Die Lehre von der musikalischen Komposition, praktisch-theoretisch*, vol. III (Leipzig: Breitkopf & Härtel, 1845), 15–328.

3 Dahlhaus, *Die Musiktheorie*, 222.

4 William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998); James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006). I borrow the convenient

both treatises is largely the same as Marx's: Viennese instrumental music from the high-classical era. And like Marx, both Caplin and Hepokoski and Darcy aspire to a comprehensive theory of classical form. What distinguishes the new *Formenlehre* from the old is that its claim to comprehensiveness, at least in terms of genre, is at first sight more convincing. Caplin's theory of formal functions and Hepokoski and Darcy's sonata theory are demonstrably based on a wide variety of instrumental genres. Dahlhaus's fiction, so it would seem, has become reality. Yet the price both theories have paid to achieve this comprehensiveness is considerable. Differences between musical genres – the ways in which, say, a sonata form in a string quartet differs from that in a symphony – are marginalized. Genre plays practically no role in Caplin's theory, and while both genre theory and formal genres are front and center in Hepokoski and Darcy's approach – sonata form for them is "a constellation of norms and traditions" – musical genres paradoxically form only a minimal part of that constellation.[5]

The question of musical genre poses itself with renewed urgency in view of the recent developments in the new *Formenlehre*. In the last five years, scholars have increasingly turned their attention away from the classical core repertoire of Caplin's and Hepokoski and Darcy's theories to the music of composers who came of age in the second, third, or fourth decades of the nineteenth century – composers such as Schubert, Chopin, Robert and Clara Schumann, and Mendelssohn, to name only the ones Janet Schmalfeldt discusses in her study of form in the early nineteenth century, *In the Process of Becoming*.[6] This "romantic turn" in the new *Formenlehre* – "romantic," for the purposes of the present book, referring to music written between ca. 1815 and 1850 – at the same time constitutes a turn away from comprehensiveness. Schmalfeldt, for example, warns her readers that her book is "composer- and piece-specific rather than typological or taxonomic"; others, too, have focused on individual works, individual composers, or individual genres.[7] No one to date has

term "new *Formenlehre*" from Matthew Riley, "Hermeneutics and the New *Formenlehre*: An Interpretation of Haydn's 'Oxford' Symphony, First Movement," *Eighteenth-Century Music* 7 (2010): 199. What makes it especially attractive is its resonance with the roughly contemporaneous rise of the "new formalism" in academic literary criticism. On the latter, see Fredric Bogel, *New Formalist Criticism: Theory and Practice* (New York: Palgrave MacMillan, 2013).

[5] *Elements of Sonata Theory*, 606.

[6] Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011).

[7] Schmalfeldt, *In the Process of Becoming*, 9. Recent examples of all three categories include Peter Smith, "Cadential Content and Cadential Function in the First-Movement Expositions of

presented what could be called a "theory of romantic form" that aspires to anything close to the broad applicability that Caplin or Hepokoski and Darcy claim for their theories of classical form.

One obstacle to a theory of romantic form is, paradoxically, the very success that the new *Formenlehre* has had in the realm of classical music. It is virtually impossible to start talking about romantic form without first saying something about classical form. Even though neither Caplin's nor Hepokoski and Darcy's theories seamlessly fit romantic music, both are obviously relevant to it, and must therefore be taken into account. Perhaps it is not impossible to construct a theory of romantic form that ignores both the theory of formal functions and sonata theory and that instead starts from scratch by devising a new typology and taxonomy solely based on an empirical investigation of the romantic repertoire itself. But such an enterprise would be as tedious as it would be inefficient, simply because so much of its outcome would overlap with what we already know from classical form.

A second obstacle has to do with the nature of the repertoire itself. A defining characteristic of Caplin's and Hepokoski and Darcy's theories is their heavy reliance on the universality (real or imagined) of the Viennese classical style. They manage to be comprehensive (as reflected by the phrases "classical form" and "the late-eighteenth-century sonata" in the titles of their respective treatises) in spite of the fact that they center on the sonata-style music of only three composers working for the most part in or near only one Central European city. Some would no doubt argue that classical form is less monolithic a practice than Caplin's and Hepokoski and Darcy's treatises suggest, and that differences not only between genres but also between composers and between geographical regions are considerable. Yet few would dispute that romantic form is an even more fragmented phenomenon than classical form. Form in, for instance, a lyrical piano piece written in Paris by Chopin works differently than form in a monumental symphony movement written for Leipzig by Schumann, and the differences are arguably more drastic than those between genres, regions, and composers in the final decades of the eighteenth century. A *Formenlehre* for romantic music, it seems, has to be either

Schumann's Violin Sonatas," *Music Theory & Analysis* 3 (2016): 27–57; Julian Horton, "Formal Type and Formal Function in the Postclassical Piano Concerto," in Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (eds.), *Formal Functions in Perspective: Studies in Musical Form from Haydn to Adorno* (Rochester: University of Rochester Press, 2015), 77–122; and Andrew Davis, "Chopin and the Romantic Sonata: The First Movement of Op. 58," *Music Theory Spectrum* 36 (2014): 270–94.

composer- or piece-specific (as in Schmalfeldt's book), or it has to limit itself to a single musical genre (as Dahlhaus suggests).

Romantic Overtures and Romantic Form

I have opted for the latter path. This book is as much a study of a musical genre as it is a study of musical form. As a study of a musical genre, it investigates the romantic overture (defined broadly to include overtures written for concerts, operas, ballets, oratorios, or plays) in the context of German musical culture between roughly 1815 and 1850. As a study of musical form, it focuses on aspects of large-scale formal organization in those romantic overtures through a dialogue with existing theories of classical form. Both threads in the book are intertwined. The study of romantic form is embedded in the study of genre, so that the study of form is the central aspect of the genre study and the non-analytical aspects of the genre study enrich the study of form. Together they amount to a kind of "analysis in context," to appropriate Jim Samson's classic phrase.[8]

The topic of large-scale musical form in romantic overtures is largely uncharted territory. Only a handful of analytically or theoretically oriented studies exist that are devoted to individual overtures or to a specific composer's contribution to the genre. The most recent study of the genre as a whole, moreover, appeared in 1973 and is now dated in content and method.[9] The dearth of literature on overtures is symptomatic of a broader tendency. With few exceptions, music theory has long remained ambivalent at best about romantic orchestral music. This ambivalence is not limited to music theory in the strict sense, as Charles Rosen's voluminous study *The Romantic Generation* illustrates.[10] Rosen's book is about piano music, songs, and chamber music (in that order of importance). To a smaller extent, it is also a book about opera. It is, however, manifestly not a book about orchestral music. Except for a few pages on the first movement of Berlioz's *Symphonie fantastique* and one sentence on

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[8] Jim Samson, "Analysis in Context," in Nicholas Cook and Mark Everist (eds.), *Rethinking Music* (Oxford: Oxford University Press, 1999), 35–54.

[9] Susanne Steinbeck, *Die Ouvertüre in der Zeit von Beethoven bis Wagner: Probleme und Lösungen* (Munich: Katzbichler, 1973). A more recent (and methodologically more sound) study deals comprehensively with a repertoire that predates the chronological focus of my book: Matthias Corvin, *Formkonzepte der Ouvertüre von Mozart bis Beethoven* (Kassel: Bosse, 2005). Corvin's book includes thirty-two short analyses of individual overtures by twenty-three different composers from Germany, Austria, Italy, and France written between 1775 and 1811.

[10] Charles Rosen, *The Romantic Generation* (Cambridge, MA: Harvard University Press, 1995).

Schumann's *Manfred* overture, orchestral music might as well, if Rosen's book were to be believed, have been nonexistent during the second quarter of the nineteenth century.

Admittedly, much of Rosen's study is older than its cover date suggests, and within the new *Formenlehre*, younger scholars such as Stephen Rodgers and Julian Horton have started to redress the balance by giving romantic orchestral music the attention it deserves.[11] But this is offset by the repertoire selection in Schmalfeldt's *In the Process of Becoming* – a study otherwise notable for its eclecticism. Of the 21 nineteenth-century pieces Schmalfeldt discusses in sufficient detail to warrant the inclusion of a musical example, only one involves an orchestra (coincidentally, it is an overture: Mendelssohn's *Ouvertüre zum Sommernachtstraum*). By no means do I want to fault Schmalfeldt for writing about the music she knows best, nor, more generally, do I wish to take individual authors to task for things they do not do. My point is that this is about more than individual authors' choices. By focusing primarily on non-orchestral instrumental music, theoretical and analytical scholarship on romantic music has tacitly perpetuated the stubborn prejudice that orchestral music is not what romantic composers did best.

The lack of attention for romantic orchestral music has influenced the traditional understanding of romantic form. A focus on small-scale genres such as the lyric piano piece or the Lied has led to the widespread assumption that what happens in those genres is what romantic form is all about. That is true to a certain extent. In their "miniatures" and "fragments," romantic composers did new and fascinating things that were unheard of in the music of their classical predecessors. Yet this is only one aspect of romantic form. It would be a mistake to brush aside these same composers' large-scale forms by suggesting that they by and large perpetuated the practices established by an earlier generation.

For one thing, it would be wrong to equate large-scale form in the nineteenth century with sonata form (and therefore, to narrow *Formenlehre* to "sonata-form theory"). This matters more for a study of romantic overtures than for a study of, say, first movements of romantic symphonies. For a composer of overtures between 1815 and 1850, using some variant of sonata form was only one of several available options (although admittedly a central one). It was equally possible to write an

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[11] Stephen Rodgers, *Form, Program, and Metaphor in the Music of Berlioz* (Cambridge: Cambridge University Press, 2009); Julian Horton, "John Field and the Alternative History of Concerto First-Movement Form," *Music & Letters* 92 (2011): 43–83; id., "Formal Type and Formal Function."

overture that was not in sonata form at all, or that was only partly in sonata form, or that combined sonata form with some other principle of formal organization. This also means that when it comes to the overture, the relationship between musical genre and formal genre is complex. The genre "overture" is not a subcategory of the genre "sonata form" (whereas the genre "symphonic first movement," for all practical purposes, is).

An additional complication is that the overture genre itself exists in two incarnations, or subgenres: overtures that were intended as standalone pieces, and overtures that were part of a larger work. While there was considerable overlap between both in some respects, generic conventions and horizons of expectation were different for each. This double "symphonic-theatrical" identity of the overture genre contributed to its centrality in nineteenth-century musical life. Straddled between the theater and the concert hall, the overture can even be considered the only truly European instrumental genre of its time. From a Germanic perspective, it bridges the gap between Beethoven's symphonies and Liszt's symphonic poems in an era plagued by recurring doubts about the viability of the symphony. From a broader European point of view, its close association with opera allowed the overture to flourish even in those countries where independent traditions of instrumental music were otherwise marginal, such as France and Italy.

Repertoire

The overture repertoire studied in this book is the repertoire that would have been familiar to a musician or connoisseur in the northern German cities of Leipzig and Berlin between 1815 and 1850 – a writer or theorist such as Marx or a composer such as Mendelssohn, Schumann, or the young Wagner. This may not seem an obvious choice. Leipzig and Berlin were provincial cities compared to the cosmopolitan centers of London and Paris. While visiting the British capital, Mendelssohn wrote to his family that he had not seen "so much contrast and so many different things in the past half year in Berlin as in these three days [in London]."[12] Nonetheless, music arguably played a more central role in everyday life in these German cities, in spite (or perhaps because) of their smaller scale. On his first visit to Berlin, Berlioz famously marveled that "there is music in

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[12] Letter from 25 April 1829 in Felix Mendelssohn Bartholdy, *Sämtliche Briefe*, vol. I, ed. Juliette Appold and Regina Back (Kassel: Bärenreiter, 2008), 269.

the air, one breathes it, it penetrates you. One finds it in the theater, in church, at the concert, in the street, in public gardens, everywhere."[13] What was characteristic of both cities in the decades between 1815 and 1850, moreover, was the coexistence of a well-established tradition of symphonic concerts and an eclectic operatic tradition. Berlin had the Sinfonie-Soiréen as well as the Königliche Oper (Unter den Linden) and the Nationaltheater (from 1821 in the Schauspielhaus am Gendarmenmarkt), and in Leipzig there were the Gewandhaus concert hall and the Comödienhaus opera, to name only some of the most prominent and long-lived institutions.[14] Both cities offered circumstances that were conducive to the flourishing of the overture as a musical genre. Nowhere in Europe were overtures of all kinds produced, printed, and performed with such frequency as in Berlin and Leipzig during the 1820s, 30s, and 40s.[15] Both cities were also among the main centers for writing about music in the first half of the nineteenth century. Berlin was home to the *Berliner allgemeine musikalische Zeitung* (1824–30) and *Iris im Gebiete der Tonkunst* (1830–41), edited by Marx and by Ludwig Rellstab respectively. Leipzig had the even more widely read *Allgemeine musikalische Zeitschrift* (with editors such as Gottfried Wilhelm Fink, Moritz Hauptmann, and Johann Christian Lobe) and, from 1834, Schumann's (and later Franz Brendel's) *Neue Zeitschrift für Musik*. Overtures were frequently discussed in all of these periodicals as well as in books about music written by their regular contributors.

In studying the overture in continental Europe through the lens of the specific cultural-historical setting of Berlin and Leipzig between 1815 and 1850, I have no ambition to revive the German cultural chauvinist's equation of "music" with "German music." The overture repertoire performed in Germany between 1815 and 1850 is emphatically not the same as the repertoire of German overtures written between 1815 and 1850. Music in Berlin and Leipzig was surprisingly cosmopolitan, even though the cities themselves – and the prevailing ideological winds blowing

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[13] *Journal des débats*, 8 November 1843: [1]. Also in Hector Berlioz, *Mémoires* (Paris: Lévy, 1870), 306.

[14] The most detailed study of musical life in Berlin during the first half of the nineteenth century remains Christoph-Hellmut Mahling, "Zum 'Musikbetrieb' Berlins und seinen Institutionen in der ersten Hälfte des 19. Jahrhunderts," in Carl Dahlhaus (ed.), *Studien zur Musikgeschichte Berlins im frühen 19. Jahrhundert* (Regensburg: Bosse, 1980), 27–284. On concert life in Leipzig, see Bert Hagels, *Konzerte in Leipzig, 1779/80–1847/48. Eine Statistik* (Berlin: Ries & Erler, 2009), 32–110.

[15] Naturally the production of opera overtures was higher in an operatic center such as Paris. German composers, however, wrote more concert overtures. Moreover, French (and Italian) overtures found their way to German audiences more easily than the other way around.

through them – were not. The overture repertoire included French and Italian as well as German and Austrian works, and "foreign" pieces were by no means marginal. While it is true that overtures by German or Austrian composers would appear more frequently on concert programs than Italian or French ones, this is entirely outweighed by the prominence of French and Italian music at the opera. On the sheet-music market (always a reliable indicator of an overture's popularity, because the differences in performance venue become irrelevant), both groups were largely on par.

In order to do justice to this cosmopolitan reality, one has to move beyond music theory's traditional Germanocentric orientation. I will therefore analyze German, French, Italian, and other overtures alongside each other, hence the phrase "from Rossini to Wagner" in this book's title instead of the more predictable "from Beethoven to Wagner."[16] I rely on a corpus of 175 overtures, the core of which consists of operatic, ballet, oratorio, theater, and concert overtures written between ca. 1815 and 1850.[17] Although the selection includes obscure pieces, it is biased toward canonical composers and composers who were popular then even when they no longer are now (Weber, Spohr, Mendelssohn, Schumann, and Wagner in Germany; Schubert in Austria; Auber and Berlioz in France; Rossini, Donizetti, and Verdi in Italy). Some of the works on the list are masterpieces, others are not. This core group of works is complemented by a smaller number of overtures from the decade before 1815 (including works by Beethoven) as well as older overtures by Gluck, Mozart, Cherubini, and Méhul that continued to be part of the repertoire through the first half of the nineteenth century. Together, these 175 works form both a plausible (even though still artificial) reconstruction of the mid-nineteenth-century overture repertoire and a workable background for analyses of individual overtures.

The diversity of this repertoire implies that I use the term "romantic overture" in a stylistically broad but chronologically narrow sense. The chronological boundaries of 1815 and 1850 may at first seem to be politically rather than musically inspired: they coincide with the end of the

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[16] In this sense, my project resonates with those of William Rothstein and Horton. See Rothstein, "Common-Tone Tonality in Italian Opera: An Introduction," in *Music Theory Online* 14 (2008), www.mtosmt.org/issues/mto.08.14.1/mto.08.14.1.rothstein.html (accessed 1 January 2016), and Horton, "John Field and the Alternative History" and "Formal Type and Formal Function."

[17] The Appendix provides the complete list. The list includes all the overtures that were analyzed for this book. For that reason, it excludes several of the works that are brought up only as part of the historical discussion, especially in Chapter I. Conversely, most but not all of the works on the list are explicitly mentioned in the book.

Congress of Vienna and the aftermath of the revolutions of 1848–49, respectively. Yet the demarcation is not irrelevant for the overture genre. The years around 1815 and 1850 brought changes (sometimes directly related to the political events, sometimes not) in the lives and careers of several of the composers who play a prominent role in this study. In that sense, too, the phrase "from Rossini to Wagner" is indicative. It was around 1815 that Rossini rapidly rose to fame, first in Italy, then abroad. And Wagner's exile after the Dresden uprising of 1849 marks a caesura in his career that was expressed in his works by, among other things, the definitive move from overtures to orchestral preludes or introductions.[18] The rise of Rossini (and the popularity of his overtures) roughly coincides with Beethoven's move away from orchestral music. After 1815, Beethoven would write only one more overture, *Die Weihe des Hauses* (1822). The same years also witnessed Schubert's first bout of immense compositional activity; as far as overtures are concerned, the Overture in D major, D. 556, and the two Overtures "in the Italian Style," D. 590 and 591, all date from 1817. On the tail end of the time period, Wagner's abandonment of the overture in his operas after 1849 was an indication of a broader change in the status of the genre around 1850. After the completion of *Le Carnaval romain* and *Le Corsaire* in 1844, Berlioz would not write any new overtures until the 1862 *Béatrice et Bénédict*; Mendelssohn died in 1847, Donizetti in 1848; Schumann wrote his final large-scale works in 1853. It is almost symbolic that Liszt in 1856 published several of the overtures he had written in the preceding years under the new generic designation "symphonic poem."

Theories

The main point of reference for the analyses in this book is the new *Formenlehre* of Caplin's theory of formal functions (including the contributions to that theory by Schmalfeldt) and Hepokoski and Darcy's sonata theory. It testifies to the strength of both theoretical systems that much of their vocabulary has so quickly become part of the music-theoretical lingua franca. For that reason I will presuppose on the part of the reader a basic

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[18] There are exceptions on both sides of the caesura. *Lohengrin* begins with a prelude rather than an overture, and the "Vorspiel" to *Die Meistersinger von Nürnberg* arguably is an overture in all but name.

familiarity with the central tenets and a working knowledge of the main terminology of both theories.

This is not to say that I adopt Caplin's and Hepokoski and Darcy's theories wholesale. For one thing, the combination of elements from both theories, which are often considered antithetical, already precludes this possibility. As I indicated above, moreover, theories of classical form cannot account for everything that happens in romantic music. If they are to be applied to a repertoire they were not originally intended for, they need to be modified. In undertaking this modification, my emphasis is less on systematically extending Caplin's and Hepokoski and Darcy's theories than on recalibrating them. I do not think that the way forward at this point in the history of *Formenlehre* is the invention of ever more detailed categorizations that allow one to attach a unique label to virtually every formal type imaginable. Instead, I will adopt existing categories when possible, redefine them to make them better fit the realities of romantic form when appropriate, and forge new ones only when necessary.

I make these methodological choices against the background of what I have elsewhere called the dilemma between a "positive" and a "negative" approach to nineteenth-century musical form.[19] Simply put, a positive approach would strive to establish a series of types and norms for nineteenth-century form based solely on what happens in nineteenth-century music itself. A negative approach would measure nineteenth-century form against a set of types and norms that are external to it. The former option would mean redoing Caplin's taxonomic project for a new repertoire, while the latter is already built into Hepokoski and Darcy's theory of norm and deformation.[20]

In their pure forms both approaches have limitations. A shortcoming of the negative approach is its highly speculative nature. It takes as a starting point a general norm – *in casu*, the Viennese classical repertoire – and uses it as a background against which particular phenomena (early- and mid-nineteenth-century forms) are interpreted. In order to claim that such a norm is in place, one has to reconstruct the repertoire on which that norm

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[19] For a more extended version of this and the following paragraphs, see my "In Search of Romantic Form," *Music Analysis* 32 (2013): 408–11.

[20] Hepokoski and Darcy are clear about this. "In addition to furnishing a new mode of analysis for the late-eighteenth-century instrumental repertory," they write, "the *Elements* also provides a foundation for considering works from the decades to come—late Beethoven, Schubert, Weber, Mendelssohn, Schumann, Liszt, Brahms, Bruckner, Strauss, Mahler, the 'nationalist composers,' and so on. As we point out from time to time, most of [the late-eighteenth-century] sonata norms remained in place as regulative ideas throughout the nineteenth century" (*Elements of Sonata Theory*, vii).

is based and then assess how that repertoire impacts what is perceived, at the time, as normative. This is difficult, at least if one wants to avoid conflating normativity with statistical frequency. It is not because a piece existed or was performed that it helped shape the norm: we should assume that the impact of some works on the norm was greater than that of others.[21]

At the same time, it would be naïve to think one can simply codify a distinct normative practice of musical form for each new generation of composers. Nineteenth-century composers were very much aware of the music of their classical forebears, and the instrumental music of Haydn, Mozart, and Beethoven was among the first repertoires to retain a continuous presence in the musical canon beyond its composers' lifetime. From the mid-1820s onwards – that is, as the composers of Rosen's romantic generation were embarking on their careers – select works by Haydn, Mozart, and Beethoven were increasingly held up as a standard. It is hardly a coincidence that the normative term "classical," which until then had been used only in an ahistorical sense, now began to refer to a historically specific repertoire.[22]

What is needed is a model in which the negative and positive approaches to nineteenth-century form can coexist. Seth Monahan has distinguished between "two competing models of historical influence" in relation to nineteenth-century form: a linear and, in reference to Dahlhaus's view of the symphony after Beethoven, a circumpolar one. In the former model, he writes, "compositional devices follow a natural lifespan through novelty, normalcy, and finally cliché," while in the latter, "some cultural watershed exerts a direct … influence across successive generations."[23] It seems to me that the form of any given romantic work can be adequately interpreted only by combining both perspectives. This model might be conceptualized as a set of concentric circles, in the middle of which stand the classical norms and conventions casting, as a kind of *prima prattica*, a long shadow

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[21] On this point, see the succinct but astute remarks in Markus Neuwirth, "Joseph Haydn's 'Witty' Play on Hepokoski and Darcy's *Elements of Sonata Theory*," *Zeitschrift der Gesellschaft für Musiktheorie* 8 (2011): 202.

[22] The first to use the term in this sense seems to have been the Göttingen philosopher and music theorist Amadeus Wendt; see his *Über den gegenwärtigen Zustand der Musik besonders in Deutschland und wie er geworden* (Göttingen: Dieterich, 1836). On the conceptual history of "Classical," see Hans Heinrich Eggebrecht, "Klassisch, Klassik," in Eggebrecht, Albrecht Riethmüller, and Markus Bandur (eds.), *Handwörterbuch der musikalischen Terminologie*, 27th installment (Stuttgart: Steiner, 1998), 1–11.

[23] Seth Monahan, "Success and Failure in Mahler's Sonata Recapitulations," *Music Theory Spectrum* 33 (2011): 40.

across the nineteenth century. The outer circles stand for a multifarious *seconda prattica*, with every circle representing the practice of a different period (including a composer's own personal practice). With each new generation of composers the available repertoire grows, and a new layer is added to the stack of available formal options. For any specific piece, a composer may choose to activate (or the analyst may choose to emphasize) certain sets of conventions while ignoring others.

Moving beyond the unidirectional model of classical norm versus romantic deformation requires an expansion of Hepokoski and Darcy's concept of "dialogic" form.[24] The relationship with the classical style constitutes only one strand in the complex web of concurrent, partially overlapping, and at times contradictory dialogues in which the genre of the romantic overture is engaged. On the one hand, the dialogue between the romantic overture and the norms established by the (Viennese) classical style needs to be complemented not only by a dialogue between that repertoire and the norms it establishes internally, but also by a dialogue between the different national traditions within the overture genre. On the other hand, the monolithic model of a dialogue between a specific work (or group of works) and an abstract (composer- and work-transcendent) norm needs to be diversified in order to accommodate alternative modes of dialogue, such as those between individual composers or between individual works.

A final voice in the polyphony surrounding the genre of the romantic overture is the critical and theoretical discourse that was prevalent when those overtures were written, namely music criticism and *Formenlehre* between roughly 1815 and 1850. Themes from that discourse that reverberate through the analyses in this book range from the very general to the much more specific and include the aesthetic of organicism, historical theories of musical form, and mid-nineteenth-century horizons of expectation concerning the relationship between an overture and the opera it precedes. This does not mean that I intend to slavishly follow the ideas of early and mid-nineteenth-century authors. While the prospect of thinking about romantic music in terms that were available to romantic composers or their contemporaries has a certain appeal, relying exclusively on those terms would be unnecessarily limiting. We have more sophisticated tools at our disposal than Marx and his contemporaries did, especially when it

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[24] On the notion of dialogic form, see James Hepokoski, "Sonata Theory and Dialogic Form," in Caplin, Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 71–89.

comes to the analysis of musical form. Paradoxically, the aspects that stand out as most characteristic of romantic form are often the ones "romantic" music theorists and critics misunderstood. I therefore use the contemporaneous discourse about romantic overtures primarily as a heuristic tool, taking those moments where there exists a tension between musical practice and the contemporary discourse as a way into analysis.

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The seven chapters in this book are loosely grouped into two parts. The aspect of genre study is most prominent in the first three chapters. The opening chapter provides an overview of the overture genre and its position in German musical life between 1815 and 1850. Demonstrating the diversity and the growing significance and aesthetic prestige of the overture, it charts the genre's functions and conventions and clarifies the relationship between concert, theater, and operatic overtures. It positions the romantic overture as a whole in relation to the genre of the symphony and in relation to the preromantic overture tradition. The next two chapters then illustrate the diversity of the overture genre by focusing on two common romantic overture formats that are usually considered both aesthetically inferior to and atypical of the mainstream of Germanic instrumental music. Chapter II examines Rossini's overtures and their compositional reception by Auber, Schubert, and Bellini against the backdrop of the nineteenth-century aesthetics of organicism. Chapter III explores the topic of the potpourri overture in works by Weber, Mendelssohn, Hérold, Wagner, and Rossini, a formal type that is often believed to consist of a mere stringing together of tunes drawn from the opera the overture precedes.

The book's *Formenlehre* aspect comes to the fore in the last four chapters, which focus on specific formal strategies in (mainly) sonata-form overtures. Chapter IV examines introductory strategies in romantic overtures, presenting an analytical model for slow introductions and exploring the ways in which introductions relate to the rest of the form. Chapter V deals with the relationship between main and subordinate themes. Taking as a starting point nineteenth-century notions of subordinate theme, it develops the opposing categories of "introverted" and "extroverted" strong subordinate themes and shows how the relationship between themes in the exposition can have an impact on the form as a whole. In Chapter VI, I investigate nonrepeated expositions in romantic overtures and the opportunities they create to obfuscate the boundary between the exposition and

development. The final chapter is devoted to the phenomenon of recapitulatory recomposition and the technique of apotheosis.

A Practical Note

Large-scale musical form can be difficult to illustrate. In many instances readers will no doubt be dissatisfied with the musical examples and formal diagrams that are included in this book and want to consult the complete score of an overture. Provided they are part of the public domain, scores with added measure numbers (full orchestral scores if possible, piano reductions if necessary) for the entire corpus of 175 overtures listed in the appendix are available through the International Music Score Library Project (www.imslp.org) as well as through the Web site http://individual .utoronto.ca/svdm/. For those overtures for which no manuscript or early print could be located, the latter Web site provides information about recent critical editions.

I | Making Overtures

A Concert in Leipzig

On the evening of Thursday 9 January 1840 in the Gewandhaus concert hall in Leipzig, something must have gone wrong. The beginning of the concert was uneventful enough. First came the recent *Jagd-Sinfonie* by Jan Bedřich Kittl of Prague, then three vocal pieces sung by Elisa Meerti, a young mezzosoprano from Antwerp (the aria with choir "Come innocente giovane" from Donizetti's *Anna Bolena*, Schubert's *Ave Maria*, and a romance, "Felice donzella," by the Viennese composer Josef Dessauer).[1] The last number before the intermission was a Phantasy for violin and orchestra composed and performed by the evening's special guest, *Kammermusikus* Carl Stör of Weimar. His performance, an anonymous reviewer for the *Allgemeine musikalische Zeitung* commented dryly, "failed to meet expectations."[2] It is not clear what happened next – whether the soloist became unwell, whether he fought with the conductor, or whether he simply decided to call it a day – but in any case he did not return to perform the piece of his own making (a *Divertissement*) that was billed for the second part of the concert.

It fell to the Gewandhaus orchestra's conductor, Felix Mendelssohn Bartholdy, to come up with a solution. The concert's second half began as announced, with the two less familiar overtures to Beethoven's opera *Leonore* (the ones now known as *Leonore I* and *Leonore II*). Both were, at the time, distinct rarities. The former had been published just two years before, in 1838, and for a performance at the *Niederrheinisches Musikfest* in 1836, Mendelssohn had had serious trouble obtaining the parts from the Viennese publisher Haslinger.[3] The *Leonore II* overture existed only in an incomplete manuscript copy and would not appear in print until 1842.[4]

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[1] On Meerti (or Meert, as she was called before italianizing her name), see Jan Dewilde, "Die Beziehungen Robert und Clara Schumanns nach Belgien," *Schumann Studien* 10 (2012): 280–88.

[2] AMZ 42 (1840): 54. Robert Schumann noted about the same concert that "a violin player who had come over from Weimar . . . was boring [ennuyirte]" in NZ 12 (1840): 152.

[3] See R. Larry Todd, *Mendelssohn: A Life in Music* (New York: Oxford University Press, 2013), 357.

[4] The 1842 publication, by Breitkopf & Härtel in Leipzig, was based on Mendelssohn's performing version. An unabridged version appeared in 1854 from the same publisher. See also Chapter VII.

Enthused by these novelties, the audience requested an *encore* of the second overture. Instead of honoring the audience's wish, however, and in order to detract attention from the disappearance of the evening's soloist, the Kapellmeister decided to play his wild card and perform the famous and popular *Leonore III* and *Fidelio* overtures, which had originally been announced for the next concert. Mendelssohn had conducted each of Beethoven's *Leonore* and *Fidelio* overtures before, but never had all four of them been performed together.

Critics hailed the event as historical. The reviewer for the *Allgemeine musikalische Zeitung* reveled in "the great pleasure of hearing all four … overtures on one night" and found that the concert was "of the most exceptional artistic interest."[5] Robert Schumann, writing as Florestan for the *Neue Zeitschrift für Musik*, concurred: "In golden letters it should be printed what the Leipzig orchestra performed last Thursday: all four overtures to *Fidelio*, one after the other." Several months later, in a review of the entire 1839–40 concert season, Schumann again singled out this concert as one of the year's highlights, and expressed the hope that an edition of the overtures in one volume might appear for the benefit of those "who cannot so easily find an orchestra that will play all four of them."[6]

Featuring four different overtures to the same opera, Mendelssohn's concert was exceptional, of course, if only because there does not seem to exist another opera with that many overtures. As Schumann did not neglect to remark, while Beethoven wrote four overtures for one opera, Rossini ("for example") tended to write one overture for four operas. Mendelssohn himself was heavily invested in the overture genre, having been composing overtures for concert use since about 1825. By performing four Beethoven overtures in one evening, therefore, he was surely constructing a tradition for his own works. At the same time, the fact that he thought it appropriate to play all four of them together (or at least that he had planned to perform all four of them on two consecutive concerts) is telling about the status of the overture genre at the time: it symbolically brings to completion a process of emancipation of the genre as a whole.

This emancipation was remarkable in view of the traditional discourse about overtures. "An overture is a musical composition that is used as an introduction, as an opening; its name already makes this clear," read the entry on "Ouverture" in Johann Georg Sulzer's *Allgemeine Theorie der schönen Künste* in 1774.[7] This opinion was echoed more or less literally in

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5   AMZ 42 (1840): 54.   6   NZ 12 (1840): 20 and 143.

7   Johann Georg Sulzer, *Allgemeine Theorie der schönen Künste* (Leipzig: Weidmann, 1774), vol. II, 873.

lexica and dictionaries well into the nineteenth century. More than other genres, an overture wore its intended function on its sleeve. What is striking about Mendelssohn's concert is that none of the four overtures was played where it would most naturally exert this function: at the very beginning. True, *Leonore I* still functioned as a literal opener to the second half of the concert. The three other overtures, however, had shed their functional origins and were performed not as introductions to something other than themselves but as concert music in their own right. (The same would have been true had Mendelssohn carried out his original plan to perform the overtures in pairs; performing all four of them only makes it more obvious.) Since Mendelssohn had opened his concert with Kittl's *Jagd-Sinfonie*, one could go so far as to say that he was inverting traditional generic roles, treating a symphony as an overture, and a set of overtures as a symphony.

In this chapter, I situate the genre of the romantic overture in its broader generic and music-historical context. My goal is to give a sense of what we might call the "practice" of romantic overtures: what kinds of overtures were written? How many, by whom, and why? Where were they performed and published? How were they received? And how did that practice compare to earlier decades? While I focus mainly on the immediate context in which Mendelssohn's concert took place (the North German cities of Berlin and Leipzig between 1815 and 1850), my narrative starts much earlier – around 1750. Much of that narrative will revolve around three conceptual pairs (understood more in dynamic dialectical terms than as static binaries): overture and symphony, opera and concert, and function and autonomy. While analytical and theoretical information in this chapter is minimal, the various themes it introduces do more than just provide a historical backdrop to the analyses in the following chapters. Many of the works and composers mentioned return in the analytical chapters, and many of the ideas touched upon reverberate through those analyses. Most importantly, this chapter emphasizes the sheer diversity that existed within the overture genre between 1815 and 1850, a diversity that is reflected in the rest of the book.

Sinfonia, Symphony, and Overture in the Eighteenth Century

The history of the overture cannot be considered separately from that of the symphony. Although by 1840, symphony and overture had existed as two distinct genres for at least five decades, they had been much more

closely intertwined during most of the eighteenth century, and this common origin continued to be part of the overture's generic identity even after its separation from the symphony. Around 1750, the genre commonly referred to as *sinfonia* still had a double identity as both opera and concert "symphony." To be sure, some symphonies originally intended for concert use would have been too long to be practical in the theater. But in many cases the difference between a theater and a concert symphony was more a matter of usage than of intrinsic characteristics. Most symphonies used in an operatic context were laid out in two or three sections or movements (fast – slow, or fast – slow – fast), even though the size and internal organization of the individual sections varied considerably from one piece to the next, as did the degree of formal independence of the different sections within one work. Repurposing these opera *sinfonie* for concert use was common practice. Often that practice involved alterations. For instance, an opera *sinfonia* comprising only a fast and a slow section could be adapted for concert use by the addition of a finale. But in other cases, no alterations were made at all.[8]

Only after 1760 did the overture and the symphony start to become two distinct genres. In addition to usage, the main differences between the two concerned scale and musical form. The concert symphony became an increasingly grand affair in three or four separate movements. An important indication of this grandeur was the standardization of repeat conventions in symphonic first movements. While repeating the exposition and, often, the development and recapitulation in sonata-form first movements had been a very strong norm in keyboard sonatas and multimovement chamber music genres for several decades, the practice was less standardized in symphonic first movements of the 1750s through the 1770s. After 1780, however, concert symphonies whose first movement did not include at least one large-scale repeat became exceedingly rare. The shifting practice is particularly noticeable in Mozart. Of the first movements of his symphonies until 1782 that are included in the *Neue Mozart Ausgabe* (up to and including the "Haffner" Symphony, K. 385), twenty repeat the exposition while twenty-five do not. Starting with the "Linz" Symphony (K. 425) of 1783, the first movements in all of his last five symphonies repeat at least the exposition.

[8] On the complex history of the symphony before 1780, see Stefan Kunze, *Die Sinfonie im 18. Jahrhundert. Von der Opernsinfonie zur Konzertsinfonie* (Laaber: Laaber Verlag, 1993) and Mary Sue Morrow and Bathia Churgin (eds.), *The Eighteenth-Century Symphony* (Bloomington: Indiana University Press, 2012). On the same history from the perspective of the overture, see Matthias Corvin, *Formkonzepte der Ouvertüre*.

Meanwhile, the traditional multitempo opera *sinfonia* was gradually replaced by a new overture format. This modern overture type – still often referred to as *sinfonia* – was limited to a single movement in sonata form, sometimes with a slow introduction. It distinguished itself from the first movement of a high-classical symphony (and, for that matter, a symphonic finale in sonata form) primarily through its repeat conventions: by definition, single-movement overtures omitted large-scale repeats, both of the exposition and of the development and recapitulation. (I am aware of only two classical exceptions, namely the overtures to Mozart's first two operas, both from 1767: *Die Schuldigkeit des ersten Gebots* – a collaboration with Michael Haydn and Anton Adlgasser – and *Apollo et Hyacinthus*.) In addition, single-movement overtures tended to have a rather modest development section, and many omitted the development altogether, resulting in a "sonatina" or "Type 1" sonata form.[9] Others used a slow episode as a development substitute or had truncated recapitulations. They were, in short, diminutive versions of symphonic sonata form. Mozart's operatic overtures from *Il Re pastore* (1775) onwards are exemplary of the compositional options and flexibility available within this new overture type.

The relationship between the single-movement overture and the symphonic first movement is clearly expressed in Carl Czerny's *School of Practical Composition*:

The construction of the Overture is nearly similar to that of the first movement of the Symphony, with this difference, that 1st the first part is not repeated; and 2dly [sic] the whole must be shorter and more succinct. If therefore, for example, the first movement of the Symphony may last from 15 to 20 minutes, the duration of the Overture must not exceed half of this time, at the most.[10]

While Czerny was writing in the 1840s, his point of reference – at least for this part of his treatise – was the Viennese classical style. In the section "On Instrumental Compositions without the Pianoforte," all but two of the examples are drawn from Haydn, Mozart, and Beethoven. Consequently, classical examples that illustrate Czerny's comment are not difficult to find. Take, for instance, the first movement of Mozart's "Prague" Symphony (K. 504, 1786) and the overture to his *Don Giovanni*, written the year after, or the overture to Beethoven's ballet score *Die Geschöpfe des Prometheus*

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[9] A. B. Marx's definition of sonatina form as "kleine Sonatenform" is entirely apropos here. See Marx, *Lehre*, III, 195. Marx also uses the term when discussing Mozart's overture to *Le Nozze di Figaro*; see *Lehre*, IV (1847), 408. On the term "Type 1 sonata" see Hepokoski and Darcy, *Elements of Sonata Theory*, 345–49.

[10] Carl Czerny, *School of Practical Composition*, trans. John Bishop (London: Cocks, 1848), vol. II, 45.

(1800–01) – his first – and the opening movement of his First Symphony completed the year before (1799–1800). In both cases, the close stylistic connections between the overture and the symphony movement only serve to highlight the differences that result from the specific requirements of their respective genres. Because of the lack of large-scale repeats and, in the case of Beethoven, a development section, the overtures are considerably more compact than the symphony movements: the *Prometheus* overture is only about two-thirds the length of the opening movement of Beethoven's First, Mozart's *Don Giovanni* overture even a third or less than the first movement of the "Prague" Symphony (which, famously, prescribes a repeat not only of the exposition but also of the development and recapitulation).

The formal differences between the symphony and the new overture type did not lead to a rigid separation between both genres right away. For one thing, the traditional multitempo *sinfonia* did not disappear overnight, either on the concert stage or in the theater. Late examples include the overtures to Haydn's *La Vera constanza* (1785) and Johann Friedrich Reichardt's *Erwin und Elmire* (1793), as well as the second overture to Abbé Vogler's *Samori* (1811). Moreover, even the most ambitious of late eighteenth-century concert symphonies always retained some of the introductory function of the *sinfonia*, often appearing at the beginning of a concert or its second half. This would have been true of first movements in particular. It was not uncommon for the outer movements of a symphony to bookend a concert or a portion thereof, the first movement (perhaps followed by the interior movements) appearing at the beginning, the finale appearing at the end, and the rest of the concert played in between. The large-scale functions of beginning and ending within the symphony were thus projected onto the concert as a whole. One of many examples of this practice is an often-cited *Akademie* that Mozart organized in Vienna in 1783.[11] The program, which Mozart described in a letter to his father, lists no fewer than thirteen different items, beginning with the opening movement of the "Haffner" Symphony and ending with its finale. The same flexible attitude towards the genre also allowed many genuine multimovement symphonies to find their way into the theater, where they could be heard before, during, or after plays or operas.[12]

[11] Letter of 29 March 1783, in Mozart, *Briefe und Aufzeichnungen*, ed. Wilhelm A. Bauer and Otto Erich Deutsch (Kassel: Bärenreiter, 1962–75), vol. III, 261–62.

[12] See Neal Zaslaw, *Mozart's Symphonies: Context, Performance Practice, Reception* (Oxford: Clarendon Press, 1989), 367. This practice subsisted well into the nineteenth century. In 1824, a reviewer for the *Allgemeine musikalische Zeitung* expressed the wish that more composers

By contrast, it seems to have been quite rare for a modern single-movement overture to appear on a concert program in the last decades of the eighteenth century. Mozart never included operatic overtures in his *Akademien* of the 1780s, even though they would probably have met with popular approval, nor did any other concert organizer in Vienna regularly do so. Of all the public concerts between 1780 and 1800 documented by Mary Sue Morrow in her study of Viennese concert life in Haydn's time, only a handful included an opera overture, and most of the ones that did complemented that overture with further selections from the opera.[13] And in London, most works billed as "overtures" on concert programs of the same decades were either baroque "French" overtures or multimovement pieces; here as well, concert performances of single-movement overtures seem to have been rare.[14] While the symphony was well on its way to becoming an autonomous piece of concert music that would, at least retrospectively, allow it to be understood in terms of "absolute music" and the work concept,[15] the natural habitat of the single-movement overture remained the theater, where it continued to fulfill its subordinate role as an introduction to something that was larger and more important than the overture itself: an opera, oratorio, ballet, or play. In certain cases, its dependence on what followed could be quite explicit, either because it borrowed material from the work it preceded, or because it did not achieve full closure; Mozart's overture to *Don Giovanni* is a famous example of both.

The Overture Enters the Concert Hall

The situation changed at the turn of the nineteenth century, when concert performances of overtures suddenly boomed. In the twelve concert seasons between 1790 and 1802, the Leipzig Gewandhaus orchestra played opera

would write overtures and incidental music for specific plays so as to circumvent the need to use more or less randomly chosen symphonies or symphony movements; see AMZ 26 (1824): 472–74. As late as 1848, a performance of the play *Christoph Columbus* by Karl Werder at the Berlin Schauspielhaus was accompanied by Beethoven's Fifth Symphony. See Mahling, "Zum 'Musikbetrieb' Berlins," 175.

[13] Mary Sue Morrow, *Concert Life in Haydn's Vienna: Aspects of a Developing and Social Institution* (Stuyvesant, NY: Pendragon Press, 1989), 247–307.

[14] See Simon McVeigh, *Concert Life in London from Mozart to Haydn* (Cambridge: Cambridge University Press, 1993).

[15] Using the term "absolute music" in relation to the first half of the nineteenth century is, of course, anachronistic. See Sanna Pederson, "Defining the Term 'Absolute Music' Historically," *Music & Letters* 90 (2009): 240–62.

overtures at an average rate of fewer than two per year.[16] Starting with the 1802–03 season, however, more than two-thirds of the regular concerts included an overture. Between fall 1802 and spring 1805, the orchestra gave a total of fifty-four concert performances of overtures by Mozart (13 performances), Luigi Cherubini (8), Peter von Winter (6), Friedrich Ludwig Aemilius Kunzen (4), Beethoven (3), Ferdinando Paer (3), Johann Friedrich Reichardt (3), Vincenzo Righini (3), Haydn (2), Joseph Martin Kraus (2), Anton André (1), Gottlob Bierey (1), Franz Danzi (1), Gluck (1), Adalbert Gyrowetz (1), Johann Christoph Vogel (1), and Joseph Weigl (1). A similar tendency, although less pronounced, was apparent in Vienna around the same time.[17] In the next decades, playing overtures at concerts would become common practice all across German-speaking Europe.[18] By 1818, the music collector and lexicographer Ernst Ludwig Gerber could justifiably refer to the "fashion of beginning a concert with a mere overture" when reviewing a concert in the small Thuringian *Residenzstadt* of Sondershausen.[19] Concert organizers in other European countries followed suit. To give just two examples: of the 591 concerts organized by the Philharmonic Society in London between 1813 and 1850, only three did not feature at least one overture. And from its first season in 1828 on, the Société des concerts du conservatoire in Paris would include an overture on almost every single concert.[20]

Overtures performed at concerts were detached from the larger whole they were originally intended to introduce. If necessary, a special concert ending was provided, and at least in the first decade of the nineteenth century, printed programs rarely mentioned the overture's original title: the overture to *Don Giovanni*, for example, could be billed as "Overture in D major by Mozart." This detachment need not imply a change in function, of course. Rather than introducing an opera, oratorio, ballet, or play, an overture performed at the beginning of a concert (or after the intermission)

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[16] Only in the 1790–91 season did programs start to use the term "Ouvertüre" (often without Umlaut, as a loanword from French). For the decade before, it is impossible to tell whether the term "Sinfonie" refers to a concert symphony or to an opera overture. For a complete list of concert programs in Leipzig (not only of the Gewandhaus orchestra), see the CD-ROM in Hagels, *Konzerte in Leipzig*.

[17] Compare the concert programs listed in Morrow, *Concert Life in Haydn's Vienna*, 307–64.

[18] For a compilation of concert programs from four representative seasons in Berlin between 1800 and 1849, see Mahling, "Zum 'Musikbetrieb' Berlins," 125–235.

[19] AMZ 20 (1818): 613.

[20] Myles B. Foster, *The History of the Philharmonic Society of London, 1813–1912: A Record of a Hundred Years' Work in the Cause of Music* (London: Lane, 1913), 8–218. For programs of the Société des concerts du conservatoire, see http://hector.ucdavis.edu/SdC/ (accessed 1 January 2016).

can be understood as introducing the rest of the concert, which is still something larger and more important than the overture itself. Assuming the role of concert opener that might otherwise have been fulfilled by the first movement of a symphony, overtures played at the beginning of concerts might even be said to have contributed to the aesthetic autonomy of the symphony, and, therefore, to the functional differentiation between both genres. Gerber, in the review cited above, pointed out that "often the effect of a grand symphony in the manner of Haydn or the masters after him all too much overshadows the other pieces" so that "it does not seem unadvisable to postpone the delicious enjoyment of a grand symphony until the end [of the concert]."[21] The change in generic status this implies is momentous: the symphony had developed from an introduction to something needing to be introduced.

Paradoxically the overture rapidly became a more standard concert item than the symphony. By 1820, virtually every concert that involved an orchestra included at least one overture, yet many of those concerts did not feature a symphony. Again, the concert at Sondershausen reviewed by Gerber is a case in point. After the overture to Gluck's *Iphigénie en Aulide* came a scene from Rossini's *L'Inganno felice*, a concerto for two violins by Rodolphe Kreutzer, and an unspecified vocal scene by Spohr. A clarinet concerto by the Swedish-Finnish composer Bernhard Henrik Crusell followed after the intermission, and the concert concluded with a vocal scene by the North German composer Friedrich Ludwig Aemilius Kunzen. The mix of instrumental and vocal works is typical of an early nineteenth-century concert, but the absence of a symphony is conspicuous.

Many concerts, especially after 1810, even included two, and some as many as three or four overtures. Overtures could be heard not only at the beginning of a concert or after the intermission, but also at the end of the first part and even at the end of a concert.[22] Two examples from Berlin will suffice. A concert on 16 January 1830 presented by Carl Möser at the Königliches Schauspielhaus began with Beethoven's Fifth Symphony and continued with an unspecified violin concerto, an aria by Donizetti, and a concertino for bassoon composed and played by Adolph Humann. The second part of the concert started with the overture to Rossini's *Guillaume*

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[21]   AMZ 20 (1818): 613.

[22]   See William Weber, *The Great Transformation of Musical Taste: Concert Programming from Haydn to Brahms* (Cambridge: Cambridge University Press, 2008), 173–74. The most common number of overtures performed at concerts of the Philharmonic Society in London was also two, typically before the intermission and at the end of the concert. See Foster, *The History of the Philharmonic Society*, 8–218.

Tell and ended with the overture to the opera *Macbeth* by Hyppolite Chelard. In between came a scene and aria by Saverio Mercadante, an unspecified set of variations for violin, and a scene from Act Two of Spontini's *Agnes von Hohenstaufen*. On 26 January 1848, also at the Schauspielhaus, the Sixth Sinfonie-Soirée by the Königliche Kapelle featured Ferdinand Hiller's *Prometheus* overture and an unspecified symphony in G major by Haydn before the intermission, and the overture to Carl Maria von Weber's *Oberon* followed by Beethoven's Fourth Symphony in the second half.[23] While the programs in their entirety testify to the diversity of concert programming in the second quarter of the nineteenth century, they hold in common the inclusion of multiple overtures at various points in the program.

To perform an overture in any position other than the beginning of a concert or after the intermission arguably was no less drastic a move than transplanting it from the theater to the concert hall. It now shed not just its connection to what it was originally intended to introduce, it shed its introductory function altogether. The performance practice of the overture thus mimicked that of the symphony: from a concert opener, it became a potential point of culmination. The paradoxical use of an overture at the end of a concert occasionally gave rise to satire in the musical press. A humorous item titled "Probe einer modernen musikalischen Terminologie" in the *Allgemeine Wiener Musik-Zeitung* of 1 June 1841 provides the following definition of the term "Ouverture":

An overture is an opening piece. These days overtures are often performed at the end of a concert, and this practice is unjustly criticized. If an overture at the beginning can open a concert, then it is surely also capable of opening the doors at the end.[24]

The Rise of the Concert Overture

Given the increased demand for overtures to be performed at concerts in the early nineteenth century, it comes as no surprise that composers started to write music specifically for this purpose. It is unclear when, exactly, this practice began. Between 1804 and 1806, the young composer Friedrich Schneider wrote six overtures without apparent connection to any play or opera. There is no record that any of them were performed in public,

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[23] Mahling, "Zum 'Musikbetrieb' Berlins," 150–51 and 176–77.   [24] WAMZ 1 (1841): 271.

although the last one was published in 1809.[25] In 1806, Spohr composed an Overture in C minor, also without connection to any play or opera, which was published in 1808 as his opus 12. In 1807, Carl Maria von Weber performed one of his overtures under the title *Grande ouverture à plusieurs instruments*. It was a reworking of the overture he had written five or six years earlier (at age fifteen) for the Singspiel *Peter Schmoll und seine Nachbarn*, which had been mounted without much success in Augsburg in 1803. In 1811, he would do something similar with the overture to *Rübezahl*, another of his operatic juvenilia. While the opera remained incomplete, a revised version of the overture was published as *Der Beherrscher der Geister*.[26] As we have seen, it was not unusual for concert programs in the early nineteenth century to include opera overtures without referring to their original title. What is different in the case of these two overtures by Weber is that their new status as concert pieces entirely and definitively superseded their earlier incarnation as opera overtures.

A rather more canonical work that is relevant in this context is Beethoven's *Coriolan* overture of 1807. Although its title refers to the eponymous play by the Austrian playwright Heinrich Joseph von Collin, it was first performed independently at a concert in the palace of prince Lobkowitz in Vienna (the same concert, incidentally, that featured the premieres of the Fourth Piano Concerto and the Fourth Symphony). In fact, Beethoven may never have intended the overture to be performed along with the play. The music he would later write for Goethe's *Egmont* (1809–10) and for Kotzebue's *Die Ruinen von Athen* and *König Stephan* (both 1811) contained incidental music in addition to an overture. The *Coriolan* overture, in contrast, is a stand-alone piece. Moreover, Collin's tragedy was performed sixteen times at the Burgtheater and the Kärntnertortheater between November 1802 and February 1806, but it disappeared from the repertoire after that.[27] There was one isolated performance of the play at the Burgtheater in April 1807, but whether Beethoven's overture was heard there is not known. And even if it was, it is

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[25] See Helmut Lomnitzer, *Das musikalische Werk Friedrich Schneiders (1786–1853), insbesondere die Oratorien* (PhD diss. Philipps-Universität Marpurg, 1961), 293, 326, 359. Schneider would compose several more overtures between 1818 and 1829.

[26] On *Peter Schmoll*, see Weber, "Ohne sonderlichen Erfolg," in Georg Kaiser (ed.), *Sämtliche Schriften von Carl Maria von Weber* (Berlin – Leipzig: Schuster & Loeffler, 1908), 5. On *Rübezahl* and *Der Beherrscher der Geister*, see Norbert Miller and Carl Dahlhaus, *Europäische Romantik in der Musik*, vol. II (Stuttgart: Metzler, 2007), 299.

[27] Franz Hadamowsky, *Die Wiener Hoftheater (Staatstheater) 1779–1966: Verzeichnis der aufgeführten Stücke mit Bestandsnachweis und täglichen Spielplan* (Vienna: Prechner, 1966), vol. I.

not inconceivable, as Wolfram Steinbeck has suggested, that Collin's play was revived solely for the sake of Beethoven's overture.[28] In any case, there can be no doubt that the overture was presented to the public from the outset as inspired by, but not materially tied to, the play whose name it bears, and with the possible exception of the April 1807 performance, it is as an autonomous concert piece that it has been performed ever since.

In the following decades, hundreds of concert overtures were produced all over German-speaking Europe; Bärbel Pelker's documentary study of German concert overtures lists over 350 new works between 1825 and 1850 alone.[29] Many of these works, referred to at the time as "charakterische, oder malerische Ouvertüren," carried a programmatic title or were accompanied by a more elaborate program.[30] Others had a title that merely indicated their general mood (e.g., "Tragische Ouvertüre," "Lustige Ouvertüre," "Dramatische Ouvertüre," "Geistliche Ouvertüre," or "Festouvertüre"), while still others were simply called "Ouvertüre," "Konzertouvertüre," or "Ouvertüre für großes Orchester." If a composer wrote more than one such piece, they would often be numbered.

The real breakthrough of the concert overture came shortly after 1825, first in the hands of Mendelssohn. The paradigmatic works are, of course, the *Ouvertüre zum Sommernachtstraum* (1826), *Meeresstille und glückliche Fahrt* (1828, rev. 1833–34), and *Die Hebriden* (1829–30, rev. 1832), as well as the slightly later *Ouvertüre zum Märchen von der schönen Melusine* (1833, rev. 1835).[31] Around the same time, Hector Berlioz wrote his first concert overtures *Waverley* (1827–28) and *Le Roi Lear* (1831), followed in 1844 by *Le Carnaval romain* and *Le Corsaire*.[32] Younger composers from Mendelssohn's circle, such as William Sterndale Bennett and Niels Gade, contributed further overtures. Bennett wrote nine, including *Die Naiaden* (1836) and *Die Waldnymphe* (1838) and Gade six, most famously

[28] Wolfram Steinbeck, "Ouvertüre zu Coriolan op. 62," in Carl Dahlhaus, Alexander L. Ringer, and Albrecht Riethmüller (eds.), *Beethoven: Interpretationen seiner Werke* (Laaber: Laaber Verlag, 1994, rev. ed. 1996), vol. I, 473–74.

[29] Bärbel Pelker, *Die deutsche Konzertouvertüre (1825–1865)*, 2 vols. (Frankfurt am Main: Lang, 1993).

[30] See, e.g., NZ 10 (1839): 113 and NZ 18 (1843): 71.

[31] Already before the *Sommernachtstraum* overture, Mendelssohn had completed a Concert Overture in C major (the so-called "Trompeten-Ouvertüre," 1825–26, rev. 1833), which was published posthumously as Op. 101.

[32] Berlioz's very first overture, *Les Francs-juges* (1825–26), moreover, was originally part of a never performed opera that survives only in fragmentary form. From its first performance in 1828 at the Paris Conservatoire, Berlioz clearly intended to salvage the overture by treating it as a concert piece. Yet another overture, *Intrata di Rob Roy MacGregor* (1831), was withdrawn by the composer after the first performance.

Efterklange af Ossian (1840) and *Im Hochlande* (1844). All of these composers, to a certain extent, specialized in the genre; many more wrote only one or two concert overtures. No composer, however, seems to have been so invested in the overture as Johann Wenzel Kalliwoda, a Bohemian who worked as Kapellmeister at the court in Donaueschingen. Between 1833 and 1865, no fewer than seventeen overtures from his hand appeared in print, each of which was provided with a serial number (like a symphony).[33]

One of the most defining characteristics of overture practice in Germany in the second quarter of the nineteenth century was that the boundaries between opera, theater, and concert overtures remained porous. As we have seen, overtures originally written for operas or plays could be performed at concerts. For theater overtures, it was not unusual to be published simply as concert overtures without reference to their origins. An overture by the Dutch composer and Schumann protégé Johannes Verhulst, for instance, was written for Vondel's play *Gijsbrecht van Aemstel* but published in 1839 as "Ouverture en Ut mineur à grand orchestre."[34] Conversely, it was also perfectly normal for a concert overture to be performed before a play, or for a theater overture to precede a play other than the one for which it was originally written. A reviewer for the *Neue Zeitschrift für Musik* considered that the Ouverture Nr. 2, Op. 28 by Adolf Hesse "might be a good opener for, say, a play by Kotzebue."[35] And Schumann, in 1839, remarked that "any overture that is made for a well-known play can also be used for other theatrical performances, . . . as long as its content generally corresponds to that of the original play."[36] Finally, not every overture that is named after a play was necessarily meant to be performed in conjunction with that play, as the examples of Beethoven's *Coriolan* and Mendelssohn's *Sommernachtstraum* overtures show.[37]

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[33] Kalliwoda also composed at least seven unpublished overtures (see Pelker, *Die deutsche Konzertouvertüre*, I, 352–73).

[34] NZ 10 (1839): 185.   [35] NZ 8 (1838): 15.

[36] NZ 10 (1839): 707. Schuman was writing specifically about Ferdinand Ries's overture to *Die Braut von Messina* (1829). The next year Schumann described the new Concert Overture, Op. 7 by Julius Rietz as "an orchestral novella with which one might well open a comedy or play [Lust- oder Schauspiel] by Shakespeare" in NZ 12 (1840): 143. Already in AMZ 33 (1831): 64, a reviewer noted that Ries's overture *Don Carlos*, in spite of its title, "could be combined just as effectively with any other drama or tragedy." Ries had in fact composed the piece in London (for the Philharmonic Society) in 1815, and it was first performed in 1822, as a concert overture. When the score was eventually published in 1830, reviewers mistakenly assumed that it was a theater overture. See Bert Hagels, "Vorwort," in *Ferdinand Ries: Ouvertüre zu "Don Carlos" Op. 94* (Berlin: Ries & Erler, 2007), i.

[37] On the relation between the *Sommernachtstraum* overture and Mendelssohn's incidental music to *A Midsummer Night's Dream*, see Chapter III.

The fluid boundary between opera, theater, and concert is illustrated by Schumann's overtures. From 1848 to 1849, Schumann worked on an overture and a substantial set of incidental music for Byron's "dramatic poem" *Manfred*. The overture was, however, first performed separately at a Gewandhaus concert in 1852; only later that year was a complete performance of Byron's text with the overture and the incidental music given in Weimar. The publication history of Schumann's *Manfred* music follows a similar path. The publisher Breitkopf & Härtel first had the overture printed separately (both in full score and in piano reduction), and only a year later published it jointly with the incidental music (the latter only in piano reduction). The later overtures to *Die Braut von Messina* (1850–51) and *Julius Cäsar* (1851), neither of which have associated incidental music, were also first performed at concerts. Schumann himself would repeatedly conduct concert performances of the former, even though he considered it "more a theater than a concert overture."[38] Yet he seems not to have been involved in any performances of these overtures in conjunction with the plays to which their titles refer. Finally, in 1851 the composer corresponded with Breitkopf & Härtel's main competitor, C. F. Peters, about the possibility of publishing a "cycle of overtures," in which the overture to *Genoveva* (1847–48) would appear as No. 1 and *Die Braut von Messina* as No. 2, and in which there would be room for "future overtures – if heaven grants us power and life."[39] Although this plan never came to fruition, it is telling for a number of reasons. Not only does it show that Schumann clearly thought of operatic and theater overtures in the same terms, it also suggests that he believed there would be some advantage to presenting his overtures as a group rather than emphasizing their individual relationship to a specific play or opera. Moreover, he must have had concert performances in mind, for otherwise a publication of the *Genoveva* overture without the rest of the opera would have made little sense.

Overall, the repertoire of overtures in the German concert hall during the second quarter of the nineteenth century was distinctly eclectic. It included concert overtures as well as opera and theater overtures; new works by both established and younger composers; and older works, not

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[38] Letter from 23 March 1852 to Gustav Martin Schmidt, in Hermann Erler, *Robert Schumann's Leben, aus seinen Briefen* (Berlin: Ries & Erler, 1887), vol. II, 171. Interestingly, Schumann also suggested that the overture would be more effective when used not to open the concert.

[39] Letter from Schumann to Peters of 24 March 1851 in Peter Dießner, Irmgard Knechtges-Obrecht, and Thomas Synofzik (eds.), *Briefwechsel Robert und Clara Schumanns mit Leipziger Verlegern III* (Cologne: Dohr, 2008), 358. For detailed discussions of the genesis of Schumann's overtures, see Fabian Bergener, *Die Ouvertüren Robert Schumanns* (Hildesheim: Olms, 2011).

only from the earlier decades of the nineteenth century, but also from the eighteenth. Most prominent among the latter were Mozart's overtures from the 1780s and early 1790s, as well as overtures by Gluck (mainly *Iphigénie en Aulide*), Cherubini (especially *Lodoïska, Médée*, and *Les Deux Journées*), and Méhul (*Le Jeune Henri*). Finally – and this cannot be emphasized enough – the repertoire was international. The concert overture was largely a German affair, and even composers of other nationalities who concentrated on that subgenre usually had a strong connection to Germany; Berlioz really is an exception in this respect. But opera overtures by Italian and French composers such as Spontini, Rossini, Auber, and Hérold could regularly be heard in the concert hall. The fall 1846 season of the Gewandhaus orchestra is typical. Over ten concerts, the orchestra performed seventeen overtures. Most of them were opera overtures by Cherubini (*Médée*, 1797, *Le Porteur d'eau*, 1800, and *Faniska*, 1805), Weber (*Preciosa*, 1820, *Euryanthe*, 1823, and *Oberon*, 1826), Gluck (*Alceste*, 1767), Mozart (*Idomeneo*, 1781), Méhul (*Le Jeune Henri*, 1791[?]/97), Rossini (*Guillaume Tell*, 1829), and Julius Benedict (*The Crusaders*, 1846), and one was the overture to the cantata *Die vier Menschenalter* by Franz Lachner (1829). The others were concert overtures by Beethoven (*Zur Namensfeier*, 1814–15), Julius Rietz (Concert Overture, Op. 7, 1839), Bennett (*Die Waldnymphe*, 1838), Spohr (*Konzertouvertüre im ernsten Stil*, 1842), and Ferdinand Hiller (Concert Overture No. 1, 1835/43).[40]

Commercial Success and Critical Reception

The rise of the concert overture has to be understood in the context of the post-Beethovenian anxieties that plagued many a younger composer of symphonies. "When the German talks about symphonies," Schumann stated in 1839, "he talks about Beethoven."[41] In the face of the Beethovenian model, it seems that romantic composers wanting to write a symphony in the late 1820s and the 1830s could only fail: new symphonies were deemed either not enough like Beethoven's, therefore insufficiently symphonic, or too much like them, therefore lacking in

[40] WAMZ 6 (1846): 579. See also Donald Mintz, "Mendelssohn as Performer and Teacher," in Douglas Seaton (ed.), *The Mendelssohn Companion* (Westport, CT: Greenwood Press, 2001), 101. The overture repertoire in Berlin seems to have been largely similar. See Mahling, "Zum 'Musikbetrieb' Berlins."

[41] NZ 11 (1839): 1.

originality.[42] Between Beethoven's death and Schumann's "rediscovery" of Schubert's "Great" C major Symphony in 1839, the genre went through a marked period of crisis. Although symphonies obviously continued to be written,[43] the qualms even of a successful composer such as Mendelssohn about his own contributions to the genre are telling, and critical complaints about the lack of quality in new symphonies were legion.

The prestige of the symphony remained limited to a small canon of works by composers of the past: late Haydn, late Mozart, and, most of all, Beethoven.[44] Since it was almost impossible for new symphonies to gain access to that canon, younger composers increasingly turned to the concert overture as an alternative. A causal relationship between the canonization of the classical symphony and composers' growing interest in the overture was suggested by the critic Hermann Hirschbach in 1842. Noting that hardly a single symphony of the previous decade had managed to gain a foothold in the repertoire, he surmised that "the massive ... difficulties connected with the symphony have no doubt ... contributed to the rise of the independent overture."[45] In the overture, the generic tradition was much less forbidding than in the symphony. At the time of Beethoven's death, the independent concert overture was a young genre with few canonical works, and this vacuum could be filled only in part by the substitute tradition of classical opera overtures (especially Mozart's). As a result, canon formation in the overture genre during the second quarter of the nineteenth century was characterized by the awareness that living composers were still writing much of the music that would become "repertoire."

To a young composer, writing a concert overture must have seemed an attractive option also for purely practical reasons. Because it was comparatively compact, an overture formed less of a risk for a concert organizer or

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[42] This idea appears literally in August Gathy's *Musikalisches Conversations-Lexikon* (Hamburg: Niemeyer, 1835), 425. See also AMZ 31 (1829): 721.

[43] For an overview, see Frank E. Kirby, "The Germanic Symphony of the Nineteenth Century: Genre, Form, Instrumentation, Expression," *Journal of Musicological Research* 14 (1995): 193–221. See also Christopher Fifield, *The German Symphony between Beethoven and Brahms: The Fall and Rise of a Genre* (Farnham: Ashgate, 2015).

[44] Marx wrote: "Beethoven alone has contributed nine symphonies; Haydn's creations of youthful beauty and joy have been all too seldom approached; so little use has also been made of Mozart's symphonies. No recent composer has come out with works that compensate for the exclusion of any of these." See BAMZ 5 (1828): 444, translated in Sanna Pederson, "A. B. Marx, Berlin Concert Life, and German National Identity," *19th-Century Music* 18 (1992): 102. By the end of the 1820s, it was not unusual for a music lover to be able to hear all of Beethoven's symphonies in one concert season both in Leipzig and in Berlin.

[45] NZ 16 (1842): 118.

music publisher than a symphony, so that it was easier to get performed or printed. From a publisher's point of view, moreover, public concerts were only one of many possible performance venues for new overtures. In the 1830s and 40s, the sheet music market was flooded with transcriptions of overtures for domestic musical forces – for piano four hands, piano solo, or any kind of small ensemble.[46] The numbers in the third edition of Carl Friedrich Whistling's *Handbuch der musikalischen Literatur* are telling.[47] Whereas arrangements of symphonies are listed under the broad heading "Sonaten . . .," overture arrangements constitute a separate category. The repertoire for piano four hands lists about fifty arrangements of symphonies that are not by Haydn, Mozart, and Beethoven; the number of overture arrangements for the same forces is about ten times higher. And it is not just the arrangements. The 1851 update of the Hofmeister catalogue lists only twenty-one new symphonies published in full score or parts since 1844, versus approximately seventy new overtures. Again this number includes opera overtures, but since they were published separately, these editions, too, must have been intended for concert use. Finally, separate publications of opera overtures were regularly reviewed in the press, much in the same way as would have been the case for stand-alone concert overtures.

One budding composer who took full advantage of the genre's potential was Wagner. By the time he completed his first opera *Die Feen* in 1834, he had already written at least six overtures (three concert overtures and three for the theater), most of which were performed, although none appeared in print during his lifetime.[48] He continued to write nonoperatic overtures alongside his earliest operas until the late 1830s – most famously *Eine Faust-Ouvertüre* (1839–40, rev. 1843–44/55) – and it was with these works that he first started to attract broader attention as a composer. In an 1838 review that mainly deals with Wagner's activities as Kapellmeister in Riga, Heinrich Dorn singled out two of his overtures that had recently

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[46] On the role of transcriptions in nineteenth-century *Hausmusik* culture, see Thomas Christensen, "Four-Hand Piano Transcription and Geographies of Nineteenth-Century Musical Reception," *Journal of the American Musicological Society* 52 (1999), 255–98 and Adrian Daub, *Four-Handed Monsters: Four-Hand Piano Playing and Nineteenth-Century Culture* (New York: Oxford University Press, 2014), 55–81.

[47] Carl Friedrich Whistling, *Handbuch der musikalischen Literatur oder allgemeines, systematisch geordnetes Verzeichnis der in Deutschland und in den angrenzenden Ländern gedruckten Musikalien [. . .]*, 3rd edn., revised by Adolph Hofmeister, 2 vols. (Leipzig: Hofmeister, 1844).

[48] Only four of Wagner's overtures before 1834 have survived. In addition to the six mentioned, he began at least three more that are now also lost, but probably left them incomplete. See Egon Voss, *Richard Wagner und die Instrumentalmusik. Wagners symphonischer Ehrgeiz* (Wilhelmshaven: Heinrichshofen, 1977), 45–48.

been performed there: the overture to the play *Columbus* by Theodor Apel (1834–35) and the concert overture *Rule Britannia* (1837).[49]

The overture's increased prominence in the repertoire did not automatically lead to a rise in prestige. Throughout the 1830s and 40s, the *communis opinio* remained that the symphony was the highest orchestral genre; the overture followed in second position.[50] Many critics understood the reasons behind composers' interest in writing overtures, but they still saw it as an admission of weakness. For instance, in 1827, Amadeus Wendt noted that "composers who *shy away* from solving the great challenge of a symphony . . . prefer to write concert overtures [my italics]."[51] A year later, Johann Ernst Häuser wrote in his *Lexikon* that "the difficulty of writing a symphony, the highest form of instrumental music, has created opportunities for the lighter form of the less elaborate overture."[52] And in 1839, Schumann considered it a weakness of the first movements of many new symphonies that they "mostly faded to the level of the overture style."[53] From comments like these, the overture emerges as something lesser than the symphony. At best, it was seen as a stepping-stone to the more prestigious genre; at worst, its rise was understood as a sign of decline, not just of the symphony, but of the state of (orchestral) composition in general.[54]

At the same time, the overture was hailed as the legitimate heir to the symphony, and as a potential way out of the post-Beethovenian crisis of orchestral music. In his famous 1835 review of Berlioz's *Symphonie fantastique*, Schumann declared the symphony in Germany all but dead.[55] The

[49] NZ 9 (1838): 28.

[50] This is literally so in Schumann's summary review of the 1839–40 winter season in Leipzig, which begins with a discussion of three symphonies, the "highest genre of instrumental music." New overtures follow only in second position (and in the second installment). See NZ 12 (1840): 139–40, 143–44, 151–52, 154–55, 159–60. The third major genre with orchestra, the piano concerto, was very popular, yet its critical reception was mixed. See Claudia MacDonald, *Robert Schumann and the Piano Concerto* (New York: Routledge, 2005).

[51] BAMZ 4 (1827): 399.

[52] Johann Ernst Häuser, *Musikalisches Lexikon* (Meissen: Goedsche, 1828), vol. II, 83. Häuser was parodying the opening of the entry on the symphony in Sulzer's *Allgemeine Theorie der schönen Künste* (II, 1121). There we read: "The difficulty of performing an overture well, and the even greater difficulty of making a good overture, has led to the lighter form of the symphony."

[53] NZ 11 (1839): 1.

[54] See for instance Ignaz Jeitteles, *Aesthetisches Lexikon* (Vienna: Gerold, 1837), vol. II, 164: "Young composers do well to start with such works [sc. overtures] in order to prepare themselves for the symphony." But compare Wendt: "Those intent on pleasing with light fare have pushed the symphony aside and replaced it with the mostly characterless overture . . . It is clear that with the downfall of the symphony, purely instrumental music itself has to come down as well." AMZÖK 6 (1822): 762.

[55] "It was to be feared that the name 'symphony' from now on belonged only to history." NZ 3 (1835): 34.

only composer to have drawn the conclusions from the situation and to have chosen a "new path," he argued, was Mendelssohn, whose concert overtures "compressed the idea of the symphony into a smaller circle and won crown and scepter over the instrumental composers of the day."[56]

In 1835, Schumann still contrasted Mendelssohn's overtures with the symphony, mentioning Beethoven's "great *Leonore* overture" (i.e., *Leonore III*) as their generic forbear. Two years later, Carl Montag in the same journal established a direct connection between Beethoven's symphonies and Mendelssohn's overtures: "Beethoven is the guiding spirit [das Genie] of our time . . ., and his symphonies and sonatas have opened up a land, the cultivation of which is the task of all future composers. Mendelssohn's overtures stand witness both to how this important mind of our day is permeated by this [heritage], and to how one can successfully proceed on this path."[57] And in an 1845 review of a concert overture by Hiller, the critic for the *Allgemeine musikalische Zeitung* emphasized how much Mendelssohn's overtures had in common with symphony movements and suggested that the genre needed a new name: "It is time to abolish the word overture, at least in those cases in which it does not signify what it should, namely an introduction or preparation to a larger work that follows it . . . [A work like this] we would prefer to simply call 'tone picture' [Tonbild], not overture."[58]

In the Meantime at the Opera

The development of the concert overture did not occur in isolation from the opera overture. As the older subgenre, the latter obviously functioned as a model for the former. Moreover, frequent concert performances of opera overtures – canonical as well as new ones – significantly contributed to the genre's popularity outside the opera house. One measure of this, as we have seen, was the prominence of arrangements of opera overtures on the sheet music market.

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[56] NZ 3 (1835): 34. Wendt expressed a very similar idea a few years before in his *Über die Hauptperioden der schönen Kunst, oder die Kunst im Laufe der Weltgeschichte* (Leipzig: Barth, 1831), 309.

[57] NZ 7 (1837): 171.

[58] AMZ 47 (1845): 120. A few years later Liszt coined the term "poëme symphonique" when referring to Wagner's *Tannhäuser* overture. See Franz Liszt, "Tannhäuser et le combat des poëtes-chanteurs à la Wartbourg, grand opéra romantique de R. Wagner" [1851], in Rainer Kleinertz (ed.), *Franz Liszt: Sämtliche Schriften*, vol. IV (Wiesbaden: Breitkopf & Härtel, 1989), 114. On the notion of concert overtures as single-movement symphonies, see also Marx, *Lehre*, IV, 412–13.

The impact of the overture's success in the concert hall on the production of opera overtures is more complex. Around the time when the concert overture started to blossom in Germany, beginning an opera with an overture became optional in Italy and later also in France. From around 1820, overtures were sometimes replaced by a brief prelude or introduction. Early examples of this practice include several of Rossini's operas from *Mosè in Egitto* (1818) onwards. Equally exemplary are Donizetti's operas. Of sixty-six operas composed after 1818, twenty-five were originally written and performed with an overture and forty-one with a shorter prelude or introduction. Donizetti alternated between both options throughout his career and across all operatic genres, and in seven operas, he added an overture where initially there was none. (A case in point is *Roberto Devereux*: the short "preludio" that opened the original version in Naples in 1837 was replaced by an overture when the opera was first performed in Paris in 1838.)[59]

The distinction between an overture and a prelude is usually clear. An overture is a substantial and self-contained piece that is separate, or at least "separable," from the beginning of the opera that follows it: even if the end of the overture was connected to the beginning of the opera, it could be (and often was) turned into a stand-alone piece with only minimal changes or additions. When it comes to musical form, composers of operatic overtures in the second quarter of the nineteenth century had options. They could draw, first and foremost, on a wide variety of sonatina or sonata forms, ranging from close adaptations of the late-eighteenth century model (optional slow introduction, nonrepeated exposition, optional development, by-and-large complete recapitulation, and optional coda) to highly individualized forms. In the latter, especially the later sections of the form were open to creative modification, often for expressive purposes (as in many contemporaneous concert overtures). Another common option was to use a more-or-less free form, often a succession of themes borrowed from the opera (the so-called "potpourri overture").[60] In all cases, the tempo of an overture – at least for the portion after the slow introduction – was predominantly fast, although slow interpolations sometimes did occur.

Preludes at least tendentially differ from overtures in all of these respects. They often are more compact and usually more closely related to the beginning of the opera; it is impossible to generalize about their form

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[59] See William Ashbrook, *Donizetti and His Operas* (Cambridge: Cambridge University Press, 1982), 235–36.
[60] On the potpourri overture, see below as well as Chapter III.

other than in a negative way, in the sense that standard forms are eschewed; and they can be in any tempo. A slow prelude merged with the opening of the first act of the opera can be indistinguishable from the slow introduction to an overture (see, for example, the prelude to Meyerbeer's *Robert le diable*, 1831). A few notable exceptions notwithstanding, most preludes would be too short or inconclusive to be separated from their original context and performed independently at a concert.

While the rise of the operatic prelude would seem to suggest a bifurcation between concert and operatic practice – the overture gained a strong foothold in the concert hall but became less *de rigueur* at the opera – it is significant that loosening the requirement for a full-blown operatic overture was, in the first instance, an Italian and French phenomenon. In Germany, writing an overture remained the default option until the late 1840s.[61] Wagner, for instance, abandoned the traditional overture format only in *Lohengrin* (1845–48), and even the prelude to that opera was probably begun as the slow introduction to a full-fledged overture before being turned into a self-sufficient piece.[62] Arguably, this continuing interest in operatic overtures was influenced by the newly acquired prestige of the concert overture.

The lasting interest of German composers in writing opera overtures corresponded to the audience's appreciation of the genre. In German theaters, the performance of an overture before an opera was not an empty formality. At the premiere of *Der Freischütz* in Berlin in 1821, the audience was so enthused by the overture that it demanded an encore.[63] The overture, argued Ludwig Rellstab, is where the composer "concentrates all of his power, all of his genius"; it was a touchstone of compositional skill.[64] While elsewhere in an opera, the libretto, the singers, and the sets could detract attention from any flaws in the music, in the overture a composer had to rely exclusively on his musical craftsmanship.[65] So strongly did German audiences hold to the presence of an overture that for performances in Germany of French and Italian operas lacking an overture, a new one would sometimes be commissioned. For a performance of Bellini's *La Sonnambula* (1831) in 1844 in Brno, for instance, the

[61] AMZ 41 (1839), 6: "In Germany the practice [of writing introductions instead of overtures] has not yet found entry."

[62] Reinhard Strohm, "Gedanken zu Wagners Opern-Ouvertüren," in Carl Dahlhaus and Egon Voss (eds.), *Wagnerliteratur – Wagnerforschung* (Mainz: Schott, 1985), 69.

[63] See Max Maria von Weber, *Carl Maria von Weber: Ein Lebensbild* (Leipzig: Keil, 1862–64), vol. II, 313.

[64] *Iris* 4 (1833): 181.   [65] *Iris* 3 (1832): 5.

local Kapellmeister Kirchhoff wrote an overture to precede Bellini's *coro d'introduzione*.[66]

The German press, too, was serious about overtures. A first indication of this is the attention paid to overtures in opera reviews. In a typical longer review, the section on the music (invariably following a detailed discussion of the libretto) began with several paragraphs devoted to the overture. If there was no overture, this was often commented upon negatively, especially in reviews of German operas.[67] In addition to this, music journals would occasionally publish theoretical essays dedicated to the genre as a whole. Among the most important are Carl Borromäus von Miltitz's "Über den Unterschied zwischen 'Symphonie' und 'Ouverture'" (1832), Carl Ferdinand Becker's "Über die Opern-Ouverture" (1836), Wagner's "De l'Ouverture" (1841, published in a Parisian journal), Theodor Uhlig and Julius Rühlmann's "Symphonie und Ouvertüre" (1853), and Johann Christian Lobe, "Die Opernouvertüre von einer andern Seite betrachtet."[68]

Overture Functions

Essays and reviews such as these, as well as composition manuals and lexica, were the venue for a lively debate on the nature and function of the operatic overture. There was a broad consensus among critics that an overture should do more than attract the audience's attention; it could not be a mere "noise-killer." In the words of Ernst Kossak, writing for the *Neue berliner Musikzeitung* in 1847, it "should never be allowed to be what the ringing of the bell in the bell tower is."[69] The function of an overture, everyone agreed, was actively to prepare the audience for the opera that followed it. Considerable disagreement existed, however, about how that goal might best be achieved.

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[66]   See WAMZ 4 (1844): 211.

[67]   For reviewers complaining about the lack of an overture, see NZ 2 (1835): 161 (review of Donizetti, *Marino Faliero*); WAMZ 2 (1842): 486 (review of Friedrich Müller, *Percival und Griselda*); and WAMZ 4 (1844): 67 (review of Ferenc Erkel, *Ladislaus Hunyady*).

[68]   Miltitz, "Über den Unterschied zwischen Symphonie und Ouvertüre," AMZ 34 (1832): 273–78; Becker, "Über die Opern-Ouverture," NZ 5 (1836): 92–94; Wagner, "De l'Ouverture," *Revue et gazette musicale de Paris* 8 (1841): 17–19, 28–29, 33–35; Uhlig and Rühlmann, "Symphonie und Ouvertüre," NZ 39 (1853): 217–21; Lobe, "Die Opernouvertüre von einer andern Seite betrachtet," *Fliegende Blätter für Musik* 1 (1855): 360–67.

[69]   NBMZ 1 (1847): 265. The term "noise-killer" comes from László Somfai, "The London Revision of Haydn's Instrumental Style," *Proceedings of the Royal Musical Association* 100 (1973–74): 166.

It is worth studying this "overture debate" in more detail. Compare the following two accounts – the first from an 1813 review by the music theorist Gottfried Weber of his friend Carl Maria von Weber's overture *Der Beherrscher der Geister*, the second from Eduard Hanslick's extensive review of the first performance of Wagner's *Tannhäuser* in 1846. Weber writes:

Aestheticians still disagree about the real function of the overture – about the question whether it should contain a sketch of the entire piece, thus allowing [the spectator] to divine [voraus ahnen] its entire course as if from a magical mirror; or whether it should merely be an introduction that sets up only the first scene of the piece; or, finally, whether it should bring the listener in the general mood that will make him most receptive to the total impression of the entire opera.[70]

And Hanslick:

From Gluck and Mozart onwards, we can distinguish between three kinds of opera overtures, three ways of understanding and creating the relation between the introductory music and the drama it introduces. First, the overture can be a mere introduction that is directly connected to the main action [Hauptdarstellung], so that it forms a prologue representing what comes before the first scene in order to acquaint the listener with the situation. This is what Gluck did in his overture to *Iphigénie en Tauride*. Another option is to provide an overview of the entire work, so that the overture illustrates [veranschaulicht] its contents in a compact form, presenting either the characters [of the opera] (as in Marschner's *Der Vampyr*), the order of events (as in Weber's *Euryanthe* or Rossini's *Guillaume Tell*), or the fate of the main character (as in Spohr's *Faust*); the overture then becomes a kind of summary. A third option is for an overture to capture the basic idea [Grundidee], the poetic soul of the work it introduces. At its best, this kind of overture is a symbol, an allegorical prefiguration [Vorbild] of the imminent great drama, a central point of departure for the unfolding of everything specific that follows from it.[71]

The similarities between Weber's and Hanslick's positions are striking, even though they were written more than three decades apart. Both distinguish between three possible functions for an opera overture. Two of these are identical in both accounts: an overture can be a summary of the entire opera, or it can set up only the opening scene. Weber and Hanslick would seem to disagree about what the third option is – putting the audience in the right mood for Weber, presenting the "Grundidee" of the drama for Hanslick. But one can also understand Hanslick's option as a

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[70] AMZ 15 (1813): 624.   [71] WAMZ 6 (1846): 589–90.

more specific description of what Weber had in mind, since both authors rely on a common source: the entry "Ouverture" in Rousseau's *Dictionnaire de musique* (1768). Weber's formulation almost verbatim draws on Rousseau, who considered that "the most successful overture is that which disposes the hearts of the spectators in such a manner that from the beginning of the piece, they effortlessly open up in order to receive what one wants to give them."[72] It seems improbable that Rousseau (and Weber) would have meant this merely in the sense of a *captatio benevolentiae*; arguably, the implication is that the overture should also indicate the opera's general character. At the very least, that is how Hanslick must have understood Rousseau, since in spite of his very different formulation, he explicitly refers to the *Dictionnaire* to back up his preference for the "Grundidee" option.[73]

Equally remarkable is that Weber and Hanslick present all three options as valid in principle (even though the latter does not attempt to conceal his preference for the "Grundidee" type later in his review). In reality, the question of whether an overture should merely put the listener in the right mood by capturing the opera's "Grundidee" in a general manner or whether it should present a more detailed instrumental synopsis of the action was a matter of some controversy. (The third option – an overture that sets up the opening scene of the opera, possibly by presenting the immediately preceding action – is less important in this debate, and it was in fact not discussed very often in the contemporaneous literature. As Hanslick suggests, this strategy seems to be more closely associated with brief introductions and preludes than with full-blown overtures.)

The controversy was not so much among critics, but between critics and composers. Like Hanslick, all critics who voiced a preference favored the "Grundidee" type. The idea that an overture should set the mood only in general terms seems to have been especially prevalent in (often popular) music lexica and encyclopedias. It enters the nineteenth century through

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[72] Jean-Jacques Rousseau, "Ouverture," in *Dictionnaire de musique* (Paris: Duchesne, 1768), 358. In general, the terms of the overture debate in Germany in the first half of the nineteenth century were similar to those of the (earlier) debate in France from Rousseau to Castil-Blaze. For a summary of the latter, see Basil Deane, "The French Operatic Overture from Grétry to Berlioz," *Proceedings of the Royal Musical Association* 99 (1972–73): 67–70. On the aesthetics of the overture in the eighteenth century, see also Arne Stollberg, *Tönend bewegte Dramen. Die Idee des Tragischen in der Orchestermusik vom späten 18. bis zum frühen 20. Jahrhundert*, (Munich: Edition Text+Kritik, 2014), 201–16.

[73] Hanslick may very well have been relying on Ferdinand Hand here, who in 1841 had also backed up his preference for the "Grundidee" type with a reference to Rousseau. See Hand, *Ästhetik der Tonkunst* (Jena: Hochhausen und Fournes, 1841), vol. II, 335.

Heinrich Christoph Koch's *Musikalisches Lexikon* of 1802 (albeit in even less specific terms: an overture should "increase [listeners'] expectations towards the piece itself"), and it returns in other publications including Ignaz von Mosel's *Versuch einer Ästhetik des dramatischen Tonsatzes* (1813), Johann Daniel Andersch's *Musikalisches Wörterbuch* (1829), Miltitz's above-mentioned essay on the overture (1832), August Gathy's *Musikalisches Conversations-Lexikon* (1835), Fink's article "Ouvertüre" in the *Allgemeine Encyclopädie der Wissenschaften und Künste* (1837), and Schilling's *Musikalisches Conversations-Lexikon* (1841).[74] The fact that one finds the same idea echoed in the writings of an author such as Schopenhauer – a musical dilettante at most – indicates how widespread it must have been.[75]

At the same time, many writers emphasized the popularity of the synopsis overture among modern composers. Hanslick, for instance, noted that German composers since Weber had adopted it "almost exclusively."[76] It is surprisingly difficult, however, to find written accounts in defense of this strategy. According to Lobe, Weber described his overture to *Der Freischütz* as the "opera *in nuce*," and Lobe himself agreed that a "dramatic overture should outline the action of the piece that follows."[77] A similar sentiment was voiced by an anonymous reviewer for the *Berliner allgemeine musikalische Zeitung* who lauded the overture to the opera *Der Untersberg* (1829) by Johann Nepomuk von Poißl for adumbrating "the content of the entire opera."[78] Such endorsements, however, were rare. Even Wagner, in the eyes of many writers one of the foremost practitioners of the synopsis overture, ultimately but "without hesitation" preferred the "Grundidee" type (exemplified, for him, by

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[74] Heinrich Christoph Koch, *Musikalisches Lexikon* (Frankfurt am Main: Hermann, 1802), 1132; Ignaz von Mosel, *Versuch einer Ästhetik des dramatischen Tonsatzes* (Vienna: Strauss, 1813), 43; Johann Daniel Andersch, *Musikalisches Wörterbuch für Freunde und Schüler der Tonkunde zusammengetragen* (Berlin: Natorff, 1829), 336; Gathy, *Musikalisches Conversations-Lexikon*, 344; Gottfried Wilhelm Fink, "Ouverture," in Johann Samuel Ersch and Johann Gottfried Gruber (eds.), *Allgemeine Encyclopädie der Wissenschaften und Künste*, vol. III part 8 (Leipzig: Brockhaus, 1836), 17; Gustav Schilling, *Musikalisches Conversations-Handlexikon* (Mergentheim: Neue Buch- und Kunsthandlung, 1841), vol. II, 223.

[75] Arthur Schopenhauer, "Zur Metaphysik des Schönen und Ästhetik," in *Parerga und Paralipomena,* vol. II *(Arthur Schopenhauer sämtliche Werke*, ed. Wolfgang von Löhneysen, vol. V) (Stuttgart: Cotta and Frankfurt am Main: Insel, 1965), 514.

[76] WAMZ 6 (1846): 590.

[77] Johann Christian Lobe, *Lehrbuch der musikalischen Komposition*, vol. IV (Leipzig: Breitkopf & Härtel, 1867), 441. For the comment on the *Freischütz* overture, see Lobe, *Consonanzen und Dissonanzen: Gesammelte Schriften aus älterer und neuerer Zeit* (Leipzig: Baumgärtner, 1869), 128.

[78] BAMZ 6 (1829): 397.

Mozart's *Don Giovanni* overture) to the synopsis type (exemplified by Beethoven's *Leonore III*).[79]

There were two common objections to the synopsis overture. The first of these had to do with redundancy. If an opera is preceded by an instrumental summary of the action, then the same story is told twice. The risk, according to some, was that this would diminish the effect of the opera itself.[80] The second objection, which contradicts the first, was that it is impossible to understand the overture's narrative without prior knowledge of the opera.[81] Several authors argued (ironically, one presumes) that if an overture does constitute an instrumental version of the drama enacted on stage, then it would make more sense to play the overture after the opera rather than before, or at least to repeat it at the conclusion.[82] What is interesting about these objections is that they indicate a double concern: not only for the dramaturgical integrity of the opera, which should not be compromised by the overture that precedes it, but also for the intelligibility of the overture as an instrumental work on its own terms, independent of its relation to the opera.

The latter concern played a central role in a discussion that paralleled the one about the function of an overture, namely the question of the appropriate *musical* relationship between an overture and the opera it precedes. There was a broad consensus that at least the overture's general musical character should correspond to the opera; to many, this was the most obvious way in which it could prepare the audience for the opera and convey its "Grundidee."[83] However, positions differed on whether an overture – whether of the "Grundidee" or the synopsis type – should incorporate musical material from the opera that follows it. While some authors rejected the borrowing of material from the opera altogether, the use of one or two important melodies, especially in the slow introduction, was generally accepted – unsurprisingly so, perhaps, given the existence of many precedents by Mozart, Beethoven, and others (the examples most

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[79] Wagner, "De l'Ouverture," 33.
[80] This idea dates back at least to Rousseau, "Ouverture," 358.
[81] See *Allgemeiner musikalischer Anzeiger* 2 (1830): 195; AMZ 35 (1833): 833; AMZ 36 (1834): 448.
[82] See AMZÖK 5 (1821): 676; BAMZ 4 (1827): 301; and WAMZ 2 (1842): 565; NZ 34 (1851): 154.
       See also François-Joseph Fétis, *La Musique mise à la portée de tout le monde* (Paris: Mesnier, 1830), 221–22 and Wagner, *Oper und Drama* [1851], ed. Klaus Kropfinger (Stuttgart: Reclam, 1984, 2nd edn 1994), 354.
[83] See Rousseau, "Ouverture," 358; Sulzer, *Allgemeine Theorie*, 873; Koch, *Lexikon*, 1131; Mosel, *Versuch einer Ästhetik*, 43; Andersch, *Musikalisches Wörterbuch*, 336; Schilling, *Musikalisches Conversations-Handlexikon*, II, 224.

often cited were the overtures to *Don Giovanni* and *Die Zauberflöte*).[84] Writers expressed reservations, however, about the tendency of many composers to rely too heavily on material derived from the opera. What these authors were concerned about was, again, a lack of autonomy for the overture, first and foremost musical autonomy. Thematic material originating in different parts of the opera, the argument went, did not necessarily lend itself to integration in a well-formed instrumental composition. Virtually all authors warned against the excess of the aforementioned "potpourri" overture, usually defined as a mere concatenation of tunes from the opera without internal connection. But there was concern about dramatic autonomy as well: music that had gained dramatic significance in conjunction with the sung text and staged action in the opera, it was argued, would not necessarily be able to convey that meaning in the purely instrumental context of the overture.

The central notion of autonomy can be illustrated in reference to three prominent mid-nineteenth-century figures (two composers and one music theorist): Wagner, Marx, and Liszt. Wagner's position in his essay "De l'Ouverture" is typical. On the one hand, he fully embraces the incorporation of material from the opera into the overture as a strategy to clarify its meaning, in a synopsis as well as in a "Grundidee" overture. "The composer will do well for the intelligibility of the dramatic intention," he writes, "if he works into his overture characteristic motives, figures, or rhythms borrowed from the opera." Yet he imposes one crucial restriction: only those motives from the opera should be included that are capable of conveying their dramatic content musically, i.e., regardless of the text associated with them in the opera. Otherwise, "the composer would commit the error of sacrificing the independence of his art to the intervention of a foreign one."[85] A few years later, Marx would defend the same position in the section on overtures in his *Lehre von der musikalischen Komposition*. There is nothing wrong per se with including material from the opera in the overture, he wrote, but a composer should avoid doing so unless the borrowed material "itself has the capacity to create the desired artistic effect in an orchestral setting."[86] It is not enough to rely on the dramatic significance of that material in the opera, simply because that meaning has not yet been established in the overture.

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[84] For one author who is critical of any inclusion of thematic material from the opera in an overture, see Andersch, *Musikalisches Wörterbuch*, 336.

[85] Wagner, "De l'Ouverture," 34.   [86] Marx, *Lehre*, IV, 410.

Finally, the emphasis on autonomy informs the rhetoric Liszt uses in his widely read essay on Wagner's *Tannhäuser*. "It would be unnecessarily scrupulous," he writes, "to refuse to separate the overture to *Tannhäuser* from its opera for fear that it would be misunderstood or uninteresting . . . The overture forms a symphonic whole that is so complete that one can consider it a piece that is independent from the opera it precedes." Even though its two main musical ideas – the pilgrims' chorus and the Venusberg music – are borrowed directly from the opera, they "depict their emotional content so vividly that, in order to understand them, there is no need for an explanatory text and it is useless to know the words that join them later." He concludes that "using the same ideas, Wagner has created two different works, each intelligible, perfect and independent from the other."[87]

What emerges here is a paradox that remains latent in most of the nineteenth-century debate on the function of operatic overtures. For Liszt, the merit of the *Tannhäuser* overture lies not in its functional aspect at all (i.e., in the manner in which it prepares the listener for the opera to come), but in its potential autonomy. The implications of this are considerable: by emphasizing the overture's independence from the opera, he argues for its viability as a concert work, and thus for the interchangeability of opera and concert overtures.

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It will have become clear that the overture was omnipresent in German musical life from the second decade of the nineteenth century onward, on the concert stage as well as in the opera house and in the theater, in print (and, therefore, in people's drawing rooms) as well as in the press. Being equally at home in operatic, theatrical, symphonic, and – in the form of transcriptions – in a domestic setting, it arguably was one of the most prominent large-scale instrumental genres of the time, more so than the symphony or any kind of chamber music.

Throughout this chapter I have emphasized what I call the interchangeability of the various subgenres of the romantic overture. At any time, an opera, ballet, or theater overture could be adopted for concert use, and music publishers gladly catered to this opportunity. While this resulted in a constant and intensive dialogue between subgenres, it does not mean that they had become one and the same. Individual examples of both categories may very well be indistinguishable, but the subgenres in their entirety were not. This is in part because the interchangeability was

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[87] Liszt, "Tannhäuser," 108.

largely unidirectional. Opera and theater overtures were often played at concerts, and concert overtures would occasionally be heard before a play. But to my knowledge, concert overtures were never performed before an opera. In addition, the double "symphonic-operatic" milieu (as it may be called) of the opera overture was different from the more purely symphonic context of the concert overture: generic conventions and expectations were not identical for both.

One of the most obvious differences is that formal options were available for the operatic overture that were not possible for the concert overture – most notably, the potpourri format. Another difference is that the question of function and of musical and dramatic relationship to the whole, which was central to the opera and theater overture, was largely irrelevant (or at least significantly less pressing) for the concert overture. At the same time, the emphasis in the overture debate on the relative autonomy of an operatic overture is indicative of its proximity to the concert overture. To insist that an opera overture be a self-sufficient piece of music is to argue that it can be performed separately at a concert and still be meaningful.

The same "upward mobility" through the system of genres that was characteristic of the romantic opera overture – an essentially functional genre that, even though part of a larger entity, aspired to the potential autonomy of a concert work – also characterized the overture genre as a whole, to the extent that it could be perceived as a potential romantic heir to the classical symphony. Yet as we have seen, this upward mobility was precarious. The belief in the new genre was overshadowed by the fear that in reality, the rise of the overture might be a sign of decadence, i.e., of the fact that it was not the overture that was on the rise, but rather the symphony (and with it, musical culture as a whole) that was on the decline.

The tension between these two contradictory assessments of the overture's status – as a solution to the crisis of the symphony on the one hand and as intrinsically inferior to it on the other – stood at the core of the nineteenth-century understanding of the genre. The optimism and enthusiasm surrounding it were qualified by a broader sense of resignation with the sentiment that the immediate future would not be as bright as the recent past, and that the greatness of the (Beethovenian) symphony was unlikely ever to be equaled. The success of, say, Mendelssohn's overtures was widely acknowledged, yet he remained a dwarf standing on the shoulders of a giant.

This resignation, however, was accompanied by a sense of liberation. As we have seen, one of the most inhibitive aspects of the symphony for a young romantic composer was the heavy weight of its generic conventions.

These conventions were much less pressing for the overture. More and different things were possible in the overture than in the symphony: freed from the obligation to emulate classical models, the overture was able to become a field of experimentation much more than the symphony was.

Much of this chapter has revolved around the conceptual pairs overture and symphony, opera and concert, and function and autonomy. Lurking immediately beneath their surface is another, and more fundamental, conceptual pair: national and international or, more specifically, German and non-German. Given my focus on overture practice in North Germany, that is hardly surprising. But while in many instances the use of labels such as "German," "Italian," and "French" in nineteenth-century literature on overtures served a descriptive purpose, an implicit value judgment often shimmers through. To filter out one recurring aspect from the discourse: writers not only noted that sonata-form overtures remained the standard option for longer in Germany than in Italy or France, they also considered the sonata-form model to be both typically German ("die teutsche Form der Ouverture," as one reviewer called it)[88] and artistically superior. In a review in the *Neue Zeitschrift für Musik* of 1835, for instance, the French composer Hyppolite Chelard was praised for having written an overture in sonata form and thus for having "set out on the path of the Germans."[89] And the other way around, a reviewer in the *Allgemeine musikalische Zeitung* of 1839 chastised Josef Dessauer for having written an overture that was too "new-French" ("neufranzösisch") for a work by an Austrian composer and urged him to write another one.[90]

National labels, and with them the three conceptual pairs listed above, thus came to be mapped onto what Bernd Sponheuer has called "a chain of binary opposites ... revolving around sensuality (Sinnlichkeit) versus intellect (Geist)," in which the latter (German) pole is always valued as superior.[91] It is hardly surprising that, at a time of the increasing importance of music in the self-definition of a German nation, the overture – like any musical genre – was swept up by the budding German nationalist movement (even though that was less the project of those writing music than of those writing about it).[92] What is remarkable is that in the discourse

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[88] AMZ 41 (1839): 134.   [89] NZ 3 (1835): 19.   [90] AMZ 41 (1839): 753.

[91] Bernd Sponheuer, "Reconstructing Ideal Types of the 'German' in Music," in Celia Applegate and Pamela Potter (eds.), *Music and German National Identity* (Chicago: The University of Chicago Press, 2002), 40.

[92] On this, see Applegate and Potter, "Germans as the 'People of Music': Genealogy of an Identity," in *Music and German National Identity*, 1–35.

surrounding the overture, the better-known opposition between (Italian) opera and (German) symphony found a counterpart within a single genre.

Nationalism, however, is only one side of the coin. The vehemence with which the German press criticized French and Italian opera overtures is a measure of their presence in the repertoire, and of their popular success; the nationalist rhetoric is an indication of a cosmopolitan European musical reality. German overtures were not composed in isolation from this reality. In part, they were arguably written "against" Italian and French traditions, but at the same time, they often integrated many aspects of the latter. While at first sight, this point is reminiscent of the strategies of "exclusion" and "inclusion" that Sponheuer sees as complementary aspects of the self-positioning of German arts versus other traditions, there is one crucial difference: the incorporation is not limited to (what is perceived as) the best of foreign traditions. As the analyses in the next chapters show, German overtures often incorporate exactly those aspects from Italian and French overtures that were most vehemently criticized in the contemporaneous literature.

II   Form as Formula

A Recipe

> I wrote the overture to *Otello* in a small room at the palazzo of [Domenico]
> Barbaia, where I had been locked in on water and macaroni, and which
> I was not allowed to leave until the last note was written. The overture to *La
> Gazza ladra* I wrote not on the eve but on the very day of its first
> performance at La Scala in Milan, where the impresario had me watched
> over by four individuals who gently removed the pages from under my
> hand and took them to the copyists, from where the score was then
> brought to the already assembled orchestra. For *Il Barbiere di Siviglia*
> I did not write an overture at all; instead I gave this highly comical opera
> the overture I had made for the deeply serious *Elisabetta, regina
> d'Inghilterra*; the audience was totally fine with that. The overture – or
> rather the introduction – to *Le Comte Ory* I wrote near Petit-Bourg while
> on a fishing trip with the banker [Alejandro] Aguado, who bored me to
> death with his endless talk about the financial situation in Spain. I was in
> a similar state [of boredom] when, at my home in Paris, I wrote the
> overture to *Guillaume Tell* in the company of a large crowd that was
> chattering about. The louder they got, the harder I worked, so as to hear
> as little as possible of the racket they were making.

Thus read the first item that appeared under the heading "Miscellaneous"
(*Vermischtes*) in the *Neue Zeitschrift für Musik* of 28 November 1848.[1]
Introduced only by the words "Rossini erzählt," it was a condensed trans-
lation of the exchange between Rossini and an anonymous admirer that
had been published a month earlier in the Neapolitan periodical *Il
Folletto*.[2] In it, the admirer asks Rossini what advice to give his nephew,
a composer who "does not know how to write the overture to the opera he
just finished." Rossini generously replies in the form of an easy "overture
recipe" – a "ricetta per fare una sinfonia." Standing in a long line of

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[1] NZ 29 (1848): 260.

[2] Anon., "Ricetta per fare una sinfonia," *Il Folletto* 1 (1848): 187, 190. The exchange is considerably
wittier in the original than in the German version. An English translation has been published by
Spike Hughes in "How to Write an Overture: A Rossini Recipe," *Musical Times* 97 (1956):
247–49.

anecdotes about Rossini's legendary lack of work ethos, the document in all probability is a fabrication, even though it seems to have been taken at face value by at least some Rossini scholars from the late nineteenth and early twentieth centuries.[3] It is not hard to see why, since whoever wrote the letter must have had a more than superficial knowledge of Rossini's life and works.

Although the main purpose of the falsified correspondence surely was to entertain, its publication in Germany's main music periodical gains additional meaning in the context of the overture debate sketched in the previous chapter. Rossini's "overture recipe" strongly resonates with a recurring theme in German Rossini criticism, namely that the Italian composer did not care enough about his overtures, skillfully crafted and pleasant to hear though they may have been.[4] Especially relevant in this respect is the comment in the fabricated letter on Rossini's reuse of the overture originally written for *Elisabetta* (and, in fact, for *Aureliano in Palmira* before that) in *Il Barbiere di Siviglia*. German critics regularly faulted Rossini for using the same overture (or portions thereof) for more than one opera, sometimes even for operas that were fundamentally different in character. Schumann's passing comment in his review of Mendelssohn's concert with all four of Beethoven's *Leonore* and *Fidelio* overtures, cited at the beginning of Chapter I, is typical.[5] Reviews of Rossini's *opere serie* in particular were rife with complaints about the lack of correspondence in character between an opera and its overture. "The overture," we read about *Otello* in the Viennese *Allgemeine musikalische Zeitung* of 1820, "has much to commend it, but its fundamental flaw is that it does not match the dignity of a serious opera, let alone a tragic one."[6] As we have seen, such a mismatch between overture and opera violates one of the essential requirements of a well-made overture.

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[3] See Lodovico Settimo Silvestri, *Della vita e delle opere di Gioachino Rossini* (Milan: the author, 1874), 63–64 and Giuseppe Mazzatini, Fanny Manis, and Giovanni Manis (eds.), *Lettere di G. Rossini* (Florence: Barbèra, 1902), 342–43. See also Philip Gossett, "Compositional Methods," in Emanuele Senici (ed.), *The Cambridge Companion to Rossini* (Cambridge: Cambridge University Press, 2004), 68. Silvestri reproduces another condensed version: "Occasional Notes" in the *Pall Mall Gazette* of Monday 21 October 1872: 1356, which is also the one Gossett refers to. None of these authors mentions the original Italian version of the text.

[4] A reviewer for the Viennese *Allgemeine musikalische Zeitung* wrote that "Rossini's habit of treating his overtures in such a negligent manner does not make a good impression on us Germans right from the beginning" in AMZÖK 7 (1823): 78.

[5] See p. 16. See also AMZÖK 4 (1820): 162 ("Rossini does not write new overtures") and 5 (1821): 685–86.

[6] AMZÖK 4 (1820): 777. See also BAMZ 1 (1824): 225.

The most common comment on Rossini's overtures that one finds in the German press, however, pertains to something not explicitly mentioned in the above recipe, namely the formulaic treatment of musical form. Many of Rossini's overtures, that is to say, share an extremely similar layout. "Everything is cast from the same mold, cut after the same model," Marx complained in 1825; "Hear one," charged Rellstab in 1830, "and you've heard them all"; and a reviewer for the *Berliner allgemeine musikalische Zeitung* wittily invoked a vestimentary metaphor when writing about the "uniform" of Rossini's overtures.[7]

It is hardly surprising that German critics would have been so offended by Rossini's overtures (as they were, in fact, by most of his music). Rossini's music was fundamentally at odds with the prevailing aesthetic ideology in Germany at the time: the aesthetic of organicism, or the belief that the musical work (and, indeed, any work of art) was in important respects like a living being.[8] It is worth reviewing some of the key tenets of this aesthetic, not because it forms a viable model for a twenty-first-century analytical practice, but because it can, paradoxically, clarify what is so special about Rossini's overtures.

Early nineteenth-century organicism could boast a pedigree going back to the writings of Goethe and Carl Philipp Moritz from the 1780s and 1790s. It included contributions from such thinkers as Schelling, August Wilhelm Schlegel and, specifically for music, Christian Friedrich Michaelis and E. T. A. Hoffmann. By 1820, the organicist model was omnipresent in German music-related discourse of all kinds – journalistic, philosophical, and theoretical. Composers and writers at the time conceived of the idea of organicism, when applied to the arts, as a metaphor. They did not literally believe that works of art functioned in the same way as living beings, but they found that art could profitably be described in terms borrowed from biology, and

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[7] BAMZ 2 (1825): 36, *Iris* 1 (1830): [n.p.] (no. 24), BAMZ 2 (1825): 13.

[8] The classic general account of organicism is M. H. Abrams, *The Mirror and the Lamp: Romantic Theory and the Critical Tradition* (Oxford: Oxford University Press, 1953), especially 167–77 and 184–225. On organicism as applied to music, see Ruth Solie, "The Living Work: Organicism and Musical Analysis," *19th-Century Music* 4 (1980): 147–56; Lotte Thaler, *Organische Form in der Musiktheorie des 19. und beginnenden 20. Jahrhundert* (Munich: Katzbichler, 1984); and Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA: Harvard University Press, 1991), 141–49. More recently, see Friedemund Krawohl, "Organismusmetaphern," in Helga de la Motte-Haber and Oliver Schwab-Felisch (eds.), *Musiktheorie* (Laaber: Laaber Verlag, 2005), 156–67; John Neubauer, "Organicism and Music Theory," in Darla Crispin (ed.), *New Paths: Aspects of Music Theory and Aesthetics in the Age of Romanticism* (Leuven: Leuven University Press, 2009), 11–35; and Marc Rigaudière, *La Théorie musicale germanique du XIXe siècle et l'idée de cohérence* (Paris: Société française de musicologie, 2009), 29–35.

that the extent to which it could was a measure of aesthetic quality. As a result, one finds with many composers (especially in Germany) a tendency to construct their music in such a way that the metaphor of the organism appears appropriate, and in the writings of many critics the expectation that compositions indeed be organized in such a manner.

One common manifestation of the aesthetic ideal of organicism was a desire for "unity." According to organicism, the relationship between the parts that make up the whole of a work of art should be integral and meaningful. The form of a musical composition is not an empty, pregiven container that can be filled with content. Rather, it should be the result of its constituent parts; the whole grows from its smallest elements. Conversely, the parts depend on the whole for their meaning; taken in isolation, they risk losing much of their significance.

The most palpable integrating device in music, from the organicist point of view, is motivic unity. "The motive," writes Marx in reference to Goethe, "is the primary configuration [Urgestalt] of everything musical, just as the germinal vesicle . . . is the primal configuration of everything organic – the true primal plant or animal."[9] But motivic integration alone is not enough (nor were early nineteenth-century writers particularly interested in analytical demonstrations of unity): the relationship between parts and whole should also be motivated by a – significantly less palpable – unifying idea. A work's individuality depends on the specific relationship between whole and parts. "Every idea," Marx writes, "has created its own form, which has to be organized like the idea itself."[10] The link with the organicist metaphor becomes explicit when elsewhere he asserts that the "spirit conditions and permeates the whole like a living organism, like the soul does to all the limbs of a human being."[11]

This spiritual aspect is what distinguishes the organic from the mechanical – in early nineteenth-century aesthetics a term with distinctly pejorative overtones. Marx, for instance, emphasized that the theory of composition is "not a dead impenetrable [schroffer] *mechanism* that only builds machines, but a living *organism* that gains life and elicits living

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[9] Adolf Bernhard Marx, "Form in Music" ["Die Form in der Musik," 1856], in *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), 66.

[10] BAMZ 1 (1824): 98. On the attribution of the review that includes this statement to Marx, see Scott Burnham, *Aesthetics, Theory and History in the Works of Adolph Bernhard Marx* (PhD diss. Brandeis University, 1988), 64.

[11] See Marx, *Lehre*, I (1837), vii.

productivity [Wirken] and living development."[12] The difference between both categories is explained by August Wilhelm Schlegel in his *Vorlesungen über dramatische Kunst und Literatur*:

Form is mechanical when, through external influence, it is communicated to any material merely as an accidental addition without reference to its quality; as, for example, when we give a particular shape to a soft mass that it may retain after its induration. Organical [sic] form . . . is innate: it unfolds itself from within, and acquires its determination along with the complete development of the germ.[13]

Mechanical form is imposed upon the material from the outside; organic form comes from within. It would be wrong to assume that authors such as Marx and Schlegel did not realize that art and music are put together rather than grown – again, in early nineteenth-century aesthetics, the idea of the organism was primarily a metaphor. Rather, the distinction between the organic and the mechanical implied a value judgment that perpetuates the "chain of binary opposites" discussed at the end of Chapter I. While the organic artwork is well made, the mechanical is not. "Well made," in this context, refers to the poetic as well as the aesthetic aspect: mechanical (and, therefore, nonorganic) is that which is put together in such a manner that the final product still looks as if it has been put together. Its parts are insufficiently integrated, it lacks individuality, and it fails to express an underlying idea.

Rossini's overtures represent the "mechanical" in both their form and their mode of production.[14] Their formulaic, "recipe-like" nature is no less incompatible with the organicist aesthetic than the resulting interchange-ability. Rather than stimulate attempts to probe the limits of organicism, this incompatibility in turn has encouraged the view that Rossini's overtures are unworthy of sustained analytical attention. With few exceptions, the only authors writing about these works are those who contrast Rossini's handling of musical form with Beethovenian conceptions of sonata form.[15] In this chapter, I use the premises of the organicist aesthetic

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[12] Marx, *Lehre*, I, 389 (italics in the original).

[13] August Wilhelm Schlegel, *A Course of Lectures on Dramatic Art and Literature* [*Vorlesungen über dramatische Kunst und Literatur,* 1809–11], trans. John Black, vol. II (London: Templeman – Smith, 2nd edn 1840), 98.

[14] The association of Rossini with the mechanical was not limited to the German sphere. See Henri[-Montan] Berton, "De la musique mécanique et de la musique philosophique," *L'Abeille* 3 (1821): 149–56, 195–206, 292–98.

[15] See, e.g., the highly problematic treatment of Rossini in Steinbeck, *Die Ouvertüre in der Zeit von Beethoven bis Wagner*, 87–90. In a recent essay, Scott Burnham employs the same dichotomy, albeit cast in more generous terms and applied in a more insightful manner ("Making Overtures," in Nicholas Mathew and Benjamin Walton (eds.), *The Invention of Beethoven and*

in a more critical way: not as a standard measured against which Rossini's overtures fall short, but as a foil against which their distinctive features stand out. First, I investigate the unique aspects of the formula, reviewing the formula itself, illustrating it by means of the overture to *La Cenerentola*, and then focusing on its most defining characteristic, the crescendo. In the second part of the chapter, I look at how aspects of Rossini's formula have been adapted in different ways by three composers working in the French, German, and Italian spheres respectively: Auber, Schubert, and Bellini.

The Archetypical Rossini Overture

The formal course of Rossini's overtures is predictable to such an extent that in a 1979 study, Philip Gossett was able to codify what he called the "archetypical Rossini overture."[16] Gossett's codification is easy to summarize and translate into the language of the new *Formenlehre*. The overall form is what I propose to call a "grand sonatina form": the compact version of sonata form with a nonrepeated exposition and without a development (as, famously, in the overture to Mozart's *Le Nozze di Figaro*) but preceded by a sizeable slow introduction.[17] In the exposition, the main and subordinate themes stand in pointed contrast to each other. The former is presented by the strings, consists of repeated short motives, and is prone to phrase-structural irregularities. The latter is played by the winds and has a more melodic character and a more regular phrase structure. The accompaniment to both themes is schematic and in the subordinate theme first appears in the form of a short prefix before the melody itself. The subordinate theme, in the classical first-level default key (V in major, III in minor), is heard twice, the second time in a different instrumentation and with added figuration. The transition between main and subordinate themes begins with a "tutti affirmation" that is elided with the final chord

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Rossini: Historiography, Analysis, Criticism (Cambridge: Cambridge University Press, 2013), 197–209). For a classic account of the Beethoven-Rossini "twin styles," see Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley – Los Angeles: University of California Press, 1989), 8–15. For a recent critique, see James Hepokoski, "Dahlhaus's Beethoven-Rossini *Stildualismus*: Lingering Legacies of the Text-Event Dichotomy," in *The Invention of Beethoven and Rossini*, 15–48.

[16] Philip Gossett, "The Overtures of Rossini," *19th-Century Music* 3 (1979): 4–13. See also the longer Italian version of the essay "Le sinfonie di Rossini," *Bollettino del centro rossiniano di studi* 13 (1979): 7–123. All references below are to the English article.

[17] On the term "sonatina form," see also Chapter I, p. 19.

of the main theme, modulates over the course of four four-measure groups, reaches a half cadence in the new key, and ends with a prolonged standing on the dominant that is connected to the onset of the subordinate theme by several measures of "caesura-fill."[18] After the double subordinate theme comes a crescendo: a short module is set up, repeated several times, and fragmented – a little louder and with more instruments playing each time – before giving way to a cadential progression that is elided with the codetta. ("Codetta" is the term I will use for what in form-functional theory is usually called a "closing section": the postcadential music following the last PAC in the exposition or recapitulation that is not of limited scope.)[19]

Before long, the codetta turns into a retransition to the recapitulation. For the first half of the recapitulation there are two options (as Gossett writes, "the archetype here divides into two families").[20] After the return of the main theme the transition is either omitted completely, so that the cadence that concludes the main theme is elided with the prefix to the subordinate theme; or the main theme ends with a deceptive cadence so that the transition begins in the submediant (the lower submediant in major-mode pieces) and works its way to the home-key dominant. From the onset of the subordinate theme, the recapitulation simply transposes what happened in the exposition, although the codetta is enlarged.

Gossett warns his readers that the "archetype is, of course, a fiction, a composite vision of Rossini's art."[21] Several of Rossini's overtures none-theless concretize it almost perfectly. One of these is the overture to *La Cenerentola*, premiered in Rome in January 1817. The work also exempli-fies Rossini's practice of recycling overtures: it was first heard several months earlier in Naples, where it preceded the lesser-known comedy *La Gazzetta* (1816). Both in its overall form and in the internal organization of

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[18] On "tutti affirmation" and "caesura-fill," see Hepokoski and Darcy, *Elements of Sonata Theory*, 94 and 40–45.

[19] See Caplin, *Classical Form*, 16, 122. On the notion "limited cadential scope," see Caplin, "The Classical Cadence: Conceptions and Misconceptions," *Journal of the American Musicological Society* 57 (2004): 86–89. The advantage of the term codetta is that it solves the terminological conflict inherent to "closing section," which refers as "closing" to a unit that by definition comes *after* cadential closure has already occurred. Like Caplin's "closing section," codetta is distinct from Hepokoski and Darcy's "closing zone" ("C"), which begins after the attainment of the "essential expositional closure" or "EEC" – "the first satisfactory perfect authentic cadence that proceeds onward to differing material" (Hepokoski and Darcy, *Elements of Sonata Theory*, 120). I do, however, adopt their term "codetta modules" to refer to the constituent parts of a codetta (which, in Caplin's terminology, are called "codettas"). For a convenient overview of different types of codettas, see Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 147–54, 155–56.

[20] Gossett, "The Overtures of Rossini," 12.   [21] Ibid., 4.

its constituent parts, the *Cenerentola* overture corresponds entirely with the archetype.

Table 2.1 provides an overview of the form. After the slow introduction, the main theme, with its long upbeat typical of what William Rothstein has called "Italian barring," takes the form of a small ternary.[22] The continuations of both of its outer sections are lengthened, in the A section through the addition of a postcadential extension, in the A′ section through expansion in the run up to the cadence. The first of these hypermetrical irregularities is further highlighted in that only there the woodwind take over or reinforce the melody, which is otherwise carried only by the first (and later, in the A′ section, also the second) violins. The PAC that concludes the main theme is elided with the onset of a tutti-affirmation transition. The transition consists of four different statements of the same four-measure idea to perform the modulation and four measures standing on the dominant to highlight the goal of that modulation. Two times four measures of caesura-fill dissipate the accumulated energy and bridge the gap to the subordinate theme. The subordinate theme is presented twice and followed by a long crescendo and a brief codetta that turns into a retransition.[23] The recapitulation is nearly identical to the exposition but for the deceptive cadence at the end of the main theme that launches the transition in ♭VI (as well as, of course, the harmonic adjustment of the rest of the transition and the transposition of Part Two of the exposition to the home key).

At first sight, there is nothing particularly inventive about the handling of large-scale form in the archetypical Rossini overture, nor is there much that is remarkable about the majority of its constituent parts. So predictable is the whole and so limited the number of types available for each of its parts that it hardly seems exaggerated to call it a template into which ready-made building blocks can be fitted. As Gossett points out, this kind of form allows individual parts to be removed and replaced by equivalent parts from other works without the result becoming any less aesthetically satisfying.[24] The subordinate theme in the *Cenerentola* overture is a case in point: the theme was borrowed, with modifications, from the overture to *Torvaldo e Dorliska*, an opera seria from 1815. The first forty-eight measures of the crescendo, moreover, were imported not from another overture, but from

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[22] William Rothstein, "National Metrical Types in Music of the Eighteenth and Early Nineteenth Centuries," in Danuta Mirka and Kofi Agawu (eds.), *Communication in Eighteenth-Century Music* (Cambridge: Cambridge University Press, 2009), 116.

[23] It is easy to mistake the PAC at m. 201 for an IAC. The $\hat{3}$ in the upper woodwind, however, covers a structurally more important $\hat{1}$ in the violins (hence my term "covered PAC").

[24] Gossett, "The Overtures of Rossini," 8.

Table 2.1 Rossini, Overture to *La Cenerentola*: Overview

SLOW INTRODUCTION

1–15	16–21	21–26	26–32
section 1	section 2	section 3	postcadential
I			
	vi:HC	**I:PAC**	**I:HC**

EXPOSITION

33–65			65–96	97–129		129–201	201–18
Main Theme (small ternary)			Transition	Subordinate Theme Group		Crescendo	Codetta
A (33–43)	B (44–51)	A′ (52–65)		ST (97–113)	ST ✗ (113–29)		⇒RT
I				**V**			
V:PAC (RHC)	**I:HC**	**I:PAC**	**V:HC**	**V:PAC**	**V:PAC**	**V:PAC** (covered)	

RECAPITULATION

219–51			251–82	283–315		315–87	387–401
Main Theme			Transition	Subordinate Theme Group		Crescendo	Codetta
A (219–29)	B (230–37)	A′ (238–51)		ST (283–99)	ST ✗ (299–315)		
I			**♭VI**	**I**			
V:PAC (RHC)	**I:HC**	**(DC)**	**I:HC**	**I:PAC**	**I:PAC**	**I:PAC**	

the finale of the opera's first act. Along the same lines, it is not hard to imagine how, for instance, the transition in the *Cenerentola* overture could be replaced by that from *La Scala di seta* or *Semiramide*, to name only two of Rossini's best-known overtures.

Focusing on their formulaic aspect unavoidably leads to an overly reductive view of Rossini's overtures. While Gossett's archetype is relevant for most of Rossini's overtures written between 1814 and 1817 (from *Il Turco in Italia* to *La Gazza ladra*), it is anything but universally applicable across the composer's career. Before 1814, Gossett notes, it had not yet "fully congealed."[25] And after *La Gazza ladra*, the archetype so characteristic of the overtures from the preceding years became only one among several options. The overtures to *Maometto II* (revised version, 1822) and to *Semiramide* (1823) closely adhere to it. Others, however, including those to *Ermione* (1819), *Bianca e Falliero* (1819), and *Matilde di Shabran* (1821), deviate considerably from the archetype, and others still, such as those to *Armida* (1817), *Le Siège de Corinthe* (1826), and *Guillaume Tell* (1829), have virtually nothing in common with it. (Another group of operas after 1818 omits the overture altogether, as we have seen in Chapter I.) In the overture to *Ermione*, for example, the overall design of a grand sonatina form and the internal organization of the main theme and transition (mm. 57–74 and 74–103) in the exposition are all that remain of the archetype. The piece begins not with a slow introduction, but with a multi-tempo preamble featuring a male choir (mm. 1–56); in the exposition, the subordinate theme (mm. 104–16) is a variant of the main theme and does not conclude with a cadence; the harmonic organization of the crescendo episode (mm. 116–48) is atypical; after the codetta, both the choir and material from the introduction come back (mm. 165–63); and the recapitulation skips the main theme, reconnecting instead with the transition, which now begins on ♭III (m. 163). Nonetheless, because the overtures to most of Rossini's best-known operas are so close to the archetype, his partial abandonment of it after 1817 remained largely unrecognized. Rossini's overtures were thus conflated with the archetype more often than not, and it is in this form that they exerted their influence.

It is easy to see why the Rossini overtures that exemplify the archetype must have seemed deeply suspect to German critics in the first half of the nineteenth century. These works, in which the whole always stays the same and parts can be exchanged at will, pose a double challenge to an organicist aesthetic. First, there is no organic unity, in the sense that the whole is not

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[25] Ibid., 18.

the result of the parts. Instead, the whole is given: it really *is* a premade scaffold that simply needs to be filled in by parts that have no intrinsic relationship with one another. There is no obvious reason why any main theme is combined in one overture with a specific subordinate theme rather than with another. Second, and following from the first point, it would be futile to look for motivic connections between the different formal units of a Rossini overture. Since the themes of an overture may very well have different origins, demonstrating a motivic relationship would appear irrelevant at best and at worst place the suspicion of arbitrariness on the project of motivic analysis in general. As suggested above, such an analytical demonstration was not a prime concern for Rossini's contemporaries anyway. Since the image of the organism was a metaphor, moreover, organic unity was to a large extent in the eye of the beholder. Few works of the first half of the nineteenth century, however, were so militantly nonorganic as Rossini's overtures. Because of the formulaic nature of his large-scale form, because of the stereotypical nature of that form's constituent parts, and because of his practice of thematic borrowings and substitutions, Rossini made it patently evident that his overtures were mechanically put together rather than organically grown. What must have irritated German critics above all else about Rossini's overtures, therefore, was not (or not only) that their form was insufficiently unified, but (also) that their composer was so manifestly uninterested even in feigning organic unity. From the point of view of German nineteenth-century aesthetics, they must have appeared all but subversive.

The Rossini Crescendo

The single most subversive element of the Rossini formula is doubtless the elaborate crescendo that comes after the repetition of the subordinate theme in both the exposition and the recapitulation. Rossini's crescendi – "those crescendi," Rellstab wrote, "in which a vulgar figure is repeated in the melody while the rhythm is played by all the basses and eventually in all the winds, so that the ladies silently sing along and indicate the beat with their heads and the gentlemen hum the tune aloud while moving their legs and hands"[26] – may well be the most distinguishing feature of his overtures. The crescendo is what makes their form fundamentally different from any other sonatina form. Moreover, it is the moment *par excellence*

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[26] *Iris* 1 (1830), [n.p.] (no. 15).

when the mechanical aspect of Rossini's overtures, which is otherwise largely limited to their production, becomes palpable in the product itself. An Austrian reviewer of *Semiramide* in 1823 compared the crescendo, "in which a single musical idea . . . is constantly turned around, a little stronger and faster each time," to a coffee mill.[27]

Gossett emphasizes that "a Rossini crescendo is not any intensification of volume over any number of measures."[28] It is something very distinct that is defined by a specific harmonic organization and phrase structure as well as by a particular function and position in the form. While no two Rossini crescendi are structured identically, all of them comprise at least two phases: the crescendo proper and a cadential progression. Although the literal crescendo is limited to the first phase, both are so inextricably linked that it makes little sense to consider them separately. Sometimes these two phases are preceded by what Gossett calls a "pre-crescendo": a brief module that is repeated once or twice at a constant dynamic level, alternating between tonic and subdominant harmonies and often over a tonic pedal. This preparatory phase is optional, and Rossini uses it only in overtures before 1814. The crescendo itself begins by setting up a model of four, eight, or sixteen measures that is internally organized as a statement-and-response, alternating between tonic and dominant harmonies only. This model is stated two or three times in its entirety before it is subjected to fragmentation.[29] It is during this process of model, repetition, and fragmentation that the increase in volume takes place, starting, more specifically, with the first repetition of the model (this is where the indication "crescendo poco a poco" first appears; the initial presentation of the model remains *piano* or *pianissimo* throughout). With each new statement or fragment, the dynamic level rises, more instruments join in, and the register is expanded. Once the process of fragmentation starts, the dynamic and registral intensification is reinforced (or, in cases where the music reaches its loudest dynamic before the beginning of the cadential progression, replaced) by syntactic means.

Once the buildup has reached its highpoint, the music finally breaks free from the constant tonic-dominant alternation and launches an expanded

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[27] AMZÖK 7 (1823): 580. On the Rossini crescendo as mechanism, see also Robert W. Fink, *"Arrows of Desire": Long-Range Linear Structure and the Transformation of Musical Energy* (PhD diss. University of California Berkeley, 1994), 55–81. Fink's scope, in contrast to mine, is not limited to crescendi in overtures.

[28] Gossett, "The Overtures of Rossini," 10.

[29] There are exceptions. In *Ermione, Bianca e Falliero*, and *Matilde di Shabran*, the fragmentation is omitted. In *Semiramide*, the presentation and twofold repetition of the initial model are followed not by fragmentation but by a new model that is also repeated.

cadential progression. The basic pattern is I – vi – ii^6 – V$^6_4$ – V^7 – I (as in *La Cenerentola*), but both the tonic substitute and the pre-dominant may also appear in chromaticized forms.[30] The final tonic is either evaded (leading to a repetition of the entire progression) or elided with the onset of the codetta.[31] Example 2.1 reproduces and annotates the crescendo from *La Cenerentola*.

The powerful effect of a Rossini crescendo relies on its internal makeup as well as on its relation to the form of the overture as a whole. The crescendo constitutes a unique formal function that stands between the subordinate theme and the codetta. It capitalizes on the harmonic similarity between initiating and postcadential functions. Given the overall proportions of what came before, it would be perfectly reasonable for a listener to expect that the repetition of the subordinate theme will be followed immediately by a codetta. This is particularly so in *La Cenerentola*, where the main theme, transition, and subordinate theme are all of approximately the same duration. The lengthy tonic prolongation in the crescendo at first confirms this expectation, projecting postcadential function. But at the same time, the model's structure is identical to that of a compound presentation of the statement-response type, comprising a compound basic idea and its repetition (I-V – V-I). This leaves open the possibility that the prolongation will assume an initiating function, and it is this function that is eventually confirmed when, much later, the cadence ensues.

Describing the Rossini crescendo in these terms reveals its proximity to the classical strategy of a "false closing section" as defined by William Caplin. This strategy involves a unit that begins as a codetta but then continues as an additional subordinate theme.[32] Form-functional situations like this have been explored extensively by Janet Schmalfeldt under the rubric of "retrospective reinterpretation." This category is relevant whenever the function initially projected by a formal unit is reconsidered in view of the larger formal context. In such cases, form emphatically presents itself as a "process of becoming," to use the phrase Schmalfeldt has coined. The analytical shorthand for this notion of "becoming" is the double-lined right arrow (⇒). The formula "CS⇒ST," for instance, stands for "closing section [or codetta] becomes subordinate theme." (In order to

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[30] Robert Gjerdingen classifies this progression as the "long cadence" or "cadenza lunga" in *Music in the Galant Style* (New York: Oxford University Press, 2007), 169–70.

[31] The only exception is *La Gazza ladra*, where the cadential progression is abandoned in order to modulate back to the home key, thus functioning as a retransition.

[32] Caplin, *Classical Form*, 123.

Example 2.1. Rossini, overture to *La Cenerentola*: crescendo (mm. 129–205; end of the first and beginning of the second repetition of the model not shown).

Example 2.1. (cont.)

reflect the conceptual step back on the sonata-form timeline that the reinterpretation implies – from what seemed to be a codetta back to the subordinate theme group – one could also use a left arrow: ST⇐codetta.)[33]

What sets Rossini's crescendo apart from Caplin's false closing section or Schmalfeldt's CS⇒ST is its sheer extravagance. The initial tonic prolongation is stretched out over such an expanse of time that it drastically alters the scale and internal proportions of the exposition (and, later, the recapitulation). In *La Cenerentola*, for instance, the crescendo proper takes up over a quarter of the entire exposition. Moreover, the grand expanded cadential progression in the second phase of the crescendo entirely outdoes the comparatively understated cadence that concludes the preceding subordinate theme. The crescendo nonetheless never becomes another subordinate theme. The initial suggestion of postcadential function is so strong that no retrospective reinterpretation will override it; it remains part of the unit's identity. It would be equally inaccurate, however, to understand the crescendo as the beginning of a "closing zone" in Hepokoski and Darcy's sense.[34] It is true that the exposition is structurally complete once the repetition of the subordinate theme has attained its cadential closure; in Hepokoski and Darcy's terms, this is the "essential expositional closure" or "EEC," which implies that anything that follows is optional from a structural harmonic point of view. But this is exactly the point: a Rossini crescendo comes to overshadow all that precedes it, in spite of the fact that it is structurally optional. In the tension between its position in the form and the impact it has on the perception of that form lies the uniqueness of the crescendo as a formal function.

It would therefore be a missed opportunity to emphasize only the tension that exists within a crescendo between the harmonic stasis and the registral, dynamic, and syntactic intensification: the harmonic stasis also contrasts with the crescendo's dynamic form-functional behavior. From the bottom up, it shifts the center of gravity of the entire form. As the longest single unit in the form, it becomes its focal point. Because of the crescendo, the form of an archetypical Rossini overture is end-accented at three different levels: within the crescendo itself because of the process of intensification that culminates in the broad cadences at the end; in the

[33] See Schmalfeldt, "Form as the Process of Becoming: The Beethoven-Hegelian Tradition and the 'Tempest' Sonata," *Beethoven Forum* 4 (1995): 37–71 and *In the Process of Becoming*, as well as Nathan John Martin and Steven Vande Moortele, "Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet," *Music Analysis* 33 (2014): 130–55. See also my "In Search of Romantic Form," *Music Analysis* 32 (2013): 417–23.
[34] See footnote 19.

exposition, because the concluding crescendo dwarfs all that came before; and in the form as a whole because the entire crescendo is repeated (even in those cases where the rest of the recapitulation is abridged).

From a listener-oriented point of view, the crescendo also embodies a tension between incongruity and predictability. Within an individual overture, it arguably constitutes an element of surprise: nothing in the form prepares one for what will happen in the crescendo. But at the same time the crescendo is part of Rossini's formula, so that it is a surprise that happens every time. An informed listener therefore knows that it will come and perhaps even looks forward to the moment when Rossini will play his trump card. The paradox of the "expected surprise," moreover, is carried even further in the recapitulation. Rossini plays his trump card twice, as it were – at the end of the exposition, and at the end of the recapitulation – thus pulling the rug from under its brilliant climactic effect, and an informed listener knows in advance that this is what is going to happen. Thus the paradox of Rossini's crescendi: in spite of the irresistibility that every single one of them has, the device was eminently repeatable.[35]

Rossini Reception: Auber, Schubert, Bellini

In the decades following Rossini's successes, his music, including his overtures, was eagerly imitated by composers all over the European continent – not only in Italy, but also in France and in the German-speaking lands. One piece that would have reminded contemporary listeners of the Rossini archetype at virtually every turn is the overture to the opéra-comique *La Neige* by Daniel François Esprit Auber (1823), one of the earliest collaborations of the later so successful team Auber, Scribe, and Delavigne. Like the Rossini archetype, the overture to *La Neige* is cast in grand sonatina form. That in itself is hardly remarkable. What is more important is that almost all of the lower-level formal units in Auber's overture allude to Rossini either structurally or gesturally, most explicitly in the modulating transition organized in four-measure groups (with lengthy standing on the dominant), the subordinate theme (with prefix), the crescendo (with expanded cadential progression), and the perfunctory retransition back

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[35] As Burnham points out, the fact that it appears twice is the most fundamental difference between a Rossini crescendo and the coda of the first movement of Beethoven's Third Symphony, even though the "material conditions are quite similar" ("Making Overtures," 199–200). Beethoven used the same technique, incidentally, in the coda to his *Leonore I* overture (mm. 282–305).

to the main theme. At no point in the work is the spirit of the Italian master more present than in mm. 158–82, where Auber presents his listeners with what, at first hearing, appears to be a textbook Rossini crescendo (see Example 2.2).

But first impressions are deceptive. For one thing, the internal phrase structure of Auber's crescendo deviates from the archetypical Rossini crescendo. Like Rossini, Auber begins by setting up and twice repeating a four-measure model that alternates between tonic and dominant harmony. This gives way in m. 170 to a cadential progression that, in spite of the extended pre-dominant (stretched from two to six measures), even more unambiguously references Rossini than the beginning of the crescendo. What is not there, however, is a process of fragmentation that separates the repetitions of the model from the cadential progression. To be sure, in a small number of his overtures, Rossini himself also omits the fragmentation from the crescendo.[36] Still, Auber pointedly chooses not to adopt the archetypical Rossini crescendo. In doing so, he writes a crescendo that is considerably more compact than in most of Rossini's overtures, all the more so because the cadential progression is not repeated.

Differences between Auber's and Rossini's crescendo are not limited to matters of size and internal organization. They also affect the relation between the crescendo and the formal units that precede it. The subordinate theme begins at m. 142, and here as well, the reference to Rossini is unmistakable. But again, surface similarities go hand in hand with structural differences: unlike in Rossini's overtures, Auber's subordinate theme is stated only once. As Example 2.3 shows, moreover, it is not a complete theme: mm. 142–157 are structured as the antecedent of a compound period (more specifically, they take the form of a compound basic idea followed by a consequent). One expects a responding large-scale consequent (or a continuation, as the case might be) to start at m. 158, but this is not what happens. Instead the large-scale antecedent is immediately followed by the crescendo.

The cadence at m. 156 obviously cannot mark the end of the subordinate theme – as a PAC in the dominant of the dominant, it has the value of an HC (a "reinterpreted half cadence")[37] – so that the crescendo becomes an integral part of the subordinate theme, functioning almost as a continuation to the preceding antecedent. This is very different from the function of the crescendo in a Rossini overture. There, the crescendo invariably follows a subordinate theme that has already achieved structural closure, thus

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[36] See footnote 29.   [37] On the reinterpreted half cadence, see Caplin, *Classical Form*, 57.

Example 2.2. Auber, overture to *La Neige*: crescendo (mm. 158–82).

occupying the space between the subordinate theme group and the codetta. Its status is that of a separate thematic unit. One could perhaps say that Auber's is a domesticated version of the Rossini crescendo. Not only is it compressed, it is also robbed of its extravagance: it is no longer an excessively long but essentially superfluous unit, but rather the very unit that brings the exposition's tonal structure to a close.

Example 2.3. Auber, overture to *La Neige*: beginning of the subordinate theme (mm. 142–56).

It is interesting to juxtapose Auber's little-known overture with two compositions that surely rank amongst the earliest and most often cited traces of Rossini's influence outside Italy: the two overtures "in the Italian style" that Schubert wrote at the time of the first Rossini craze in Vienna in 1817. According to his first biographer Heinrich Kreißle von Hellborn, Schubert composed both works (D. 590 in D major and D. 591 in C major) as a direct response to Rossini's overtures in order to prove to his friends

that he was able to "pen down overtures in a similar style in the shortest time."[38] The suggestion that Schubert's main intention in these overtures was to emulate Rossini is, however, misleading. In the D major overture, Rossini's influence is limited, and what little is there does not go deep at all. To be sure, parallels between it and Rossini are easy enough to find: the grand sonatina form, the schematic accompaniment to the main theme, and the tutti affirmation at the beginning of the transition are all points Schubert's overture has in common with the archetypical Rossini overture. But these parallels are hardly specific enough to back up the claim that Schubert was using Rossini as a model. The whole piece contains surprisingly little Rossini, except for the apparent paraphrase of "Di tanti palpiti" from *Tancredi* in the subordinate theme and – perhaps – the stylistic allusion to the orchestral introduction to that same aria in the lyrical portion of Schubert's slow introduction.[39] To any listener unaware of the work's subtitle (which probably did not stem from Schubert) and unfamiliar with *Tancredi*, the idea that Schubert wrote this overture under the influence of Rossini might never occur.[40]

The situation is more complex in the C major Overture. The large-scale formal plan is, again, a grand sonatina form (Table 2.2 provides an outline of the exposition). Rossini's influence, however, appears both more tangible and more thoroughly mediated by Schubert's own personal style than in the D major Overture. It is as if Schubert is deliberately steering for a confrontation between his voice and Rossini's (Donald Francis Tovey wrote that in comparison to D. 590, Schubert in this overture "performs so many of his own tricks that he gets away with considerably more of Rossini's.").[41] This becomes clearest at two moments. At the beginning of the exposition, the period that initiates the main theme (mm. 34–41) bears all

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[38] Heinrich Kreißle von Hellborn, *Franz Schubert* (Vienna: Carl Gerold's Sohn, 1865), 129. See also Elisabeth Norman McKay, "Rossinis Einfluß auf Schubert," *Österreichische Musikzeitschrift* 18 (1963): 17.

[39] One could perhaps also hear the cadenza lunga in mm. 133–41 as a reference to Rossini.

[40] Admittedly, few music lovers in 1817 would not have recognized "Di tanti palpiti." As to the question of the title: the manuscript of D. 591 was titled "Ouverture" by Schubert; the addition "im italienischen Style" [sic] is "in fremder hand." The manuscript of D. 590 is no longer extant, but it too apparently bore the lapidary title "Ouverture." However, already Ferdinand Schubert's *Verzeichnis* of 1839 lists under the year 1817 "two overtures in the Italian style." See Otto Erich Deutsch, *Franz Schubert: Thematisches Verzeichnis seiner Werke* (Kassel: Bärenreiter, 1950, rev. ed. 1978), 343–44.

[41] Tovey, *The Classics of Music: Talks, Essays, and Other Writings Previously Uncollected*, ed. Michael Tilmouth, David Kimbell, and Roger Savage (Oxford: Oxford University Press, 2001), 189. See also Hans-Joachim Hinrichsen, "Die kleineren Orchesterwerke," in Walther Dürr and Andreas Krause (eds.), *Schubert Handbuch* (Kassel – Stuttgart: Bärenreiter and Metzler, 1997), 526.

Table 2.2 Schubert, Overture "In the Italian Style" in C Major, D. 591: Overview of the Exposition

Main Theme			Transition	Subordinate Theme Group					Codetta ⇒ RT
				ST 1				ST 2	
34–41	41–48	49–56	56–68	69–75	76–82	83–94	95–106	106–18	118–22
A	B	A′		antecedent	consequent	crescendo	crescendo	sentence	
period	codetta ⇒middle	period		(sentential)	(*minore*; failed)		(✗)		
I				VI	vi	V			
I:PAC	vi:HC	I:PAC	VI:HC	VI:HC	I:HC (!)	V:PAC	V:IAC	V:PAC	

the hallmarks of the archetypical Rossini theme. It is played by the strings alone, and the ebullient tune in the first violins is set against a schematic accompaniment in the rest of the strings. Equally Rossinian is the postcadential expansion at the end of the theme (mm. 41ff.) – at least initially. For the expansion soon turns into something much more Schubertian, namely a tonic-heavy contrasting middle section that ends on an HC not of the tonic but of the submediant. Nothing like this ever happens in Rossini's main themes. Schubert's voice recedes into the background again in the A′ section (mm. 49–56) and in the tutti affirmation that marks the onset of the transition (mm. 56ff.).

Whereas this first stylistic confrontation is mild and even fleeting, the second is more drastic. At the beginning of the subordinate theme, Schubert allows his own voice to come to the fore more than anywhere else in the overture. Although the fact that the antecedent (mm. 69–75) is presented by the woodwind might still be construed as a parallel to the Rossini archetype, the key (VI, fulfilling the promise of the submediant HC in the main theme) and the legato accompaniment figure suggest Schubert's rather than Rossini's fingerprints, as does the chromatically descending caesura-fill in the measures right before (mm. 67–68). Schubert swerves even farther from Rossini in the second phrase of the subordinate theme (mm. 76–82). What begins as a *minore* consequent soon lapses back into the tonic and concludes in that key with an HC.

After the failed consequent, Schubert suddenly switches back to an unmistakably Rossinian style. At m. 83, a four-measure unit alternating between dominant and tonic (now in G major, the exposition's goal key) is presented, repeated over a crescendo, and concluded by a cadential progression (Example 2.4). If Schubert was indeed writing this overture for his friends, as Kreißle has it, then there can be no doubt that he expected them to recognize this as a Rossini crescendo. As in Auber's overture, however, the crescendo is alienated, both its internal organization and its formal function straying considerably from the Rossini archetype. Already the model itself differs from what one finds in a Rossini crescendo. Rossini's models invariably begin on the tonic. Schubert, by contrast, loosens the tonic prolongation by beginning over V_5^6 harmony. The cadential progression is different as well, lacking the tonic substitute so typical of the cadential phase in Rossini's crescendi. A further difference is that the entire unit (crescendo and cadence) is repeated; again, this is something Rossini never does. Even more important than these intrinsic dissimilarities, the crescendo in Schubert's exposition occupies a position that is different from what one would expect in an archetypical Rossini overture

Example 2.4. Schubert, Overture "In the Italian Style" in C major, D. 591: crescendo (mm. 83–94).

(and, in fact, from that in Auber's). Rather than follow or even conclude the subordinate theme group, Schubert's crescendo stands in the middle of it. In contrast to Rossini, Schubert's crescendo does not follow the first PAC in the goal key, but leads up to it. Instead of launching a new beginning

following a self-sufficient theme, it forms a larger subordinate theme together with the two phrases that precede it. And in contrast to Auber, the final cadence of Schubert's crescendo is elided not with the beginning of the codetta, but with a new theme (mm. 106–18) that is itself expanded by a reiterated cadential progression.

A final case is the overture to Bellini's opera *I Capuleti e i Montecchi* (1830). As Example 2.5 shows, the crescendo in this overture (mm. 99–129) stays much closer to the Rossini model than those in the works by Auber and Schubert discussed above. As in a Rossini overture, the crescendo is *not* part of the subordinate theme group: its beginning is elided with the PAC that concludes the preceding unit. Its internal organization, too, closely follows Rossini's practice: a four-measure model is stated and twice repeated before giving way to eight measures of fragmentation. And the lengthy cadential progression starting in m. 119 prominently features the I – vi tonic expansion so characteristic of the second phase of a Rossini crescendo. This is not to say that there are no differences between Bellini's and Rossini's procedures. Rather than merely bounce back and forth between tonic and dominant, Bellini's model itself is harmonized as a full cadential progression (I – ii^6 – V^7 – I), and the cadential phase of his crescendo is further expanded by the insertion of three applied diminished seventh chords between the tonic substitute and the pre-dominant. The most striking departure from the Rossini archetype comes at the very end, when the cadential progression remains incomplete. Instead of resolving to the tonic, the dominant is prolonged for no fewer than eighteen measures.

Much more remarkable than any of this, however, is the overall form of Bellini's overture. In contrast to Auber and Schubert, Bellini does not adopt the grand sonatina form of the Rossini archetype. It is not hard to discern the outlines of a sonata-form exposition: a ternary main theme (mm. 33–52) leads first to a PAC and then repeats the cadential progression but fails to bring it to a conclusion; a transition (mm. 53–82) soon settles on an HC and is followed by a lengthy standing on the dominant and five measures of caesura-fill; and a subordinate theme in the form of a small ternary (mm. 81–99) paraphrases the melody of Giulietta's "Ah! non poss'io partir" from the beginning of Act Two, presented by the woodwind and preceded by a one-measure prefix. Yet this exposition is merely "rhetorical," to use Hepokoski and Darcy's term: the familiar sequence of formal units is not supported by the expected tonal infrastructure.[42] Both the main and the subordinate themes are in the tonic, much as one would expect in the tutti exposition of a classical concerto first movement – an analogy that has limited relevance, if only because in Bellini's overture, a modulating second exposition never ensues.

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[42] Hepokoski and Darcy, *Elements of Sonata Theory*, 16.

Example 2.5. Bellini, overture to *I Capuleti e i Montecchi*: crescendo (mm. 99–129).
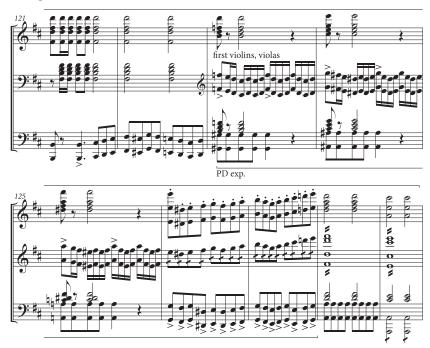

The nonmodulating exposition is only one of the unusual aspects of the overall form. Rather than beginning with a slow introduction, Bellini's overture opens with an in-tempo introduction that appears entirely over a dominant pedal (mm. 1–32). A large portion of this introduction is taken up by music that, while not a Rossini crescendo in the strict sense, is strongly reminiscent of it: a gradual increase in dynamic level and instrumentation

Example 2.5. (cont.)

spread out over twenty-three measures, alternating between tonic and dominant (first per bar, then per half-bar). What distinguishes this passage from a Rossini crescendo is the variety in melodic-motivic material as well as, of course, the underlying dominant pedal. Eight measures from the opening stages of this crescendo-like passage come back after the rhetorical exposition, where they prolong the unresolved dominant at the end of the (true) crescendo and initiate another crescendo-like passage (mm. 130–48). This buildup leads not, as expected, to a recapitulation, but to a return of only the cadential

Example 2.5. (cont.)

portion of the main theme (mm. 149–53) followed by a brief coda (mm. 153–66). Neither the subordinate theme nor the crescendo ever comes back.

Bellini's overture as a whole obviously does not amount to a sonata or sonatina form. This does not mean, however, that it renders a sonata-form referential framework useless. Rather, the piece can be fruitfully approached using the concept of what I propose to call "localized sonaticization": significant portions of the form do adopt local sonata-form procedures, even though they appear outside of the framework of a complete sonata form. The term "sonaticization" does not necessarily imply that Bellini somehow intended to bring his overture closer to sonata form (had that been what he wanted, chances are that he would simply have written an overture in sonata form). The term refers merely to the use of familiar and recognizable strategies that a composer may have chosen to apply when (and only when) they appeared convenient in the form at hand. This is most obviously the case for mm. 33–99, which mimic the rhetoric (if not the harmonic structure) of a sonata-form exposition. But even the absence of a recapitulation paradoxically follows sonata-form logic. Since the exposition does not present a tonal conflict that needs to be resolved, nor any thematic material that was stated off-tonic that has to return in the tonic, the form does not require a recapitulation.

The absence of the form typically associated with the Rossini archetype has consequences for the position and function of the crescendo. In Bellini's overture, the crescendo appears not twice, but only once, and it comes not at the end of the form, but only in the middle. Furthermore it is combined with two crescendo-like passages that significantly reduce the effect of the actual crescendo. Whereas in Rossini, the crescendo is distinct from all other music in the overture, here the crescendo proliferates across the entire form – close to half of the overture is part of a crescendo of some sort. The harmonic role of Bellini's crescendo, finally, is exactly opposite to that of the crescendo in a Rossini exposition. Rather than prolonging the subordinate key, it prolongs the tonic, counterbalancing the two crescendi in the dominant that surround it.

* * *

In spite of their considerable differences, Auber's, Schubert's, and Bellini's overtures are highly characteristic of the compositional reception of Rossini's overtures. All three allude to Rossini by means of isolated formal units that are recognizably modeled upon modules from his archetype – most obviously, the crescendo. While this remained a common practice at least until the middle of the nineteenth century (a late example is the overture to Verdi's *Stiffelio* of 1850, reworked as *Aroldo* in 1857), wholesale adaptations of the Rossini formula in its entirety seem to have been rare.[43] This is surprising, since one would expect that exactly because of its formulaic nature, the overall form of the archetypical Rossini overture would be the aspect that best lent itself to quasi-mechanical copying.

Paradoxically, then, Rossini's formula was inimitable. No composer but Rossini himself was able to copy it (or was interested in doing so); the formula as a whole remains very much his own. Moreover, in the absence of the overall framework of the Rossini archetype, its constituent parts are also transformed. Even when isolated features of Rossini's overtures were copied by other composers, they appeared modified in their internal organization, their formal function, or both (again, Auber's, Schubert's, and Bellini's use of the crescendo is typical). From that point of view, Rossini's much-maligned formula was not just a mechanical series of slots that could be filled with musical content more or less at will, and the relationship between the parts and the whole in a Rossini overture is not quite as arbitrary as it initially seems.

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[43] Two works that come relatively close are the overture to *La Dame blanche* by François-Adrien Boieldieu (1825) and the overture to Meyerbeer's *Emma di Resburgo* (1819), reused in 1826 for the French version of *Marguérite d'Anjou*.

III | Potpourri Overtures

Potpourri as Form and Procedure

At the opposite end of the spectrum from the formulaic Rossini overture stands what was known in the nineteenth century as a "potpourri" overture. In the broadest sense, the term "potpourri" could denote any collection of melodies from one or more preexisting sources, ranging from medleys based on popular operas to compilations of tunes from works by different composers. Intended for domestic use or for public performance, potpourris of all sorts and for all manner of ensembles were extremely popular throughout the nineteenth century and into the twentieth.

In spite of its popularity, the potpourri met with outright dismissal from many writers. Jérôme-Joseph de Momigny described it in 1818 as "the genre most accessible to those who know nothing," while Gustav Schilling in 1835 complained about "a motley mishmash lacking any artistic unity." And Schopenhauer in 1851 quipped that it was a "harlequin's jacket patched together out of rags that are cut from the coats of respectable people—a veritable disgrace that should be forbidden by the police."[1] Merely to invoke the term "potpourri," so it would seem, was to express aesthetic condemnation.

When applied to the overture, the term potpourri refers in the first place to the sustained reliance on melodic material used more extensively in the opera (or in the rarer case of a theater overture, the incidental music) that follows. In many cases, this reliance may well have been dramatically motivated. As we saw in Chapter I, including material from the opera in the overture was a way of tightening the connection between the two. But many composers may also have had practical or commercial motives. It was standard practice for potpourris of an opera's most appealing tunes to be produced immediately after (or even before) the first performance, usually by someone other than the composer and often in versions

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[1] Jérôme-Joseph de Momigny, "Pot-Pourri," in *Encyclopédie méthodique: Musique*, vol. II (Paris: Pancoucke, 1818), 280; Gustav Schilling, *Encyclopädie der gesammten musikalischen Wissenschaften, oder Universal-Lexicon der Tonkunst* (Stuttgart: Köhler, 1840), II: 528; Arthur Schopenhauer, "Zur Metaphysik des Schönen und Aesthetik," 514.

for various ensembles. If the overture itself incorporated music from the opera, it could do double duty as an overture and as a selection of popular highlights.

Potpourri overtures are distinct from the older tradition of overtures that prefigure a limited number of key moments from the opera (as in Mozart's *Don Giovanni* or Beethoven's *Leonore* overtures). We have seen in Chapter I that critics rarely objected to this, especially not if the material from the opera appeared only in the slow introduction.[2] What these same critics did bemoan was the tendency in later overtures to extend the reliance on thematic material from the opera across the entire overture. From here it is only a small step to a second central characteristic of the potpourri overture: its supposed formlessness (in the sense of absence of a hierarchically organized standard form), resulting from the unregulated juxtaposition of preexisting melodies. August Gathy made the connection between both aspects in his widely read *Musikalisches Conversations-Lexikon* of 1835. "As a result of the mechanical concatenation of important melodies from the main work," he wrote, "the overture lost all unity and dignity and eventually degenerated to a mere table of contents."[3]

Gathy's use of the terms "(loss of) unity" and "mechanical concatenation" makes it plain that his comments, which are representative of the critical *communis opinio* at the time, draw on the same aesthetics of organicism that informed the objections to Rossini's overtures discussed in Chapter II.[4] But there is a paradox here. In Rossini's overtures, the perceived lack of unity went hand in hand with complaints about an insufficient connection to the opera and a formulaic treatment of form. The lack of unity in a potpourri overture, by contrast, was typically blamed on too strong a reliance on the opera and on an excessively loose large-scale

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[2] Similar procedures were quite common in French overtures, especially to opéras-comiques, in the second half of the eighteenth and the early nineteenth century. On such "ouvertures à citation," see Patrick Taïeb, *L'Ouverture d'opéra en France: de Monsigny à Méhul* (Paris: Société française de musicologie, 2007), 107 and 392–96.

[3] August Gathy, "Ouvertüre," in *Musikalisches Conversations-Lexikon. Encyklopädie der gesammten Musik-Wissenschaft für Künstler, Kunstfreunde und Gebildete* (Hamburg: Niemeyer, 1835, enl. 2nd edn 1840), 344. Gathy's statement was reproduced verbatim in the entry "Ouvertüre" in Eduard Bernsdorf, *Neues Universal-Lexikon der Tonkunst*, vol. III (Dresden: Schaefer, 1857), 102. See also Ferdinand Hand, *Ästhetik der Tonkunst*, vol. II, 341.

[4] Carl Klingemann described the overture to the opera *Maya und Alpino* by Joseph Wolfram as "unorganically constructed" in BAMZ 4 (1827): 301. Almost twenty years later, Hanslick, too, would insist on the "artistic combination of these often very contrasting moments [drawn from the opera] into a musically rounded unity" in his review of Wagner's *Tannhäuser* in WAMZ 6 (1846): 590.

form. What both overture types have in common, of course, is that they are mechanical in the sense of "carelessly put together" – Rossini's overtures because their form is always the same, potpourri overtures because there is, apparently, no form at all.

The causal relationship Gathy suggests between an overture's material dependence on the opera and an undesirable formal looseness is typical of the mid-nineteenth-century understanding of the potpourri overture. Nonetheless, it is worth distinguishing between these two aspects, which I will call "potpourri procedure" and "potpourri form" respectively. For one thing, both aspects do not share the same status. If an overture is in potpourri form, then that form is integral to it regardless of the circumstances of its performance or reception: the overture appears as a concatenation of contrasting sections, both when performed together with the opera and when heard separately. By contrast, potpourri procedure, as Patrick Taïeb has pointed out, may very well remain unnoticed to a listener not previously acquainted with the opera.[5] More importantly, although both aspects do often go together, each may also occur without the other. Not every potpourri overture consists of a loose concatenation of unrelated sections that are all (or almost all) based on material from the opera. Another option is for an overture to use thematic material from the opera for several of its themes but still be in sonata form. And conversely, an overture may consist of a succession of largely unrelated sections without any of them being based on material from the opera.

These three options are best understood not as fixed categories but rather as benchmarks in a two-dimensional field. With regards to both the potpourri procedure and the form, the continuum of possibilities ranges from a complete material dependence on the opera to a complete independence of it on the one hand, and from a loose concatenation to a tight-knit sonata form on the other. The position of a specific overture on one of these continua is independent from its position on the other.

This independence does not mean that potpourri procedure and form do not interact. In the nineteenth century, that interaction was often cast in negative terms: excessive reliance on the opera and the concomitant diversity of thematic material was seen as a threat to an overture's formal integrity. Form's role in the interaction, from this point of view, is passive. All it can do is lapse into formlessness under the pressure of

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[5] Taïeb, *L'Ouverture d'opéra en France*, 109.

the thematic abundance. In the five analytical case studies that follow, I attribute form in potpourri overtures a more active role. How does it react to the pressure of the potpourri procedure? What modifications does sonata form undergo to prevent it from becoming an empty container for preexisting material? And what principles govern the form of potpourri overtures that, at first sight, have little or nothing to do with sonata form?

Weber: *Oberon*

The composer generally regarded in nineteenth-century Germany as the one who popularized the potpourri overture was Carl Maria von Weber.[6] According to Gottfried Wilhelm Fink, it was he who "turned the well-made unified overture into a potpourri by taking all kinds of melodies from the opera and stringing them together with curious linking passages [seltsame Übergänge]."[7] Weber already made use of extensive thematic borrowings in several of his lesser-known overtures, from the one-act Singspiel *Abu Hassan* (1811, rev. 1823) to the play *Preciosa* (1820). The most striking cases, however, and surely the ones that contemporaneous writers had in mind, are the overtures to his three most influential operas, *Der Freischütz* (1821), *Euryanthe* (1823), and *Oberon* (1826).

The overture to *Oberon* – Weber's last – is exemplary. Nearly all of its themes and motives are borrowed from the opera. Example 3.1 shows the incipits of these themes or motives in the form in which they appear in the overture. The opening horn call returns literally at various points in the opera (both "diegetically" as the sound of Oberon's horn and "non-diegetically" as a symbol for Oberon himself) and also becomes part of the motivic substance of several numbers. The motive presented by the flutes and clarinets in mm. 6–7 comes from the introduction to Act One, where it is associated with the elves. The passage in mm. 11–15 is lifted from the Marcia maestoso in the Act Three finale, the melody that opens the overture's fast section (m. 23) is derived from the end of the Quartet in Act Two, and the lyrical clarinet melody at m. 65 is a variant of a melody sung by the male protagonist Huon in his aria in Act One. Finally, both the

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[6] An important precedent is the overture to Joseph Weigl's *Die Schweizerfamilie* (1809), in which the slow introduction, the main theme, and the subordinate theme are all drawn from the opera.

[7] Fink, "Ouverture," 17. See also Gathy, *Musikalisches Conversations-Lexikon*, 344; AMZ 32 (1830): 648; and *Niederrheinische Musik-Zeitung* 3 (1855): 210.
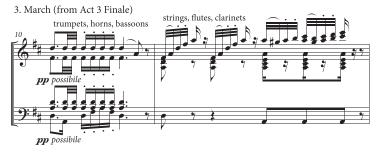
Example 3.1. Weber, overture to *Oberon*: themes borrowed from the opera.

1. Oberon's horn

2. Elves motive (from Act 1 Introduction)

3. March (from Act 3 Finale)

4. From end of Act 4 Quartet

melody first heard at m. 81 and its later transformation at m. 191 come from the aria of Reiza, the female protagonist, in Act Two.

In spite of this sustained reliance on the opera, the *Oberon* overture is strongly rooted in the conventions of sonata form. The potpourri procedure, that is to say, appears here without potpourri form. The horn call, the elves motive, and the march are all part of a slow introduction (mm. 1–22). The fiery tune that launches the fast section functions as the main theme

Example 3.1. (cont.)

5. From Huon's Aria (Act 1)

6. From Reiza's Aria (Act 2)

and the beginning of the transition of a sonata-form exposition (mm. 23–55), while Huon's and Reiza's melodies – both in the dominant – constitute the subordinate theme group (mm. 65–101). Between the end of the transition and the beginning of the subordinate theme group, the horn call and the elves motive return as part of an ingenious caesura-fill (mm. 55–64).

By the time the exposition reaches its (weakly articulated) concluding cadence at m. 101, all the material derived from the opera has been presented, and the three melodies that function as themes in the exposition are extensively reused, varied, and developed later in the form. Only the passage in mm. 117–22 and the motive first presented at m. 123 are unrelated to any of the exposition's themes (or, for that matter, to the opera). From the point of view of the development and recapitulation, the potpourri procedure is, therefore, irrelevant: their relationship to the exposition is not influenced by the dependence of the exposition's themes on the opera.

Several contemporary commentators nonetheless considered the form of Weber's *Oberon* overture flawed. In his discussion of overtures in the fourth volume of *Die Lehre von der musikalischen Komposition*, A. B. Marx even chose the *Oberon* overture as a model of what could go wrong in a potpourri overture.[8] For Marx, Weber's overture suffered from a lack of internal motivation. As we saw in Chapter I, Marx was

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[8] Marx, *Lehre*, IV, 410–12.

not against thematic borrowing from the opera per se. He believed, however, that borrowed material could lead to a successful form only if it was sufficiently meaningful in and of itself, regardless of any dramatic significance it accrued in the opera. The potpourri procedure became problematic when the dependence on the opera stood in the way of the overture's "unity of mold [Guss] and effect [Wirkung]," even if that overture was outwardly in sonata form.[9]

Marx has nothing but praise for Weber's slow introduction and the beginning of his exposition. With the entry of the first subordinate theme at m. 65, though, he finds that "the overture's noble momentum [Schwung] is broken."[10] For him, this theme is "not meaningful [bedeutend] enough" to stand next to the main theme that precedes it.[11] It is so "foreign" to the rest of the composition and especially the main theme, he writes, that it appears attached to [angehängt], rather than developed from, the music that comes before. The link right before the subordinate theme is strained (the word Marx uses is "Erlahmung" – paralysis), as if Weber knows which tune he wants to write next but not how to get there.

Even though they remain implicit, the premises with which Marx operates are organicist: the subordinate theme should not be attached mechanically to the main theme but organically grow from it. In a related passage in his Beethoven monograph from over a decade later, Marx is more explicit. There, he criticizes the *Leonore II* overture for using the melody from Florestan's aria in Act Two as the subordinate theme, because "this subordinate theme is foreign to the main theme."[12] Marx then adds that after Beethoven, "Weber would assemble his overtures, in the manner of a potpourri, from foreign fragments [Stücken] that prefigure the opera" and distinguishes this procedure from Beethoven's usual practice of creating works that are "organic."[13]

Marx's position was not unique. We already saw how Fink complained about the "curious linking passages" in Weber's overtures, and in a review in the *Berliner allgemeine musikalische Zeitung*, Ludwig Rellstab noted that in the *Oberon* overture, "the flow of the whole falters" in spite of Weber's manifold attempts "to cover the grooves [Fugen] and gaps."[14] To be sure, not everyone shared this negative evaluation, and for each writer condemning Weber's overtures, there was another singling Weber out as the only composer to have successfully integrated the potpourri procedure

[9] Ibid., 410.   [10] Ibid., 411.
[11] On Marx's views of the relationship between main and subordinate theme, see Chapter V.
[12] Marx, *Ludwig van Beethoven: Leben und Schaffen* (Berlin: Janke, 1859), vol. I, 353.
[13] Ibid., 353–54.   [14] BAMZ 5 (1828): 5.

with sonata form.[15] Nonetheless, even authors less critical of Weber's overtures avoided organicist language to describe them. Berlioz, for instance, used the metaphor of the "melting pot."[16]

Even if it is true that Weber's overture fails to meet the gold standard of the nineteenth-century aesthetic of organicism, it would be inaccurate to consider its form a mere mold – an empty sonata-form scheme whose individual slots are "mechanically" filled with material drawn from the opera. As I indicated above, no new material from the opera is used once the exposition is over. More importantly, the *Oberon* overture is not schematic at all. Instead it has a highly individual form that cannot be reduced to any of the textbook models that would gain currency in the decades following the work's composition.

Weber's most spectacular move, formally speaking, is to recompose the recapitulation. The main theme and the beginning of the transition return unchanged in comparison to the exposition. This extreme regularity at the onset of the recapitulation, however, only serves to highlight what happens in its second half: at m. 182, Weber curtails the transition and skips subordinate theme 1 entirely, instead leaping straight to a transformed version of subordinate theme 2. Joel Haney has suggested that the recomposed recapitulation is connected to what happens in the final stages of the development. At m. 141, the model-sequence-fragmentation technique typical of an early nineteenth-century development core gives way to a return of the beginning of subordinate theme 1, first in ♭VII and then, after some more developmental activity, in III (m. 154) and I (m. 158).[17] It would be an exaggeration to understand the relationship between the return of the subordinate theme in the tonic at the end of the development and its absence from the recapitulation in terms of organic causality. The theme is not omitted from the recapitulation "because" part of it already appeared in the tonic at the end of the development. Nonetheless, it seems undeniable that both moments are part of a larger strategy whose goal is to avoid a schematic parallelism between the exposition and the recapitulation. And that strategy is essentially independent from the overture's thematic connections to the opera.

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[15] See for instance Johann Christian Lobe, *Compositions-Lehre, oder umfassende Theorie von der thematischen Arbeit und den modernen Instrumentalformen* (Weimar: Voigt, 1844), 165–66; WAMZ 6 (1846): 590; and *Niederrheinische Musik-Zeitung* 3 (1855): 210–11.

[16] *Journal des débats*, 27 September 1835: [1].

[17] Joel Haney, "Navigating Sonata Space in Mendelssohn's *Meeresstille und glückliche Fahrt*," *19th-Century Music* 28 (2004): 124–25. Haney is building upon the work of James Hepokoski here; see the latter's "Beyond the Sonata Principle," *Journal of the American Musicological Society* 55 (2002): 134–39.

Mendelssohn: *Ouvertüre zum Sommernachtstraum*

It is interesting to compare Weber's *Oberon* overture and Marx's critique of it with the counterexample of Mendelssohn's *Ouvertüre zum Sommernachtstraum* (1826) for more than one reason. Not only did Mendelssohn write his overture based on Shakespeare's *Midsummer Night's Dream* in the same year that Weber wrote his last opera, he was also probably influenced by it.[18] Near the end of the younger composer's overture, there even appears what is often taken to be an overt reference to *Oberon*. The famous transformation of the transition's head motive (mm. 62–66) in the coda of the *Sommernachtstraum* overture is almost identical to a melody from the Mermaid's Song near the end of Act Two in Weber's opera. Example 3.2 illustrates how Mendelssohn leaves Weber's melody intact, altering only its harmonization (thus tacitly correcting the parallel fifths between the outer voices in the original). Marx, for his part, purportedly played a more than casual role in the composition of Mendelssohn's overture, and it seems safe to assume that by the time the overture reached its definitive form, he was entirely satisfied with it.[19] The question then becomes how Mendelssohn managed to avoid the pitfalls that Weber, at least in Marx's view, did not. How, if at all, does Mendelssohn's overture live up to the standards of the early nineteenth-century aesthetic of organicism?

The outline in Table 3.1 suggests that Mendelssohn's overture is a more straightforward sonata form than Weber's. What the overview fails to transmit, however, is the sheer thematic abundance. Mendelssohn himself, according to Marx's account, already exclaimed on a sunny afternoon in the center of Berlin that the overture was "too full," and that concern has been echoed by writers on the piece ever since.[20] While the main theme that follows the motto-like thematic introduction is characterized by an extreme motivic economy, the tutti affirmation at the beginning of the

[18] Mendelssohn participated in a performance of the *Oberon* overture in Berlin in 1826 and may have had access to the score of the rest of the opera before its publication. See R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures* (Cambridge: Cambridge University Press, 1993), 40–42.

[19] See Judith Silber Ballan, "Marxian Programmatic Music: A Stage in Mendelssohn's Musical Development," in R. Larry Todd (ed.), *Mendelssohn Studies* (Cambridge: Cambridge University Press, 1992), 150–51 and Todd, *Mendelssohn: The Hebrides*, 12–15.

[20] Cited in Todd, *Mendelssohn: The Hebrides*, 13. See also Friedhelm Krummacher "'. . . fein und geistreich genug'. Versuch über Mendelssohns Musik zum Sommernachtstraum," in Carl Dahlhaus (ed.), *Das Problem Mendelssohn* (Regensburg: Bosse, 1974), 108.

Example 3.2. Mermaids' Song from Weber's *Oberon* and quotations in Mendelssohn's *Ouvertüre zum Sommernachtstraum.*

transition unleashes an unstoppable flow of ideas: the transition presents four, the subordinate theme group at least five (mm. 62–66, 70–74, 78–84, and 84–86; and 130–33, 138–42, 166–68, 198–201, and 206–09). By the end of the exposition, Mendelssohn has introduced no fewer than eleven very different, strongly profiled and memorable motivic or thematic ideas. Example 3.3 shows the beginning of each of them.

Adding to the impression of a boundless flow of thematic material is the formal organization of Part Two of the exposition. As analyzed in Table 3.2, the subordinate theme group begins regularly enough with what seems to be the presentation of a compound sentence: a four-measure compound basic idea and its repetition (mm. 130–38) that relate to each other as what James Hepokoski and Warren Darcy have called

Table 3.1 Mendelssohn, *Ouvertüre zum Sommernachtstraum*: Overview

EXPOSITION				
1–7	8–62	62–129	130–238	238–50
Thematic Intro	Main Theme	Transition	Subordinate Theme Group	Codetta
I	i		V	
	I:PAC	**V:HC**	**V:PAC** (covered)	

	DEVELOPMENT		
	250–333	334–94	
	Part 1	Part 2	
	v	**vi:PAC**	

RECAPITULATION				
394–403	404–49		450–586	586–620
Thematic Intro	Main Theme⇒Transition		Subordinate Theme Group	Codetta
I	i		I	
		I:HC	**I:PAC**	

	CODA			
	620–42	643–57	658–62	663–81
	Main Theme	Link	Cadential Progression	Transformation
	I			
			I:PAC	

682–86
Thematic Intro
I

"loops."[21] This presentation is, however, abandoned: it is not followed by a continuation, but by a new presentation, again eight measures long (mm. 138–46). Only this second presentation leads to the expected continuation and cadence (mm. 146–54).[22] After the cadence, the presentation is

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[21] Hepokoski and Darcy, *Elements of Sonata Theory*, 80–86.

[22] It is not impossible to hear the whole of mm. 130–54 as one large sentence with a sentential continuation (m. 138 marking the beginning of the continuation), but there are two problems with this interpretation: the unit size at the beginning of the continuation equals that in the presentation, and there is a tonic pedal in mm. 138–45.

Example 3.3. Mendelssohn, *Ouvertüre zum Sommernachtstraum*: thematic ideas in the exposition.

repeated and combined with a new, longer, and internally more diverse continuation that also leads to a PAC (mm. 154–74). Next, the concluding portion of this new continuation is repeated and expanded (mm. 174–94). Its goal this time is not a cadence, but a tonic arrival. Since there is no cadence, this cannot be the end of a theme, at least not according to

Example 3.3. (cont.)

Table 3.2 Mendelssohn, *Ouvertüre zum Sommernachtstraum*: Overview of the Subordinate Theme Group

Theme Fragment	Complete Theme (compound sentence)		Complete Theme (compound sentence)		Theme Fragment
130–38 compound pres. (loops) **V**	138–46 pres.	146–54 cont.	154–61 pres. (cf. 138ff.)	162–74 cont.	174–94 end of cont. (↗, exp.)
no cad.		**V:PAC**		**V:PAC**	no cad.

Complete Theme (compound sentence)				Complete Theme (compound sentence) (ST⇐codetta)
194–97 prefix	198–205 pres.	206–10 cont.	210–22 cont. (↗, exp.)	222–38
	(EC)	**V:IAC**		**V:PAC**

classical criteria.[23] What follows at m. 194 nonetheless has the hallmarks of a new beginning: a four-measure prefix, then a complete sentence with

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[23] That subordinate themes end with a PAC is an axiom in both William Caplin's and Hepokoski and Darcy's theories. See Caplin, *Classical Form*, 97 and Hepokoski and Darcy, *Elements of Sonata Theory*, 117, 139.

expanded continuation. The return of thematic material from the transition at m. 222 seems to signal the beginning of the codetta. However, full closure still has not been attained: the cadence at m. 222 is an IAC, not a PAC.[24] Consequently, the first two apparent codetta modules are retrospectively reinterpreted as the presentation of a new compound sentence, and it is only the ensuing continuation that finally leads to a PAC (covered by the $\hat{3}$ in the upper woodwind). In sum, the overall form of the subordinate theme is distinctly loose. It includes four complete themes, the second of which begins as a repetition of the first, and the last of which begins as a codetta. Preceding the first and following the second theme are two theme fragments. And while the first half of the subordinate theme group is cast in a homogeneous lyrical vein, the second theme fragment breaks the texture open, and the third theme constitutes a rupture with what came before.

In an important essay on Mendelssohn's *Sommernachtstraum*, Friedhelm Krummacher emphasizes the overture's "seemingly loose concatenation [Reihung] of highly graphic ideas [plastische Einfälle]." The sonata-form layout, he argues, has become "a container [Gehäuse] of secondary importance" to such an extent that "it would hardly be an exaggeration to state that the form could look different without any loss of quality." Krummacher even goes so far as to suggest obliquely that Mendelssohn's overture is not entirely unlike a potpourri overture.[25]

This last issue already crops up in several accounts of the *Sommernachtstraum* overture by Mendelssohn's contemporaries. The themes failed to make sense on their own (that is, without prior knowledge of Shakespeare's play), in spite of their graphic nature – or perhaps because of it. Mendelssohn's former teacher Carl Friedrich Zelter wrote in a letter to the composer's father that "the main idea in the *Sommernachtstraum* [overture] lies outside the music. It is not just that it helps to know the play, one *has* to know it."[26] And reviewing an 1831 performance in Munich, a correspondent for the *Allgemeine musikalische Zeitung* considered that the overture was "only half understandable" to listeners who had not seen or read the play.[27] Mendelssohn himself, even

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[24] Expositions whose final cadence is an IAC rather than a PAC seem to be more common in this repertoire than in earlier ones. Nonetheless, I follow the rule that an IAC comes into consideration as the end of a subordinate theme only if there is no PAC in the vicinity.

[25] Krummacher, "'Fein und geistreich genug'," 108, 110.

[26] Cited in Eric Werner, *Mendelssohn. Leben und Werk in neuer Sicht* (Zurich: Atlantis, 1980), 111 (emphasis in original).

[27] AMZ 34 (1832): 57–58. Similar comments abound in other reviews. See, for example, AMZ 35 (1833): 204 and NZ 8 (1838): 139.

though famously reticent to talk about his music, readily acknowledged in a letter to his publisher Breitkopf that this was a "characteristic" overture and that listeners would find a summary of the program helpful: "[The overture] closely follows the play, and therefore it might be appropriate to indicate the main points of the drama, so that the audience may either recall the Shakespeare or get some idea of the play."[28]

It will have become clear from the preceding paragraphs that the same terms can be, and have been, applied to Mendelssohn's overture that were used to talk about Weber's: a high degree of formal looseness, an abundance of contrasting thematic material, and a lack of independence from the larger entity (in this case the play) with which it is associated. The fundamental difference between both pieces is that whereas Weber's *Oberon* overture is an opera overture that was written after the completion of the rest of the opera and that was intended to be performed along with it, Mendelssohn's *Sommernachtstraum* overture was conceived, published, and performed as a concert piece. No matter how strongly inspired by Shakespeare's play it may have been, it *cannot* be a potpourri overture simply because there was no larger preexisting musical entity from which to draw its materials; no matter how diverse and graphic its thematic material, all of it was newly composed (except for the Weber quote in the coda).

However, Mendelssohn's overture leads what Christian Martin Schmidt has called a double "aesthetic existence."[29] In 1842 and 1843 – more than fifteen years after its composition – Mendelssohn expanded it into a complete set of incidental music for Shakespeare's comedy at the personal request of Friedrich Wilhelm IV, King of Prussia. Some of the newly composed music, especially for Act Five, recycles thematic material from the overture. In the incidental music, these themes appear in conjunction with characters and dramatic situations, thus making explicit the poetic meaning that was merely implied in the overture. To be sure, not all of the incidental music is based on the overture, nor do all of the overture's themes return in the incidental music.[30] Nonetheless, to spectators in the 1840s who first heard the *Sommernachtstraum* overture in conjunction

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[28] Cited in Todd, *Mendelssohn: The Hebrides*, 72.

[29] Christian Martin Schmidt, "Einleitung," in Schmidt (ed.), *Felix Mendelssohn Bartholdy: Overtures I* (Wiesbaden: Breitkopf & Härtel, 2006), XII.

[30] The most substantial purely instrumental numbers (the Scherzo, Intermezzo, Nocturne, and Wedding March) are not based on the overture, but they are also not really part of the play in the sense that they are entr'actes. Schumann, in his review of the incidental music, took issue with Mendelssohn's decision to reuse material from the overture. See NZ 20 (1844): 6–7.

with the play and the incidental music and who were perhaps even unaware of its previous existence as a concert overture, it would not have been obvious to see how, exactly, it differed from a potpourri overture *à la manière de* Weber. On the contrary, the connections to the incidental music may very well have seemed a plausible explanation for the overture's looseness and thematic abundance. (And as with a potpourri overture, spectators would have been able to infer all of this only after the fact, i.e., after hearing the complete incidental music.) In a review of the score of the incidental music, August Kahlert described the overture in terms that clearly recall descriptions of potpourri overtures as "an encyclopedia of the characters and situations that appear in the play."[31]

It is perhaps because of this latent proximity to the potpourri that commentators have often felt the need to emphasize the organic unity of the *Sommernachtstraum* overture. Kahlert, in the review cited above, hastened to add that in spite of the overture's quasi-encyclopedic character, all of its elements are "expertly connected into a unity."[32] And Liszt in 1854 found the "organic melding of heterogeneous elements" to be the overture's outstanding feature.[33] Neither Kahlert nor Liszt provided specifics. In the twentieth century, however, writers have gone to great lengths to demonstrate hidden connections between the overture's many themes, attempting to prove that underneath its motley surface, the piece is in fact tightly constructed. One of the earliest, and certainly the best known, is Heinrich Schenker's illustration of "concealed repetitions via augmentation" in *Der freie Satz*.[34]

While varying in the details, all of these analyses take as a starting point a tetrachord descending from $\hat{1}$. The brackets in Example 3.3 mark some of the shapes this tetrachord assumes. As becomes immediately clear, the tetrachord is malleable: it appears in a diatonic minor, a diatonic major, and a chromatic variant. The ultimate origin of the motive, it has been suggested, lies in the long-held chords of the thematic introduction (see the black noteheads in Example 3.3a). In these opening measures, the tetra-

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[31] NBMZ 2 (1848): 305. Note the similarity to Gathy's description of a potpourri overture as a "table of contents" cited earlier.

[32] Ibid.   [33] NZ 40 (1854): 236.

[34] Heinrich Schenker, *Der freie Satz, Anhang: Figurentafeln* (Vienna: Universal Edition, 1935), Fig. 119.9. For other analyses along the same lines, see Georg Kinsky, "Was Mendelssohn Indebted to Weber? An Attempted Solution of an Old Controversy," trans. W. Oliver Strunk, *Musical Quarterly* 19 (1933): 183–84; Werner, *Mendelssohn*, 112–13; and Todd, *Mendelssohn: The Hebrides*, 53–56. Janet Schmalfeldt reproduces and briefly comments on both Schenker's and Todd's analyses in *In the Process of Becoming*, 188–89.

chord is not literally present. It does not take the form of a line in one single instrument but instead jumps from the second flute to the first clarinet to the second clarinet and back to the first, and it does not appear in one of the outer voices but is buried in the middle of the texture. Perhaps because its presence here is much more abstract than elsewhere in the piece, not all analysts trace the tetrachord back to the motto (Schenker, for instance, does not).

Regardless whether one includes the opening measures or not, it is undeniable that many of the ideas shown in Example 3.3 do prominently feature a descending tetrachord starting from 1̂. But what does this say about the piece's "unity"? The emphasis on the motivic connections would seem to confirm Krummacher's point about the form being secondary. If the different incarnations of the tetrachord really are what holds the piece together, then the sonata form remains a mere vessel for a motivic process that could also exist without it. The motivic connections would have been no less – or no more – significant had the thematic shapes appeared in a different order. The functional mobility of the head motive of the transition (thematic idea *c* in Example 3.3) seems to confirm this: this motive, so it would appear, really can pop up anywhere in the form. It is first presented with initiating function at the beginning of the transition (mm. 62–66) and then returns with con-tinuational/cadential function at the very end of the subordinate theme group (mm. 230–38). In the recapitulation, it appears only once, but now with postcadential function as part of the codetta (mm. 586–94). It is this latter function that is confirmed by the transformations of the idea in the coda.

Moreover, to the extent that the motivic unity is "concealed" (to use Schenker's term), it only highlights the thematic variety and abundance that exists on the music's surface. Not all of the ideas listed in Example 3.3, finally, are easily connected to the descending tetrachord. If the tetrachord is what generates unity, does that mean that ideas *d, f, j,* and *k* fall outside the unified whole or even threaten its integrity? One could of course try to connect *all* of the exposition's thematic ideas to the tetrachord.[35] For instance, idea *j* might be said to include a rising diatonic tetrachord. Doing so, however, would mean loosening the criteria for what constitutes a relevant return of the motive to a greater extent than many readers will be

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[35]   Todd also includes thematic ideas *d* and *j* in his "series of metamorphoses" of the tetrachord (which, however, does not include thematic idea *k*). See Todd, *Mendelssohn: The Hebrides*, 55–56.

willing to accept: the greater the range of shapes that are counted as valid instances of the motive, the weaker the case for motivic unity becomes.

The search for organic unity in Mendelssohn's *Sommernachtstraum* overture thus seems to be mostly counterproductive. If anything, it makes clear that an organicist analysis cannot keep the music's thematic profusion under control. This is a problem for organicism more than for Mendelssohn's overture. As was the case for Rossini's overtures discussed in Chapter II, the tension between the work and the prevailing aesthetic ideology of its time neither increases nor diminishes its artistic value; it can only serve to highlight its distinctive characteristics.

Hérold: *Zampa*

The overture to *Oberon* and, in its second incarnation as a theater overture, that to *Ein Sommernachtstraum* can be considered potpourri overtures mainly because of their thematic dependence on the opera or incidental music that follows them. While the extensive borrowings do affect the form, both overtures remain sonata forms: both rely on the potpourri procedure, but neither is a potpourri form. One composition that is often mentioned as an example of the combination of potpourri procedure and potpourri form (and that therefore seems to have met with virtually universal critical condemnation) is the overture to the immensely popular opéra-comique *Zampa, ou la fiancée de marbre* by Ferdinand Hérold, composed in 1831. Berlioz, for instance, in an 1835 review for the *Journal des débats*, summed up his views of the piece in no uncertain terms:

I find the overture bad both for its form and for its content [le fond]. It consists of four or five different motives that are borrowed from the opera and that are strung together without any kind of connection. There is, therefore, no harmony in the whole, no unity. It is a potpourri and not an overture.[36]

Table 3.3 provides a schematic overview of Hérold's overture; Example 3.4 shows the incipit of each of its larger units. The far right column of Table 3.3 illustrates what is perhaps the most striking superficial difference between a potpourri form and a sonata form: the presence of multiple different tempi

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[36] *Journal des débats*, 27 September 1835: [1]. Other sources that refer to the *Zampa* overture as a combination of potpourri procedure and potpourri form include Wagner, "De l'Ouverture," 19; Lobe, *Compositions-Lehre*, 166; and Bernsdorf, "Ouvertüre," 103.

(on top, of course, of the usual tempo change between the introduction and exposition). The *Zampa* overture comprises seven main sections that contrast in tempo as well as thematic content and sometimes also key. These are labeled "themes" 1–5, "finale," and "coda" in the figure and the example. Most of these sections are self-contained: they are formally rounded and conclude with a cadence in the key in which they began (at the end of theme 2, this cadence is substituted by a deceptive cadence), and some of them have their own codetta.[37] Only theme 5 is open-ended. It begins with a period (5a in Table 3.3) in which the antecedent leads to a PAC in the local dominant and the consequent sets up (but repeatedly evades) a PAC in the tonic. Thereupon the section starts to modulate (5b). First the theme's antecedent is restated in F major, then its consequent is expanded and modulates to D major, the key in which it concludes with a PAC that is elided with the finale.

Table 3.3 also makes clear that Berlioz's claim that the tunes are "concatenated . . . without any kind of connection" is inaccurate: the different sections, while obviously contrasting, are not juxtaposed in as unmediated a way as he suggests. In addition to the modulating portion of theme 5, there are also three linking passages that connect the tonally closed themes 1, 2, 3, and 4.[38] These linking passages do not only modulate between the different themes, they also forge the only significant motivic connections in the overture. While linking passage 1 entirely relies on the effect of contrast (both internally and externally), the second half of linking passage 2 reuses the head motive from theme 1, and linking passage 3 recalls linking passage 1, at least gesturally.

The overture's dependence on the opera, too, is more limited than Berlioz has it. Of the overture's ten sections, only three or four rely directly on material borrowed from the opera. Theme 1 figures prominently in the Act One Finale, theme 2 is the refrain of Camille's ballade "D'une haute naissance" in Act One (the melody also returns at the end of the Act Three Finale), and theme 5 is one of the couplets of Zampa's aria "Toi dont la grâce est séduisante" in Act Two (the tune is never sung but it is played by the orchestra). In addition to this, linking passage 1 is

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[37] The deceptive cadence at the end of theme 1 (m. 32) follows a structurally more important PAC at m. 28. The technique is comparable to that used at the end of the main theme in the overture to Bellini's *I Capuleti e i Montecchi* (see Chapter II).

[38] My reason for grouping mm. 198–228 with theme 5 rather than calling them a linking passage is that they use the same material as the preceding theme; this is different from the relationship between all preceding themes and linking passages.

Table 3.3 Hérold, Overture to *Zampa*: Overview

Theme 1 (mm. 1–31) **I** (D major)	ABA A (mm. 1–11): from Act 1 Finale **I:PAC** **+ codetta**	Allegro vivace ed impetuoso ♩=96
Linking passage 1 *(mm. 32–55)*	fragmented modulating **iv:HC**	Andante mesuré ♩=84 [♪=42] – Un peu plus vite
Theme 2 (mm. 56–71) ♭**VI**	periodic theme, repeated from Act 1 Ballade (Camille); also Act 3 Finale ♭**VI:DC**	Andante sans lenteur ♩=100 [♪=50]
Linking passage 2 *(mm. 72–109)*		Animez peu à peu – Animez
Theme 3 (mm. 110–33) **I**	**I:PAC** **+ codetta**	Allegro vivace assai con gran forza ♩=116
Linking passage 3 *(mm. 134–56)*		
Theme 4 (mm. 157–74) **V**	**V:HC**	Plus lent ♩=132 [♪=66]
Theme 5 (mm. 175–228) **V**	5a: period (mm. 175–97) 5b: modulating (mm. 198–228) **I:PAC** **(elided)**	Un peu plus vite ♩=100
Finale (mm. 229–300) **I**		Un peu plus animé ♩=116 – Serrez le mouvement ♩=132
Coda (mm. 301–33) **I**		

Example 3.4. Hérold, overture to *Zampa*: thematic incipits.

related to material associated with the statue coming to life in the Finale of Act One, although it is not a direct quotation. None of the other tunes or motives in the overture, not even the highly cantabile theme 4, ever appear in the opera.

Example 3.4. (cont.)

Theme 5

Finale

Coda

Berlioz may have been misrepresenting Hérold's overture partly in reaction to an account of the piece published in the *Journal des débats* a few years before by Castil-Blaze – Berlioz's opponent and his predecessor as the journal's music critic.[39] In Castil-Blaze's view, the *Zampa* overture is not in potpourri form at all. He insists on understanding it against a sonata-form background. For him, theme 5 is a subordinate theme ("the accessory phrase [la phrase incidente] written in A in the usual manner"). Castil-Blaze does not specify how he understands the preceding portions of the exposition. One possibility might be to interpret theme 3 as the main theme and linking passage 3 as the transition, which does indeed lead to a V:HC that is followed by thirteen measures of standing on the dominant and a medial caesura. Theme 4 could then be understood as a first subordinate theme. Table 3.4 fills in the gaps in Castil-Blaze's analysis. The weak point, of course,

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[39] *Journal des débats*, 6 May 1831: [1].

Table 3.4 Hérold, Overture to *Zampa*: "Sonata-form" Reading (after Castil-Blaze)

MULTI-TEMPO INTRODUCTION [?]

1–31:	Theme 1
32–55:	*Linking passage 1*
56–71:	Theme 2
72–109:	*Linking passage 2*

EXPOSITION

110–33:	Theme 3	=	**Main Theme**	
				I:PAC + codetta
134–56:	*Linking passage 3*	=	**Transition**	
				V:HC + MC
157–74:	Theme 4	=	**Subordinate Theme 1 (V)**	
				V:HC
175–228:	Theme 5	=	**Subordinate Theme 2 (V)**	
			("phrase incidente")	~~**V:PAC**~~
			⇓	
			Retransition	

~~**DEVELOPMENT**~~

~~**RECAPITULATION**~~

CODA ("peroraison") (I)

| 229–300: | Finale |
| 301–33: | Coda |

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is that everything before theme 3 – theme 1, linking passage 1, theme 2, and linking passage 2 – has to be lumped together into a long and internally contrasting "multi-tempo" introduction.

Castil-Blaze apparently thought all of this unproblematic enough not to warrant mention. For him, the real innovation in Hérold's overture lies in what happens *after* the presentation of theme 5 in the dominant. Rather than round off the exposition, he argues, Hérold immediately repeats the subordinate theme in the tonic (Castil-Blaze neglects to point out that the second statement of the theme starts in F major and only then modulates back to D major) and turns it into a build-up to the Finale ("peroraison"), thus bypassing not only the exposition's codetta, but also the entire recapitulation. In doing so, he somewhat perplexingly concludes, Hérold goes far beyond Rossini, who in his overtures omitted only the development.

Castil-Blaze's analysis is extravagant to say the least. As we will see in Chapters IV, VI, and VII, long and internally diverse multitempo introductions, open-ended expositions, and recapitulations that are largely or entirely bypassed are all phenomena that are not unheard of in overtures from the second quarter of the nineteenth century. Yet the combination of all of these in one overture makes one wonder how relevant the referential framework of sonata form really is. If the *Zampa* overture constitutes a sonata deformation (because that is what Castil-Blaze's analysis amounts to), then one would expect sonata form to be invoked more unequivocally at least at some point in the piece.

The most satisfying interpretation probably lies somewhere in the unstable middle between Berlioz's and Castil-Blaze's readings: the *Zampa* overture is neither a pure potpourri form nor a sonata deformation. Instead it is a potpourri form that incorporates localized sonata-form procedures. A considerable portion of the overture (mm. 110–97) has the tonal and cadential structure of a sonata-form exposition, even though the tempo change at m. 157 remains a significant loosening factor. But this localized sonaticization – comparable to that in Bellini's overture to *I Capuleti e i Montecchi* discussed in Chapter II – does not mean that the *Zampa* overture as a whole is in dialogue with sonata form. Over the course of the overture, Hérold moves in and out of a sonata-form modus operandi.

The question remains, then, whether there is any formal principle that underlies the whole. As we saw at the beginning of this chapter, potpourri form is usually defined only in negative terms, that is, as the absence of form in the emphatic sense. This is how Berlioz understands the *Zampa* overture. A more positive approach is to think of the juxtaposition of contrasting tableaux itself as a formal principle.[40] Local contrasts are maximized so as to highlight the inherent appeal of each individual tableau, unencumbered by the demands of some overarching design. Still, this is absence of overarching form as a formal principle; whatever larger plan results from the juxtaposition of contrasting tableaux can never be more than coincidence. It is ironic, then, that in the *Zampa* overture, one of the aspects that most obviously articulate the form as a succession of contrasting tableaux, namely the use of a large number of different tempi, also functions as the unifying device that underlies the

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[40] On the idea of illustrative tableaux as a principle of musical form, see James Hepokoski, "The Second Cycle of Tone Poems," in Charles Youmans (ed.), *The Cambridge Companion to Richard Strauss* (Cambridge: Cambridge University Press, 2010), 78–104.

Table 3.5 Hérold, Overture to *Zampa*: Tempo Dramaturgy

Overarching Accelerando					
Allegro vivace ♩=96	Andante mesuré ♩=42	Andante sans lenteur ♩=50	Animez peu à peu	Animez	**Allegro vivace assai** ♩=116
(m. 1)	(m. 32)	(m. 56)	(m. 72)	(m. 94)	(m. 110)
	Accelerando —————————————————————————→				

(cont.) —————————————————————→			
Plus lent ♩=66	Un peu plus vite ♩=100	**Un peu plus animé** ♩=116	**Serrez le mouvement** ♩=132
(m. 157)	(m. 175)	(m. 229)	(m. 279)
Accelerando 2 ——————————————————————→			

form as a whole. More precisely, the overarching organizing principle in the *Zampa* overture is a carefully managed logic of tempo successions that operates on two distinct levels and that, in my view, is too detailed to be irrelevant.

Table 3.5 visualizes this tempo "dramaturgy." On the largest scale, the overture embodies an accelerando. The tempo that is established as referential at the beginning (♩=96, "Allegro vivace") is first exceeded by the faster "Allegro vivace assai" (♩=116) at m. 110 (theme 3). The faster tempo is regained at m. 229 (the beginning of the finale) and eventually trumped at m. 279 (♩=132, "Serrez le mouvement"), where the fanfare that opens the finale returns. Each of these moments is articulated by a marked thematic statement in the tonic. The overall accelerando is modified by two waves. After the opening section, the tempo drops dramatically at m. 32 ("Andante mesuré," ♩=42) and then gradually picks up and builds over "Andante sans lenteur" (♩=50) at m. 56, "Animez peu à peu" at m. 72, and "Animez" at m. 94 to the first tempo climax at m. 110. The second wave begins at m. 157. There, the tempo again drops to ♩=66 before increasing through ♩=100 ("Un peu plus vite") first to ♩=116 and then to ♩=132.

The tempo dramaturgy in the *Zampa* overture regulates the potpourri form. Describing that form as nothing more than a concatenation would be inaccurate. A concatenation is a chain: the order of elements is random and can be changed at will. This is obviously not the case here. On the contrary,

the tempo dramaturgy depends on the order in which the elements appear. Move one of them, and the entire plan becomes meaningless.[41]

Wagner: *Der fliegende Holländer*

To move from Hérold's ebullient *Zampa* overture to Wagner's deeply serious overture to *Der fliegende Holländer* (1841, rev. 1860) may seem like a bizarre step. In the 1840s and 1850s, however, it was common for Wagner's operatic overtures, especially those to *Rienzi, Der fliegende Holländer*, and *Tannhäuser*, to be considered potpourri overtures.[42] This is surprising given Wagner's own position in the overture debate. In his 1841 essay "De l'Ouverture," Wagner, like Marx, approved of incorporating themes and motives from the opera into the overture, as long as they were able to express their significance regardless of their role in the opera. "The main challenge," he writes, "is to render the drama's characteristic idea through independent musical principles."[43] It is in this respect that the potpourri overture, in Wagner's view, falls short. Having invoked the *Zampa* overture as one of his examples, he writes:

[The principle of the potpourri overture consists in] cutting up isolated images from the opera, less for their significance than for their brilliance [éclat], and lining them up one next to the other . . . One cannot deny that compositions of this kind have a high ability to entertain, but the complete renunciation of an independent artistic idea renders them unworthy of inclusion in the history of noble and high art. It is music made to please, and nothing more.[44]

In the overture to *Der fliegende Holländer*, written only months after "De l'Ouverture," the connections between it and the opera are much closer than Wagner seems to recommend in his essay. The column on the left in Table 3.6 shows the main sections of the overture. The column on the right lists the correspondences between the overture and the opera. Nearly all

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[41] Even though it would be wrong to assume a similar underlying tempo dramaturgy in every potpourri overture, the *Zampa* overture is not unique in this respect. Another example is the overture to Conradin Kreutzer's opera *Melusina* (1833), in which the consecutive sections gradually increase in tempo from Adagio–Maestoso (mm. 1–29) to Andantino (mm. 30–69), Allegro moderato (mm. 70–102), Allegro vivace (mm. 103–80), Più allegro (mm. 180–201), and Presto (202–35). The overture to Auber's *Le Domino noir* (1837) follows a similar principle, albeit on a more rudimentary scale.

[42] See, e.g., WAMZ 6 (1846): 589, NMBZ 1 (1847): 93, NZ 54 (1851): 153–54.

[43] Wagner, "De l'Ouverture," 34.   [44] Ibid., 19.

Table 3.6 Wagner, *Der fliegende Holländer*: Correspondences between the Overture and the Opera

Position in Overture	Corresponding Passages in Opera
mm. 1–64 (Allegro con brio)	– combination of arrival of the Dutchman's ship (act 1 no.1, mm. 259–76) and opening of the Dutchmen's chorus (act 3 no. 7, mm. 478–96); – same material also recurs in Senta's ballad (act 2 no. 4, mm. 311ff.); – "Holländer" motive (mm. 3–5) recurs throughout the opera; – "storm" chords (mm. 13–15) return repeatedly in the opening scene of act 1
mm. 65–78 (Andante)	– Senta's hummed tune (act 2 no. 4, mm. 159–62) and Senta's ballad (act 2 no. 4, mm. 349–63 etc.); – also sporadically (and fragmentarily) later in act 2 (as "Erinnerungsmotiv" for redemption)
mm. 79–96 (Animando un poco)	before the Dutchman's monologue (act 1 no. 1, mm. 289–306)
mm. 97–120 (Tempo I)	Dutchman's aria: "Wie oft in Meeres tiefsten Schlund" (act 1 no. 2, mm. 40–63)
mm. 121–48 (Accelerando)	symphonic development of previously introduced material, only indirectly connected to the opera
mm. 149–66	Dutchman's aria: "Wie oft in Meeres tiefsten Schlund" until "nirgends ein [Grab]" (act 1 no. 2, mm. 81–99)
mm. 167–74	symphonic development of previously introduced material, only indirectly connected to the opera
mm. 175–202	act 1, opening scene (Daland's crew) (m. 27 etc.)
mm. 203–16	act 3, opening scene: sailors' chorus (especially mm. 29ff.)
mm. 217–327	symphonic development of previously introduced material, only indirectly connected to the opera
mm. 328–46	– Senta's ballad (act 2 no. 4, mm. 445ff.) – end of opera (act 3 no. 8, mm. 393–411)
mm. 347–76	expansion of previous section; only indirectly connected to the opera
mm. 377–98	– end of opera (act 3 no. 8, mm. 411–37)

the themes and motives from the former recur in the latter, where they are associated with specific characters, situations, and events. Entire passages have been transplanted, literally or almost so, from the opera to the overture.

The potpourri aspect is not limited to the procedure of borrowing materials from the opera but affects the overture's form as well. The similarities to the formal principles Hérold uses in the *Zampa* overture are striking. The form as it emerges from Table 3.6 is a succession of contrasting tableaux; the juxtaposition of sections in different tempi functions as an important loosening factor; and Wagner's overture, like Hérold's, is locally sonaticized, in that entire groups of tableaux are organized as sections of a sonata form.

The opening, for instance, has often been analysed as a sonata-form exposition. Hepokoski, who has referred to the *Holländer* overture in its entirety as an "extraordinarily provocative sonata deformation,"[45] considers mm. 1–96 the prototype of what he calls a "two-block exposition." The main theme and transition (mm. 1–64) on the one hand, and the subordinate theme (mm. 65–96) on the other, form two starkly opposing blocks that contrast in thematic content, key, tempo, instrumentation, and expression.[46] Measures 1–96 are not the only part of the overture that is organized as a sonata-form exposition. The same is true of mm. 97–216. That passage begins with a main theme in the form of a large-scale sentence (mm. 97–128), comprising a complex eight-measure basic idea, its varied repetition, and sixteen measures of continuation that lead to a PAC in the tonic.[47] The lengthy transitional passage that follows (mm. 129–203) concludes with a standing on the dominant in the relative major. This is followed by the entry of an F major subordinate theme, which is also in the form of a sentence and concludes with a PAC. An expanded repetition of the continuation merges into a passage that is clearly marked as a development and in which different themes and motives are juxtaposed, sequenced, and fragmented.

The suggestion of a sonata form is thus arguably stronger in Wagner's overture than in Hérold's. A paradox arises, however, from the fact that both sections that are structured as sonata-form expositions are mutually exclusive. It would seem that only one of them can be the "true"

[45] James Hepokoski, "Beethoven Reception: the Symphonic Tradition," in Jim Samson (ed.), *The Cambridge History of Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2001), 449.

[46] Id., "Masculine–Feminine," *Musical Times* 135/1818 (1994): 497–98. See also Hepokoski and Darcy, *Elements of Sonata Theory*, 147.

[47] Large-scale sentences in which structures of more than four measures function as the basic idea are not uncommon in mid-nineteenth-century music. See my "Sentences, Sentence Chains, and Sentence Replication: Intra- and Interthematic Formal Functions in Liszt's Weimar Symphonic Poems," *Intégral* 25 (2011): 134–36.

Example 3.5. Wagner, overture to *Der fliegende Holländer*: tonal structure of the first exposition / introduction (mm. 1–96).

exposition. Admittedly, from the vantage point of mm. 97–216, the preceding ninety-six measures can be heard as a lengthy introduction. For even though mm. 1–96 have the rhetorical structure of a sonata-form exposition, they conspicuously lack its tonal-harmonic infrastructure. As the bass reduction in Example 3.5 shows, the apparent subordinate theme in this "first" exposition duly enters in the relative major, but the subordinate key is never confirmed by the expected cadential closure; instead, the theme ends on an HC – or at least a dominant arrival with the value of an HC – in the tonic D minor at m. 78. Not performing what Hepokoski and Darcy have termed the "essential expositional trajectory" ("to propose the initial tonic and then . . . to move to and cadence in a secondary key"),[48] mm. 1–96 violate one of the most fundamental axioms of sonata form. Even though expositions with weakened or even without cadential closure had become a viable option by 1841,[49] writing a subordinate theme group that leads back to the tonic still was an unusually bold move. The tonal situation at the end of the subordinate theme is identical to that in the measures immediately preceding it. The subordinate theme merely feigns a move to the relative major; on a deeper structural level, the entire exposition resides firmly in the tonic.[50] The consequences for the status of the subordinate theme are momentous. When it is over, the form continues as if it had never even been there: the theme appears as a slow interpolation that interrupts the surrounding Allegro but fails to influence its tonal course. It would not be impossible to bypass the subordinate theme altogether and connect directly from m. 64 to m. 97.

After the tonic HC in m. 79 and the subsequent standing on the dominant, no listener who hears mm. 97ff. can get away from the feeling

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[48] Hepokoski and Darcy, *Elements of Sonata Theory*, 17–18.   [49] See Chapter VI.
[50] As in the overture to Bellini's *I Capuleti e i Montecchi*, this pattern may be considered analogous to the tutti exposition in a concerto first-movement form. Yet as was the case there, the relevance of that analogy is limited.

that this is where things really get going – an impression due as much to the return of the fast tempo and the passage's firm rooting in the tonic D minor as to the fact that it begins with the literal quotation of a segment from the Dutchman's monologue in the first act of the opera (from the words "Wie oft im Meeres tiefsten Schlund"). The effect in the monologue is similar to that in the overture: after an orchestral introduction, a recitative, and an orchestral transition, the aria proper begins here.

The impact of the second exposition on the further course of the form, however, is limited. While the development, beginning at m. 217, initially draws mainly on material from the second exposition, the emphasis gradually shifts to material from the first. Its rhetorical goal is the fourfold fragmentary restatement of the subordinate theme from the first exposition. Moreover, once the development is over, material from the second exposition never returns. The only recapitulatory gestures are the apotheosis of the subordinate theme and the return of the main theme of the first exposition.

It would be too simple, therefore, to relegate mm. 1–96 to the status of an introduction. We really are dealing here with two expositions, or at least with a dissociation of function and structure: the first unit functions as an exposition, while the second has the structure of an exposition. Whereas the former goes through the rhetorical gestures and achieves much of the "work" we normally associate with a sonata-form exposition (especially the presentation of the main thematic material), only the latter features the expected succession of specific lower-level formal units in a specific tonal relationship. An additional complication is that the first of these units, which has the function of an exposition – has the tonal structure of an introduction.[51]

Wagner's *Holländer* overture embodies multiple tensions. On the one hand, its reliance on material from the opera goes far beyond what Hérold (and, for that matter, Weber) does. On the other, his overture is sonaticized to a greater extent than Hérold's – without, however, actually becoming a sonata form. Wagner's *Holländer* overture thus holds a precarious middle ground between sonata and potpourri form. Depending on which perspective one chooses to emphasize – or whether one chooses to put Wagner in dialogue with Weber or with Hérold – one can read the *Holländer* overture either as a radical deformation of an assumed sonata form, or as a strongly sonaticized potpourri.

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[51] Thomas Grey aptly describes mm. 1–96 as a "double-function introduction-cum-exposition" in *Richard Wagner: "Der fliegende Holländer"* (Cambridge: Cambridge University Press, 2000), 37.

Rossini: *Guillaume Tell*

All overtures discussed so far in this chapter, regardless whether they are in sonata form, potpourri form, or a mixture of both, rely on the potpourri procedure. Much rarer than either the combination "potpourri procedure – (loosened) sonata form" or the combination "potpourri procedure – (sonaticized) potpourri form" are overtures in potpourri form that do *not* rely on the potpourri procedure – overtures, in other words, that consist of a concatenation of contrasting sections but whose thematic material is not drawn from the opera they introduce. This is perhaps not surprising. In an overture that relies on the potpourri procedure, potpourri form may very well appear as the most appropriate solution, especially when the passages that are selected from the opera strongly contrast with one another. In contrast, inventing a free form that does not rely on preexisting material is arguably a more difficult task than writing a run-of-the-mill sonata form.

One example of the use of potpourri form without the associated potpourri procedure is the overture to Rossini's final opera *Guillaume Tell* (1829). This overture – in the eyes of François-Joseph Fétis one of the most beautiful in existence[52] – consists of a succession of four sections that contrast in thematic content, key, character, tempo, and meter: an Andante cello cantilena in $\frac{3}{4}$ that begins in E minor and continues in E major (mm. 1–47); an Allegro in $\frac{2}{2}$ that reinstates the tonic minor and clearly invokes the storm topos (mm. 48–175); a G major "Ranz des vaches," Andante in $\frac{3}{8}$ (mm. 176–225); and a concluding *pas redoublé* (Allegro vivace, E major, $\frac{2}{4}$) in mm. 226–477. Each of these sections is clearly rounded off before the next one begins. The opening Andante ends on a PAC followed by a codetta, the Allegro on an HC followed by a lengthy standing on the dominant, and the third section again on a PAC with codetta. Mediation between sections is minimal or nonexistent, and once a new section has begun, nothing from the preceding ones ever comes back.

None of these maximally contrasting and highly picturesque tableaux, however, uses material from the opera. While the latter includes several scenes in which music from one of the overture's sections would have been dramatically appropriate, those scenes at most use the same topos, but never the same music (this is most obvious in the pastoral opening of Act One and in the storm scene in Act Four). Musically, the overture is

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[52] *Revue musicale* 6 (1830): 40.

Table 3.7 Rossini, Overture to *Guillaume Tell*: Sonaticization

Cello cantilena (Andante) **i – I**	Storm episode (Allegro) **i**		"Ranz des vaches" (Andante) **III**	*Pas redoublé* (Allegro vivace) **I**
I:PAC		i:HC	III:PAC	I:PAC
1–47 Slow Introduction	48–92 Main Theme	92–175 Transition	176–225 Subordinate Theme	226–47 —
First Movement			*Slow Movement*	*Finale*

entirely independent from the opera – at least in the original four-act version. This changed in the abridged version in three acts that Rossini prepared for the Paris Opéra in 1831. No doubt inspired by the overture's popularity, the composer incorporated the concluding *pas redoublé*, transposed to C major and turned into a chorus, into the finale of Act Three, a move that inverts the usual thematic relationship between an overture and opera.

As in the overtures to *Zampa* and *Der fliegende Holländer*, the pot-pourri form of the *Guillaume Tell* overture is locally sonaticized (see Table 3.7). The succession of a slow opening and a change to Allegro suggest a slow introduction followed by an exposition. It is admittedly difficult to construe the beginning of the Allegro as a main theme, but it is much easier to hear mm. 92–175 as a transition of the tutti affirmation type (the standard procedure in the archetypical Rossini overture) that duly leads to a half cadence (albeit one in the tonic rather than the subordinate key, as would have been the case in the archetype). Tonally, the G major "Ranz des vaches" that follows relates to this transition as a subordinate theme. It would undeniably be a mistake to try to squeeze mm. 48–225 as a whole into the straightjacket of an orthodox sonata-form exposition. That isolated moments (the change in tempo at m. 48, the internal organization of mm. 92–175 as a non-modulating transition, and the tonal relationship between mm. 48–175 and mm. 176–225) mimic familiar sonata-form gestures and strategies, however, seems equally undeniable.

Any correspondence to sonata form is abandoned once the "Ranz des vaches" reaches its conclusion. The *pas redoublé*, obviously, constitutes neither a development nor a recapitulation. What does emerge with the entry of the concluding Allegro vivace is an allusion to the tempo

succession of a multi-movement sonata cycle, with the slow introduction and the Allegro as a first movement, the "Ranz des vaches" as a slow movement, and the *pas redoublé* as a brilliant finale.[53] Rossini's overture is thus sonaticized in two different ways, borrowing elements first of a single-movement form, then of a multimovement cycle. Neither pattern of formal organization controls the entire overture, however, and neither ever obfuscates the underlying series of contrasting tableaux that is at the heart of the potpourri form.

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[53] Berlioz described Rossini's overture as "a symphony in four parts" in *Gazette musicale de Paris* 41 (1834): 326. The overture to Verdi's *Nabucodonosor* (1842) follows a somewhat similar multitempo plan.

IV | Beginning Before the Beginning

Thresholds

The business of overtures, so it would seem, is to begin. An overture that comes at the end seems a contradiction in terms (even though nineteenth-century concert practice was, as we have seen in Chapter I, distinctly liberal when it came to the place of overtures on the program). At the same time, an overture's sense of initiation, even when it does come at the beginning, is qualified. Insofar as an overture has not completely shed its functional roots – that is, whenever it precedes a work or event that is larger and more important than the overture itself – a second, more definitive beginning occurs when the overture is over. From that point of view, an overture fulfills the large-scale formal function of what William Caplin, in reference to Kofi Agawu's "Beginning–Middle–End" paradigm, has dubbed "before-the-beginning": it stands "outside the boundaries of the [form] as defined by [its] structural beginning and end."[1]

An overture thus relates to the larger work or event analogously to the way in which a slow introduction relates to a fast sonata-form movement. Like an overture, a slow introduction is a beginning, yet it is not. It both belongs to and precedes the larger whole of which it is part.[2] The situation becomes more complex when overtures themselves include a slow intro-duction, as is the case in the majority of them (at least in the nineteenth century). When an overture begins with a slow introduction, the latter replicates the preparatory function of the overture as a whole, thus becoming a kind of overture-within-the-overture, the before-the-beginning of the before-the-beginning; and that same function is often replicated once more in the opening measures of a slow introduction. This kind of form-functional *mise-en-abyme* is in itself hardly remarkable. Any given unit in any composition expresses a multitude of coinciding formal functions at different levels; the two-measure basic idea of a main theme in a sonata-form

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[1] Caplin, *Classical Form*, 15; V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton: Princeton University Press, 1991), 51–79.

[2] Compare Marx, *Lehre*, III, 292: "The introduction is . . ., as its name already shows, intended to prepare for and lead to another movement that is considered the main point."

exposition, for instance, is always the beginning of the beginning of the beginning.[3] What is unique about the introduction to an overture is the replication of the preparatory function "before-the-beginning" – a beginning that is not quite the beginning, and thus a formal function that is by its very nature more elusive and more paradoxical than others.

Some of that uniqueness can be captured by the metaphor of a threshold. In architecture, a threshold establishes a boundary between interior and exterior that at once lies outside and forms part of the building to which it gives access. An overture, as part of a larger whole, analogously marks the boundary between the sounding music and the silence (or at least the "non-music") that precedes it. And a slow introduction does the same in relation to an overture. An overture with a slow introduction may in fact involve up to four distinct thresholds. Obviously, a threshold is crossed at the moment when the overture (and with it, its slow introduction) begins, and again when the overture ends and the rest of the larger work or event starts. But there is also a threshold at the moment when the slow introduction gives way to the main part of the overture, and even within the slow introduction, which itself often begins with a small-scale introductory gesture.[4] An overture connects each of these separate liminal moments by stretching them in time and filling that time with music.

The slow introduction arguably is where an overture comes into its own. Nowhere does an overture express its overall function as a threshold more intensely than there. It is not entirely surprising, then, that slow introductions to romantic overtures reflect the fundamental tendencies that are at work within the genre as a whole. Like the overture genre itself, slow introductions to romantic overtures tend towards emancipation from their functional roots. This emancipation manifests itself in three ways. First, a slow introduction is a more standard component of romantic overtures than of overtures from the preceding decades. Romantic overtures that omit the slow introduction exist, but they form a minority, and many of the ones that do compensate for the absence of a slow introduction in some way or other. Only a small number of overtures omit the introductory function altogether. Examples include the overtures to Spohr's *Faust* (1813), Marschner's *Der Vampyr* (1827), Adolphe Adam's *Le Toréador* (1849), and Verdi's *Luisa Miller* (1849), as well as Kalliwoda's Overture No. 3 in C major (1834) and Schumann's *Hermann und Dorothea* (1851).

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[3] Compare William E. Caplin, "What Are Formal Functions?" in Caplin, Hepokoski, and Webster, *Musical Form, Forms & Formenlehre*, 25.

[4] An alternative image is that of multiple curtains lifting. See Gossett, "The Overtures of Rossini," 5–7.

Second, slow introductions in romantic overtures tend to be more substantial than in classical ones. It is not, of course, that there are no elaborate classical introductions, but there are more of them in romantic overtures, and the most substantial of these are significantly longer than their classical counterparts. This is in part a question of genre. Slow introductions in both classical and romantic overtures often take up a larger percentage of the total duration of the piece than in sonata forms in other genres, simply because the use of a nonrepeated exposition (and sometimes also the absence of a development) results in a more compact form. But whereas in Mozart, the slow introduction takes up between 15 and 25 percent of an overture's total duration, slow introductions in romantic overtures often take up closer to a third of the total piece, and sometimes even more. Operatic overtures such as those to Spohr's *Jessonda* (1823), Donizetti's *Roberto Devereux* (Paris version, 1838), and Wagner's *Rienzi* (1840), or Berlioz's concert overtures *Waverley* (1827–28) and *Le Carnaval romain* (1844), have slow introductions that last almost as long as the sonata-form portion of the work. This has consequences for the relationship between the introduction and what follows. As James Hepokoski and Warren Darcy point out, the presence of a slow introduction contributes to the grandeur of the form as a whole.[5] The longer the introduction, the grander that which it introduces. But there is a breaking point. When an introduction becomes disproportionately long, it starts attracting more attention to itself and begins to dwarf the rest of the form.

Finally, and as a consequence of their increased dimensions, slow introductions in romantic overtures often have a full-fledged and tendentially closed musical form. At least theoretically, that is, they are able to function as structurally satisfactory movements in their own right. At the same time, the tendency towards formal self-sufficiency is counteracted by an opposing trend towards integration. As we will see, composers often blur the boundaries between the slow introduction and the rest of the overture, or they forge thematic connections between the two, so that the introduction becomes functionally essential to the form as a whole and cannot be excised without the latter losing some of its internal logic. As a result, it is no longer so obvious that the introduction comes before-the-beginning (and therefore stands "outside the boundaries of the form") in the first place.

My focus in this chapter is on introductions in sonata- or sonatina-form overtures. This does not mean that slow introductions do not occur in overtures that are in potpourri form. For the slow introduction itself, the

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[5] Hepokoski and Darcy, *Elements of Sonata Theory*, 292.

larger form to which it belongs is irrelevant. The internal structure of slow introductions in potpourri-form overtures is not different from those in sonata-form overtures. Moreover, in its immediate context, an initial slow section followed by a fast section will almost invariably constitute a form of sonaticization. It is impossible to know at this point in the form whether the overture as a whole will be in sonata or in potpourri form. From the point of view of the form as a whole, however, the status of a slow introduction is more tenuous in a potpourri form than in a sonata form. Whenever a potpourri-form overture begins with a slow section that gives way to a fast section, the initial impression will be that of an introduction followed by a true beginning. That initial impression is confirmed if what follows the slow section is perceived as a single larger entity, for instance because the fast tempo that kicks in immediately after the slow section is maintained or increased until the end of the overture. This is the case in the overtures to Auber's *Les Diamants de la couronne* (1841) and Franz von Suppé's *Ein Morgen, Ein Mittag und ein Abend in Wien* (1844) and *Dichter und Bauer* (1846). If, however, the apparent slow introduction is followed by multiple sections in contrasting tempi and of roughly equal weight and duration, it may be retrospectively reinterpreted as having functioned as a true beginning after all.

Introduction as Form

Slow introductions have received scant attention in recent theories of classical form. Neither Caplin nor Hepokoski and Darcy devote more than a modest portion of their treatises to the "parageneric space" that occurs before-the-beginning of a large-scale form.[6] Both also remain non-committal about its formal characteristics. For Caplin, slow introductions are "the least predictable . . . of all the large-scale units of classical form," so that it is "difficult to generalize about their internal phrase structure and formal functionality."[7] Hepokoski and Darcy do propose a model comprising "four characteristic zones" within a slow introduction: (1) a "heraldic or annunciatory call to attention," (2) "quieter material, often a brief, lyrical melody," (3) "sequences," and (4) "dominant preparation."[8] Nonetheless, they immediately add the general caveat that "by no means

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[6] "Parageneric spaces" is Hepokoski and Darcy's term for those portions of a sonata-form movement that "set up, momentarily step outside of, or otherwise alter or frame the presentation of the sonata form" (*Elements of Sonata Theory*, 281).

[7] Caplin, *Classical Form*, 203.   [8] Hepokoski and Darcy, *Elements of Sonata Theory*, 297–98.

do all introductions make use of all zones."[9] Significantly, and in contrast to their usual procedure, Hepokoski and Darcy choose not to elaborate on what is more and what is less probable to happen in a slow introduction, save for listing a few strategies that can "perhaps" be considered deformations. They thus suggest, like Caplin, that introductions are less predictable than the other parts of a sonata form.[10]

The reluctance to generalize about the slow introduction may very well reflect a reality of the classical repertoire. Yet it would seem that the situation for romantic overtures, as a repertoire that is not only chronologically distinct from classical form but also limited to one specific genre, is sufficiently different to allow for a more systematic study of formal strategies in slow introductions. As I argued above, slow introductions to romantic overtures in general exhibit a double tendency toward increased proportions and formal self-sufficiency. For this reason, I propose as a tool for analyzing these introductions the heuristic model of a complete and rounded musical form. This heuristic model, which consolidates some of Caplin's and Hepokoski and Darcy's observations about classical slow introductions, comprises five functionally and temporally distinct units: prefatory (before-the-beginning); initiating (beginning); medial (middle); closing (end); and epilogic (after-the-end). These units are articulated and differentiated by means of phrase-structural, cadential, and topical (i.e., melodic-motivic) organization.

Table 4.1 provides an outline of the model. The first unit, "before-the-beginning," is what Caplin calls a "thematic introduction": a brief prefatory gesture that is not part of a theme but that takes on the tempo of the theme it introduces.[11] Like Hepokoski and Darcy's first zone, it is a signal whose function is to attract attention and whose typical surface characteristics include loud dynamics, tutti orchestration, absence of forward momentum, and rudimentary melodic-motivic material (e.g., unison triadic motives in a dotted rhythm). The second unit expresses the formal function of "beginning." It is a theme or theme-like unit of conventional phrase-structural organization that may or may not end with a cadence. Analogous to Hepokoski and Darcy's second zone, it is marked by a drop in dynamic level and by the presentation of more lyrical material. The third unit has medial function. Leading to a point of maximal instability, it takes the form of a continuation, a transition, or a contrasting middle. The middle is fused with an ending function: a cadential progression in the tonic that leads to an HC or an elided PAC, or to what Caplin has called a "dissipated" cadence, in

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[9] Ibid., 297.   [10] Ibid., 299–300.   [11] See Caplin, *Classical Form*, 15.

Table 4.1 An Analytical Model for Slow Introductions in Romantic Overtures

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Before-the-beginning
THEMATIC INTRODUCTION

> NO CADENCE

Beginning
(LYRICAL) THEME
OR THEME-LIKE UNIT

> CADENCE
> (PAC / HC)
> (optional)

Middle
CONTRASTING UNIT/
CONTINUATION/
TRANSITION
(optional)

End
CADENTIAL UNIT

> CADENCE
> (HC / elided PAC/
> dissipated)

After-the-end
POSTCADENTIAL
UNIT (optional)

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which a seeming penultimate dominant turns into an ultimate one.[12] If the slow introduction ends on an authentic or dissipated cadence, the penultimate dominant of the progression may be expanded; if it ends on an HC, it may be followed by a postcadential standing on the dominant.

As Table 4.1 indicates, some of the model's constituent parts are optional. The initiating unit may or may not end with a cadence, there may or may not be a separate medial unit, and there may or may not be an epilogic function. For this reason it is useful to distinguish between a compact "intrathematic" and a more expansive "interthematic" version of the model. In the intrathematic version, all functions are expressed within a single thematic or cadential span; there is only one cadence, at the very end of the introduction (potentially followed, as explained above, by a postcadential unit). The interthematic version includes two cadential spans, the first comprising the prefatory and initiating functions, the second, the medial, concluding, and epilogic functions.

The function of this heuristic model for the analyses that follow is comparable to the concept of "norm" in Hepokoski and Darcy's theory of sonata deformation. Similar to a norm, the heuristic model facilitates the discussion and interpretation of individual cases. And like a norm, it does not lose its relevance when it is not present in its entirety, because it can also function in a negative way as a foil against which the specificity of the individual case stands out in relief. In contrast to a norm, however, the heuristic model is not primarily derived from the repertoire, but abstractly constructed (in that sense it is more like an "ideal type"). Unlike a norm, therefore, it does not depend on statistical prominence in the repertoire. While we will encounter individual cases that strongly resemble the model, whether and how often this is the case is irrelevant to its utility.

Even in introductions that are easy to map onto the heuristic model in its full form, individual realizations of the constituent units can vary considerably, as a comparison of three increasingly elaborate slow introductions by Carl Maria von Weber makes clear. The opening six measures of the overture to the opera *Silvana* (1810, Example 4.1) form a thematic introduction of Hepokoski and Darcy's "heraldic and annunciatory" type that unambiguously expresses the temporal function of before-the-beginning. The typical markers are the unison texture, the dotted rhythms, the fermatas, and the arpeggiation of the tonic triad, as well as the loud tutti at the beginning and the end. Phrase-structurally, this is not a theme. Lacking any form of cadential closure, it

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[12] Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music." Paper read at *The Form Forum*, University of Toronto, 24 October 2013.

Example 4.1. Weber, overture to *Silvana*: slow introduction (mm. 1–28).

remains a theme fragment at most (perhaps a compound basic idea comprising a three-measure basic idea followed by a three-measure contrasting idea).

After the call to attention comes something worth paying attention to: a lyrical theme. This theme expresses the introduction's initiating, medial, and closing functions intrathematically, i.e., within a single cadential span.

Example 4.2. Weber, *Jubel-Ouvertüre*: slow introduction (mm. 1–27).

A presentation in the form of a compound basic idea and its exact repetition is followed by a continuation that gradually foreshortens the unit length and leads seamlessly into a concluding cadential function. The HC at m. 24 is followed by five measures of postcadential standing on the dominant ("after-the-end") that recapture the tutti and the *fortissimo* as

well as, at the very end, the dotted rhythm from the beginning, thus bookending the introduction while at the same time setting up the entry of the exposition's main theme in m. 29.

A less rudimentary version of the same form-functional sequence returns in the *Jubel-Ouvertüre*, written in 1818 for a concert marking the fiftieth anniversary of the ascension to the throne of Friedrich August I of Saxony. As in the *Silvana* overture, the different functional units within the slow introduction are expressed interthematically (see Example 4.2). The first eight measures have prefatory function. In spite of the fuller orchestration, the surface markers are largely the same as in the earlier overture: present are the tutti and *fortissimo*, the dotted rhythms, and the arpeggiation of the tonic triad. As in the *Silvana* overture, moreover, these measures do not form a complete theme: a four-measure compound basic idea is followed by a contrasting four-measure unit (one could perhaps describe it as a "compound contrasting idea"). Even though these eight measures are underpinned by a typical presentational (i.e., tonic-prolongational) progression, they are not followed by a continuation that leads to a cadence, but by a new presentation (mm. 9–16) that again uses the four-measure idea as a basic unit.

This new presentation (characteristically contrasting with the preceding thematic introduction in instrumentation and dynamic level) forms the real beginning and is followed at m. 17 by a continuation. More obviously than in the *Silvana* overture, the continuation leads to a point of greatest form-functional looseness, both in grouping structure and in harmony. The four-measure unit presented in mm. 17–20 is repeated from m. 21 onwards. The opening note of the repetition, however, is slurred not with the rest of the repetition, but with the last note of what came before. That same note, moreover, is held for one extra beat, so that the remainder of the melody is shifted back accordingly. This metrical instability is complemented by a harmonic openness. Because the melody is largely unaccompanied, the IAC at m. 20 is merely implied. The bassoons, violas, and celli play a tenor melody rather than a bass; the bass occupies the register below, as the punctuating interventions of the brass and timpani (mm. 12, 16, and 20) make clear. That bass, however, enters only at the point of tonic arrival in m. 20, without supporting the penultimate dominant in the measure before. Even though the harmony is clarified as the continuation merges into the theme's concluding phrase at m. 23, the cadential situation remains ambiguous. The dominant is now fully harmonized and expanded for four measures, but it is not so clear whether it is the ultimate dominant in a half-cadential progression or the penultimate dominant in an authentic progression that is elided with the beginning of the exposition.

Example 4.3. Weber, overture to *Der Freischütz*: slow introduction (mm. 1–37).

On the surface, the first eight measures of the overture to *Der Freischütz* (1821) differ radically from the preceding examples (see Example 4.3). Gone are the generic dotted-rhythm arpeggio motives with signal character, played tutti and *fortissimo*. What we hear instead is strings and lower woodwind only (albeit still in unison), playing a legato motive that is largely *piano* or *pianissimo*. The twofold crescendo to *forte* only emphasizes the expressive, rather than ceremonial, character of this opening. The novelty of this gesture cannot be overestimated. Not only does it have the

Example 4.3. (cont.)

semantic value of a question mark rather than an exclamation point, but it also makes for an entirely different way of marking the boundary between silence and music. Whereas in the previous cases that threshold was sharply defined by the *fortissimo* entry of the entire orchestra, it remains almost imperceptible in the *Freischütz* overture.

Underneath this surface, however, the opening retains the harmonic and grouping structure of a compound presentation familiar from the *Silvana* and *Jubel* overtures. And as in those earlier works, the first eight measures do not form a complete theme. A structural difference does occur in the following measures, where the initiating, medial, and closing functions are expressed not only at an intrathematic, but also at an interthematic level. The opening eight measures are followed by a full-blown theme (mm. 9–25) that comprises a beginning, middle, and end. At the same time, that theme in its entirety fulfills an initiating function at the interthematic level, its concluding PAC elided with another unit (mm. 25–37) that combines the interthematic medial and closing functions.

The theme itself is preceded by a one-measure prefix and takes the form of a compound period (both the antecedent and the consequent are organized as regular eight-measure sentences). More than for its phrase structure, the

theme is notable for its elementary harmonization. The antecedent uses tonic and dominant in root position throughout, except for the $^6_4$ embellishment over a tonic pedal at the beginning of the continuation and the brief ii^7 at the end of m. 16 that prepares the arrival of the cadential dominant. Within the theme, this emphasis on tonic-dominant polarity makes the move to the subdominant in the consequent (prepared by its own dominant and by the chromatic alteration in the upper voice) sound all the more momentous.

From an interthematic point of view, the theme's rudimentary major-mode harmonic language contrasts with the much more chromatic minor-mode music of the middle that follows it. This chromaticism is one aspect of the overall looseness of the middle section, which, as in the previous example, leads to a point of maximal instability. The agent of the chromatization is the common-tone diminished seventh chord in mm. 26–29, which transforms the tonic major from m. 25 into a C minor triad in second inversion at m. 30. This $^6_4$ chord could initially be taken to signal the arrival of the dominant; it is not hard to imagine how it could have proceeded to a V^7 in the next measure, and then to i. The instability results from the fact that this does not happen. The next measure instead brings ii$^{\varnothing 6}_5$, so that what at first appeared to be a cadential $^6_4$ is reinterpreted as a passing $^6_4$ within a larger pre-dominant function. The pre-dominant is further expanded by V/iv, which resolves deceptively to $\flat$II$^6_4$ and eventually leads to V. (The seeming vii$^{\circ 4}_2$ in m. 35 can be regarded either as part of the preceding pre-dominant function – a iv$^{\circ 6}_5$, as it were – or as including a suspension that delays the arrival of $\hat{5}$ in the bass.) The concluding cadence again defies categorization in the classical system: while the cello line suggests a PAC, the cadence in the rest of the orchestra seems to be of the "dissipated" type.

The introductions to these three overtures by Weber vary considerably in scope (ranging from compact to relatively extended) and material (from generic to highly characteristic). Nonetheless, formal units in all three are clearly delineated, and there is a straightforward division of form-functional labor between those units. Each of them has a distinct function, and both the units and their functions appear in the order predicted by the heuristic model.[13]

The situation is not always so simple. In other introductions, formal units may be conflated, or formal functions may shift across units. Even when the

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[13] Not only Weber's slow introductions open up so well to the heuristic model. Another instructive example is Johann Wenzel Kalliwoda's Overture No. 2 in F major (1834; before-the-beginning in mm. 1–8, beginning in mm. 8–16, middle⇒end in mm. 16–25, after-the-end in mm. 25–34). See also the overtures to Ludovic Halévy's *La Juive* (1835) and Ferdinand Hiller's *Ein Traum in der Christnacht* (1845).

neat alignment of units and functions of the heuristic model is not literally present, however, the model still makes it possible to trace functions and units and to describe their relationship to one another. A good example is the slow introduction to Rossini's overture to *La Cenerentola* (1817). At first sight, the layout seems crystal-clear. The introduction consists of four sections, delineated by three cadences: vi:HC at m. 15, I:PAC at m. 21, and I:HC at m. 26. The distribution of formal functions across these units, however, is more complicated than the cadential plan suggests. The opening unit (mm. 1–15) conflates prefatory and initiating functions. The obvious signal-like gestures – the tonic and dominant chords with dotted rhythms and accents, played *fortissimo* by the full orchestra in mm. 2 and 6 – are part of a two-measure basic idea (mm. 1–2, restated on the dominant in mm. 5–6) that is complemented by a contrasting idea (mm. 3–4 and 7–8). In their entirety, mm. 1–8 take the form of a compound presentation, a pattern that is not structurally different from the opening measures of the three Weber overtures discussed above.

What does set Rossini's opening apart from the Weber examples is the richness and diversity of its topical content. In the basic idea, the double-dotted rhythm in the basses and the dotted rhythm of the tutti response suggest the slow march, while the contrasting idea, with the clarinets descending in parallel thirds and the bassoon winding its way up, simultaneously suggests the *amoroso* and the *buffo*. The whole setup sounds distinctly Mozartean, perhaps recalling the opening of the overture to *Così fan tutte*. Although the memory is suppressed rather abruptly by the *fortissimo* diminished seventh chord in m. 10, both overtures share the same opening gambit: first, in the basic idea, a call for attention; then, in the contrasting idea, something worth paying attention to.

In the heuristic model, the call for attention and the object of that attention are associated with the prefatory and initiating functions respectively. In the *Cenerentola* overture, they appear within one and the same unit. Or rather, the prefatory function, which normally comes before-the-beginning, has been integrated into a unit that, as a whole, is a beginning. It is this function that is borne out by the unit's phrase structure. Instead of by a new initiating function (as in the three Weber overtures), the presentation in mm. 1–8 is followed by what unmistakably is a continuation leading to a cadence (mm. 9–15). In spite of their signal-like rhetoric, the opening measures are not, structurally, a thematic introduction, but the presentation of a compound sentence.

The shift of function in relation to phrase structure is not limited to the introduction's opening. While the first fifteen measures combine topical

elements associated with prefatory function and structural elements associated with initiating function, the next unit combines the reduced orchestration and dynamics characteristic of a beginning with a phrase structure typical of a middle and end: like mm. 9–15, mm. 16–21 take the form of a continuation that leads to a cadence. At this point, the introduction is structurally complete, having expressed the functional sequence beginning/middle/end interthematically. (At a lower level, the theme that functions as a beginning – and that is conflated with aspects of the before-the-beginning – itself expresses the sequence beginning/middle/end intrathematically.) The PAC at the end of the continuation in mm. 16–21, that is, could have been elided with the onset of the exposition. One reason why this does not happen may be that it would have been difficult to reconcile the elision with the anacrustic beginning of the exposition's main theme. The function of the extra unit in mm. 21–25, then, is to lead from the I:PAC at m. 21 to the I:HC at m. 26 whence the exposition can be launched. This unit begins as a codetta to the preceding unit, thus seemingly expressing epilogic function, but from m. 23 engages in a cadential progression (the same cadenza lunga, in fact, that also figures prominently at the end of the exposition; see Chapter II). Only during the standing on the dominant that follows this cadential progression are structure and rhetoric aligned.

Similar issues are at play in the overture to Auber's *La Muette de Portici* (1828) – the prototype of grand opera and one of the nineteenth century's most popular operas in France as well as abroad. Auber begins his introduction with a double shock effect: a diminished seventh chord played *fortissimo* by the full orchestra, immediately followed by the realization that the tempo is fast instead of slow. In spite of this radically different surface, however, the underlying structure of Auber's opening unit is similar to that of Rossini's. As in the *Cenerentola* overture, it has the structure of a theme, consisting of a six-measure compound basic idea and its sequential repetition, followed by a continuation that leads to an HC. This undeniably is a sentence, albeit one that is considerably loosened by the absence of tonic prolongation from the presentation. The sentence structure suggests initiating function. At the same time, the harmonic instability and the shock effect of the opening measures obviously fulfill the prefatory function of attracting attention – a function that is made even more explicit by the generic signal chords that follow the cadence (mm. 30–32). As at the beginning of the overture to *La Cenerentola*, before-the-beginning and beginning are conflated.

A further analogy with Rossini's overture is that the conflation of functions in the opening unit has an impact on the rest of the introduction.

When the second large unit starts at m. 21, the contrast with the beginning could hardly be greater. Almost everything is different, including tempo, meter, and topical content. With its texture of (pastoral) melody and accompaniment, this unit has all the surface characteristics of a large-scale initiating function, not least because after a one-measure prefix, a rudimentary antecedent seems to begin. But first impressions are deceptive. Before long all harmonic motion comes to a halt, and when the presentation phrase from the opening returns in full at m. 34, it becomes clear that the pastoral was not a beginning, but a middle. The return of the opening measures, then, marks the beginning of the end. The presentation is followed by a new continuation leading to an HC in what, from the point of view of the introduction, sounds as vi, but which then turns out to be the overture's tonic.

The introduction to the *Muette* overture in effect suggests a ternary form, with mm. 1–20 as an A section, mm. 21–33 as a contrasting B section, and the return of the A section from m. 34 on. This ternary layout highlights the tendency to become a rounded-off musical form that is latently present in many slow introductions. Indeed, all of the examples discussed so far (and especially those that express a complete functional sequence beginning/middle/end both intra- and interthematically) could be turned into separate and structurally complete movements with only minor adjustments: it would suffice to adjust the end so that it concludes with a full-fledged PAC in the tonic.[14] As indicated above, this hypothetical self-sufficiency is reinforced by the parallel tendency for slow introductions to take up a substantial portion of the duration of the entire overture.

To be sure, in many overtures the slow introduction's potential to become a separate movement remains abstract. But in others it becomes very tangible. One such case is the overture to Wagner's grand opera *Rienzi* (1840). Lasting over five minutes in a typical performance – closer to six in a slow rendition – the slow introduction takes up almost half of the overture's total duration. This increase in sheer size goes hand-in-hand with an elaborate internal formal organization. In contrast to what happens in the overtures by Rossini and Auber discussed above, the functions of preparation and initiation appear separately. The prefatory function of the first eighteen measures is incontestable (see Example 4.4). This is not a theme, but a collection of rudimentary and disparate fragments – the threefold trumpet call (literally a signal), the unison figure in the basses, a snippet of a chorale in the winds, and

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[14] An example in which the slow introduction ends with a PAC that is not elided with the beginning of the exposition is the overture to Halévy's *La Reine de Chypre* (1841). Nine measures of dominant harmony link the end of the introduction to the beginning of the exposition. See also the introduction to Rossini's *Guillaume Tell* overture (1829).

Example 4.4. Wagner, overture to *Rienzi*: beginning of the slow introduction (mm. 1–49).

the creeping bass motion at the end that heightens the anticipation by pushing the entry of the initiating unit back for a very long time.

When the initiating unit finally enters at m. 20, it is equally unmistakable. This *is* a theme, both in texture (melody and accompaniment) and in form (a compound sentence). Its continuation leading to an HC followed by three measures of standing on the dominant, moreover, the theme

Example 4.4. (cont.)

outlines a complete functional sequence beginning/middle/end/after-
the-end. The introduction's form-functional trajectory is complete at
this point, and we are ready for the launch of the exposition.

The size of the prefatory unit, however, suggests something of grander
proportions. The entire form-functional sequence presented in mm. 19–37
(beginning/middle/end/after-the-end) acts as the beginning of an analo-
gous functional sequence on a larger scale, now in the form of a small
ternary rather than a compound sentence.[15] Table 4.2 provides an overview
of the entire introduction. In the small ternary, mm. 19–38 function as the

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[15] The small ternary in mm. 19–37 differs from the classical prototype in that its A section ends on
an HC rather than a PAC.

Table 4.2 Wagner, Overture to *Rienzi*: Overview of the Slow Introduction

Before-the-beginning		*Beginning* A (sentence)		*Middle* B (contrasting)	*End* A′	*After-the-end*
(trumpet calls)	presentation (beginning)	continuation⇒cadence (middle⇒end)	standing on V (after-the-end)			(trumpet calls)
		HC		**standing on V**	HC	
(1–19)	(20–26)	(27–34)	(34–37)	(38–46)	(47–69)	(69–73)

FRAME

Example 4.5. Wagner, overture to *Rienzi*: end of the slow introduction (mm. 64–73).

exposition, mm. 39–47 as the contrasting middle, and mm. 48–68 as a recapitulation whose bombast is matched by the extravagance of the turn figures in the strings. The continuation of the recapitulation is expanded, gets stuck on vii°⁷/V at m. 64, and proceeds to the final dominant of a half-cadential progression only after recalling the motive from the contrasting middle (see Example 4.5). In the relatively succinct postcadential unit (mm. 69–73), the trumpet signal from the opening measures returns.

The inflated size of the slow introduction in combination with the ternary form creates the effect of a self-sufficient movement that is weighted equally with the fast portion of the overture. No longer a mere preamble that is subordinate to what comes after, the slow introduction appears as an individual movement that has been paired with another movement. It is not hard to imagine the opening eighteen measures as a slow introduction in its own right. From here, it is only a small step to the prelude to *Lohengrin*, completed in 1848 – eight years after *Rienzi*: as we saw in Chapter I, this prelude can be considered a slow introduction to an overture with the fast part omitted.

The independence of the slow introduction from the fast portion of the *Rienzi* overture is underscored by the use of a framing function: the opening trumpet call returns at the end.[16] Similar references back to the opening measures occur at the end of the slow introductions to the *Silvana* and *Cenerentola* overtures. But whereas the references in Weber's and Rossini's overtures are mere allusions to the prefatory function – generic rather than specific – Wagner goes farther by repeating the exact same sonic signal that opened the overture. By recalling the very music that marked the threshold from silence to music at the beginning of the slow introduction, the end of the introduction creates an explicit parallel to that earlier threshold and in so doing highlights the boundary between the introduction and the rest of the overture.

Multitempo and In-Tempo Introductions

The tendency for slow introductions in romantic overtures to develop into separate movements is only one side of the coin. On the other side, there is an opposing trend to forge connections between the slow introduction and the overture it introduces. The tendency to raise the threshold between the two is thus often counteracted by an impetus to make that same threshold permeable: aspects of the fast portion of the overture are foreshadowed in the slow introduction, or, the other way around, aspects of the introduction cast a shadow over the rest of the overture. The most elementary aspect of the sonata form that may be prefigured in an introduction is its tempo. In romantic overtures, one regularly encounters the paradoxical situation of a

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[16]   Brian Alegant and Don McLean define structural framing as "the reference to initial material at the end of . . . a theme, section, movement, or even a multi-movement work." See their "On the Nature of Structural Framing," *Nineteenth-Century Music Review* 4 (2007): 3.

formal "slow" introduction that is in fact not, or not entirely, slow. For such situations, the terms "in-tempo" or "multitempo" introduction are appropriate.

A first common type of multitempo introduction arises when the switch to the fast tempo takes place before the onset of the exposition itself – that is, in the final unit (usually a postcadential standing on the dominant) of an otherwise slow introduction. This technique is not without classical precedents (the best-known is perhaps Beethoven's *Egmont* overture) but became much more prominent after 1815.[17] Romantic examples of the technique include Mendelssohn's *Meeresstille und glückliche Fahrt* (1828, rev. 1833–34) and his much later overture to Racine's *Athalie* (1843–44).[18] In the former, the slow introduction (the "calm sea" from the title) arrives at an HC in m. 36 that is followed by a long postcadential standing on the dominant (the dominant itself is clouded temporarily in mm. 39–43). The tempo changes to the Molto allegro e vivace of the "prosperous voyage" at m. 49, but this does not mark the beginning of the exposition. Instead, the dominant pedal, seemingly abandoned soon after the entry of the Allegro but regained at m. 71, stays in place across the tempo change and under-pins a long buildup towards the entry of the main theme (itself, surprisingly, presented in *piano*) at m. 99. In the overture to *Athalie*, the entry of the fast tempo coincides with the arrival of the final dominant of a half-cadential progression (m. 44), after an unexpected deviation from F major (the key of the introduction) to D minor (the key of the exposition). The main theme, however, enters only twenty-five measures later.

In another type of multitempo introduction, the fast tempo infiltrates not the end of the introduction but its very beginning. In most cases, this is best understood as a "special effect." The overture to Rossini's *La Scala di seta* (1812), for instance, begins with a three-measure Allegro that is immediately followed by an abrupt change to Andantino, the tempo that remains in place for the rest of the introduction. The Allegro clearly

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[17] Besides the *Egmont* overture (1809–10), Hepokoski and Darcy also mention Cherubini's overture to *Les Deux journées* (1800) and Beethoven's *Leonore I* of 1807 (*Elements of Sonata Theory*, 68, 298). One could add the overture to *Fidelio* (1814), in which the fast tempo enters in the last two measures of the very long standing on the dominant. In all of these classical instances, the overlap between introduction function and fast tempo is considerably more modest than in later cases.

[18] Other examples include the Overture in C major by Fanny Mendelssohn (1830–32[?]), the concert overtures *Don Carlos* by Ferdinand Ries (1815) and *Die Waldnymphe* by William Sterndale Bennett (1838), the overtures to Marschner's *Der Templer und die Jüdin* (1829) and Lortzing's *Undine* (1843–44), and Herman Løvenskiold's score for August Bournonville's production of the ballet *La Sylphide* (1836).

functions as an extravagant version of the prefatory before-the-beginning. It is not hard to imagine how the overture could have begun with the tutti at m. 4, and the motivic connection between this "premier coup d'archet" and the opening figure of the violins in m. 1 underscores the functional identity of the first five measures. In one sense, the first three measures are nothing but a dynamic version of the static signal at m. 4. The fast opening, moreover, has no impact on the further course of the introduction. Starting in m. 6, a theme in the form of a small binary played by a wind band presents the overture's initiating, medial, and closing functions in a completely regular manner, ending with a dissipated cadence.[19]

Neither of the above scenarios – arrival of the fast tempo before the end of the slow introduction or fast prefatory unit preceding the slow introduction – necessarily leads to form-functional complications. In the former, the harmonic structure (a long dominant pedal followed by a new beginning on the tonic) makes it unambiguously clear where the exposition begins. In the latter, the fast-tempo opening gambit is separated from the start of the exposition by a regular slow introduction. Auber's overture to *La Muette de Portici* is a case in point. The return of the fast opening section (itself another example of the "special effect" strategy from *La Scala di seta*) at the end of the introduction does not in any way blur the boundary with the exposition.[20]

In other instances, however, the use of multiple tempi in the introduction can considerably complicate the relationship between the introduction and the exposition. A good example is Mendelssohn's *Ruy Blas* (1839), an overture inspired by Victor Hugo's play of the same name. This overture begins with four solemn and march-like measures in a slow tempo intoned by the winds only. At m. 5, the tempo changes to Allegro moderato, and the violins play what sounds as an extended upbeat gesture to a main theme. From the vantage point of m. 5, the opening slow march may appear either as a highly condensed slow introduction or as an unusual motto-like slow *thematic* introduction that is part of an otherwise fast exposition. The perspective changes before long, when the fast unit runs aground on a V^6_5

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[19] On the small binary, see Caplin, *Classical Form*, 87–93. Hepokoski and Darcy discuss the opening gambit of *La Scala di seta* under their rubric of "false-start sonatas" (*Elements of Sonata Theory*, 299). Other examples include Rossini's overtures to *Semiramide* (1823) and *Le Siège de Corinthe* (1826), as well as Donizetti's overture to *Don Pasquale* (1842–43). The same strategy is also used in Schubert's Overture in D major, D. 556 (1817). There, the introduction's prefatory unit is Allegro; the slow tempo arrives only with the presentation of the lyrical melody, which, unusually for an initiating function in a slow introduction, begins over a dominant pedal.

[20] Other examples of overtures in which both the before-the-beginning and the after-the-end portions of the introduction are in-tempo are those to Lortzing's *Der Waffenschmied* (1846, a sonata form) and to Adam's *Si j'étais roi* (1852, a potpourri form).

chord and gives way to an only slightly varied restatement of the opening measures. Here it becomes clear that m. 5 was not a beginning, but a false start at most. The fast music returns at m. 17. Whereas the previous upbeat gesture could be considered a false start only in retrospect (considered by themselves, that is to say, mm. 5–9 do form a credible exposition launch), this second attempt arguably sounds "false" right away: since it is transposed up a perfect fourth, thus outlining vii°^{7}/iv, we "know" that it will probably not launch the exposition. The passage indeed comes to a halt (even though it is reoriented toward the tonic) and is now elided with a third statement of the opening slow march, again reharmonized. Only when the Allegro upbeat gesture is heard a third time (now back at the original pitch level) and when the accompaniment in the second violins and the violas kicks in does it become clear that the exposition has started.

   There are also overtures in which the entire introduction is in-tempo. These cases are distinct from expositions that start with a thematic introduction to the main theme. Often the distinction is clear. In the overture to Weber's *Euryanthe* (1823), for example, there is no slow introduction. The overture opens with an eight-measure thematic introduction, immediately in the fast tempo of the rest of the work. A theme then starts at m. 9. The functional sequence here is identical to the succession of before-the-beginning and beginning that we have seen in the opening measures of so many slow introductions. Because it is so short, however, and because it returns at the beginning of the recapitulation, the in-tempo introduction is best grouped with the exposition. The decision between a thematic introduction to the main theme and a "fast slow introduction," as it might be called, can be harder to make when the introductory unit is more extended and when it is not included in the recapitulation. An example of this situation is the overture to Mikhail Glinka's *Ruslan i Lyudmila* (1842). The overture begins with a fast prefatory gesture of eighteen measures long that is separated from the entry of the main theme at m. 21 by a two-measure prefix. When the recapitulation starts at m. 237, it does not include the prefatory gesture. Only the introduction's final measures return over the standing on the dominant at the end of the development (and thus before the beginning of the recapitulation), where they lead straight to the return of the main theme (now without the prefix).[21]

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[21]   Other examples of short in-tempo thematic introductions that do not return in the recapitulation include the overtures to Mendelssohn's *Die Hochzeit des Camacho* (1824–25) and Gade's *Mariotta* (1848–49), the original overture to Meyerbeer's *Le Prophète* (1849), and Julius Rietz's *Lustspiel-Ouvertüre* (1841). Examples of longer "fast slow introductions" can be found in the overtures to Auber's *Fra Diavolo* (1830), Hérold's *Le Pré aux clercs* (1832), and Wagner's *Das Liebesverbot* (1835–36).

Example 4.6. Rossini, overture to *Il Signor Bruschino*: "fast slow introduction" and beginning of the exposition (mm. 1–39).

Another interesting case is the overture to Rossini's *Il signor Bruschino* (1813). Here as well, the entire introduction is in-tempo (see Example 4.6).[22] We have seen in Chapter II that a slow introduction is a standard ingredient of Rossini's overture recipe. A listener familiar with the overture

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[22] Cf. Hepokoski and Darcy, *Elements of Sonata Theory*, 299.

Example 4.6. (cont.)

to *La Scala di seta*, which was written the year before, may therefore very well hear the opening twelve measures in the overture to *Il signor Bruschino* as a similarly extravagant "before-the-beginning" and expect that as in the earlier overture, they will give way to the slow portion of the introduction before long. Yet this is not what happens. The Allegro refuses to yield to a slow tempo, and as a result the formal function of mm. 1–12 remains ambiguous: are they a thematic introduction within a larger ("slow") introduction, or are they a thematic introduction that forms part of the exposition?

The next unit (mm. 13–19) initially suggests a third possibility, namely that mm. 1–12 project an initiating, rather than prefatory, function. Since the opening twelve measures are structured as a compound presentation (albeit one that begins off-tonic, on V of ii), mm. 13–19 may appear as a continuation, not least because of the motivic connection, the I^6 at m. 13, and the fragmentation in relation to the presentation. Yet this impression does not last. When the apparent continuation turns out to be a sentence, leads to an HC at m. 20, and starts over at m. 21, the distinct possibility arises that it will instead function as the antecedent of a compound period, and therefore of a theme – a theme that, given the tempo, is more probable to be taken as the main theme of the exposition than as part of a slow introduction. But then the perspective changes yet again: rather than as a consequent, the phrase starting at m. 21 ends as a repetition of the

antecedent, again leading to an HC but now followed by a postcadential unit (motivically recalling the thematic introduction) that is cordoned off from what follows by a fermata at m. 38.

After the fermata, another theme begins. It is a compound period, motivically unrelated to the first thirty-eight measures, and it is the first complete theme in the piece. In Rossini's typical manner, it leads to a PAC that is elided with the onset of a transition of the tutti affirmation type. There can be no doubt that this is the main theme. Only here, therefore, does it become clear that mm. 1–38 are not part of the exposition, but a slow introduction in a fast tempo. Assuming that one does hear the opening against the background of the overture to *La Scala di seta* and thus initially takes mm. 1–12 to be a fast thematic introduction to what will be an otherwise slow introduction, the interpretation of that unit changes at least three times: first at m. 13, where it is reinterpreted as the beginning of a theme, and as part of the exposition rather than of the introduction; then at m. 21, where it again seems more like a thematic introduction, but still part of the exposition; and finally at m. 39, where all of the preceding music is reinterpreted one last time, now as a slow introduction.

Both Rossini in *Il signor Bruschino* and Mendelssohn in *Ruy Blas* use the in-tempo or multitempo introduction to establish a stronger connection between the large-scale formal functions of preparation and initiation – between introduction and exposition. They blur the boundary between introduction and exposition by incorporating into the former elements that could be taken as signaling the beginning of the latter. In both cases, however, this blurring is only temporary. Once the exposition gets underway, it is clear that it is an exposition, and only that. From the point of view of the main theme – that is, retrospectively – the threshold is unmistakable, and it is possible to draw a line between both formal units. The ambiguity resides purely in the introduction; no residual ambiguity remains in the exposition.

Thematic Prefiguration and Infiltration

A strategy that by definition has a longer-range impact on the course of an overture arises when thematic material first presented in the introduction returns later in the form. It can be useful when discussing such thematic connections to distinguish between "preview" and "infiltration." Thematic preview means that principal thematic material from the exposition (usually the main or the subordinate theme, occasionally also the

transition) is prefigured in the introduction. In this case, the connection is prospective: the presentation of thematic material in the introduction is dependent on the fuller and more definitive statement of that same material later in the form. Thematic infiltration, by contrast, means that material from the introduction returns later in the form, but not as its principal thematic material. In this case, the recurring material is "at home" in the introduction, so to speak, and its later returns appear as reminiscences.

Thematic preview in romantic overtures may take the form of a specific kind of multitempo introduction. In these cases, the introduction begins with a fast-tempo flourish that soon gives way to a slower tempo that dominates the rest of the introduction, as in *La Scala di seta*. The difference is that the thematic material of the flourish constitutes a rudimentary form of one of the themes in the exposition. This is a favorite strategy in Berlioz's overtures.[23] A good example is the overture to *Benvenuto Cellini* (1836–38, rev. 1852). The piece begins with a flamboyant Allegro theme in regular four-measure units that arrives at an HC at m. 16. The standing on the dominant that follows derails, comes to a halt, and gives way to a much longer Larghetto section (mm. 23–87), the luxuriant lyricism of which comes close to eclipsing the Allegro entirely. When the exposition begins, however, not only does the initial tempo return, but so does a paraphrase of the opening measures that now functions as a main theme. And when the main theme returns near the end of the form, it is not in the version heard in the exposition, but in that from the introduction.[24]

The combination of a main theme preview with a multitempo introduction is only one of a number of closely related strategies. Consider Wagner's overture to *Die Feen* (1833–34). As in the overture to *Benvenuto Cellini*, the preview here is of the main theme and occurs in the prefatory section of the introduction. In contrast to the Berlioz example, Wagner's preview is not in the tempo of the exposition, and it is limited to only a fragment of the later theme: in mm. 2 and 4, the strings twice play the head of the main theme. Another difference is that the preview does not dominate the texture. It functions as a contrast to the backbone of the passage, namely the long-held E major triad that at its third iteration launches a striking ascending-fifths sequence in which every chord appears as the dominant of the previous.

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[23] Hepokoski and Darcy call it a "virtually normative practice in several of Berlioz's sonata-deformational overtures" (*Elements of Sonata Theory*, 299). Another example is *Le Corsaire* (1844). On the special case of *Le Carnaval romain*, see Chapter V. A precedent for Berlioz's practice is the overture to Gaspare Spontini's *Olimpie* (1819, rev. 1821).

[24] The lyrical melody of the slow section never returns; what does come back is the bass melody (m. 62), as an apotheosis in the coda (see Chapter VII).

Slow introductions may also contain a preview of the exposition's subordinate theme. Whereas main theme previews tend to occur in the prefatory section of the introduction, subordinate theme previews more typically crop up at the initiating stage. One example is the overture to Wagner's *Rienzi*. The noble melody first presented at m. 20 – Rienzi's prayer in the opera – returns at m. 130 in the fast tempo of the sonata form and with a new energetic accompaniment. Another example is Mendelssohn's overture to *Athalie*. As noted above, the entire slow introduction is in the relative major, reaching an HC in the home key D minor only at the very end. The before-the-beginning takes the form of a solemn chorale-like melody (mm. 1–19) and is followed by a lyrical theme in small ternary form that has initiating function (mm. 19–43). A variant of the A section of this theme returns in the exposition, now in A minor, as part of the subordinate theme (which also takes the form of a small ternary, albeit now with a new middle section).

As was the case for main theme previews, previews of subordinate themes may also be limited to a fragment of the later theme. In overture from Schumann's *Ouvertüre, Scherzo und Finale* (1841, rev. 1845–46), the slow introduction is a single compound sentence (mm. 1–17). The introduction as a whole is in fact quite unusual. Not only is the prefatory function missing altogether, the theme itself also seems to begin in medias res. Only at m. 5 does it become clear that the implied harmony in m. 1 is tonic. The introductory theme never comes back in its entirety, but its opening basic idea returns prominently as part of the second of two subordinate themes (mm. 74–116).

Thematic infiltration of introductory material later in the overture is a more diverse phenomenon than preview. In some cases it is minimal. As we saw in the previous chapter, all of the principal thematic material in the exposition of Weber's *Oberon* overture (1826) – the main theme/transition and the two subordinate themes – is new and unrelated to the introduction. Only in the medial caesura between the end of the transition and the beginning of the first subordinate theme do two of the musical ideas from the introduction (the horn call and the elves motive) make a brief and fleeting reappearance, thus literally appearing between the cracks of the form. This reminiscence has no impact on how the rest of the form plays out. The infiltrating material makes no further appearances, partly because the recapitulation is recomposed. Had it been omitted altogether (had, for instance, m. 55 been elided with m. 61), there would have been no reason why the form could not have continued in exactly the same way as it does now. In a similar manner, the solemn motto-like phrase from the

introduction to Mendelssohn's *Ruy Blas* returns in its original slow tempo between the transition and the subordinate theme group, in the exposition as well as in the recapitulation (mm. 97–100 and 265–68). A subtle touch here is that both recurrences continue the process of reharmonization that began in the slow introduction. In the exposition, the transition seems headed for a v:HC, with a cadential $^6_4$ in G minor arriving at m. 89. Rather than resolving to V^5_3, however, the $^6_4$ chord is redirected to V^6_5 of III at m. 92; the role of the motto in all this is to confirm this tonal reorientation by prolonging a root-position dominant. In the recapitulation, the motto reappears in its original harmonization from mm. 1–4. Beginning on tonic harmony, it thus initially destabilizes (but then regains) the already established home-key dominant.[25]

A more pervasive use of infiltration can be observed in the overture to Rossini's *Il signor Bruschino*. Analogous to what happens in the *Oberon* and *Ruy Blas* overtures, the dotted-rhythm opening motive as well as the col legno "ticking" from the introduction return in the caesura-fill between the end of the transition and the beginning of the subordinate theme, both in the exposition and in the recapitulation (mm. 79–89 and 194–204). The same motives also reappear in the gap between the exposition and the recapitulation (mm. 139–53), and they even infiltrate the subordinate theme (see, for instance, mm. 95–97 in the exposition). In spite of both motives' proliferation across the form, however, they are no less formally passive than the motives infiltrating the sonata-form portion of the *Oberon* and *Ruy Blas* overtures. As in those other works, they could be removed without further consequences.

Motives from the introduction that infiltrate the rest of the overture are not always so passive. In Mendelssohn's overture to *Athalie*, the first phrase of the opening chorale-like melody comes back not in the dead space between the transition and the subordinate theme, but at one of the most crucial points in the form's trajectory: near the end of the subordinate theme. The first time (mm. 192–98), it returns in its original key (that is, in III of the exposition's home key) and renotated in double note values, interrupting a cadential progression headed for a v:PAC and triggering a significant expansion of the subordinate theme. When this expansion finally attains the long-anticipated cadence, the motto reappears again. Now in the right key, it no longer derails the cadential progression but

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25 Another example of infiltration "between the cracks" of the sonata form is the overture to Spohr's oratorio *Die letzten Dinge* (1826). Thematic material from the slow introduction returns between the transition and the subordinate theme group in the exposition, and between the exposition and the development.

instead marks its successful completion and effectively functions as a codetta (mm. 233–40). After having almost completely usurped the brief development (mm. 241–69), the motto returns two more times near the end of the subordinate theme in the substantially recomposed recapitulation. The first time (mm. 325–32) is analogous in function to its first appearance in the exposition: it keeps the subordinate theme from attaining cadential closure and thus triggers its expansion. The final return (371–77), however, does not have a precedent in the exposition. Its function is not epilogic, but closing, leading up to the cadence rather than marking its completion. The arrival on the tonic is elided with the apotheosis of the subordinate theme.[26]

A special case, finally, is Mendelssohn's *Ouvertüre zum Sommernachtstraum* (1826). The famous chords that open this overture cannot, strictly speaking, be considered a slow introduction. They are more like a motto – and thus a thematic introduction – even though the long note values and the fermatas suggest a slow tempo (not unlike the beginning of *Ruy Blas*). Insofar as the opening chords function as a thematic introduction, it is not surprising that they return at the beginning of the recapitulation. What is more remarkable is that they also return in the final measures of the coda and, in so doing, provide a frame within which the sonata form takes place.[27] The technique is similar to the one discussed above whereby slow introductions are bookended by a framing return of their opening material that emphasizes the introduction's separateness from the rest of the overture. Transplanting this technique to the higher level of the overture as a whole, however, reverses its effect: rather than separate the introduction from the rest of the overture, it integrates one into the other.

Thematic prefiguration and infiltration may seem rather crude ways of forging connections between a slow introduction and the rest of the overture – or at least ways that are not analytically very interesting. Nonetheless, they are among the most striking techniques that can turn the introduction to an overture into a virtual overture *en miniature*. In the

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[26] For a detailed discussion of the recapitulation in the *Athalie* overture, see Chapter VII.

[27] Hepokoski and Darcy discuss the *Ouvertüre zum Sommernachtstraum* in the context of the "introduction-coda frame" (*Elements of Sonata Theory*, 305). Another interesting example is Schubert's Overture in D major, D. 556, in which the lyrical melody from the introduction returns as a coda at m. 288. The effect is that of a reminiscence or perhaps a flashback before a final Allegro flourish rounds out the movement. For additional examples of framing returns of introductions, see Weber's *Der Beherrscher der Geister* (1811), Moscheles's overture to Schiller's *Die Jungfrau von Orléans* (1834–35), and Niels Gade's Concert Overture No. 3 (1846). See also the discussion of Wagner's *Tannhäuser* overture in Chapter V.

same way in which an overture can offer a preview of the opera or larger work that follows it, the introduction can form a preview of the overture.

Gade, *Efterklange af Ossian*

A work that almost deliberately seems to thematize many of the compositional issues associated with the slow introduction to an overture is the concert overture *Efterklange af Ossian* ("Echoes of Ossian," 1840), the opus 1 of the Danish composer and (later) Mendelssohn protégé Niels Gade. Gade's overture begins with a slow introduction that opens up very well to the heuristic model presented at the beginning of this chapter. Instead of the standard prefatory before-the-beginning, we first hear a sequence of six slow and soft chords in the lower strings (joined by the violins, timpani, and second horn at the end of the progression; see Example 4.7). Gade is arguably alluding to Mendelssohn's *Sommernachtstraum* overture. The opening chord sequence in the latter traces a reversed, or "plagal," cadential progression I–V–iv–I that is surely meant to invoke the overture's magical or supernatural subject matter.[28] Gade's opening chords, too, form a distinctly mysterious and nonfunctional progression that turns back onto itself: i–VI–III // III–VI–i.[29] (Unlike Mendelssohn's, Gade's progression, in conjunction with his overture's gateway title, does not so much invoke the supernatural as it exemplifies what could be called, in reference to Larry Todd, Gade's "Ossianic manner.")[30] As in Mendelssohn's overture, moreover, the long note values suggest a slow introduction, in spite of the tempo designation Allegro moderato.[31]

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[28] On the plagal cadence as a reversal of an authentic cadence, see Schenker, *Harmonielehre* (Stuttgart: Cotta, 1906), 296.

[29] Anna Harwell Celenza describes the progression as "circular" in *The Early Works of Niels W. Gade: In Search of the Poetic* (Aldershot: Ashgate, 2001), 126.

[30] On the notion "gateway title," see Hepokoski, "Beethoven Reception," 445. In addition to the title, Gade's "composer's diary" also contains a program, but this was never published. See Finn Mathiassen, "Preface to this Volume," in Mathiassen (ed.), *Niels W. Gade, Concert Overtures Op. 1, 7, 14* (Copenhagen: Foundation for the Publication of the Works of Niels W. Gade, 2002), VIII. On the "Ossianic manner," see R. Larry Todd, "Mendelssohn's Ossianic Manner, with a New Source – On Lena's Gloomy Heath," in Finson and Todd (eds.), *Mendelssohn and Schumann: Essays on Their Music and Its Context* (Durham N.C.: Duke University Press, 1984), 137–60.

[31] A hearing of Gade's opening as an allusion to Mendelssohn is supported by a number of other (and more overt) references to several of Mendelssohn's overtures later in the piece. Todd notes the influence of *Die Hebriden* ("Mendelssohn's Ossianic Manner," 146–49), but there are traces of other Mendelssohn overtures as well. Compare, for instance, mm. 165–67 in Gade's overture with mm. 166–68 in the *Sommernachtstraum* overture, and mm. 196–99 with mm. 49ff. in *Meeresstille und glückliche Fahrt*.

Example 4.7. Gade, *Efterklange af Ossian*: beginning of the slow introduction (mm. 1–23).

The cello melody that follows arguably is still perceived as slow, perhaps in cut time rather than the notated common time, and has initiating function. More specifically, it functions as the beginning of a theme with the outlines of a small ternary (exposition, or *a*: mm. 13–21, contrasting middle, or *b*: mm. 22–31, varied reprise, or *a′*: mm. 32–39, and codetta: mm. 40–47). The theme, however, lacks the expected harmonic structure, instead continuing in the deliberately primitive vein of the prefatory measures. The entire *a* section is harmonized with i, V, and iv chords alternating over a tonic pedal, and the contrasting middle is harmonically static around the dominant. Only the reprise of the *a* section (shown in Example 4.8) is underpinned by a functional progression, leading first to an IAC and then, in the second instance, to a PAC, thus suggesting a period.

Example 4.8. Gade, *Efterklange af Ossian*: mm. 32–39 of the slow introduction.

In a move similar to that in Wagner's *Rienzi* overture (coincidentally written the same year), the theme's ternary organization is then projected onto a larger level. The postcadential extension, at the second iteration of the codetta, gets stuck on the dominant and is prolonged for a full twelve measures, so that it becomes a higher-level contrasting middle (B). At m. 59, the melody from *a* returns again, this time not only varied but also expanded (see Example 4.9). The bombastic transformation (this as well a move not unlike that in the *Rienzi* overture) should not detract attention from the underlying structural changes. The period from mm. 32–39 returns (minimally reharmonized) but is now reinterpreted as the initiating unit of a larger theme. The form of this theme allows multiple readings. One possibility is to hear it along the lines of a small binary. The opening period (mm. 59–66) would then function as the first part and the second part would consist of a contrasting middle (mm. 67–70, ending on a cadence in the dominant minor) and an expanded cadential progression that first leads to a deceptive cadence and then refers back to the basic idea (mm. 71–77). In a symphonic context, it is also tempting to classify this theme as a sentence with periodic presentation. The antecedent and consequent of the period do double duty as the basic idea and its repetition, and mm. 67–77 function as a continuation (featuring fragmentation) and a cadential progression.[32] The return of the theme's opening at the end suggests yet another reading, namely as what Dénes Bartha has called a "quatrain" or *aaba'* form; to the extent that one can hear – again in light of

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[32]   On the sentence with periodic presentation, see my "In Search of Romantic Form," 413–15.

Example 4.9. Gade, *Efterklange af Ossian*: end of the slow introduction (mm. 55–78).

the overture's program and title – the introduction's main melody as a bardic song, this vocal (rather than instrumental) interpretation is, of course, anything but irrelevant.[33]

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[33] See Dénes Bartha, "Song Form and the Concept of 'Quatrain'," in Jens Peter Larsen, Howard Serwer, and James Webster (eds.), *Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975* (New York: Norton, 1981), 353–55. The opening measures of the theme are almost identical to those of the Danish folk song "Ramund var sig en bedre mand," which Gade knew. See Celenza, "The Early Works," 128–29.

Regardless of how one hears the introduction's concluding unit, its end is marked by a sudden shift in aesthetic register. The repetition of the expanded cadential progression in mm. 74–77 leads not to the expected PAC, but to a distinctly operatic "linking" cadence, i.e., a deceptive cadence that is elided with the next unit and thus substitutes for, rather than postpones, an authentic one.[34] A new and unrelated theme comes crashing in, and from here on, everything is different – not least the tempo: it is here that the overture's Allegro (a fast common time rather than a slow cut time) becomes aurally perceptible, and it is here that the exposition, heralded by the trumpets and horns, seems to begin.

Although Gade's slow introduction is in fact less extensive than many other examples we have seen (it takes up only about a fifth of the overture's total duration) its tendency towards self-sufficiency is obvious. It is a closed musical form that expresses the functional sequence beginning/middle/end both intra- and interthematically (in mm. 13–47 and 13–77 respectively) and whose roundedness is further highlighted by the thematic recapitulations inherent to the ternary plan used at both levels. And while full closure is ultimately undercut by the linking cadence at m. 78, this is offset by the maximized contrast between the introduction and the beginning of the exposition.

The introduction's tendency towards self-sufficiency is counteracted by its integration into the overture as a whole. The most obvious way in which this happens is through the infiltration of material from the slow introduction into the overture's sonata-form portion. This infiltration begins almost immediately after the launch of the exposition. Already in mm. 86–89, the compound basic idea of a new theme is overlaid with the first phrase of the bardic melody, and that melody's opening rhythm resurfaces again at mm. 96–97. Later, the exposition's codetta (mm. 147–54) recycles the postcadential material from mm. 40–47 in the introduction. Both melodic ideas also infiltrate the development (at mm. 160–63, 169–72, 173–76, and 179–82). In the recapitulation, reminiscences of the bardic theme are less prominent (they are limited to recalls of its opening rhythm at mm. 217–18 and 221–24), but the contrasting middle from mm. 22–31 now returns, slightly expanded, in the gap between the end of the transition

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[34] "Linking cadence" is William Marvin's term for what Alfred Lorenz calls "Verkettung des Schlusses." See Marvin, "Subverting the Conventions of Number Opera from Within: Hierarchical and Associational Uses of Tonality in Act I of *Der fliegende Holländer*," in Matthew Bribitzer-Stull, Alex Lubet, and Gottfried Wagner (eds.), *Richard Wagner for the New Millennium: Essays in Music and Culture* (New York: Palgrave MacMillan, 2007), 80. Note that m. 74, in contrast, is a real deceptive cadence.

and the beginning of the subordinate theme (mm. 251–62). As in the exposition, the codetta (mm. 297–315) is based on the postcadential material from mm. 40–47.

Farther-reaching in its consequences is the return of the slow introduction at the end of the overture, where it creates a closing frame. The slow ductus returns at m. 309, and from m. 316 on, material from the introduction starts to reappear in its original shape. Although the use of a frame is yet another move that Gade may have borrowed from Mendelssohn's *Sommernachtstraum* overture, he applies it on a grander scale: Gade's closing frame brings back much more than just the opening chords. All of the introduction's main thematic material returns in reverse order – first the contrasting middle from mm. 48–77, then the bardic melody, then the prefatory chord sequence. This rearrangement allows Gade to conclude with the music that began his overture, thus, as it were, providing it with a *double* frame. The overture as a whole is framed by its slow introduction, and the two sides of the frame are themselves bookended by the frame's own introductory measures.

The inversion in the closing frame is, however, less regular than the description above suggests. For one thing, and obviously, the return of the opening chord progression is not the last thing that happens. It is followed by a fading echo of the bardic melody in the celli, the tone color in which it was first heard (this time underscored by the harp). This echo is, in fact, the only direct reference to the melody's original appearance (as "*a* of A"). Its earlier return at m. 327 was not in the form in which it was heard at m. 13, but as the bombastic varied restatement from the end of the introduction. This disturbs the inversion: in the introduction, this final variant of the melody comes after the large contrasting middle. Had the closing frame been the mirror image of the slow introduction, it would have returned first.

This irregularity suggests that more is going on – that the slow introduction and its return do not just create a frame that stands outside the form (as in the *Sommernachtstraum* overture), but that they are instead closely intertwined with it. Table 4.3 provides a formal overview of the entire overture. The key to understanding how this form works lies in the exposition. A closer look at the apparent main theme (mm. 78ff.) reveals that it lacks the expected structure. It begins regularly enough, as a sentence with a two-measure basic idea, its exact repetition, and four measures of continuation. The continuation, however, modulates and concludes with an HC in the dominant. Rather than return to the tonic, the next phrase continues in the new key. It begins with a restatement in the dominant

Table 4.3 Gade, *Efterklange af Ossian*: Formal Overview

SLOW INTRODUCTION *(BEFORE-THE-BEGINNING)*							EXPOSITION *(BEGINNING)*		
1–12	13–21	22–31	32–39	40–47	48–58	59–77	78–114	115–46	147–54
thematic intro	a	b	a′	codetta			MT⇒TR	ST	codetta ⇒
(before-the-beginning)	*(beginning)*	*(middle)*	*(end)*	*(after-the-end)*					
i							i	VI	
	A (beginning)				**B (middle)**	**A′ (end)**			

Dashed box (EXPOSITION?): *MT* — *TR* — *ST* — *codetta*

Cadences: i:HC   i:PAC   VI:HC   VI:PAC

(1)   (2)   (3)

FRAME

DEVELOPMENT *(MIDDLE)*	RECAPITULATION *(END)*			CODA *(AFTER-THE-END)*			
155–99	200–63	264–96	297–315	316–26	327–46	346–57	358–64
	MT⇒TR	ST	codetta⇒	**B**	**A′**	thematic intro	"echo"
				(cf. 48ff.)	(cf. 59ff.)	(cf. 1ff.)	
	i	I		i			

Dashed box (RECAPITULATION): *TR* — *ST* — *codetta* ——— *MT*

Cadences: i:HC   I:PAC   i:HC   i:PAC

(3)   (2)   (1)

FRAME

minor of the theme's basic idea that is now followed by a contrasting idea. Not until m. 105 does the music begin to settle down. An HC in the dominant minor is abruptly transformed into V/VI (m. 107) and followed by a standing on the dominant, complete with diminuendo and textural reduction. The medial-caesura effect is unmistakable, and the subordinate theme duly enters at m. 115, in VI over dominant harmony.

One way to come to terms with the structure of mm. 78–114 would be to consider them an instance of fusion of main theme and transition, that is, as the merging within a single unit of two formal functions that normally appear temporally distinct.[35] Although primarily associated with recapitulations, in the nineteenth century this technique occasionally crops up in expositions as well. Examples include Weber's *Oberon* overture and Mendelssohn's *Ouvertüre für Harmoniemusik* (1824, rev. 1826 and 1838). Fusion, however, implies that both functions – main theme and transition – are present in

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[35] On fusion of main theme and transition, see Caplin, *Classical Form*, 165–67 and 255.

more or less equal measure. What is remarkable about the passage in Gade's overture is how little main-theme function it really fulfills. Not only is there no cadence in the tonic, the supposed main theme also does not even begin by prolonging tonic harmony.

The lack of tonic emphasis after m. 78 is all the more striking in comparison to the very tonic-heavy music immediately before. Upon closer inspection it becomes clear that mm. 59–77 (the A′ section of the slow introduction) exhibit all the characteristics of a main theme that are missing from the exposition. In addition to firmly establishing the tonic (the absence of a concluding PAC is compensated for by the two internal cadences at mm. 61 and 66), it also has a tight-knit thematic structure. What is crucial is that its tempo is only apparently slow: underneath the slow ductus, the tempo is Allegro from the very beginning. It thus becomes attractive to view mm. 59–77 as fulfilling a double function. In relation to what comes before, these measures form the reprise within the slow introduction's small ternary; in relation to what comes after, they function as a main theme. They are, paradoxically, recapitulation and exposition – end and beginning – at once and literally stand both inside and outside of the form.

The double function of mm. 59–77 casts a different light on the form as a whole. Since the theme has the recapitulatory gesture built into it (that is to say, the first time we hear the theme in this version, it is already a recapitulation), it is surprising that it remains absent from the beginning of the recapitulation. At m. 200, only the transition theme returns, now carrying the entire weight of main-theme function. Accordingly, it now appears normalized both in phrase structure and tonal organization. It is a compound period that first confirms the home key with an HC at m. 207 and then, in the expanded consequent, narrowly evades a PAC in the tonic (m. 218) before dissolving and heading for the medial caesura. The absence of the theme heard in mm. 59–77 from the beginning of the recapitulation nonetheless creates a void that needs to be filled. When that theme ultimately does return at m. 327, then, the effect is no longer just that of a frame, but also of a postponed recapitulation of the main theme (or one of the main themes). The framing return of the introduction does not stand outside the form. On the contrary, it marks the moment when that form's keystone is put into place.[36]

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[36] A comparable case of an apparent introduction (albeit one that is more obviously in-tempo) that assumes partial main-theme function later in the work while also returning as a concluding frame is Mendelssohn's *Ouvertüre zum Märchen von der schönen Melusine* (1833, rev. 1835).

V | Strong Subordinate Themes

Marx's Themes

In music theory, subordinate themes are an invention of the nineteenth century. Although related notions occasionally crop up in earlier literature, it is in continental European *Formenlehre* from the 1820s on – starting with Antoine Reicha in Paris and Heinrich Birnbach in Berlin – that we witness the full emergence and increasing solidification of the concept variously called "seconde idée mère" or "second motif" (Reicha), "zweites Thema" or "zweiter Gedanke" (Birnbach), "Mittelsatz" or "Mittelgedanke" (Czerny), "Gesangsgruppe" (Lobe), and "Seitensatz" or "Seitenthema" (Marx).[1] As the terminological diversity already suggests, the concept is anything but monolithic: some terms emphasize thematic chronology in a more or less neutral manner, others highlight thematic characteristics, and others still suggest an element of hierarchy.

Terminology becomes especially charged in a passage in the third volume of Marx's *Lehre von der musikalischen Komposition* (1845) that has served as the benchmark for most, if not all, subsequent theoretical discussions of subordinate themes. Marx's treatise has become nothing short of notorious for the terms in which he casts the relation between the themes in a sonata-form exposition: a "masculine" main theme versus a "feminine" subordinate theme.[2] Highly uncomfortable from our perspective but apparently acceptable and relevant from a mid-nineteenth-century point

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[1] Antoine Reicha, *Traité de haute composition musicale*, vol. II (Paris: Zetter, 1826), 298. Heinrich Birnbach, "Über die verschiedene Form größerer Instrumentaltonstücke aller Art und deren Bearbeitung," BAMZ 4 (1827): 277. See also Birnbach, "Über die einzelnen Sätze und Perioden eines Tonstücks und deren Verbindung," *Cäcilia* 10 (1829): 97–120; Carl Czerny, *School of Practical Composition*, I, 33–46; Lobe, *Compositions-Lehre*, 134–35. On all of this, see Fred Ritzel, *Die Entwicklung der "Sonatenform" im musiktheoretischen Schrifttum des 18. und 19. Jahrhunderts* (Wiesbaden: Breitkopf & Härtel, 1968) as well as Hans-Joachim Hinrichsen, "Sonatenform, Sonatenhauptsatzform," in Hans-Heinrich Eggebrecht, Albrecht Riethmüller, and Markus Bandur (eds.), *Handwörterbuch der musikalischen Terminologie*, 25th installment (Stuttgart: Steiner, 1997), 1–20.

[2] On this, see Scott Burnham, "A.B. Marx and the Gendering of Sonata Form," in Ian Bent (ed.), *Music Theory in the Age of Romanticism* (Cambridge: Cambridge University Press, 1996), 181–84. On the compositional reception of the metaphor, see Hepokoski, "Masculine–

of view, Marx's metaphor sought to clarify a more fundamental point. In his theory, the relationship between main and subordinate themes shifts from a merely chronological to a hierarchical one, as his substitution of the terms *Hauptsatz* and *Seitensatz* for Birnbach's *erstes* and *zweites Thema* reflects. True, the term *Seitensatz* can be taken to mean that the second theme literally stands beside and, therefore, at the same level as the first theme. But the term *Hauptsatz* implies subordination: the *Seitensatz* is placed next to something more important, more fundamental than itself.

Marx himself puts its as follows:

The *Hauptsatz* is the first . . . to be determined [Bestimmte], the more energetically, concisely, and absolutely built, that which leads and determines [Bestimmende]. The *Seitensatz*, by contrast, is created after the first energetic statement. Serving as a counterstatement, it is conditioned and determined by what precedes it.[3]

Scott Burnham has shown how this passage must be understood in light of Marx's general modus operandi, which "seeks to justify compositional choices by working through the piece from left to right."[4] Since the *Hauptsatz* comes first, it is, in the words of Marx's supporter Eduard Krüger, "causa sui, that-which-is [das Seiende]."[5] Standing to the right of it, the *Seitensatz* comes into being in relation to a *Hauptsatz* that was always already there. It is what it is because of the *Hauptsatz*.[6]

The practical value of Marx's take on the relationship between main and subordinate themes (as opposed to its value as a document of mid-nineteenth-century music-theoretical thought) depends entirely on how one decides to read it. When taken literally, his description may well appear so specific that it makes for a bad fit with what happens in many sonata forms, including several of the examples he himself cites.[7] When approached more generously, however, and in spite of what the gendered metaphor suggests, Marx's model is able to accommodate a wide range of subordinate themes. This is because he defines "subordinate theme" not in

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Feminine." See also Marcia J. Citron, *Gender and the Musical Canon* (Cambridge: Cambridge University Press, 1993), 132–43.

[3]   Marx, *Lehre*, III, 273. For an alternative translation, see Marx, *Musical Form in the Age of Beethoven*, 133.

[4]   Burnham, "A.B. Marx and the Gendering of Sonata Form," 167. See also Patrick Uribe, "A.B. Marx's *Sonatenform*: Coming to Terms with Beethoven's Rhetoric," *Journal of Music Theory* 55 (2011): 225.

[5]   Eduard Krüger, *Beiträge zum Leben und Wissenschaft der Tonkunst* (Leipzig: Breitkopf & Härtel, 1847), 332.

[6]   Cf. Marx, *Lehre*, III, 259: "The formation of the main theme . . . determines everything that follows."

[7]   See already Krüger, *Beiträge zum Leben und Wissenschaft der Tonkunst*, 332.

absolute terms, but in a relational manner: a subordinate theme is what it is not only because of itself, but also because of the way in which it interacts with what precedes it. Marx's approach thus prefigures the distinction that in form-functional theory is drawn between "intrinsic" and "contextual" formal function.[8]

   Marx's *Formenlehre* is largely about music of the late eighteenth and early nineteenth centuries; it is not a theory of the music of his own time (even though it was presented as a manual for beginners in composition). As Carl Dahlhaus has argued, however, Marx's increased attention for the thematic aspect of sonata form reflects a change that was taking place in contemporary compositional practice, even when no direct reference to that practice is made.[9] Music theorists in the second quarter of the nineteenth century were interested in subordinate themes because composers of their time were so as well. This is not to say that the relation-ship between theory and practice was always straightforward. For Marx, the relationship between main and subordinate theme is unidirectional. Even though his model allows for variation between individual cases, the main theme will always come out as relatively strong and independent, and the subordinate theme always as relatively weak and dependent; the former invariably is hierarchically superior. In the overtures discussed in this chap-ter, however – all from around the time Marx formulated his theory – this relationship is turned on its head. All six feature what I call a "strong subordinate theme": an unusually striking subordinate theme that, as soon as it appears, eclipses or overrules the preceding main theme. In these works, it is the subordinate theme that appears as the more fundamental entity, to which the main theme is subservient.

   In what follows I present two different types of strong subordinate themes. I begin with Janet Schmalfeldt's notion of subordinate themes that "turn inward," which I apply to Mendelssohn's concert overture *Die Hebriden* and to the overture to Wagner's *Der fliegende Holländer*. Then I discuss a category of subordinate themes that do exactly the opposite (namely "turn outward"), using the overtures to Berlioz's *Les Francs-juges* and Auber's *La Muette de Portici* as examples. In the second half of the chapter, I use the notion of strong subordinate themes to analyze two works that invert the relationship between the expositional themes to a more radical

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[8] See, e.g., Michel Vallières, Daphne Tan, William E. Caplin, and Stephen McAdams, "Perception of Intrinsic Formal Functionality: An Empirical Investigation of Mozart's Materials," *Journal of Interdisciplinary Music Studies* 3 (2009): 18, and my "In Search of Romantic Form," 420–21.

[9] Dahlhaus, "Der retorische Formbegriffs H. Chr. Kochs und die Theorie der Sonatenform," *Archiv für Musikwissenschaft* 35 (1978): 11.

extent: Berlioz's concert overture *Le Carnaval romain* and the overture to Wagner's *Tannhäuser*.

Turning Inward

In her book *In the Process of Becoming*, Schmalfeldt has shown one way in which the hierarchical relationship between main and subordinate themes in nineteenth-century music can be inverted. The book's sixth chapter, "Music That Turns Inward," deals with "the tendency within [certain] early nineteenth-century instrumental works toward . . . formal techniques that draw new kinds of attention to deeply felt, song-inspired . . . secondary (as opposed to main) themes." When this happens, the subordinate theme "becomes the focal point of the complete work – the center of gravity toward which what comes before seems to pull, and from which all that follows seems to radiate."[10] For Schmalfeldt, these moments resonate with broader cultural and philosophical concerns common in early nineteenth-century Europe, expressing an idea of inwardness and subjectivity that relies on the opposition between inside and outside – between "a subject with inner depths" and "the objects of this world."[11] A crucial element in her account of this introversion is the category "song": introversive subordinate themes are "song-inspired," and it is the song that gives voice to the subject.

Analogous to Marx's notion of subordinate theme, Schmalfeldt's introversive themes do not constitute an absolute category but are instead defined relationally. Even though the subordinate themes she writes about can be construed as "inward-*turned*," her persistent use of the phrase "*turning* inward" brings out the processual aspect of the phenomenon (fully in line with the general subject matter of her book). And the process implies a point of reference outside the introversive theme itself, in relation to which the music turns inward as it approaches the subordinate theme: the main theme (and, as the case may be, the transition).

Schmalfeldt associates the idea of subordinate themes that turn inward specifically with (late) Schubert, although she never claims that it is an exclusively Schubertian stylistic trait. More generally, her idea of inwardness seems inextricably linked to notions of intimacy and privacy; its locus is chamber music in the most literal sense, i.e., as domestic music making.[12] Inward-turning subordinate themes are not limited, however, to the genres

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[10] Schmalfeldt, *In the Process of Becoming*, 136.   [11] Ibid., 133.   [12] Ibid., 142–43.

of the bourgeois drawing room. They also occur in public instrumental genres such as the overture, and because of the larger apparatus those genres employ, they tend to be more extreme in their effect. Nor is the line between public and domestic as fixed as it initially seems: on the sheet music market, as we saw in Chapter I, many overtures were rapidly domesticated (itself, perhaps, a form of turning inward) in arrangement for smaller musical forces.

Mendelssohn, *Die Hebriden*

One of the earliest and most explicit manifestations of the turn inward in nineteenth-century orchestral music is Mendelssohn's concert overture *Die Hebriden* (1829–30, rev. 1832). The subordinate theme appears at m. 47 in the exposition (see Example 5.1). It is first presented by the celli, bassoons, and clarinets (mm. 47–57) and then repeated by the first and second violins in octaves (mm. 57–66, not shown in the example) before giving way to a grand expansion that leads to its final cadence (mm. 67–89). Save for the expansion, which quickly gathers momentum and brings about the first *fortissimo* in the piece, the theme is eminently lyrical. It is a true melody, according to one commentator even "quite the greatest melody Mendelssohn ever wrote."[13] Thomas Grey describes the theme as an "arching lyrical phrase, [which,] with its expression of hope and intimate confidences, reaches out to us from the musical 'picture' with a song."[14]

Grey's description brings together what would later become the two central characteristics of Schmalfeldt's introversive subordinate themes – lyricism and expressivity – and makes explicit their joint origin in song. While those characteristics are intrinsic to Mendelssohn's subordinate theme, and thus become evident regardless of contextual factors, they are enhanced by their relationship to the theme's surroundings. The song "reaches out to us from the musical picture," Grey writes. The allusion here is, of course, to the familiar characterization of Mendelssohn as a "musical landscape painter." Although the original form of this epithet, which apparently dates back to Wagner, was hardly meant in an unambiguously positive way, it is difficult to dismiss in the context of *Die*

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[13] Donald Francis Tovey, *Illustrative Music (Essays in Musical Analysis*, IV) (London: Oxford University Press, 1937), 92.

[14] Thomas Grey, "*Fingal's Cave* and Ossian's Dream: Music, Image, and Phantasmagoric Audition," in Marsha L. Morton and Peter L. Schmunk (eds.), *The Arts Entwined: Music and Painting in the Nineteenth Century* (New York: Garland 2000), 70.

Example 5.1. Mendelssohn, *Die Hebriden*: subordinate theme (mm. 47–57).

Hebriden.[15] The overture's opening theme is usually understood as a musical depiction of a basalt cave on the Isle of Staffa (one of the inner Hebrides to the west of Scotland) that was known in the nineteenth century as "Fingal's Cave."[16]

Authors have singled out the main theme of *Die Hebriden*, the beginning of which is shown in Example 5.2, for its deliberate musical primitivism. The emphasis on tone color, the implied parallel fifths between the outer voices, the plagal closing motion at mm. 8–9, and the hyperrepetitive motivic structure all exemplify what Todd has dubbed "Mendelssohn's Ossianic manner."[17] In the present context, the crucial element is that the

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[15] Several of Wagner's comments along these lines are recorded in Cosima's diary entries. See, e.g., Cosima Wagner, *Die Tagebücher*, ed. Martin Gregor-Dellin and Dietrich Mack (Munich: Piper, 1977), vol. II, 361.

[16] On the genesis of *Die Hebriden*, see Todd, *Mendelssohn: The Hebrides*, 26–33. But compare Grey, "*Fingal's Cave*," 66–67.

[17] Todd, "Mendelssohn's Ossianic Manner."

Example 5.1. (cont.)

main theme does not articulate a melody. Although it is possible to hear mm. 1–9 as a loose sentence (a two-measure basic idea, two sequential repetitions, and a brief continuation), the motive that is constantly repeated in the most active voice (violas, celli, and bassoon) has a tendency to merge with the accompaniment. It is easy to imagine the first two measures as a prefix that would have receded to the background had a melody entered in m. 3. The accompanimental nature of the leading voice becomes particularly clear in mm. 3–4, where the celli, which were doubling the violas at the octave below in the preceding measures, temporarily go their own way and play a rising arpeggio-like figure in counterpoint to the violas. With its weakly profiled flow of eighth notes, this figure is even more accompanimental than the main motive. Only in mm. 7–8 does a modest melodic profile emerge, yet this, too, quickly turns into an undulating backdrop to the repetition of the theme.

Like the first statement of the theme, its repetition and subsequent expansion attain a more distinct melodic contour only near the end of phrases, first at mm. 15–16, then again in mm. 23–26 (an intermediary attempt to "sing" in mm. 19–20 is abandoned). Throughout the main

Example 5.2. Mendelssohn, *Die Hebriden*: main theme (mm. 1–9).

theme group the highest degree of "melodicity" emerges at those moments where one least expects it: in the lead-up to the cadence, where thematic material typically is "conventional" rather than "characteristic."[18] The first melodic impulse that is sustained for an entire phrase tellingly occurs only in the main theme's short codetta (mm. 27–30), after the theme itself is over, further highlighting the absence of true melody from what comes before.

The main theme thus comes to act as a foil for the subordinate theme, creating a melodic vacuum that is filled only when the subordinate theme enters. The latter establishes itself as the focal point of the form simply because it is, as Grey says, "the first 'real' theme, as a melodic entity."[19] Put

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[18] On conventional and characteristic melodic material, see Caplin, *Classical Form*, 11 and 37.

[19] Grey, "*Fingal's Cave*," 80.

bluntly, it attracts attention because there is no other theme to pay attention to. One could even say that there is an introductory quality about the main theme, especially since in contrast to Mendelssohn's usual overture practice, *Die Hebriden* begins without any kind of introduction. This is not to deny that mm. 1–30 occupy the formal position of a main theme, or even to suggest that they do not fulfill the function of a main theme; but they do conspicuously lack its intrinsic characteristics.

In contrast to the main theme, the subordinate theme appears as a theme in the full sense of the word, that is, as a complete mid-level syntactic unit (albeit one of unorthodox intrathematic organization) with a distinct melodic profile. It is a theme, moreover, not only in an intrinsic sense. It also functions "relationally," its effect relying to a large extent on its relation to the main theme, which distinctly lacks its striking thematic profile. From this perspective, the subordinate theme reacts to the main theme, very much in Marx's left-to-right sense. The hierarchical relationship between the themes, however, is inverted. The subordinate theme is not there as a necessary complement to the main theme, but instead the main theme exists to enable the subordinate theme to fulfill its powerful effect of introspection and subjectification. It is the main theme that is "subordinate" to the theme entering at m. 47, not the other way around.[20]

It is worth emphasizing that it is not the subordinate theme itself that performs the turn inward. When it is first heard, the music has already turned inward. The turn takes place right before, in the form of a harmonic process. The transition is brief and begins surreptitiously. At m. 31, the codetta to the main theme is repeated and expanded, leading to a tonic HC at m. 39. The last steps of the cadential progression are repeated one more time in mm. 41–44. Up to this point, the music resides firmly in the home key. Only at m. 45, two measures before the subordinate theme enters, does the modulation to the mediant take place. This modulation, shown in Example 5.3, proceeds in two steps. First it turns the F♯ major triad (V of B minor) into a first-inversion F♯ minor triad (a "parallel" transformation, in Neo-Riemannian terms), then it proceeds to an A major triad (a "relative" transformation) whose function as a dominant in D major is made unambiguously clear when the seventh is added in m. 46. The modulation is the exact locus of the turn inward. The back-relating F♯ major triad at m. 43–44 looks to the outside world of B minor; the A major

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[20] A further sense in which the main theme might be said to be preparatory is the "prefiguration" of the subordinate theme in the arpeggio-like figure (underscored by the D major sonority) in m. 3 (see Todd, *Mendelssohn: The Hebrides*, 64).

Example 5.3. Mendelssohn, *Die Hebriden*: modulation to the subordinate key (mm. 43–45).

triad in mm. 45–46 looks inside, holding the key to the subjective realm of D major.

The turn inward stands at the center of Grey's reading of *Die Hebriden*, in which "the emergence of the cantabile second theme in the baritonal register of cellos and bassoons" encourages the listener "to construct a subjective presence, a 'viewer' to inhabit the hitherto desolate scene." The subordinate theme fulfills a function similar to that of "certain figure types in landscape painting, above all the Romantic *Rückenfigur* . . ., inviting us to imagine ourselves similarly inhabiting the depicted landscape and meditating on it from 'within' the scene."[21] For *Die Hebriden*, Marx's gendered metaphor for the relationship between main and subordinate themes is irrelevant. The apt metaphor for the exposition in Mendelssohn's overture is not masculine versus feminine, but nature versus human or, more generally, outside versus inside.[22]

Wagner, *Der fliegende Holländer*

An overture with an introversive subordinate theme that is more explicitly gendered is Wagner's strongly sonaticized potpourri-form overture to *Der fliegende Holländer* (1841, rev. 1860). James Hepokoski has called this overture the "compositional counterpart" to Marx's theory, the publication of which it predates by only four years. "There can be no dispute," he writes concerning the two-block exposition in mm. 1–96, "about the gendering of this most stereotypical of mid-19th-century expositions: the first theme represents the tormented Dutchman . . ., the second, the long-desired Senta."[23]

[21] Grey, "*Fingal's Cave*," 69, 70.

[22] The human subject in *Die Hebriden* is not specifically male or female; the register in which the theme is initially presented may suggest a male voice, but the theme is immediately repeated in a high register. To be sure, if one identifies the subjective voice in *Die Hebriden* with that of the composer, then it would be masculine. However, as soon as the listener identifies with that voice – and that identification is crucial in Grey's account – the question of gender again becomes less significant.

[23] Hepokoski, "Masculine – Feminine," 497.

In Chapter III, I argued that interpreting mm. 1–96 as a sonata-form exposition is not without difficulties. But even if one takes the various sonata-form cues at face value, the gendering of the themes is less direct than Hepokoski's formulation suggests. As in *Die Hebriden*, the more immediately relevant metaphor is that of outside versus inside. In the first block, the minor mode, the harsh diminished seventh chords in the winds, and the rising and falling chromatic lines in the strings unmistakably invoke the storm *topos*. This music is fundamentally orchestral in its conception, and here Wagner appears no less of a landscape (or seascape) painter than Mendelssohn in *Die Hebriden*.[24] The second block, by contrast, suggests a more domestic *ambiente*, with its drastic reduction in orchestral forces that is reminiscent of a chamber music setting (the timbres, save for the English horn, are those of a wind quintet).

Gender is projected onto this spatial binary by the program Wagner published for a concert performance of the overture in Zurich in 1853 (subsequently printed in the *Neue Zeitschrift für Musik*) as well as by the alignment of music and stage action in the opera.[25] In the program, the first block is identified with "the terrible ship of the 'Flying Dutchman' [that] is tossed about by the storm." The second block is described merely as "the sympathetic strains of th[e] promise of redemption." Only its fourfold fragmentary return near the end of the development (from m. 285 on) is identified with "the glance of a woman, radiating a sublime pity and divine sympathy." The association of this theme with the female protagonist Senta is confirmed in Act Two of the opera. The first notes she sings are the beginning of the subordinate theme, and this is the first time the theme is heard since the overture. Moreover, the opera's overall scenic disposition reflects the overture's spatial binary and aligns it with a gendered one: Act One, introducing Daland, the Dutchman, and their respective crews, is set in the open air, whereas Act Two, introducing Senta, her nurse Mary, and the spinning girls, is set in Daland's living room.

In *Die Hebriden*, Mendelssohn set up the subordinate theme as the focal point of the form by creating a melodic vacuum in the main theme. Wagner in the *Holländer* overture proceeds in a similar way. As in Mendelssohn's overture, the subordinate theme is the first real theme. The first block, in contrast, consists almost exclusively of sound effects

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[24] Strohm makes a similar point. See his "Gedanken zu Wagners Opernouvertüren," 81. See also Thomas Erle, *Die Instrumentation in den Symphonien und Ouvertüren von Felix Mendelssohn Bartholdy* (Wiesbaden: Breitkopf & Härtel, 1983), 177.

[25] NZ 39 (1853): 59–61. For an English translation, see Grey (ed.), *Richard Wagner: "Der fliegende Holländer,"* 192–93.

Example 5.4. Wagner, overture to *Der fliegende Holländer*: beginning (mm. 1–38).

and short, signal-like motives.[26] More so than Mendelssohn, Wagner also maintains a high level of syntactic instability throughout the first block. One could even say that he inverts the classical distribution of loose and tight-knit phrase structure. Instead of presenting a relatively tight-knit texture in the main theme that is then loosened over the course of the

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[26] See Strohm, "Gedanken zu Wagners Opernouvertüren," 80.

Example 5.4. (cont.)

exposition, he juxtaposes a loose first block with a much more tight-knit second one.

Like Mendelssohn, Wagner begins his overture with a "primitive" open fifth (see Example 5.4; the similarity is considerably obscured by the more

Example 5.4. (cont.)

violent nature of Wagner's opening). The immobile D–A of the first two measures gains motivic contour when the horns and bassoons enter, but as soon as the strings begin their rising chromatic ascent in m. 6, the motive collapses back into the accompaniment. The motive enters again at m. 10, now in the trombones and tuba, yet this time it is cut short by a crashing diminished seventh chord at m. 13. With that chord, a thematic structure begins to emerge for the first time. Taken together with two statements of a new motive, it groups into a four-measure compound basic idea. This compound basic idea is repeated before giving way to a continuation that leads to an arrival on the dominant, thus suggesting an interpretation of mm. 13–25 as a compound sentence. The pick-up to m. 26 seems to launch a new beginning. If one were to indicate the beginning of the transition, it would be here. But syntactic clarity is overthrown almost immediately. Barely three measures into the new unit, the music reverts to the dominant that concluded the previous unit. In retrospect, this urges a regrouping of the preceding measures. Rather than m. 26 marking a new start, mm. 24–27 form a compound basic idea that is immediately repeated, thus once more suggesting the beginning of a sentence. This grouping is confirmed when the diminished seventh chord at m. 32 launches what can be heard as a continuation, leading to another half-cadential arrival, this time followed by a lengthy de-energizing standing on the dominant.

After the long rest in m. 64, everything is different. (The rest, incidentally, is where the turn inward takes place. Unlike *Die Hebriden*, it is not a process, or at least not an audible one; hence the impression of a juxtaposition.) As shown in Example 5.5, the subordinate theme begins with a four-

Example 5.5. Wagner, overture to *Der fliegende Holländer*: subordinate theme in the first exposition (mm. 65–88).

measure unit moving from tonic to dominant that is immediately repeated with only slight melodic variation and in a higher register. This unambiguously suggests the presentation of a compound sentence, thus creating the expectation that an eight-measure continuation will follow. This expectation seems to be met when the next unit, starting at m. 73, proceeds in a faster harmonic rhythm. The continuation is, however, cut short: it ends on an HC after four measures rather than the anticipated eight. When this continuation is followed by an expanded repetition, an alternative

background model emerges. Matching the size not of the presentation as a whole but of the compound basic idea alone, the continuation retrospectively opens up the possibility that the background model for the theme is a hybrid "compound basic idea + continuation" structure that is loosened by the repetition (quasi literal for the first, expanded for the second) of its two phrases.[27]

The syntactic organization of the subordinate theme as a whole, therefore, is anything but straightforward. We saw in Chapter III that the theme even falls back from the mediant to the tonic in its final measures, jeopardizing its status as a subordinate theme and that of mm. 1–96 as a sonata-form exposition. Yet these complications crop up only once the second block is well underway. Its initial impression – the one immediately following the first block – is that of a perfectly stable and well-formed theme. When it first enters, the theme really is the focal point of the form. Only later does it vanish again, like a mirage, to reach its definitive form only in the recapitulation.

Turning Outward

At the time when Wagner composed his overture to *Der fliegende Holländer* in Paris, he also worked as a musical correspondent for the Dresden *Abend-Zeitung*. In May 1841, he decided that the time had come to inform his readers about Berlioz, who was then known in Germany primarily through his first three concert overtures, *Les Franc-juges, Waverley*, and *Le Roi Lear*.[28] Berlioz was hardly any less controversial in Germany than in France, and Wagner himself remained ambivalent about his music.[29] In Wagner's view, its idiosyncrasies stemmed from a tension

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[27] On repetition as a loosening device, see Caplin, *Classical Form*, 59–63 and 99.

[28] On the status of *Les Francs-juges* as a concert overture, see Chapter I. There are twenty-nine documented performances of works by Berlioz in Germany before 1841, all of them overtures. See the overview in Gunther Braam and Arnold Jacobshagen (eds.), *Hector Berlioz in Deutschland: Texte und Dokumente zur deutschen Berlioz-Rezeption (1829–1843)* (Göttingen: Hainholz, 2002), 619–20. The *Symphonie fantastique*, which had been the subject of a famous exchange between Fétis and Schumann in the *Neue Zeitschrift für Musik* in 1835, was not performed in Germany until Berlioz's German tour in 1842–43.

[29] On Wagner and Berlioz, see Peter Bloom, "Berlioz and Wagner: Épisodes de la vie des artistes," in Peter Bloom (ed.), *The Cambridge Companion to Berlioz* (Cambridge: Cambridge University Press, 2000), 235–50 and Frank Piontek, "'Auch bin ich wahrlich nicht gleichgültig gegen ihn': Wagner und Berlioz," in Sieghart Döhring, Arnold Jacobshagen, and Gunther Braam (eds.), *Berlioz, Wagner und die Deutschen* (Munich: Dohr, 2003), 25–52.

between Berlioz's German and French influences, personified by Beethoven and Auber:

From our Germany the spirit of Beethoven blew across to him, and there certainly have been hours when Berlioz would have wanted to be a German.. . . But as soon as he put pen to paper, the natural pulsing [Wallung] of his own French blood set in again, of the same blood that surged in Auber's veins when he wrote the volcano scene in the last act of *La Muette de Portici* . . . Then he felt that he could not be like Beethoven, but neither could he write like Auber. He became Berlioz . . .[30]

Wagner then goes on to explain the difference between the German and French artistic temperament. Whereas the German artist prefers to withdraw from society to find the "true source of his productive powers within himself," French art follows the "direction outward," seeking its source of inspiration "in the outermost points [den äußersten Spitzen] of society."

German music, for Wagner, turns inward, while French music turns outward. Interesting paragraphs could be written that deconstruct a deeply problematic ideology lurking behind Wagner's position, which is yet another manifestation of Sponheuer's "chain of binary opposites" that permeates nineteenth-century musical discourse.[31] Simply to dismiss his discourse, however, no matter how essentializing and nationalistic it may be, would be to overlook its possible relevance to Berlioz's music and its reception among his and Wagner's contemporaries. Wagner's *aperçu* may very well have rung true to a German music lover who first encountered Berlioz's music. For "turning outward" is exactly what the subordinate theme in the overture to *Les Francs-juges* (by 1841 Berlioz's most performed composition in Germany by far) seems to do.

Berlioz, *Les Francs-juges*

It is almost a cliché in the literature on *Les Francs-juges* (1825–26) that the subordinate theme overshadows the main theme.[32] It would nonetheless be tendentious to pretend that there is anything intrinsically incomplete or unsatisfactory about the main theme itself (mm. 60–70, shown in Example 5.6). In contrast to the main themes in both previously discussed

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[30] *[Dresdner] Abend-Zeitung*, 24 May 1841. Also in Wagner, *Sämtliche Schriften und Dichtungen* (Leipzig: Breitkopf & Härtel, 5th edn, 1911), vol. XII, 86.

[31] See Chapter I.

[32] See, e.g., D. Kern Holoman, *Berlioz* (Cambridge MA: Harvard University Press, 1989), 88 and Diane Bickley, "The Concert Overtures," in Peter Bloom (ed.), *The Cambridge Companion to Berlioz* (Cambridge: Cambridge University Press, 2000), 73.

Example 5.6. Berlioz, overture to *Les Francs-juges*: main theme (mm. 60–70).

overtures, it has both the profile and the structure of a "theme." More specifically, it takes the form of a sentence. As the annotations in Example 5.6 show, all that is irregular about its structure is the size of the continuation, which lasts two measures longer than expected: it comprises three one-measure units instead of one, and the pick-up to the half-measure units is stretched from a half to one-and-a-half measures.

With its eleven measures, however (fifteen including the postcadential extension that separates it from the transition), this main theme is rather short, especially after the expansive slow introduction, which lasts more than three minutes. Berlioz, in other words, grants the main theme very little breathing room. Admittedly, its motivic content spills over into the next unit. The transition begins at m. 74 with a varied repetition of the main theme, the first violins literally restating the theme's first six measures and the other strings following canonically at the distance of two measures. Yet the transition quickly moves to the mediant A♭ major and from m. 93 on gets bogged down in mere passagework. Even though this passagework has hardly any thematic profile at all, it lasts twenty-three measures – almost as long as the main theme and its restatement at the opening of the transition combined. It is "a page-long passage [in the piano four-hand version]," complained Gottschalk Wedel in a critique of Berlioz's overture in 1837, "in which there is nothing but fiddling upon fiddling, abstruse sound upon abstruse sound."[33]

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[33] NZ 47 (1837): 186.

Example 5.7. Berlioz, overture to *Les Francs-juges*: subordinate theme (mm. 116–50).

When the subordinate theme enters at m. 116 (see Example 5.7), the contrast with the main theme could not be greater. It surpasses by far anything that precedes it in melodiousness and memorability. This is because of a combination of contextual and intrinsic factors. First and foremost, the subordinate theme is comparatively light – Wedel, in the critique mentioned above, called it the "shining idea of the whole."[34] This is not so much because of the major mode (which was secured several measures earlier), but because of the texture. Whereas the main theme is labored and, at the beginning of the transition, even quasi-academic, the subordinate theme appears as a melody over an energetically pulsing accompaniment. In contrast to the hectic nature of the main theme, moreover, the subordinate theme has time. The theme itself is thirty-one measures long, and it is repeated almost in its entirety, embellished by a descant voice in

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[34] Ibid. Given the general tenor of his discussion, it is not impossible that Wedel is being sarcastic here.

Example 5.7. (cont.)

the upper woodwinds that is derived from the main theme. As a whole, the subordinate theme group lasts for fifty-eight measures.

The subordinate theme's most striking intrinsic characteristic is that it is perfectly singable without being particularly lyrical. Every pair of measures comprises the same lively anacrustic rhythm followed by either a long sustained note, or a legato gesture of two or three notes. This gestural uniformity goes hand in hand with a hyperregular metrical grid of thirteen groups of four measures (and an incipient fourteenth group). All that keeps this succession of four-measure groups from becoming unbearably tedious is its functional differentiation through harmony: after a four-measure prefix, the theme enters with a four-measure basic idea, a four-measure contrasting idea, and an eight-measure phrase underpinned by an expanded cadential progression. This cadential phrase leads to an IAC and is repeated twice with slight variations. The second iteration ends like the first, but the third leads to a PAC.

In spite of its irresistible energy, the overly regular phrase structure of Berlioz's subordinate theme could be (and has been) heard as an aesthetic

defect.[35] It is a stylistic lapse from the main theme – a lapse, perhaps, into the aesthetic realm of Auber, the composer who in Wagner's account of Berlioz's music represented the essence of musical Frenchness. It is not entirely surprising, then, that in his *Mémoires*, Berlioz conceded that the theme was borrowed from a quartet he had written as a teenager.[36] All the same, its superiority over the main theme is confirmed – in a sense, acted out – in the final stages of the overture. In the recapitulation, the main theme receives even less emphasis than in the exposition because its restatement at the beginning of the transition is now omitted. The opposite happens to the subordinate theme. Its energy now unleashed, it is allowed to blossom into a grand apotheosis that lasts close to a hundred measures.

If I apply the same category of "strong subordinate theme" to Mendelssohn's and Wagner's overtures on the one hand and Berlioz's on the other, it is with the understanding that they are strong in almost opposite ways. Mendelssohn's and Wagner's introversive subordinate themes are subordinate themes through and through: they are strong in spite of having all the characteristics we normally associate with romantic subordinate themes, such as lyricism, expressivity, and melodiousness. In both cases, the strength of the subordinate theme relies not on size or brute force (as the Wagner example makes especially clear), but on its degree of "thematicity" and phrase-structural stability. Berlioz's subordinate theme is strong in a different way. It is not lyrical or expressive, but energetic, acquiring to a certain extent characteristics we would normally associate with main themes. To put it differently, the idea of a sonata form in which the subordinate theme from *Die Hebriden* or the *Holländer* overture would function as a main theme seems almost absurd. But it is not so hard to imagine how Berlioz's subordinate theme could function, in a different context, as a main theme.

Auber, *La Muette de Portici*

When positioning Berlioz between Beethoven and Auber, Wagner specifically invoked the spectacular final scene of *La Muette de Portici* (1828) – a work he greatly admired.[37] The overture to *Les Francs-juges* predates that of *La Muette* by about two years. Its first performance, however, took place three months after Auber's highly successful opera had been premiered.

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[35] See Bickley, "The Concert Overtures," 61.   [36] Berlioz, *Mémoires*, 14.
[37] For Wagner on *La Muette*, see "Erinnerungen an Auber," in *Gesammelte Schriften und Dichtungen*, vol. IX, 44–49.

The reception history of Berlioz's overture, therefore, arguably occurred against the background of Auber – not least in Germany, where Auber was widely considered (for better or worse) the epitome of modern French music (Wagner's choice of Auber as a point of reference is entirely typical in this respect). And while the overtures to *Les Francs-juges* and *La Muette* differ in many respects, there is one striking point of similarity: both make use of a strong subordinate theme.

As Example 5.8 shows, Auber's subordinate theme is cast as a conventional small ternary. Its dotted rhythms and rudimentary accompaniment (literally marking the beat), the prominence of winds and percussion, and the martial impetus unmistakably invoke the topos of the French patriotic song. The theme returns in the opera at the end of Act Four ("Honneur, honneur et gloire"), when the revolutionary spirits of the people reach a high point. It is the kind of melody that always sounds as if one has heard it before and is supposed to sing along. So memorable is the tune that one nineteenth-century commentator in an involuntary *pars pro toto* conflated it with the overture's entire Allegro section.[38]

As in the other overtures in this chapter, the effect of Auber's strong subordinate theme depends on both intrinsic characteristics and contextual factors. We saw in Chapter IV that the overture begins with a multi-tempo introduction in which two statements of a sentential Allegro unit surround a contrasting Andante. The topical content is colorful. With its minor mode, prominent diminished seventh chords, surface chromaticism, and overall tonal instability, the violent Allegro clearly invokes the tempest topos. The Andante, with its tonic pedal drone and its woodwind solo, even more clearly represents the pastoral.

The pronounced topical profile of the introduction contrasts strongly with the beginning of the exposition, which is comparatively bland. Its form, moreover, is entirely unremarkable. The main theme (mm. 70–100) concludes with a PAC that is elided with a tutti-affirmation transition. The transition ends on an HC in the dominant minor, the key in which the first subordinate theme (like the main theme, a compound sentence) enters at m. 120. The second subordinate theme (mm. 143–70) then follows, elided with the PAC that concludes the previous theme.

The effect of this unexciting course of events is that the second subordinate theme stands out all the more. One contributing element is the

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[38] See Oscar Comettani, "Daniel François Esprit Auber," in Theodore Thomas, John Knowles Paine, and Karl Klauser (eds.), *Famous Composers and Their Music* (Boston: Millet, 1901), vol. V, 663.

Example 5.8. Auber, overture to *La Muette de Portici*: subordinate theme 2 (mm. 143–65).

contrast with the first subordinate theme in the dominant minor. To write a minor-mode subordinate theme in a minor-mode sonata form is hardly a revolutionary move, but it still constitutes a moment that is marked and carries some significance. If any narrative connotation is to be inferred, it

certainly is not a positive one. The first subordinate theme is, moreover, unusually chromatic for Auber. The combination of the minor mode with the plaintive descending chromaticism arguably stages the theme as "weak" in relation to the strong subordinate theme that follows.

This effect is enhanced by the relationship between the overture and the opera. Up to and including the strong subordinate theme, the overture projects the distinct sense of a potpourri consisting of minimally related sections.[39] When the strong subordinate theme enters, it is the sixth new thematic idea in the piece, and contrast between the successive segments is generally strong. The motley impression is further increased by the internal structure of the main theme. Preceded by a three-measure prefix, the theme takes the form of a large-scale compound sentence. A complex model comprising a double basic idea and a four-measure contrasting idea is stated in tonic form and repeated in dominant form, and the continuation approaches the scale of the presentation by twice evading the cadence.[40] The degree of contrast between the theme's constituent parts is high. The double basic idea, the contrasting idea, and the continuation are all motivically unrelated, and the contrast is underscored by the instrumentation. The basic idea is presented exclusively by the strings, the contrasting idea by the winds and percussion, and the continuation by a mix of winds and strings. In combination with the enlarged scale of each of the main theme's building blocks, this maximized contrast creates an impression of relatively independent ideas rather than of a unified theme.

While the contrast between formal units at different levels gives the impression of potpourri *form* (an impression that is definitively dispelled only when the main theme is recapitulated at m. 201), Auber's reliance in this overture on the potpourri *procedure* is limited. Apart from the strong subordinate theme, only the very beginning of the overture is drawn from the opera: the tempestuous opening measures return in Mazaniello's recitative "Spectacle affreux" at the start of Act Four. As the first theme since the overture's first measures to be borrowed from the opera, the strong subordinate theme reactivates the potpourri procedure and thus stands out from its context as a moment of recognition. One could object

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[39] Already in 1832, Carl Borromäus von Miltitz complained about the lack of coherence between the overture's many melodies. See AMZ 34 (1832): 177–78. Steinbeck also talks about the "concatenation principle as form-constituting factor," the "form of a melodic potpourri," and the "largely completed dissolution of sonata form" (*Die Ouvertüre in der Zeit von Beethoven bis Wagner*, 92).

[40] On "complex models" in nineteenth-century sentential patterns, see my "Sentences, Sentence Chains, and Sentence Replication," 134–35.

that the connection between the strong subordinate theme and the opera is irrelevant because it becomes clear only in retrospect. In view, however, of the opera's popularity and the numerous arrangements, potpourris, and collections of highlights that were available, it is safe to assume that soon after its premiere, relatively few spectators would have been attending a performance of the opera without prior knowledge of its big tunes.

One of the more intriguing aspects of the reception history of *La Muette de Portici* is that it is not only an opera about a revolution, but that it also has a connection to a real revolution. I am alluding here to the role that a performance of *La Muette* at the Théatre de la Monnaie in Brussels on 25 August 1830 purportedly played in the launch of the Belgian uprising against the Dutch that same night.[41] It is generally accepted that the performance did not literally spark the revolution, but that specific moments in the opera may have been agreed-upon signals for certain factions to take action. The key incendiary moment in the opera is usually taken to be the refrain "Amour sacrée de la Patrie" in the duet "Mieux vaut mourir" between Masaniello and Pietro in Act Two. The overture's subordinate theme, however, invokes exactly the same topos as this melody. When the subordinate theme returns in the opera in the final chorus of Act Four, Auber adds a level of tragic irony. While the people celebrate Masaniello, his (former) comrades are plotting his murder – the first serious indication that the revolution will eventually fail. As Sarah Hibberd points out, it is not obvious how this irony can be brought out in performance – for all practical purposes, the end of Act Four sounds like a triumphal chorus.[42] In the weeks leading up to the Belgian Revolution (and in the wake of the July Revolution in Paris), Parisian performances of *La Muette* had omitted Act Five. Interestingly, an announcement on 25 August in *Le Courrier des Pays-Bas* (one of the main catalysts of the Belgian Revolution) suggested that, even though the Brussels performance would be of the complete five-act version, attendants might prefer to leave the hall after Act Four.[43] Audience members who followed the advice of the *Courrier* would not only have found themselves joining the revolutionary crowd gathered in front of the opera house, they would also have done so with the strong subordinate theme in their ear and perhaps on their lips.

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[41] For the most detailed account of events in English, see Sonia Slatin, "Opera and Revolution: 'La Muette de Portici' and the Belgian Revolution of 1830 Revisited," *Journal of Musicological Research* 3 (1979): 45–62.

[42] Sarah Hibberd, *French Grand Opera and the Historical Imagination* (Cambridge: Cambridge University Press, 2009), 46.

[43] Cited in Slatin, "Opera and Revolution," 50.

Turning Around

In a chapter that took as its starting point Marx's hierarchical understanding of main and subordinate themes in sonata form, it is tempting to relate Auber's use of a strong subordinate theme in the overture to *La Muette* to the opera's revolutionary subject matter. In a revolution, an existing sociopolitical system, with its concomitant hierarchy, is literally turned around. Auber's exposition likewise overthrows the traditional hierarchical relationship between main and subordinate themes. However, the revolution metaphor has limited relevance for the rest of the overture, as the strong subordinate theme has no impact on the further course of the sonata form. The exposition's final PAC is elided with a return of the transition (including its minor mode), now repurposed as a retransition. The arrival of an HC in the tonic triggers the recapitulation, which is clearly modeled after one of Rossini's recapitulatory procedures. The main theme returns unchanged, but the transition is omitted, so that the PAC that concludes the main theme is elided with the entry of subordinate theme 1 (à la Rossini);[44] the subordinate theme group is recapitulated entirely, subordinate theme 1 in the minor, subordinate theme 2 in the major; after subordinate theme 2 follows a double crescendo that was not there in the exposition. There is nothing about the form of this recapitulation that can be considered revolutionary – and it would surely go too far to interpret this formal status quo as a prefiguration of the failed revolution in the opera.

In the two works that I discuss in the final section of this chapter, the hierarchical superiority of an outward-turned subordinate theme over the main theme in the exposition does have momentous consequences for the way in which the rest of the form plays out. Both in Berlioz's concert overture *Le Carnaval romain* (1844) and in the overture to Wagner's *Tannhäuser* (1845, rev. 1875), the themes' form-functional roles are reversed over the course of the form, as the strong subordinate theme from the exposition seems to assume main-theme function in the recapitulation. In both overtures, moreover, the unusual formal trajectory resonates with the program implied by the overture's title in *Le Carnaval romain* and by the opera's dramatic action in *Tannhäuser*.

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[44] At the same time, the omission of the transition from the recapitulation of course also reacts to its use as a retransition from exposition to recapitulation; once the tonic has been regained it is used up, as it were.

Berlioz, *Le Carnaval romain*

Stephen Rodgers has recently pointed out that Berlioz's reliance in *Le Carnaval romain* on certain sonata-form conventions is as obvious as its departure from others.[45] Table 5.1 provides a formal overview; the numbers in the bottom row of the chart refer to the themes whose incipits are shown in Example 5.9.[46] Once the long multi-tempo introduction (a brief *Allegro assai* followed by a luxuriating *Andante sostenuto*) has drawn to an end, the *Allegro vivace* launches what clearly seems to be an exposition: a saltarello main theme in mm. 78–102, a transition in mm. 102–27, and a boisterous subordinate theme in mm. 128–68. Already in this exposition, however, the distribution of cadences is odd. The main theme ends, as expected, on a PAC in the tonic (the covering $\hat{5}$ in the flute is part of the accompaniment). The transition, however, begins as a postcadential addition to the main theme, then appears to modulate to ♭III, only to revert to the tonic in the last instant and conclude not with an HC, but with another PAC. Moreover, the subordinate theme does not attain cadential closure at all. If one understands it as a ternary design (with mm. 128–43 as an A section, mm. 144–59 as a contrasting middle, and m. 160 as the beginning of a varied A′ section), the A′ section does not lead to a cadence in the dominant, but rather turns into a retransition that modulates back to the home key. From this point of view, Berlioz transplants a familiar way of organizing the opening of an exposition – a small ternary main theme with a dissolving A′ that becomes the transition – to its end.[47]

Even more unusual is that the retransition leads to a full repeat of the exposition. As we have seen, this is fundamentally at odds with the genre conventions of the overture.[48] What is more, the exposition repeat is not indicated by repeat signs, but completely written out, with modifications.

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[45] Stephen Rodgers, *Form, Program, and Metaphor in the Music of Berlioz* (Cambridge: Cambridge University Press, 2009), 63–84.

[46] My reading of the piece's outlines is largely analogous to Rodgers's, differing from it on only three accounts: the internal organization of the subordinate theme, the beginning of the development, and the beginning of the coda. Compare the form chart on p. 66 of Rodgers, *Form, Program, and Metaphor*.

[47] On expositions that begin with a dissolving small ternary, see Caplin, *Classical Form*, 130 and Hepokoski and Darcy, *Elements of Sonata Theory*, 70, 108–11.

[48] Overtures with a repeat at the end of the exposition were as rare in the first half of the nineteenth century as they were in the eighteenth. I know of only one example, Mendelssohn's *Ouvertüre für Harmoniemusik*, Op. 24 (1824, rev. 1826/38), which in its original version was simply titled *Harmoniemusik* and therefore may not have been conceived with the genre conventions of the overture in mind in the first place.

Table 5.1 Berlioz, *Le Carnaval romain*: Formal Overview

PART 1 / MULTI-TEMPO INTRODUCTION

Allegro assai con fuoco	*Andante sostenuto*
1–18	19–77
"false start"	A – B – A – B – A – codetta
I	♭III – V – I
I:HC	I:HC
(1)	(2)

PART 2: SONATA FORM *Allegro vivace*

EXPOSITION 1

78–102	102–27	128–68		
Main Theme	Transition	Subordinate Theme		
	(codetta⇒TR)	A (128–43)	B (144–59)	A′⇒RT (160–68)
I	I – (♭III) – I	**V**	V – (vi)	V
I:PAC	I:PAC (!)			no cad. (!)
(3)	(4)	(1)		

EXPOSITION 2 (!)

168–92	192–225	225–75		
Main Theme	Transition	Subordinate Theme		
	(codettas⇒Tr)	A (225–40)	B (241–56)	A′⇒PETR (257–75)
I	I – (iii) – V	**V**	V – (vi)	
I:PAC	V:PAC (!)			no cad. (!)
(3)	(4)	(1)		

DEVELOPMENT

276–99	300–43
Pre-core	Quasi core
	♭VI – I
X	(2 [+3])

RECAPITULATION (?)

344–55	356–66	367–87	387–412
Subordinate Theme (!)	Fugato	Intro Theme (!)	Codetta
A only			
I		VII/V – v – I	I
		I:PAC	
(1)		(2 [+3])	(4)

CODA

413–46
I
I:PAC
(1)

Example 5.9. Berlioz, *Le Carnaval romain*: thematic incipits.

This too is exceedingly unusual in the first half of the nineteenth century. The modifications in the second exposition affect both instrumentation and tonal organization. The most important structural change is that the transition is expanded and now firmly establishes the dominant, ending with a V:PAC that is elided with the entry of the subordinate theme. Cadential closure is still absent from the subordinate theme itself, however, even though its A′ section is substantially rewritten.

A new sonata-form cue is given at m. 276, when a developmental pre-core seems to begin. This impression is confirmed when a core-like unit starts at m. 300, drawing on the rhythm from the main theme and on the melody from the slow portion of the introduction.[49] The development leads not to a complete recapitulation, but to a return of the subordinate theme only (now in the tonic). As Rodgers emphasizes, this brings into play the notion of a "binary" sonata form or, in Hepokoski and Darcy's terms, a "Type 2 sonata form" in which there is no recapitulation but a "tonal resolution."[50] Main theme material resurfaces only to accompany a final fragmentary statement of the introduction's slow melody, while the opening of the transition now functions as a codetta. The final return of the subordinate theme marks the beginning of the coda.

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[49] On core and pre-core functions, see Caplin, *Classical Form*, 141–55.

[50] Hepokoski and Darcy are categorical about this distinction. Given the rotational basis of their theory, a recapitulation can by definition begin only with a return of the main theme. See *Elements of Sonata Theory*, 353–87.

In Rodgers's view, the apparent anomalies are the consequence of Berlioz's strategy in *Le Carnaval romain* to mix vocal and instrumental forms and genres. The most palpable aspect of this mixing is the inclusion of several themes from Berlioz's opera *Benvenuto Cellini* (first version, 1836–38) in the manner of a potpourri overture. The melody from the slow portion of the overture's introduction comes from the trio "Cellini!" from Tableau One of the opera, and the entire exposition and its written-out repeat are taken from the carnival scene in Tableau Two. The vocal element, Rodgers argues, also affects the form of the overture: its sonata form is overlaid with the (typically French) strophic song form of the *romance* or *couplet*. One common version of this pattern consists of three strophes, each comprising a preparatory verse and a culminating refrain. While the refrain by definition remains more or less identical in all three strophes, the preceding verse may be subject to variation, especially in the final strophe. As Rodgers points out, it is not hard to see the analogy between this three-strophe plan and the exposition, its repetition, and the development and recapitulation in *Le Carnaval romain*. In Rodgers's reading of the piece, this mixing of forms is one of the ways in which Berlioz's overture expresses the idea of "carnival" from the title. By combining sonata form and strophic song, each with its own expressive and social connotations, the composer invokes a carnivalesque "sense of disorder" that "unsettles hierarchies."[51]

While Rodgers's interpretation is compelling, there are two marginalia to be made. First, Rodgers's analysis somewhat downplays the importance of the introduction. He notes the typically Berliozian preview of one of the exposition's themes as well as the various returns of the introduction's main melody later in the overture, but the introduction nonetheless stands outside the form he analyses, regardless of whether one understands that form as a sonata form, a strophic form, or a combination of both. While this in itself is not an unusual analytical procedure, it seems unsatisfactory in the case of *Le Carnaval romain*. The introduction is so long that it takes up close to half of the entire duration of the piece. Rather than being just a preamble to the sonata form (or the sonata/strophic form), mm. 1–78 are so substantial that they can be perceived as a self-sufficient movement that is weighted equally with the fast portion of the overture. As a result, *Le Carnaval romain* in its entirety is accurately referred to as a sonata form with a multitempo introduction only from the point of view of its sonata-form portion; from the point of view of mm. 1–78, it is better described as a bipartite form. (An early reviewer even heard the slow introduction as the

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[51] Rodgers, *Form, Program, and Metaphor*, 78.

main part of the piece, the concluding *Allegro* being only "the crown of the whole tone picture.")[52] But also if one hears mm. 1–78 primarily as an introduction, they have an impact on what happens in the sonata form proper. The return of thematic material from mm. 1–78 in the overture's sonata-form portion is not just a passive connection between both parts of the form. Rather, the specific treatment of that thematic material in the slow introduction sets up expectations for its use in the overture's sonata-form portion and thus fundamentally affects the way we hear and understand the latter. (I will come back to this below.)

Second, there is a strong analogy between Rodgers's strophic plan and Hepokoski and Darcy's understanding of sonata form as a rotational form: a structure that "extend[s] through musical space by recycling one or more times—with appropriate alterations and adjustments—a referential thematic pattern established as an ordered succession at the piece's outset" (or, in this case, at the outset of the piece's sonata-form portion).[53] One could wonder whether this analogy does not undermine the explanatory force of the strophic view in the first place. If the strophic design is essentially the same as a rotational form, what does it add to say that sonata form is combined with strophic form, given that in Hepokoski and Darcy's sonata theory, a rotational background is inherent to sonata form? The answer is that Rodgers's strophic form differs from a rotational view of sonata form in one important respect. In Hepokoski and Darcy's theory, a sonata form is either a triple rotation (with the exposition, development, and recapitulation each coinciding with one rotation) or a double rotation (with the exposition as a first and the development and recapitulation combined as a second rotation).[54] In either scenario, the exposition counts as only one rotation, also when it is repeated. The three strophes of Rodgers's strophic form, in contrast, are aligned with Exposition 1, Exposition 2, and the Development + Recapitulation respectively. The strength of his reading is thus that it provides an explanation for the written-out repeat of the exposition; a purely rotational view cannot account for this.

The strophic view loses some of its appeal, however, when it comes to hearing the Development + Recapitulation as a third strophe. Rodgers

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[52] *Berliner musikalische Zeitung* 1 (1844): 33.

[53] Hepokoski and Darcy, *Elements of Sonata Theory*, 611; Hepokoski specifically mentions Berlioz's overture as an example of "fusion of strophic and sonata principles" in his *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 7. Rodgers acknowledges the analogy and in fact uses Hepokoski and Darcy's terminology parallel to his own.

[54] In addition, there is the possibility of quadruple rotations, in which the coda constitutes yet another rotation.

notes that it is conventional for the first portion of the original strophe to be varied upon subsequent returns, especially the last time around. Yet while the label "variation" accurately describes the relationship between the first portions of Strophes 1 and 2, Strophe 3 is so different that it is not clear how relevant the notion of variation still is. Many sonata-form developments parallel or at least refer to the thematic layout of the exposition. For this reference to be there, it suffices that the development begin with main theme material. But exactly the opposite happens in *Le Carnaval romain*. The pre-core uses motivic material that is not obviously related to any of the material from the exposition (or, for that matter, the introduction). In the core-like unit, the main theme is reduced to its rhythm and relegated to the accompanimental background. What happens in the foreground – the development of the melody from the introduction – is entirely unrelated to the first section of either Strophe 1 or 2. In a rotational form, it is possible for specific rotations – or portions thereof – to be written over by music that temporarily obscures or even deactivates the rotational principle; and especially in sonata-form developments, this strategy is not uncommon.[55] However, if the point of the piece at hand is to project a strophic form alongside its sonata form, it would be odd for the rotational principle to be obscured at such a crucial moment in the form.

It seems, in other words, that the strophic reading provides some but not all the answers. I therefore propose an alternative interpretation of the sonata-form portion of *Le Carnaval romain* that takes the category "strong subordinate theme" as its point of departure. That the subordinate theme in this overture falls squarely within this category needs little argument. As Rodgers notes, "this is the tune we hum to ourselves as we leave the concert hall."[56] Especially in the first exposition, the preparatory character of the main theme and transition is unmistakable and contrasts starkly with the big bang that launches the subordinate theme. Rodgers even claims that Berlioz, in his *Mémoires*, refers to the subordinate theme as the work's "main theme."[57] This may be reading too much into Berlioz's words. "Main theme" is how David Cairns renders Berlioz's "thème" (rather than, say, "thème principal") in his translation of the *Mémoires*. More importantly, Berlioz uses "thème" to refer to the entirety of the "saltarello" from *Benvenuto Cellini*.[58] There is no reason to understand "saltarello" as referring specifically to the overture's subordinate theme, since the entire

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[55] Rodgers makes this argument too. See *Form, Program, and Metaphor*, 159, n. 14.
[56] Ibid., 70.   [57] Ibid.
[58] Berlioz, *Mémoires*, 212. For the English translation, see *The Memoirs of Hector Berlioz*, trans. David Cairns (New York: Knopf, 2002), 236.

double exposition is taken from the opera. Nonetheless, Rodgers's suggestion is tantalizing: what if the subordinate theme in *Le Carnaval romain* really is the main theme?

At first sight, the question may well appear nonsensical. True, intrinsically the subordinate theme "could" have been a main theme. As was the case with the strong subordinate themes in the overtures to *Les Francs-juges* and *La Muette de Portici*, it is not hard to imagine a sonata form in which it would function as such. But that obviously is not how the theme is used here. In both expositions, it appears in the dominant rather than the tonic, and both also contain a theme in the tonic that, while less memorable, nonetheless constitutes a perfectly acceptable main theme.

However, in a piece with the word "carnival" in its title, things are not necessarily what they seem. Quite the contrary: one of the essential elements of carnival is the masquerade, that is, the use of masks to confuse identities. The idea that the themes in *Le Carnaval romain* are part of a masquerade resonates with the vocal–instrumental exchange that stands at the heart of Rodgers's interpretation. But one can extend this idea to the form-functional plan: the strong subordinate theme in Berlioz's overture is not really a subordinate theme, but a main theme that, for considerable stretches of the form, masquerades as the subordinate theme.

Several elements support this interpretation. A first one is the very beginning of the multitempo introduction. As discussed in Chapter IV, a favorite strategy of Berlioz's was to first provide a brief in-tempo preview of a theme that does not emerge fully until later in the form and only then proceed with the more substantial slow portion of the introduction. In all other pieces in which Berlioz uses this strategy, the preview is of the main theme. Only in *Le Carnaval romain* is it the subordinate theme. The implication is that a listener familiar with these other pieces would expect the previewed theme not only to come back, but to come specifically as the main theme.

A second element is the way in which the subordinate theme enters in Exposition 1. There is a sense of surprise here: the theme comes in, so to speak, head over heels. This is in part because of the sequence of events in the transition – first a codetta to the main theme, then a short-lived move to ♭III, and finally a return to, and cadential confirmation of, the tonic. At the tonic PAC in m. 126, there is no reason to assume that this is already the end of the transition, especially not given the proportions of the introduction, which sets the listener up for a very expansive sonata form. After hearing two PACs in the tonic at the beginning of a sonata-form exposition, an informed listener probably does not expect a subordinate theme

but either the beginning of the transition (on or off-tonic) or yet another main theme. And given what happened in the introduction, the latter scenario is the more probable one: the main theme and transition (Themes 3 and 4 in Example 5.9) would then be heard as preparation for the entry of the theme promised by the preview. The surprise effect at m. 128, in other words, stems not from the fact that we hear this theme; this *is* the tune we have been waiting for. What is unexpected is that it appears in the dominant rather than the tonic (as it did at the beginning). One can think of the themes in Berlioz's overture, metaphorically, as characters in a play, or, more precisely, as actors who do not follow their script or play their dedicated roles but instead start to improvise and react to each other's moves. In the two linking measures during which the brass gathers momentum (mm. 126–27), the main theme that was slated to enter in the tonic quickly puts on its subordinate theme mask and not only fools the listener, but also takes the two preceding formal units by surprise. (It is not hard to hear how it could and perhaps even should have entered in the tonic, as Example 5.10 illustrates.) In more technical terms, the entry of the main-theme-turned-subordinate-theme triggers a retrospective reinterpretation of the formal unit in mm. 102–27. In relation to the preceding unit (i.e., the main theme in mm. 78–102), it functions as a second main theme. In relation to the following main-theme-turned-subordinate-theme, however, it functions as a transition.

Example 5.10. Berlioz, *Le Carnaval romain*: hypothetical recomposition of the entry of the main-theme-turned-subordinate-theme in the first exposition.

After this unforeseen turn of events, the themes' formal functions – or, to continue the metaphor of a staged masquerade, the actors' roles – are redistributed in the second exposition. The very *raison d'être* of the second exposition is to make this redistribution possible. Rather than continue to act as two preparatory members of a larger main theme group, Themes 3 and 4 draw the conclusion from the fact that the planned third member of the group has put on a subordinate theme mask. Theme 3 now gets to carry the full burden of main-theme function, hence its transformation at the beginning of the second exposition. Theme 4 also adjusts to its new role and understands that it is supposed to modulate to the dominant (although it does so in a slightly overenthusiastic manner, leading to a PAC rather than an HC in the new key). Theme 1 continues to do what it did before: it pretends to be a subordinate theme. (That it still does not provide the expected cadential closure may be seen as another indication that it is a main theme that is merely posing as a subordinate theme.)

If the subordinate theme really is a main theme that pretends to be a subordinate theme, then it must be overwriting another theme that was originally slated to be the subordinate theme. Who is the actor who was supposed to play that role? I venture to suggest that it is the lyrical melody from the overture's slow portion (Theme 2 in Example 5.9). If one hears the overture's slow portion as part of an introduction, then it would not be unreasonable to expect that melody to play a role beyond the introduction itself. Analogous to the way in which the initial false start of the introduction in several of Berlioz's overtures offers a preview of what will later become the main theme, the melody from the main portion of the introduction in several romantic overtures returns as the subordinate theme in the exposition.[59] In *Le Carnaval romain*, the slow melody is prevented from doing so by the main-theme-turned-subordinate-theme. As a result, its reappearance is pushed back into the development.

Until the end of the development, the themes stay out of sync with their intended formal functions (or at least with the formal functions suggested by the use of those themes in mm. 1–78). When, immediately after the development, it is the subordinate theme, not the beginning of the exposition, that launches the recapitulation, the masks come off. The strong subordinate theme now finally assumes the role it was supposed to play all along: that of main theme.

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[59] See Chapter IV.

Wagner, *Tannhäuser*

It is not hard to see similarities between *Le Carnaval romain* and Wagner's *Tannhäuser* overture, which was completed little more than a year later.[60] A first similarity concerns the relationship between the slow introduction and the sonata-form portion of the overture. As was the case for Berlioz's overture, referring to the *Tannhäuser* overture simply as a fast sonata form with a slow introduction would be one-sided. The slow music that precedes the switch to the fast tempo at m. 81 returns at the end, still in the fast tempo but renotated in longer note values (mm. 321–442).[61] From the point of view of the overture's sonata-form portion, these outer sections can be understood as an introduction-coda frame. Yet mm. 1–80 have nothing in common with the form of any of the introductions discussed in Chapter IV: they consist of a simple alternation of two contrasting themes (a purely rotational form, in Hepokoski and Darcy's terms). The sonata-form portion, moreover, takes up less than half of the overture's total duration, so that it may very well appear subordinate to the music that surrounds it. From the vantage point of the slow (or apparently slow) sections, that is to say, the sonata form can be heard as interrupting a more fundamental rotational form that resumes when the sonata form is over.

Within the sonata-form portion of the *Tannhäuser* overture, there are further similarities to *Le Carnaval romain*. As in Berlioz's overture, the strongest theme in the exposition is the one that is presented in the subordinate key; it is this subordinate theme that first returns in the tonic after the development, thereby greatly minimizing the role of main theme material in the recapitulation; and the strength of the subordinate theme is established to a large extent relative to the main theme and transition that precede it.

In one of the earliest analytical discussions of the *Tannhäuser* overture, Johann Christian Lobe already highlighted the unusual looseness of the

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[60] The chronological proximity rules out the possibility of direct influence. Grey mentions the possible influence of Berlioz's earlier overtures, especially *Les Francs-juges* and *Le Roi Lear* in "Wagner, the Overture, and the Aesthetics of Musical Form," *19th-Century Music* 12 (1988): 17, n. 25. See also Strohm, "Gedanken zu Wagners Opernouvertüren," 70, 74–75.

[61] Wagner later changed the overture dramatically by excising the return of material from the slow introduction and leading directly from the overture into the opening scene of Act One. It is a stubborn misunderstanding, however, that this revision is part of the opera's "Pariser Fassung." Wagner contemplated making the cut before the performances in Paris in 1861 but then abandoned the idea again and held on to the same, "full" version of the overture as at the first performance in Dresden in 1845. Only much later, for a series of performances in Vienna in 1875, did Wagner actually make the cut. See Carolyn Abbate, *The "Parisian"* Tannhäuser (PhD diss. Princeton University, 1984), 283 n. 360.

Table 5.2 Wagner, Overture to *Tannhäuser*: Phrase-Structural Organization of mm. 81–141

	81–87	strings of °7 chords	not a recognizable theme type
tightening	88–96	♭VI→I	simple sentence ([2+2]+4)
			I:PAC
	96–111	I	compound sentence ([4+4]+8)
loosening	112–23	strings of °7 chords	compound sentence ([4+4]+4)
	124–41	I→V	compound sentence ([4+4]+10)
			V:HC

exposition's opening and contrasted it with the "clearly constructed" subordinate theme (the "Gesangsgruppe," in Lobe's terms).[62] The Allegro's first sixty-one measures, he wrote, constitute a "deviation from the traditional way of constructing an overture." They "occupy the space" of a main theme and transition ("Thema- und Ueberleitungsgruppe"), but they do not coalesce into a unity. Syntactically, Lobe noted an extreme juxtaposition of short and unrelated ideas. When it comes to harmony, he found the level of tonal volatility throughout mm. 81–141 so high that it was virtually impossible to determine a main key.

Modern-day analysts will no doubt find Lobe's position exaggerated, especially his unwillingness to hear E major as a tonal center. Formally as well, mm. 81–141 are less disorganized than he suggests. As Table 5.2 shows, they can be understood as comprising five large units, all except the first of which take the form of a sentence (either simple or compound). These five units are not consistently loose. The degree of looseness varies, outlining a process first of gradual stabilization and then of gradual destabilization. The Allegro begins in a state of maximal instability, both syntactically and harmonically: mm. 81–87 are saturated with diminished seventh chords and fail to project a recognizable theme type (here, Lobe's claim that no tonal center can be determined is understandable). The next unit (mm. 88–96) has a much more tight-knit phrase structure, with a clear two-measure basic idea, its repetition, and a four-measure continuation. This phrase-structural regularization is supported by a process of

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[62] *Fliegende Blätter für Musik* 1 (1855): 444–65.

harmonic clarification: the opening of the sentence centers around C major, which turns out to function as ♭VI in E major when a PAC in that key arrives. Here the music attains its maximum level of stability. The cadence is elided with the beginning of the presentation of a compound sentence that, for the first time in the Allegro, prolongs tonic harmony. As soon as the continuation enters, however, the structure loosens again. Although the syntax remains very regular (a sentential continuation, and a textbook example of a liquidation process), both the modulation away from E major and the absence of a cadence significantly increase the harmonic instability. The next sentence sustains and even increases the level of looseness: the diminished seventh harmonies from the beginning return, and the phrase-structural regularity of the presentation is under-mined by the abridged continuation. When the final unit eventually brings new stability in the form of an emphatic HC in m. 137, we are already in the subordinate key.

Even though Lobe was overstating his case, it is clear that he was on to something. What his analysis suggests is that in the *Tannhäuser* overture, the main theme, and transition are not discrete entities, but are instead merged into a single block – the same strategy Wagner used in the overture to *Der fliegende Holländer*. As in the earlier overture, the distinction between main theme and transition in the *Tannhäuser* over-ture has become insignificant; the unusual degree of looseness in the first block is answered by a much more tight-knit subordinate theme; and the absence of a mediating transition is part of a strategy that maximizes the contrast between the blocks. A difference between the two works is that in the *Tannhäuser* overture, the first block functions more obviously as a preparation to the subordinate theme. Its overall looseness creates a sense of increasing anticipation that culminates in the HC at m. 137. The energy accumulated in the preceding continua-tion through a combination of accelerando, crescendo, and fragmenta-tion makes that cadence point beyond itself to the subordinate theme that is about to enter.[63]

The entry of the subordinate theme at m. 142 does not miss the mark. It emphatically presents itself as the first real theme, the moment we have been waiting for since the beginning of the *Allegro*. The harmonic instabil-ity and volatile texture of the preceding units give way to a much more continuous and largely diatonic melody with chordal accompaniment. For

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[63] I hear the harmony at m. 137 as the final dominant of a half-cadential progression in spite of the presence of a seventh and a ninth.

the first time since the overture's slow portion, there is a sustained melodic line that comes from one voice. It is not insignificant, of course, that in the opera, this theme is literally a song: Tannhäuser's song in praise of Venus (Act 1, Scene 2). The harmonic and textural simplification goes hand in hand with a tightening of phrase structure. As Example 5.11 shows, the subordinate theme begins with a modulating sixteen-measure period, with the antecedent ending on a deceptive cadence and the consequent leading to a V:PAC.[64] This period is followed by a contrasting middle in the dominant, suggesting that the theme as a whole will take the form of a small ternary. Yet the A section never returns. At m. 172, the contrasting middle merges into the development – without having provided cadential closure to the subordinate theme.[65]

The consequences of this constellation reach far beyond the exposition. As in *Le Carnaval romain*, the weakly profiled main theme lacks the capacity to launch the recapitulation, a task that instead falls to the subordinate theme. When material from the first block eventually returns at m. 273, it has been relegated to the codetta.[66] This "reversed" recapitulation is only one aspect of a larger arch-like plan that underlies the entire *Tannhäuser* overture.[67] Table 5.3 illustrates this. On the one hand, the symmetry established by the exposition and recapitulation is carried over into the interior of the sonata-form portion, whose developmental space centers around an interpolated G major episode flanked by two more genuinely developmental sections that are based on material from the first block. On the other hand, it is projected beyond the sonata form in the return of the slow music from the beginning in the final section of the overture. The tendency toward symmetry also affects the internal organization of both outer units. The alternation of the two themes in the opening section not only follows the pattern A-B-A-B-A (shortened to A-B-A when it returns at the end), but also coincides with a composed-out crescendo

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[64] The fact that the antecedent ends with a deceptive cadence is uncommon but makes sense given that the antecedent itself is distinctly periodic. The deceptive cadence is stronger than the lower-level HC midway through the antecedent, yet not so strong that it precludes the following consequent.

[65] Procedures such as these are common in Wagner, including his later works. See Anthony Newcomb, "Those Images That Yet Fresh Images Beget," *The Journal of Musicology* 2 (1983): 237–245.

[66] Liszt already noted this in "Tannhäuser et le combat des poëtes-chanteurs," 116.

[67] See Strohm, "Gedanken zu Wagners Opernouvertüren," 83–84; Grey, "Wagner, the Overture, and the Aesthetics of Musical Form," 15, 16–17. Table 5.3 differs from the similar overviews provided by Strohm and Grey in its details but not in its substance.

Example 5.11. Wagner, overture to *Tannhäuser*: beginning of the subordinate theme (mm. 142–61).

Example 5.11. (cont.)

and decrescendo; the instrumentation of the last A section is identical to that of the first.

The impression of a schematic, architectonic construction is reinforced by the overture's heavy reliance on the potpourri procedure. Every slot in the scheme is filled by premade musical content that is lifted from the opera. The two melodies that alternate in mm. 1–80 are associated with the pilgrims. In the opera, they are heard together for the first time only in Act 3, Scene 1, although the second one already makes a brief appearance in Act 1, Scene 3. All themes and motives in the overture's *Allegro* come from Act 1. The largest and most literal borrowing from the opera occurs in mm. 88–137, which are a renotated version of mm. 9–107 from Scene 1 with changes that for the most part affect only the orchestration. The

Table 5.3 Wagner, Overture to *Tannhäuser*: Overarching Formal Symmetry

			Interpolated Episode (195–219)					
		Development (172–94)		Development (220–41)				
	Exposition				Recapitulation			
	1st block (81–141) · ST (142–71)				ST (242–72) · 1st block (273–320)			
Intro (frame) (1–80)							Intro (frame) (321–442)	

subordinate theme, as indicated above, is Tannhäuser's "Dir töne Lob" from Scene 2. Finally, the clarinet melody in mm. 196–203 of the interpolated episode in the development as well as the material that follows it are based on Venus's "Geliebter, komm" from the same scene.

Nonetheless, the symmetrical arrangement of thematic material across the overture as shown in Table 5.3 tells only part of the story. The other part is shown in Table 5.4. Following the form as it unfolds from left to right within the sonata-form portion results in a much more dynamic picture, as the functional relationship between formal units changes *en cours de route* and gives rise to various overlapping but sometimes mutually incompatible interpretations. In this process of changing relationships, the strong subordinate theme plays a crucial role.

The role of the strong subordinate theme seems unambiguous enough. Although the first block, comprising the main theme and transition, is thematically underarticulated, the functional sequence (introduction – main theme – transition – subordinate theme) is uncontroversial, not only because of the tempo change at m. 81, but also because of the large-scale tonal organization, which makes it virtually impossible for the orchestral version of Tannhäuser's song to function as anything other than a subordinate theme. The situation changes, however, when the perspective is narrowed and the first sixty-one measures of the overture's sonata-form portion are bracketed out. If one imagines that the exposition starts at m. 142, it becomes possible to hear the subordinate theme as a main theme.

The suggestion to ignore mm. 81–141 may at first appear preposterous. But as the boxed portion of Table 5.4 shows, it enables an interesting

Table 5.4 Wagner, Overture to *Tannhäuser*: Sonata-Form Portion with Embedded Sonata Form

EXPOSITION		DEVELOPMENT			RECAPITULATION	
81–141	142–71	172–94	195–219	220–41	242–72	273–320
Block 1	ST	DEV 1	Episode	DEV 2	ST!	Codetta (Block 1 material)
I	V		♭III → V/V		I	
V:HC	no cad.		**♭III:HC** ~~V/V:PAC~~		**I:PAC**	

Embedded Sonata Form:	*MT (Tann-häuser)*	*TR*	*ST (Venus)*	*DEV*	*~~RE~~*
	I		*♭VI → V*		
		♭VI:HC	~~*V:PAC*~~		

interpretation of the music from the strong subordinate theme onwards. For if one hears the strong subordinate theme as a main theme (and B major as a tonic), the first section of the development can be understood as a transition and the interpolated episode as a subordinate theme. This makes sense tonally: the transition leads to an HC (with standing on the dominant) in ♭VI at m. 190. The subordinate theme enters in ♭VI and modulates to V, concluding with a thwarted PAC (m. 220). The theme at m. 142, in other words, while functioning as the subordinate theme in the sonata form that starts at m. 81, simultaneously acts as the pivot into an embedded three-key exposition in which it plays the role of main theme.

The embedded exposition is no abstruse analytical construct. It is made salient by a cadential plan that is more conventional than that of the "overarching" exposition. What is more, the formal functions in the embedded exposition are highlighted by the themes' contrasting character: a boisterous main theme and a lyrical subordinate theme. This characterization resonates with the incontestable (and stereotypical) gendering of the themes through their use in the opera. As mentioned above, Tannhäuser sings the melody of the strong subordinate theme (the main theme in the embedded exposition), Venus that of the slow episode (the subordinate theme in the embedded exposition). The thematically amorphous music in the exposition's first block, the development, and the

codetta of the recapitulation stands not for a character, but for a setting: the Venusberg. It forms a backdrop, a *décor* in which two actors, represented by Tannhäuser's and Venus's themes, enter the stage – just as in the opera.

Similar to the relationship between Tannhäuser and Venus in the opera, the embedded sonata form in the overture was not meant to last. The PAC at the end of the embedded exposition is elided with the onset of a development whose emphatic half-cadential close is followed by a recapitulation of the main theme. This recapitulation, however, is not in B major, the tonic of the embedded sonata form, but in the E major of the overarching sonata form. The recapitulation of Tannhäuser's theme thus functions as a pivot back into the overarching sonata form, which is confirmed when that theme leads to a PAC in E major and is followed by material from the first block in the codetta.

Over the course of the sonata-form portion of the *Tannhäuser* overture, we witness a gradual transformation in formal function of the melody from Tannhäuser's "Dir töne Lob." When it first enters, it relates to the preceding first block as a strong subordinate theme. It is "subordinate" in the sense that it is the theme in the subordinate key, but it is "strong" in the sense that it is rhetorically more prominent than the first block. This rhetorical prominence is what allows the strong subordinate theme to function as a main theme, first in its own sonata form (the embedded sonata form), and then in the overarching sonata form. In the latter, it takes over the function of launching the recapitulation where the first block lacks the rhetorical strength to do so. Conversely, the first block, which had main-theme function in the exposition, sheds that function in the recapitulation in order to assume postcadential function. It is important to note, however, that the first block yields its main-theme function not only to the strong subordinate theme. Arguably the strongest recapitulatory gesture in the *Tannhäuser* overture is the return of the music from the opening section at the very end. This moment marks the final form-functional transformation in the overture. To the extent that the return of the opening melody has the effect of a recapitulation, the opening music itself – which from the perspective of the fast sonata-form portion, was an introduction – now becomes an exposition. Only here, and therefore only in retrospect, does the form represented by Table 5.3 emerge.

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Like *Le Carnaval romain*, the *Tannhäuser* overture has been interpreted as an example of the "Type 2 sonata."[68] Readers might wonder, therefore, whether

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[68] Hepokoski and Darcy, *Elements of Sonata Theory*, 364.

the "Type 2" option is not being given short shrift in the above analyses. I will return to the general question of "Type 2 sonatas" in the nineteenth century in Chapter VII. As far as the specific cases of *Le Carnaval romain* and the *Tannhäuser* overture are concerned, however, I believe the "Type 2 sonata" is not the appropriate lens. The return of the subordinate theme after the development is more than just the tonal resolution it would constitute in a "Type 2" reading. It is most emphatically a thematic return. In both works, the omission of the main theme from the recapitulation is the logical consequence of the constellation in the exposition: there, the main theme was eclipsed by the presence of a much more effective subordinate theme to such an extent that a recapitulation beginning with the main theme would be ineffective. The subordinate theme appeared as the highpoint of the exposition, and it is the only theme that is capable of launching the recapitulation. In that sense, the strong subordinate theme assumes main-theme function.

It should be clear, moreover, that by choosing not to invoke the concept of the "Type 2 sonata," I by no means advocate for a simplistic rehabilitation of the outdated concept of the reversed (or "mirror") recapitulation. With its emphasis on symmetry, this concept suggests a static form, a premade scheme in which each formal unit has its fixed function. This is the opposite of the way I understand *Le Carnaval romain* and the *Tannhäuser* overture. The "turn around" in the recapitulation is not there to fulfill the require-ments of a formal scheme that is imposed on the piece from outside, but rather reacts in real time to the internal workings of the earlier portions of the piece. More importantly, both overtures are emphatically dynamic forms. In the *Tannhäuser* overture, the formal functions change according to the perspective one takes; in *Le Carnaval romain*, surprise is piled upon surprise by means of ever-shifting formal functions.

This dynamic view of musical form is relevant for the other overtures analyzed in this chapter as well. As the reader may have noticed, I have remained deliberately vague about anything to do with criteria for strong subordinate themes, and I have opted not to provide a long list of examples. It is not that that would be impossible: examples that come to mind include Wagner's *Rule Britannia* (1837), the overture to Donizetti's *La Fille du régiment* (1840), and Mendelssohn's overture to *Athalie* (1843–44). However, the relevance of any specific example of a strong subordinate theme remains limited when adduced without a close consideration of its immediate formal context. It is difficult to define what a strong subordinate theme is, except in a piece-specific manner. The strength of a subordinate theme relies not only on what it is intrinsically, but also, and especially, on its relationship to the main theme.

VI | Open-Ended Expositions

Nonrepeated Expositions

When, in the final decades of the eighteenth century, symphony and overture solidified into two distinct genres, one of the most obvious formal markers of that distinction was their differing use of large-scale formal repeats. In Chapter I we saw that symphonic first movements of the 1780 and the 1790s overwhelmingly repeated at least the exposition (and sometimes, although less and less, also the development and recapitulation) of the sonata form, while single-movement overtures by definition did not include repeat signs, regardless of whether they were in sonata or in sonatina form.[1] These different repeat conventions were more than just an external feature of the large-scale disposition of the respective forms. Large-scale repeats contributed to the grandeur of the late-eighteenth-century symphony, making it, in the words of James Hepokoski and Warren Darcy, "a sumptuous, high-prestige display of grand architecture."[2] Conversely, the absence of formal repeats from overtures can be understood to confirm that genre's minor and purely functional status. Both practices – repeated expositions in symphonies, non-repeated ones in overtures – persisted into the nineteenth century. So central was the nonrepeated exposition to the identity of the overture genre that it became part of its definition in many composition manuals of the era.[3]

While omitting the exposition repeat may seem a superficial measure of little analytical interest, it can profoundly alter the internal dynamics of the form. Nonrepeated expositions allow composers to reconfigure the connection between the end of the exposition and the beginning of the development. In a sonata form with repeated exposition, the exposition and development are neatly separated. A repeat sign literally draws a line between the two: what stands to the left of it belongs to the exposition, what stands to the right of it, to the development. The repeat sign thus reinforces the function of the

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[1] Classical sonata-form finales in symphonies normally included an exposition repeat as well.

[2] Hepokoski and Darcy, *Elements of Sonata Theory*, 26.

[3] See the definition from Czerny's *School of Practical Composition* quoted in Chapter I. See also Reicha, *Traité*, II, 298; Lobe, *Compositions-Lehre*, 165; Ernst Friedrich Richter, *Die Grundzüge der musikalischen Formen und ihre Analyse* (Leipzig: Wigand, 1852), 40.

exposition's codetta. It fences off the exposition from the development, turn-ing it into a discrete formal unit. The act of repetition itself further emphasizes the exposition's discreteness. If, by contrast, there is no repeat sign, it becomes possible to blur the line between the exposition and development. Composers of overtures in the eighteenth century seem not to have been interested in pursuing this possibility. But composers of romantic overtures were. Many of their works feature what may be called "open-ended expositions": expositions that either do not achieve full closure before the development begins, or that reopen closure that was previously achieved in order to smoothen the move into the development.

Blurring the Line

The part of the exposition that is most immediately affected by the tendency to eschew full closure is the codetta. Here, as throughout this book, I use that term as a direct equivalent to William Caplin's term "closing section": it refers to the (usually short) passage of music that follows the last fully functional PAC in the exposition's goal key. While codettas may themselves include further cadential progressions, those progressions will either not have cadential function, or they will be cadences of limited scope.[4]

A good illustration of a codetta, as well as a typical example of how expositions end in the late eighteenth century, is the overture to Mozart's *Don Giovanni* (1787). At m. 100, the two-part subordinate theme concludes with a PAC that is elided with the codetta. This codetta is, in view of the overall size of the exposition, expansive. Consisting of a series of increasingly short modules, it projects a strong sentential impetus (with mm. 99–110 as presentation-like and mm. 111–20 as continuation-like), in spite of the fact that the typical harmonic infrastructure of a sentence has been reversed: the basic idea and its repetition are underpinned by (expanded) cadential progressions, whereas the continuation prolongs tonic harmony.

Example 6.1 shows the second, continuation-like half of the codetta and the opening of the development. Three "hammer-blow" chords in mm. 119–20 mark the endpoint of the continuation's liquidation process and are followed by two beats of rest in the entire orchestra. The development starts in the next measure. Even though the beginning of the development continues in the key (and with the harmony) of the end of the exposition, the separation between both units is complete: to the left

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[4] See Chapter II, note 19. As explained there, my term for the constituent units of a codetta is "codetta modules."

Example 6.1. Mozart, overture to *Don Giovanni*: end of the exposition and beginning of the development (mm. 111–22).

of the bar line is the exposition, to the right, the development. All one would have to do to turn this overture into a symphony movement is replace that bar line with a repeat sign. The exposition is nonrepeated, but it is "repeatable" in exactly the form in which Mozart wrote it.

This kind of complete separation of the beginning of the development from the end of the exposition remains a common option in romantic overtures. One example is the overture to the play *Gijsbrecht van Aemstel* (1839) by Johannes Verhulst. The subordinate theme group reaches its concluding PAC at m. 178. The unit that follows consists of five short codetta modules, shown in Example 6.2: two looped cadential progressions (mm. 178–80 and 180–82; the motivic material is drawn from the main theme), two measures of tonic-dominant alternation (mm. 182–83), and a concluding set of three hammer blows (mm. 184–85). The development, separated from the exposition by three quarter rests in the entire orchestra, begins with a pick-up to a restatement of the hammer blows, now transposed down a major second. As in the *Don Giovanni* overture, the exposition is not repeated, but it is repeatable as written (with the one difference that, because of the pick-up in m. 186, the repeat would have to be notated using a prima and secunda volta).[5]

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[5] Other examples of the same technique can be found in the overtures to Weber's *Silvana* (1810), Mendelssohn's *Die beiden Pädagogen* (1821), Donizetti's *Linda di Chamounix* (1842), and Otto Nicolai's *Die lustigen Weiber von Windsor* (1849), as well as Louise Farrenc's Overture No. 2 in E♭ major, Op. 24 (1834).

Example 6.2. Verhulst, overture to Vondel's *Gijsbrecht van Aemstel*: end of the exposition and beginning of the development (mm. 178–87).

The notion of "repeatability" of the exposition becomes more palpable in Mendelssohn's *Die Hebriden* (1829–30, rev. 1832). There, the brief tutti codetta begins at m. 89, elided with the exposition's final PAC. At m. 95, the texture is thinned out to an incomplete D major triad (a d–f♯ dyad in the horns and trumpets). This dyad is then left hanging into the next measure, where it turns into a B minor triad (the piece's tonic) with the return of the exposition's opening motive in the violas as well as the tremolo in the violins. The technique is reminiscent of the one Mendelssohn used to launch the exposition in the *Ouvertüre zum Sommernachtstraum* (1826). In that earlier work, the development ends on a PAC in C♯ minor, from which the dyad e–g♯ (the first sonority of the thematic introduction to the main theme) is isolated and reinterpreted in E major.[6] In *Die Hebriden*, the technique used

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[6] For a classic account of this passage, see Charles Rosen, *Sonata Forms*, rev. edn (New York: Norton, 1988), 272–74.

in the *Sommernachtstraum* overture to move from the development into the recapitulation is inverted (first a dyad, then a triad) in order to move from the exposition into the development. But the implications in the later piece are very different. Even though the motivic correspondence to the beginning is exact for only one measure, and even though the texture in m. 96 differs from the opening of the piece in its details, the reference to the main theme in the home key is unmistakable. A development that begins as a feigned exposition repeat is not without precedent; two examples from Beethoven are the opening movements of the String Quartet in F major, Op. 59, No. 1 and the Ninth Symphony. In an overture, however, it is a striking, perhaps even puzzling, gesture, because a repeat of the exposition is exactly the opposite of what one expects.

Another option that stays close to classical practice is to connect the end of the codetta to the beginning of the development by means of a transition. In order to avoid terminological confusion with the transition in the exposition and recapitulation, this transition may be dubbed a "post-exposition transition." A classical point of reference for this formal function is what Caplin has called a "transitional introduction" to a development.[7] Transitional introductions are common in developments that start in a key other than the exposition's subordinate key. The development's pre-core begins with dominant harmony in the new key, and the overall effect is that of an anacrusis to that key's tonic. This classical technique is sometimes used in romantic overtures as well. The Overture No. 1 in E minor, Op. 23 by Louise Farrenc (1834) is a good example. The exposition's codetta ends with two hammer-blow chords in m. 144 and is separated from the beginning of the development by a full-measure rest. The boundaries of the exposition and the development, therefore, are as unambiguous as in the examples from Mozart and Verhulst discussed above. And as in Verhulst's overture, the development begins with a transposed restatement of the hammer-blow chords. The difference is that they take the form of a V^6_5 chord that functions as an extended pick-up to the real beginning of the development at m. 148 and, therefore, as a transitional introduction.

When the separation between the end of the exposition and the beginning of the development is not so clear, transitional units often seem to group with the end of the exposition rather than with the development, so that the term "transitional introduction" is less appropriate. Even in these cases, however, the classical model is relevant. Caplin's transitional introduction is often part of a two-stage process. The exposition's codetta is followed by a retransition that, in the first instance, leads back to the home key for the

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[7] Caplin, *Classical Form*, 147.

exposition repeat. At the end of the exposition repeat, the same music then leads, via the added "transitional introduction," into the development. A similar situation may also be notated using a first and a second ending to a repeated exposition. In that case, the first ending includes a retransition that leads back to the main theme in the tonic for the exposition repeat, after which the second ending is amended to form a transition into a development (a clear example is the first movement of Beethoven's "Eroica"). Although a retransition is an option only in a sonata form in which the exposition is repeated, post-exposition transitions in sonata forms with non-repeated expositions nonetheless often betray their origin in the retransition/transition strategy by first feigning a return to the home key and modulating to the key in which the development begins only afterwards.[8]

An example of such a post-exposition transition with retransition feint appears in the overture to Spohr's *Jessonda* (1823). Example 6.3 shows the codetta and the beginning of the development. The single subordinate theme arrives at a PAC at m. 143. The codetta begins in the same measure, its motivic content derived from the main theme and its harmony based on a variant of the "quiescenza" pattern (I–V^7/IV–IV–V^7–I over a tonic pedal, with the typical $\hat{8} - \flat\hat{7} - \hat{6} - \natural\hat{7} - \hat{8}$ melodic line changed to $\hat{8} - \flat\hat{7} - \hat{6} - \flat\hat{6} - \hat{5} - \hat{4} - \hat{3}$).[9] The quiescenza is presented twice, but without the dissipation of energy that is usually associated with it. Instead, the repetition of the quiescenza, which was presented in *pianissimo* the first time around, brings a crescendo leading to *forte* at the pick-up to m. 152. Two measures later the bass finally moves, first to V^4_2 of IV (thus suggesting a modulation back to the home key E♭ major), but then on to the dominant of C minor, the key in which the development starts at m. 157.

Spohr's strategy in the earlier overture to his opera *Faust* (1813) is similar but lacks the retransition feint. The exposition's final PAC at m. 64 is elided with an accompanimental prefix to the codetta. As in the *Jessonda* overture, the codetta recalls motivic aspects of the main theme and begins with a looped quiescenza pattern (mm. 64–68 and 68–72) before giving way to simple tonic-dominant alternations. In spite of the harmonic stability, the passage's last four measures do function as a post-exposition transition: the modal decay in mm. 74–75 paves the way for the E♭ major slow episode that substitutes for the development.[10]

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[8]   On the relation to retransitions in sonatina forms, see below.
[9]   On the quiescenza, see Gjerdingen, *Music in the Galant Style*, 181–95.
[10]   Other examples include all three of Beethoven's *Leonore* overtures, the overtures to Weber's *Euryanthe* (1823) and Verdi's *Stiffelio* (1850), Lobe's concert overture *Reiselust* (1833), and Kalliwoda's Overture No. 7 in C minor (1839).

Example 6.3. Spohr, overture to *Jessonda*: end of the exposition and beginning of the development (mm. 143–59).

In neither of these strategies – one using a literal gap, the other a transition between the codetta and the development – does the nonrepeated exposition fundamentally affect the boundary between exposition and development. This

Example 6.4. Mendelssohn, *Ouvertüre zum Sommernachtstraum*: end of the exposition and beginning of the development (mm. 246–51).

is less obvious for the latter strategy than for the former. A post-exposition transition may very well undermine the closedness of the codetta. It does not, however, obfuscate the moment when the development starts. In a sense, the post-exposition transition merely fills the gap between the last chord of the codetta and the first of the development, analogous to the caesura-fill that often occupies the space between the end of the transition and the beginning of the subordinate theme in an exposition or recapitulation. A line can still be drawn that separates the development from the exposition.

Consider, by contrast, the end of the exposition and the beginning of the development in Mendelssohn's *Sommernachtstraum* overture. As Example 6.4 shows, the last step in a downward arpeggio at the end of the exposition coincides with the return of the main theme (in the dominant minor) that opens the development. It is not hard to imagine how the elision could be undone by postponing the entry of the development, especially since the contrast between the codetta on the one hand and the development on the other is maximal. Everything is different, including the thematic material, the mode, the instrumentation, the texture, and the dynamic level. Nonetheless, the situation here differs fundamentally from the previous examples. For a moment – however brief – the music is both the end of the exposition and the beginning of the development. And that moment is made possible in the first place by not repeating the exposition. Had the exposition been repeated, eliding its last chord with the onset of the development would have been an option only in a second ending, that is, after a nonelided first ending (it is generally impossible, of course, to elide the end of a codetta with a repeat of the exposition). In a sonata form with exposition repeat, therefore,

an elision between the end of the codetta and the onset of the development would necessarily be heard against the background of a preexisting discrete exposition ending.[11]

Another example is Fanny Mendelssohn's Overture in C major (1830–32[?]). Here, the development begins at m. 124 with a restatement of the exposition's single codetta module in the parallel minor of the subordinate key. Neither the shift to the minor mode or the use of codetta material are unusual at the start of a development. Yet as in the *Sommernachtstraum* overture, the beginning of the development is obscured because it is elided with the end of the preceding codetta.

A related situation, although one that is closer to nonelision, arises when the codetta and the beginning of the development are "flush-juxtaposed," to use James Hepokoski and Warren Darcy's term.[12] The codetta then ends on the first beat of the measure, and the development begins immediately after – on the second beat or even the second half of the first beat – often with an accompanimental vamp and usually contrasting in texture, dynamics, and instrumentation. William Sterndale Bennett's concert overture *Die Waldnymphe* (1838) is a good example. The subordinate theme cadences at m. 182, the brief codetta ends with the *forte* chord on the downbeat of m. 186, and the development starts on the second eighth note of that measure, with the same harmony but now *piano* and in a reduced texture.[13]

In the *Sommernachtstraum* overture, the sudden change in texture, dynamic level, material, and mode make it unambiguously clear that m. 250 marks the beginning of the development rather than another codetta. And even though there is less contrast in Fanny Mendelssohn's Overture in C major, the beginning of the development is unmistakable because of the shift to the minor mode. But things are not always so transparent. Take the overture to Mendelssohn's cantata *Die erste Walpurgisnacht* (1831–32, rev. 1842–43). The PAC at the end of the long subordinate theme (mm. 50–102) is elided with a codetta, the first eleven measures of which are underpinned by a tonic pedal (mm. 102–12). After the turbulent *fortissimo* beginning, the codetta gradually drops to *piano*, a dynamic fade-out that is paralleled by a reduction in melodic activity. At m. 112, a new accompaniment figure enters,

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[11] The exposition and development are elided in the same manner in Mendelssohn's Overture in C major (the so-called *Trompeten-Ouvertüre*, 1825–26, rev. 1833).

[12] Hepokoski and Darcy, *Elements of Sonata Theory*, 80.

[13] Other examples of this strategy include the overtures to Lortzing's *Der Waffenschmied* (1846) and Friedrich von Flotow's *Martha* (1847). Classical precedents include Beethoven's *Egmont* and *Fidelio* overtures (1809–10 and 1814).

followed at the pick-up to m. 114 by a fresh thematic idea that is unrelated to any of the themes from the exposition. Because m. 112 marks both the endpoint of a melodic and dynamic process and a change to a new texture with new material, we might very well take it to be the beginning of the development, much like m. 250 in the *Sommernachtstraum* overture.

But how can we be sure? Could mm. 112–17 not constitute another codetta module, perhaps specifically one that is reminiscent of the kind of "*piano* afterthought," to use Hepokoski and Darcy's label, that one sometimes finds in Mozart?[14] They are, after all, harmonized with a cadential progression and thus continue to (re)confirm the exposition's goal key E minor. It is not hard to imagine how mm. 112–17 could have initiated a larger second group of codetta modules, complete with their own liquidation process. Example 6.5 shows one way in which that might have happened. Only when the hypothetical recomposition of Example 6.5 does not materialize does it become unambiguously clear that the development is underway. Rather than answering them with a consequent-like restatement (as in the recomposition), mm. 118–21 treat mm. 114–17 as a model by sequencing them down a whole step, thus beginning a process of destabilization that eventually leads to the development's core at m. 139. From the vantage point of mm. 118–21, mm. 114–17 (and, by extension, mm. 112–13) are retrospectively reinterpreted as part of the development. But in light of what precedes them, they arguably still belong to the exposition's codetta. Once one acknowledges the double function of mm. 112–17 as both the end of the exposition and the beginning of the development, it becomes impossible to draw a line between the two.[15]

Whereas in the *Sommernachtstraum* overture and in the Overture in C major, the time span during which the midlevel temporal functions of after-the-end and beginning coincide was limited to the first downbeat of the development, the overture to *Die erste Walpurgisnacht* stretches that time span out from m. 112 to m. 117. Still, only the last of several codetta modules "becomes" the opening unit of the development. The earlier modules exclusively belong to the exposition, so that the concluding PAC of the subordinate theme group falls squarely within the exposition. In more extreme cases, all of the codetta modules are retrospectively

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[14] See Hepokoski and Darcy, *Elements of Sonata Theory*, 187.
[15] Other examples include Mendelssohn's *Meeresstille und glückliche Fahrt* (1828, rev. 1833–34), as well as the overture *Die Braut von Messina* by Ferdinand Ries (1829). An early instance of a similar situation, which may well have functioned as a model, is Beethoven's *Coriolan* overture (1807).

Example 6.5. Mendelssohn, overture to *Die erste Walpurgisnacht*: hypothetical recomposition of the final codetta module in the exposition (mm. 112–17.1 are authentic, mm. 117.2–23 are hypothetical).

reinterpreted as part of the development. As a result, the exposition's structural endpoint – not just its postcadential portion – is elided with the onset of the development.

Wagner's *Rienzi* overture (1840) is an example of this situation. As Example 6.6 shows, the arrival of the exposition's final PAC at m. 195 is confirmed by a bravura codetta module underpinned by elementary tonic and dominant harmonization. Starting at m. 199, the four-measure module is repeated – or so it seems. While the first two measures do indeed come back literally, the next two are transposed down a minor third. The first codetta module (mm. 195–98) definitely belongs to the exposition; its modified repetition, by contrast, starts to lead away from the exposition's subordinate key toward the development. The second codetta module thus "becomes"

Example 6.6. Wagner, overture to *Rienzi*: end of the exposition and beginning of the development (mm. 195–212).

Example 6.6. (cont.)

a post-exposition transition. The development then seems to begin at m. 203, with a restatement of the original codetta module in F♯ minor (iii of the overarching tonic D major). The unit starting at m. 203 exhibits the phrase structure of a development core, comprising a two-measure model, its sequential repetition, and four measures of fragmentation that lead to an HC at m. 211. This interpretation of the form is shown in the upper row of form-functional annotations in Example 6.6. Two measures is, however, short for a model in a developmental core; more common is four or more. Retrospectively, therefore, the entire passage from m. 195 to m. 212 can be heard along the lines of the interpretation provided in italics in the bottom row of annotations in Example 6.6: a model in mm. 195–98, its varied repetition in mm. 199–202, and a fragmentation process starting at m. 203. Seen thus, the beginning of the development coincides with the PAC that concluded the subordinate theme group, and the entire codetta is retrospectively reinterpreted as part of the development. The interpretation of m. 195 as the beginning of the development gains additional relevance in view of what happens at the end of the recapitulation. The PAC at m. 346 parallels the one

at m. 195. What follows, however, is not a return of the codetta module from mm. 195–99, but the stretto coda.

Wagner uses a similar connection between the exposition and the development in *Eine Faust-Ouvertüre* (1839–40, rev. 1843–44/1855). The exposition contains two subordinate themes, both modulating. The first (mm. 118–34) modulates from F major to A major. Its cadence is elided with the entry of the second subordinate theme that begins as a transposed repetition of the first. The continuation of the second subordinate theme, however, modulates back to F major and, after considerable expansion, leads to an IAC at m. 167. The cadence in the strings is elided with the entry of a chorale-like theme in the winds. Because of its harmonization – a long tonic pedal that then moves to a dominant pedal – this chorale suggests epilogic function. This postcadential potential fully materializes at the end of the overture, when the same material returns over a tonic pedal as part of the coda (mm. 398–412). At the end of the exposition, however, the suggestion of a codetta is deceptive. At m. 183, right when we expect it to resolve to the tonic, the dominant is inflected, first to V^6_5 of A, then to V^7 of G♭. This triggers a restatement of the entire unit up a semitone from m. 189 onwards, launching a series of sequences and fragmentation processes. We have clearly entered developmental territory, and the unit that initially seemed to function as a codetta is retrospectively reinterpreted as the beginning of a model-sequence-fragmentation process.[16]

In a related but altogether more straightforward scenario, the final PAC of the exposition's subordinate theme group may be elided or flush-juxtaposed with what is immediately apparent as the onset of the development. In these cases, there is no hint of a postcadential function, and therefore no retrospective reinterpretation. One example is the overture to the Paris version of Donizetti's *Roberto Devereux* (1838). The subordinate theme ends on a PAC in the relative major on the downbeat of m. 146. On the next quarter note, the mode changes to minor and the head of the main theme returns. The presence of main theme material in the mediant minor makes it immediately clear that this is the beginning of a development and not a codetta.[17]

In all of the examples discussed so far, the exposition is at least rounded off by a PAC, even if that cadence is elided with the onset of (or with what later turns out to be the onset of) the development. A more radical situation

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[16] Other examples include the overture to Ferdinand Ries's opera *Die Räuberbraut* (1827), Peter von Lindpaintner's *Ouvertüre zu Goethes Faust* (1834), and Schumann's *Hermann und Dorothea* (1851).

[17] Other examples of this situation include Schumann's *Die Braut von Messina* (1850–51) and the overtures to Marschner's *Hans Heiling* (1831–32) and Lortzing's *Der Wildschütz* (1842).

Example 6.7. Berlioz, overture to *Les Francs-juges*: end of the exposition and beginning of the development (mm. 168–74).

arises when the exposition does not end with a PAC (or, for that matter, an IAC). Here, the analytical issue is not to decide where exactly the development begins; that is usually clear. What is remarkable is that the development starts before the exposition, or at least the last of its subordinate themes, has achieved full closure.

Example 6.7 shows the end of the exposition and the beginning of the development from Berlioz's overture to *Les Francs-juges* (1825–26). In Chapter V, we saw how the strong subordinate theme is stated in full in mm. 116–50, first bringing two IACs and then a PAC in the subordinate key. A repetition of the theme starts at m. 151 but is left incomplete. After reaching the first IAC (m. 166), it entirely skips the phrase that, in the original, led to the second IAC. Instead it heads straight for the concluding PAC, the sense of drive to the cadence further increased by the intensification of the harmony in mm. 168–70 from I to V^7/IV. That cadence, however, materializes only in part of the orchestra. The woodwind and horns conclude the cadential progression at m. 174, as shown in the upper half of the example. At the same moment, the rest of the orchestra comes crashing in with a *fortissimo* operatic linking cadence.[18]

Berlioz uses a similar strategy in the overture to *Benvenuto Cellini* (1836–38, rev. 1852). Here as well, the subordinate theme is first presented in complete form, in this case an antecedent + continuation hybrid (mm. 159–79).

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[18] On the linking cadence, see Chapter IV, note 34. The gesture of a development that interrupts an ongoing process may also be invoked in expositions that do include a codetta. In those cases, the development enters before the last codetta module has run its course, so that it appears as if the codetta is cut short. Examples include Spohr's overture *Macbeth* (1825) and the overtures to Halévy's *La Juive* (1835) and Meyerbeer's *Le Prophète* (1849).

Table 6.1 Schumann, Overture from *Ouvertüre, Scherzo, und Finale*: Formal Overview of the Subordinate Theme Group (mm. 57–127)

SENTENCE 1							
57–66 model	67–74 ↗	74–89 cont. 1	89–108 cont. 2	**SENTENCE 2** 109–13 cadential			
				⇒ model	113–17 ↗	117–27 cont.	
iii	**V**			**V**	**→ iii**		
V:(PAC)	♮VII:(PAC)			(IAC) (overridden)	IAC?	VII:PAC (covered)	

The concluding PAC is elided with a repetition of the theme.[19] Even though the instrumentation, figuration, and texture are different throughout, the repetition remains structurally analogous to the theme's first iteration until right before the end of the continuation. In m. 198, the cadence is suddenly redirected to B minor, the opening key of the development. In a very local sense, there is a cadence here: an IAC in B minor. But it is not a cadence that provides closure to the second subordinate theme.

In *Les Francs-juges* and *Benvenuto Cellini*, the cadence is omitted only from the repetition of the theme, i.e., against the background of a theme that was structurally complete before. In both works there is an earlier PAC in the exposition's goal key, so that it is not so much the subordinate theme group (or even the exposition) as a whole, but only its last unit that remains inconclusive. One overture in which the development begins without there having been a PAC in the exposition's goal key at all is the "first movement" of Schumann's *Ouvertüre, Scherzo und Finale* (1841, rev. 1845–46). Table 6.1 provides a schematic overview of the subordinate theme group. After a one-measure prefix, the complex subordinate theme in the exposition begins with an eight-measure phrase leading from iii to V that is thereupon repeated sequentially with slight variations, transposed up a minor third. Although the first of these phrases leads to what seems to be a V:PAC, the effect of that cadence is undone by the PAC in ♮VII at the end of the second phrase. Arguably, both cadences are of limited scope. The two phrases together are best understood as the presentation of a large-

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[19] In the original version of the overture, the theme and its repetition are not elided but separated by a passage of twenty-three measures that Berlioz cut when revising the score in 1852.

scale sentence, with mm. 74–108 as a long continuation (itself organized in two parts, mm. 74–89 and 89–108). The music after the long silence at the end of the continuation initially seems to function as a concluding cadential phrase. But whereas the winds do reach a V:IAC at m. 113, the strings at the same time repeat the phrase sequentially and then modulate back to iii (the opening key of the subordinate theme). This modulation is almost immediately retracted as G♯ is reinterpreted as vi in B major, and mm. 117–27 can retrospectively be grouped together with mm. 109–17 as part of a large-scale sentence. The abrupt PAC that finally ensues at m. 127, however, is neither in G♯ minor nor in B major, but in D♯ major, a key that has played no role so far in the subordinate theme. That cadence's final tonic, moreover, is immediately reinterpreted as V of iii when the brief development begins with the transposed return of the main theme at m. 127.

The exposition in Schumann's later overture to the *Szenen aus Goethes Faust* (written in 1853, more than two years after the rest of the work was completed) is similarly open-ended. The overall organization of the subordinate theme is loosely periodic, with an antecedent phrase in mm. 31–39 and a consequent starting at m. 40. The consequent soon morphs into a continuation and initiates a cadential progression at m. 45. The phrase is expanded multiple times, first by two different evaded cadences (mm. 47 and 49), then by two different deceptive cadences (mm. 53 and 55). Rather than being followed by a much-delayed PAC, however, the last of the deceptive cadences is elided with the beginning of the development in the manner of a linking cadence.[20]

Table 6.2 summarizes the different options for realizing the connection between the end of a non-repeated exposition and the beginning of the development by arranging them on a spectrum that ranges from "more closed" at the top left to "more open" at the bottom right. The labels that are used in the table should not be understood as fixed types, but rather as heuristic categories. The boundaries between various options can be fluid. In analytical practice, it may be difficult – and, ultimately, meaningless – to distinguish, for example, between a codetta that becomes a postexposition transition and a codetta that is retrospectively reinterpreted as the first unit of the development.

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[20] For other examples of expositions ending without any PAC, see the overtures to Spontini's *Nurmahal* (1822) and Wagner's *Das Liebesverbot* (1835–36), the Concert Overture Op. 7 by Julius Rietz (1839), Berlioz's *Le Corsaire* (1844), and Emilie Mayer's Overture No. 2 in D major (1850[?]). See also the analyses of Berlioz's *Le Carnaval romain* and Wagner's *Tannhäuser* overture in Chapter V.

Table 6.2 Spectrum of Possibilities at the Boundary between Exposition and Development in Romantic Overtures

complete separation (nonelision or flush-juxtaposition)
  last codetta module ⇒ PETR
    last chord of codetta elided with opening of development
      final codetta module ⇒ opening of development
        entire codetta ⇒ opening of development
          final PAC of ST group elided with opening of development; no codetta implied
            development begins before final ST reaches a PAC
              development begins without any PAC in the subordinate key

Overture, Symphony, and Beyond

In Chapter I, we saw how one aspect of the symphony's rise in aesthetic prestige in the final decades of the eighteenth century was the way in which the previously semi-interchangeable genres of opera and concert *sinfonia* each went their own way and continued to do so into the nineteenth century. One of the more surprising turns in the history of both genres is that in the 1830s and the 1840s, the overture and the outer movements of a symphony became, to a certain extent, interchangeable again. Sometimes this interchangeability manifested itself quite literally. A case in point is Schumann's *Ouvertüre, Scherzo und Finale*. The *Ouvertüre* was initially conceived (and completed) as a stand-alone concert overture, but then expanded into a three-movement "Symphonette" – the composer's term – without this expansion requiring any changes to its form. (One could argue, of course, that it is nonetheless significant that Schumann never publicly called the work a symphony and that even in private, he only used the diminutive form of the word.)[21] Conversely, what eventually became Wagner's *Faust-Ouvertüre* was composed in 1839–40 as the first movement of a symphony, but published in 1855 as an independent concert overture. It would be wrong to explain this change in genre designation as an afterthought intended to salvage part of a larger project that was unlikely to come to fruition in its entirety. Wagner added the designation "overture" to the score in 1843, prior to the work's first performance in Dresden the following year. And already

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[21] For a detailed account of the genesis and early reception of this work, see Jon Finson, "Schumann, Popularity, and the 'Ouvertüre, Scherzo, and Finale,'" *Musical Quarterly* 69 (1983): 1–26.

in a letter to Meyerbeer from 1840, when the ink on the manuscript was barely dry, he referred to his latest composition as an "overture on Goethe's *Faust*."[22]

In the first decades of the nineteenth century, turning an overture into the first movement or finale of a symphony – or the other way around – would have entailed at least one change: adding or removing a repeat sign at the end of the exposition. For composers like Beethoven or Schubert, a symphonic first movement (or a symphony finale in sonata form) with a nonrepeated exposition seems to have been almost as unviable as an overture with an exposition repeat.[23] For the generation of Schumann and Wagner, by contrast, sonata forms without exposition repeats were apparently conceivable as symphonic first movements or finales. This suggests a change both in the generic conventions of the symphony and in its position relative to the (concert) overture in the hierarchy of genres. Under the influence of the increasing prestige of the concert overture as an autonomous genre from 1825 onwards, the symphony gradually seems to have adopted, or at least embraced, the repeat conventions of the overture, and thus shed one of the main characteristics that used to distinguish the two genres. This does not mean that the practice of repeating the exposition in the symphony died out; but omitting the exposition repeat became a much more common alternative than it had been before.

Table 6.3 provides a list of 50 symphonies written in German-speaking Europe between 1825 and 1850, with details about the repeat schemes in the sonata-form outer movements.[24] Almost a third of the first movements on the list (16 out of 50) do not repeat the exposition. Of the 39 sonata-form finales, 22, or more than half, include a nonrepeated exposition. As the table also makes clear, composers' individual practices vary considerably. Schumann, for instance, usually does repeat the exposition, omitting it only in the first movement of the Third and in the original version of the first movement of the Fourth. Mendelssohn, by contrast, omits the exposition repeat in more than half of the outer movements of his

[22] See Egon Voss, *Richard Wagner: Eine Faust-Ouvertüre* (Munich: Fink, 1982), 4–5.

[23] It is well known that Beethoven initially planned the first movement of the *Eroica* without exposition repeat but then added one before the first performance. The only one of Beethoven's symphonies in which the first-movement exposition is not repeated is the Ninth, but even there, the strategy at the beginning of the development famously relies on the expectation that it will be. In Schubert, exceptions are equally rare. Apart from the finale of his First, all fast sonata forms in his symphonies repeat the exposition, while overtures never do.

[24] The list contains all symphonies written in German-speaking Europe between 1825 and 1850 that I am aware of and for which I was able to consult a score, either in print or in manuscript.

Table 6.3 List of Germanic Symphonies 1825–50 with Sonata-Form First Movements and Finales with or without Exposition Repeat

Norbert Burgmüller (1810–36)

Symphony no. 1 in C (1831–33)	first movement	no exposition repeat
Symphony no. 2 in D (1834–35)	first movement	no exposition repeat

Carl Czerny (1791–1857)

Symphony no. 2 in D (before 1847)	first movement	exposition repeat
Symphony no. 5 in E♭ (1845?)	first movement	exposition repeat
	finale	no exposition repeat

Niels Gade (1817–90)

Symphony no. 1 in c (1841–42)	first movement	no exposition repeat
	finale	no exposition repeat
Symphony no. 2 in E (1843)	first movement	no exposition repeat
	finale	no exposition repeat
Symphony no. 3 in a (1847)	original first movement	no exposition repeat
	definitive first movement	no exposition repeat
	finale	no exposition repeat

Adolf Friedrich Hesse (1809–63)

Symphony no. 1 in E♭ (before 1830)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 2 in D (before 1830)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 3 in b (1834)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 5 in c (before 1840)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 6 in E (before 1840)	first movement	exposition repeat
	finale	exposition repeat

Ferdinand Hiller (1811–85)

Symphony no. 1 in C (1830)	first movement	no exposition repeat
	finale	no exposition repeat
Symphony no. 2 in f (1830)	first movement	no exposition repeat
	finale	no exposition repeat
Symphony no. 4 in e (before 1849)	first movement	no exposition repeat
	finale	no exposition repeat

Johann Wenzel Kalliwoda (1801–66)

Symphony no. 1 in f (1826)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 2 in E♭ (1829)	first movement	exposition repeat
Symphony no. 4 in c (1836)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 5 in b (1841)	first movement	no exposition repeat
Symphony no. 6 in g (1841)	first movement	exposition repeat
	finale	no exposition repeat

Table 6.3 (cont.)

Franz Lachner (1803–90)		
Symphony no. 1 in E♭ (1828)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 3 in d (1834)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 5 in c (1835)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 6 in D (1837)	first movement	exposition repeat
	finale	no exposition repeat
Felix Mendelssohn Bartholdy (1809–47)		
Symphony no. 1 in c (1824)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 5 in D ("Reformation") (1830)	first movement	no exposition repeat
	finale	no exposition repeat
Symphony no. 2 in B♭ ("Lobgesang") (1840)	first movement	no exposition repeat
Symphony no. 4 in A ("Italian") (1833/34)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 3 in a ("Scottish") (1842)	first movement	exposition repeat
	finale	no exposition repeat
Christian Gottlieb Müller		
Symphony no. 2 in c (1835)	first movement	exposition repeat
	finale	exposition repeat
Friedrich Müller (1786–1871)		
Symphony no. 1 in E♭ (1840?)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 2 in c (1844?)	first movement	exposition repeat
	finale	exposition repeat
Ferdinand Ries (1784–1836)		
Symphony no. 7 in a (1835)	first movement	exposition repeat
Julius Rietz (1812–77)		
Symphony no. 1 in g (1843)	first movement	exposition repeat
	finale	no exposition repeat
Jakob Rosenhain (1813–94)		
Symphony no. 2 in f (1846?)	first movement	exposition repeat
	finale	no exposition repeat
Xaver Schnyder von Wartensee (1786–1868)		
Symphony no. 3 in B♭ (1848)	first movement	exposition repeat
Franz Schubert (1797–1828)		
Symphony no. 9 in C (1825–28)	first movement	exposition repeat
	finale	exposition repeat

Table 6.3 (cont.)

Robert Schumann (1810–56)		
Symphony no. 1 in B♭ (1841)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 2 in C (1845–46)	first movement	exposition repeat
Symphony no. 3 in E♭ (1850)	first movement	no exposition repeat
	finale	exposition repeat
Symphony no. 4 in d (1841/51)	first movement	exposition repeat
	finale (original version)	no exposition repeat
	finale (revised version)	exposition repeat
Louis Spohr (1784–1859)		
Symphony no. 3 in c (1828)	first movement	no exposition repeat
	finale	exposition repeat
Symphony no. 4 in F (1832)	first movement	exposition repeat
Symphony no. 5 in c (1837)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 7 in C (1847)	first movement	exposition repeat
	finale	no exposition repeat
Symphony no. 8 in G (1847)	first movement	exposition repeat
	finale	exposition repeat
Symphony no. 9 in b (1849–50)	first movement	no exposition repeat
Thomas Täglichsbeck (1799–1867)		
Symphony no. 2 in e (before 1838)	first movement	no exposition repeat
	finale	no exposition repeat
Wilhelm Taubert (1811–91)		
Symphony no. 2 in F (1846)	first movement	exposition repeat
	finale	no exposition repeat
Richard Wagner (1813–83)		
Symphony in C (1832)	first movement	exposition repeat

symphonies. More informative is the comparison between one of the oldest and one of the youngest composers on the list. In the seven symphonies Spohr (born in 1784) wrote between 1825 and 1850, only three of the outer movements are sonata forms with nonrepeated exposition.[25] The first three symphonies of the much younger Niels Gade (born in 1817), by contrast, present a very different picture. All of the outer movements in these symphonies are in sonata form, but not a single one repeats the exposition. In other words, whereas Spohr

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[25] In both of Spohr's earlier symphonies, written in 1811 and 1820, all outer movements are sonata forms with repeated expositions.

continued to adhere closely to the early-nineteenth-century practice, for Gade the nonrepeated exposition was the norm.[26]

The rapprochement between symphony and overture was not limited to the increased frequency of nonrepeated expositions in symphonic sonata forms. Also the strategies that were used in overtures to blur the boundary between the end of the exposition and the beginning of the development became increasingly common in symphony movements. Two examples from Mendelssohn's symphonies illustrate this. In the first movement of the *Reformation* Symphony (1830), the subordinate theme takes the form of a huge period with a tremendously expanded consequent (mm. 138–89; the antecedent, itself a hybrid of the antecedent + continuation type, is eight measures long, the consequent forty-four). It concludes with a PAC in the dominant minor that is elided with the codetta. But where does the codetta end? The rhetoric of orchestral dynamics may suggest that it ends eleven measures later, and that the final chord of the codetta at m. 199 is elided with the onset of the development (as in the *Sommernachtstraum* overture). But the unit that starts at m. 199 further prolongs the tonic of the subordinate key, embellishing it with a common-tone diminished seventh chord, so that the listener cannot be absolutely sure that the development has begun until the compressed repetition of this module transforms the diminished seventh chord into a dominant ninth chord that resolves to G minor. In light of what precedes them, mm. 199–205 can therefore be heard as the final codetta module of the exposition. In view of what follows, they are retrospectively reinterpreted as the beginning of the development. In the original version of the movement, the blurring went even further.[27] There, the winds initiate a new motivic process at m. 193 that is carried over into the unit that is ultimately reinterpreted as the beginning of the development. In this version, a listener surely is not aware that the development is underway until the enharmonic reinterpretation of the diminished seventh chord has taken place.

Another example is the first movement of Mendelssohn's *Lobgesang* Symphony (1840). At m. 146, the broadly proportioned subordinate theme group comes to a conclusion on a PAC in the dominant F major. This last PAC is elided with what seems to be a codetta over a tonic pedal. However, the apparent codetta soon turns out to be the beginning of a four-measure

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[26] The same norm stayed in place in Gade's later symphonies. As in the works that are included in Table 6.3, all of the outer movements in the four symphonies he completed between 1852 and 1871 are sonata forms, but only three of them repeat the exposition.

[27] See Felix Mendelssohn Bartholdy, *Symphonie in d "Reformations-Symphonie" Op. 107*, ed. Christopher Hogwood (Kassel: Bärenreiter, 2009).

model that is first sequenced and then fragmented, thus launching the development. What is important is that given the overall proportions of the movement up to this point, the listener expects the exposition to be concluded by a codetta rather than plunge directly into the development; and there is no way in which that same listener could interpret mm. 135–45 (a sentence that is expanded by an evaded cadence) as that codetta. At least at first hearing, listeners will thus probably interpret m. 146 as a postcadential unit. Only when this unit is sequenced and fragmented will they reinterpret the unit as the beginning of the development, so that the cadence concluding the subordinate theme group retrospectively turns out to be elided with the onset of the development.

The increased frequency of nonrepeated expositions in the second quarter of the nineteenth century, and the concomitant interest in blurred boundaries between the exposition and development, seems to have been limited to orchestral music. Chamber works, for instance, do not show the same tendency. To be sure, nonrepeated expositions in chamber music became an option earlier than in the symphony, although never a very frequent one. In the second quarter of the nineteenth century, however, it would appear that the early-nineteenth-century convention to repeat the exposition in sonata-form outer movements of multimovement works was more stubborn in chamber music than in symphonies. Of the sixteen outer movements in Schumann's chamber music, only four are sonata forms with a nonrepeated exposition. The difference between orchestral and chamber-music practices is more pronounced in Mendelssohn's music: of the forty outer movements in his chamber works, only twelve are sonata forms with nonrepeated expositions – a proportion that is significantly smaller than in his symphonies.

At the same time, it would be a mistake to use symphony movements as the sole point of reference for the interpretation of sonata form in overtures. An exclusive focus on the symphony would make two common alternative formats for "sonata-style" movements fall outside the picture: sonatina form and concerto first-movement form. Both formats are generically unavailable for the outer movements of a high-classical or a romantic symphony, but they are relevant in the context of the open-ended expositions in romantic overtures. As is the case in sonata-form overtures, both sonatina form and concerto first-movement form by definition lack repeat signs at the end of the exposition.[28] To be sure, in

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[28] The nonrepeated exposition is more characteristic of fast than of slow sonatina forms. The latter, as Hepokoski and Darcy point out, occasionally do repeat the exposition (and the recapitulation) (*Elements of Sonata Theory*, 346 n. 8).

classical concerto first-movement forms the solo exposition is preceded by a tutti exposition. But the former can be considered a written-out varied repeat of the latter only in a limited sense. The relationship between the two differs fundamentally from that between an exposition and its literal repeat in a symphonic movement, regardless whether one chooses to emphasize what concerto first-movement form has in common with sonata form, or what sets it apart from it.

Of the two formal patterns, concerto first-movement form is the one most distantly related to the sonata-form overture. One of the characteristics that distinguish first movements in classical concerti from related forms is the presence of what Caplin calls a "subordinate-key ritornello" following the solo exposition.[29] Since it is elided with the most emphatic PAC in the solo exposition's subordinate theme group, this unit may appear to be analogous to the codetta in a sonata form. The analogy is, however, only positional. In both function and structure, a subordinate-key ritornello is quite different from the postcadential music at the end of the exposition in an overture. It is a thematic entity in its own right, concluded by its own cadence and at times followed by its own codetta. In some cases, however, the subordinate-key ritornello concludes with a cadence in a key other than that of the solo exposition, or even without any cadence at all. In their extended discussion of the "Type 5 sonata," Hepokoski and Darcy provide an overview of various strategies Mozart uses in his concerti to avoid closure at the end of the subordinate-key ritornello and thus blur the boundary between what they aptly call the "larger exposition" and the solo development.[30] Among these are omission of the expected PAC at the last instance before the beginning of the solo development; dissolution into the solo development; or moving away from the subordinate key, either turning into a transition to the solo development (in this case sometimes ending on an HC in the new key) or becoming the opening unit of the solo development itself. The effect can be similar to that of a "tutti affirmation" transition: it first confirms the arrival of a PAC and then channels the accumulated energy to reopen the closure that that very cadence had achieved.

While concerto first-movement form (in its classical version or in its romantic adaptation) as a whole obviously is not an option in an overture, the dissolving subordinate-key ritornello does provide a classical precedent

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[29] On this last point, see Horton, "John Field and the Alternative History," 51–55.

[30] Hepokoski and Darcy, *Elements of Sonata Theory*, 444. Caplin also briefly mentions and illustrates the possibility (*Classical Form*, 248).

for the openness that characterizes the end of the exposition in many romantic overtures. It can be seen as a local strategy that was imported from one genre into another, similar, to a certain extent, to the kind of local sonatization that we have observed in several potpourri-form overtures. In most cases, the extent of the importation is limited to the general idea of an open-ended exposition. Occasionally, however, the gesture of a subordinate-key ritornello seems to be imported into an overture whole-sale. In the overture to Weber's *Der Freischütz* (1821), for instance, the consequent of the second subordinate theme is expanded by an evaded cadence at m. 145 and concludes with a PAC at m. 149. The cadential phrase is then repeated and further expanded, eventually leading to a second PAC at m. 159 (in the winds; covered by the entry of the violins on $\hat{3}$). This second PAC, however, does not mark the beginning of a codetta. Maintaining the energy accumulated during the preceding process of cadential expansion, the passage that follows instead invokes the effect of a subordinate-key ritornello that then transforms into the development.

The relevance of sonatina form in the context of open-ended expositions in sonata-form overtures is more obvious than that of concerto first-movement form, as sonatina form itself is a common formal option in romantic overtures. Strategies that are used there to end a nonrepeated exposition and to connect it to the recapitulation might therefore very well have served as models for the connection between the exposition's codetta and the development in sonata-form overtures. The most common scenario at the end of the exposition of a romantic overture in sonatina form is that the final codetta module of the exposition becomes a retransition to the recapitulation. This need not involve an elaborate operation, especially if the exposition ends in the dominant. It suffices to simply add the minor seventh to the local tonic at the end of the exposition to turn it into the dominant of the overarching tonic. This strategy is similar to the one discussed above in which a post-exposition transition connects the codetta to the development, especially if that transition begins with a retransition feint. In sonata-form overtures the retransition feint might in fact hint at the sonatina format rather than at a repeat of the exposition, since the former, in contrast to the latter, is a real option in that genre.

The retransition feint is most effective when it appears in a context in which a sonatina form is the normal course of action. Take the overture to Rossini's *La Scala di seta* (1812). As we saw in Chapter II, the "archetypical" Rossini overture is a grand sonatina form (i.e., a sonatina form preceded by a slow introduction). Since the slow introduction and the exposition in the

overture to *La Scala di seta* adhere to the archetype, one expects the exposition to be followed by a retransition to the recapitulation. This expectation is initially confirmed. At m. 136 the texture thins out and the music seems to modulate back to the home key (note especially the V^7 of C in m. 140). But then the seeming retransition modulates further and becomes a transition to the short development that is launched with a return of the subordinate theme in E♭ major at m. 145.

The generic availability of sonatina form for romantic overtures raises the broader question of the distinction between a sonatina form with a long retransition and a sonata form with a short development. In unambiguous cases, duration is a deciding factor: a five-measure development is as improbable as a ninety measure retransition. But what about those situations in which the music between the final codetta module and the onset of the recapitulation lasts short enough to be a long retransition yet long enough to be a short development – say, around twenty to thirty measures? As soon as duration alone is no longer a sufficient criterion, one has to take into account factors such as phrase structure, material, and tonal structure. But it is exactly the interplay between these factors that creates more room for ambiguity.

The overture to Rossini's *Il Turco in Italia* (1814) offers a good example. There are twenty-five measures standing between its exposition and its recapitulation – short for a development, but long for a retransition (the exposition is 131 measures long). What speaks against an interpretation as a retransition is that the passage is thematically distinct from both the codetta that comes before and the main theme that comes after. Its material is drawn entirely from the postcadential standing on the dominant at the end of the slow introduction. At the same time, the passage is too harmonically immobile to be considered a development: it is a drawn-out version of the typical reactivation of the dominant that could have taken place in two or three measures. The best option, therefore, seems to be to label this passage as a thematically independent retransition.

The situation is different in the overture to Donizetti's *Don Pasquale* (1842–43). The formal unit that begins at m. 118 initially appears to be a crescendo but is retrospectively reinterpreted as a codetta because the tonic prolongation is not followed by a cadence. The final codetta module almost immediately suggests a modulation back to the home key (V:I at m. 130 turns into I:V_2^4 at m. 131) but overshoots its goal and instead reaches the subdominant minor at m. 136. There, a two-measure model is set up, sequenced, and fragmented into one-measure units before the arrival of a half cadence (with standing on the dominant) in the tonic.

The unit between the exposition and the recapitulation is only twenty-three measures long (twenty-eight if one counts the dissolving codetta module). Much of its material, moreover, is drawn from the caesura-fill between the transition and the subordinate theme. One might conclude, therefore, that it functions, analogous to the caesura-fill, as an elaborate linking passage – a retransition. There is, however, one crucial difference between both passages: the caesura-fill in the exposition comes after an HC with standing on the dominant; in the apparent retransition, the same material leads to the HC. Moreover, both the tonal and the phrase structure – the move to the subdominant and the prevalence of minor modes, and the presence of a model-sequence-fragmentation process (even though a very compact one) – suggest that the unit functions as a development rather than as a retransition.[31]

Romantic Form?

What conclusions can we draw from the ways in which composers of romantic overtures (and symphonies) treated the nonrepeated exposition? Hepokoski and Darcy have argued that repeat schemes in sonata form have cultural significance. In their view, the use of prescribed large-scale repeats in the majority of high-classical sonata forms implies that Enlightenment culture "had devised a rational, balanced means to shape and contain the fluid, raw, elemental power of the music."[32] If classical repeat conventions carried significance, then the same must be true for the increased prominence of non-repeated expositions after 1825. Hepokoski and Darcy indeed note that "when previously obligatory . . . expositional repeats began gradually to disappear . . . the genre [sonata form] itself was undergoing a major rethinking."[33]

Even though Hepokoski and Darcy do not elaborate on this, one implication of this "rethinking" seems to be that when the practice of repeating the exposition began to erode, the "fluid, raw, elemental power of the music" was somehow unleashed. And it is true, as we have seen, that the nonrepeated exposition often appears in tandem with an increased permeability of formal sections. Many of the cases of blurred boundaries between exposition and development that we have encountered in this chapter

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[31] Other relevant examples in this context include Schubert's Overture in D major, D. 556 (1817), the overture to Weber's *Preciosa* (1820), Berlioz's *Waverley* (1827–28), and Schumann's overture from the *Ouvertüre, Scherzo und Finale* as well as his overture to the *Szenen aus Goethes Faust.*

[32] Hepokoski and Darcy, *Elements of Sonata Theory*, 21.   [33] Ibid.

exemplify Schmalfeldt's notion of a "process of becoming" in musical form:[34] a formal unit begins as a codetta but then transforms into a transition to (or even the first unit of) the development. To put it in more general terms, what begins as a postcadential function turns into a medial or initiating function without a new unit having begun and without there having been any kind of clear break between the functions. Processes such as this imply a blurring of form-functional levels. What appears to take place at the intrathematic level (within a single theme or theme-like unit) unnoticeably crosses an interthematic border. When the form-functional transformation occurs at the seam between the exposition and development, moreover, this blurring is projected onto the largest level of the form, also obscuring the boundaries between the adjacent large-scale sections exposition and development.

For Schmalfeldt, the process of becoming constitutes a defining characteristic of the romantic style and, in so doing, reflects "post-Enlightenment philosophical ideas about form."[35] It is certainly true that along with the general shift from Enlightenment to Romanticism, one can observe a shift in the predominant metaphors used in the discourse about musical form. The eighteenth-century models of musical form (most famously that of Heinrich Christoph Koch) are grounded in rhetoric.[36] They are punctuation-based and, via the rhetorical notion of disposition, also architectonic, thus fostering the repeatability and closedness of large sections.[37] The nineteenth-century view of musical form, by contrast, is informed by the metaphors of drama (as in Reicha's *Traité de haute composition musicale*) or of the living organism (as in Marx's *Lehre von der musikalischen Komposition*). Both metaphors imply an emphasis on continuity and teleology that is easily aligned with the avoidance of large-scale repeats and the increasing prominence of the process of becoming.

It would, however, be a mistake to overstate the case. Classical and romantic discourses about form are more diverse than the above summary suggests. For André-Modeste Grétry, writing in 1797, the analogy between musical form and rhetoric was a reason *not* to repeat the sections of a sonata form: "What would we think of a man who, cutting his discourse in two, would repeat each half twice?"[38] Conversely, in Reicha's *Traité*, the

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[34] See Chapter II, note 33.   [35] Schmalfeldt, *In the Process of Becoming*, 17.

[36] See Dahlhaus, "Der rhetorische Formbegriff H. Chr. Kochs."

[37] On the connection between *dispositio* and architecture, see Johann Mattheson, *Kern melodischer Wissenschaft* (Hamburg: Herold, 1737), 128.

[38] Grétry, *Mémoires, ou Essais sur la musique* (Paris: Imprimerie de la République, 1797), vol. III, 356.

terminology borrowed from drama theory occurs alongside one of the earliest spatial representations of musical form.[39] And in Marx's *Formenlehre* as well, the architectonic element is strong enough that later generations of theorists would often reduce his theory to only this aspect.

The distinction between classical and romantic practice was not so clear-cut in the repertoire either.[40] This is obvious for the phenomenon of the nonrepeated exposition itself. It makes sense to state that symphony movements with repeated expositions from the second quarter of the nineteenth century are more classical than ones without, for it can be argued that their composers held on to the practice of an earlier repertoire of which they were aware. But it is hard to apply the same reasoning – *mutatis mutandis* – to the classical repertoire. Classical overtures, in contrast to classical symphonies, by definition omit the exposition repeat. Does this mean that the overture as a genre is less classical than the symphony? And what about those symphony movements from the 1780s and 90s that deviate from the normal practice of the time by omitting the exposition repeat? Should such movements be considered more romantic than others? There are also classical "counterexamples" of nonrepeated expositions in which the boundary between the exposition and development is blurred. One case is Mozart's overture to *Der Schauspieldirektor* (1786), in which the final chord of the codetta is elided with the beginning of the development, much as in Mendelssohn's *Sommernachtstraum* overture.[41] Does this mean that this work is more romantic than Mozart's other overtures, including the one to *Don Giovanni*?

The relationship between classical and romantic treatments of the seam between exposition and development in sonata forms with nonrepeated expositions is probably best understood through the model of a *prima* and a *secunda prattica* of musical form discussed in the introduction to this book. The classical practice comprised three options: complete separation between exposition and development (as in the example from Mozart's *Don Giovanni* overture discussed above); use of a post-exposition transition linking the exposition to the development; and elision of the final chord of the last codetta with the first downbeat of the development. Of these, the

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[39] See Mark Evan Bonds, "The Spatial Representation of Musical Form," *Journal of Musicology* 27 (2010): 266–67 and 287–90.

[40] It is significant in this respect that Schmalfeldt devotes an entire chapter to classical instances of the "romantic" process of becoming. See "The Processual Legacy of the Late Eighteenth Century," in *In the Process of Becoming*, 59–86.

[41] The same happens at the end of the non-repeated exposition in the first movement of Mozart's "Paris" Symphony (K. 297, 1778).

first option was overwhelmingly more common than the second, and the third was downright exceptional. The romantic practice did not replace or override the classical conventions, but modified and expanded them. The preferred classical option remained available, but its ceased to be as prominent as it had been before. Conversely, both alternative classical options became significantly more common. In addition, a series of new options became available that did not exist in earlier practice: the reinterpretation of one or all of the exposition's codettas as the first unit of the development, and the absence of cadential closure from the exposition's final subordinate theme or even its entire subordinate theme group. What is romantic about these procedures, however, is not so much the specifics of any individual one, but rather the coexistence of all these different options within one practice.

VII | Recomposed Recapitulations

Wagner's "New Form"

A highlight of the 1839–40 concert season in Leipzig, as we saw in Chapter I, was Mendelssohn's impromptu performance of all four of Beethoven's overtures to *Leonore* and *Fidelio*. One man who missed that memorable occasion was Richard Wagner. We can only imagine how much he would have enjoyed it, in spite of his growing personal animosity towards the conductor. Wagner admired Beethoven's overtures, above all the one known as *Leonore III*. In 1841, little more than a year after Mendelssohn's concert, he used *Leonore III* as one of the main examples in his essay "De l'Ouverture" (along with the overtures to Gluck's *Iphigénie en Aulide* and Mozart's *Don Giovanni*). The history of the genre, in Wagner's view, outlined a gradual rapprochement between musical form and dramatic content. In that history, *Leonore III* stood at a "dizzying height" never since regained. It was not just an overture, not merely a preparation to the larger and more important event that was the opera, but "the drama itself in its most powerful form . . . dominated over its entire course by the indefatigable animation of the dramatic progress."[1]

Wagner did not mention the *Leonore II* overture, and we can safely assume that in 1841, he did not know it (Mendelssohn's performing version was published only in 1842).[2] Chances are, however, that he would have liked it even better than *Leonore III*. In an open letter on Liszt's symphonic poems, sixteen years later, he admitted to having found one "weakness" in the more famous overture: its recapitulation. While most of the form of *Leonore III* is determined by the underlying dramatic idea, he wrote, the inclusion of a full recapitulation is a concession to the conventions of sonata form "that distorts the work's idea to the point of

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[1] Wagner, "De l'Ouverture," 19, 29.

[2] In "De l'Ouverture," Wagner distinguishes between only two of the four overtures: the *Leonore III* overture and the overture to *Fidelio*, which he refers to as "the second one, in E major." Both overtures were part of the repertoire of the Société des concerts du conservatoire in Paris, which Wagner regularly attended. *Leonore III* was performed there four times in 1840 and 1841, more than any other piece. See Strohm, "Gedanken zu Wagners Opern-Ouvertüren," 70.

incomprehensibility." What Beethoven should have done, according to Wagner, was omit the recapitulation altogether and jump straight from the end of the development (with its famous trumpet calls) to the coda. In that way, Beethoven would have "opened the gateway to the creation of a new form."[3]

Had Wagner been at Mendelssohn's concert, he would have heard that the *Leonore II* overture circumvents the problem of the *Leonore III* overture in exactly the way he envisioned. The relevant passage starts several measures before the trumpet calls. At m. 348, well into the development, a variant of the head of the exposition's main theme enters *fortissimo* but in the tonic minor. The same four-measure unit is restated twice (first in iv, then on V^7) before a lengthy fragmentation process kicks in that eventually leads to the very definitive-sounding PAC in the tonic minor at m. 382. This PAC is elided with what seems to be a codetta, but after ten measures the first trumpet call triggers a reopening of the development. The music is brought to a halt when the second trumpet call sounds at m. 406. Via a transition, this second trumpet call leads to a return of the subordinate theme preview from the slow introduction, now in the tonic major (m. 426; in the introduction this music was heard in ♭VI). The theme gets stuck on the dominant and at m. 433 turns into a "wind-up" passage similar to those we have seen in several of the multitempo introductions discussed in Chapter IV. This sets up the entry of the coda (m. 443), which itself begins with a new Presto variant of the head of the main theme.

That several of these gestures are recapitulatory in a broad sense is undeniable. This is the case for the emphatic return of the main theme in the tonic minor at m. 348, especially in combination with the preceding standing on the dominant; for the return of the subordinate theme preview from the introduction in the tonic major; and for the main theme variant at the beginning of the coda. It is hardly surprising, then, that modern analysts have disagreed on the question to what extent mm. 348–433 function as a (truncated) recapitulation. James Hepokoski and Warren Darcy, for instance, emphasize (but also problematize) the passage's recapitulatory aspect, whereas Lauri Suurpää, approaching the piece from a Schenkerian point of view, quite categorically states that "the development section is not followed by a recapitulation but directly by a coda."[4]

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[3] Wagner, "Über Franz Liszts symphonische Dichtungen," in *Sämtliche Schriften und Dichtungen*, V, 190.

[4] Hepokoski and Darcy, *Elements of Sonata Theory*, 248–49; Lauri Suurpää, *Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Structure* (Helsinki: Hakapaino Oy, 1997), 49.

What seems certain is that Wagner, had he attended the Leipzig concert, or indeed anyone hearing the *Leonore II* overture for the first time back to back with the *Leonore III* overture, would have heard m. 443 as the onset of the coda rather than as a recapitulation. Measures 443–530 in the *Leonore II* overture are analogous to mm. 534–638 in the *Leonore III* overture, where their status as part of the coda is incontestable (even though the recapitulation concludes without a PAC). At the 1840 concert, the analogy would have been even more obvious than it is today. Since mm. 484–519 were missing from the manuscript of the *Leonore II* overture available to Mendelssohn, he replaced them with mm. 584–623 from the *Leonore III* overture.[5]

In the 1857 open letter that included his critique of *Leonore III*, as in his 1841 essay, Wagner did not mention the *Leonore II* overture. One wonders whether by that time he could still have been unaware of its existence (especially since it had been published in unabridged form in 1854) or whether he was willfully ignoring it.[6] If the latter, a possible reason might have been that he wanted to present himself as Beethoven's heir in the genre of the overture. The "new form" that Beethoven, according to Wagner, shied away from in *Leonore III* (but realized in *Leonore II*) comes very close to what Wagner himself did in two of his own works of the 1840s. In the overtures to *Der fliegende Holländer* and *Tannhäuser*, as Thomas Grey has pointed out, he "experiment[ed] with the possible recapitulatory function of the coda in an effort to shift the emphasis of resolution closer to the end of the work."[7]

The experiments Grey notes, as well as the end-accented forms that result from them, are only one aspect of a broader phenomenon. Andrew Deruchie has recently pointed out that the trumpet calls in Beethoven's *Leonore II* and *Leonore III* overtures are a prototypical instance of what Adorno called *Durchbruch* ("breakthrough").[8] While Adorno used that

[5] For the two other missing passages in mm. 38–52 and 433–42, Mendelssohn did not provide substitutes. His performing version simply jumps from m. 37 to m. 53 and from m. 432 to m. 443. Both the manuscript and the first edition based on Mendelssohn's performing version can be consulted on the Web site of the Beethoven Haus Bonn (www.beethoven-haus-bonn.de, accessed 1 January 2016).

[6] Even in his 1879 essay "Über die Anwendung der Musik auf das Drama," he simply restated his position from two decades before. *Sämtliche Schriften und Dichtungen*, X, 180–81.

[7] Grey, "Wagner, the Overture, and the Aesthetics of Musical Form," 11.

[8] Andrew Deruchie, *The French Symphony at the Fin-de-siècle: Style, Culture, and the Symphonic Tradition* (Rochester: Rochester University Press, 2013), 120. For Adorno on *Durchbruch*, see Theodor W. Adorno, *Mahler: eine musikalische Physiognomik* in Gretel Adorno and Rolf Tiedemann (eds.), *Die musikalischen Monographien* (Frankfurt: Suhrkamp, 1971), 152–54,

category only in relation to the music of Mahler, Hepokoski has demonstrated its relevance for a broader late-nineteenth- and early-twentieth-century repertoire. It is worth citing Hepokoski at length:

Breakthrough ... involves abandoning or profoundly correcting the originally proposed sonata (the one proposed in the exposition) through the inbreaking of an emphatic, unforeseen idea at some post-expositional point, usually during the space customarily given over to development. The mid-piece inbreaking of the new from outside the proposed structure, sundering the piece's immanent logic, is sufficiently powerful to render a default recapitulation inadequate. The breakthrough thus triggers a recomposed or totally reconsidered recapitulation, in which the breakthrough idea itself usually plays a prominent role. Although there are many ways of realizing the concept, it can be seen to have arisen historically as one solution to the problem of a potentially redundant recapitulation within an aesthetic system that increasingly validates only original ideas.[9]

This is exactly what happens in the *Leonore II* overture. The trumpet calls intervene in the music as if from outside (Adorno's original wording, "in sie [die Musik] wird eingegriffen," is relevant here) and radically alter its form. As far as the *Durchbruch* itself is concerned, Beethoven's overture is a remarkable isolated forerunner of a strategy more typical of "modernist" works from the late nineteenth and early twentieth centuries.[10] Yet the "recomposed or reconsidered recapitulation" that Hepokoski writes about, as well as the suggestion that this recomposition or reconsideration somehow transcends the immanence of the musical form at hand, is highly relevant for the genre of the romantic overture. What is paradoxical about the position of the *Leonore II* overture in the history of large-scale musical form (and what Wagner's attempt to present himself as the fulfiller of Beethoven's promise is meant to conceal) is that, while the work itself was never heard between its first performances in 1805 and its revival by Mendelssohn in 1840, its form is an extreme instantiation of some of the tendencies that were central to the genre of the romantic overture during that period.[11] In many

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158–59, 190, and 192. Adorno himself invokes the *Leonore* overtures only obliquely through a reference to "the theater fanfare from the dungeon scene in Fidelio" (*Mahler*, 153).

[9] James Hepokoski, "Fiery-Pulsed Libertine or Domestic Hero? Strauss's *Don Juan* Reinvestigated," in Bryan Gilliam (ed.), *Richard Strauss: New Perspectives on the Composer and his Work* (Durham, NC: Duke University Press, 1992), 149.

[10] A difference between Beethoven's overture and most later instances of *Durchbruch* nonetheless is that the trumpet call does not play a role beyond the *Durchbruch* itself.

[11] The extremism of the *Leonore II* overture was not universally admired. A. B. Marx, for instance, saw "the more confident and clear design" of the *Leonore III* overture as a welcome corrective to the "fantastical course of the second overture" (*Ludwig van Beethoven: Leben und Schaffen*, I, 356). The *Leonore II* overture may have appeared more exceptional to Marx and his

of these works one observes a pointed avoidance or undermining of the large-scale sectional parallelism between the exposition and recapitulation that often goes in tandem with a shift of the form's emphasis toward the end.

From a Wagnerian perspective, the rationale behind a recomposed recapitulation is dramatic: if an overture is to express a dramatic idea, then it cannot accommodate anything close to a literal recapitulation. Wagner also offers two technical terms to capture the conflict between drama and form. Including a recapitulation, for Wagner, would mean adhering to the formal principle of "Wechsel" (alternation) that he associates with absolute music. According to this principle, the order of events in a piece follows a predetermined scheme that is imposed from outside. Instead, Wagner proposes the principle of "Entwicklung" (evolution): the development of a piece's form directly from its dramatic idea.[12]

Wagner's opposition of "Wechsel" and "Entwicklung" parallels that of organic and mechanical form explored in Chapter II. Like "Wechsel" and "Entwicklung," organic and mechanical form are understood as generated from within and as imposed from outside, respectively. (Note that Wagner would not necessarily have recognized Adorno's breakthrough as an instance of "Entwicklung," as it comes from outside.) What is perhaps more surprising is that Wagner's terms may also be mapped onto two more modern terms introduced to music theory by Leonard Meyer: "script" and "plan." Meyer borrows both terms from cognitive psychology, where they are defined as follows:

A script is a structure that describes appropriate sequences of events in a particular context . . . [It] is a predetermined, stereotyped sequence of actions that defines a well-known situation.

. . .

A plan is intended to be the repository for general information that will connect events that cannot be connected by use of an available script.[13]

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contemporaries than it actually was. As Matthias Corvin has emphasized, Beethoven (in this and other overtures) strongly relied on procedures that were common in French overtures of the revolutionary era (*Formkonzepte der Ouvertüre*, 67, 117–18). There is no indication, however, that audiences in the second quarter of the nineteenth century would have been aware of that connection.

[12] Wagner, "Über Franz Liszts symphonische Dichtungen," 188–90. Wagner first introduced the terms "Wechsel" and "Entwicklung" in an earlier essay on the overture to Gluck's *Iphigénie en Aulide* in NZ 41 (1854): 4. See also Grey, "Wagner, the Overture, and the Aesthetics of Musical Form," 9–11.

[13] Robert C. Shank and Robert P. Abelson, *Scripts, Plans, Goals and Understanding: An Inquiry into Human Knowledge* (Hillsdale, NJ: Erlbaum, 1977), 41 and 70. For Meyer's adaptation, see *Style and Music: Theory, History, and Ideology* (Philadelphia: University of Pennsylvania Press, 1989), 245.

In Meyer's adaptation, and especially when applied to musical form, the term "script" (or "script-based") is used for those kinds of form that are predictable, the term "plan" (or "plan-based") for those that are not. A script thus contains information about specific formal functions that can be instantiated by a variety of formal types and that will occur in a predetermined order. A plan, by contrast, is significantly less specific. Whereas it, too, may include information about which formal functions and formal types might be used in a given form-functional situation, it says nothing about which formal functions or types will effectively appear in the music, or about the order in which that will happen.

Meyer associates script and plan rather sweepingly with classical and romantic form respectively: classical form is more script-based, romantic form more plan-based.[14] Yet the shift from script-based to plan-based form arguably is not only a historic one, but also one that can take place within individual works. At the level of interthematic formal functions, many romantic overtures follow a script up to a certain point (at least until the end of the exposition, and often as far as the onset of the recapitulation) but then abandon that script and become more plan-based.

One should be careful not to exaggerate either the omnipresence of plan-based recapitulations in romantic overtures or the extent to which they are a marker of the difference between classical and romantic form. In plenty of romantic overtures the recapitulation does parallel the exposition, or at least does not diverge more from it than many classical recapitulations do. In Schumann's overtures, for example, the recapitulation typically replicates the sequence of events from the exposition with only minimal modifications. As we saw in Chapter I, moreover, truncated recapitulations were an option in classical overtures as well.[15] Nonetheless, it seems clear that recomposed recapitulations occur more often in romantic than in classical overtures; that more drastic kinds of recomposition happen in

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[14] "The history of the practice and theory of sonata form during the nineteenth century might be interpreted as a transformation of a script – a tonally defined hierarchic schema of slots – into a thematic plan, often of a dialectic or narrative sort . . . Nineteenth-century composers tended to choose plan-based patterns . . . more often than script-based patterns" (Meyer, *Style and Music*, 246).

[15] Beyond the overture genre, the eighteenth-century composer most commonly associated with the phenomenon of recomposed recapitulations is Haydn. See Riley, "The Sonata Principle Reformulated for Haydn Post-1770 and a Typology of his Recapitulatory Strategies," *Journal of the Royal Musical Association* 40 (2015): 1–39. Hepokoski and Darcy emphasize that Haydn's practice was exceptional in his time (*Elements of Sonata Theory*, 233). Markus Neuwirth, however, nuances this view in *Recomposed Recapitulations in the Sonata-Form Movements of Joseph Haydn and His Contemporaries* (PhD diss., University of Leuven, 2013).

romantic than in classical works; and that drastic recompositions occur more often in romantic than in classical music.

Recomposition Techniques

Recapitulatory recomposition in romantic overtures is a complex phenomenon that involves a variety of techniques. For heuristic purposes, it is useful to distinguish between seven procedures:

1. deletion, or the omission of entire themes or theme-like units that were present in the exposition;
2. compression, or the shortening of units in comparison to their original presentation in the exposition;
3. fusion, or the merging of two units that, in the exposition, were separate;
4. reordering, or the redistribution of material from the exposition over the course of the recapitulation;
5. rewriting, varying, or transforming a unit from the exposition;
6. expansion of units from the exposition;
7. addition of new units that were not present in the exposition.

The first three of these techniques result in a reduction of the duration of the recapitulation (or its constituent units) in comparison to its model in the exposition. They are equivalent to what Julian Horton, in a study of the piano concerti of John Field, has called "recapitulatory truncation."[16] The next two are, at least in principle, duration-neutral, and neither significantly lengthens or shortens the recapitulation compared to the exposition. The last two techniques increase the duration of the recapitulation (or its constituent units) vis-à-vis the exposition.

   Few of these procedures are mutually exclusive. Deletion or compression in Part One of the recapitulation, for instance, often goes hand in hand with expansion or addition in Part Two. Since romantic recapitulations tend to be plan-based rather than script-based, however, it is impossible to establish generalizing rules for how, exactly, the recomposition will play out – which techniques will be used, to which formal units they will be applied, and in what order. The specific way in which deletion, compression, fusion, reordering, rewriting, expansion, and addition are combined

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[16] Horton, "John Field and the Alternative History," 61. Recapitulatory truncation "reduce[s] expositional models in the recapitulation to an extent far exceeding [classical] precedents."

Table 7.1 Donizetti, *Don Pasquale*: Comparison of the Exposition with the Recomposed Recapitulation

EXPOSITION

MT 1 (small ternary)			MT 2 (small ternary)			TR	ST		CRESCENDO⇒CODETTA⇒DEV
48–56a	56b–60a	60b–68	68–72a	72b–76a	76b–80	80–102	103–10	111–18	118–57a
A	B	A′	A	B	A′		antecedent	consequent	
I						**i**	**V**		
I:PAC	**I:HC**	**I:PAC**	**V:PAC**	**I:HC**	**i:PAC**	**v:HC**	**V/V:PAC** **(RHC)**	**V:PAC**	

RECAPITULATION

MT 1	MT 2	CRESCENDO	CODA
157b–65	165–69	169–89	189–216
A only	A′ only		
I			
I:PAC	**I:PAC**		**I:PAC**

Table 7.2 Wagner, *Eine Faust-Ouvertüre*: Comparison of the Exposition with the Recomposed Recapitulation

EXPOSITION

MAIN THEME GROUP		TRANSITION	SUBORDINATE THEME GROUP		CODETTA⇒DEV
31–63	63–80	80–117	118–33	133–67	167ff.
MT 1	MT 2	(codetta⇒TR)	ST 1	ST 2 (begins as ST1 transposed)	
	(MT2⇐TR)				
(motives a+b)	(motives a+b+c)				
i			III	V	III
i:PAC	i:PAC		V:PAC (covered)	III:IAC	

RECAPITULATION

MAIN THEME GROUP				SUBORDINATE THEME	CODETTA
325–37			337–57	375–85	385–97
MT 1/2			MT "3" (new)	(with incursions of motive b from MT)	(from EXPO:TR)
325–28 from MT2 (motive a)	329–32 new (motives a+b)	333–37 from MT1 (motive b)	(motive c)		
i		i:PAC	I:PAC	I	i
				i:PAC	

instead relies to a large extent on an intra-opus logic. It is conditioned by the formal constellation within the individual piece rather than by an abstract norm. The four analytical discussions that follow (as well as the works adduced in the footnotes), therefore, are not meant to exemplify certain types, but rather serve to illustrate the range of possibilities.

The most straightforward form of recapitulatory truncation is the deletion of entire large formal units. In Rossini's overtures, as we have seen in Chapter II, this almost takes the character of an alternative script. One of the two standard options in his recapitulations is to omit the transition completely and elide the end of the main theme with the beginning of the subordinate theme. A more drastic application of the same technique can be observed in the overture to Donizetti's *Don Pasquale* (1842–43). Table 7.1 compares the exposition and recapitulation of this overture. The exposition consists of two main themes (mm. 48–68 and 68–80), a modulating transition (mm. 80–102), a subordinate theme in the dominant (mm. 103–18), and a crescendo-like codetta that is merged with the short development (mm. 118ff). The recapitulation starts at the middle of m. 157 and initially brings back both main themes in compressed form. (In the exposition, both themes are small ternaries; in the recapitulation, the first main theme is limited to its A section and the second to its A′ section.) The PAC that

Example 7.1. Wagner, *Eine Faust-Ouvertüre*: beginning and end of the first and second main themes in the exposition.

concludes the second main theme at m. 169 is not elided with the onset of the transition (as in the exposition) or with the beginning of the subordinate theme (as often in Rossini's overtures), but with the codetta. From this point onward, the parallelism to the exposition is nearly literal. The codetta is

recapitulated in extenso (mm. 169–89) but modified so that it now functions as a real crescendo whose concluding PAC is elided with the beginning of the main-theme-based coda (mm. 189–216). With all the compressions and cuts combined, the recapitulation lasts less than half as long as the exposition. The deletions have little or no impact on the internal makeup or on the formal position and function of the remaining units, which stay what and where they were in the exposition. But they do result in what may be called a formal acceleration, as if the form is pulled into the rapids as it approaches its conclusion.

The situation is more complicated in Wagner's *Eine Faust-Ouvertüre* (1839–40, rev. 1843–44/1855). Wagner's overture has in common with Rossini's alternative script the deletion of the entire transition (mm. 80–117 in the exposition) from the recapitulation, so that the final PAC of the main theme group is elided with the entry of the subordinate theme. But in contrast to Rossini (or Donizetti in the *Don Pasquale* overture), Wagner also thoroughly recomposes the remaining segments of the recapitulation. The specifics of the recomposition, moreover, are conditioned by the potential implied in the exposition, which includes two thematically interconnected main themes as well as two subordinate themes that begin as variants of one another.

Table 7.2 juxtaposes a schematic overview of the exposition with one of the recapitulation; Example 7.1 shows the beginnings and ends of the exposition's main themes, highlighting their constituent motives. At first sight, the exposition's first main theme seems to have been omitted from the recapitulation altogether: the return of the exposition's second main theme at m. 325 is where the recapitulation seems to get underway. Yet the situation is less clear-cut than this. Already in the exposition, both themes were closely related, sharing the two motives labeled *a* and *b* in Example 7.1. In the recapitulation, characteristics that were particular to the first main theme in the exposition reassert themselves over the course of what initially looks like the second main theme. The head of the second main theme, for instance, is a thematic transformation of the opening motive of the first main theme. In the exposition, the transformation coincided with a change in interval content, the D–E♭ from the first main theme becoming D–E♮ in the second. In the recapitulation, the motive combines the shape it had in the second main theme with the interval content from the first. While the next four measures have no direct equivalent in either of the exposition's main themes, mm. 333–36 reconnect not with the continuation of the second main theme, but with mm. 45–48 from the first, which now lead to a PAC. A new main theme is then

Table 7.3 Mendelssohn, Overture to Racine's *Athalie*: Comparison of Part Two of the Exposition with the Recomposed Recapitulation

EXPOSITION PART TWO
SUBORDINATE THEME

151–58	159–66	167–74	175–82	183–91	192–98a	198b–208	209–16	217–24	225–32	233–40
Large-scale sentence with periodic presentation					Interruption	Link	ST Resumed (MT material)			CODETTA
b.i. (ant.)	b.i. ⤫ (cons.)	continuation (sentential)					continuation (sentential)			motto
		pres.	cont. 1	cont. 2			pres.	cont. (ECP)	OMT	
v					III		v			
III/v:IAC	v:PAC		(DC)		no cad.			(EC)	v:PAC	

DEVELOPMENT (END)

RECAPITULATION
SUBORDINATE THEME

270–77	278–85	286–93	294–301	302–19	320–24	325–32	333–70	371–77	376–404
Large-scale sentence with periodic presentation						Interruption	ST resumed (DEV material)	motto	CODA
b.i. (ant.)	b.i. ⤫ (cons.)	continuation (sentential)							
		pres.	cont. 1	cont. 2 exp.	cad. (new)				
i						VI	i		
III:IAC	i:PAC		(DC)	(DC)	no cad.			I:PAC	

mm. 255–69:
d–e♭–e–f–f♯–g–g♯–a–b♭

mm. 355–71:
a–b♭–b♮–c–c♯–[e]–d

created from motive *c*, which, in the exposition, was particular to the second main theme.

The rewriting of units in the recapitulation persists into the subordinate theme group. Instead of two subordinate themes as in the exposition, the recapitulation includes only one. The opening unit of the exposition's first subordinate theme – an eight-measure phrase consisting of a compound basic idea and a compound contrasting idea – returns almost in its entirety, but it is overlaid with scalar figures in the strings that are borrowed from the end of the new second main theme in the recapitulation. Before the compound contrasting idea reaches its final note, moreover, the subordinate theme is interrupted by an interpolation, again based on main theme material. The expected conclusion of the compound contrasting idea does eventually appear at m. 367 and is followed by the first four measures of the continuation from the exposition. Then the subordinate theme starts to deviate from the exposition again: a sequential repetition of the continuation's opening four measures (up a minor third) is connected to a cadential progression that is borrowed from the end of the second main theme. A deceptive cadence at m. 378 is elided with a transposed return of the compound contrasting idea; this in turn leads to a restatement of the same cadential progression, which now does conclude with a PAC. This PAC is elided with a codetta whose material basis is not the codetta from the end of the exposition, but the seemingly postcadential music that began the transition. The exposition's codetta material reappears only in the coda.

In *Eine Faust-Ouvertüre*, the particulars of the recomposition respond to the layout of the exposition in a general way. An example in which the recapitulatory recomposition continues a specific process started earlier in the form is Mendelssohn's overture to *Athalie* (1843–44). Table 7.3 compares Part Two of the exposition to the recapitulation. The recapitulation begins at m. 270 with the return of the subordinate theme in the tonic. Both the main theme and the transition have been deleted. The theme runs parallel to its original appearance in the exposition until m. 305, where it is expanded and initially leads to a deceptive cadence. The parallelism to the exposition is restored when a new cadential progression is launched immediately after that deceptive cadence. As was the case in the exposition, this cadential progression still does not lead to a PAC: the subordinate theme is prevented from attaining closure by the reappearance of the motto from the introduction, now in the submediant.

The expansion that follows, however, is completely new. In the exposition, it was based on main theme material. In the recapitulation, it recycles material from the development. First, at m. 333, the running eighth-note

figures from the development (and, before that, from the end of the introduction) reappear; then, at m. 355, the music picks up a process that started in the earlier section, but was left incomplete there. The events in the development can be summarized as follows. The entire development is structured as an almost classical developmental core: a six-measure model is set up in mm. 241–46 (in A minor) and sequenced twice in mm. 247–52 and 253–57 (in G and D minor). At the end of this second sequence, the diatonic closing motive of the model and the first sequence $(\hat{1} - \hat{2} - \hat{3})$ is chromaticized and becomes $\hat{1} - \flat\hat{2} - \flat\hat{2}$. This chromaticized version of the motive then forms the basis for the fragmentation process that follows and that results in an ascending chromatic line from $\hat{1}$ in m. 254 to $\hat{6}$ at m. 264. At m. 265, however, the line hits a wall. Rather than continue to ascend, it falls back to $\hat{5}$ and repeats the A–B♭ dyad twice. The subordinate theme that follows marks the beginning of the recapitulation.

It is this same dyad A–B♭ that returns in the new expansion of the subordinate theme at m. 355. Again, $\hat{6}$ seems to be the limit: A moves up to B♭ three times. But then the chromatic ascent is finally brought to completion. At mm. 361–62, the motive is transposed up a minor second, and again in mm. 363–64 and 365–66. When the $\flat\hat{7}$ that is reached in m. 366 finally resolves, via $\hat{2}$, to 1, this is marked not only by a shift to the major mode, but also by the final return of the motto from the slow introduction that here leads to the recapitulation's first (and only) tonic PAC.

A final example of recapitulatory recomposition is the overture to Spohr's *Jessonda* (1823). At m. 185, twenty-eight measures into the development, the subordinate theme returns in the subdominant. This moment constitutes a return of neither the main theme nor the home key. The preceding portion of the development, moreover, was relatively brief. As a result, there is little that marks this moment as the possible beginning of a recapitulation. But soon after its reappearance, the theme is subjected to recomposition. Whereas it was tonally closed in the exposition, its middle has been modified (mm. 194–200 are different from 112–18) so that the theme now modulates from the subdominant to the tonic, the key in which it concludes with a PAC at m. 225. This cadence, moreover, is elided with a return of the codetta from the exposition. By this point, it is clear that the unit that seemed to be a mid-development and off-tonic return of the subordinate theme without recapitulatory implications has unnoticeably crossed the border into the recapitulation.

It would be rash, however, to assume that with the PAC at the end of the subordinate theme, the recapitulation has reached its endpoint. Like the subordinate theme that precedes it, the codetta is recomposed. In the

exposition, the two looped codetta modules gradually morphed into a transition to the development (see Chapter VI). In the recapitulation, the same music does double duty as the presentation of a large sentence, so that the codetta is effectively turned into an expansive second subordinate theme. As is common in subordinate themes, expansion is achieved mainly through separating the sentence's medial and closing functions: mm. 233–46 function as the continuation, and mm. 247–59 as a cadential progression whose beginning is marked by a much expanded I^6. The recomposition and expansion of the codetta shift the endpoint of the recapitulation from m. 225 to m. 259. The PAC at the end of what has now become the second subordinate theme completely overshadows the much more perfunctory one that paralleled the cadence at the end of the exposition.[17]

Reordered Recapitulations and the "Type 2 Sonata"

The thematic reordering in the overtures to *Athalie* and *Jessonda* brings to mind the reordered recapitulations in the sonata-form portions of *Le Carnaval romain* and the *Tannhäuser* overture discussed in Chapter V. In those pieces as well, the rearrangement of formal units can be understood as a strategy to avoid a large-scale sectional parallelism between the recapitulation and exposition, and there too, the specifics of the recapitulatory recomposition react to the form-functional properties of earlier portions of the work. As I wrote in Chapter V, however, one may wonder whether "recapitulation" is the appropriate label for what happens in these works in the first place. Should these forms not be understood as examples of what Hepokoski and Darcy call the "Type 2 sonata" – the type of sonata form that omits the recapitulation of the main theme and in which the development is followed by a return of the subordinate theme? In

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[17] Another example of extreme recomposition is the overture to Weber's *Abu Hassan* (1811, rev. 1823), where the omission of the opening antecedent of the main theme, the entire transition, and the opening of the subordinate theme results in a recapitulation that is only twenty-nine measures long (in comparison to 121 for the exposition). See also Kalliwoda's Overture No. 3 in C major (1834), which jumps straight from the recapitulation of the main theme to the coda. Deletion of units can also be compensated (or even overcompensated) by the addition or expansion of other units. In the original overture to Meyerbeer's *Le Prophète* (1849), for instance, the exposition is 216 measures long and the recapitulation 250, even though the last seventy measures of the exposition do not return in the recapitulation. Other instructive examples of recapitulatory recomposition include Mendelssohn's *Meeresstille und glückliche Fahrt* (1828, rev. 1833–34) and Berlioz's *Waverley* (1827–28), as well as the overtures to Mendelssohn's *Die erste Walpurgisnacht* (1832, rev. 1842–43) and to Lortzing's *Der Wildschütz* (1842).

Hepokoski and Darcy's view, the latter is emphatically not a recapitulation, but a "tonal resolution": given the rotational basis of their theory, a recapitulation can, by definition, be launched only by the main theme.[18] Any return of main-theme material *after* the return of the subordinate theme in a "Type 2 sonata," therefore, is optional, and if there is one, it is understood as the beginning of the coda. The four overtures at hand seem perfect examples of this formal type. In all of them, the subordinate theme returns in the tonic (or, in the case of the *Jessonda* overture, leads back to it) without there having been a preceding home-key return of the main theme, and the return of main theme material after the tonal resolution provided by the subordinate theme is minimal or nonexistent.[19]

I nonetheless argue that the "Type 2 sonata" is not the most appropriate interpretative framework for these pieces. The "Type 2 sonata" is primarily a formal type of the mid-eighteenth century. Hepokoski and Darcy themselves emphasize that it grew increasingly rare after 1770.[20] Applying it to mid-nineteenth-century compositions is, therefore, anachronistic. What is more, the type is never discussed in the nineteenth-century theoretical literature. A passage from the fourth volume of Marx's *Lehre von der musikalischen Komposition* is especially revealing in this context. Several pages into his discussion of overture forms, Marx turns to the overture to Mozart's *La Clemenza di Tito* – from our modern point of view, a "Type 2 sonata" by any standard. Marx, by contrast, describes it as a sonata form that "cleverly and strikingly deviates" from the norm: Mozart "begins his third part [Marx's term for the recapitulation] with the subordinate theme; only after this theme, which is too weak to achieve closure, does he come back to the beginning."[21] One could legitimately argue that Marx is wrong here, i.e., that his interpretation is untenable in the face of the eighteenth-century repertoire in which the "Type 2 sonata" was a common option (even though in 1791, when Mozart wrote *La Clemenza di Tito*, it was already an old-fashioned move). But his (mis)understanding of Mozart's overture is telling. It suggests that in the nineteenth century, awareness of the "Type 2 sonata" as a formal type in its own right was nonexistent, even for eighteenth-century works. It is implausible, therefore, that an informed mid-nineteenth-century listener would have heard (or that composers would

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[18] Hepokoski and Darcy, *Elements of Sonata Theory*, 353–87.

[19] The overtures to *Jessonda* and *Tannhäuser* are among the sixteen nineteenth-century compositions that Hepokoski and Darcy list as examples of the "Type 2 sonata." Their list also includes Weber's *Der Beherrscher der Geister* (1811) and the overture to Verdi's *Luisa Miller* (*Elements of Sonata Theory*, 364).

[20] Hepokoski and Darcy, *Elements of Sonata Theory*, 363.   [21] Marx, *Lehre*, IV, 409.

have expected them to hear) works in which the recapitulation is launched by the subordinate theme as being in dialogue with the "Type 2 sonata" rather than with the overwhelmingly more common "Type 3 sonata."

In their theory, Hepokoski and Darcy allow for the possibility that norms change over time. What would be considered a deformation at one point in music history can acquire a certain degree of normativity at a later point in time (one thinks of third-related keys in major-mode expositions). The opposite is true for the "Type 2 sonata." There is no reason not to embrace it as a normative option for eighteenth-century music. When it comes to the nineteenth century, however, apparent "Type 2 sonatas" are better understood as being in dialogue with norms derived from contemporaneous practice.[22] I am not denying the possibility that some mid-nineteenth-century composers may have been aware of eighteenth-century "Type 2 sonatas" or that they may even have modeled some of their own compositions on these earlier works. In a nineteenth-century context, however, the very decision to revive this older format arguably constitutes a deformational gesture.

The change in perspective is not trivial. Reading these works as nineteenth-century instances of the "Type 2 sonata" would mean understanding their form as conforming to a preexisting script. Approaching them against the background of the mid-nineteenth-century "Type 3 sonata," by contrast, situates them within the broader context of recapitulatory recomposition. Only the latter option does justice to the internal dynamics of these forms. Thematic reordering rarely appears in isolation from other techniques of recapitulatory composition. And like those other techniques, the reordering, far from conforming to a script, undermines the script predicted by the exposition in order to assert the form's individuality.

Consider Berlioz's overture to *Benvenuto Cellini* (1836–38, rev. 1852). Similar to the *Jessonda* overture, the onset of the recapitulation is concealed. After the short development (mm. 199–227), the first subordinate theme from the exposition returns, in extenso but in a *minore*

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22 Compare Paul Wingfield, "Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History," *Music Analysis* 27 (2008): 160. Wingfield writes that "it is difficult to identify a single work in the nineteenth-century repertoire where a Type 2-oriented reading is richer and more compelling than a Type 3-based one." In a study of Mendelssohn's sonata practice, Wingfield and Horton consequently list "reversed or partly reversed recapitulations" as a deformation category rather than as instances of the "Type 2 sonata." See their "Norm and Deformation in Mendelssohn's Sonata Forms," in Nicole Grimes and Angela Mace (eds.), *Mendelssohn Perspectives* (Farnham: Ashgate, 2012), 83–99. For a differing view on the utility of the "Type 2 sonata" as a category for the analysis of nineteenth-century music, see Davis, "Chopin and the Romantic Sonata."

transformation, preceded by only minimal dominant preparation and rhetorically unmarked (mm. 228–48). It is followed by a return of the second subordinate theme, now in its original shape and mode (mm. 248–73). The cadential progression is expanded in comparison to the exposition and leads unproblematically to the PAC that was absent earlier (see Chapter VI). This PAC is elided at m. 273 with the return of the music that in the exposition functioned as an apparent codetta to the main theme that launched the transition (mm. 110ff) and that is here refunctionalized as a codetta. At this point, the piece may very well give the impression of conforming to a classical "Type 2" script. The return of the subordinate theme immediately after the development (which was, significantly, based exclusively on main theme material) functions as a tonal resolution, leading to the "generically required" tonic PAC that structurally closes the form. Material from the first half of the exposition returns only after this structural closure has been attained and is thus relegated to postcadential status.

However, the arrival of the codetta hardly marks the end of the piece. At the moment of the PAC at m. 273, the Allegro is barely past its halfway point, with only 184 of its 332 measures having elapsed. What is the function of the remaining 148 measures? As soon as the codetta deviates from its model in the exposition, it is reopened. An apparent move to the dominant is halted by the V_2^4 at m. 281, after which the music settles on a lengthy dominant preparation in the key of the supertonic (mm. 285–98). The opening compound basic idea of the main theme emerges at m. 299, still in the supertonic, followed abruptly at m. 303 by a statement of the complete main theme, in tutti and in the home key. Significantly, the main theme returns here not in the version in which it was heard in the exposition, but in its original "preview" version from the introduction (see Chapter IV). The theme first leads to a deceptive cadence at m. 318 and then, after a lengthy expansion, to a PAC (m. 355). This PAC is elided with codetta material (as after the subordinate theme) onto which the grandiose return of the solemn melody from the slow portion of the introduction is superimposed.

Structurally, from the point of view of the sonata-form portion of the work, none of the music that follows the codetta at m. 273 is necessary. The disproportionately long coda becomes meaningful only in light of the overture as a whole – that is, including the multitempo introduction. In relation to the latter, the coda performs two recapitulatory gestures, first of the main theme in its original version from the opening measures, then of the solemn theme from the slow portion of the introduction. Labeling all of this as "parageneric" or as standing "outside sonata space proper," to use Hepokoski and Darcy's terms, is accurate but not very

productive. The introduction and coda, and the way in which they over-shadow the sonata form, are what Berlioz's overture, as a musical form, is all about. It is not just that the portion of the piece that is governed by a sonata-form script is relatively small. It is also impossible to analyze that sonata form in isolation from what happens around it. The sonata form is affected by the introduction and coda. The recapitulatory gestures in the coda reduce the effect of the recapitulation within the sonata form. This not only shifts the weight of the form towards its end (in the sense of Grey's "recapitulatory function of the coda" cited above); it also means that the structural closure that is achieved by the PAC at m. 273 is surpassed by events that come later in the form.[23]

Apotheoses

In the broadest sense, the *fortissimo* return of the solemn theme from the introduction at the end of the overture to *Benvenuto Cellini* constitutes a kind of recapitulation. It is a return, in the tonic, of a theme heard before. At the same time, the label "recapitulation" is inaccurate. The theme's original presentation occurred outside of the exposition, and its return takes place outside of recapitulation "space." More importantly, the term "recapitulation" is also insufficient, because the return is more than a recapitulation – it is an apotheosis.

The most succinct definition of apotheosis comes from Meyer, who calls it "a high point characterized by the stability of a grand assertion of a coherent theme."[24] Before Meyer, Edward T. Cone used the term to denote "a special kind of recapitulation" in Chopin, and it is in discussions of the music of Chopin and Liszt that the term most often appears.[25] Apotheoses are, however, equally at home in the genre of the overture.

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[23] Further examples of recomposed recapitulations that are launched by or limited to the subordinate theme can be found in the overtures to Mendelssohn's Singspiel *Soldatenliebschaft* (1820), Donizetti's *La Fille du régiment* (1840), and Friedrich von Flotow's *Martha* (1847), as well as in Niels Gade's concert overture *Im Hochlande* (1844). Sonatina forms too sometimes delete the main theme and the transition from the recapitulation. Examples include the overtures to Ferdinand Hérold's *Marie* (1826) and to Verdi's *Un Giorno di Regno* (1840) and Johann Wenzel Kalliwoda's Concert Overture No. 10 in F minor (1842). See also the discussion of the overtures to Verdi's *Luisa Miller*, Donizetti's *La Favorite*, and Wagner's *Der fliegende Holländer* below.

[24] Meyer, *Style and Music*, 23.

[25] Edward T. Cone, *Musical Form and Musical Performance* (New York: Norton, 1968), 84. Recent examples include Michael Klein, "Chopin's Fourth Ballade as Musical Narrative," *Music Theory Spectrum* 26 (2004): 23–55; and Klein, "Liszt and the Idea of Transcendence," in David

Carl Schachter has pointed out that Chopin's most probable precedents were some of Weber's overtures; he mentions the apotheosis of the subordinate theme in the overture to *Der Freischütz* as an example.[26] Hepokoski, too, invokes the term in relation to overtures by Weber (and Wagner), and Alexander Rehding has written about the apotheosis in Liszt's symphonic poem *Tasso: Lamento e Trionfo* (1847–54), a work that in its first incarnation bore the generic designation "overture."[27]

When introducing the term, Cone seemed to assume that his usage of "apotheosis" was new. Yet there are precedents in the nineteenth century. The most relevant in the present context is Wagner, who in "De l'Ouverture" used the term in relation to "the final accents" of Beethoven's *Egmont* overture (one assumes he had in mind mm. 329–42).[28] Nonetheless, and as Cone concedes, apotheosis is an extravagant term. Its literal meaning is "deification": the transformation from mortal to divine status, as in ancient Roman imperial cult. Any application of the term to music therefore necessarily functions in a very figurative sense.

The etymology of the word "apotheosis" is relevant for its definition as an analytical category. The term's original meaning serves as a useful reminder that apotheosis always is the apotheosis of something. (The arcane verb "to apotheosize" is transitive.) In music, then, apotheosis is not any kind of climax, but a climax articulated by a specific kind of thematic transformation. The latter can be defined as a form of thematic return that retains the melodic outline of the original but may change almost any other aspect of the theme: its rhythm and meter, its mode and harmony, its instrumentation and texture, its dynamics, and its topical content or expressive character.[29] Apotheoses are climactic transformations that in one way or another aggrandize the original theme. They are always louder and more fully

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B. Cannuta (ed.), *Flores Musicais: A Festschrift in Honor of Fernando Laires upon His 80th Birthday* (*Journal of the American Liszt Society* 54–56 [2003–2005]), 102–24.

[26] Carl Schachter, "[Book Review:] *The Music of Chopin* by Jim Samson and *The Music of Brahms* by Michael Musgrave," *Music Analysis* 8 (1989): 189–90.

[27] James Hepokoski, "Masculine–Feminine," 497 and "Beethoven Reception," 448. Alexander Rehding, *Music and Monumentality: Commemoration and Musical Wonderment in Nineteenth-Century Germany* (New York: Oxford University Press, 2009), 47–52. Liszt's *Tasso* was first performed in 1849 in Weimar as the overture to Goethe's play *Torquato Tasso* on the occasion of the centenary of the playwright's birth.

[28] Wagner would later use the term in a more critical sense in relation to Liszt's music. See Kenneth Hamilton, "Wagner and Liszt: Elective Affinities," in Thomas Grey (ed.), *Richard Wagner and His World* (Princeton: Princeton University Press, 2009), 55–58. Liszt himself used the label "Apotheose" for the main theme recapitulation in the score of his twelfth symphonic poem *Die Ideale* (1856–57).

[29] I base this definition on Walter Frisch, *Brahms and the Principle of Developing Variation* (Berkeley: University of California Press, 1984), 36.

orchestrated than the original: their default mode is tutti and *fortissimo*. They are also always in the major mode. Beyond that, there are multiple options. The tempo can be slower or faster, the rhythm can be augmented or diminuted, the harmony can be richer or more rudimentary, and the texture can be monumentalized or have a more active accompaniment (Cone's term for this is "textural excitement"). Finally, apotheosis does not necessarily involve a transformation of the entire theme. Often only the beginning of a theme is "apotheosized" and then followed by a new continuation.

Four examples will illustrate the technique. In the most straightforward cases, the extent of the transformation is minimal. In the overture to Weber's *Der Freischütz*, which is quite possibly the prototype of the technique, the apotheosis takes the form of an aggrandized version of the second subordinate theme from the exposition. Example 7.2a shows the beginning of the theme in its original form (mm. 123–59). It is played *dolce* and legato by the first violins and clarinet (and, in the consequent, by the flute, clarinet, and bassoon). The accompaniment in the celli and basses combines a rocking bass pattern with a pulsing rhythmic figure in the second violins and violas; in the consequent, the horns join in on the afterbeat. It is true that the theme's lyrical qualities recede when the music gains momentum after the evaded cadence at m. 145. Nonetheless, the high point arrives, significantly, not within the subordinate theme itself, but at the onset of the codetta (which, as we saw in Chapter VI, "becomes" the development). The apotheosis – of the consequent only – in mm. 292–99 retains the tempo of the original theme and leaves its melody and harmony intact (see Example 7.2b). Both the pulsing rhythm in the violas and the rocking pattern in the bass are also still there (even though the latter, with the legato gone, is now better described as "thumping"). The only differences are that the theme is no longer played *dolce* and in reduced instrumentation, but tutti and *fortissimo*, and that the texture is filled in with sustained chords in the woodwinds and by a more active accompanimental pattern (following the rhythm of the bass) in the brass.

The apotheosis in Wagner's concert overture *Rule Britannia* (1837) involves an even more rudimentary transformation, but on a much more spectacular scale. No listener aware of the title will be surprised to encounter the melody shown in Example 7.3a as the overture's subordinate theme (all the more since it was previewed in the slow introduction). In the exposition, the melody appears in a remarkably understated guise: its first complete presentation (mm. 54–69), played by a quartet of trumpets and trombones, is explicitly labeled *piano sempre*. A crescendo begins only as more and more instruments join in when

Example 7.2. Weber, overture to *Der Freischütz*: (a) second subordinate theme in the exposition (antecedent only, mm. 123–30); (b) apotheosis in the recapitulation (mm. 292–99).

(a)

(b)

the theme's last phrase is repeated and expanded (mm. 70–82), but as in the *Freischütz* overture, the tutti and *fortissimo* do not enter until the beginning of the codetta, i.e., once the theme itself is over. In the apotheosis at the end of the coda (mm. 299–322; see Example 7.3b), however, Wagner pulls out all the stops. The tempo indication is now Maestoso moderato (i.e., slower than the preceding Allegro maestoso) and the dynamic level *fortissimo*, and "Rule Britannia" is played homophonically by the entire orchestra, complete with military percussion (triangle, side drum, bass drum, and cymbals). As if all of that were not enough, Wagner recommends that the orchestra at this point be reinforced by a full off-stage wind band.

A different kind of apotheosis is used in the overture to Heinrich Marschner's *Der Vampyr* (1827). The initial setting of the subordinate theme in the exposition (Example 7.4a) is limited to the bare minimum. The melody of the antecedent in the solo horn is supported almost exclusively by long sustained chords in the strings, the lower woodwind, and the other horns. Except for the *fortepiano* at m. 94, the passage nowhere exceeds the dynamic level of *pianissimo* and *piano*. The consequent is slightly more elaborate but does not change the theme's character. The horn adds a countermelody to the original melody, which is now in the flute and oboe, and the held notes in the accompaniment are animated by an arpeggio figure in the first violin and a pizzicato pattern in the celli. In spite of the larger forces used, however, the overall dynamic level remains *piano* and *pianissimo*. By contrast, the apotheosis in the coda fundamentally alters the theme's character, even though it leaves the melody's pitch structure and rhythm intact (Example 7.4b). Not only is the tempo faster (*più stretto*), the theme now also appears in a *fortissimo* tutti. The melody is carried by the

Example 7.3. Wagner, concert overture *Rule Britannia*: (a) subordinate theme in the exposition (opening phrases only, mm. 54–61); (b) apotheosis in the coda (opening phrases only, mm. 299–306).

Example 7.3. (cont.)

(b)

* Hier fällt die Militärmusik ein
  Rule Britannia

Example 7.4. Marschner, overture to *Der Vampyr*: (a) subordinate theme in the exposition (antecedent only, mm. 89–103); (b) apotheosis in the coda (mm. 314–26).

woodwind and reinforced intermittently by the trumpets in octaves. The horns, trombones, and timpani provide a thick chordal accompaniment and the new eighth-note pattern in the strings adds textural excitement.

A final example comes from the overture to Verdi's *Luisa Miller* (1849). The subordinate theme in the exposition begins as a major-mode version of the main theme (mm. 82–120; see Example 7.5a). It is played by a solo clarinet, legato, *con molto espressione, piano*, and *dolce*, with the strings providing an accompaniment of rocking quarter notes in a very slow harmonic rhythm (the first five measures express tonic harmony only). When the theme returns in the recapitulation, it is already varied: the melody is now played by the flute, oboe, and clarinet soli in *pianissimo*, and the accompaniment in the strings is more excited (mm. 254–92; Example 7.5b). The theme's apotheosis in the coda, however, differs much more radically from its original form (see Example 7.5c). At m. 326, the tempo suddenly increases (*poco più mosso*) and the theme is stated *con tutta forza* by the entire orchestra. The melody is carried by the upper woodwind and violins in octaves and reinforced by the celli at the octave below, while the rest of the orchestra provides a new accompaniment. The transformation is not limited to these changes in texture and instrumentation: the theme is also reharmonized in a faster harmonic rhythm, beginning with a romanesca.

Non Plus Ultra

The apotheoses shown in Examples 7.2 through 7.5 are not all the same. While some simply restate the previous music, only louder, slower, and played by more instruments, others involve changes to the accompaniment, added textural complexity, or reharmonizations. These differences suggest that one can distinguish between less and more sophisticated instances of apotheosis. It is nonetheless hard to disagree with Rehding that in general, "apotheosis is not a subtle rhetorical device." He explains:

"Any technical deficiencies are overruled by irresistible strength; technique and musical logic become irrelevant beside the unequivocal closure which [apotheosis] provides. . . . Put bluntly, it taught [nineteenth-century bourgeois audiences] when to clap."[30]

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[30] Rehding, *Music and Monumentality*, 52.

Example 7.5. Verdi, overture to *Luisa Miller*: (a) subordinate theme in the exposition (beginning, mm. 82–96); (b) transformation in the recapitulation (beginning, mm. 254–57); (c) apotheosis in the coda (beginning, mm. 326–33).

(a)

(b)

Rehding is expanding on similar comments Meyer made two decades before. In Meyer's view, the technique of apotheosis relied primarily on secondary parameters such as dynamics, tempo, timbre, and sonority. The increased importance of those parameters in nineteenth-century music, he argued, went hand-in-hand with a decline in audience sophistication. Meyer's assessment of apotheosis was, consequently, not a positive one. "By literally overwhelming the listener," he wrote, "their

Example 7.5. (cont.)

(c)

force and magnitude make prior unrealized implications, diversity of materials, contrasts of expression, and even gaucheries of technique irrelevant."[31]

The main difference between Meyer's and Rehding's accounts of apotheosis is that the latter adds a positional element. For Rehding, an apotheosis cannot occur just anywhere in a musical form; it is, by definition, linked with closure. It is worth exploring this link further. One can imagine two different ways in which an apotheosis relates to closure. A first possibility is that it merely marks the end, appearing at the conclusion of a coherent musical form that does not need the apotheosis to achieve closure. In this case, the apotheosis is formally passive. It is superimposed onto an ending that is already there (and that would also have been there without the apotheosis), just to make sure everyone understands that the piece is (almost) over. Alternatively, apotheoses can be formally active, bringing about closure that would not otherwise be there. Both the passive and the active type of apotheosis-as-closure can be found aesthetically wanting. If an apotheosis is formally passive, it may appear superfluous, its presence a miscalculation on the part of the composer that imperils the structural integrity of the form. If, on the other hand, an apotheosis is formally active, the implication can be that the form itself lacks structural integrity and that the apotheosis is there to make up for flaws earlier in the piece (Rehding's "technical deficiencies," Meyer's "gaucheries of

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[31] Meyer, *Style and Music*, 204.

technique"). Seen thus, apotheosis-as-closure necessarily signals a problem. Either the apotheosis itself is problematic, or it covers up shortcomings elsewhere in the piece.

In his discussion of apotheosis, Rehding invokes a term Wagner coined (albeit in a different context) in *Oper und Drama*: "Der Effekt," that is, "an effect without cause."[32] Since apotheoses are either unwarranted or unnecessary, they have no objective cause within the work itself; they are added to the musical form from outside. In this sense, apotheosis is similar to Adorno's category of *Durchbruch*, which, as we saw earlier, also intrudes the form from outside. This similarity points the way to a more positive evaluation of apotheosis. Apotheosis is not just about closure. It is also one of the techniques composers use to avoid or disrupt the large-scale sectional parallelism between the exposition and the recapitulation, in that it undermines or even completely disables the recapitulation script. Apotheosis may be without work-immanent cause, but it is not without consequences: it has an impact on the form – it has a formal function.

That function can be described as the *non plus ultra* of musical form. As soon as an apotheosis appears – and no matter where it appears, as long as it is after the end of the development – the form has reached its endpoint.[33] It is the last event in the piece; nothing can come after it, except for postcadential material (or, in some cases, a repetition or a variant of the apotheosis). An apotheosis, in other words, is an ending function that can be invoked at any point after the development and make the rest of the recapitulation script superfluous. The ending position is one of the criteria that distinguish apotheosis from *Durchbruch*, which typically appears earlier in the form. (The other difference is that *Durchbruch* in principle involves thematic material that is new to the form, whereas apotheosis by definition uses a theme from earlier in the form.)

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[32] Rehding, *Music and Monumentality*, 52. An effect with cause, in Wagner's parlance, is a "Wirkung." An "Effekt," consequently, he defines as "Wirkung ohne Ursache." Wagner, *Oper und Drama*, 101.

[33] The qualification "after the end of the exposition" matters. Immediate bombastic restatements of themes, such as in the slow introductions to Wagner's *Rienzi* and *Tannhäuser* overtures or in Gade's *Efterklange af Ossian* (see Chapter IV), may have the intrinsic characteristics of an apotheosis, but they do not have its function. (The functional label apotheosis may, however, be appropriate if those same themes later return in an even more aggrandized version, as is the case in the *Tannhäuser* overture.) Another interesting case is the overture to the cantata *Die vier Menschenalter* by Franz Lachner (1829), in which the initial presentation of the subordinate theme in the exposition is followed immediately by what looks like its apotheosis. This seeming apotheosis, however, has no impact on the form, and both the theme's original presentation and its apotheosis return in the recapitulation.

The earlier the *non plus ultra* appears, the more drastic its effect. Yet even apotheoses that come very late in the form – that is, after the recapitulation has run its course – have an impact: they act as a peroration whose function is to shift the form's emphasis to its end. This is how apotheosis works in the overture to Verdi's *Luisa Miller*. Both the main theme and the transition are deleted from the recapitulation, a move that is obviously related to the fact that the subordinate theme begins as a major-mode version of the main theme.[34] The subordinate theme leads to a PAC at m. 292. As in the exposition, it is followed by a codetta. This codetta, however, is reopened: instead of confirming the preceding PAC, it leads first to a deceptive cadence (m. 308) and then to an HC (m. 324). The apotheosis enters following this HC (m. 326). Its function, as a result, is not postcadential. Instead it is a new beginning that itself leads to another (and final) PAC at m. 340. Even though the apotheosis merely regains the closure that had already been attained at the end of the subordinate theme, its effect is clear: the last and most emphatic moment of closure is postponed until the very end of the piece.[35]

An apotheosis more drastically changes the script if it appears before the recapitulation is over. One possibility is for it to occur in Part Two of the recapitulation, as in Weber's *Freischütz* overture. The recapitulation begins at m. 219 with a condensed return of the main theme. The entry of the transition parallels the exposition, but before long its course is radically altered, leading to a cadential situation that is typical not of the middle, but of the end of a recapitulation. A PAC in the tonic minor arrives at m. 243 and is immediately restated twice before giving way to a recollection from the slow introduction. This recollection first leads to a deceptive cadence (m. 261) and then seems headed for a concluding PAC. The music, so it appears, has leaped from the end of the transition to the final measures of the recapitulation, skipping the subordinate theme group along the way. When the final tonic arrives at m. 279, however, it is not in the form of

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[34] Note that this also complicates a reading of the *Luisa Miller* overture as a "Type 2 sonata." The omission of the main theme is more readily understood as a realization of the implications of the exposition.

[35] For other examples of subordinate-theme apotheoses in the coda, see, in addition to the above discussion of Wagner's *Rule Britannia*, Norbert Burgmüller's Overture in F major, Op. 5 (1832 [?]) and Berlioz's *Le Corsaire* (1844), as well as the overtures to Halévy's *La Juive* (1835) and Mendelssohn's *Athalie*. Subordinate themes seem to be the most probable candidates for apotheosis. For apotheoses of themes from the slow introduction in the coda, see the above discussion of the overture to Berlioz's *Benvenuto Cellini* as well as Meyerbeer's overture to *Struensee* (written in 1846 for a play by the composer's brother, Michael Beer).

Table 7.4 Donizetti, Overture to *La Favorite*, End of the Development, Apotheosis, and Coda: Overview

END OF DEVELOPMENT			APOTHEOSIS	CODA
161–66	167–72	173–79	180–95	195–243
model	sequence	fragmentation	subordinate theme apotheosis	codetta⇒coda
i		i:HC	I I:PAC	

the expected *pianissimo* minor triad in the strings, but as a blazing major triad, played *fortissimo* by the entire orchestra. So disruptive is its effect that the chord is best understood not simply as a Picardy third but as a kind of deceptive cadence. The major triad prevents full closure at this point, instead reorienting the form and setting up the apotheosis of the subordinate theme that enters at m. 292.

The effect of the apotheosis is enormous. It shifts the emphasis to the second part of the recapitulation, not only through the apotheosis itself, but also in a formal sense. The recapitulation was derailed during the transition but is brought back on track with the apotheosis of the subordinate theme, which appears in its expected position and does what it is supposed to do: it leads to a I:PAC first at m. 299 and again at m. 312. The sonata-form script is thus reinstated and with the only slightly compressed return of the codetta (mm. 312–24) the parallelism to the exposition even becomes literal. Soon, however, the sonata-form script is disrupted once more. After the codetta comes an intensified variation of the apotheosis (mm. 324–32), which is itself followed by a brief postcadential unit (mm. 332–42). The traditional rule of thumb that the moment when the recapitulation no longer corresponds to the exposition marks the beginning of the coda, therefore, does not apply here.[36] Instead of moving on to the next step in the sonata-form script, the form backtracks and repeats Part Two of the recapitulation. The result is a paradoxical form-functional situation. Because they duplicate the function of the subordinate theme and the codetta, mm. 324–42 cannot be considered a coda. Yet because the form-functional sequence subordinate theme–codetta already appeared in the immediately preceding measures, they also are no longer part of the recapitulation. And because mm. 324–42 are a varied repetition of mm. 292–323, the latter become implicated in the form-functional ambiguity. The entire unit starting with the (first)

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[36] For two recent formulations of this rule, see Caplin, *Classical Form*, 181, and Hepokoski and Darcy, *Elements of Sonata Theory*, 281.

apotheosis of the subordinate theme is, therefore, best understood as a merger of recapitulation and coda, or "recapitulation⇒coda."[37]

The most invasive form of subordinate-theme apotheosis is that which appears immediately after the development. This admittedly exceptional situation occurs in the overture to Donizetti's *La Favorite* (1840). Table 7.4 provides an overview. In m. 161 of the development, a model-sequence-fragmentation process that began at m. 149 reaches a dominant pedal over which is played the head of the subordinate theme. Rather than leading straight to the recapitulation, this pedal point begins another model-sequence-fragmentation process that regains the dominant only at m. 179. This second arrival on the dominant does mark the end of the development, but no script-like recapitulation ensues. Both the exposition's (minor-mode) main theme and the transition are bypassed entirely. Instead we are presented immediately with the (major-mode) apotheosis of the subordinate theme (mm. 180–95).[38]

The PAC at the end of the apotheosis is elided with the return of motivic material from the main theme and transition – for the first time since the middle of the development. While this music can certainly be heard as compensating for the absence of both units from the recapitulation, its direct equivalent is the passage following the final PAC in the exposition (m. 133). There, what began as a codetta was immediately refunctionalized as the initiating unit of the development. Here, the unit retains its post-cadential function but is probably best described not as a codetta, but as a coda (or perhaps as codetta⇒coda).

Donizetti's overture thus comes very close to the "new form" that Wagner wished Beethoven had attained in the *Leonore III* overture: it is not a sonata form, but an "exposition–development–apotheosis–coda" form. A formal recapitulation is avoided. Although the recapitulatory aspect of both the apotheosis and the coda is undeniable (in the sense that they bring back, or at least refer to, thematic material first heard in the exposition), it is also clear that both units are more than just a recapitulation. What catches the ear first is their difference from the model presented by the exposition. Any sense of return is secondary and is eclipsed

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[37] The form-functional merger of recapitulation and coda is even clearer in the overture to Marschner's *Der Vampyr*. Other examples include Weber's overtures to *Euryanthe* (1823) and *Oberon* (1826), as well as Berlioz's overture to *Les Francs-juges* (1825–26), even though in that work, the form is unexpectedly derailed one more time *after* the apotheosis.

[38] The change of mode is not part of the apotheosis effect: it already takes place in the exposition, where the subordinate theme is first presented in the dominant minor and then in the dominant major.

by the intrinsic characteristics that identify these units as an apotheosis and coda.

Wagner knew Donizetti's overture well. During his Paris years, he intermittently worked for Maurice Schlesinger's publishing house. Among his jobs in late 1840 and early 1841 were proofreading the full score of *La Favorite* and preparing a series of arrangements from it, including the complete vocal score and three versions of the overture: one for piano solo, one *à quatre mains*, and one for string quartet. The arrangements started to appear early in 1841, around the time of Wagner's essay "De l'Ouverture." In the essay, Wagner does not mention Donizetti, and in his autobiography *Mein Leben*, he would later call *La Favorite* "a very weak work."[39] Nonetheless, Donizetti's overture arguably functioned as a model for Wagner's next composition, the overture to *Der fliegende Holländer*, which was completed in November 1841.

The overture that is usually mentioned in the same breath as the *Holländer* overture is Weber's *Freischütz* overture, and for good reason.[40] Wagner's strategy in relation to Weber's overture seems to be one of outdoing his model. In the exposition, he heightens the contrast between main and subordinate theme to a contrast between two diametrically opposed blocks that differ not only in key and thematic content but also in tempo. And whereas the apotheosis in the *Freischütz* overture appears in Part Two of the recapitulation, Wagner shifts it to the beginning of the recapitulation.

The specific way in which Wagner sets up the apotheosis in his overture is more strikingly similar to Donizetti than to Weber. Taking his cue from the moment when the latter starts abandoning the sonata-form script, Wagner goes through the same moves in the same order. Like Donizetti, he brings back fragments of the subordinate theme in the final stages of the development (mm. 285–329). The analogy becomes especially palpable at the very end of the development, where both overtures sound a unison dominant in *fortissimo*. The parallels continue after the development. Wagner proceeds not with a formal recapitulation, but with an apotheosis of the subordinate theme from the first exposition (mm. 330–77); and main-theme material returns only once the subordinate theme has reached the overture's last PAC, thus occupying a postcadential position (mm. 377–98).

[39] Richard Wagner, *Mein Leben*, ed. Martin Gregor-Dellinn (Munich: List, 1963), 200.
[40] For more on the relationship between *Der fliegende Holländer* and *Der Freischütz*, see my "Form, Narrative and Intertextuality," 53–55, 63.

Example 7.6. Wagner, overture to *Der fliegende Holländer*: subordinate-theme apotheosis (mm. 330–77).

Example 7.6. (cont.)

There are, of course, also differences. With each of his moves, Wagner (consciously or not) surpasses Donizetti, much in the same way as he outdoes Weber. First, he delays the arrival of the dominant at the end of the development. In the overture to *La Favorite*, the subordinate theme reappears over a dominant pedal right away. In the *Holländer* overture, it first returns in its original key of F major and then climbs through G and A major before seeming to settle in G minor. The tonic D major is initially approached as a dominant in G (m. 313); only in the last instant, with the resolution of the diminished seventh chord to the unison A at m. 328, is the move back to the home key confirmed. The instability is further enhanced by the changes in tempo. The return of the sub-ordinate-theme head at m. 285 has a disruptive effect because it also brings back that theme's original slow tempo. Wagner replays this effect three more times in the subsequent measures. Each of the four subordi-nate theme fragments is separated from the previous one by music that

harks back (motivically as well as in tempo) to an earlier stage of the development.

The apotheosis itself, too, is more drastic. In Donizetti's overture the transformation is modest. His apotheosis relies exclusively on changes in dynamics, texture, orchestration, and articulation. Wagner does all this and more, as Example 7.6 illustrates (for the original version of the theme, see Example 5.5). The added textural excitement is obvious (especially with the relentless eighth-note accompaniment in the violas and celli in the continuation), as is the change in tempo and meter, with the subordinate theme's original slow rocking $\frac{6}{4}$ transformed to a fast martial $\frac{2}{2}$. The latter contrast is further highlighted by the presence of the slow subordinate-theme fragments at the end of the development. The theme's phrase structure is modified and expanded as well. In the exposition, its continuation was underpinned by an unusual ECP: the initiating F major triad at m. 73 was immediately reinterpreted as a substitute for a first-inversion D minor triad, triggering a lapse back from the mediant into the tonic. In the apotheosis, the initial tonic of the ECP at m. 338 is prevented from being reinterpreted in the same way because it is substituted by a secondary dominant applied to a ii^6 chord. Once this pre-dominant chord leads to the expected dominant, the goal of the progression is clear. Even though it is delayed by three evaded cadences (at mm. 341, 343, and 345) and by a lengthy interpolation (mm. 347–71), the overture's concluding PAC finally arrives at m. 377.[41]

A final difference between Wagner's and Donizetti's overtures concerns the nature of what follows the PAC at the end of the subordinate theme apotheosis. In the overture to *La Favorite*, the reference to Part One of the exposition from m. 195 on is indirect. Rather than bring back the main theme or the transition, m. 195 recapitulates the exposition's codetta, which shares its motivic substance with Part One of the exposition. In the *Holländer* overture, it is the main theme that returns, resulting in a much stronger recapitulatory gesture. With the shift to the major mode, the rhythmic augmentation, and the changes in instrumentation and texture, the return of the main theme even has traits of an apotheosis. Its function, however, is purely postcadential. It is the subordinate-theme

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[41] The continuation Wagner originally wrote in 1841 was significantly shorter than the one in the final version of the overture. The Tristanesque interpolation in mm. 347–72 was added only as part of a set of revisions in 1860. Incidentally, the final transformation of the subordinate theme in mm. 389–98, which form-functionally has the effect of a coda-within-the-coda, is another later addition. In the original function there were seven *fortissimo* tonic chords.

apotheosis that attains the piece's final PAC, after which tonic harmony stays firmly in place until the end of the piece.

<p style="text-align:center">***</p>

The point of this comparison is not to show how much better Wagner's overture is than Donizetti's (although that in itself would be hard to deny), but rather to demonstrate how both works can, unexpectedly, be brought into a meaningful relationship. They mutually shed light on each other, one overture functioning as the other's interpretive context. To be sure, the overtures to *La Favorite* and *Der fliegende Holländer* are extreme cases. And the same is true, to a lesser degree, of most examples in this chapter. As I indicated above, many romantic overtures do include a largely script-based recapitulation. The significance of the phenomenon of recomposed recapitulations does not, therefore, rely on statistical prominence. Throughout this book, I have probed the genre of the romantic overture through a series of often overlapping conceptual pairs, such as autonomy versus function, concert versus opera, symphony versus overture, and sonata form versus alternative modes of formal organization. If the phenomenon of recapitulatory recomposition can be considered emblematic of the genre of the romantic overture as a whole, it is because it serves as a point of convergence for several of those conceptual pairs.

On a purely formal level, the avoidance of a large-scale parallelism between the recapitulation and the exposition in a sonata-form overture reduces or eliminates the form's balanced symmetry. The effect is broadly analogous to that of omitting the repeat sign at the end of the exposition (see Chapter VI). Downplaying literal (or largely literal) repeats or returns of entire sections, both the nonrepeated exposition and the recomposed recapitulation result in an overall form that is more continuous than sectional, based more on "Entwicklung" than on "Wechsel," to invoke Wagner's terms one last time. More than nonrepeated expositions, recomposed recapitulations affect sonata form at a fundamental level. One could even go as far as to consider recapitulatory recomposition a critique of sonata form, even though that notion seems to be at odds with the typical affirmative rhetoric that is associated with the phenomenon, especially when it involves an apotheosis. To the extent that recapitulatory recomposition does constitute a dismantling of sonata form, it is the opposite of sonatization. Sonatization, as we saw in Chapters II and III, involves a form that at the most fundamental level is not a sonata form but that incorporates local strategies borrowed from, or reminiscent of, sonata form. In the case of

a recomposed recapitulation, the sonata form is given but functions only as a starting point, a script from which the individual form then swerves.

In opera or theater overtures, the increased formal continuity that results from a recomposed recapitulation often strengthens the functional connection between the overture and the opera or play it introduces. In Chapter I, we encountered the notion – popular among composers, mistrusted by many critics – that an overture should not only set the general mood but also provide a synopsis of what follows. One way to realize this musically was to rely on the potpourri procedure and to incorporate into the overture thematic material that gains dramatic significance in the opera or in the incidental music. Recapitulatory recomposition extends this dramatization of the overture to its form. The greater flexibility that is gained from reducing the parallelism between the exposition and recapitulation allows the overture's form to appear as a condensed version of the drama that follows. It is not a coincidence that the endings of several overtures with recomposed recapitulations literally prefigure the end of the opera (both *Der Freischütz* and *Der fliegende Holländer* are cases in point).

In an operatic or theatrical context, recomposed recapitulations in romantic overtures emphasize the genre's functional aspect as an introduction to a larger event. In the symphonic context of concert overtures (or, for that matter, of concert performances of opera and theater overtures), by contrast, they are associated with the genre's tendency toward autonomy. The point of reference in this context is, of course, the symphony. Formally, overtures are closely related to symphonic first movements. And to the extent that an overture transcends its functional origins as an introduction, it becomes equivalent to, or a substitute for, the symphony as a whole. The recomposed recapitulation is the formal correlate of this tendency. Abandoning the sonata-form script by fundamentally altering or condensing the recapitulation results in a more end-accented form – because the form's emphasis is shifted to the coda, because the recapitulation and coda are merged, or simply because of a formal acceleration. This generates a pronounced finale effect (and as we saw in Chapter III, a similar effect can be created by the tempo dramaturgy in a potpourri overture). By thus incorporating a central characteristic of multimovement formal organization in a single-movement form, overtures with recomposed recapitulations reflect in their form the tendency toward emancipation that characterizes the genre of the romantic overture as a whole.

Appendix: List of Works

Adolphe Adam

Le Chalet (1834)
Le Toréador (1849)
Si j'étais roi (1852)

Daniel François Esprit Auber

La Neige (1823)
La Muette de Portici (1828)
Fra Diavolo (1830)
Le Cheval de bronze (1835)
Le Domino noir (1837)
Les Diamants de la couronne (1841)

Ludwig van Beethoven

Die Geschöpfe des Prometheus (1800–01)
Leonore II (1804–05)
Leonore III (1805–06)
Leonore I (1807)
Coriolan (1807)
Egmont (1809–10)
Fidelio (1814)
Die Weihe des Hauses (1822)

Vincenzo Bellini

I Capuleti e i Montecchi (1830)
Norma (1831)

William Sterndale Bennett

Parisina (1835)
Die Naiaden (1836)

Die Waldnymphe (1838)

Hector Berlioz

Les Francs-juges (1825–26)
Waverley (1827–28)
Le Roi Lear (1831)
Benvenuto Cellini (1836–38, rev. 1852)
Le Carnaval romain (1844)
Le Corsaire (1844)

François-Adrien Boieldieu

La Dame blanche (1825)

Norbert Burgmüller

Overture in F major, Op. 5 (1832[?])

Luigi Cherubini

Médée (1797)
Les Deux journées (1800)

Gaetano Donizetti

Roberto Devereux (Paris version, 1838)
La Fille du régiment (1840)
La Favorite (1840)
Linda di Chamounix (1842)
Don Pasquale (1842–43)

Louise Farrenc

Overture No. 1 in E minor, Op. 23 (1834)
Overture No. 2 in E♭ major, Op. 24 (1834)

Friedrich von Flotow

Martha (1847)

Niels Gade

Efterklange af Ossian (1840)
Im Hochlande (1844)

Concert Overture No. 3 (1846)
Mariotta (1848–49)

Nicolai Glinka

Ruslan i Lyudmila (1842)

Christoph Willibald von Gluck

Iphigénie en Aulide (1774)

Fromental Halévy

La Juive (1835)
La Reine de Chypre (1841)

Ferdinand Hérold

Marie (1826)
Zampa (1831)
Le Pré aux clercs (1832)

Ferdinand Hiller

Ein Traum in der Christnacht (1845)

Johann Wenzel Kalliwoda

Overture No. 2 in F major, Op. 44 (1834)
Overture No. 3 in C major, Op. 55 (1834)
Overture No. 7 in C minor, Op. 101 (1839)
Overture No. 10 in F minor, Op. 142 (1842)

Conradin Kreutzer

Melusina (1833)
Das Nachtlager von Granada (1834)

Franz Lachner

Die vier Menschenalter (1829)

Peter Josef von Lindpaintner

Der Vampyr (1828)
Ouvertüre zu Goethes Faust (1834)

Johann Christian Lobe

Reiselust (1833)

Albert Lortzing

Zar und Zimmermann (1837)
Der Wildschütz (1842)
Undine (1843–44)
Der Waffenschmied (1846)

Herman Løvenskiold

La Sylphide (1836)

Heinrich Marschner

Der Templer und die Jüdin (1829)
Der Vampyr (1827)
Hans Heiling (1831–32)

Emilie Mayer

Overture No. 2 in D major (1850[?])

Etienne-Nicolas Méhul

Le Jeune Henri [*La Chasse du jeune Henri*] (1791[?]/97)

Fanny Mendelssohn Bartholdy

Overture in C Major (1830–32[?])

Felix Mendelssohn Bartholdy

Soldatenliebschaft (1820)
Die beiden Pädagogen (1821)
Ouvertüre für Harmoniemusik (1824, rev. 1826/38)
Die Hochzeit des Camacho (1824–25)
Overture in C major [Trompeten-Ouvertüre] (1825–26, rev. 1833)
Ouvertüre zum Sommernachtstraum (1826)
Meeresstille und glückliche Fahrt (1828, rev. 1833–34)
Heimkehr aus der Fremde (1829)
Die Hebriden (1829–30, rev. 1832)
Die erste Walpurgisnacht (1831–32, rev. 1842–43)

Ouvertüre zum Märchen von der schönen Melusine (1833, rev. 1835)
Paulus (1836)
Ruy Blas (1839)
Athalie (1843–44)

Giacomo Meyerbeer

Emma di Resburgo (1819; reused for 1826 version of *Marguérite d'Anjou*)
Struensee (1846)
Le Prophète (1849—discarded before first performance)

Ignaz Moscheles

Die Jungfrau von Orléans (1834–35)

Wolfgang Amadé Mozart

Die Entführung aus dem Serail (1782)
Le Nozze di Figaro (1786)
Der Schauspieldirektor (1786)
Don Giovanni (1787)
Così fan tutte (1790)
La Clemenza di Tito (1791)
Die Zauberflöte (1791)

Otto Nicolai

Die lustigen Weiber von Windsor (1849)

Ferdinand Ries

Don Carlos (1815)
Die Räuberbraut (1827)
Die Braut von Messina (1829)

Julius Rietz

Concert Overture, Op. 7 (1839)
Lustspiel-Ouvertüre (1841)

Gioachino Rossini

La scala di seta (1812)
Il signor Bruschino (1813)
Tancredi (1813)

Il Turco in Italia (1814)
Torvaldo e Dorliska (1815)
Il Barbiere di Siviglia (1816) [orig. for *Aureliano in Palmira*, 1813]
La Cenerentola (1817) [orig. for *La Gazzetta*, 1816]
Armida (1817)
La Gazza ladra (1817)
Ermione (1819)
Bianca e Falliero (1819)
Matilde di Shabran (1821)
Maometto II (rev. version, 1822)
Semiramide (1823)
Le Siège de Corinthe (1826)
Guillaume Tell (1829)

Franz Schubert

Overture in D major, D. 556 (1817)
Overture "in the Italian Style" in D major, D. 590 (1817)
Overture "in the Italian Style" in C major, D. 591 (1817)
Die Zauberharfe [*Rosamunde*], D. 644 (1820)
Fierrabras (1823)

Robert Schumann

Ouvertüre, Scherzo und Finale (1841, rev. 1845–46)
Genoveva (1847–48)
Manfred (1848–49)
Die Braut von Messina (1850–51)
Hermann und Dorothea (1851)
Julius Cäsar (1851)
Szenen aus Goethes Faust (1853)

Louis Spohr

Faust (1813)
Jessonda (1823)
Die letzten Dinge (1826)
Macbeth (1825)
Der Alchymist (1829–30)
Der Matrose (1838)
Konzertouvertüre im ernsten Stil (1842)

Gaspare Spontini

La Vestale (1807)
Ferdinand Cortez (1809, rev. 1817/24)
Olimpie (1819, rev. 1821)
Nurmahal (1822)

Franz von Suppé

Ein Morgen, ein Mittag und ein Abend in Wien (1844)
Dichter und Bauer (1846)

Giuseppe Verdi

Oberto (1839)
Un Giorno di regno (1840)
Nabucodonosor [*Nabucco*] (1842)
Giovanna d'Arco (1845)
Alzira (1845)
La Battaglia di Legnano (1849)
Luisa Miller (1849)
Stiffelio (1850) [rev. for *Aroldo*, 1857]

Johannes Verhulst

Overture in B minor, Op. 2 (1838)
Gijsbrecht van Aemstel (1839)

Richard Wagner

Concert Overture No. 1 (1831)
König Enzio (1831–32)
Concert Overture No. 2 (1832)
Die Feen (1833–34)
Columbus (1834–35)
Das Liebesverbot (1835–36)
Polonia (1836)
Rule Britannia (1837)
Eine Faust-Ouvertüre (1839–40, rev. 1843–44/55)
Rienzi (1840)
Der fliegende Holländer (1841, rev. 1860)
Tannhäuser (1845, rev. 1875)

Carl Maria von Weber

Silvana (1810)
Abu Hassan (1811, rev. 1823)
Der Beherrscher der Geister (1811)
Jubel-Ouvertüre (1818)
Preciosa (1820)
Der Freischütz (1821)
Euryanthe (1823)
Oberon (1826)

Joseph Weigl

Die Schweizerfamilie (1809)

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