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Intimacy as a Mode of Expression in Mendelssohn's Mature Instrumental Works

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Abstract

Intimate exchanges in private, sociable environments were of paramount importance to Mendelssohn and his contemporaries, as they enabled individual participants to express their inner selves to those with whom they were closest. This thesis therefore argues that intimacy as a mode of expression permeates Mendelssohn's instrumental works. It begins by considering the value placed on intimate exchanges by Mendelssohn and his circle, stemming from concerns surrounding *Bildung* and self-cultivation in late eighteenth- and early nineteenth-century German thought. It then theorises how intimacy as a mode of expression can be traced in Mendelssohn's mature instrumental music by considering the musical parameters that suggest intimacy's private, collective and reciprocal qualities. To demonstrate the merits of such an endeavour, this study proceeds to apply this methodology to several instrumental works from the last decade of Mendelssohn's career. These case studies not only reveal the salience of an intimate expression in the composer's instrumental music, but also shed new light on their reception, illuminate Mendelssohn's idiosyncratic formal and syntactical choices, and illustrate how he transformed the expressive qualities typically associated with certain topics.

In arguing that expressive modes provided an important means of expression for nineteenth-century composers, this thesis also acts as a model for further studies on other expressive modes in different repertoires. My methodology, moreover, reflects changes in early nineteenth-century aesthetic preoccupations by re-conceptualising the relationship between form and expression: it regards the former as making a vital contribution to the latter, while also viewing Mendelssohn's expressive ends providing a possible explanation for his idiosyncratic formal choices. My thesis thus contests the validity of analyses that regard form and expression as two distinct entities. The outcome is a novel approach to analysing nineteenth-century music that considers form and expression in tandem, as mutually interdependent, and inextricable from one another.

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Acknowledgements

I would like to express my sincere gratitude to my supervisor, Professor Julian Horton, for his unwavering support throughout this research project. His far-reaching knowledge and expertise have been indispensable, while his perpetual patience, kindness and humility has made my PhD experience far smoother than it otherwise might have been. I am also deeply grateful to my secondary supervisor, Dr Katherine Hambridge, for her invaluable advice and the close scrutiny she has given my work. Her critical but enthusiastic feedback has persistently challenged my thought and cultivated greater nuance in my writing. I would like to extend my sincere thanks to my undergraduate and masters supervisor Dr Benedict Taylor. Our shared love of Mendelssohn's music encouraged my initial enthusiasm for music analysis, without which I may never have begun PhD. I am especially grateful for the camaraderie I shared with my fellow music analysts at Durham University Yvonne Teo, Kelvin Lee, Sunbin Kim, Giselle Lee, Natalie Mathias, and Laura Erel. My time in Durham would certainly have been less enjoyable without the lively discussions with my colleagues, whether in the office or in the pub.

I am deeply grateful for the support of numerous institution and grant bodies. My PhD was funded by the AHRC doctoral studentship awarded by the Northern Bridge Doctoral Training Partnership, and I am particularly grateful for their generous funding that enabled my attendance at numerous workshops and conferences. I would also like to express my deepest thanks to the Society of Music Analysis for their organisation of innumerable workshops, conference and opportunities to connect with other scholars. During this time of limited social

contact, I have a renewed appreciation for in-person interactions. My academic development would certainly have been stilted without them.

My deepest gratitude goes to my friends and family, who have too often been on the receiving end of my constant grumbling, self-pity and misplaced defeatism. I would like to give special thanks to my friends Daniela Hoberg for her unending generosity and help with my translations; Peter Rhodes for his continued support and diligent proofing; and Jake Phipps for pushing me over the final hurdle. I remain indebted to my parents for their unconditional love and support.

List of Abbreviations

Interthematic Units

MT – the main-theme complex in its entirety

ST – the subordinate-theme complex in its entirety

TR – the transition in its entirety

CT – the closing theme

RT – the retransition

Intrathematic Units

A – exposition of a small ternary

B – contrasting middle of a small ternary

A' – recapitulation of a small ternary

MTA, MTB, MTA' – the constituent parts of an entire main-theme complex, which comprises a small ternary

MT1 – the first complete thematic unit of a main-theme complex, normally constituting a tightly organised structure. Such labelling is only necessary the main theme encompasses further thematic units, i.e. MT2, MT3, etc. Consequently, MT1A, MT1B and MT1A' denote the constituent parts of a small ternary, which itself comprises the first complete thematic unit within the main theme. The labelling implies that further thematic units (MT2 etc.) follow

MT2 – the second complete unit within of a main-theme complex.

MT1^{var} – a variation of MT1. Because it reuses material from MT1, it does not constitute a completely new thematic unit, distinguishing it from MT2

MTa, MTc – the antecedent and consequent phrases of an entire main-theme complex, which together comprise a period. MT1a and MT1c would imply further thematic units follow the initial period.

MT^1 – the first thematic group of the main theme. Unlike MT1, it does not comprise a self-contained, tightly organised unit

MT^2 – the second thematic group of the main theme that follows MT^1, normally distinguished by contrasting thematic material. Because MT^1 does not constitute a self-contained, tightly organised unit, an element of continuity exists between MT^1 and MT^2.

Part One

Chapter One

Expressing Intimacy

Felix Mendelssohn (1809–47) was certainly a public musician. He retained his directorship of the Leipzig Gewandhaus until his death, which involved conducting a subscription series of twenty concerts from October to March every year; he directed numerous music festivals across Europe including Cologne in June 1838, Schwerin in July 1840, Düsseldorf in May 1839 and May 1842 and Birmingham in September 1840; he composed numerous public works, such as the 'Lobgesang' Symphony-Cantata, Op. 52 for the public celebration of the 400th anniversary of Gutenberg's invention of the printing press in 1840; and he was employed by Friedhelm Wilhelm IV to aid in the revitalising of the arts in Berlin, first as Kapellmeister in 1841 and then as Generalmusikdirektor in 1842.[1] On several occasions, however, he expressed his dissatisfaction with public musical life. Writing to his mother-in-law in 1846, he described how 'still in my heart remains the wish to have a tiny, little house on the Rhine, and move there for the Spring and also the Winter […] to give up all directing, all public performances and other such things'.[2] To his friend Ferdinand Hiller in 1837, he disparaged public success as 'fleeting,

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[1] For a full summary of Mendelssohn's public engagements from 1835 onwards see R. Larry Todd, 'Mendelssohn(-Bartholdy), (Jacob Ludwig) Felix', in *Grove Music Online* <https://www.oxfordmusiconline.com/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000051795> [accessed 25 March 2021].

[2] 'Aber noch mehr am Herzen liegt mir der Wunsch ein ganz, ganz kleines Häuschen am Rhein zu haben, dahin alle Frühjahr zu ziehen und auch für die Winter, […] alle Direction, öffentliche Leistung, und wie der Kram sonst heißt an den Nagel zu hängen'. Letter to Elisabeth Jeanrenaud, 30 December 1846. Quoted in Thomas Schmidt, *Die Ästhetischen Grundlagen Der Instrumentalmusik Felix Mendelssohn Bartholdys* (Stuttgart: M&P, Verlag für Wissenschaft und Forschung, 1996), p. 234.

vanishing, which rather annoys and depresses me than uplifts'.[3] And to Julius Schubring in 1838 he explained he was 'becoming increasingly indifferent to public musical life and preferring what is not public, at home; it is the main thing and the ordinary that happens there'.[4]

Mendelssohn's desire to retreat from his public obligations do not merely convey his dreaming of an early retirement, as the following letter to his friend and pianist Ignaz Moscheles written in 1845 reveals:

> but what real musical goings-on [*Musiktreiben*] are also pleasing? Only within one's inner self [*Innern*], and there are no goings-on there but something much better; with all conducting and public musical performances so little comes from it, even for the public itself — a little more beautiful, a little worse, what of that, how easy is it to forget — and what has a good effect on everything, what pushes and carries everything forward, are again simply the quiet, calm moments of the inner life, which then takes the entire public clergy in tow and drags them behind.[5]

For Mendelssohn, public musical life paled in comparison to one's inner life, which 'carries everything forward'. Indeed, he placed considerable import on one's inner life, advising his students to use it as their source of inspiration. Writing to Carl Eckert in 1842, Mendelssohn instructed his student 'to work only from what lives within you, in your moods and feelings, what no other knows and what no other has, as you go with your work ever deeper into your inner self [*Ihr Inneres*]'.[6] He reaffirmed this view in a later letter to another student, Hubert Ferdinand Kufferath in 1844, advising him to 'draw more and more internally from your own mind and own feelings, so that nothing occurs neither externally or internally that belongs more

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[3] 'Flüchtiges, Verschwindendes, was mich eher verstimmt und drückt als erhebt'. Letter to Ferdinand Hiller, 9 December 1837. Felix Mendelssohn-Bartholdy, *Sämtliche Briefe*, ed. by Helmut Loos, Wilhelm Seidel and others, 12 vols (Kassel: Bärenreiter, 2008–17), v (2012), p. 417.

[4] 'Das öffentliche Musikleben wird mir überhaupt immer gleichgültiger, und das nicht öffentliche eigne, zu Haus, immer Lieber, es ist die Hauptsache, und das Ordentliche geschieht da'. Letter to Julian Schubring, 12 April 1838. *Sämtliche Briefe*, vi, p. 106.

[5] 'aber wo ist das eigentliche Musiktreiben denn auch erfreulich? Nur im eignen Innern, und da ist wieder kein Treiben, sondern etwas viel Besseres; bei allem Dirigiren, und öffentlichem Musik-Aufführen kommt auch sogar für das Öffentliche selbst so wenig heraus – ein bischen schöner, ein bischen schlechter, was thut's, wie leicht ist es vergessen – und was recht auf alles das wirkt, alles das weiterschiebt und fortführt sind doch wieder nur die stillen, ruhigen Augenblicke des Innern, die dann die ganze öffentliche Klerisei ins Schlepptau nehmen und hinter sich her ziehen'. Letter to Ignaz Moscheles, 7 March 1845. *Sämtliche Briefe*, x, p. 413.

[6] 'arbeiten Sie nun heraus was in Ihnen, in Ihren Stimmungen und Empfindungen lebt, was kein andrer kennt, und kein andrer hat, wie Sie, gehen Sie bei Ihren Werken nur immer tiefer in Ihr Inneres'. Felix Mendelssohn-Bartholdy. Letter to Carl Eckert, Berlin, 26 January 1842. *Sämtliche Briefe*, viii, pp. 315–16.

to another than to yourself, so that it appears in your work strange or at least not completely retrieved from the depths'.[7]

Mendelssohn was not alone amongst his contemporaries in stressing the importance of inner expression. In his *Lectures on Aesthetics*, given between 1818 and 1829, G. W. F. Hegel argued that the highest form of art, what he called a *Romantic* form of art:

> cannot work for sensuous perception. It must address itself to the inward mind [...] to the subjective inwardness, to the heart, the feeling [...] It is this *inner* world that forms the content of the romantic, and must therefore find its representation as such inward feeling, and in the show or presentation of feeling.[8]

The value Hegel and Mendelssohn placed on an inner realm of thought and feeling reflects wider preoccupations with self-cultivation prevalent in late eighteenth- and early nineteenth-century German thought. Jerrold Seigel recounts that ideas of self-formation were central to the writings of Johann Gottfried Herder and Wilhelm von Humboldt, the latter declaring: 'The highest idea, therefore, of the co-existence of human beings seems to me to consist in a union in which each strives to develop himself from his own inmost nature, and for his own sake'.[9] Seigel also draws parallels between Herder's and Humboldt's thought, and the philosophy behind Goethe's novel *Wilhelm Meister's Lehrjahr* (1795–96). Deemed by Mark Evan Bonds as a 'model of personal self-realization' and a 'paradigm of *Bildung*', the novel follows its title character's search for his place in the world through a journey of self-discovery.[10] The novel had a far-reaching resonance: Friedrich Schlegel regarded it as epitomising one of the three

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[7] 'dass Sie noch mehr und inniger auf das eigne Gemüth, auf das eigne Gefühl zurückgehen, damit weder äusserlich noch innerlich irgend etwas vorkomme, das einem Andern eigener gehört als Ihnen selbst, das also in Ihrem Werk fremd oder doch wenigstens nicht ganz aus der Tiefe herausgeholt erscheint'. Letter to Hubert Ferdinand Kufferath, Berlin, 3 April 1844. *Sämtliche Briefe*, x, p. 133.

[8] Georg Wilhelm Friedrich Hegel, *Introductory Lectures on Aesthetics*, trans. by Michael Inwood (London: Penguin Classics, 2004), p. 87.

[9] Quoted in Jerrold Seigel, *The Idea of the Self: Thought and Experience in Western Europe since the Seventeenth Century* (Cambridge: Cambridge University Press, 2005), p. 347. For Seigel's comprehensive account of the importance of the self in the writings of these prominent thinker, see 'Homology and *Bildung*: Herder, Humboldt, and Goethe', pp. 332–60.

[10] Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton: Princeton University Press, 2009), p. 68.

characteristic 'tendencies' of the age.[11]

Jennifer Ronyak, moreover, describes the influence of two diverging but overlapping schools of thought in middle-class German circles at the beginning of the nineteenth century for whom 'the depth and integrity of the inner self was central'.[12] The first school was represented by the writings of Goethe and Schiller, sometimes called the Weimar Classicists, for whom individual autonomy remained 'a guiding notion' for how these two writers styled their relationship.[13] Although each clearly valued the insights that their interactions with the other offered, Goethe viewed such interactions as merely a 'secondary way station on a journey that begins with his own autonomous self and ends with "withdrawal into" that same autonomy as its goal'.[14] Meanwhile, Schiller framed his interactions with Goethe as an opportunity for 'an autonomous act of contemplation', mirroring his own theories on developing the self through autonomous aesthetic contemplation, as articulated in *Über die ästhetische Erziehung des Menschen in einer Reihe von Briefen* (1789).[15] The second school of thought, embodied in the writings of Friedrich Schleiermacher and Friedrich Schlegel in Jena and Berlin, and sometimes known as the Romantic circle, placed greater emphasis on intersubjective sociability. This is perhaps best represented by a short treatise *Versuch einer Theorie des geselligen Betragen* ['Toward a Theory of Social Conduct'] Schleiermacher published in the February 1799 issue of *Berlinisches Archiv der Zeit und ihre Geschmacks* — a journal widely read by the Berlin middle-classes of the time — where he highlights the importance of interactions with others in order to fully develop the self. Schleiermacher advocated what he called 'free sociality' in which 'the sphere of the individual is present in such a way that it is intersected by the spheres of others diversely as possible and where one's own outer limits

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[11] Ibid.

[12] Jennifer Ronyak, *Intimacy, Performance, and the Lied in the Early Nineteenth Century* (Bloomington: Indiana University Press, 2018), p. 21.

[13] Ibid. p. 24

[14] Ibid. p. 25

[15] Ibid., pp. 24–25.

efforts one the view into a different and alien world'.[16] Yet even if this second school of thought relaxed the boundaries between the self and others and was less concerned with protecting an individual's autonomy than the Weimar Classicists, both schools still placed significant onus on self-cultivation. Schleiermacher proposed free sociality as a means for an individual to escape the burdens placed on them by their professional and domestic lives since sociable interactions with others enabled individuals to expand their own horizons. Schleiermacher's treatise only departs from the Weimar Classicists by viewing sociability as contributing more beneficially to one's individual self-cultivation.

The varying degrees to which the Weimar Classicists and the Romantic school placed on individual autonomy and sociability highlights an important strand to self-cultivation and the expression of the self: the relationship between the self and others. Even though Goethe and Schiller were more concerned with protecting their individual autonomy than the Romantic circle, their poetry nonetheless recognised the necessity of others to act as 'mirrors back onto the speaker's own autonomous inner nature'.[17] Mendelssohn similarly acknowledged that inner expression necessitated the presence of others. Writing in response to seeing a Titian painting during his stay in Venice in 1830, Mendelssohn declared that art's primary task was the revealing of one's inner self *to* another:

> That is what I think about art and what I would like to ask of it: it takes away everyone into its own domain, and shows one person the other's innermost thoughts and feelings, and makes it clear to him how his soul appears. Words cannot do this as persuasively as colours or music do.[18]

Although a painting motivated this proclamation, Mendelssohn emphasises that art *and* music

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[16] Friedrich Schleiermacher, 'Toward a Theory of Sociable Conduct', in *Friedrich Schleiermacher's Toward a Theory of Sociable Conduct, and Essays on Its Intellectual-Cultural Context,* ed. by Ruth Richardson and others (Lewiston: E. Mellen Press, 1995), pp. 20–39 (p. 20)
[17] Ronyak, p. 27.
[18] 'Das ist es, was ich mir bei einer Kunst denke und von ihr fordern möchte: sie nimmt jeden in ihr Reich mit sich fort, und zeigt dem einen Menschen des andern innerste Gedanken und Empfindungen, und macht ihm klar, wie es in seiner Seele aussieht. Worte können das nicht so schlagend, wie Farben oder Musik'. Letter to Henriette von Pereira-Armstein, 12 October 1830. *Sämtliche Briefe*, ii, p. 107.

were especially suited to the expression of one's inner self *to* someone else.

If Mendelssohn and his contemporaries were going to succeed in expressing their inner thoughts and feelings, they needed an audience to whom they could express them. Following Jürgen Habermas's observation that '[s]ubectivity, as the innermost core of the private, was already orientated to an audience (*Publikum*)', Ronyak argues that performance was 'foundational to the construction of inwardness and interiority'.[19] Needless to say, if expressing one's inner self entailed conveying one's inner thoughts and feelings to an audience, this did not necessarily entail an audience in a public setting that Mendelssohn viewed as so contrary to inner expression. Indeed, even if Schleiermacher's *Versuch einer Theorie geselligen Beitragen* instructed readers on how to behave in the semi-public salons frequented by friends and distant acquaintances, his ideal of free sociality aimed to replicate the kind of intimate exchanges he experienced in private with his closest friends. For Schleiermacher, the ideal form of sociable exchange for the purposes of self-cultivation was 'intimate, one-to-one conversation' and 'confined to interactions with trusted companions'.[20]

Whether or not Mendelssohn read Schleiermacher's treatise on free sociality, he too valued close friendships and intimate exchanges.[21] While having 'many and diverse connections' during his stay in Rome in 1830, he described yearning for 'people to whom I can fully convey how my heart is and who can also understand just half a word and whom I enjoy so completely'.[22] Similar to Schleiermacher, moreover, Mendelssohn partook in more publicly-

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[19] Jürgen Habermas, *The Structural Transformation of the Public Sphere*, trans. by Thomas Burger and Frederick Lawrence (Cambridge: Polity Press, 1992), p. 49; Ronyak, p. 9.

[20] Ronyak, p. 30.

[21] There is some evidence to suggest that Mendelssohn had read and digested Schleiermacher's ideas. After meeting the philosopher in Rome in 1830, Mendelssohn described himself as a 'follower' [*Anhänger*] of the philosopher. Letter to Julius Schubring, Rome, 18 November 1830. *Sämtliche Briefe*, ii, p. 133. Leon Botstein moreover recounts that Schleiermacher was a close friend of Friedrich Schlegel, Mendelssohn's cousin by marriage, and that Schleiermacher's theological thinking influenced Mendelssohn's religious beliefs and compositional aesthetic. Leon Botstein, 'The Philosophical Composer: The Influence of Moses Mendelssohn and Friedrich Schleiermacher on Felix Mendelssohn', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 291–310 (pp. 302–08).

[22] 'Denn so vielen und manichfachen Umgang ich hier auch habe, so fehlen mir Menschen denen ich so ganz mittheilen kann, wie mir es ums Herz ist und die auch wohl einmal ein halbes Wort verstehen und an denen ich mich so ganz vollkommen erfreue'. Letter to Henriette von Pereira-Arnstein, 29 November 1830. *Sämtliche*

orientated salons, notably his family's weekly *Sonntagsmusiken,* while also fostering more intimate relationships in private settings. Wolfgang Fuhrmann recounts Mendelssohn's participation in what he calls 'musical intimacy' — a type of sociable music making that took place at a private residence. An account from Karl Emil von Webern during Mendelssohn's time in Düsseldorf gives good impression of such an occasion:

> [Sometimes] just the two of us, but more often together with two or three of his intimate acquaintances, sitting on sofas or comfortable armchairs, everybody talked freely over a glass of wine without any constraint […] When we all had our happy heart on our tongues, he would all of a sudden seat himself at his English piano […] and [take] us all on his angels' flights with him into another, celestial reign.[23]

Fuhrmann describes musical intimacy as holding the following three characteristics: 1) the staging of mood through dimmed lighting and semi-darkness; 2) a social frame involving close friends and family members, 'based more on the feelings of trust and intimacy, on friends and on an at least partial abdication of social obligations'; and 3) intense and concentrated listening.[24] Similar to the intimate exchanges Schleiermacher fostered with close friends such as Schlegel in private settings (with whom he joked of sharing a marriage with), musical intimacy's private setting amongst close friends and family members allowed its participants to talk 'without any constraint'. They could, in other words, express themselves freely to others, and in doing so cultivate their inner selves.

Even if ideas on self-cultivation and inner expression articulated by Hegel, Goethe, and Schleiermacher amongst others were by no means uniform, they nonetheless reveal that such preoccupations permeated early nineteenth-century German thought. The importance Mendelssohn gave to inner expression and his own desire for intimate connections certainly

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Briefe, ii, p. 144.

[23] Quoted and translated in Wolfgang Fuhrmann, 'The Intimate Art of Listening: Music in the Private Sphere During the Nineteenth Century', in *The Oxford Handbook of Music Listening in the 19th and 20th Centuries,* ed. by Christian Thorau and Hansjakob Ziemer (New York: Oxford University Press, 2018), pp. 277–311 (p. 283).
[24] Ibid., pp. 282–83.

reflects such concerns, while his participation in private and sociable occasions of musical intimacy offered him an ideal environment to express his inner self. And even if Mendelssohn's specific experiences of musical intimacy were restricted to this close circle, similar private and sociable occasions of intimacy that enabled its individual participants to freely express themselves to others would certainly have been a highly valued if not familiar experience for Mendelssohn's wider milieu, who were similarly preoccupied with inner expression and self-cultivation. Consequently, the central claim of this thesis is that because intimacy was a valued and shared experience across early nineteenth-century bourgeois circles in north Germany, it is possible to map intimacy as a mode of expression in Mendelssohn's instrumental music by theorising the musical parameters that contribute to this expressive mode. These parameters can combine in various ways and when they do so, I regard music as expressing intimacy or exhibiting an intimate mode of expression.

Topics and Expressive Modes

Although Fuhrmann suggests that musical intimacy 'is something that can thrive on certain musical features', he is wary of reading intimacy into the musical score, instead turning to Tia DeNora's theory of affordance, arguing that '[s]ome musical works, styles, or genres can "afford" intimacy if the listener (or player) happens to be sufficiently encultured in their modes of expression'.[25] DeNora's theory of affordance places onus on the listening subject. She argues that the listener's subjective response enables expression, which depends not only on the musical work, but on a multitude of external social and cultural factors. Her theory stems partly from her criticisms of certain proponents of semiotic musical analysis, whom she accuses of taking a 'theoretical shortcut […] as they slide from readings of works to discussions of the social impact of these works'; consequently, 'they often conflate ideas about music's affect

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[25] Ibid.

with the ways that music actually works for and is used by its recipients instead of exploring how such links are forged by situated actors'.[26]

DeNora's remarks are certainly valid for her examination of music's affect in practice, or its role in daily life, and I do not disagree with her scepticism towards analysts who attempt to give a definitive interpretation of a musical work that is true for all listeners.[27] But this does not preclude paying attention to the musical object as long as one acknowledges that not all listeners will perceive an intimate mode of expression in Mendelssohn's music as meaningful, especially if they are not 'sufficiently encultured'. On this basis, I argue that it is possible to examine Mendelssohn's scores to discover the compositional decisions he made to evoke an intimate mode of expression, even if only a limited group of listeners who shared similar experiences of intimacy would necessarily hear his music as such.[28] As Kofi Agawu argues, one can still examine how a composer creates meaning in their music if one 'frame[s] the analytical question in terms of the dimensions that make meaning possible', if one questions not *what* music means, but *how*.[29] Like Agawu, then, I draw somewhat lightly on semiotics, since it 'provides a useful searchlight for understanding the nature and source of meaning, even if it ultimately evades — or declares irrelevant — the "what" question'.[30] Indeed, the term 'intimate expression' already implies a semiotic framework, since it indicates the unification of a 'signified' (in this case, some notion or concept of intimacy) and a 'signifier' (its expression in the music as perceived by the listener). Intimate expression can thus be conceived

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[26] Tia DeNora, *Music in Everyday Life* (Cambridge: Cambridge University Press, 2000), p. 22.

[27] DeNora faults Susan McClary's hermeneutic interpretations in particular for aiming at such all-encompassing interpretations: 'McClary – and perhaps many listeners – *may* hear Beethoven in particular ways but these hearings are neither inevitable nor derived from "the music itself"; they are the product of mediating discourses and the instructions these discourses provide for music's perception'. Ibid., p. 31.

[28] While it is certainly true that aspects of the musical performance that cannot be notated could also contribute to this expressive mode, my approach remains score based as I am primarily concerned with analysing Mendelssohn's compositional choices as revealed by his musical scores. A work performed in a smaller space would more likely suggest intimacy by referring to intimacy's private. By contrast, if the same work were performed in a larger space it would likely have the opposite effect. While many other extramusical aspects could certainly indicate intimate expression, these fall outside this thesis' remit.

[29] Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton: Princeton University Press, 1991), p. 5.

[30] Ibid.

as acting as a 'sign' that consists of these two entities, the signifier and signified.[31] For Jean-Jacques Nattiez, signs are 'objects that, to somebody, refer to something' and in doing so, they can gain certain meanings: 'An object of any kind takes on a meaning for an individual apprehending that object, as soon as that individual places the object in relation to areas of his lived experience'.[32] My theory of intimate expression in Mendelssohn's instrumental music is thus grounded in the notion that music can refer to the lived experience of intimacy shared by a certain group of listeners and in doing so can become meaningful.[33]

If intimate expression has a semiotic status, then my theory of intimate expression holds several parallels with topic theory.[34] Furthermore, by alluding to external experiences of intimacy, intimate expression behaves similarly to topics, which, according to how Danuta Mirka defines them, recall '*musical styles and genres taken out of their proper context and used in another one*' [emphasis in original].[35] Changing perceptions of the relationship between form and rhetoric, however, would strongly suggest that a theory designed for analysing

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[31] This uniting of signified and signifier stems from Ferdinand de Saussure's definition a sign. More abstract semiotic questions on how music signifies in general and whether Saussure's definition is the most appropriate one for understanding musical signification are not part of my present concerns. I refer to semiotic theories only briefly here to indicate that it is possible to view music as having a signifying power, a notion that finds support in the work of numerous other authors. Aside from Agawu's work, these include but are not limited to Naomi Cumming, *The Sonic Self: Musical Subjectivity and Signification* (Bloomington: Indiana University Press, 2000); *Musical Signification: Essays in the Semiotic Theory and Analysis of Music*, ed. by Eero Tarasti (Berlin, Boston: De Gruyter Mouton, 2011); Robert Hatten, 'Grounding Interpretation: A Semiotic Framework for Musical Hermeneutics', *American Journal of Semiotics*, 13 (1996), pp. 25–42; Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2000); Jean-Jacques Nattiez, *Music and Discourse: Toward a Semiology of Music*, trans. by Carolyn Abbate (Princeton: Princeton University Press, 1990); Thomas Turino, 'Signs of Imagination, Identity, and Experience: A Peircian Semiotic Theory for Music', *Ethnomusicology*, 43 (1999), pp. 221–55.

[32] Jean-Jacques Nattiez, *Music and Discourse: Toward a Semiology of Music*, trans. by Carolyn Abbate (Princeton: Princeton University Press, 1990), p. 9.

[33] This is not to say that listeners outside of this rather restricted circle of early nineteenth-century, north German middle classes cannot understand music as referring to intimate exchanges, especially since similarly private and sociable occasions are surely experienced by numerous others. But since this thesis is concerned with the compositional choices Mendelssohn made that refer to his own experiences of intimacy that only a select group also shared, I am careful of making larger claims that his references to his own experiences can be detected by those from outside this select group.

[34] Danuta Mirka recounts how 'the study of topics became the foremost branch of music semiotics'. See 'Introduction', in *The Oxford Handbook of Topic Theory*, ed. by Danuta Mirka (New York: Oxford University Press, 2014), pp. 1–57 (p. 24). Meanwhile, Raymond Monelle has that musical topics act as symbols. See Monelle, pp. 14–19. Furthermore, if intimate expression recalls external experiences of intimacy, then it behaves similarly to how musical topics recall '*musical styles and genres taken out of their proper context and used in another*

[35] Mirka, p. 2.

eighteenth-century expression should not be directly transplanted to the nineteenth century. Patrick McCreless recounts that the gradual elevation of instrumental over vocal music towards the end of the eighteenth century coincided with the disappearance of discussions on musical rhetoric, which was subsumed by what nineteenth-century theorists called structure.[36] Julian Horton, moreover, explains that new formal theories from the beginning of the nineteenth century 'increasingly valued the cognition of forms arising in a historicized repertoire over the interplay of rhetoric, key succession, and "schemata"'.[37] Carl Czerny's *School of Practical Composition* (published in English in 1848) is illustrative of this, since it views form, rather than rhetoric, as having an independent status. My subsequent discussion of A. B. Marx's theories of form in chapter two, moreover, illustrates the growing interest in form over rhetoric in Mendelssohn's circle, while the composer's letter to his sister that I quote later in this chapter reveals the respect he paid to following formal norms.

This is not to say that topics no longer played a role in the expressive language of nineteenth-century composers, but their status underwent significant changes. Kofi Agawu acknowledges that although nineteenth-century music still featured many of the topics familiar from the eighteenth century, including chorales, marches and horn calls, such labels drawn from eighteenth-century descriptions of music 'seem increasingly less relevant when applied to the socio-historical context of Romantic music'.[38] Eighteenth-century topics were 'stylized conventions' that offered composers an essentially public language for communicating to their listeners.[39] Indeed, most of Leonard Ratner's eighteenth-century topics can be associated with the public sphere (consider, for example, the various dance and military topics, and the brilliant

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[36] Patrick McCreless, 'Music and Rhetoric', in *The Cambridge History of Western Music Theory,* ed. by Thomas Christensen (Cambridge: Cambridge University Press, 2002), pp. 845–79 (pp. 872–76).
[37] Julian Horton, 'Listening to Topics in the Nineteenth Century', in *The Oxford Handbook of Topic Theory*, ed. by Danuta Mirka (New York: Oxford University Press, 2014), pp. 642–64 (p. 646).
[38] Agawu, *Playing with Signs*, p. 137.
[39] Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (Oxford: Oxford University Press, 2009) p. 48.

style). Even topics that refer to more individual utterances, such as the singing style or aria and recitative topics, maintain a relation to public performances of opera. Ratner's example of the singing style comes from Gluck's *Orfeo*, suggesting that in the eighteenth-century, the singing style was not exclusively associated with private Lied performances.[40] It is not that surprising that most topics have public associations: because the public sphere is more formalised and bound by rules and social codes, the establishment of certain conventions attached to the music performed there emerges more easily. The nineteenth century, on the other hand, saw composers drawing on 'figures born of a private realm, figures that bear the marks of individual composerly idiolects'.[41] Consequently, we can hardly expect the development of many new topics in the nineteenth century, since topics depended so heavily on recognisable and shared conventions that predominantly originated from the public sphere. The nineteenth-century composer's turn to a more personal and private language — as discerned by Agawu but borne out by the value Mendelssohn and his milieu placed on inner expression — meant that the development of new, conventionalised topics in the nineteenth century became, if not impossible, less likely. Indeed, although Janet Dickensheets identifies several new topics in her lexicon of nineteenth-century topics, most of her topics stem from the eighteenth-century, with only some adjustments. Her heroic style, for instance is merely '[a]n expansion of Ratner's Military Style', with some modifications to acknowledge the influence of Beethoven.[42]

If the development of new topics occurred less easily in the nineteenth century, I contend that another means of expression, what I call *expressive modes*, became more important. Needless to say, several parallels exist between expressive modes and topic

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[40] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), p. 19.
[41] Kofi Agawu, *Music as Discourse*, pp. 42–43.
[42] Janice Dickensheets, 'The Topical Vocabulary of the Nineteenth Century', *Journal of Musicological Research*, 31 (2012), pp. 97–137 (p. 118). Notably, two of the nineteenth-century topics that Dickensheets identifies stem from the private realm: the Nocturne and Lied styles. It is not that it is impossible for topics associated with the private to arise, only that they emerge less easily than public topics. There are therefore considerably fewer private than public topics.

signification. As chapter two subsequently demonstrates, the expressive mode of intimacy, arises through the various combinations of musical parameters that contribute to intimacy's private, collective and/or reciprocal qualities (see further discussion of intimacy's qualities below). Likewise, musical topics also emerge through the combination of various musical parameters: the singing style, for example, consists of 'a moderate tempo…slow note values and a rather narrow range'.[43] A further similarity arises through how they both refer to an extramusical shared experience. While intimacy as a mode of expression refers to shared experiences of intimacy, topics also evoke external events. The march topic suggests a military scene, for example, while the minuet topic alludes to an elegant courtly dance.

There are, however, several important distinctions between topics and expressive modes. Unlike topics, intimate expression is not grounded in a history of giving verbal descriptors to music.[44] For instance, we can name the minuet topic as such because composers explicitly labelled movements in this style with that title. Numerous references to historical sources that name and describe certain styles and genres also underpin Ratner's topical lexicon for eighteenth-century music.[45] And while Mirka acknowledges that the validity of Ratner's interpretation of the historical sources has been questioned, she nonetheless argues that there is some historical basis for using verbal labels to describe different musical styles and genres.[46] The same is not true, however, for expressive modes. Unlike topics, my theory of intimacy as a mode of expression is not based on any historical accounts that specifically describe music

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[43] Ratner, p. 19.

[44] Naturally one could define topics far more broadly so that it encompasses anything that has signifying capabilities. Indeed, several other authors define topics more loosely, and do not restrict topics to being derived from the conventions of certain styles or genres. For Kofi Agawu, all music of the classical style 'is conceptually laden with topical signification', although how prominent the topic is will depend on its context. Consequently, Agawu's topical universe is 'open', as there is no limit to the number of eighteenth-century topics. Agawu, *Playing with Signs*, p. 49. Wye Allanbrook takes a similar stance, for whom topics encompassed not only styles and genres, but also affects, accompanimental figures, melodic figures, harmonic schemata and meter. She asserts that 'no moment is ever expressively neutral'; when one topic ceases then it must be replaced by another, meaning all music should be deemed topical. Wye Jamison Allanbrook, *The Secular Commedia: Comic Mimesis in Late Eighteenth-Century Music*, ed. by Mary Ann Smart and Richard Taruskin (Berkerley: University of California Press, 2014), p. 120.

[45] Ratner, pp. 9–29.

[46] Danuta Mirka, pp. 2–9.

as intimate.

Another important distinction arises through how expressive modes are more personal to the composer. My theory of an intimate mode of expression in Mendelssohn's instrumental works originates from his preoccupations with self-expression that I discussed at the start of this chapter. While topics emerge through the existence of a shared knowledge of conventions associated with particular styles or genres, expressive modes emerge in ways that are unique to a particular composer. Even though an intimate expressive mode could certainly appear in works by other composers, it would arise from different parameters which accord with that particular composer's personal compositional language. For example, while it is likely that Robert Schumann participated in similar intimate occasions as Mendelssohn, his understanding of musical form would have differed from Mendelssohn's, whose own understanding of form was strongly influenced by his education under Carl Zelter. Consequently, how certain formal aspects engender an intimate mode of expression in Schumann's music would likely depart from how they do so in Mendelssohn's.

In being more personal to individual composes and less reliant on established and shared conventions, expressive modes allow a greater degree of flexibility. While I argue below that an intimate expressive mode arises through three essential qualities in Mendelssohn's instrumental music, it nevertheless does not depend on any single or set of essential parameters in the same way as a minuet topic relies on a triple time meter, or the singing style requires a moderate tempo, slow note values and a narrow range. Expressive modes encompass a far greater number of parameters — including other topics — allowing for a greater degree of flexibility. An intimate mode of expression in Mendelssohn's instrumental music, for example, can be more or less prominent depending on the number of parameters a musical passage contains that suggest its private, collective and reciprocal qualities. Furthermore, in being less dependent on a limited set of parameters, expressive modes can arise from a far greater range

of different combinations of various parameters. In this respect, expressive modes are far less fixed than topics, and appear in vastly more diverse guises.

When it comes to analysing nineteenth-century music, we should recognise the existence of three means of expression that composers had available to them: *topics inherited from the eighteenth century* that may have attained new meanings (such as the aforementioned marches in Mahler's symphonies, or Mendelssohn's transformation of the chorale in his Piano Trio No. 2, as illustrated in chapter eight); a limited number of *new topics* that refer to new nineteenth-century genres (such as Lied or Nocturne styles); and *expressive modes* that stem from a composer's own personal compositional language and thus can be uncovered only through focusing on their unique aesthetic preoccupations. As topics that spoke a shared conventional language became less salient during the nineteenth century, more flexible expressive modes that originate from a composer's personal language provide a valuable means for exploring expression in nineteenth-century music.

Intimacy's Qualities

Because an intimate mode of expression in Mendelssohn's instrumental music originates from his own experiences of intimacy, rather than a shared, public language like musical topics, pinning down how his music alludes to such experiences can be difficult. Indeed, experiences of intimacy would have varied between different circles: for example, Mendelssohn's experiences may have included musical performances, but not all intimate occasions would have necessarily done so. Yet even if such intimate occasions were not necessarily identical, if they were going to aspire to Schleiermacher's ideal of 'free sociality' where one could express oneself freely to others, then they necessarily entailed some essential features: they needed to take place in a private setting, and they had to involve other people. Intimate occasions thus encompassed two essential qualities — a *private* quality and a *collective* quality — and it is through alluding to these that intimacy as an expressive mode materialises in Mendelssohn's

music. These two qualities on their own, however, do not fully capture the importance of inner expression during such intimate experiences. A collective quality only implies the presence of more than one individual; it does not reflect how intimate experiences enabled its individual participants to express their inner selves within a collective. Indeed, Schleiermacher took pains to emphasise that his ideal of free sociality, which replicated his own experiences of intimate exchanges, should be reciprocal rather than unilateral. Theatre performances and lectures were no sites for free sociality because the audience 'always behaves passively'; for Schleiermacher, 'the true character of a society should be a reciprocal action that is interwoven among all the participants but one that is also fully determined and made complete by them'.[47] Consequently, I view intimacy as holding one further essential characteristic: a *reciprocal* quality.

Needless to say, intimacy's reciprocal quality is a sub-category of its collective quality; an occasion can only be reciprocal if it involves more than one person. Something which has a reciprocal quality thus also implies a collective quality. The reverse is not also true, however, since an environment can be collective but not also reciprocal. Consider, for example, uniform singing of hymns, which has a collective quality but gives little opportunity for individuals to express themselves within the group. I therefore distinguished between intimacy's collective and reciprocal qualities to first show how intimate environments involve more than one person, which can then enable a reciprocal quality by encouraging individuals to express their inner selves to others. Even though intimacy's reciprocal quality enables individuals to express themselves, this does not indicate the co-existence of distinct individual and collective qualities. An individual quality would denote either an entirely solitary activity or a single voice prioritised over the group. During intimate exchanges, however, an interdependent relationship instead exists between its individual participants and the collective they form. The relationship between the individual and the collective is not antagonistic but mutually

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[47] Schleiermacher, p. 24.

reinforcing.

If intimate experiences were private, collective and reciprocal, I regard the combination of musical parameters that evoke these qualities as referring to these lived experiences, thereby engendering an intimate mode of expression. But while intimacy's three essential qualities provide the first step towards determining how certain musical parameters can contribute to an intimate expressive mode, pinning down these qualities can be difficult. Certain environments can be more or less public or private, and precedence can be given to individual or collective to a greater or lesser extent. When it comes to music making in the private sphere, for example, Fuhrmann traces a scale of more public to more private types, ranging from more public salons to more private musical intimacy. The Mendelssohn family's weekly *Sonntagsmusiken*, for instance, sat in a blurry middle ground between public and private. After a journalist published an article on the event in 1823, Lea Mendelssohn responded by calling it an 'unheard-of indiscretion because they are strictly a private assembly'.[48] That being said, the *Sonntagsmusiken* still held some characteristics associated with the public sphere. Fuhrmann observes how famous virtuosos were invited to show-off their skill, and unmarried women displayed their musical accomplishments to attract a husband.[49] Fanny Hensel meanwhile conceded that the occasion was an odd mixture of both, describing it as 'a strange middle case between private and public sphere[s], in such a way that there are 150 to 200 persons present at every concert and if an event has to be cancelled, nobody comes, even if I have not informed them, because it gets known just by itself'.[50] Hensel's remarks reveal the overlaps between the public and private spheres at the family's *Sonntagsmusiken* and illustrate how characteristics of both can exist at the same time. They are not distinct entities but work on a continuum,

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[48] 'eine unerhörte indiscretion, da sie durchaus Privatgesellschaft sind'. Quoted and translated in Fuhrmann, p. 280.
[49] Ibid., p. 281.
[50] 'ein wunderliches Mittelding zwischen Privat- und öffentlichem Wesen geworden, so daß bei jedem Concert 150–200 Personen gegenwärtig sind, und daß, wenn es einmal ausfallen muß, ohne, daß ich absagen lasse, Niemand kommt, weil es sich von selbst bekannt macht'. Quoted and translated in ibid., p. 280.

where certain environments can be more or less publicly or privately orientated.

The same is true for the relationship between the individual and the collective. One could imagine several situations where both exist simultaneously but to differing degrees. The absence of the orchestra during the soloist's cadenza in a concerto, for example, would likely suggest the lack of a collective quality (although I actually argue something slightly different in chapter three), whereas if the orchestra provides a more distracting accompaniment which rivals the individual soloist, this indicates a more collective quality alongside the individual quality supplied by the soloist.[51] Since intimacy's reciprocal quality is a sub-category of its collective quality, it shares a similarly fluid relationship with moments that prioritise an individual voice. For a conversation to take place, for instance, one would expect certain points of the conversation to become less reciprocal and collective and give greater prominence to an individual participant. Even if conversation is a collective and reciprocal activity, it will momentarily shift to emphasising an individual participant. The string quartet offers a musical analogy. Widely regarded as imitating conversation by the beginning of the nineteenth century, the string quartet nonetheless varies between highlighting an individual voice to emphasising reciprocal exchange.[52] In chapter two's section on texture, for instance, I consider how the different string quartet textures can emphasise an individual voice or the reciprocal relationship between its four voices to differing degrees.

Because certain environments can be more or less collective or private, intimacy's qualities work on a continuum. It is not that certain passages of music either do or do not hold private, collective, or reciprocal qualities, but rather, these qualities are present to a greater or

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[51] In accordance with how a reciprocal quality indicates an interdependent relationship between individuals and a collective, the coexisting individual soloist and collective orchestra does not indicate a reciprocal quality. Instead, because the orchestra and soloist act as two distinct entities that are not interdependent, they indicate co-existing but distinct collective and individual qualities.

[52] For an examination of comparisons between the string quartet and conversation in the late eighteenth and early nineteenth centuries, see Edward Klorman, *Mozart's Music of Friends: Social Interplay in the Chamber Works* (Cambridge: Cambridge University Press, 2016), pp. 20–72.

lesser degree. And as the foregoing discussion has anticipated, because intimacy's qualities work on a continuum with their opposing public and/or individual qualities, these opposing qualities also play a role in how I theorise intimacy as an expressive mode. If a passage of music contains parameters that indicate intimacy's opposing qualities, these opposing parameters can diminish an intimate expressive mode. In chapter two, then, I also consider parameters that oppose intimacy by implying public and individual qualities. Intimacy as a mode of expression becomes more or less prominent depending on the degree to which its various musical parameters suggest its private, collective or reciprocal qualities and or the qualities that oppose them. It follows that rather than intimate expression being either present or absent, Mendelssohn suggests an intimate expressive mode to a greater or lesser degree. Intimacy as a mode of expression participates in a dialogue with qualities that either reinforce it or detract from it.

The public/private and individual/collective continuums, moreover, work independently from one another. The *Sonntagsmusiken* hosted weekly in the Mendelssohn family's private residence, for instance, could involve over one hundred people — a decidedly collective event — yet the Mendelssohn family still considered it a private affair (even if Fuhrmann demonstrates that it also held some characteristics that orientated it towards the public sphere). Intimacy's private quality works independently of its collective and reciprocal qualities, since whether an environment is more or less public or private does not depend on whether it emphasises collective or individual qualities, and vice versa.

Mendelssohn's Intimacy

Intimacy is only one example of an expressive mode and naturally many more exist. It is nonetheless more expedient to focus on one specific expressive mode in the music of one composer, which can then provide a model for similar studies that focus on other expressive modes from another repertoire. Using a broader repertoire in this study would risk creating

inconsistencies by incorrectly assuming that the way certain musical parameters create expression remains constant. Expressive modes are historically and geographically contingent, so it would be difficult — if not impossible — to construct an all-encompassing theory for all expressive modes. As I illustrated at the beginning of this chapter, the importance Mendelssohn and his contemporaries in north Germany placed on self-cultivation and inner expression meant that they valued the kind of intimate exchanges that occurred in private, collective and reciprocal environments amongst close friends and family members. Consequently, this thesis finds intimacy as an expressive mode to be especially salient in Mendelssohn's instrumental music, whereas one would not expect it to be as important for a composer from another historical, social and/or geographical context. How expressive modes are generated depends on the composer too. Mendelssohn's decision to subvert formal expectations, for instance, would likely have been for different reasons and different ends than they would have been for Robert Schumann because of their different attitudes to form, even though both composers lived and worked in a similar time and geographical area.[53]

A composer's aesthetic preoccupations will likely change across their career, again affecting how they produce certain expressive modes. Both Thomas Schmidt and Benedict Taylor, for instance, regard Mendelssohn's three Op. 44 String Quartets (1837–38) as a turning point in the composer's compositional style.[54] The quartets were Mendelssohn's first chamber

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[53] Thomas Schmidt recounts that Mendelssohn's upbringing bestowed in him a strong obligation to work in the public sphere for the betterment of collective society — an obligation that Schumann would likely not have felt as strongly. Schmidt, pp. 209–39. If one were to undergo a similar exercise using a select repertoire from Schumann's output as the foundation for a methodology that traces a particular expressive mode in his music, one would expect some similarities because of their shared historical context, but also differences owing to their diverging aesthetic preoccupations and values.

[54] Taylor argues that the Op. 44 Quartets were 'the fruit of a deeper consideration of the purpose and ethical function of music' (p. 302) and that 'around the mid-1830s, Mendelssohn chose to embrace the "ethical" life, and as a result this decision had consequences for his music's direction and aims' (p. 303). Benedict Taylor, 'Beyond the Ethical and Aesthetic: Reconciling Religious Art with Secular Art-Religion in Mendelssohn's "Lobgesang"', in *Mendelssohn, the Organ, and the Music of the Past: Constructing Historical Legacies*, ed. by Jürgen Thyme (Rochester, NY: University of Rochester Press, 2014), pp. 288–310. Schmidt, moreover, regards the Op. 44 Quartets as Mendelssohn's 'first and greatest achievements' of his mature period. Thomas Schmidt, 'Mendelssohn's Chamber Music', in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004), pp. 130–48 (p. 141).

music compositions following a break in his composition for this genre, and they followed or coincided with several important life events: his appointment as music director for the Leipzig Gewandhaus Orchestra, the sudden death of his father in November 1835 and engagement and marriage to Cécile Jeanrenaud in 1837. I therefore restrict my study to works composed from the Op. 44 Quartets onwards.[55] A letter Mendelssohn wrote to his sister Fanny Hensel in 1835 regarding her E-flat String Quartet also reveals his changing compositional priorities:

> I must take to task the compositional style of the work in general, or if you wish, the form [Form]. I would advise you to pay greater heed to maintaining a certain form, particularly in the modulations – it is perfectly all right to shatter such a form, but it is the contents themselves which must shatter it, through inner necessity; without this, such new or unusual formal turns and modulations only make the piece more vague and diffuse. I have noticed the same error in some of my more recent pieces . . . I feel I am right in having more respect than before for form and proper craftsmanship, or whatever the technical expressions are.[56]

In declaring that he now has 'more respect than before for form and proper craftsmanship', Mendelssohn suggests that he had distanced himself from an earlier attitude to composition that might have paid less respect to formal norms. Indeed, his greater respect for form in the latter half of his career has an important bearing on his invocation of certain qualities, as chapter two will demonstrate.

This study focuses on Mendelssohn's instrumental music from the final decade of his life (1837–47) to model how one can trace an intimate mode of expression in his instrumental music. I concentrate on Mendelssohn's sonata-form works that do not have any external

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[55] Mendelssohn himself acknowledged that the death of his father was a turning point in his life. Writing to his friend Karl Klingemann on 14 December 1835, Mendelssohn described the event as marking the end of his youth and that he now wished to become more like his father an fulfil his expectations. '[…] es ist das sichre und bestimmte Gefühl, daß meine Jugend mit dem Tage vorüber war, und alles was dazu gehörte, mit ihr […] und giebt mir our den Wunsch den Vater ähnlich zu werden, und dem nachzukommen, was er von mir erwartete'. *Sämtliche Briefe*, iv, p. 364. For a comprehensive account of the changes in Mendelssohn's ethical and aesthetic preoccupations in the mid 1830s, see John Edward Toews, 'Musical Historicism and the Transcendental Foundations of Community: Mendelssohn's Lobgesang and the "Christian-German" Cultural Politics of Frederick William IV', in *Rediscovering History: Culture, Politics, and the Psyche,* ed. by Michael S. Roth (Stanford, California: Stanford University Press, 1994), pp. 183–201.

[56] Quoted and translated in Benedict Taylor, *Mendelssohn, Time and Memory: The Romantic Conception of Cyclic Form* (Cambridge: Cambridge University Press, 2011) p. 227.

narrative since in these entirely abstract works, Mendelssohn's treatment of form and the qualities this engenders can be discerned most clearly.[57] In chapter two, I turn my attention to theorising how Mendelssohn expresses intimacy in his mature instrumental music. I consider which precise musical parameters evoke intimacy's private, collective and reciprocal qualities and their opposing public and individual qualities. Part two then employs my theory of intimate expression to explain why certain perceptions of Mendelssohn's music have come to pass. Why, for example, have commentators tended to look beyond the virtuosity in Mendelssohn's Violin Concerto, and why do other writers persistently remark upon the lyricism in Mendelssohn's String Quartet in E minor, Op. 44/2? Part three proceeds to examine several of Mendelssohn's most formally idiosyncratic works to demonstrate how background formal features play an integral role in the dialogue between intimacy's qualities and those that detract from them. Although I am wary of claiming that my theory can conclusively explain Mendelssohn's formal choices, I argue that it can provide a constructive way of interpreting some of his most idiosyncratic movements. Part four takes my methodology as an interpretative tool a step further, illustrating how Mendelssohn remodels the expressive powers typically associated with certain topics. I conclude my thesis by considering some of the broader ramifications of my theory of intimate expression, particularly with regards to how we conceive the relationship between form and expression in nineteenth-century music.

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[57] This is not as exclusive as it sounds as Mendelssohn predominantly wrote his instrumental movements in sonata form. See my discussion under 'Mendelssohn's Collective Language' in chapter two. Taylor moreover recounts how Mendelssohn avoided writing programmatic works during the 1830s. Taylor, *Mendelssohn, Time and Memory*, pp. 214–20.

Chapter Two

Theorising Intimacy

To determine the extent to which a passage of music exhibits an intimate mode of expression, I consider how Mendelssohn combines various musical parameters that contribute to intimacy's private, collective and reciprocal qualities. At the same time, I also examine the parameters that indicate its opposing public and individual qualities, which can shift a musical passage away from an intimate mode of expression. To this end, Table 1 outlines the parameters that work on the private/public continuum, while Table 2 gives those on the collective/individual continuum, including reciprocal parameters as a sub-category of the collective.

Table 1. Private and public parameters

Private parameters	Public parameters
Chamber-music genres	Orchestral genres
Lieder, Lieder ohne Worte	Topics: chorale, military, virtuosity
Thinner texture	Thicker texture
More restricted range	Wider range
Slower tempo	Louder dynamics
Quieter dynamics	
Elongated note values	

Table 2. Collective, reciprocal and individual parameters

Collective parameters	Individual parameters

Orchestral genres (except concertos)
Topics: chorale
Dependent passages
Tightly organised units
One-more-time technique
Off-tonic returns that participate in a larger harmonic progression
Closer scoring
More *Tutti*
Dominating unison
	Concerto genre
	Topics: chorale without words, virtuosity (but only when the virtuosic voice is prioritised)
	Self-sufficient passages
	Static forms
	Prioritising of an individual, dominant voice through:
	  - Thicker texture
	  - Wider range
	  - Larger leaps
	  - Being scored apart
	  - An unobtrusive accompaniment
	  - Expressive markings that appear only in this part

Reciprocal parameters	
String quartet genre Tonal duplicity Subversions of tightly organised units Subversions of expected closure Formal ambiguities Off-tonic returns Sympathetic unison Prioritising of a non-dominant voice Countermelodies Imitative textures Imitating conversation	

I will make four observations before proceeding. First, none of these parameters should be deemed as essential to any expressive quality, but rather as contributing to that quality. They exist alongside other parameters that work on the same continuum and either reinforce or detract from this quality. Quiet dynamics may imply a private quality, but are unlikely to summon a private quality on their own. If quiet dynamics appear in a symphonic work, for example, they may do little to overturn the genre's inclination towards a public quality unless several other private parameters also appear. Meanwhile, a passage without quiet dynamics but with several other private parameters may still elicit a private quality. Second, while the musical parameters that suggest intimacy's opposing qualities could in turn suggest other

expressive modes, my focus on an intimate mode of expression in Mendelssohn's instrumental works means I consider these qualities only in relation to how they oppose intimacy's private, collective, and reciprocal qualities. Third, while I sometimes connect opposing parameters with their opposing qualities (for example, I regard quiet dynamic as conferring a private quality, and loud dynamic as adding to its opposing public quality), this is not consistently the case. I associate a slow tempo with the private sphere, but I do not necessarily associate its opposite, a fast tempo, with the public sphere. Finally, a piece's wider context is important when assessing if certain parameters imply particular qualities. In a piece dominated by contrapuntal writing, for example, any moment that prioritises a single voice would likely suggest an individual quality, even if that voice is not given the greatest possible priority. Alternatively, a *mezzo forte* passage may still confer a public quality if it follows a predominantly quiet passage.

My theorisation of intimacy as a mode of expression begins with the parameters that pertain to Mendelssohn's treatment of form and syntax because these can work on several different levels and explaining how they contribute to certain qualities is more complex and discursive. Some of these features also bestow a reciprocal quality by simultaneously involving individual and collective languages, a proposal that entails a somewhat convoluted justification. There are two ways in which Mendelssohn's approach to form and syntax can contribute to certain qualities, which I will discuss in turn: first, through either following or departing from conventions; and second, through either self-sufficient or dependent sections.

Form and Syntax I: Following and Departing From Conventions

Recounting one occasion of musical intimacy, Karl Emil von Webern described how 'everybody talked freely over a glass of wine without any constraint'.[1] More public social

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[1] Quoted and translated in Wolfgang Fuhrmann, 'The Intimate Art of Listening: Music in the Private Sphere During the Nineteenth Century', in *The Oxford Handbook of Music Listening in the 19th and 20th Centuries*, ed. by Christian Thorau and Hansjakob Ziemer (New York: Oxford University Press, 2018), pp. 277–311 (p. 283). See full quotation in chapter one.

gatherings, on the other hand, were more bound by rules and social conventions. As Wolfgang Fuhrmann explains, the more public music association or society 'tended to establish a set of rules valid for all its members and therefore provided a formal space that was very carefully defined'.[2] The same is true for the semi-public musical salon. Even though salons took place in the host's private residences and did not establish formal rules like a musical association or society, Fuhrmann argues that informal, unwritten rules still existed, which 'were so strict that their disregard may have led to exclusion from other conventions — an expulsion that need not be carried out in any formal procedure but would be thoroughly effective nonetheless'.[3]

One could conclude, then, that formal and syntactical procedures that suggest freedom from conventions invoke the private sphere (where one can talk 'freely' and 'without any constraint'), whereas the following of them implies the more formal, rule bound public sphere. The reality is more complicated, however, as departures from conventions were not restricted to the private sphere: one of the most public of genres, the symphony, was an established site for innovation and departures from convention. As Mark Evan Bonds recounts, novelty and innovation became increasingly important towards the end of the eighteenth century, 'particularly in as weighty genre as the symphony', while Beethoven's formal innovations in the genre left the next generation of composers with 'the problem of exploring new ways to move beyond the traditional forms of the Classical era'.[4] Meanwhile, a degree of convention still existed in private settings. Precisely because intimate environments involved a group, it depended on the existence of some shared social codes and conventions. The listening in silence musical intimacy encouraged, for instance, implied the existence of some unwritten rules that participants should concentrate on the music. Participants of musical intimacy did not necessarily have free reign to abandon all social norms and conventions because it took

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[2] Ibid., p. 281.
[3] Ibid., p. 282.
[4] Mark Evan Bonds, *After Beethoven: The Imperative of Originality in the Symphony* (Cambridge, MA: Harvard University Press, 2013), p. 5.

place in a private setting; rather, the occasion's private nature meant they were comparatively less restricted by the more formally rule-bound public sphere. Consequently, I do not exclusively associate Mendelssohn's adherence to conventions with the public sphere, since the following of such rule could have occurred in private settings too.

This is perhaps why in his study of public and private discourse in Joseph Haydn's symphonies and string quartets, Lauri Suurpää conflates the public with the collective, and the private with the individual — something I have taken care to distinguish. Suurpää distinguishes 'between, on the one hand, procedures that follow conventional patterns, thus displaying publicly recognizable mode of organization, and, on the other, procedures that interpret conventional patterns in an individual way (possibly completely transcending them), thus showing private and individualized version of conventional patterns'.[5] When Haydn follows conventional patterns, he speaks a public musical language shared by the collective, whereas when he interprets those patterns in an individual way it indicates a private language, unique to that individual work. Haydn's departures from convention in his public symphonies therefore evince a private language not so much because he evokes the private sphere, but rather because he employs an individual language.[6]

I depart from Suurpää, however, by regarding public and private qualities as independent from individual, collective and reciprocal qualities (see chapter one). I can therefore associate Mendelssohn's following of conventions that speak a collective language

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[5] Lauri Suurpää, *Haydn in the Concert Hall and in the Chamber: Public and Private Modes of Musical Discourse in the London Symphonies and Late String Quartets* (in press).

[6] Ibid (in press)32. Suurpää examines several eighteenth- and early nineteenth-century sources to illustrate this point. A representative example comes from Christian Friedrich Michaelis. In his essay *Über das humoristische oder launige in der musikalischen Komposition (*1807) he explains that: 'Music is humorous if it displays the composer's wilfullness more than the strict practice of artistic techniques; in such a case, the musical ideas are very odd and unusual and they do not follow on one another as the natural harmonic progressions might seem to imply. Instead, the listener is surprised by quite unexpected turns of phrase, by unexpected transitions, or by wholly new and oddly shaped figures […] everything concludes in so individual a manner that nothing can be explained in terms of conventional musical techniques, customary musical forms, or natural, regular procedure'. Although Michaelis' focus is on musical humour here, he nonetheless contrasts an individual manner with conventions and customary forms, implying that departures from conventions indicate an individual language.

with a collective quality, and not necessarily a public quality. Likewise, I can relate Mendelssohn's departures from conventions that speak an individual language to an individual quality, and not a private quality. A further level of complexity nonetheless emerges, since whether Mendelssohn could abandon speaking a collective language entirely is questionable: how could he depart from the conventions without first establishing expectations for them in the first place? Mendelssohn acknowledged this incongruity himself. His letter to his sister quoted in chapter one reveals the importance he gave to following formal rules, while Benedict Taylor argues that '[m]aking clear his music's relation to generic form — an intentional scheme or set of expectations — was a crucial means by which he could ensure the comprehensibility of extended spans of music'; Mendelssohn's music works on two levels, 'a surface conformity to generic expectations for the average listener, more subtle departures within this for the more attentive'.[7] If his surface adherence to generic expectations was for the average listener, then this could be read as a collective language shared by a group, while his more subtle departures betoken an individual language. Mendelssohn does not completely abandon generic norms, but rather maintains them in order to then depart from them. Consequently, rather than regarding his departures from conventions as speaking an individual language, they in fact reveal the interdependent existence of both individual *and* collective languages.

Taylor's analysis of the subordinate theme's tonal duplicity in the String Quartet No. 4 in E minor, Op. 44/2 is illustrative of this point.[8] During the preceding transition, Mendelssohn strongly implies a modulation to the dominant minor, relying on conventions that set up expectations for this key. Seemingly from nowhere, however, the subordinate theme arrives in the more normative relative major key. Mendelssohn thus speaks a collective language in two ways: he relies on conventions to generate expectations for a subordinate key in the dominant

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[7] Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 185–209 (p. 204).
[8] Ibid., pp. 189–92.

minor, but then follows the convention of placing a minor-key sonata movement's subordinate theme in the relative major. These two conventional procedures are not compatible, however, resulting in both of their subversions: his modulation to the dominant minor subverts expectations since we expect the subordinate key of a minor-key movement to arrive in the relative major; meanwhile, when the subordinate theme does in fact emerge in the relative major, this in turn subverts the expectations generated by the preceding transition's modulation to the dominant minor. Mendelssohn thus works on two levels: he speaks a collective language by following conventional procedures, but he also speaks an individual language by subverting the expectations that arise from them. The presence of both individual and collective languages is not antagonistic; Mendelssohn can only subvert expectations and speak an individual language by first setting up such conventions with a collective language. Meanwhile, his following of conventions only becomes conspicuous because he also departs from them; we only notice he speaks a collective language *because* he also speaks an individual one. When Mendelssohn subverts conventions, the relationship between individual and collective languages is interdependent. I therefore do not regard Mendelssohn's subversions of conventions as implying distinct individual and collective qualities; rather, they exhibit a reciprocal quality.

Mendelssohn's approach to formal and syntactical conventions can contribute to intimacy's qualities in two ways: either he straightforwardly follows formal and syntactical conventions and thus speaks only a collective language and imparts this quality; or he subverts conventions and, in simultaneously speaking collective and individual languages, bestows a reciprocal quality. This seems to place an undue weight on a collective quality: because a reciprocal quality is a sub-category of a collective quality, both of these approaches to convention imply the latter. This is not, however, entirely unexpected, since any relation to convention implies the presence of a collective language and thus also a collective quality.

Furthermore, because a collective quality and its reciprocal sub-category constitute two of intimacy's three essential qualities, Mendelssohn's subversion of formal and syntactical conventions in particular will likely make some contribution to this expressive mode. But it is important to recognise that such subversions are not synonymous with this expressive mode since they still require the third essential quality of privacy. Other musical parameters would need to suggest a private quality too if Mendelssohn's subversions of formal and syntactical conventions are to engender this expressive mode.

In what follows, I describe these two approaches and how they generate intimacy's collective and reciprocal qualities. I will begin with the more straightforward of these: his following of conventions that contribute to a collective quality. I will then consider the ways in which Mendelssohn confers a reciprocal quality by simultaneously speaking collective and individual languages.

Mendelssohn's Collective Language

Determining what exactly constituted formal and syntactical conventions for Mendelssohn is a precarious task. Whereas Suurpää can rely on theories developed for the analysis of late eighteenth-century Viennese music by, for instance, James Hepokoski and Warren Darcy, and William Caplin, such comprehensive theories for early nineteenth-century music in north Germany are lacking.[9] We could perhaps regard the formal and syntactical procedures Mendelssohn frequently employs in his instrumental music — something which several scholars have recently begun to uncover — as representing what was conventional for Mendelssohn.[10] I am not convinced, however, that the syntactical and formal procedures

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[9] For an extensive account of the difficulties surrounding the construction of an all-encompassing theory for the analysis of Romantic music see Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017) pp. 1–12; and Steven Vande Moortele, 'In Search of Romantic Form', *Music Analysis*, 32 (2013), pp. 404–31.

[10] See, for example, Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn Perspectives*, ed. by Nicole Grimes and others (Farnham, Surrey: Ashgate, 2012), pp. 83–112. The three chapters by Benedict Taylor, Steven Vande Moortele and Julian Horton in *Rethinking Mendelssohn*,

Mendelssohn routinely employs necessarily imply a collective language. While Caplin acknowledges the diversity within the repertoire he studies — the instrumental music of Haydn, Mozart and Beethoven — he nonetheless maintains that 'works in this style are grounded in a highly sophisticated set of compositional conventions […] Indeed, a good deal of the aesthetic pleasure that we gain from listening to this music involves the interaction of our (often unconscious) understanding of functional norms with their particular manifestations in a given work'.[11] While such functional norms in the Classical period may indicate a shared knowledge of norms that likely enabled large groups of listeners to comprehend this repertoire, we cannot also assume that what we may call Mendelssohnian norms suggest a similar collective language, or that a shared compositional language could exist in the same way for Mendelssohn. As James Garratt argues, Mendelssohn was one of the first composers to have a plurality of musical languages available to him, and thus had 'to wrestle with the dilemma of being dispossessed of a *lingua franca*'.[12] Furthermore, the difficulty in pinning down nineteenth-century norms and formal conventions — as implied by the lack of comprehensive theories for this repertoire — suggests a less rule-bound style, questioning whether a collective nineteenth-century language existed in the same way as it had for their Viennese predecessors. Steven Vande Moortele observes, for instance, that 'few would dispute that romantic form is an even more fragmented phenomenon than classical form', while Kofi Agawu regards nineteenth-century composers as increasingly drawing on 'figures born of a private realm, figures that bear the marks of individual composerly idiolects'.[13]

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moreover, provide a good overview of the current state of scholarship on Mendelssohn's formal and syntactical procedures. See *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020) pp. 185–262.

[11] 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), p. 3.

[12] James Garratt, 'Mendelssohn and the Rise of Musical Historicism', in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004), pp. 55–70. (p. 55). See also James Garratt, 'Mendelssohn's Babel: Romanticism and the Poetics of Translation', *Music & Letters*, 80 (1999), pp. 23–49.

[13] Vande Moortele, *The Romantic Overture*, p. 3; Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (Oxford: Oxford University Press, 2009, pp. 42–43. Although Agawu's comment stems from his

I therefore propose an alternative way in which Mendelssohn suggests a collective language: rather than viewing Mendelssohn's adherence to the norms of his own compositional practice as contributing to a collective quality, I regard his conspicuous allusions to the conventions of the especially rule-bound style of Viennese Classicism as doing so. Mendelssohn speaks a collective language by borrowing from the collective language of his forebears. His allusions to Classical conventions act in some respects like a topic: they appear as displaced, marked references to the collective language of an older style. Although his historical and geographical separation from this style means the same norms and conventions did not apply to him, he nonetheless had a thorough knowledge of them. Larry Todd recounts that Mendelssohn's teacher, Carl Friedrich Zelter, 'nourished him on German models of Bach, Mozart and Haydn', while the finale of Mozart's "Jupiter" Symphony in particular had a considerable influence on the composer.[14] His adolescent works, moreover, betray the influence of Classical thematic constructions. The String Symphony No. 7 in D minor (1821–22), for example, opens with a sixteen-bar sentence design, while in his study of Mendelssohn's compositional exercises under Zelter, Todd finds several examples of Mendelssohn directly following models by Haydn and Mozart. In one compositional exercise, a set of variations for piano in D major, clear parallels exist between Mendelssohn's theme and the opening theme to the finale of Haydn's String Quartet, Op. 74, No. 2. Todd observes similarities in their register, accompaniment, key signature and motivic constructions, but they are also both constructed as modulating, eight-bar periods.[15]

Despite Mendelssohn's in-depth knowledge of the conventional thematic constructions employed by his Classical predecessors, he does not routinely follow them. Caplin divides

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discussion of nineteenth-century topics rather than of form, it nonetheless reinforces the notion that early nineteenth-century music was less uniform and reliant on a shared collective language.

[14] R. Larry Todd, *Mendelssohn: A Life in Music* (New York: Oxford University Press, 2003) p. 49.

[15] R. Larry Todd, *Mendelssohn's Musical Educations: A Study and Edition of His Exercises in Composition* (Cambridge: Cambridge University Press, 1983) pp. 69–83.

conventional Classical themes into three types — periods, sentences and their hybrids — which can have a more or less 'tight-knit organisation'. More tightly organised formal units are more formally efficient, more symmetrical, less likely to modulate, have greater motivic uniformity and achieve a greater degree of cadential closure.[16] But although such tightly organised units typically constituted a sonata movement's main theme in the Classical style, they feature rarely in Mendelssohn's mature instrumental works — despite his own thorough knowledge of them. Several scholars have pointed out that Mendelssohn regularly departs from the conventional, tightly organised themes of his Classical predecessors. Taylor argues that Mendelssohn's thematic groups are often 'subject to open-ended extension or internal expansion, thus becoming increasingly loose-knit and dynamic'.[17] Julian Horton, moreover, describes six syntactical categories which Mendelssohn regularly employs which remain 'elusive in sonata theoretical or orthodox Caplinian terms':[18] 1) *functional transformation*, or what Janet Schmalfeldt calls 'becoming';[19] 2) *proliferation*, or techniques of phrase expansion and extension; 3) *truncation*, or the abbreviation of functions; 4) *elision*, or the overlapping of functional boundaries; 5) *non-congruence*, or the non-alignment of formal parameters; and 6) *deferral*, the relocation of structural cadences.[20] Caplin also observes that a main theme in a Classical sonata-form movement is typically more tightly organised than its subordinate theme, yet Mendelssohn frequently does not follow such a convention.[21] In Op. 44/2's first movement, for example, Mendelssohn expands the main theme's supposed period structure in bars 18–24, making it rather looser than the tightly organised period that constitutes the subordinate theme

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[16] For Caplin's full criteria for tight-knit versus loose organisation, see *Classical Form*, pp. 84–86.

[17] Benedict Taylor, 'Mendelssohn and Sonata Form', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 205.

[18] Julian Horton, 'Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 236–62 (p. 242).

[19] 'Becoming' occurs when 'the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context' (emphasis in original). Janet Schmalfeldt, In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music (New York: Oxford University Press, 2011), p. 9.

[20] Horton, 'Syntax and Process', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 243.

[21] Caplin, *Classical Form*, p. 201.

at bars 53–68. Consequently, I read the infrequent occasions when Mendelssohn writes a tightly organised unit as a conscious allusion to the conventions of the older Classical style. In doing so, he speaks a collective language that contributes to a collective quality.

Aside from tightly organised units, Table 2 includes what Janet Schmalfeldt calls the one-more-time technique — a type of cadential expansion elicited by an evaded cadence (EC) — as contributing to a collective quality.[22] 'In consequence of such events,' Schmalfeldt explains, 'the ending of the phrase will be cut off, and only a new beginning ensues; the harmony that motivates the beginning must thus be understood as an initiating harmony, even if it happens to be a root-position tonic'. The one-more-time technique then ensues 'when the new beginning in fact introduces a direct, or varied, repetition of the preceding cadential material'.[23] Schmalfeldt finds examples of the one-more-time from as early as the beginning of the eighteenth century, and argues that by the nineteenth century it was an entrenched technique of syntactical expansion.[24] Similar to tightly organised units, I regard instances of the one-more-time technique in Mendelssohn's music as conscious allusions to convention, which imparts a collective quality.

While tightly organised units and the one-more-time-technique exhibit an allusion to convention that confers a collective quality, Table 2 does not include other large-scale formal features that might be deemed as following Classical conventions as contributing to a collective quality. I do not, for instance, view Mendelssohn's following of conventional formal layouts

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[22] An evaded cadence occurs when: 'The penultimate cadential harmony — the dominant — will signal the prospect of a cadential tonic, but now the confluence of phrase rhythm, design (in the sense of specific melodic-harmonic content), and frequently texture as well as register and orchestration will prevent the next harmonic event from functioning as a cadential goal'. Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', *Journal of Musicological Research*, 12 (1992), pp. 1–52 (p. 14). Caplin provides perhaps a more succinct definition. An evaded cadence occurs when 'the prevailing harmonic and melodic processes […] fail to reach their projected goal. More specifically, the musical event that directly follows the cadential dominant is perceived to group with subsequent material, not with the material leading up to that dominant'. Caplin, *Classical Form*, p. 101.

[23] Schmalfeldt, 'Cadential Processes', pp. 14–15.

[24] Schmalfeldt finds examples of the one-more-time technique in works by Rameua and Alessandro Scralatti. It then became increasingly common as the eighteenth century progressed, appearing in works by composers as diverse as Stamitz, C. P. E. Bach, J. C. Bach, Domenico Scalatti and Mozart, so that by the nineteenth century it was an an established technique. Ibid.

as indicating a collective quality. But if a movement exhibits sonata form, or any other form routinely employed by Mendelssohn's Viennese predecessors, then surely this is an allusion to the formal conventions established by a previous generation in the same way that tightly organised units and the one-more-time technique are? If Mendelssohn follows the large-scale formal norms of his Classical predecessors — when, for example, a V:HC initiates a medial caesura-fill before the onset of the subordinate theme — surely this should be read as Mendelssohn speaking the collective language he inherited from them?[25] I nonetheless have two misgivings over whether Mendelssohn's following of large-scale formal conventions can signify a collective quality:

First, while Mendelssohn's formal procedures are doubtlessly in dialogue with past formal traditions, it is highly unlikely that Mendelssohn had a precise, 'textbook model' of any particular form from which he consciously adhered to or departed from. Although Mendelssohn was a contemporary of several theorists who attempted to codify certain musical forms, including Anton Reicha, Carl Czerny and A. B. Marx, Paul Wingfield points out that their formulations 'are in key respects incompatible, it is not possible to identify a composite nineteenth-century mode that can be used as a point of dialogic reference'.[26] Elsewhere, he and Julian Horton highlight that Mendelssohn departs so frequently from supposed sonata-form 'norms' that it casts doubt on the notion that Mendelssohn was conscious of a fixed set of formal norms, which he then intentionally departed from or 'deformed'.[27] And even if James Hepokoski and Warren Darcy's notion of deformation could be applied to Mendelssohn's forms, we cannot conclusively delineate the precise formal model he had in mind. We therefore

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[25] James Hepokoski and Warren Darcy regard the medial caesura as providing 'a firmly established platform from which the secondary theme […] may emerge'. In the late eighteenth-century they were most commonly built around a V:HC, or what Hepokoski and Darcy call a '*first-level default*'. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), p. 25.
[26] Paul Wingfield, 'Beyond "Norms and Deformations": Towards a Theory of Sonata Form as Reception History', *Music Analysis*, 7 (2008), pp. 137–77 (p. 154).
[27] See Wingfield and Horton.

cannot definitively assess whether Mendelssohn follows or departs from such a model. Although the same could be said of Mendelssohn's tightly organised themes, for which there is also no evidence that Mendelssohn had a precise model, but given Larry Todd has illustrated that Haydn's and Mozart's thematic constructions guided Mendelssohn's compositional education, he must have had some notion of a model when it came to his thematic constructions (even if it was not a strictly codified one) that he then chose to either adhere to or depart from. Todd, moreover, notes that while Mendelssohn took Haydn's and Mozart's thematic designs as his models, the overarching forms in his compositional exercises are 'nothing at all like the mature sonata movements of Haydn and Mozart', indicating that while he looked to Classical precedents for his thematic constructions, the same is not true for his large-scale forms.[28] Rather than regarding Mendelssohn's sonata practice as deforming the formal conventions established by his Viennese predecessors, Wingfield and Horton argue that his sonata forms reveal him as addressing 'the question of how to forge a self-consistent style that both absorbed and superseded the precedents of high classicism and above all the models bequeathed by Beethoven'.[29] Whereas I view tightly organised thematic units as alluding to the conventions of the Classical style, his movements in sonata form should not be perceived as a marked reference to a form used by this previous generation; rather, Mendelssohn's large-scale procedures participate in an ongoing formal tradition.

My second misgiving arises from how I am not convinced that Mendelssohn's following of large-scale, sonata-form conventions have the ability to evoke any expressive qualities because he so infrequently departs from them. Taylor observes that Mendelssohn normally retains a relationship with generic expectations: 'subject groups and expositions, development sections, recapitulations, and so on, are normally easy to discern'[30]. If

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[28] Todd, *Mendelssohn's Musical Education*, p. 79.
[29] Wingfield and Horton, p. 112.
[30] Taylor, 'Mendelssohn and Sonata Form', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 204.

Mendelssohn routinely follows generic expectations, it is difficult to conceive of them as especially marked features, in contrast to his more infrequent use of tightly organised units. Furthermore, sonata form in particular was something like Mendelssohn's default formal choice: he routinely wrote movements in sonata form, not only for his outer movements, but for his inner movements too. In their survey of Mendelssohn's sonata movements composed between 1825–47, Wingfield and Horton find a substantial number of slow inner movements in a sonata form (what Hepokoski and Darcy would call a Type 3 sonata form)[31] or sonata-without-development (Type 1).[32] And whereas Hepokoski and Darcy regard rondos and sonata-rondo mixtures (Type 4) 'as a typical option for fast finales' in works from the 1760s onwards, this is not the case in Mendelssohn's instrumental works.[33] Wingfield and Horton find a substantial number of finales that are not rondos but are Type 3 sonata forms.[34] And while they find several finales that feature a return of the main theme in the tonic between the exposition and development (which could be deemed a variant of Hepokoski and Darcy's Type 4 sonata)[35], they question whether this form should be viewed as distinct from Mendelssohn's Type 3 movements, since 'in all other important respects they invite interpretation as sonata allegros'.[36] Taylor, moreover, observes that '[o]f the thirteen scherzo-type movements in

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[31] Hepokoski and Darcy, p. 344.

[32] These include the second movement from the Piano Quartet No. 3, Op. 3; the second movement from the Octet, Op. 20; the second movement from the Symphony No. 4, Op. 90; the second movements from the String Quartets No. 4, 5 and 6, Op. 44/2, 44/3, and 80; and the third movements from the String Quartet No. 3, Op. 44/1 and String Quintet No. 2, Op. 87. Wingfield and Horton, pp. 94–98.

[33] Hepokoski and Darcy, p. 388.

[34] These include including the finales from Mendelssohn's Piano Sonata Op. 6; String Quartet No. 2, Op. 13; 'Scottish' Fantasy for piano, Op. 28; String Quartet No. 1, Op. 12; Symphonies No. 4 and 5, Op. 56 and Op. 107; Cello Sonata No. 2, Op. 58; Violin Concerto, Op. 64; and String Quartet No. 6, Op. 80.

[35] Examples of finales that feature a return of the main theme in the tonic between the exposition and development occur in the Octet for Strings, Op. 20; String Quintet No. 1; Piano Sonata, Op. 106; the three Op. 44 String Quartets; Cello Sonata No. 1, Op. 45; Piano Trios No. 1 and 2, Op. 49 and 66; and String Quintet No. 2, Op. 87. Hepokoski and Darcy define sonata-rondo mixtures or Type 4 sonatas as movements where the exposition follows the standard sonata form's expositional layout (that is Primary Theme, Transition, Subordinate Theme and Closing Theme). What distinguishes Type 4 from sonata-allegro form — what they label as Type 3 — is that this is followed by a Retransition (RT) back to the tonic so that the refrain, which is analogous to the exposition's Primary Theme, returns in the tonic, similar to a refrain in the rondo form. So unlike in a Type 3, where the return of the Main Theme for the start of the development normally occurs in a key other than the tonic, in a sonata rondo the Main Theme's return begins in the tonic. Hepokoski and Darcy, pp. 344–45.

[36] Wingfield and Horton, pp. 98–99. They suspect that the Type 4 sonata was not a distinct formal type for Mendelssohn since this would entail 'classifying first movements and finales with very similar structural outlines

chamber works written after 1825, nine are versions of sonata form — a proportion that rises to nine out of ten when we discount those movements expressly entitled "minuet", 'intermezzo" or "canzonetta"'.[37] This affirms my previous misgiving: Mendelssohn did not merely inherit sonata form from his Classical predecessors, rather sonata form was a fundamental component of his compositional style.

Mendelssohn's Subversions of Conventions

Mendelssohn's subversions of conventions imply interdependent collective and individual languages, and therefore contribute to a reciprocal quality. I have already discussed one formal aspect that connotes this reciprocal quality: the tonal duplicity of the subordinate theme in Op. 44/2's first movement. More broadly, tonal duplicity materialises when Mendelssohn creates expectations for a certain tonality to arise but then fails to fulfil them. This includes moments when a certain key or tonality arises at a point when we were not expecting it. For example, I regard a new melody in A-flat that appears in the coda of the first movement from the Piano Trio No. 2, Op. 66 as another instance of tonal duplicity, since we expect the coda to reaffirm the tonic key (see chapter eight). To tonal duplicity, I add four further procedures which Mendelssohn employs to subvert expectations and contribute to a reciprocal quality: subversions of tightly organised units, subversions of closure, formal ambiguities, and off-tonic returns. I will discuss these in turn.

Subversions of Tightly Organised Units

When Mendelssohn alludes to the tightly organised thematic designs of the Classical style but

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as different sonata types' (99) simply because Hepokoski and Darcy insist that sonatas are 'historically and generically unavailable for first movements'. Hepokoski and Darcy, p. 351. Wingfield and Horton do not even interpret Mendelssohn's Rondo capriccioso for piano, Op. 14 (1828, rev. 1830) as taking a rondo form, but a sonata without development preceded by a slow introduction. That being said, they do view Mendelssohn's Rondo brilliant for piano and orchestra, Op. 29 (1833) as a sonata-rondo variant.

[37] Benedict Taylor, 'Mendelssohn's Formal Jests: The Sonata-Form Scherzo in Mendelssohn's Mature Chamber Music', *Music Analysis* (2021, in press).

then playfully subverts them, collective and individual languages appear simultaneously and interdependently.[38] Mendelssohn can subvert a tightly organised unit in three ways: first, through upsetting their expected shape or symmetry; second, by departing from their conventional harmonic framework; and third, through subverting their expected openings or closure.

The first of these occurs when Mendelssohn expands or elides part of what seems like a tightly organised unit to such an extent that it upsets its overriding shape. This most frequently occurs during a tightly organised period, since its symmetrical structure is fundamental to its syntactical construction.[39] Consequently, if Mendelssohn alters the symmetrical structure of a supposed period, I regard this as a subversion of a tightly organised unit. The opening twenty-five bars of the Violin Concerto provides an example of his subversion of a period's symmetrical shape. Following an imperfect authentic cadence in bar 18, a cadential passage ensues in bars 18–25, resulting in a six-bar expansion of the period's supposed consequent phrase (Ex. 1).[40] The beginning of the Violin Concerto thus alludes to but ultimately subverts a period's symmetrical shape. By contrast, sentences and small ternary forms are more amenable to alterations in their basic shape. In his examination of the typical ways that a sentence may deviate from its eight-bar norm, Caplin observes that a composer may either extend or compress its continuation phrase.[41] Mendelssohn can still subvert a sentence's shape, but his expansions must be more extreme. For example, what I label as ST2 in Op. 44/2's finale

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[38] While Mendelssohn's subversions of tightly organised units have some commonalities with the ways in which Caplin describes a composer may loosen a thematic unit, they are not quite the same. Caplin, for example, explains that more loosely organised themes may have a less symmetrical grouping structure and will close with weaker cadences, or without a cadence at all. I do not, however, regard other ways in which composers may loosen their thematic units — such as decreasing their functional efficiency, motivic uniformity — as having a role in Mendelssohn's subversions of tightly organised units. What is more important is that Mendelssohn strongly suggests a tightly organised structure, only for him then to subvert it. Caplin, *Classical Form*, pp. 84–85.

[39] Although Caplin acknowledges that composers could vary the length of a period's antecedent and consequent phrases, they 'frequently take place in a way that maintains this sense of equilibrium between phrases. As a general rule, if the antecedent is altered from its four-measure norm, then the consequent will be changed to restore the sense of symmetry. Caplin, *Classical Form*, p. 55.

[40] The period's consequent phrase, moreover, does not attain a cadential closure, which subverts its expected closure. I discuss this further below.

[41] Caplin, *Classical Form*, pp. 47–48.

suggests a sentence's presentation phrase at bars 125–32 (Ex. 2). Yet Mendelssohn drastically expands its continuation phrase at bars 133–54, resulting in a twenty-two-bar continuation versus a mere eight-bar presentation.[42]

Ex. 1. The opening's subverted period and subverted closure, Op. 64's first movement, bars 1–25

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[42] Mendelssohn also does not provide either the half cadence or authentic cadence with which a sentence should conclude, landing on V6 at bar 153. Consequently, he also subverts its expected closure. I discuss other type of subversion below.

Ex. 2. ST2's expanded sentence, Op. 44/2's finale, bars 125–54

The second way Mendelssohn subverts tightly organised units is by departing from their conventional harmonic framework. The first phrase of the subordinate theme from the first movement of Mendelssohn's Cello Sonata in B-flat, Op. 45, for instance (what I label as ST1),

suggests a sentence structure: bars 61–63 feature the repetition of a basic idea, followed by a

continuation phrase at bars 65–68 (Ex. 3). Yet the sentence begins over diminished harmony,

even though its presentation phrase should establish 'a stable harmonic-tonal environment'.[43]

Ex. 3. ST1's subverted sentence, Op. 45's first movement, bars 61–69

Subversions of Closure

The third way Mendelssohn subverts tightly organised units is by undermining their expected

closure. Such subversions are not restricted to tightly organised units, however, since I regard

any moment where Mendelssohn fails to fulfil expectations for a perfect or imperfect authentic

cadence as subverting expectations. Consequently, Mendelssohn's subversions of closure may

have the effect of subverting a tightly organised unit, but they can also occur independently

from them. Mendelssohn can subvert closure on both an intra- and interthematic level, that is

between smaller formal units, and between larger formal section.[44] For instance, an exposition

that does not close with a perfect authentic cadence in the subordinate key (what Hepokoski

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[43] Caplin, *Classical Form*, p. 35.
[44] Ibid., p. 17.

and Darcy call an essential expositional closure, or EEC)[45] subverts its expected closure. An equivalent missing structural conclusion in the recapitulation (the essential structural closure, or ESC[46]) likewise elicits a subverted closure.

Mendelssohn's subversions of closure speak a collective language by relying on conventions to create expectations for closure, but also speak an individual language when he then subverts them. There are two ways in which Mendelssohn subverts expected cadential closure: 1) he replaces an expected cadence with a weaker one; or 2) he fails to provide any cadential closure at all.

1) The simplest way Mendelssohn subverts cadential closure is by replacing an expected cadential closure with a weaker one. Table 3 gives my definitions of different cadential types, which stem from both Caplin's and Schmalfeldt's descriptions and I list these in order of the decreasing strength of closure that they provide.[47] Only the first three — perfect authentic, imperfect authentic and half cadences — constitute full cadences, or what Caplin calls 'genuine cadences'. If Mendelssohn replaces an expected stronger cadence with a weaker one — for example, if he replaces a perfect authentic cadence with either an imperfect authentic or half cadence at the point when we expect the EEC — I regard this as a subversion. Alternatively, he may replace an expected perfect or imperfect authentic cadence with a half cadence, for example, at the end of a tightly organised period. In addition, Mendelssohn may elude an expected cadence by employing what I call a weak cadence, which occurs when a full authentic cadence is given but is weakened by an absent or late bass or soprano line (this can be either a half or authentic cadential progression, which is why I list it as providing a weaker

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[45] The essential expositional closure occurs after the onset of the subordinate theme and is 'the first satisfactory perfect authentic cadence that proceeds onward to differing material'. It is the ultimate goal of the exposition. Hepokoski and Darcy, p. 120.
[46] The essential structural closure is 'the goal toward which the entire sonata-trajectory has been aimed' and 'is normally the first satisfactory I:PAC within the recapitulation's part 2 that proceeds onwards to new material'. Hepokoski and Darcy, p. 232.
[47] Caplin, *Classical Form*, p. 43.

closure than a half cadence). The imperfect authentic cadence at the end of the subordinate theme's final sentential phrase in Op. 45's first movement at bars 94–95 provides an example (Ex. 4). The arrival of tonic's bass note on F in the cello at bar 95 arrives a quaver beat too late, thus weakening its closure.[48]

Ex. 4. A weak IAC, Op. 45's first movement, bars 93–95

2) Alternatively, Mendelssohn may evade expectations for cadential closure by simply not providing a genuine cadence at all. The four remaining cadential types in Table 3 — evaded, elided, deceptive and abandoned cadences — are not strictly speaking cadences; rather, they categorise the various ways in which a composer may set up expectations for cadential closure and then subvert them. I label these four cadential types as 'subverted cadences'.[49] Admittedly, both Schmalfeldt and Caplin find numerous examples of subverted cadences from the Classical repertoire, so one could argue that Mendelssohn speaks only a collective language when he employs them and not an individual one. In the Classical repertoire, however, these cadential types normally coincide with what Caplin calls cadential extensions, 'when a promised authentic cadence fails to materialise, thus motivating the appearance of one or more cadential

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[48] In chapter six, I also argue that it is possible to regard this cadence as elided too, since the bass note also groups with the subsequent phrase.

[49] Caplin, *Classical Form*, p. 43.

units to make the requisite closure'.[50] In such cases, these subverted cadences may undermine an expected closure, but this merely elicits another attempt at reaching closure. If, on the other hand, a subverted cadence is followed by material that still fails to deliver cadential closure, then this continues undermining the expected cadential closure. Mendelssohn relies on the conventional procedure of cadential extension to establish expectations and thus speaks a collective language, but he also speaks an individual language when he again subverts the expected cadential closure.

Such unresolved subverted cadences occur fairly frequently in Mendelssohn's music. In the first movement of Op. 45, for example, Mendelssohn sets up a sentence structure for ST1 at bars 61–69, which implies a perfect authentic cadence in C minor (Ex. 3). Yet while the cello's melodic line duly lands on the tonic at the start of bar 69 to complete the perfect cadential progression, it also coincides with the beginning of the next phrase (ST2). The cello's C is both the last melodic note of ST1 and the first note of the ensuing ST2, resulting in an elided cadence. Rather than achieving a distinct ending followed by a clear beginning, cadential elision confuses where one phrase ends, and another begins. It thus subverts the expected closure of ST1's tightly organised sentence. And because the subsequent ST2 phrase is not a cadential extension that achieves a more satisfactory closure, but rather another sentential phrase (whose closure Mendelssohn in fact again subverts with another cadential elision), I regard ST1's elided cadential closure as a subverted closure that contributes to a reciprocal quality.

Although imperfect authentic cadences achieve a degree of closure, they too can subvert closure. The imperfect authentic cadence at bars 17–18 in the Violin Concerto's first

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[50] Caplin, *Classical Form*, p, 101. 'Following the deceptive cadence', Caplin argues, 'the composer normally repeated the material leading up to the unrealised cadence and closes it with the authentic cadence originally promised'. Caplin, moreover, describes how an abandoned cadence is normally followed by a continuation function. 'At some point, however, a new cadential progression appears, which eventually leads to a perfect authentic cadence' (107). Furthermore, Schmalfeldt's one-more-time technique is a particularly conventional example of cadential expansion following an evaded cadence. See Schmalfeldt, 'Cadential Processes'.

movement, for example, could suggest closure, especially since it comes as the end of what seems like a closed period structure (Ex. 1). Yet because a reopening of cadential material from bars 15–16 follows at bars 19–20, it implies the onset of another cadential unit, which should result in a more conclusive, perfect authentic cadence. Indeed, V6/4 harmony at bar 21 seems to initiate such a cadential progression. It does not however, lead to a perfect authentic cadence, since instead of resolving onto root-position V, the following bar shifts to iv, producing an abandoned cadence. Mendelssohn thus subverts the Violin Concerto's opening period in two ways: first through expanding its symmetrical structure as discussed above, and then by failing to provide its expected cadential resolution.

Table 3. Cadential categories and their definitions

Name	Abbreviation	Definition
Perfect authentic cadence	PAC	Follows a tonic, pre-dominant, dominant, tonic progression, where the final two chords must be root position. The initial two chords may sometimes be omitted. The final note in the melodic line arrives on the tonic scale degree as the final tonic harmony arrives.[51]
Imperfect authentic cadence	IAC	The same as above, except that the final note in the melody lands on either the third or fifth scale degree instead of the tonic.[52]
Half cadence	HC	The goal harmony is the root-position dominant. Following Schmalfeldt's 'nineteenth-century half cadence' it may in Mendelssohn's works include its seventh.[53]
Weak cadence		A full PAC or IAC is given but either the bass or soprano note arrive after the final tonic chord, thus undermining its sense of resolution.
Subverted cadences		
Evaded cadence	EC	The expected arrival on a rooted tonic chord for a PAC or IAC fails to materialise. Following what seems like the penultimate dominant chord of an authentic cadential progression, the next harmonic event does not function as

[51] Caplin, *Classical Form*, p. 27.
[52] Ibid., p. 43.
[53] Schmalfeldt, *In the Process of Becoming*, pp. 202–03.

		the harmonic goal but initiates a new beginning.[54]
Elided cadence		An entire cadential progression is completed but its harmonic goal groups simultaneously with the previous and the subsequent phrases. It therefore serves as both the previous phrase's final harmony and the next phrase's initial harmony. Because what should have been the ultimate harmony begins a new phrase, it upsets the cadence's expected closure.[55]
Deceptive cadence	DC	The final tonic of an authentic cadential progression is replaced by another harmony, most commonly VI.[56] It is distinguished from an EC in that the final harmony of a DC still groups with the preceding passage, whereas in an EC there is no final harmony, but rather a new beginning ensues.
Abandoned cadence	AC	An authentic progression begins but fails to arrive on a root-position cadential dominant, thus 'abandoning' the proposed cadential progression.[57]

Formal Ambiguities

Formal ambiguities rely on conventions to create expectations for certain formal events, which they then subvert. They thus imply interdependent collective and individual languages and contribute to a reciprocal quality. I have found four procedures Mendelssohn regularly employs to engender formal ambiguity, several of which overlap with Horton's syntactical categories outlined above: functional transformation, formal truncation, formal fusion and formal play.

The first arises through what Horton calls 'functional transformation' or what Schmalfeldt terms 'becoming'.[58] The functional transformation at the beginning of the Violin Concerto, for example, creates formal ambiguities because what seems like the transition

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[54] Schmalfeldt, 'Cadential Processes', p. 14; Caplin, *Classical Form*, p. 101.
[55] Schmalfeldt defines an elided cadence as occurring '[a]t the very point where the cadential, or evasive, goal is reached, the harmony serves a double function: it simultaneously marks both the end of the phrase and the beginning of the next. Thus the new beginning will not be a separate event; rather, the functions of ending and beginning merge within a single moment in time'. Schmalfeldt, 'Cadential Processes', p. 14.
[56] Caplin, *Classical Form*, p. 29.
[57] Ibid., p. 107.
[58] Horton, 'Syntax and Process', in Rethinking Mendelssohn, ed. by Benedict Taylor, p. 243. 'Becoming' occurs when 'the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context' (italics in original). Schmalfeldt, In the Process of Becoming, p. 9.

ultimately 'becomes' the contrasting middle of a larger main-theme complex, making its formal

function ambiguous (see chapter 3). Although this is a fairly common procedure for

Mendelssohn, so it may not sound particularly conspicuous within his compositional practice,

I nonetheless view functional transformation as indicating both collective and individual

languages.[59] In the case of the Violin Concerto's opening, Mendelssohn relies on listeners'

knowledge that a transition conventionally follows the main theme, and thus speaks a collective

language. Yet he also speaks an individual language when this supposed transition becomes

the contrasting middle, thus upsetting listeners' expectations.

The second way Mendelssohn creates formal ambiguities is through the truncation or

abbreviation of formal functions. An extreme example occurs in Op. 66's finale, where he

eradicates the main theme's expected arrival in the tonic at the start of the recapitulation,

opening instead with the transition at bar 189 (chapter eight). Like functional transformation,

truncation is one of the common syntactical procedures Horton finds in Mendelssohn's music,

so the technique in itself may not be salient enough to suggest any expressive qualities.[60]

Rather, it is the subversions of expectations that arise from such truncations that impart a

reciprocal quality. In Op. 66's finale, the missing main theme at the recapitulation's beginning

leads listeners to question whether they should have heard the start of the recapitulation as

commencing earlier in the movement. The return of the main theme at bar 167 could be a

contender, but it does not state the main theme in full and begins in the wrong key of A-flat:

clearly, this passage still forms part of the development. In this example of formal truncation,

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[59] Schmalfeldt also finds instances of functional transformation or 'becoming' in the first and scherzo movements of the Piano Trio in D minor, Op. 49; the *Midsummer Night's Dream* Overture; and the finale of the Octet in E-flat, Op. 20. Schmalfeldt, *In the Process of Becoming*, pp. 154–94. Horton observes a similar example of functional transformation at the opening of the Piano Trio in C minor, Op. 66. Horton, 'Syntax and Process', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, pp. 244–48. I also find this device at the opening of the String Quartet in D major, Op. 44/1, where what seems to function as the transition 'becomes' the contrasting middle of a larger main-theme complex (see chapter seven).

[60] Hepokoski and Darcy find instances of truncation of the Classical repertoire when a composer omits the subordinate theme in the recapitulation, although they regard such truncations as 'extreme deformations' of their sonata model. Hepokoski and Darcy, pp. 247–78.

Mendelssohn depends on listeners' knowledge of the convention that a recapitulation begins with the main theme, and then subverts such expectations.

The third procedure that results in formal ambiguities is formal fusion. In the first movement of the String Quartet No. 5 in E-flat, Op. 44/3, the entrance of new thematic material at bars 46–68 is a convincing contender for the subordinate theme. Yet it begins before the preceding transition has completed its modulation to the subordinate key, so I interpret it as holding both transition and subordinate theme functions (see chapter seven). Although there is precedence for such a procedure in the Classical style and in other works by Mendelssohn, such formal overlaps create formal ambiguities because they impede our ability to concretely determine their exact position in the movement's form.[61] This again relies on listeners' knowledge of the subordinate theme's conventional position in the movement's form so that Mendelssohn can then subvert their expectations.

The final way Mendelssohn creates formal ambiguities is through his play with form. Formal ambiguities abound in Op. 44/3's scherzo and Op. 44/2's finale, both of which play with various possible formal interpretations (see chapter five). A new homophonic texture in halting rhythms at bars 41–48 in Op. 44/3's scherzo, for example, can variously be interpreted as the B section of the initial scherzo section's rounded binary form, the contrasting middle of a small ternary main theme complex, or the subordinate theme of a sonata form's exposition. How one interprets this passage changes as the movement progresses. Such formal play is only possible through listener's knowledge of the conventions associated with different movement types, generating expectations for certain formal events that Mendelssohn then subverts.

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[61] Caplin describes the possibility of a 'transition/subordinate-theme fusion'. Caplin, *Classical Form*, p. 203. Horton, moreover, finds an overlap between transition and subordinate theme functions in Mendelssohn's Overture *Zum Märchen von der schönen Melusine*. Julian Horton, 'Rethinking Sonata Failure: Mendelssohn's Overture Zum Märchen Von Der Schönen Melusine', *Music Theory Spectrum* (pending publication).

Off-tonic Returns

Mendelssohn can also subvert expectations and add to a reciprocal quality through off-tonic returns. While Poundie Burstein uses the term 'to refer to the returns of such main themes that — at least in their initial appearance — begin with a non-tonic chord,' I expand his definition to include the return of any formal section where Mendelssohn subverts an expected thematic return over rooted tonic harmony.[62] Such a procedure is particularly prevalent in Op. 45's finale, where — even though the main theme returns in the tonic key each time — it arrives over non-tonic chords (see chapter six). While each of the main theme's returns on their own do not suggest a collective quality, since, as I previously argued, I doubt that Mendelssohn's adherence to large-scale formal expectations is capable of signifying anything, off-tonic returns nonetheless highlight the existence of formal conventions by simultaneously subverting them, thereby betraying a reciprocal quality.

Form and Syntax II: Self-sufficiency and Dependence

Mendelssohn's approach to form and syntax can also suggest certain qualities through generating either self-sufficient or dependent musical passages. I intentionally use the vaguer term 'musical passage' here to mean anything from a single phrase to a large-scale formal section. Whether one chooses to focus on a smaller or larger passage will depend on the larger aims of the analysis. Self-sufficient passages contribute to an individual quality by pointing to the kind of individual utterance that is independent from what surrounds it. Dependent passages, on the other hand, rely on the larger formal process, thus recalling the kind of collective expression which can only come into existence by depending on a larger group.

Self-sufficient passages do not rely on anything external to gain a satisfying conclusion and thus act independently. Such passages generally close with a perfect authentic cadence but

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[62] Poundie Burstein, 'The Off-Tonic Return in Beethoven's Piano Concerto No . 4 in G Major, Op . 58, and Other Works', *Music Analysis*, 24 (2005), pp. 305–47 (p. 310).

can occasionally conclude with an imperfect authentic cadence. Although Caplin states that in the works of Mendelssohn's Classical predecessors 'the appearance of an imperfect authentic cadence signals that the theme has not reached its true end', Mendelssohn frequently replaces more resolute perfect authentic cadences with imperfect authentic cadences, suggesting he viewed imperfect authentic cadences as capable of offering a strong enough degree of closure to generate a self-contained passage.[63] Consequently, whether I deem an imperfect cadence as creating a self-contained passage will depend on its context. For example, the aforementioned imperfect cadence that occurs at bars 17–18 in the first movement of the Violin Concerto might have suggested closure and a self-contained section because it comes at the end of what seems like a period structure (Ex. 1). Yet the reopening of cadential material that follows implies that the imperfect authentic cadence had failed to provide sufficient closure to the Concerto's opening period, so I do not regard it as creating a self-contained passage.

By contrast, dependent passages are not independently self-sufficient but rely on what follows for their conclusions. Half cadences and imperfect authentic cadences offer weaker closure than perfect authentic cadences 'because each leaves unclosed some harmonic or melodic process'.[64] Other than perfect authentic cadences, then, and occasionally imperfect authentic cadences depending on their context, all other complete cadential progressions — that is, half cadences and weak cadences — weaken a passage's closure and produce dependent sections. One could argue that because a weak authentic cadence still completes an authentic cadential progression with only the soprano or bass part missing, this could still constitute a strong enough closure for a self-sufficient passage. I nonetheless regard weak cadences as behaving more like cadential subversions in that they imply a cadence but also undermine it by

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[63] Caplin, *Classical Form*, p. 102. The final cadence in the finale of Mendelssohn's Cello Sonata No. 1, Op. 45, for instance, can be interpreted as an imperfect rather than a perfect authentic cadence depending on whether one views the cello or piano as playing the soprano line (see chapter six). Although this is the only instance of an imperfect authentic cadence closing an entire work which I have found in Mendelssohn's oeuvre , it nonetheless suggests that to Mendelssohn it offered a strong enough degree of closure for it to do so.
[64] Ibid., p. 52.

failing to provide either its essential bass or soprano notes.

Passages that end without a cadence at all but with a subverted cadence — that is an evaded, elided, deceptive or abandoned cadence — also depend on what follows for their closure. These subverted cadences create expectations for a complete authentic cadential progression that are then undermined. Following the imperfect authentic cadence at bars 17–18 in the Violin Concert's first movement, for example, Mendelssohn initiates another authentic cadential progression at bar 21 with a V6/4 suspension. Instead of resolving onto a root-position V, however, Mendelssohn lands on iv at bar 22, resulting in an abandoned cadence. By the time new material ensues at bar 25, no authentic cadential progression has been completed, thus leaving the Concerto's opening passage reliant on what follows for its closure (Ex. 1). Because dependent passages rely on the larger formal process and are not independently self-sufficient, I regard them as imparting a collective quality. Consequently, in Table 4's summary of the qualities produced by different cadential categories, cadential subversions all produce dependent passages which connote a collective quality.[65]

One may observe that the one-more-time technique presents a conflict between intimacy's collective quality, which arises through its following of a conventional procedure, and its opposing individual quality that stems from its perfect authentic cadential conclusion. Likewise, one could envision a tightly organised sentence or period that concludes with a perfect authentic cadence as suggesting both a collective quality through its following of conventional syntax and an individual quality through its self-sufficiency. I do not regard such

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[65] If, following a cadential subversion, a cadential extension succeeds in providing a more convincing cadential conclusion, I regard the passage as a whole (the passage that first subverts its cadential closure but then leads to a more conclusive one following a cadential extension) as self-contained. Yet if for the purposes of my analysis I wish to consider these two passages separately (that is, first the passage that ends with a cadential subversion, and second the cadential extension that provides an authentic cadential closure), I regard the former as dependent and the latter as self-sufficient. In the case of the one-more-time technique, for example, the first passage that ends with an evaded cadence depends on the following cadential extension for its closure, thereby imparting a collective quality. Because the cadential extension then concludes with a perfect authentic cadence it connotes an individual quality since it is self-sufficient and does not depend on what follows for its closure.

contradictions as problematic, however, since, as I argued in chapter one, parameters that contribute to individual and collective qualities can co-exist alongside one another. For the purposes of assessing intimate expression, the analyst should consider how these parameters work with others to reinforce or oppose intimacy's qualities.

Table 4. Summary of cadential categories and their resulting qualities

Name	Subverts closure?	Self-sufficient or dependent?
Perfect authentic cadence	No	Self-sufficient = individual quality
Imperfect authentic cadence	Yes, if replaces an expected PAC = reciprocal quality	Self-sufficient or dependent depending on context = individual or collective quality
Half cadence	Yes, if replaces an expected PAC or IAC = reciprocal quality	Dependent = collective quality
Weak cadence	Yes, if replaces an expected stronger PAC, IAC or HC = reciprocal quality	Dependent = collective quality
Subverted cadences (evaded, elided, deceptive and abandoned)	Yes, if replaces an expected PAC or IAC and does not lead to a cadential extension that achieves an authentic cadential closure = reciprocal quality	Dependent = collective quality

Off-tonic Returns That Participate in a Larger Harmonic Progression

The openings to new sections can also depend on what surrounds them and thus add to a collective quality. Such an event occurs during a particular type of off-tonic return that participates in a larger harmonic progression. Burstein gives four different categories of off-tonic returns, of which one in particular — when a 'thematic return appears in the middle of a larger progression'[66] — suggests a collective quality. In this category, 'the first harmony of the theme is understood to lie within a larger progression'; its larger progression thus spans the

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[66] Burstein, p. 312.

preceding and subsequent passages.[67] Such a procedure is particularly prevalent in Op. 45's finale, where even though the main theme returns in the tonic each time, it arrives over non tonic chords (chapter six). These off-tonic returns not only subvert the main theme's expected opening on rooted tonic harmony (which, as argued above, summons a reciprocal quality), but they also depend on the larger surrounding harmonic progression to recover the tonic. When the main theme returns at the start of the development at bar 87, for example, it begins over II6/5 (or V of V) following a I6/5 chord. Mendelssohn only reasserts the tonic through the V^7–I progression that follows in bars 88–89. Consequently, the main theme's off-tonic return relies on a larger harmonic progression (I6/5–II6/5–V^7–I) that spans the preceding section and the beginning of the main theme's return to reach the tonic. In this category of off-tonic return, the harmonic progression started in the preceding passage cannot conclude until the following passage ensues. Meanwhile, the following passage can only begin after the previous section initiates the harmonic progression. The interdependence of the preceding and subsequent passages reveals their reliance on the larger processes, which points to a collective quality.

Static Forms

My association between what I call static forms and an individual quality stems from my reading of A. B. Marx's ideas on musical form, particularly those expressed in his essay 'Form in Music' (1856) and in the third volume from his *Die Lehre von der musikalischen Komposition, praktisch-theoretisch* (1868). While Mendelssohn and Marx grew apart in the 1830s, the theorist likely would have made a lasting impression on the composer. The pair had shared a close relationship in the 1820s, and Mendelssohn's letters reveal that he read the first volume of Marx's *Die Lehre* after its publication in 1837.[68] Admittedly, Mendelssohn was

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[67] Ibid., p. 313.
[68] In a letter to Fanny Hensel and Rebecka Lejeune Dirichlet on 10 December 1837, Mendelssohn recounted: 'On the other hand, a thick volume of Compositionslehre by Marx has been published here, which is bad; some of the words are very well written, but hardly one of the musical examples are without error and defiled phrase, and that amongst the most serious words in a Compositionslehre — what can one say about that?' ['Dagegen ist ein dicker

somewhat dismissive of Marx's volume, but his complaints about the mistakes in his writing and musical examples still implies that he had at least read Marx's work in some detail.

In 'Form in Music', Marx describes two fundamental forms — *Satz* and *Gang* — which serve as the foundation to all music. A *Satz* occurs when 'a series of tones is closed in and of itself and thus is fixed […] Its conclusion is its characteristic feature'.[69] The *Gang*, by contrast 'takes an ending only for external reasons – it does not close'.[70] Marx's *Sätze* resemble thematic units, while his *Gänge* refer to transitional sections between them. Marx then proceeds to outline his concept of gradually evolving artistic forms [*Kunstformen*]. It begins with the *Liedsatz* family of forms, built from linking together two or more succeeding and independent themes or *Sätze*. This family of forms includes simple binary and ternary forms, such as the minuet and trio. Marx is fairly dismissive of the possibilities of creating organic unity within *Liedsatz* forms. Although he recognises 'succeeding *Sätze* could even have a certain relation to their predecessors, in that they appear in the same or in a nearby (closely related) key, and also share the same meter and tempo [*Bewegung*]', he maintains 'these kinds of relations are very superficial; the content of the various *Sätze* can be alien and incoherent when juxtaposed.

B[and] Compositionslehre von Marx hier herausgekomm[en, der ist] schlimm; viele zum Theil sehr gut geschriebne Worte, aber unter allen Notenbeispielen kaum eins ohne Fehler und unreinen Satz, und das unter den ernsthaftesten Worten in einer Compositionslehre – was soll man dazu sagen?'] *Sämtliche Briefe*, v, p. 420. Judith Silber Ballan, moreover, argues that the older theorist had a considerable influence on the composer, noting how Marx first became acquainted with the Mendelssohn family when the composer was fifteen when '[b]y all accounts, Mendelssohn was thoroughly taken with Marx's ideas'(p. 150). Eduard Deviant, a singer and friend of the composer, recounted how 'Marx had an influence over Felix which no one ever again had' (p. 151). Judith Silber Ballan, 'Marxian Programmatic Music: A Stage in Mendelssohn's Musical Development', in *Mendelssohn Studies*, ed. by R. Larry Todd (Cambridge: Cambridge University Press, 1992), pp. 149–61. Although Mendelssohn did not always admire Marx's musical compositions, he clearly respected Marx's opinions, writing to Wilhelm Hensel on 10 March 1832 that 'I am in accord with him word for word […] I want to be of the first to have said that he is a true, careful musician and artist' ['ich bin mit ihm Wort für Wort einverstanden […] Ich will einer der ersten gewesen sein, die gesagt haben, daß er ein wahrer, ächter Musiker und ein Künstler sei']. Letter to Wilhelm Hensel, 10 March 1832. *Sämtliche Briefe*, ii, p. 502.

[69] Adolf Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, trans. by Scott Burnham (Cambridge: Cambridge University Press, 1997), p. 102.

[70] Ibid., p. 68. One may observe some parallels between Marx's *Sätze* and what I deem self-sufficient passages, and between Marx's *Gänge* and what I call dependent passages. My definitions of self-sufficient and dependent passages, however, depend on their cadential closure, while Marx does not use cadences to distinguish between his *Sätze* and *Gänge*. For instance, I would regard a transition that closes with a perfect authentic cadence as self-sufficient, whereas Marx might still deem it as a *Gang* passage.

. . their succession cannot count as a unified whole'.[71] The relationship between each *Satz* changes when the *Liedsatz* develops into rondo form. Whereas the *Liedsatz* consists of a succession of loosely connected but self-contained themes or *Sätze*, a rondo's initial theme or refrain is followed by a *Gang*. Because the *Gang* 'finds no gratification nor any ending within itself' the rondo's main theme must return and provide closure.[72] In the earlier stages of the rondo's evolution (in what Marx calls his first to third rondo forms), the main theme often takes the form of a self-contained two- or three-part song form (or small binary and ternary forms), but by Marx's fourth rondo form, the main theme has 'cause to prefer a more mobile formation'.[73] Its themes are 'no longer valid in *isolation*; rather, the intimate union of separate parts (individual *Sätze* [or themes]) into a whole — the *whole* in its inner *unity* — becomes the main concern'.[74] In the recapitulations of Marx's fourth and fifth rondo forms, main and subordinate themes unite in the tonic, meaning the previously 'isolated' thematic material of the *Liedsatz* loses 'its rigidity'.[75] For Marx, rondo form 'outdoes the song form with Trio through its flowing coherence'.[76]

Marx's conception of the evolution from *Liedsatz* to rondo form holds some parallels with Schleiermacher's conception of the intersubjective relationship between individuals who form a collective in his ideal of free sociality (see chapter one): while the *Liedsatz* consists of the succession of superficially related themes, the more 'mobile' themes in rondo form act 'for the sake of the whole', in contrast to the 'isolated', self-contained themes in *Liedsatz* forms.[77] Marx's concluding remarks on rondo form, however, indicate that residues of the *Liedsatz*'s more static nature remain:

we cannot fail to recognize a certain lightness (if not to say looseness) in their

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[71] Ibid., p. 73.
[72] Ibid., p. 78.
[73] Ibid., p. 102.
[74] Ibid., p. 92.
[75] Ibid.
[76] Ibid., p. 79.
[77] Ibid., p. 92.

[rondo form's] character. They allow the main *Satz* to fall away, only in order to bring it back again, then perhaps to abandon it once more and once more bring it back. They give up the first and the second subsidiary *Satz* (the B- and C-couplets), without entering more deeply into any *Satz* after it has once been presented.[78]

While rondo form represents a more mobile form than the *Liedsatz,* the repeated, unchanging returns of its refrain meant it risked becoming similarly stagnant. Only when rondo form developed into sonata form by replacing its central rotation with a sonata form's development could the stasis of repetition be avoided:

> in the rondo forms the main theme [or refrain] especially served as a stationary touchpoint of the whole, to which one returned in order to repeat it again and again. A higher interest is manifest in the sonata form. No longer satisfied to bring back such a *Satz* as if it were a dead possession, it enlivens it instead, lets it undergo variation and be repeated in different manners and with different destinations: it transforms the *Satz* into *an Other*, which is nonetheless recognized as the offspring of the first *Satz* and which stands in for it […] The rondo cannot entertain essential alterations of its *Sätze*, but only peripheral changes, whereas the sonata form can embrace these as well.[79]

Like rondo form, sonata form also features repeated returns of the main theme, but the variation its thematic material undergoes during its development ensured that 'the principle of motion, of progress, was thereby elevated over the subordinate principle of stability manifest in the rondo forms'.[80] In Marx's hierarchy of forms, sonata form's enlivening of its material made it superior to the static, repeated refrains in rondo form. I therefore define 'static forms' as any formal type which Marx viewed as consisting of independent, self-contained sections. This not only includes the types of forms which Marx would deem a *Liedsatz* (such as simple binary and ternary forms, including minuet/scherzo and trio forms), but also rondo forms.[81] Following Marx's rubric, I conceive isolated and self-contained static forms as recalling a type of

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[78] Ibid., p. 81.
[79] Ibid., p. 95.
[80] Ibid., p. 98.
[81] Although Marx regards rondo forms as more mobile than his *Liedsatz* forms, they nonetheless fall short of the organic unity achieved in sonata form since remnants of the *Liedsatz*'s static nature remain. Consequently, I still view Mendelssohn's allusions to rondo form when they occur in his sonata-form movements as referring to a more static form.

individual utterance that stands apart from the larger collective.

Mendelssohn seldom employs Marx's static forms, however; as I argued above, he predominantly writes sonata-form movements, even in his inner movements and finales. Mendelssohn nevertheless sometimes *alludes* to static forms within his sonata-form movements. In such cases, it is not that the movement exhibits a particular static form, rather at certain points during its course Mendelssohn refers to one. Such allusions occur, for example, when Mendelssohn writes a sonata-form movement that features a return of the main theme in the tonic at the start of the development. While Hepokoski and Darcy would categorise such a formal layout as a Type 4 sonata, and Horton and Wingfield view it as a sonata-allegro variant, I consider such movements as exhibiting sonata form while referring to rondo form. Because Marx's static forms consist of isolated themes that stand apart from the collective formal process, when Mendelssohn alludes to these static forms he suggests an individual quality.

Genre

Tables 1 and 2 include several genres or groups of genres that exhibit tendencies towards certain qualities. This is not to say that works within these genres will always and constantly invoke these qualities, but rather that they reveal a proclivity towards them. In chapter three's analysis of the Violin Concerto, for example, I view the work's concerto genre as continually suggesting individual and public qualities, but Mendelssohn may also choose to employ other parameters to either reinforce or detract from the genre's inclination towards these qualities. As well as residing within a genre, music can also allude to other genres. In chapter eight's analysis of the Piano Trio No. 2, for example, I view the chorale's second appearance in the coda as imitating orchestral music, which suggests collective and public qualities, while the work's chamber music genre maintains a private quality.

Regarding chamber-music genres as evoking a private quality could risk creating a circular argument. Although today we designate certain pieces as chamber music depending

on its ensemble size and instrumentation, Nancy November recounts that from the late sixteenth century until at least the early nineteenth, chamber music was defined less by such compositional parameters and more by its location and function as private musical entertainment, whether that took place in a courtly setting, or in a bourgeois parlour.[82] Consequently, one could argue that the private performance settings for string quartets, piano trios and duo sonatas themselves were responsible for their association with the private sphere, and not because such genres in themselves recalled the private sphere. There is, however, evidence to suggest that such small-scale genres in the early nineteenth century retained an association with the private sphere even when they were performed in more public settings. November observes that while the early nineteenth century saw a growth of chamber-music performances in public places, these still 'preserved an element of "private viewing": they were never particularly large, they attracted only a select audience because of high ticket prices and relatively narrow programming choices, and, as the nineteenth century progressed, they took on the aspect of the exclusive *Kunstkammer*'.[83] Furthermore, even if chamber music was increasingly performed in public spaces in the nineteenth century, it is difficult to detach it from the original environment for which it were intended, especially since, as Marie Sumner Lott observes, such works were still predominantly performed in private settings, while 'orchestra and solo virtuosos works made up the bulk of the public concert repertoire'.[84] Likewise, while Edward Klorman concedes that by the nineteenth century, chamber music was being performed more frequently in public settings (he recounts, for example, that the 1810s saw the establishment of several public subscription series dedicated to chamber music across Europe, such as Karl Möser's quartet evenings in Berlin), he argues that this 'should not be

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[82] See Nancy November, *Cultivating String Quartets in Beethoven's Vienna* (Woodbridge: Boydell Press, 2017), pp. 7–9.
[83] Ibid., p. 120.
[84] Marie Sumner Lott, *The Social Worlds of Nineteenth-Century Chamber Music: Composers, Consumers, Communities* (Chicago: University of Chicago Press, 2015), p. 20.

taken as evidence that they supplanted domestic musical activities'.[85]

Furthermore, in being for a limited number of players, chamber-music genres remain better suited to smaller spaces that imply the private sphere, whether or not it is actually performed in such settings. This is true for other small-scale vocal genres too. Although Jennifer Ronyak examines Lied performances in public concert settings during the first third of the nineteenth century, she nonetheless acknowledges that it was 'an unusual phenomenon'.[86] And even though Christa Jost similarly recounts that performances in public settings of Mendelssohn's *Lieder ohne Worte* were not uncommon, Thomas Schmidt maintains that they were primarily intended for a private circle.[87] Consequently, Table 1 includes Lieder and *Lieder ohne Worte* as evoking a private quality. In a similar vein, while it was technically possible to perform orchestral music in private spaces — Mendelssohn's early string symphonies, for example, were performed in the family's private residences at their weekly *Sonntagsmusiken* — the larger space required by orchestral genres makes it difficult to conceive of these occasions as wholly private.[88] Because orchestral genres require a larger performance space, which in turn suggests something more public (even if the actual environment was not itself entirely public, as was the case with the Mendelssohn family's *Sonntagsmusiken*), Table 1 includes orchestral genres as exhibiting a tendency towards a public

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[85] Edward Klorman, *Mozart's Music of Friends: Social Interplay in the Chamber Works* (Cambridge: Cambridge University Press, 2016) p. 74.

[86] Jennifer Ronyak, *Intimacy, Performance, and the Lied in the Early Nineteenth Century* (Bloomington: Indiana University Press, 2018), p. 105.

[87] Christa Jost, *Mendelssohns Lieder Ohne Worte* (Tutzing: Hans Schneider, 1988) pp. 48–63; Thomas Schmidt, *Die Ästhetischen Grundlagen Der Instrumentalmusik Felix Mendelssohn Bartholdys* (Stuttgart: M&P, Verlag für Wissenschaft und Forschung, 1996) p. 294.

[88] Another example of how a public genre can retain its public associations in a private setting may be the performance of opera arias in private settings. Even though opera arias can be easily transplanted into smaller private settings if their orchestral part is rescored for the piano, they nonetheless retain their association with the public sphere. One only need consider a vocal recital in which both opera arias and Lieder are performed. The former tends to distance the audience as listeners are reminded of the greater division between the audience and the singers at the opera. The singer may even project more as if they were performing on an opera stage. The latter on the other hand tends to draw listeners closer owing to Lieder's more intimate nature. Naturally, the greater drama of the aria and the greater intimacy of the Lied will be in part due to other musical parameters, but being aware that one vocal work is an aria and the other a Lied reminds listeners of their respective associations with the public or private sphere.

quality.

Orchestral genres also reveal proclivities towards a collective quality. Because early nineteenth-century audiences regarded an orchestra's bringing together of multiple voices, particularly in symphonic works, as representing collective expression, I associate this group of genres with intimacy's collective quality. As Mark Evan Bonds observes, audiences regarded the symphony as 'the expression of a communal voice', which, through involving multiple textures and instruments, embodied the bringing together of diverse voices into a collective whole.[89] The concerto genre is an exception. Even if the collective orchestra is still present in a concerto, the soloist will always be 'inherently more glamorous and attractive than a group'.[90] Simply by standing apart from the orchestra as a distinct individual, the soloist will naturally draw more attention and highlight their individualism. I therefore regard concerto genres as revealing a tendency towards an individual quality instead.

Table 1, moreover, specifically includes string quartets as suggesting a reciprocal quality. Sumner Lott has demonstrated the variety of guises and social functions that string quartets published in the early nineteenth century could take: alongside what she calls 'progressive' works that remain in today's performance canon by Haydn, Mozart, Beethoven, Schumann and Mendelssohn, amongst others, publication records reveal that string quartets written primarily for the enjoyment of amateurs and professionals at home, and numerous string-quartet arrangement of operas, theatrical and orchestral works were published during this period.[91] Despite their diverging social functions, these different string-quartet types still predominantly emphasised the bringing together of four equal voices in a reciprocal exchange. In the case of quartets written primarily for enjoyment of its players, 'composers seem to have

[89] Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton: Princeton University Press, 2009), p. 64
[90] Joseph Kerman, *Concerto Conversations* (Cambridge, MA: Harvard University Press, 1999), p. 3
[91] See Sumner Lott, 'Publishing Chamber Music: Archival Evidence for Chamber Music Production and Consumption', pp. 21–45.

made a noticeable effort here to ensure that as many players as possible have the opportunity to expose or repeat a structurally important theme. Rather than reduce the ensemble to one homogeneous unit or a solo with accompanying voices, these works privilege a texture that emphasizes the group's makeup as a collection of individual voices interacting with one another and retaining their unique personalities'.[92] And while more 'highbrow' progressive works were more 'developmentally driven', these works still suggested a reciprocal quality, as Marx's comments on Beethoven's A minor and F major String Quartets (Op. 132 and Op. 135) from 1828 reveal. Although Marx observed a change in style in Beethoven's late quartets, he still recognised an interdependent relationship between the ensemble's four voices: 'It is no more four cheerful brothers in art [amateur music lovers] who make music for their and our own joy; it is four deeply moved creative spirits who in noble freedom and wonderful sympathy linger in a tangled, fourfold brotherly embrace. If the executants do not build one uniform alliance of noble, equal, free, brotherly spirits, then a complete realization of the artwork is not possible; besides, there's no hope for full of satisfaction of the players'.[93] Although Marx emphasises the 'uniform alliance' of the four players, they nonetheless remain 'creative spirits' which act in 'wonderful sympathy', and are 'equal' and 'free'. And while string-quartet arrangements could be dominated by the first violin, November notes that 'arrangers usually took care to provide opportunities for interaction and exchange; thus, potentially and ideally at least, these arrangements also fostered sociability'.[94]

Alongside Marx's conception of Beethoven's string quartets as constituting the unity of four diverse voices, other commentary on the string quartet from Mendelssohn's broader north-German circle regarded the genre as recalling reciprocal conversation. Goethe described listening to string quartets as one hearing 'one hears four intelligent people conversing among

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[92] Sumner Lott, p. 94.
[93] Quoted in Sumner Lott, p. 110.
[94] November, p. 107.

themselves [and] believes one might learn something from their discourse and [might] get to know the special characteristics of their instruments'.[95] Schumann likewise designated a 'true string quartet' as 'an oftentimes really beautiful, [but] oftentimes strange and abstrusely woven conversation among four people'.[96] Such comparisons between the string quartet and conversation extends back to the late eighteenth century. Writing in his *Versuch deiner Anleitung zur Composition* (1793), Christoph Koch described how in the string quartet 'one must content oneself with there being four main parts [*Hauptstimmen*] of a particular kind that exchange being dominant and of which now one, now another takes the customary Galant-style bass'.[97] If, as Koch observes, the string quartet involves four *Hauptstimmen,* it implies that the role of the main melodic voice is shared across its four parts. He moreover emphasises the exchange in roles: each of the four voices may variously act as the *Hauptstimme*, or take a more supportive role.[98] That being said, the string quartet was not unanimously considered as mirroring reciprocal conversation: Klorman also describes Italian and French schools of thought that placed greater emphasis on the first violin as the leading voice.[99] The remarks from Goethe, Schumann and Koch nonetheless suggest that in German-speaking lands this analogy between the string quartet and reciprocal conversation had considerable salience.

Chamber-music genres with keyboard instruments are more difficult to associate with intimacy's reciprocal quality. Whereas the timbral homogeneity of the string quartet means its four voices can harmoniously blend together as a collective, the presence of a keyboard instrument means it can attain a more distinctive role that may not be equal to the other parts. Historically, this was due to the softness of the piano's predecessors (including the harpsichord, clavichord and fortepiano), meaning the keyboard instrument could assume one of two possible

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[95] Quoted in Klorman, p. 20.
[96] Quoted in ibid.
[97] Quoted in ibid., p. 32.
[98] For Klorman's full account of the analogies made between the string quartet and reciprocal conversation in the late eighteenth and early nineteenth centuries, see ibid., pp. 20–41.
[99] See ibid., pp. 41–52.

roles. As Robin Stowell argues, the development violin and cello sonatas during the seventeenth and eighteenth centuries originated from two alternative avenues. In sonatas with continuo accompaniment, the keyboard took a supportive role as the accompaniment to the other instrument(s). Alternatively, the keyboard became the main solo instrument in accompanied sonatas, which were essentially solo keyboard sonatas accompanied by a violin, and sometimes also a cello which supported the keyboard's bass line.[100] Consequently, when a keyboard was included in a chamber ensemble, it acted either as the solo *Hauptstimme* or the accompaniment. It was not, however, an equal partner to the other instruments.

Although by the nineteenth century, the piano could hold its own in an ensemble, giving way to duo sonatas and piano trios in which the instruments have a more equal status, this historical imbalance between the keyboard and other the instruments of a chamber ensemble cannot be forgotten easily. Beethoven, for example, still deemed it necessary to emphasise the violin part was 'obligato' in his 'Kreutzer' Sonata. And even if the three parts in Mendelssohn's piano trios have more or less equally important roles, the virtuosic piano parts may be a nod to the genre's roots in accompanied sonatas, where the string parts merely supported the soloistic piano. On the other hand, the piano's other role as the accompanying instrument is also difficult to overlook. When students learn to play the violin, cello or other non-keyboard instruments, their accompaniment is almost invariably provided by the piano, conditioning them to hear it as an accompanying instrument (perhaps this is why modern audiences still complain of the piano drowning out the violin in performances of Beethoven's violin sonatas, even though Beethoven's audiences might have complained of the reverse!) Needless to say, the chamber works for keyboard that I examine in chapters six and eight give equal status to both keyboard and non-keyboard instruments, in line with nineteenth-century practices. Yet the historical

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[100] Robin Stowell, 'The Sonata', in *The Cambridge Companion to the Violin*, ed. by Robin Stowell (Cambridge: Cambridge University Press, 1992), pp. 168–93 (p. 168); Robin Stowell, 'The Sonata', in *The Cambridge Companion to the Cello*, ed. by Robin Stowell (Cambridge: Cambridge University Press, 1999), pp. 116–36 (p. 116).

imbalance presented by the piano means I am reluctant to associate the duo sonata and piano trio genres with intimacy's reciprocal quality in the same way as the string quartet. These genres involve distinct piano and string timbres, which do not merge as smoothly as the four uniform voices of the string quartet.

Topics

While I was careful to distinguish musical topics from expressive modes in chapter one, the greater flexibility of the latter means it can encompass the former. In the case of an intimate expressive mode, certain topics can invoke its private, collective and/or reciprocal qualities. Tables 1 and 2 nevertheless specify a limited number of topics as contributing to these qualities because I only include topics that can be clearly linked to them and can be found in the repertoire I study.[101] Of the topics that appear in my selected repertoire, I regard the military topic as imparting a public quality, but not a collective or individual quality. Although the military topic may recall an amassed army marching to war, Maiko Kawabata argues that early nineteenth-century virtuosic violinists employed martial themes to distinguish themselves 'as a remarkable individual holding his own against the amassed orchestra'.[102] Meanwhile, the chorale topic connotes public and collective qualities by recalling a congregation's collective singing in church. I also include a new topic, a 'chorale without words' as contributing to an individual quality. Since this refers specifically to Op. 66's finale, I will explain what I

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[101] Other topics do arise in Mendelssohn's works, but they lie outside the repertoire I study. Janice Dickensheets, for instance, finds the minuet topic in the third movement of the Symphony No. 4 "Italian"; the tempest and bardic styles in the Hebrides Overture; and the heroic style and fairy music in the Midsummer Night's Dream Overture. Janice Dickensheets, 'The Topical Vocabulary of the Nineteenth Century', *Journal of Musicological Research*, 31 (2012), pp. 97–137. It is perhaps no coincidence that all three of these pieces are to some degree pictorial, which may explain the appearance of topics in these works. Topics also occur in the *Lieder ohne Worte*. Op. 19, No. 3 features the hunting topic; the piano arpeggiations in Op. 38, No. 3 imitate harp strums of the bardic style; while Op. 62, No. 3 suggests a funeral march. Perhaps the greater propensity towards topics in the *Lieder ohne Worte* is due to their smaller scale. As I will consider in my thesis' conclusion, early nineteenth-century listeners increasingly valued form over rhetoric, which may explain why Mendelssohn was less concerned with topical interplay in his multi-movement works because they offered greater scope of expression through formal rather than topical means.

[102] Maiko Kawabata, 'Virtuoso Codes of Violin Performance: Power, Military Heroism, and Gender (1789–1830)', *19th-Century Music*, 28 (2004), pp. 89–107 (p. 96).

constitutes a chorale without words and why it suggests an individual quality in chapter eight.

One topic that is conspicuous by its absence is the singing style. It is tempting to view the topic as reminiscent of Lieder and therefore evocative of an individual singer performing in a private setting. Yet it would be a mistake to exclusively associate the singing style with the private realm. Indeed, there is nothing in Leonard Ratner's description of the singing style as 'music in the lyric vein, with a moderate tempo and a melodic line featuring relatively slow note values and a rather narrow range', which prevents an association between the singing style and the public sphere.[103] Ratner's example of the singing style in fact comes from Gluck's *Orfeo*, a decidedly public operatic work. The singing style's slower tempo and more limited range may explain why one may be persuaded to associate the topic with the private sphere — parameters which, as Table 1 illustrates, imply a private quality. Consequently, the singing style topic itself does not evoke the private sphere, but rather its slower tempo and more limited range. I am also not convinced that the singing style suggests only an individual quality. One could imagine, for instance, that this topic could imitate a duet (Mendelssohn does this explicitly in his *Lieder ohne Worte*, Op. 38, No. 6, which employs two singing voices in the piano's upper and bass registers) or even a Lied where the pianist has as much agency as the singer.

Virtuosity

Virtuosity suggests the opposite of intimacy's private and collective qualities. For the critic August Kahlert, virtuosic display meant the performer's 'beloved I' [*sein liebes Ich*] becomes the main point of the whole task', or as the music critic Edward Krüger put it more brusquely, virtuosity represented the 'heathen idolization of the individual'.[104] Likewise, Jim Samson

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[103] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), p. 19.
[104] Quoted respectively in Dana Gooley, 'The Battle against Instrumental Virtuosity in the Early Nineteenth Century', in *Franz Liszt and His World*, ed. by Christopher Gibbs and Dana Gooley (Princeton: Princeton University Press, 2006), p. 93; and James Garratt, *Music, Culture and Social Reform in the Age of Wagner* (Cambridge: Cambridge University Press, 2010), p. 5.

describes how nineteenth-century virtuoso performers positioned themselves as distinct individuals: 'Not only was the Romantic virtuoso clearly differentiated from his rivals, his style of playing and stage manner distinctive and unique, imbued with subjectivity; he was also isolated (by his genius, which cannot be imitated) from the world at large'.[105] And while one can certainly perform with virtuosity in private environments, it could only have its full effect in front of a larger, admiring audience at a public concert. Private settings elicited a different attitude towards performance, as Mendelssohn's friend Ferdinand Hiller recounted:

> It was a peculiar habit of Mendelssohn to play his new compositions, whenever he let them hear [*sic*] in intimacy, with a restraint that was obviously rooted in the intention not to bedazzle through the performance and to let the work take its effect solely through its content.[106]

This greater restraint in intimate environments was by no means restricted to Mendelssohn and his circle. Fuhrmann cites a report given by Berlioz, which recounted how Liszt had ornamented and distorted — that is, presumably, played with greater virtuosity — Beethoven's Piano Sonata No. 14 in C-sharp Minor ("Moonlight") when he performed it in concert, but when he played it again the same evening for a small group of friends, it was with complete fidelity to the score.[107] Even if Mendelssohn's and especially Liszt's virtuosity at the piano is well-documented, these two accounts illustrate that public occasions were deemed more appropriate for the display of their skill.[108]

If virtuosity emphasised the performer's individualism and was most suited to

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[105] Jim Samson, *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge: Cambridge University Press, 2003), p. 76.
[106] Quoted in Fuhrmann, p. 288.
[107] Ibid., p. 285.
[108] Carl Czerny similarly believed that public concerts merited a different performing style: 'We must all have perceived, that any one who addresses himself to a number of persons assembled together, or who declaims in public (an Actor for instance), must speak quite otherwise, than he who holds a tranquil conversation with one or merely a few persons only […]. A pianist, who is similarly situated, must naturally take the same circumstances into consideration'. For Czerny, when pianists performed in larger places, they should play 'in a bold, energetic, piquant manner, with a shapely emphatic tone […] he may even infuse something of the Bravura into his execution of it, and the audience will become anxious to hear more of his performance. *He will therefore have played with brilliancy*' [Emphasis in original]. Carl Czerny, *Complete Theoretical and Practical Piano Forte School, Op. 500*, trans. by J. A. Hamilton (London: R. Cocks, 1839), pp. 80–81.

performances in public settings, then one would assume that all instances of virtuosity would contribute to individual and public qualities. Yet Mendelssohn's virtuosity does not necessarily always imply an individual quality. Stephan Lindeman observes that the revisions Mendelssohn made to his adolescent E major Piano Concerto (1823) around the same time he was working on his Piano Concerto No. 1 in G minor (1831) show that he purposefully removed 'material that did little more than display the pyrotechnics of the soloist'.[109] And even though his Piano Concerto No. 2 in D minor (1837) still contains several challenging passages, 'virtuosity for its own sake is certainly not the primary focus of the work'.[110] Robert Schumann expressed a similar sentiment in his review:

> Virtuosos will find it difficult to display their astonishing proficiency in this concerto, for it gives them almost nothing to do which they have not done and played a hundred times before.[111]

This is not to say that Mendelssohn avoids virtuosity altogether, but rather that he shies away from the kind that exists purely to parade the soloist's skill. While he may borrow techniques that in other contexts serve to display the performer's 'astonishing proficiency', when such techniques occur in Mendelssohn's music, they often do not only foreground the performer's skill, but have other purposes too. The semiquaver arpeggiations from the transition in the Piano Concerto No. 2's finale, for example, may require considerable technical skill to perform, but they are nonetheless subordinated to the orchestra's melody. And even though the figurations continue as the soloist becomes the main melodic voice at the start of the subordinate theme, they continue to accompany in a manner reminiscent of the composer's *Lieder ohne Worte*. There are therefore two types of virtuosity in Mendelssohn works: the first

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[109] Stephan Lindeman, 'Mendelssohn and Moscheles: Two Composers, Two Pianos, Two Scores, One Concerto', *Musical Quarterly*, 83 (1999), pp. 51–74. (p. 69).
[110] Stephan Lindeman, 'The Works for Solo Instrument(s) and Orchestra', in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004), pp. 112–29 (p. 124).
[111] Quoted and translated in R. Larry Todd, 'An Unfinished Piano Concerto by Mendelssohn', *The Musical Quarterly*, 68 (1982), pp. 80-101 (p. 101).

prioritises the virtuosic voice and foregrounds their display of technique, thereby contributing to public and individual qualities. Mendelssohn's second type of virtuosity may employ similar techniques, but it does not prioritise the virtuosic voice and instead subordinates it to another. It can thus only point to a public quality, not an individual one.

Texture

Because texture is a constant parameter (that is, music always has a texture), a piece's larger context must be considered. I do not regard music's texture as constantly contributing to certain qualities; rather, changes in texture are more likely to impart particular qualities if they stand out from the textures that surround them or if the change occurs between different statements of the same thematic material. Chapter three's analysis of the Violin Concerto, for example, regards the return of the opening theme in the orchestra as contributing to a public quality because of its thicker texture in comparison to its first appearance in the solo violin. Table 1 gives a thicker texture as contributing to a public quality, since this implies the greater force and size reminiscent of the larger spaces of the public sphere. Thinner texture, on the other hand, implies something smaller or more ephemeral and thus recalls the more confined environment of the private sphere.

Mendelssohn's treatment of texture can also suggest individual, collective qualities or reciprocal. To this end, I draw on Klorman's theory of multiple agency, which regards 'a musical passage or composition as embodying *multiple, independent characters — often represented by individual instruments — who engage in a seemingly spontaneous interaction involving the exchange of roles and/or musical ideas*' [emphasis in original].[112] Although Klorman's theory stems from historical accounts of chamber music as imitating conversation, it can find application in a broader repertoire. Because Klorman observes that '[t]here is not

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[112] Klorman, p. 122.

always a literal, one-to-one correspondence between the (fictional) personas and the (actual) instruments or instrumentalists', one may regard a group of instruments as representing an individual persona: an orchestra's first violins, for example, may consist of a group of instrumentalists, but they can sound as a single persona in dialogue with other parts of the orchestra.[113] By contrast, a single piano can encompass multiple different personas: their right and left hand may, for example, can be heard as distinct personas that interact with each other, even if both parts are played by the same performer.

If individual instruments or groups of instruments can represent distinct personas, Mendelssohn can bring forth an individual quality by emphasising one of these personas. Table 2 gives various ways in which Mendelssohn highlights an individual voice by ensuring that it sounds apart from the rest of the ensemble: he may give the individual voice a thicker texture (when, for example, a string player plays in double-stops), a wider range or larger leaps. He can also emphasise their individual voice through scoring it apart from the rest of the ensemble, by writing an unobtrusive accompaniment, and by bestowing it with an expressive marking that that none of the rest of the ensemble have.

The degree to which Mendelssohn prioritises an individual voice varies, as the opening twenty-four bars from the first movement of the String Quartet No. 3 in D, Op. 44/1 demonstrate (Ex. 5). Bars 1–12 prioritise the first violin's melody: Mendelssohn scores it higher than the rest of the ensemble and it also has a wider range, while the tremolo in the inner voices and the octave jumps in the cello present little distraction. From bar 13, however, the lower voices play a quaver countermelody that holds greater melodic claims. The first violin's high A at bar 15 nonetheless still draws listeners to its melody over the rest of the ensemble's. This changes from bar 21, where the first violin takes the same quaver countermelody that the lower voices had played in bars 13–20, while the second violin and viola play a new melody

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113 Klorman, p. 151.

with dotted rhythms. Even though Mendelssohn still pitches the first violin higher, it is now more difficult to tell which voice is prioritised, since the first violin now plays what had previously been accompanying material. To summarise, bars 1–12 represent greater prioritising of a single voice, bars 13–20 still prioritise a single voice but to a lesser extent, and bars 21–24 hardly prioritise a single voice at all.

Ex. 5. The different degrees to which an individual voice can be prioritised, Op. 44/1's first movement, bars 1–24

While individual instruments or groups of instruments may represent individual personas, certain textures emphasise how these distinct personas can also come together to form a collective, thereby contributing to collective and possibly also reciprocal qualities.[114] Table 2 includes closer scoring as connoting a collective quality, because the closer together different voices sound, the more difficult it becomes to distinguish between individual instrumental personas, and the more they resemble a collective utterance. Table 2 also regards textures that I call 'more *tutti*' as bestowing this quality. By 'more *tutti*', I do not necessarily mean a full orchestral texture, but rather passages that employ the orchestra's forces to a greater extent. For example, in the Violin Concerto's first movement, I view the entrance of the winds with the subordinate theme as more *tutti* than the preceding transition, which had been dominated by the virtuosic soloist. Because the entrance of the winds serves as a reminder of

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[114] This is distinct from a group of first violins who come together to form a single persona. A collective would arise instead if the first violins as a single persona join with another distinct persona, such as the cello section, who have also unified to create a single persona.

the collective orchestra's presence, their instigation of a more *tutti* texture confers a collective quality.

Unison textures also impart a collective quality by bringing together several voices. Table 2 distinguishes between two types of unison textures, which either indicate a more uniform collective quality, or a more reciprocal one. Dominating unison gives little opportunity for individual personas to be heard so it elicits only a collective quality. Sympathetic unison, on the other hand, offers space for individual personas within the collective, thereby summoning a reciprocal quality. It often encompasses rhythmic unison, where different voices sound together but at different pitches. But even when voices come together in unison at pitch, they can still present a sympathetic unison texture if they have already asserted their status as individual voices. Whether I deem a unison passage as dominating or sympathetic thus depends on is context. For instance, I consider the rhythmic unison in bars 8–9 from Op. 44/3's first movement as an instance of sympathetic unison since it follows a passage that imitates conversation in bars 1–6. When the four players then come together in rhythmic unison at bars 7–8, and then at pitch at bars 8–9, it is as if, after some back-and-forth exchanges, they are now joining together in agreement (Ex. 6).

Table 2 also gives several textures that bestow a reciprocal quality. When Mendelssohn prioritises a non-dominant voice, he emphasises a voice that is not normally considered the main melodic voice or *Hauptstimme* — such as one of the lower voices in a string quartet, or the piano's left hand. Such instances still prioritise a single voice, but because it is not the voice we expect, there is a sense that its individual voice can only come forward because the rest of the ensemble have permitted it. It thus acts as an individual contributing to a collective, connoting a reciprocal quality. By contrast, when Mendelssohn prioritises a dominant voice (such as the first violin), it more likely sounds as an individual trying to forge their own way apart from the ensemble, which is why Table 2 regards the prioritising of an individual, *dominant* voice as eliciting an individual quality.

Countermelodies (such as those that in the lower parts during bars 13–20 in Ex. 5) occur when the accompaniment part has some degree of melodic interest that can rival the *Hauptstimme* for the listener's attention. They emphasise the existence of distinct, individual

voices, which are apart from the dominant voice, and contribute to the collective ensemble, thereby connoting a reciprocal quality. While in the case of Ex. 5, the first violin may draw more attention, and thus still contribute to an individual quality, the presence of countermelodies offers a reminder that other individual voices still form part of this collective ensemble.

Imitative textures similarly suggest a reciprocal quality. In passing the same or similar motivic material between different voices, it is difficult to determine a single *Hauptstimme*. Yet their imitation of one another implies that they are responding to one another as distinct personas. The same is true of another texture, which I call 'imitating conversation'. This texture occurs when an ensemble's individual personas seem to respond spontaneously to one another, as if in conversation. Unlike imitative textures, they do not necessarily share the same or similar material. An example occurs at the beginning of Op. 44/3's first movement (Ex. 6). Here, the first violin may act as the *Hauptstimme*, but following its initial semiquaver turn, it holds onto the tonic for an entire bar, allowing the lower voices to actively respond to what the first violin has just 'said'; a gesture that is repeated at bars 2–4. Although conversation consists of utterances by individual participants and may temporarily give precedence to one individual voice over others, it remains a reciprocal activity since it requires the coming together of these individual utterances into a collective.

Range, Dynamics, and Tempo

Like texture, range, dynamics, and tempo are constant parameters, so the piece's wider context will determine whether these parameters contribute to an expressive quality. I regard a passage's range, dynamics and tempo as contributing to public or private qualities when they recall certain features of these environments. Table 1 includes a more expansive range as imparting a public quality because it implies the larger physical space of the public sphere, whereas a smaller range evokes a private setting's more restricted space. When one speaks in

front of a large audience in a public space, they speak louder than if one were having a conversation in private. Consequently, Table 1 views louder dynamics as recalling the public sphere and contributing to a public quality, while quieter dynamics imply the private sphere and bestow a private quality. Naturally, musical passages often contain changing dynamics, so to determine whether it suggests public or private qualities I judge whether loud or quiet dynamics are most prominent. I tend to view *crescendos* as suggesting a growing resemblance to the public sphere, while the opposite is true for *diminuendos*. If I deem a passage as dominated by neither loud nor quiet dynamics, I do not view it as suggesting any quality in particular. The piece's larger context also plays a critical role. A *mezzo forte* passage can contribute to a public quality more convincingly if it occurs within a piece that is dominated by quieter dynamics, but less strongly if it surrounded by music that is *forte* or *fortissimo*.

Both slower tempi and elongated note values (which imply a slowing down, even if the notated tempo remains the same) recall the private sphere's more relaxed setting, so confer a private quality. I do not, however, view the opposite — faster tempo and shorter note values — as indicating a public quality: while the private sphere is more relaxed, the public sphere is not necessarily fast (consider the slow procession at a funeral). Once again, the piece's larger context plays a part: slower tempi or elongated note values only bestow a private quality when they are slower or longer than the music that surrounds it. This parameter is also effective across a multi-movement work: a slow movement taken as a whole, for instance, will display a greater proclivity towards a private quality than a faster movement.

Mendelssohn's expressions of intimacy in his instrumental music encompass numerous musical parameters, ranging from immediately discernible features on the music's surface, like dynamics and texture, to subtler ones pertaining to a movement's underlying form. These parameters do not work in isolation, but rather interact with other parameters that may further

contribute to or oppose an intimacy's private, collective and reciprocal qualities. My methodology for tracing an intimate mode of expression in Mendelssohn's mature instrumental works does not distinguish between parameters that work on a background level and those that are more immediately apparent on the surface: both can contribute to an intimate mode of expression, even if the latter may be more obvious than the former.[115] Having outlined why I associate various musical parameters with intimacy's private, collective, and reciprocal qualities, and their opposing public and individual qualities, I now proceed to considering how Mendelssohn combines these parameters to engender an intimate mode of expression in his mature instrumental works. The rest of this thesis presents several case studies from the latter half of Mendelssohn's career to demonstrate how intimacy as a mode of expression functions in his instrumental music, and how my methodology provides a valuable tool for understanding and interpreting these works.

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[115] I discuss the ramifications of my methodology's bringing together of background form and foreground expression in my conclusion.

Part Two

One of the benefits of my methodology for tracing intimacy as a mode of expression in Mendelssohn's instrumental music is that it can explain why some commentators have responded to his music in certain ways. Part two thus aims to show how tracing an intimate mode of expression in Mendelssohn's instrumental music elucidates the reception of certain works. It begins with chapter three's examination of the Violin Concerto's first movement, which proposes that examining the qualities that either contribute to or detract from an intimate mode of expression provides a lens through which to explore the relationship between the individual soloist and the collective orchestra. This in turns explains why various commentators have downplayed the role of the virtuosic soloist, contrary to how the concerto genre normally places it front and centre. Meanwhile, in placing an individual soloist against a collective orchestra within a public genre, the Concerto's first movement provides an easily graspable preliminary study for examining the dialogue between intimacy's qualities and those that oppose them.

When it comes to considering intimate expression in other genres, I cannot depend on such an overt relationship between an individual soloist and a collective orchestra. This is particularly true for Mendelssohn's chamber music, whose restricted instrumental forces mean the creation of a range of textures that evoke various qualities is more difficult to come by. Following chapter three then, I devote the rest of my thesis to analysing chamber works precisely because their restricted forces means their dependence on other parameters to create

dialogues between an intimate mode of expression and other qualities becomes more acute. My methodology nonetheless accomplishes something similar to chapter three in chapter four, where I examine the first movement from Mendelssohn's String Quartet in E minor, Op. 44/2. As I will recount, various commentators have remarked on this movement's lyricism, without providing a satisfactory explanation of what exactly they mean by this term. Chapter four thus demonstrates how examining intimate expression in this movement provides a means for reassessing our understanding Mendelssohn's lyricism.

Chapter Three

Intimate Virtuosity I

Violin Concerto in E minor, Op. 64, First Movement

The nineteenth-century concerto provides an unlikely site for intimate expression. The orchestral forces it requires makes its association with intimacy's private quality unlikely, and while most orchestral genres contribute to intimacy's collective quality, the concerto genre presents an exception. The presence of a distinct soloist who stands apart from the collective orchestra highlights an individual quality, as audiences are naturally drawn to this 'inherently more glamorous' individual.[1] Writing at the middle of the century, Carl Czerny articulated a similar view. In the first volume of his *School of Practical Composition* (c. 1848), he described the concerto genre as one of several 'compositions with orchestral accompaniments', where the orchestra:

> for the most part, merely accompanies, and is consequently subordinate [...] The Pianoforte however has not only the principal part, but it must also to a certain extent be independent, and the orchestra only enters, as a combined mass, in the *tutti*, where the pianist rests.[2]

Although Czerny took Mozart's earlier piano concertos as a model, this notion of a

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[1] Joseph Kerman, *Concerto Conversations* (Cambridge, MA: Harvard University Press, 1999), p. 3.
[2] Carl Czerny, *School of Practical Composition*, trans. by John Bishop, 3 vols (London: Robert Cocks, 1830), i, p. 159.

subordinate orchestra supporting an arresting soloist continued to pervade views of the concerto genre into the twentieth century. For Donald Tovey, the soloist's individualism was the genre's primary attraction. Writing in the third volume of his *Essays in Musical Analysis* (1905), he explained:

> The modern concerto form must rest more than ever on the old and natural concerto idea, the entry of a personal voice instantly arresting attention, and by mere force of its individuality thrusting even the most elaborate orchestra into the background.[3]

This idea of the arresting soloist as the centre of attention extended to early nineteenth-century violin concertos too. Maiko Kawabata recounts how audiences saw famous performers such as Paganini, Boucher, Spohr, and Lipinski as remarkable individuals, 'holding their own against the amassed orchestra'; they symbolised military heroes, acting as 'a valiant commander to amassed forces, or of a general to his army'.[4]

Contemporary listeners of Mendelssohn's Violin Concerto in E minor, Op. 64 (1844), however, did not necessarily regard the work purely as a platform for the soloist to highlight their individualism against the collective orchestra. Writing two years after its first performance, a reviewer for *Die Allgemeine musikalische Zeitung* emphasised that virtuosic skill alone on the part of the soloist could not suffice for its successful performance:

> The performance of the whole concerto requires a highly skilled and, in the spirit of the composition, meticulous virtuoso, and an altogether good musician, who must have practiced not only his own part, but is ready and able to understand and skilfully produce the whole composition.[5]

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[3] Quoted in Jane Stevens, 'Theme, Harmony, and Texture in Classic-Romantic Descriptions of Concerto First-Movement Form', *Journal of the American Musicological Society*, 27 (1974), pp. 25–60 (p. 57).

[4] Maiko Kawabata, 'Virtuoso Codes of Violin Performance: Power, Military Heroism, and Gender (1789–1830)', *19th-Century Music*, 28 (2004), pp. 89–107 (p. 96). Jim Samson likewise describes how nineteenth-century virtuoso performers positioned themselves as distinct individuals: 'Not only was the Romantic virtuoso clearly differentiated from his rivals, his style of playing and stage manner distinctive and unique, imbued with subjectivity; he was also isolated (by his genius, which cannot be imitated) from the world at large'. Jim Samson, *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge: Cambridge University Press, 2003), p. 76.

[5] 'Der Vortrag des ganzen Concerts verlangt aber einen höchst gewandten und in den Sinn der Composition eingehenden Virtuosen und guten Musiker überhaupt, der nicht seine Stimme allein eingeübt haben darf, der vielmehr die ganze Composition zu verstehen und zu produciren fähig und fertig sein muss'. [annon], '*Felix*

While the reviewer concedes that the work requires highly skilled performer, in prescribing that the soloist should have a deep familiarity with the entire composition as well as their own part, the reviewer implies that the orchestra's part is at least as important as the soloist's, while the Violin Concerto's status as a musical work is at least as important as the display of the virtuoso performer's skill. Mendelssohn's Violin Concerto demands a soloist who not only can execute their own part successfully, but also understands the whole composition. If the orchestra's part is at least as important as the violin's, this may explain why remarks by later commentators pay limited attention to the work's virtuosity. Rather than addressing its technical demands, George Grove praised the work primarily for its 'beauties small and great', Tovey similarly pronounced it 'perennially beautiful', while more recently Stephen Lindemann describes its opening theme as 'elegiac' and 'haunting'.[6]

This is not to say that the soloist plays a less virtuosic role in this concerto than we might expect: the violin part still contains numerous challenging passages involving extremes of range, complicated passagework and impressive double stops. In this chapter's analysis of the Violin Concerto's first movement, I account for this contradiction between perceptions of the work as giving equal weight to the orchestra and soloist, and its highly virtuosic solo part, which should draw attention to the soloist's dazzling display of skill. In using the first movement of Mendelssohn's Violin Concerto as a preliminary case study for demonstrating my methodology for tracing an intimate mode of expression in Mendelssohn's instrumental music, I reveal how he could write a virtuosic solo part that still pays heed to the collective orchestra, how he could give the soloist ample opportunity to display their skill while avoiding writing a work that serves only this end. Mendelssohn may not completely overturn the

concerto's genre's inclination towards public and individual qualities in the first movement of his Violin Concerto, but their opposing qualities — those that summon an intimate mode of expression — nonetheless play a prominent role. I consider three points from the first movement to illustrate how Mendelssohn invokes an intimate mode of expression: the soloist's entrance and the ensuing main theme, the transition, and the cadenza.

The Violin's Entrance and the Initial Main Theme-Complex

Following only one and a half bars of quietly alternating quavers in the strings, the violin's early entrance immediately positions itself as an individual who stands apart from the collective. Indeed, several characteristics in the work's opening twenty-five bars reinforce the genre's tendency to emphasise public and individual qualities. Mendelssohn highlights the soloist's individual voice through the orchestra's non-obtrusive accompaniment, which he also scores widely apart from the violin. And although the soloist's opening theme is melodic, it is still virtuosic because of the extremes in the violin's range, reaching as high as A6 at bars 23–24. Such a wide range, especially in comparison to the more closely scored orchestra, further emphasises the opening's individual and public qualities. Meanwhile, the dotted rhythm of the violin's first two notes alludes to the military topic frequently used in this genre, implying a public quality.[7]

The opening to Mendelssohn's Violin Concerto does not unequivocally evoke public and individual qualities, however, since its opening melody also contains several private parameters: it has a *piano* dynamic, a thinner texture in comparison to the later full orchestral *tutti*, and elongated note values in comparison to the subsequent triplet figurations in bars 26–46. The opening moreover contains several formal and syntactical features that indicate a reciprocal quality. Bars 2–18 seemingly form a period, attaining closure with an imperfect

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[7] See Kawabata.

authentic cadence at bars 17–18 (Ex. 1). What follows, however, casts doubt over whether the period has achieved full closure owing to the reopening of cadential material from bars 15–17 at bars 19–21. Although it is reminiscent of Janet Schmalfeldt's one-more-time technique, bars 18–24 are not a straightforward example of such a procedure. Bars 17–18 constitute an imperfect cadence, rather than a 'genuine evaded cadence' (EC), which Schmalfeldt states is 'distinctly associated' with the one more time technique.[8] Moreover, the subsequent reopening of cadential material at the end of bar 18 does not lead to the resolute perfect authentic cadence that should conclude the one-more-time technique; instead, the violin's G-sharp at the start of bar 21 pushes this restatement of the cadential material off-course, followed by iv in the next bar, preventing a proposed 6-4 cadential progression. And although the phrase ends by landing on i at bar 25, because the dominant harmony that precedes it at bar 24 is in first inversion rather than in root position, it does not coincide with any kind of cadential closure at all, generating instead an abandoned cadence. This is a prime example of Mendelssohn referring to a tightly organised formal unit — in this case a period — but then subverting it. What might have been a closed and stable period is thrown into doubt through the reopening of its cadential material that evokes, but ultimately subverts, Schmalfeldt's one-more-time technique. Mendelssohn's subversions betoken a reciprocal quality: he speaks a collective language by alluding to a tightly organised period and then the one-more-time technique, but also speaks an individual language by subverting both of these marked allusions to conventions when he expands the period and then fails to provide the expected cadential closure. Bars 2–24 could be conceived as imitating the kind of spontaneous exchanges that occur in intimate settings. The period's antecedent and consequent phrases mimic what initially seems like a

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[8] Schmalfeldt describes an evaded cadence as having 'no ending but followed by a distinct beginning […] The penultimate cadential harmony — the dominant — will signal the prospect of a cadential tonic, but now the confluence of phrase rhythm, design (in the sense of specific melodic- harmonic content), and frequently texture as well as register and orchestration will prevent the next harmonic event from functioning as a cadential goal'. Janet, Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', *Journal of Musicological Research*, 12 (1992), pp. 1–52 (p. 14).

straightforward question and response, with the open-ended expansion at bars 19–24 adding

something like '. . . and one more thing', leading to further, spontaneous conversation.

Ex. 1. Subverted period and abandoned cadence in MTA, bars 1–25

Brian Edward Jarvis and John Peterson take a different view. They interpret bars 3–10 as an antecedent phrase, followed by a drastically expanded consequent, finally achieving its

conclusion at bars 72 with a i:PAC.[9] I doubt, however, listeners would hear bars 11–71 as an expanded consequent, especially since the violin's faster, virtuosic triplets from bar 25 suggest a transition's energy drive. I instead regard bars 25–47 as an instance of functional transformation: what initially sounds like the start of the transition becomes the contrasting middle (TR⇒MTB) of a larger, small ternary main-theme. The return of the violin's opening material as MTA' then returns in the orchestra at bar 47 in the tonic. Whichever way one views bars 2–72, the ultimate effect remains the same: either its functional transformation creates formal ambiguities, or its drastically expanded consequent upsets a period's expected symmetrical structure, resulting in a subversion of a tightly organised unit. Both procedures imply interdependent collective and individual languages, indicating intimacy's reciprocal quality.

Despite giving precedence to the individual soloist at the beginning of his Violin Concerto, and despite the concerto genre's inherent tendency to emphasise individual and public qualities, Mendelssohn ensures that these qualities do not overrule Op. 64's beginning. His subversion of the movement's initial tightly organised period followed by functional transformation in bars 25–47 suggests intimacy's reciprocal quality, while the work's first twenty-five bars contain several characteristics that suggest a private quality. Although individual and public collective qualities are by no means absent, Mendelssohn invokes intimacy's private and reciprocal qualities, challenging the dominance of public and individual qualities from the work's outset. Perhaps he is offering an early indication that this concerto is not merely a vehicle for display. Rather than facing outwards to the public sphere, the solo violin aims to express something more internal and intimate.

Following bar 25, however, Mendelssohn weakens the opening's private quality.

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[9] Brian Edward Jarvis and John Peterson, 'Alternative Paths, Phrase Expansion, and the Music of Felix Mendelssohn', *Music Theory Spectrum*, 41 (2019), pp. 187–217 (p. 204).

TR⇒MTB at bars 25–47 witnesses a change in rhetoric as the violin shifts to more virtuosic triplets, suggesting both public and individual qualities. Although this passage still has a thinner texture than the subsequent *tutti* passage from bar 47, it now contains more public parameters: the soloist's virtuosity and wide range continues, and its quiet dynamics become *forte*. MTA' at bars 47–72 then brings back the same thematic material from bars 1–25, now played by the *tutti* orchestra. Mendelssohn continues the resurgence of a public quality from TR⇒MTB: alongside the return of the martial topic, suggested by the dotted rhythms from the start of MTA', Mendelssohn increases the dynamics to *fortissimo*, extends the orchestra's range and thickens its texture. What marks MTA' out as different from what went before, however, is how Mendelssohn highlights a collective quality for the first time: although Mendelssohn writes a i:PAC at bars 71–72, engendering a self-sufficient passage that denotes an individual quality, other features that suggest a collective quality percolate this passage. Alongside the orchestra's *tutti* texture, Mendelssohn prioritises the non-dominant voice of the orchestra. Meanwhile, several features betoken a reciprocal quality, which in turn implies something collective. Mendelssohn once again subverts MTA's tightly organised period. The allusion to a period from the movement's opening returns for MTA', but bars 47–55's antecedent phrase is never given its consequent conclusion owing to fragmentation in bars 56–58, resulting in a subversion of this conventionally organised thematic unit.[10] Mendelssohn also alternates between two textures that elicit a reciprocal quality: sympathetic unison at bars 47–54 and bars 62–84, and imitating of conversation at bars 55–61. During MTA', then, Mendelssohn invokes public, collective and reciprocal qualities.

My analysis of the expressive qualities during the Op. 64's opening main theme bring an interesting facet to light. While the movement opens by highlighting the individual soloist

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[10] On its own, this might not have been enough to clearly suggest an allusion to a tightly organised period since Mendelssohn abandons its consequent phrase. But because we have already heard MTA's allusion to a period during its first statement at the movement's opening, when the same antecedent phrase returns at bars 47–55, we hear it once again as an allusion to a tightly organised period.

alongside the private sphere during MTA, and the individual soloist alongside the public sphere during TR⇒MTB, only when the collective orchestra enters can the main theme finally achieve its formal goal of a i:PAC at bars 71–72. It is as if Op. 64's first seventy-two bars trial different forms of individual expression, first in the private sphere then in public. Only when the orchestra subdues the soloist, and collective and reciprocal qualities emerge can the exposition finally achieve its structural closure.

The Transition

Unlike TR⇒MTB — whose energy gain had only suggested it may act as the transition before reverting back to MTA' in the tonic — the passage that actually functions as the transition at bars 72–130 achieves its formal goal by modulating to the subordinate key, G major. Tracing the expressive qualities across the transition's fifty-nine bars may explain its greater formal success. For clarity, I divide the transition into five parts, given in Table 1, in accordance with its shifting emphasis on different expressive qualities.

Table 1. Division of the transition according to changes in expressive qualities

Section	Bars
1	72–85
2	86–96
3	97–104
4	105–12
5	113–30

Section 1 sees the return of a private quality: Mendelssohn employs *piano* dynamics, a thinner texture and elongated note values. I also regard this passage as imitating conversation since Mendelssohn passes similar material from the first violins at bars 72–76 to the soloist from bar 76, connoting a reciprocal quality. Yet despite Mendelssohn employing private and reciprocal

parameters, it is difficult to regard the transition's opening as evoking only an intimate expressive mode owing to the primacy he gives to the soloist. Following the initial statement from the first violins at bas 72–76, Mendelssohn prioritises the soloist, emphasising its individualism through its virtuosity, wide range, and scoring it apart from the orchestra. By the start of section 2 at bar 86, moreover, any signs of an intimate expressive mode disappear. The soloist's descending and ascending quavers are not only virtuosic but suggest an individual quality, while its large range with *forte* dynamics summons a public quality too.

The dialogue between an intimate mode expression and the qualities that oppose it becomes more complex during section 3 at bars 97–104 where public and private qualities exist simultaneously. The soloist's virtuosic double stops and *crescendo* to *forte* evoke a public quality, while the orchestra's *piano* melody, elongated note values, and a more restricted range present a private quality. Despite the violin's virtuosity, however, the soloist acts as an accompaniment to the orchestra, so Mendelssohn does not prioritise its individual voice here. Meanwhile, the entrance of the winds instigates a more *tutti* texture, eliciting a collective quality that several reciprocal parameters reinforce: in giving the main melody to the flute, Mendelssohn prioritises a non-dominant voice, while the first and second violins and violas play in an imitative texture. While the soloist suggests public and collective qualities, the orchestra invokes an intimate mode of expression by combining private, collective and reciprocal qualities. A public quality in the soloist's part exists alongside the orchestra's intimate mode of expression.

Because section 3 attains the dominant preparation for the secondary key area of G major at bar 97, one could conclude that the transition's formal function of modulating to the subordinate key can only commence once the orchestra's intimate mode of expression has tempered the soloist's individualism. Section 4, however, sees individual and public qualities re-emerge. The orchestra's melody disappears, foregrounding the violin's virtuosity once

more; meanwhile, the violin's wide range, which skips between its upper and lower strings, emphasises public and individual qualities. While the orchestra's intimate mode of expression in section 3 had coincided with the dominant arrival, section 4 reverses its intimate qualities and undermines its harmonic goal. Indeed, immediately after a *crescendo* at bar 108 — which adds to section 4's public quality — the cellos and double basses shift from D to E-flat at bar 109, thereby losing the dominant bass pedal. Whereas section 3's intimate expressive mode had enabled it to start the dominant preparation for the subordinate key, section 4 reverts to intimacy's opposing individual and public qualities, impeding its ability to maintain its dominant preparation.

If one were to consider the background harmonic progression here, this detour from the dominant would remain just that: a detour that ultimately returns to the dominant through the arrival of a first-inversion D major harmony at bar 119.[11] Yet the expressive qualities with which this harmonic detour coincides supports the notion that the transition can only fulfil its formal function of modulating to the subordinate theme by submitting to intimate expression. The return to the dominant at bar 119 occurs during section 5, which the violin begins by playing rising and falling crotchets at bar 113. Although the violin's wide range and scoring apart from the orchestra, *forte* dynamics and the prioritising of its individual voice invoke public and individual qualities, its longer quaver notes in comparison to its purely figurative triplets in section 4, and the orchestra's sparser texture means section 5 already holds several private parameters. Given that it was immediately after the *crescendo* marking at bar 108 that section 4 loses the D bass pedal, it can hardly be a coincidence that precisely at the point where Mendelssohn reasserts a private quality through a *diminuendo* at bar 119, section 5 regains the

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[11] Needless to say, bars 109–18 still represent a fairly sizeable harmonic detour. Although E-flat still alternates with D in the bass in bars 109–10, D acts as the bass of B-flat first-inversion harmony rather than as the dominant. This is then followed by a second inversion B-flat at bar 113, intervening diminished harmony at bars 115–16 that continues to F7 at bar 17 resulting in a circle of fifths (E-flat–B-flat–F)—a fairly discursive detour from the D major dominant.

dominant in first inversion. References to the private sphere continue to proliferate during section 5: from bar 121 the violin moves mostly by step, slowing down to crotchets and minims at bar 126. And as if to confirm this draining of the soloist's energy, Mendelssohn adds a *tranquillo* marking at bar 127.

Yet unlike section 3's first attempt at asserting the dominant preparation for the modulation to the subordinate key, section 5 continues to prioritise the soloist, while the orchestra remains an unobtrusive accompaniment. In contrast to how the preceding MTA' achieved its formal closure only after having subdued the individual soloist, the end of the transition seems to represent the triumph of the soloist's individualism. Indeed, other than section 3, the solo violin dominates the transition. What occurs during the transition's lead into the subordinate theme, however, contests the violin's dominance. At bars 121–26, the solo violin gradually ascends to the highest note it has played so far: B6. Normally, such an ascent would be a moment of high drama which displays the soloist's skill — and to some extent it is. But Mendelssohn also marks the violin *piano* and *tranquillo*: this is not intended as a moment of dramatic, dazzling virtuosity that emphasises the physical act of performance. He then tempers the lead into the subordinate theme with increasingly more private parameters: alongside section 5's thinner texture and elongated note values in comparison to section 4's triplets, Mendelssohn writes a *diminuendo* from bar 119, reaching *piano* and then *pianissimo* at bars 127 and 131 respectively, and he restricts the soloist's range to moving mostly by step from bar 121.[12] The violin's subsequent descent to its lowest note G at bar 131 is dramatic to an extent too, but contrarily this move does not assert the soloist's individuality. Instead, it leads to one of the movement's most striking moments. Not only does the violin's arrival onto G represent the achievement of the transition's functional goal, since it completes a cadential

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[12] James Hepokoski and Warren Darcy would call this a 'de-energizing transition'. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), pp. 47–48.

6/4 – 5/3 progression in the subordinate key that engenders a III:PAC, it also holds onto this note for a further eight bars during which the winds enter with the subordinate theme at bar 131. The violin's low G both serves an integral formal role of providing the now greatly anticipated resolution onto G, as well as the most essential note for the accompaniment during the subordinate theme's beginning. The beginning of the subordinate theme thus sees the arrival of several reciprocal parameters: in having the soloist support the winds, Mendelssohn prioritises a non-dominant voice, and even though the violin repeats the winds' initial melody from bar 139, it responds to them as if in conversation rather than overruling the orchestra as it had during the transition. To summarise, while section 5 begins by emphasising individual and public qualities — the complete opposite of intimate expression — it becomes increasingly private before finally summoning several reciprocal parameters as the soloist's individualism is subordinated to both the collective orchestra and the larger sonata process.

The Cadenza

We expect the cadenza to provide a platform for the soloist to display their skill, and Mendelssohn complies in several respects: the solo violin jumps rapidly between large intervals, ascends to impressive heights, and takes advantage of tremolo and double-stop textures. Yet the cadenza in Mendelssohn's Violin Concerto is not merely a site for display, as its position within the movement already intimates. Cadenzas typically occur towards the end, 'operating outside of the structural processes of sonata form […] a substructural parentheses that simultaneously, and paradoxically, was temporarily to hold at bay the forward motion of the larger formal demands'.[13] But Mendelssohn instead places the cadenza at the end of the development's retransition. Aside from quite literally positioning the cadenza more centrally within the movement, such a location within the movement also gives the cadenza an integral

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[13] Ibid., p. 600.

formal function of prolonging the dominant during the retransition's journey back to the tonic for the recapitulation. The cadenza is not a momentary parenthesis that temporarily halts the movement's forward momentum, rather it participates in the larger formal process.

The expressive qualities during the cadenza's second part at bars 323–31 (Ex. 2a) also indicate it is not merely a site for display. If one views this passage as prioritising the violin's individual voice, it would present the opposite of intimacy. It exhibits loud dynamics and a wide range that prioritises the soloist's virtuosic part. There are, however, some signs of intimacy's private qualities, especially from bar 329 when the violin begins to *diminuendo*, eventually reaching *pianissimo* at bar 334. Another layer of complexity emerges, moreover, since the cadenza's second part does not straightforwardly prioritise an individual voice. As the violin plays its virtuosic triplets and semiquavers, an underlying melody emerges (indicated by the downward stems in Ex. 2b), consisting of the violin's lowest notes distinct from the accompanying arpeggiations above. Within the violin's single performative voice, two structural voices exist: an underlying melody and its accompanying arpeggiations.

Ex. 2a. The second half of the cadenza, bars 323–31

Ex. 2b. The cadenza's underlying melody, bars 323–31

Dividing the cadenza's second part into two structural voices permits intimacy's qualities to surface. The underlying melody has elongated note values (these are not actually notated, but listeners hear the imagined melody shown in Ex. 2b), a smaller range because it moves mostly by step, and a thinner texture in comparison to the previous double stops at bars 310–22. Furthermore, this technique of an underlying melody plus accompaniment within a single solo instrument's voice could be reminiscent of Bach's works for solo violin and thus alludes to a chamber-music genre. And while the violin plays virtuosic triplets and semiquaver arpeggiations throughout the cadenza's second half — a topic indicative of intimacy's opposing public and individual qualities — these appear in the accompaniment rather than the main melodic line. The violin's virtuosity therefore has a subservient role, and because Mendelssohn does not unquestionably prioritise the virtuosic voice, the virtuosity in the accompaniment can only indicate a public quality and *not* an individual quality.[14] The dual existence of an underlying melody and a virtuosic accompaniment, moreover, enables a reciprocal quality to emerge: the virtuosity of its accompaniment means the underlying melody

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[14] I explain my reasoning for this under 'Virtuosity' in chapter two.

does not have unquestionable authority, while the existence of that melody means attention is not placed entirely on the virtuosic display in its accompaniment. Consequently, I read the virtuosic accompaniment as a rather active countermelody that rivals, but does not entirely distract from, the main melody. One is aware of the existence of two distinct but interdependent individual voices, thereby betraying a reciprocal quality. If one regards the violin in the cadenza's second part as consisting of one single voice, public and individual qualities would come to the fore. Yet acknowledging the existence of two structural voices within the solo part means the cadenza's private and reciprocal qualities, and the intimate mode of expression that arises from them come to our attention.

The cadenza's expressive qualities change from bar 332, where the violin's underlying melody becomes less prominent owing to its repetition of the same pitch (see Ex. 2a and 2b). The violin becomes a single structural voice again, so its virtuosity evokes both public and individual qualities once more. Precisely at this point, V6/4 harmony arrives to prepare for the ultimate completion — via a V 4–3 suspension at bars 334–35 — of a i:PAC at bar 336.[15] This seems to present the opposite of what occurs at the end of the exposition's transition: while the cadenza's formal goal of a i:PAC is only achieved *after* the soloist's virtuosity brings back individual and public qualities, the transition could only attain its formal goal once Mendelssohn had dissipated the solo violin's individualism by evoking intimacy's private and

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[15] This is nevertheless not the strongest of PACs since the return of MT *before* the resolution onto E minor at the start of bar 336 means that the cadence occurs after the recapitulation has already begun. It could be interpreted as an example of what William Caplin has described as a 'dissipated cadence', when 'a penultimate dominant (one that promises an authentic cadence) is somehow converted into an ultimate dominant to support a standing on the dominant'. William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum*, 40 (2018), pp. 1–26 (p. 22). Whether this is understood as a weak PAC or a dissipated cadence, it still provides a more decisive closure for a development than in numerous other of Mendelssohn's sonata movements. Both the first movements from Mendelssohn's String Quartets 4 and 5, Op. 44/2 and Op. 44/3, for example, feature no cadences at all at the end of their development sections. Of the 74 sonata movements surveyed by Paul Wingfield and Julian Horton, 36 of these feature a recapitulation that begins over a dominant pedal. Wingfield, Paul, and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn Perspectives*, ed. by Nicole Grimes and others (Farnham, Surrey: Ashgate, 2012), pp. 83–112 (p. 103). Because the recapitulation in the first movement of Mendelssohn's Violin Concerto begins over I, even if the tonic only arrives after the main theme has already begun, it is nonetheless considerably more decisive than many of Mendelssohn's recapitulations that begin over a dominant pedal, whether or not one regards the V–i resolution at bars 335–36 as a true PAC.

collective qualities instead.

What happens when the main theme returns for the start of the recapitulation at bar 335 nevertheless indicates that the soloist's virtuosity does not necessarily entail individualism's triumph. At the end of the cadenza, the soloist maintains its virtuosic semiquaver figurations, emphasised by the marking *segue* at bar 335, but its virtuosity merely accompanies the orchestra's return with MTA until bar 350. In the same way that the violin supports the entrance of the subordinate themes in the winds at the end of the transition, the virtuosic violin at the end of the cadenza recedes behind the collective orchestra at the start of the recapitulation. Meanwhile, collective parameters overrun the beginning of the recapitulation. MTA returns with *tutti* forces and, unlike the exposition, follows a tightly organised period without subversion, which finally achieves a i:PAC at bars 350–51 at the end of its consequent phrase. While the beginning of the recapitulation does not necessarily summon an intimate mode of expression — the return of the military topic, the violin's virtuosity, and the far thicker texture of the *tutti* orchestra all powerfully indicate a public quality — Mendelssohn ensures that any signs of the soloist's individualism serve the collective. The violin's virtuosity acts as a reminder of its individual presence, but it also behaves as a countermelody that accompanies the non-dominant voice of the orchestra. Even if the beginning of the recapitulation does not necessarily exhibit an intimate mode of expression, the dual presence of the violin's virtuosic accompaniment and the collective orchestra prevent an individual quality from taking hold and elicits a reciprocal quality instead.

The first movement of Mendelssohn's Violin Concerto does not necessarily represent the complete and thorough reversal of the concerto genre's inherent public and individual qualities, but it does reveal a relationship between its individual soloist and collective orchestra that may be less antagonist than one might expect. The movement's opening seventy-two bars, for

example, trial individual expression in first the private and then the public sphere, yet only after it becomes more collective and reciprocal during MTA' can it achieve a perfect authentic cadence. And while the individual soloist dominates the transition, the subordinate theme only ensues once its public and individual qualities have subsided, and the soloist and orchestra share a more reciprocal relationship. Finally, in the cadenza, Mendelssohn shows how collective and reciprocal qualities can exist within a single performative voice, before subordinating the violin's virtuosity to the orchestra, again betokening a reciprocal quality. Through tracing the dialogues between intimacy's qualities and those that at oppose them at these three important structural moments in the first movement's form, one can begin to understand how perceptions of the work as giving equal weight to the soloist and orchestra have arisen, why the soloist must practice 'not only his own part, but is ready and able to understand and skilfully produce the whole composition'.

Examining the qualities that invoke an intimate mode of expression and those that detract from it in the first movement of Mendelssohn's Violin Concerto provides a lens through which to explore how Mendelssohn fosters an equal and reciprocal relationship between the individual soloist and the collective orchestra. Although the concerto tends to highlight intimacy's opposing public and individual qualities, the very fact the concerto genre presents an individual soloist who stands against a collective orchestra may offer an ideal setting for showing how the individual and the collective can be reconciled. The reciprocity that arises from the bringing together of the violin's individual voice and the *tutti* orchestra at the start of the recapitulation, for instance, is only possible because the solo violin sounds as a distinct individual apart from the orchestra. Concertos with highly virtuosic solo parts may have risked the 'heathen idolization of the individual', but in ensuring the simultaneous existence of a distinct soloist next to the orchestra, the genre could demonstrate how the individual and the collective can share an equal and reciprocal relationship, without diluting the presence of either.

Chapter Four

Reconceptualising Mendelssohn's Lyricism

String Quartet No. 4 in E minor, Op. 44/2, First Movement

Several scholars have commented on the lyricism in the first movement of the String Quartet No. 4 in E minor, Op. 44/2. For Friedhelm Krummacher, the movement's thematic material consists of 'self-contained lyrical episodes', and Greg Vitercik describes the main theme as a 'single lyric gesture', while '[t]he lyric second theme can offer little contrast to the opening'.[1] More recently, Benedict Taylor characterises the movement as 'marked by a lyricism whose elegiac quality reveals on more than one occasion an impassioned undercurrent'.[2] Such a designation of the movement's themes as lyrical is not unwarranted. The movement opens with a quiet, *legato* melody that ascends with a graceful crotchet arpeggiation in the first violin, while the rest of the ensemble remain an unobtrusive accompaniment. Likewise, the movement's subordinate theme consists of a quiet, *legato* melody in crotchets that moves mostly by step.

It is nevertheless worth reflecting on whether perceptions of the first movement's lyricism might take us down a misleading path. Su Yin Mak recounts that descriptions of

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[1] Friedhelm Krummacher, Mendelssohn, Der Komponist: Studien Zur Kammermusik Für Streicher (Munich: W. Fink, 1978) p. 140; Gregory Vitercik, The Early Works of Felix Mendelssohn: A Study in the Romantic Sonata Style (Philadelphia: Philadelphia: Gordon and Breach, 1992) p. 310.

[2] Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 185–209 (p. 188).

Schubert's lyricism tend to draw upon two different but related sets of characteristics, both of which 'are conventionally related to song'.[3] The first pertains to a *cantabile* style, encompassing 'melodies in moderate tempo with relatively even note values, regular phrasing, and simple chordal accompaniment'; the second relates to the closed song forms, similar to the *Liedsatz* form described by A. B. Marx, consisting of self-contained themes that are only superficially related, rather than forming an organic whole.[4] In sum, Schubert's lyricism is generally perceived as encompassing two aspects: a lyrical *style*, and a lyrical *form*. This appears to be true for Op. 44/2's first movement too. While the slow, quiet and *legato* melodies of its main and subordinate themes could certainly be conceived as following a lyrical style, Krummacher and Vitercik regard these themes as also following a lyrical form. Krummacher describes the movement's themes as 'self-contained', recalling Marx's closed, *Liedsatz* forms. Likewise, Vitercik, who chastises the first movement's main theme for its 'bland lyricism', recounts how the movement congeals 'into the paratactic succession of themes and transitions that characterize the classicist romantic sonata style'.[5] In describing their paratactic nature, Vitercik implies that movement's themes as unrelated to one another in a manner also reminiscent of Marx's *Liedsatz*.

My own analysis of the themes from Op. 44/2's first movement, however, contests the assumption that Mendelssohn's lyrical style also betrays a lyrical form. Table 1 summarises the structural cadences in the movement's exposition and recapitulation (there are no authentic cadences in the development at all), indicating that following an initial i:PAC, which closes the main theme at bars 24–25, not a single further perfect authentic cadence occurs until the very end of the recapitulation with the closing theme.[6] Contrary to Krummacher's description of its

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[3] Su Yin Mak, 'Schubert's Sonata Forms and the Poetics of the Lyric', *The Journal of Musicology*, 23 (2006), pp. 263–306 (p. 264).
[4] Ibid.
[5] Vitercik, p. 311.
[6] Taylor argues that Mendelssohn's gradual increase of the main theme's rhythmic motion until the point of its i:PAC at bars 24–25 creates 'a curious equipoise between closure and open-mindedness […] A caesura is both

self-contained lyrical themes, Op. 44/2's first movement actually displays a propensity towards open-ended, dependent sections.

Table 1. Comparison of the structural cadences in the exposition and recapitulation

Formal position	Cadences in the exposition	Cadences in the recapitulation
End of the main theme (MT)	i:PAC (24–25)	i:AC (188–89)
End of the subordinate theme (ST)	III:IAC (68–69)	i:DC (216–17)
End of the closing theme (CT)	Repeated V^7–I progressions (no real cadence, 90–99)	i:PAC (251–52)

Table 1, moreover, highlights an important difference between the cadences in the exposition and recapitulation that Krummacher overlooks: the main and subordinate themes attain weaker closer in the recapitulation than they had in the exposition. While the exposition's main theme had closed with a perfect authentic cadence (Ex. 4), Mendelssohn the main theme from bar 184 in the recapitulation with a new rising first violin line (Ex. 1). And although Mendelssohn creates expectations for a perfect authentic cadence by arriving on a V6/4 suspension at bar 188, he does not resolve this onto rooted dominant harmony, but instead abandons the proposed cadential progression. Whereas a perfect authentic cadence had concluded the exposition's main theme, there is no such clear cadential division between the recapitulation's main theme and transition. Rather, the transition simply begins without any cadential mediation at bar 189. Furthermore, the transition itself still does not provide the anticipated resolution onto the tonic, but instead prolongs the dominant until the beginning of the subordinate theme at bar 195, when a rooted tonic chord finally arrives. The recapitulation's open-ended main theme not only depends on the following transition for its resolution onto the tonic, but also must wait until the subordinate theme begins.

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articulated — creating a closed lyrical phrase — and overridden by a greater sense of dynamics continuity that presses on into the ensuing music'. In other words, despite the main theme's perfect authentic cadential closure, the increase in rhythmic motion weakens the sense of closure the cadence provides. Taylor, 'Mendelssohn and Sonata Form', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 197.

Ex. 1. The abandoned cadence at the end of the main theme in the recapitulation followed by the transition's dominant prolongation, bars 177–96

The subordinate theme traces a similar path of moving from greater to weaker closure.

While the exposition's subordinate theme at bars 53–68 had followed a tightly organised period, closing with a III:IAC, Mendelssohn replaces its imperfect authentic cadence with an abandoned cadence at bars 208–09 in the recapitulation, since its penultimate dominant harmony sounds in first inversion owing to the viola's bass note on D-sharp (Ex. 2). This leads to a passage of cadential extension in bars 209–17, which also fails to find cadential resolution before the onset of the closing theme. Although Mendelssohn prepares an authentic cadential progression in bars 215–16 with a V6/4 suspension, its resolution lands on i6 rather than the rooted tonic at bar 217, resulting in another deceptive cadence. Consequently, the recapitulation's subordinate theme no longer constitutes a balanced and stable period. The return of its antecedent and consequent phrases from the exposition alludes to it, but his replacement of its imperfect authentic cadence with a deceptive one means it remains just that — an allusion. What Table 1 therefore demonstrates is that the more self-contained main and subordinate themes in the exposition, which close with perfect and imperfect authentic cadences respectively, become more open-ended and dependent in the recapitulation.

Ex. 2. ST in the recapitulation, bars 194–217

Table 1 nonetheless reveals that the closing theme does not follow this pattern of more self-sufficient thematic sections with stronger cadences in the exposition progressing to more dependent passages and weaker cadences in the recapitulation. Towards the end of the exposition's closing theme, multiple V^7–I progressions in the relative major occur at bars 90–99. While this might have provided an opportunity for repeated perfect authentic cadences to close the exposition, Mendelssohn undermines any sense of closure since the first violin's held D continues through these progressions. The held violin note means that its landing on the tonic does not sound as resolute ending, questioning whether these progressions are truly cadential. The opposite occurs during the recapitulation's closing theme. A *crescendo* to *forte* at bars 243–51 with the full force of the ensemble leads to the first perfect authentic cadence since the exposition at bars 251–52.

Ex. 3. Undermined closure at the end of CT, bars 83–100

Table 1 illustrates that two separate journeys occur between the exposition and recapitulation. First, there is the journey the main and subordinate themes undertake from greater self-sufficiency and isolation in the exposition, to weaker closure and greater dependency in the recapitulation. The closing theme then follows a second journey in the opposite direction. It fails to achieve the exposition's structural goal — a perfect authentic cadence in the subordinate key for the essential expositional closure — but succeeds in achieving the perfect authentic cadence for the recapitulation's essential structural closure. It

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is as if the exposition's more self-sufficient main and subordinate themes mean the exposition as a whole cannot attain full closure, so its closing theme fails to produce a perfect authentic cadence. The recapitulation's closing theme, on the other hand, achieves the movement's ultimate formal goal of the essential structural closure but only once the main and subordinate themes abandon their initially self-contained nature and participate in the larger formal process.

If Op. 44/2's themes become increasingly dependent and collective as the movement progresses, then Krummacher's and Vitercik's conception of the movement as pertaining to a lyrical form requires revaluation. While this notion may be somewhat justified in the exposition, where the main theme closes with a perfect authentic cadence and the subordinate theme with an imperfect one, this changes in the in the recapitulation, as Mendelssohn expunges both their cadential conclusions. Op. 44/2's first movement achieves its structural closure with a perfect authentic cadence at the end of the recapitulation's closing theme only after its thematic material becomes less self-sufficient and more dependent on the larger sonata process. No longer do they stand as isolated themes but must rely on what follows — the closing theme and its long-awaited perfect authentic cadence. To use Marx's own words, the themes in the movement 'are no longer valid in isolation; rather, the intimate union of separate parts (individual *Sätze*) in a whole — the *whole* in its inner unity — becomes the main concern'.[7] Or to frame it in terms of their expressive qualities, while the main and subordinate themes had initially imparted an individual quality owing to their self-sufficient nature, they become more collective in the recapitulation since they depend on what follows for their resolution. I am therefore not convinced, *pace* Vitercik, that the themes in Op. 44/2's first movement are arranged paratactically, since their lack of closure, which becomes more prominent in the recapitulation, means they depend on the larger formal process. If the themes

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[7] Adolf Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, trans. by Scott Burnham (Cambridge: Cambridge University Press, 1997), p. 92.

in Op. 44/2's first movement are lyrical in style, they are certainly not lyrical in form. They do not stand apart isolated from the movement's larger formal process but actively participate within it.

Intimacy as Lyricism

The obvious conclusion might be that if the first movement of Op. 44/2 is lyrical, it is only lyrical because it recalls a lyrical style, rather than pertaining to a lyrical form. But unlike Schubert's lyrical style, the connection between song and Mendelssohn's lyrical themes is not especially evident. Indeed, Krummacher observes that the movement's lyrical themes are not songlike [*Liedhaft*] in a vocal sense.[8] The first movement's main theme has a rather too expansive range to be comfortably sung. There is, however, an alternative way of connecting Mendelssohn's lyrical themes with song or a *cantabile* style if one conceives his lyricism as not necessarily imitating song directly but sharing similar ends. Although in his *Musikalishes Lexicon* (1802) Heinrich Christoph Koch starts by characterising singing (*singend,* which he also equates with *cantabile*) as that which can be performed easily by the human voice, he later states that 'the "singing style" is the basis whereby a melody becomes the language of emotion, which is comprehensible to every person'.[9] The association Koch makes between a singing style and the 'the language of emotions' is worth interrogating, since it creates parallels between his description of the singing style and definitions of lyric poetry in the early nineteenth century. The *Brockhaus Bilder-Conversations-Lexikon* (1838) defined the *Lyrik* as 'the kind of poetry in which the feeling immediately aroused by any perception is represented in dignified language that is naturally appropriate to this feeling'.[10] Likewise, in his *Lectures*

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[8] Krummacher, p. 140.

[9] Quoted and translated in Sarah Day-O'Connell, 'The Singing Style', in *The Oxford Handbook of Topic Theory*, ed. by Danuta Mirka (New York: Oxford University Press, 2014), pp. 238–58 (p. 240).

[10] 'Lyrik nennt man diejenige Dichtungsart, in welcher das bei irgend einer Wahrnehmung unmittelbar erregte Gefühl in würdiger, doch diesem Gefühl natürlich angemessener Sprache dargestellt wird'. 'Lyrik', in *Brockhaus Bilder-Conversations-Lexikon*, 12 vols (Leipzig: F.A. Brockhaus, 1838), ii, p. 792.

on Aesthetics given between 1818 and 1829, G. W. F Hegel theorised that in lyric poetry the 'content is not the object but the subject, the inner world, the mind that considers and feels', and takes 'as its sole form and final aim the self-expression of subjective life'.[11] If *singend* music was not necessarily singable but the 'language of emotions', and if lyric poetry expresses the poet's feelings and inner world, then *singend* music and lyric poetry could be conceived as somewhat analogous. Perhaps the reason various commentators have described the themes in Op. 44/2's first movement as lyrical is because they detect — if unconsciously — this connection. What Koch describes as *singend* because it speaks the language of emotions, might also recall lyric poetry's expression of inner emotions. One may then apply the term lyricism — used to denote a type of poetry that expresses the poet's feelings but also suggests a connection to song or a singing style — to describe music that also seems to convey the composer's own inner world. What descriptions of Op. 44/2's themes as lyrical attempt to grasp are moments where the expression of inner thoughts and feelings come forward.

Needless to say, one cannot strictly measure something as subjective as the expression of inner feelings and thoughts in music. This is where my methodology for examining an intimate mode of expression in Mendelssohn's instrumental music gains significance. While detecting an intimate mode of expression in Mendelssohn's music does not in itself indicate the expression of any particular emotions, it does refer to the kind of intimate experiences that encouraged the conveying of such inner feelings. For as I argued in chapter one, the private, collective and reciprocal nature of intimate exchanges meant they supplied the ideal setting for the expression of inner feelings. They provided shelter from the public sphere where such personal expression would be deemed inappropriate, as well as an audience of close friends and family members to whom one could express such feelings. If, following Hegel's

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[11] Georg Wilhelm Friedrich Hegel, *Aesthetics: Lectures on Fine Art*, trans. by Thomas Malcolm Knox (Oxford: Oxford University Press, 2015) p. 1038. Quoted in Jonathan Culler, *Theory of the Lyric* (Cambridge, MA: Harvard University Press, 2015) p. 92.

description of lyric poetry, Mendelssohn's themes are lyrical because they indicate the expression of inner feelings, I argue that through an intimate mode of expression — which itself refers to the kind of exchanges that fostered such inner expression — Mendelssohn's themes in Op. 44/2's first movement gain their association with the lyric. In the rest of this chapter, I demonstrate an alternative way of conceiving of Mendelssohn's lyricism that does not view it as directly imitating a song-like form or style. Rather than regarding his lyricism as consisting of self-sufficient themes that elicit an individual quality and recall a lyrical form, his lyrical themes invoke an intimate mode of expression that encompasses collective and reciprocal qualities, reflecting how inner expression requires the presence of others so that one can express oneself to someone else. In what follows, I illustrate that an intimate mode of expression pervades the main and subordinate themes from Op. 44/2's first movement, leading me to conclude that when Krummacher, Vitercik and Taylor describe these themes as lyrical, they tacitly acknowledge the prevalence of an intimate mode of expression in this movement.

Intimate Themes

There are very few moments that completely evade an intimate mode of expression during the main and subordinate themes from Op. 44/2's first movement. While the main theme's initial sixteen bars hold several individual parameters — Mendelssohn prioritises the first violin with an unobtrusive accompaniment, and scores it apart from the rest of the ensemble with a wider range — this passage nonetheless contains several parameters that reinforce intimacy's private, collective, and reciprocal qualities. Alongside the string quartet genre, which adds to both private and reciprocal qualities throughout this movement, Mendelssohn primarily employs quiet dynamics and a thinner texture in comparison to the more contrapuntal passage that follows — both of which contribute to a private quality. Meanwhile, his treatment of syntax enhances the quartet's reciprocal quality. Bars 1–16 alludes to a tightly organised period, since the passage's second phrase at bars 10–17 seems to repeat the first, implying antecedent and

consequent phrases. But because Mendelssohn abandons its expected perfect authentic cadence at the end of its consequent phrase, it results in a subversion of this tightly organised unit (Ex 4), resulting in a cadential extension at bars 18–24. Only after this eight-bar extension does Mendelssohn finally permit the main theme to gain full closure with a perfect authentic cadence in the tonic at bars 24–25. Although one could argue that the main theme still constitutes a period in which a cadential extension lengthens its consequent phrase, because this would mean that consequent phrase is expanded to twice its original length, it upsets a period's expected symmetrical structure, thereby undermining this tightly organised structure. And even though the cadential extension ultimately supplies one of the movement's few perfect authentic cadences at bars 24–25, resulting in a self-contained main theme that summons an individual quality, collective and reciprocal parameters still hold sway. New countermelodies arise in the lower voices during the cadential extension, suggesting a reciprocal quality, while Mendelssohn also scores the ensemble more closely together in comparison to the preceding allusion to a period structure at bars 1–17, reinforcing its collective quality.

Ex. 4. The main theme, bars 1–25

When the same material from the main theme's cadential extension from bars 18–25 returns in the recapitulation at bars 178–88, Mendelssohn summons an intimate mode of expression even more potently. Although he still prioritises the first violin, the rest of the ensemble imitates its rising legato melody in quavers, eliciting a reciprocal quality. Meanwhile, Mendelssohn reinforces a collective quality through the passage's closer scoring in comparison to the passage that precedes it at bars 170–77. And as Table 1 and Ex. 1 have already illustrated, while the main theme had been self-sufficient in the exposition, closing with a i:PAC, it becomes dependent on what follows in the recapitulation, concluding with an abandoned cadence instead, further eliciting a collective quality. Mendelssohn, moreover, creates a degree of formal ambiguity during the recapitulation's main theme. For although he restates the main theme's opening eight bars at bars 170–78, leading me to view this as the start of the recapitulation, Mendelssohn blurs the end of the development and the beginning of the recapitulation in several ways. Fragments of the main theme's ascending head motif had begun as early as bar 162, and even if they occur in the key of C major — making it an unlikely

candidate for the beginning of the recapitulation — when the main theme returns in full at bar 170 its appearance is less distinctive than if its arrival had not been foreshadowed. Furthermore, the main theme returns before the recapitulation's expected arrival on rooted harmony, arriving over a V6/4 suspension. Mendelssohn thus undermines the double return that marks the end of the development and the beginning of the recapitulation, thereby obscuring the division between them.[12] Consequently, I regard Mendelssohn as speaking collective and individual languages here — collective because he relies on conventions of a recapitulation's double return to create expectations, but individual because of how he subverts them — and in doing so invokes intimacy's reciprocal quality.

The exposition's subordinate theme also exhibits an intimate mode of expression, and, similar to the main theme, Mendelssohn increases this mode's potency in the recapitulation. Although he prioritises the first violin during the subordinate theme, this can hardly undo the influence of intimacy's private, collective and intimate qualities. When the subordinate theme emerges in the exposition at bars 53–68, it is predominantly *pianissimo*, has elongated note values in comparison to the semiquavers of the preceding transition, and has a restricted range — all of which betoken a private quality. Mendelssohn, moreover, summons a collective quality during the subordinate theme through scoring the ensemble close together, and by arranging the subordinate theme into a tightly organised period. Bars 53–60 constitute its antecedent phrase closing with a III: HC, followed by a consequent phrase at bars 61–68 that concludes with a III:IAC. The subordinate theme also contains several reciprocal parameters. Mendelssohn scores the passage in sympathetic unison, with the lower three voices supporting and mirroring the first violin's melody at various points. Furthermore, the tonal diversion identified by Taylor (see 'Form and Syntax I' in chapter two) results in expectations for the subordinate key to reside in the key of B minor rather than the more common relative major.

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[12] For a more extensive discussion of Mendelssohn's harmonic undercutting of the recapitulation, see Taylor, 'Mendelssohn and Sonata Form', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, pp. 192–95.

Such tonal duplicity reinforces the subordinate theme's reciprocal quality.

Although the subordinate theme in the recapitulation at bars 195–216 no longer creates a tonal diversion — as Ex. 1 illustrated, the preceding transition prolongs the dominant, which the subordinate theme's arrival over rooted E minor harmony duly resolves as expected — Mendelssohn turns to several other parameters to engender an intimate mode of expression. He still scores the ensemble close together and employs sympathetic unison, if not exclusively, during the theme's duration. Mendelssohn's treatment of texture further reinforces the passage's reciprocal quality, especially during its second phrase. At bars 202–06, he prioritises the non-dominant voice of the viola, followed by the cello at bars 207–08. An exchange between the cello and the violins that imitates conversation follows at bars 209–212, which is then then passed between the two violins in bars 212–16. I also explained above how Mendelssohn subverts the subordinate theme's expected closure in the recapitulation: whereas it had concluded with an imperfect authentic cadence in the exposition, he abandons such a cadential closure in the recapitulation (Ex. 2). This not only indicates a collective quality, since the subordinate theme is dependent upon what follows for its cadential conclusion, but it also subverts its expected tightly organised period structure. This is partly due to the lack of cadential closure, but also owing to how Mendelssohn expands the subordinate theme at bars 209–16, thereby upsetting a period's symmetrical structure. He thus alludes to a conventional, tightly organised unit but then subverts it, which further adds to a reciprocal quality.

Reconceptualising Mendelssohn's Lyricism

My analysis of the main and subordinate themes in Op. 44/2's first movement demonstrates the prevalence of an intimate mode of expression. Although the main and subordinate themes begin by prioritising the first violin in the exposition, Mendelssohn employs various other parameters that contribute to intimacy's private, collective and reciprocal qualities. The first violin may step forward, but its individual voice does not threaten the overall the dominance

of an intimate mode of expression. I therefore propose that our understanding of Mendelssohn's lyricism requires some reconsideration. Rather than regarding it as connected to song, or conceiving it as acting in the same way as Schubert's lyricism, Mendelssohn's lyricism exhibits an intimate mode of expression that refers to the kind of exchanges in private settings which enabled its participants to express their inner selves. Consequently, the reason the first movement's main and subordinate themes have been perceived as lyrical is not because they pertain to a lyrical style or form, but because they invoke an intimate mode of expression.

Such a reformulation of Mendelssohn's lyricism also has the benefit of altering perceptions of his supposed formal conservatism which looks back to his Classical forebears and apparently stands in contradiction of a more songlike, Romantic style. Carl Dahlhaus, for instance, described how Mendelssohn mediated between 'the (ostensibly conventional) regularity of [Classical] form' and the 'unfolding of song-like themes (supposedly alien to the sonata)'.[13] Likewise, Krummacher argues 'Mendelssohn did not disturb the classical canons of form and genre, but he was forced to reconcile these traditions with a thematic paradigm characterised by continuous, songlike melody. This *cantabile* ideal could not be easily integrated into the kind of periodic, discontinuous construction so basic to the music of the Classical era'.[14] Greg Vitercik takes a similar view, at least in his analyses of Mendelssohn's early works, arguing that Mendelssohn achieved 'a synthesis of the formal principles of the classical sonata style and the harmonic, thematic and organizational characteristic of the romantic language'.[15] According to these commentators, Mendelssohn's primary challenge was reconciling songlike, *cantabile* melodies with the regularity of Classical form. For

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[13] Benedict Taylor, 'Translation of Carl Dahlhaus, "Foreword" and "Mendelssohn and the Traditions of Musical Genre", from *Das Problem Mendelssohn* (1974)', in *Mendelssohn*, ed. by Benedict Taylor (Farnham: Ashgate Publishing, 2015), pp. 3–10 (p. 4).
[14] Friedhelm Krummacher, 'Mendelssohn's Late Chamber Music: Some Autograph Sources Recovered', in *Mendelssohn and Schumann: Essays on Their Music and Its Context*, ed. by Jon Finson and R. Larry Todd (Durham, NC: Duke University Press, 1984), pp. 71–84 (p. 75).
[15] Vitercik, p. 307.

Vitericik, this was an endeavour in which Mendelssohn did not always succeed. He reproaches Op. 44/2's first movement in particular, arguing that '[i]t is the definition of the form rather than the implications of the material that governs the events in this work'.[16]

Vitercik accuses Mendelssohn of allowing form to dictate the material in Op. 44/2's first movement, but my analysis suggests otherwise: if Mendelssohn had been following what Dahlhaus called the 'bare shell' of Classical form, then surely he would have provided a clear essential expositional closure, and a double return that clearly marks the start of the recapitulation in accordance with Classical norms?[17] This is not restricted to Op. 44/2's first movement either, since Paul Wingfield and Julian Horton's study of Mendelssohn's sonata forms convincingly demonstrates that Mendelssohn frequently departs from the norms of the Classical sonata style.[18] Neither Dahlhaus, Krummacher nor Vitericik interrogate what they mean by Mendelssohn's 'Classical' forms or 'Romantic' themes, and do not articulate the precise features in Mendelssohn's forms and themes that lead them to designate them as such. If they had done so, perhaps they would have found that this supposed contradiction between Classical form and Romantic themes does not exist in Mendelssohn's instrumental music in the way they assume. Instead of regarding this movement as reconciling an imagined tension between Classical forms and Romantic themes, I view it as addressing another predicament articulated by Mendelssohn's contemporary. As I argued chapter two, Marx considered self-contained themes, the kind reminiscent of song form, as incompatible with sonata form's organicism. It was a preoccupation with this relationship between self-contained song form and organic sonata form, rather than a retrospectively imagined contradiction between Classical form and Romantic themes, which Mendelssohn attempts to solve by imbuing his themes in Op. 44/2's first movement with an intimate expressive mode. In contrast to Krummacher's

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[16] Vitercik, p. 311.
[17] Taylor, 'Translation of Carl Dahlhaus', in *Mendelssohn*, ed. by Benedict Taylor, p. 3.
[18] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn Perspectives*, ed. by Nicole Grimes and others (Farnham, Surrey: Ashgate, 2012), pp. 83–112.

conception of the movement's themes as exhibiting a self-contained lyricism, my analysis reveals that these themes participate in the larger formal process. Consequently, what might have been isolated and self-sufficient themes that Marx would have deemed as incompatible with sonata form's organicism, attain collective and reciprocal qualities. Instead of retreating into isolated solipsism, Mendelssohn's intimate lyricism turns towards a collective audience — something that for the purposes of expressing one's inner self to others had been necessary all along.

Part Three

Mendelssohn takes a particularly idiosyncratic approach to form and syntax in the movements I consider in the following two chapters. Although I am wary of claiming that tracing an intimate mode of expression in these works can conclusively explain such compositional choices, I nonetheless argue it can offer a valuable means for interpreting them. Chapter five explores the contribution Mendelssohn's formal ingenuity plays in offering glimpses of an intimate mode of expression in two movements that otherwise place little emphasis on this expressive mode. Then, in chapter six, I consider Mendelssohn's unique approach to syntax in the outer movements of his Cello Sonata No. 1, Op. 45 and its radically open-ended conclusion.

Chapter Five

Formal Play and Ambiguity

String Quartet No. 5 in E-flat, Op. 44/3, Scherzo

String Quartet No. 4 in E minor, Op. 44/2, Finale

Neither the scherzo from the String Quartet No. 5 in E-flat, Op. 44/3 (1838), nor the finale from

the String Quartet in E minor No. 4, Op. 44/2 (1837) are obvious sites for an intimate mode of

expression. The former begins with dominating unison across its upper three voices that

suggests uniformity, while the prominence of the first violin at the latter's opening offers little

space for intimacy's reciprocal quality. In stark contrast to Op. 44/2's first movement, these

fast-paced movements — marked respectively as *vivace* and *presto* and consisting of short,

agitated motifs — permit few moments for the kind of gentle, elongated melodic lines that

foster an intimate expressive mode. Mendelssohn's ingenious play with form in these

movements, however, means that subtler glimpses of intimacy can arise. While at some points

these movements may appear to follow certain formal norms, at other points they drastically

depart from them, disorientating listeners who are no longer entirely certain where they are in

the movement's form. Such formal ambiguities rely on listeners' knowledge of formal norms

but then subvert them, thus betraying a reciprocal quality through their interdependent

collective and individual languages. In what follows, then, I uncover Mendelssohn's formal

play in these movements, illustrating that several possible formal interpretations exist alongside

one another. While an intimate mode of expression does not pervade Op. 44/3's scherzo and Op. 44/2's finale in the same way as it does in the first movements from the Violin Concerto and Op. 44/2, my examination of Mendelssohn's formal play demonstrates how background formal features can obtain a substantial expressive power by contributing to the dialogue between the qualities that either reinforce or detract from an intimate mode of expression. In doing so, I show that Mendelssohn enables glimpses of intimacy's reciprocal quality to come forward in two movements where such a quality is otherwise difficult to detect.

String Quartet No. 5 in E-flat, Op. 44/3, Scherzo

Formal Play

Mendelssohn does not routinely employ scherzo and trio form. As Benedict Taylor points out: '[o]f the thirteen scherzo-type movements in chamber works written after 1825, nine are versions of sonata form – a proportion that rises to nine out of ten when we discount those movements expressly entitled "minuet", 'intermezzo" or "canzonetta"'.[1] That being said, Krummacher's interpretation of the scherzo from Op. 44/3's form as following scherzo and trio form is not unfounded (Table 1).[2] As he observes, the movement's autograph reveals that Mendelssohn had written a repeat sign at the end of the scherzo section at bar 76, before crossing it out (Fig. 1), which, together with the repeat sign at the end of bar 16, follows the conventional repeats of an initial scherzo section.[3] Bars 1–76, moreover, follow a rounded

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[1] Benedict Taylor, 'Mendelssohn's Formal Jests: The Sonata-Form Scherzo in Mendelssohn's Mature Chamber Music', *Music Analysis* (2021, in press).

[2] Friedhelm Krummacher, Mendelssohn, Der Komponist: Studien Zur Kammermusik Für Streicher (Munich: W. Fink, 1978), p. 442.

[3] Krummacher also notes the crossed out cello part at the beginning of the fughetta in the manuscript (Fig. 1). Ibid., p. 445. This suggests that Mendelssohn had initially considered creating a greater degree of continuity between bars 1–76 and the following fughetta section, since the erased cello line would have played through the brief pause in bar 76 of the final score. His deletion of the cello line could have been motivated by a desire to make the allusion to scherzo and trio form stronger, since it creates a greater delineation between what might be the initial scherzo section at bars 1–76 and the ensuring fughetta passage, which could be conceived as the start of the trio. Naturally, this contradicts his crossing out of the repeat sign, but contributes to the movement's formal ambiguity. While the lack of a repeat sign makes a scherzo and trio form less likely, the more distinct break between the potential scherzo and trio sections make it more likely.

binary structure, as would be conventional for the first scherzo section (Table 2).[4]

Table 1. Krummacher's scherzo and trio form

Bars	Scherzo form	Key
1–76	A 'Scherzo'	i
77–113	B 'Fughetta'	i–v
114–77	C 'Seitensatz' or Trio	v
178–85	A	i
186–213	C	i
214–49	B	i
250–64	A'	i
265–301	Coda	i

Table 2. Rounded binary structure of the initial scherzo theme (MT)

Bars	Rounded binary form	Key	Cadences
1–16 (repeated)	A	i	i:PAC (16)
17–40	Transition (TR)	i–v	
41–48	B	v–i	
49–72	A'	i	i:PAC (64, 72)
73–76	Codetta	i	

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[4] Although Taylor considers what I call the transition in Table 2 as constituting part of the scherzo's B section, I separate these because the existence of a transition passage in bars 17–40 has important ramifications for my discussion of the movement's formal ambiguities. Taylor, 'Mendelssohn's Formal Jests' (in press).
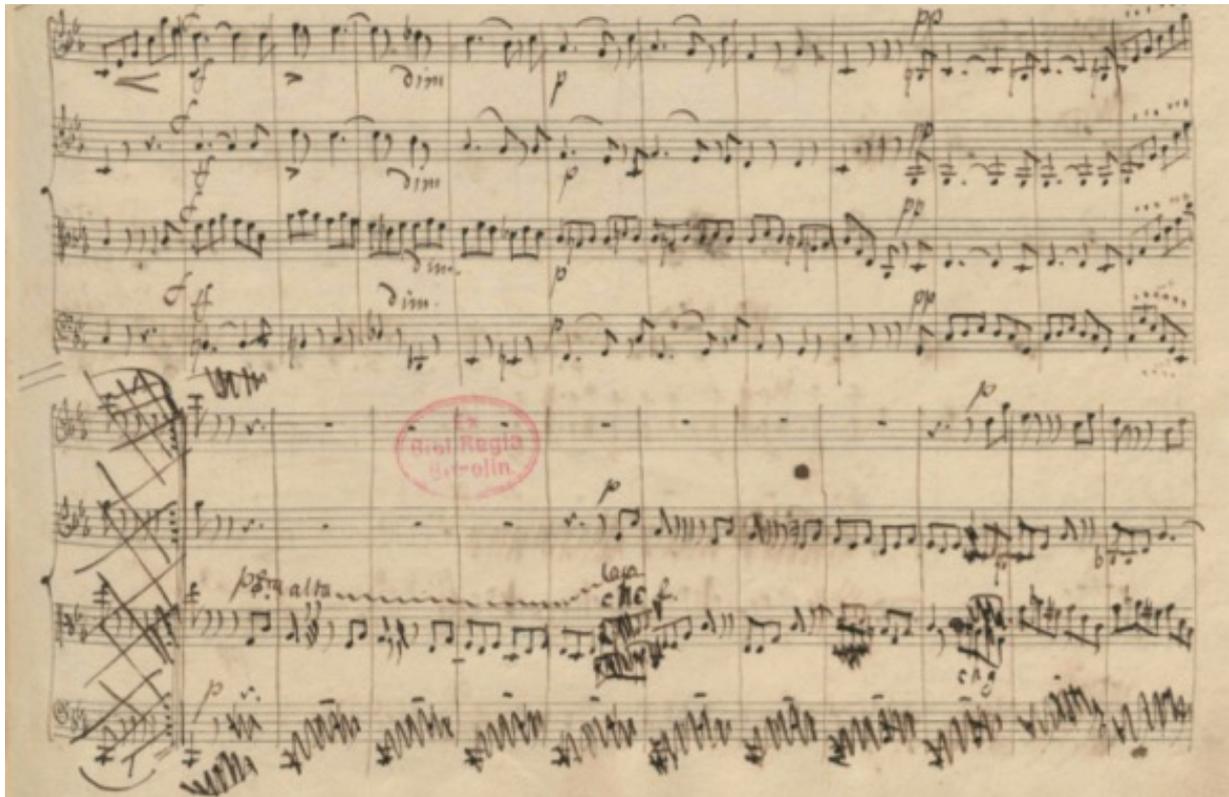
What follows this seemingly conventional scherzo section confuses matters, however: the entrance of a fughetta at bar 76. Following the initial scherzo section, a contrasting trio should follow, providing 'a distinct element of contrast while still maintaining the same meter and tempo'.[5] Yet Mendelssohn bases the fughetta on the scherzo's opening material (A in Table 2). Furthermore, trios generally remain in one key, and in the same key as the preceding minuet.[6] Yet the fughetta at bars 77–113 modulates from the tonic to the dominant minor, then prolongs G minor in bars 106–13, like a medial caesura-fill. Ultimately, the fughetta passage has more in common with a transition based on main-theme material from a sonata form's exposition than a contrasting trio section. Even Krummacher concedes that the fughetta

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[5] William Caplin, *Classical Form*, p. 229.
[6] Ibid., p. 220.

'appears less like a contrasting trio and more like a contrapuntal developmental passage'.[7]

If I interpret the fughetta as functioning as a transition, this necessitates some retrospective reinterpretation. Krummacher's initial scherzo should be construed as an exposition's main theme — it 'becomes' the main theme, to use Janet Schmalfeldt's terminology — that follows a rounded binary form, with A and B in Table 2 becoming MTA and MTB of a larger main-theme complex. I give these competing formal schemes in the third and fourth columns of Table 3 — 'Scherzo and trio' and 'Sonata form, Type 1' — and mark the fughetta in red under the former column to indicate where it departs from its expected formal course.[8] From here on, I will label the thematic material at bars 1–16 as MTA and at bars 41–48 as MTB. This does not mean that I view these themes as functioning only as the exposition and contrasting middle of a main theme's small ternary structure, rather I use these labels so I can refer to these thematic ideas with greater clarity.

Table 3. Competing formal schemes in the scherzo from Op. 44/3

Bars	Keys	Scherzo and trio	Sonata form, Type 1	Sonata form, Type 3	Rondo
1–16	i	Scherzo (A)	MTA	MT	A
17–40	i–v	TR	TR to MTB[9]	TR	TR
41–48	v–i	B	MTB	ST/RT	B/RT
49–76	v–I	A'	MTA'	RT (MT-based)	A
77–113	i–v	Fughetta	TR	Development: MT fughetta	TR
114–55	v		ST + MT countermelody	MT (+ countermelody)	C-couplet + A countermelody

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[7] 'Erscheint das Fugata nach dem A-Teil ['Scherzo'] weniger als kontrastierendes Trio denn als kontrapunktisches Verarbeitungsphase'. Krummacher, p. 445.

[8] Type 1 is the label Hepokoski and Darcy give to sonatas without a development. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), p. 344.

[9] In this formal interpretation, TR to MTB has an intrathematic function whereas the TR at bars 77–113 is interthematic. I keep this as a separate section even though bars 17–40 can be viewed as simply forming part of MTB because its intrathematic transition function is important for other possible formal interpretations that I elucidate later on.

156–65	v–i		MTB/CT/RT	ST/RT	
166–77	VI–VII		RT (MT-based)	RT (MT-based)	RT (A-based)
178–85	i		Recapitulation: MTA antecedent	Recapitulation: MT antecedent	
186–213	i		ST consequent	MT consequent	
214–49	i		Coda: TR	Coda: MT fughetta	
250–64	i		ST + MT	MT	
266–301	i		Codetta (MT-based)	Codetta (MT-based)	

Admittedly, Krummacher acknowledges several other possible interpretations. MTB's homophonic texture and halting rhythms distinguishes it from MTA, so it could indicate that the subordinate theme of a sonata form's exposition, with the preceding prolonging of V of G minor at bars 37–39 acting as a medial caesura (see Table 3's Type 3 column).[10] Alternatively, MTB could act as the first contrasting couplet in a rondo (see Table 3's Rondo column); the subsequent return of MTA' at bar 48 would then be the rondo refrain's first return.[11] Krummacher nonetheless rejects these readings, maintaining that the new idea at bars 41–48 is not distinct enough to constitute a sonata form exposition's subordinate theme or a rondo's B-couplet. Taylor agrees, arguing that its unstable harmonic beginnings and its leading back to the tonic minor weaken its ability to function as the subordinate theme.[12]

While I agree the new thematic idea in bars 41–48 is too unstable and fleeting to convincingly function as the subordinate theme, the notion that it *could* act as the subordinate theme has an important bearing on the movement's play with form. If one were to interpret bars 41–48 as the subordinate theme, one could regard what comes after as following a sonata

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[10] 'Its harmonic and formal position could indicate the subordinate theme, which of course contradicts the scherzo's two-part scheme'. ['Seiner harmonischen und formalen Position nach könnte es seinen Seitensatz andeuten, was freilich dem Schema eines zweiteligen Scherzos widerspräche'.] Krummacher, p. 444.
[11] 'Its return could recall a second refrain'. ['Könnte seine Wiederkehr an einen zweiten Refrain gemahnen']. Ibid.
[12] Taylor, 'Mendelssohn's Formal Jests' (in press).

form's exposition, as illustrated by Table 3's Type 3 column. In this formal interpretation, the return of MTA' at bars 49–75 functions as an MT-based retransition (RT). Although the new thematic idea at bars 41–48 undertakes some of this function because it begins modulating back to the tonic minor (which is why I label this passage as ST/RT rather than just ST in Table 3's Type 3 column), MTA' at bars 49–52 continues this role. MTA' prolongs V6/4 from bar 49 and only resolves onto the tonic minor in bar 53, some way into MTA'. If one therefore considers the new idea at bars 41–48 as holding both subordinate theme and retransition functions, one can understand the return of MTA' at bar 49 as continuing its retransition function by modulating back to the tonic before the start of the development, beginning with the fughetta at bar 77.[13]

Krummacher's suggestion that MTA' at bar 49 could be a rondo refrain also holds some weight — though admittedly this is probably the least convincing formal interpretation. While MTA' begins over V6/4, which weakens its ability to function as a rondo refrain and makes its function as a retransition more likely, refrains that do not begin over stable harmony are not entirely without precedent.[14] If I view MTA' as the first return of the rondo refrain, then MTB behaves as the B-couplet, and the fughetta would then function as a transition to the C-couplet. I summarise the movement's possible rondo form, which holds some sway until bar 177, in Table 3's final column.

There are nonetheless two caveats to interpreting MTB as either a subordinate theme or B-couplet. First, MTB is not harmonically stable. Because bar 41 begins in the dominant minor, but then starts modulating back to the tonic minor in bars 45–48, it initiates a retransition

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[13] If the fughetta is understood as the beginning of the development, Hepokoski and Darcy would categorise it as the development of a Type 4 sonata-rondo mixture because it begins in the tonic. Hepokoski and Darcy, pp. 344–45. Yet I have already expressed doubts in chapter two over whether Type 4 sonatas should be considered as a separate category in Mendelssohn's instrumental music. Consequently, if the fughetta is viewed as the start of a development, I view it as the development section of a Type 3 sonata form, not a Type 4 sonata-rondo form.

[14] See Poundie Burstein, 'The Off-Tonic Return in Beethoven's Piano Concerto No . 4 in G Major, Op . 58, and Other Works', *Music Analysis*, 24 (2005), pp. 305–47. Off-tonic returns, moreover, abound in the finale of Mendelssohn's Cello Sonata No. 1, Op. 45 (see chapter five), indicating that he did not regard rooted tonic harmony at the beginning of a new rotation as an absolute necessity.

function before the actual retransition (that is, MTA' at bar 49) commences.[15] Second, new material at bars 114–55 presents a far more convincing candidate for the subordinate theme, which is why I label this passage as ST in Table 3's Type 1 column. Not only is this new material more thematically distinct and outlasts MTB, it also more convincingly establishes the subordinate tonality. It closes with a v:PAC, achieving what Hepokoski and Darcy deem the essential expositional closure. I therefore acknowledge that interpreting MTB as holding subordinate and retransition functions is not entirely satisfactory, which I indicate by marking it in red under Table 3's Type 3 column.

I nevertheless hold some reservations that the theme at bars 114–55, interpreted as the subordinate theme in Table 3's Type 1 column, is truly as distinct as it initially appears, especially since the constant quaver motion that accompanies it originates from MTA. What follows at bar 156 compounds this problem: the return of MTB. Taylor suggests that MTB's return reveals its function as the closing theme (CT), since it follows an essential expositional closure and acts as a 'post-cadential suffix to the entire exposition'.[16] He nonetheless recognises that its resumption of the same tonal path that it had in bars 41–48, beginning in G minor before seeming to modulate back to the tonic minor, means that although it initially behaves like a closing theme, it ultimately becomes part of a brief retransition: 'The entire section from b. 156 to b. 177 is effectively a retransition to an abridged (type 1) sonata form'.[17] I therefore label this passage as 'MTB/CT/RT' under Table 3's Type 1 column to indicate the multiple possible formal functions that the return of MTB material holds here, acting as both the closing theme and retransition.[18]

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[15] Although this weakens its claims to being a true and independent subordinate theme or B-couplet, such formal elision is not impossible within Mendelssohn's practice. It is one of the six central syntactical categories that Horton finds in Mendelssohn's instrumental works. Julian Horton, 'Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 236–62 (p. 243).

[16] Taylor, 'Mendelssohn's Formal Jests' (in press).

[17] Ibid.

[18] Such formal elision is not uncommon in Mendelssohn's compositional practice, as Horton includes it as one of the six central syntactic categories employed by the composer. Horton, 'Syntax and Process', in *Rethinking*

Yet if MTB's return at bars 114–55 can be interpreted as a retransition — a function which MTA continues at bars 156–65 — then surely its earlier appearance followed by MTA at bars 41–76 could also perform the same function? When MTB and MTA occur first at bars 41–76 and again at bars 156–77 they both modulate from v to i. Their second appearance thus reaffirms their shared retransition function of MTB and MTA' from bars 41–76: MTB once again begins the modulation back to the tonic minor, which MTA at bars 156–65 continues.[19] While I do not disagree with Taylor that Mendelssohn is intentionally playing with formal expectations here — 'as no sooner is a function for a theme or passage suggested then it is taken back' — I view MTB's return bars 156–77 as adding credence to its initial appearance as behaving as both the subordinate theme and retransition at bars 41–48.[20] Consequently, I label MTB's first appearance as ST/RT under Table 3's Type 3 column, and again when it returns at bars 156–65. Likewise, I label bars 49–76 as an MT-based RT, and again when it returns at bars 166–77.

If bars 1–76 constitute a sonata form's exposition — as in Table 3's Type 3 column — this accounts for the MT-countermelody that lasts throughout bars 114–55. If bars 41–48 act as the subordinate theme, and bar 77 as the beginning of the development, then the new material at bars 114–55 may instead behave as a countermelody *to* MT, which I denote as 'MT (+ countermelody)'. Rather than regarding the allusion to MT in bars 114–55 as a countermelody to a new theme, one could instead view it as the primary thematic material, accompanied by a

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Mendelssohn, ed. by Benedict Taylor, p. 243.

[19] Admittedly, the shared retransition function of MTB and MTA at bars 41–76 is not as obvious as their second appearance at bars 156–77. Although Mendelssohn establishes G minor through prolonging its dominant in bars 37–40, it could still be read as V of V in C minor, rather than V of G minor. MTB's and MTA's shared function of modulating from v to i only becomes especially pronounced when they return at bars 114–77, since they now follow a v:PAC at bars 154–55. Mendelssohn's adjustment of MTB's closure also makes MTA's modulation back to the tonic both more necessary and prolonged. At its initial appearance, MTB had concluded over ii6, that is V of V, at bar 48, so it had already completed most of the modulation back to the tonic. When MTA' follows, it simply continues this progression as expected by prolonging V6/4, which eventually resolves onto the tonic at bar 53. By contrast, Mendelssohn alters MTB's closure when it returns at bars 163–65 so it ends on diminished harmony. The subsequent MTA then has to do more in order to bring it back the tonic, affirming its role as a retransition more clearly than at its initial appearance.

[20] Taylor, 'Mendelssohn's Formal Jests' (in press).

new countermelody. This then allows MTB's return at bars 156–65 to function as the subordinate theme, in accordance with a full developmental rotation that replays all the exposition's thematic material. It also makes sense of the joining of MTA's antecedent and ST's consequent in bars 178–213. When MTA's antecedent phrase arrives at bars 178–85 for the start of the recapitulation, rather than answering with the same consequent phrase from the exposition (bars 9–16), Mendelssohn inserts ST's consequent phrase at bars 186–213 (originally heard in bars 131–55, now rescored), which he then expands through the one-more-time technique at bars 202–213. Yet by regarding bars 115–55 as MT-material with a countermelody, this rather startling joining of MT and ST becomes merely the uniting of two MT-based phrases.

Interpreting Op. 44/3's scherzo as a Type 3 sonata, in which MTB at bars 41–48 functions as the exposition's subordinate theme, also accords with the return of the fughetta at the start of the coda, since Mendelssohn's codas frequently mirror the beginnings of his developments.[21] If one regards the movement as a Type 1 sonata, however, it would mean that the coda mirrors the beginning of the transition, a device that I have not found anywhere else in Mendelssohn's sonata-form movements. While I do not doubt that bars 114–55 hold the strongest claim to functioning as the subordinate theme, I also view MTB's return at bars 156–65 as challenging — if not necessarily completely overturning — this formal option. That being said, regarding bars 41–48 as the subordinate theme, and bar 77 as the start of the development is not an entirely satisfactory option either: not only are bars 41–48 tonally unstable, but this passage is also missing in the recapitulation, as Table 3's Type 3 column indicates.

In summarising four possible formal interpretations for Op. 44/3's scherzo and marking in red where the movement departs from each of these formal schemes, Table 3 illustrates how

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[21] Taylor observes the composer's tendency to conceive of his sonata-form movement in a 'parallel two-part design, where the coda explicitly forms a corollary to the development section'. Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 185–209 (p. 206).

the movement fluctuates between these four formal interpretations without settling on a single one. While the initial rounded binary form in bars 1–76 suggests a scherzo and trio form, the entrance of an MTA-based fughetta at bar 77 challenges this interpretation, implying instead the start of either a transition or a development. The return of MTA at bar 49, moreover, briefly indicates the possibility of a rondo form, although this can be disregarded once its B-couplet returns at bar 156 directly after its proposed C-couplet without an intermediary refrain. Once scherzo and rondo forms have been discounted, two types of sonata form remain in play: the first has a rounded binary main theme and ultimately becomes Type 1 sonata.[22] In this formal interpretation, the new melody that arrives at bars 114–55 functions as the subordinate theme. Alternatively, one can read the movement as a Type 3 sonata where the new idea at bars 41–48 acts as the subordinate theme, despite its brevity and harmonic instability. What remains uncertain is whether bars 77–177 should be regarded as a Type 3's development, or the second half of a Type 1's exposition.

My aim here is not to provide a conclusive formal reading of the Op. 44/3's scherzo, but rather to illustrate that various possible formal interpretations become more or less likely as the movement progresses. Not one of these formal schemes completely fits the movement; rather, interpreting the movement's form requires a degree of flexibility. I give considerable space to discussing Mendelssohn's formal play in Op. 44/3's scherzo because the formal ambiguities that arise from it (that is, the moments I mark in red in Table 3) enable brief moments for an intimate expressive mode to come forward in a movement where this expressive mode is often not immediately obvious. In what follows, I consider three moments where the scherzo movement's formal ambiguities offer glimpses of an intimate mode of expression: MTB's initial appearance, MTA's return in the recapitulation, and ST's first appearance. These three moments demonstrate that an intimate expressive mode still holds

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[22] Hepokoski and Darcy, p. 345. This is the interpretation Taylor eventually settles on.

sway in a movement where, at least on first hearing, it may be difficult to detect. For the sake of clarity, I will label the movement's different thematic sections according to Table 3's Type 1 column. This should not be taken to imply that this is the most persuasive formal option; rather, I use the labels from the Type 3 column because they most clearly distinguish between the movement's different sections.

Glimpses of Intimacy

MTA at bars 1–16 contains several private and reciprocal qualities. Alongside its string quartet genre, Mendelssohn reinforces a private quality through MTA's restricted range and quiet dynamics, while the cello's countermelody adds to a reciprocal quality. MTA and its return as MTA' at bars 49–76 also hold several individual parameters. MTA closes with a i:PAC at bar 16, as does MTA' at bar 63–64 and again at bars 71–72, generating self-sufficient sections. My prior discussion of the entirety of MT at bars 1–76 as alluding to the static scherzo and trio form, moreover, reinforces an individual quality. MTA is nevertheless rather more homogeneous and uniform than these features may suggest. The dominating unison across its three upper parts and the close scoring of the whole ensemble make distinguishing the individual flavours that contribute to the soup that is the string quartet's timbral uniformity an onerous task.[23] Furthermore, Mendelssohn speaks a collective language by employing tightly organised constructions: not only do bars 1–16 constitute a tightly organised period, its antecedent and consequent phrases form sentences. MTA' at bars 49–72 is similar, since the dominating unison and the close scoring from its initial statement both return.

The intervening MTB at bars 41–48 might have continued emphasising a uniform collective quality. It maintains many of the same features from MTA: the two violins play in dominating unison (sometimes joined by the lower parts) and Mendelssohn scores the whole

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[23] While the unison across the three upper voices is only in rhythm and not at pitch, I nonetheless regard it as dominating because it is difficult to distinguish between the three voices.

ensemble close together, implying a collective quality. A restricted range and quiet dynamics meanwhile suggest a private quality. There is, however, one important difference between MTB and MTA that weakens this passage's uniform collective quality: MTB's formal ambiguity. As Tables 2 and 3 illustrate, MTB can be variously interpreted as the B section of a rounded binary form, as the subordinate theme of a sonata form's exposition, or as the B-couplet of a sonata rondo (the latter two also combining with a retransition function). Such formal ambiguity speaks both collective and individual languages, so whereas MTA had been overrun by dominating unison, MTB's formal ambiguities suggest a more reciprocal quality. What had been uniformly collective becomes more reciprocal, which, along with the passage's private qualities, shifts MTB towards an intimate mode of expression.

MTB and its greater reciprocity do not return during the recapitulation, however, which might imply that there is nothing to prevent Mendelssohn from giving free reign to a uniform collective quality during MT in the recapitulation. Indeed, when MTA returns for the recapitulation at bars 178–85, Mendelssohn again scores the ensemble close together with dominating unison across the first violin, viola and cello (further emphasised by the first violin's octave double stops). Yet alongside MTA's countermelody, now in the second violin, there are several differences between MTA in the exposition and its return in recapitulation that question the influence of a uniform collective quality. Whereas MTA in the exposition had been a tightly organised period consisting of sentential antecedent and consequent phrases, in the recapitulation Mendelssohn undermines such tightly organised structures in two ways. First, MTA returns over a dominant pedal on G, thereby departing from its expected harmony. Second, MTA's antecedent phrase is answered by ST's consequent phrase, upsetting the expected arrival of MTA's consequent phrase. Although one could regard the conjoining of MT's antecedent and ST's consequent phrases as still constituting a tightly organised period, such an interpretation is questionable given that the consequent should reuse the antecedent's

material. Mendelssohn thus subverts both the sentence structure of MTA's antecedent, and its responding consequent phrase. Consequently, while I regarded MTA in the exposition as conveying a collective quality because of its tightly organised structure, MTA in the recapitulation as elicits a reciprocal quality because Mendelssohn alludes to but then subverts MTA's originally tightly organised construction. He thus replaces parameters that suggested a more uniform collective quality in the exposition with ones that invoke a reciprocal quality in the recapitulation.

Mendelssohn's joining of MT and ST at the start of the recapitulation also creates formal ambiguities. As Table 3 illustrates, this unexpected return of ST material confuses its formal role. What had appeared at bars 114–55 as new thematic material and the most persuasive contender for the subordinate theme so far, now appears to have been part of MT all along. And while such a formal interpretation is possible if one regards MTB as functioning as the real subordinate theme, I have already expressed (along with Taylor and Krummacher) several reservations on whether MTB can satisfyingly fulfil this formal role. Alongside his subversion of MTA's tightly organised construction in the recapitulation, Mendelssohn reinforces this passage's reciprocal quality by also creating formal ambiguities through its union with ST. The joining of MT and ST at the start of the recapitulation do not necessarily exhibit an intimate mode of expression: their loud dynamics and thick texture suggest a public rather than private quality. Their formal ambiguities and syntactical subversions nonetheless ensure what might have been a passage dominated by homogeneous uniformity instead still exhibits a degree of reciprocity.

ST's joining with MT in the recapitulation is not the first time it engenders formal ambiguities. Although ST's initial appearance at bars 114–55 holds the strongest claims to functioning as the movement's subordinate theme, I previously articulated doubts over whether it acts as a truly distinct theme since its quaver accompaniment stems from MTA. Table 3

therefore reveals that ST at bars 114–55 can variously be interpreted as the subordinate theme, a countermelody to a variant of the main theme, or the C-couplet of a rondo form. Alongside its formal ambiguities, Mendelssohn also brings forth a reciprocal quality during ST by subverting its tightly organised framework. ST could be considered an expanded period, with an antecedent (bars 114–30) and consequent (bars 131–55) that Mendelssohn constructs as sentences (Ex. 1). But Mendelssohn subverts ST's initial sentential antecedent phrase by beginning over a dominant pedal in the bass, which lasts until bar 122 undermining what should be a stable opening harmonic environment over tonic harmony. A sentence should, moreover, close with a genuine cadence, but the diminished harmony at bars 127–29 abandons any notion of one, even if its landing on the dominant at bar 130 is reminiscent of a half cadence. ST's consequent phrase behaves in a similar manner: it too begins over a dominant bass pedal, only arriving on the local tonic G at bar 144. And even if the period's consequent phrase achieves a v:PAC at bars 154–55, Mendelssohn's expansion of the consequent phrase to twenty-four bars, versus its sixteen-bar antecedent phrase, upsets its expected symmetrical structure.

Ex. 1. ST, bars 113–154

ST's formal ambiguities and Mendelssohn's subversion of its allusion to tightly organised structure tips the balance towards an intimate expressive mode, despite how ST begins with several individual parameters. When ST begins at bar 114, Mendelssohn prioritises the first violin's dominant voice by scoring it apart from the rest of the ensemble, giving it larger octave jumps, and marking its part alone as *espressivo* — all of which contribute to an individual quality. Then, at bars 123–26, the first violin plays in double stops, which, in thickening its texture, further emphasises its individualism. One can, moreover, read ST as a whole as alluding to A. B. Marx's static rondo form, engendering a further reference to an individual, self-contained *Satz*. Qualities that invoke an intimate expressive mode nonetheless become more potent during bars 129–39. Although ST sees two *forte* outbursts at bars 123–26 and bars 140–43, ST as a whole has predominantly quiet dynamics that connote a private quality. Furthermore, the elongated note values in ST's melodic line and thinner texture in comparison to TR that precedes it, further reinforce this passage's private quality. Alongside ST's formal ambiguities and subversions of tightly organised units, the end of ST's supposed

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antecedent phrase at bars 127–29 sees several further reciprocal parameters arise. Mendelssohn prioritises the non-dominant voice of the cello when it becomes the *Hauptstimme*. The viola then joins in sympathetic unison at bars 131–39. While the first violin becomes the dominant voice once more from bar 140, by this point Mendelssohn has comfortably reasserted the presence of intimate expression. The reciprocal quality that arises from ST's formal ambiguities and subversions of tightly organised units lasts throughout bars 114–55, which, alongside the movement's string quartet genre, ensures that intimacy's reciprocal quality remains a potent presence.

Mendelssohn continues to weaken ST's suggestion of an individual quality in the recapitulation when it joins with MT at bars 186–212. By this point, ST can no longer be viewed as functioning as a couplet from a rondo form (see Table 3), and thus loses one of the individual parameters from its initial appearance. Furthermore, by joining MT and ST into a single thematic entity, Mendelssohn implies that ST had never really been an independent theme at all. Indeed, premonitions of such a connection had existed as early as ST's first appearance. Following the MT-based fughetta, MT-material continues during ST in the exposition at bars 114–55, forming the basis of the viola's countermelody in bars 114–117, after which Mendelssohn continues to pass MT-material between voices (Ex. 1). In fact, there is not a single moment during ST in the exposition that does not feature a reference to MT. One could even go as far as to argue that when Mendelssohn unites the previously distinct thematic entities of MT and ST in the recapitulation, he mirrors how intimate exchanges bring together individuals into a harmonious collective.

Although the fast pace and uniform texture Op. 44/3's scherzo movement means any signs of an intimate mode of expression are often not immediately obvious, my analysis nonetheless demonstrates that Mendelssohn's play with form and the formal ambiguities that arise from it enable glimpses of intimacy to emerge. The formally ambiguous MTB at bars 41–

48, which variously suggests the B section of a rounded binary form, the subordinate theme of a sonata form's exposition, or the B-couplet of a sonata rondo, enables a reciprocal quality to come forward during MT — a passage that is overrun by dominating unison that offers little space for individual voices to come forward. ST is similarly formally ambiguous, acting potentially as a sonata form's subordinate theme, a rondo's C-couplet, or a countermelody to the main theme. Consequently, even though ST begins with several individual parameters, its formal ambiguities work alongside other reciprocal parameters to support an intimate expressive mode. Mendelssohn's amalgamation of MT and ST in the recapitulation then exposes the latter's dependence on the former. In doing so, he recalls how intimate exchanges bring together individuals into a collective by uniting what should be two contrasting themes, two individualities or *Sätze*, into a harmonious collective. Op. 44/3's scherzo thus demonstrates how background formal features can attain an expressive power: by creating formal ambiguities, Mendelssohn enables a reciprocal quality and an intimate expressive mode to emerge in a movement where they might otherwise have been absent.

String Quartet No. 4 in E minor, Op. 44/2, Finale

Formal play

Op. 44/2's finale certainly rivals the scherzo in Op. 44/3 in its formal complexity. While I ultimately regard the movement as residing in sonata form, there are moments that question such an interpretation, suggesting instead the possibility of a rondo-like structure. Indeed, the movement's most striking formal feature is probably the frequent returns of its main theme. Mendelssohn states it six times overall, initially suggesting a rather unconventional ABACACABACA rondo form, where A represents the main theme or refrain and B and C represent alternating couplets (Table 4). While Op. 44/3's scherzo plays with both scherzo and rondo forms, Op. 44/2's finale alludes to only the latter of these static forms. Yet because of

the main theme's frequent returns, such an allusion is perhaps more convincing.

Table 4. Rondo structure for Op. 44/2's finale

Rondo form section	Bars
A-refrain (MT)	1–74
B-couplet	75–110
A-refrain	111–24
C-couplet	125–84
A-refrain	185–244
C-couplet	245–261
A-refrain	262–328
B-couplet	329–64
A-refrain	365–78
C-couplet	379–436
A-refrain	437–514

The movement's form is nonetheless more complicated than Table 4 suggests. Similar to the scherzo in Op. 44/3, there are various points in Op. 44/2's finale where different formal schemes — in this case, sonata and rondo forms — become more or less likely. I am nonetheless cautious of viewing the movement as a mixture of both forms, or what Hepokoski and Darcy would call a Type 4 sonata, given that, as I argued in chapter two, it is unlikely to be a distinct formal type within Mendelssohn's compositional practice. Furthermore, labelling it as a sonata-rondo mixture fails to do justice to how the movement sometimes leans more towards sonata form and other times more towards rondo. Rather than attempting to categorise the movement as belonging to a strict formal type, it would be more beneficial to view it as enacting a dialogue between both sonata and rondo forms.

Krummacher nevertheless insists that Op. 44/2's follows a sonata-rondo form. Writing nearly thirty years before Hepokoski and Darcy, Krummacher's understanding of this mixture of sonata and rondo forms is remarkably similar:

> The term sonata-rondo most clearly refers to a form that takes from the Rondo the regular alternation of refrain and couplet, and from sonata movements the analogies between the exposition and recapitulation, which are built in a similar way as in a sonata movement. The development is instead framed by the refrain. And as the

third refrain corresponds with the main theme of the reprise, it is the refrain's second return in the tonic at the start of the development which is the marker of the sonata rondo and what distinguishes it from sonata form.[24]

For Krummacher, this is exactly what happens in Op. 44/2's finale. Table 5 gives Krummacher's interpretation of the movement's structure.[25] Following the first couplet at bars 75–185 (what Krummacher labels as C1), the refrain appears again in the tonic E minor at bar 186. He nonetheless observes an important idiosyncrasy: instead of the second refrain beginning with MTA, it instead begins with what he labels as MTB, the contrasting middle of the refrain's small ternary structure (an interpretation I subsequently challenge), before proceeding to MTA at bar 201. In other words, the refrain returns the wrong way round: MTB comes first and then follows MTA, upsetting the syntax of the original refrain. This is problematic for both the sonata and rondo forms, since the return to a sonata form's main theme or a rondo's refrain should be underlined at the start of the development. Yet in returning with MTB first, Mendelssohn undermines its first structural return.

Table 5. Krummacher's interpretation of the finale from Op. 44/2's structure

Refrain/ Couplet	Bars	Thematic material and function
R1	1–23	MTA
	24–39	MTB
	40–44/7	MTA'
	48–74	TR with MTA material
C1	75–90	ST, antecedent and consequent
	91–110	Varied repetition of ST
	110–24	TR with varied MTA material
	125–54	Figurative *Fortspinnung*
	155–85	Repetition of Figurative *Fortspinnung*, which then becomes CT
R2	186–201	MTB

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[24] 'am eindeutigsten entspricht dem Begriff Sonatenrondo eine Form, die vom Rondo den regelmäßigen Wechsel zwischen Refrains und Couplets übernimmt, vom Sonatensatz aber neben die Analogie zwischen Exposition und Reprise ähnlich wie im Sonatensatz gebaut, die Durchführung aber würde umrahmt von Refrains, und entspräche der dritte Refrain dem Hauptthema in der Reprise, so wäre der zweite vor der Durchführung mit Rückkehr zur Tonika die Kennmarke des Sonatenrondo im Unterschied zum Sonatensatz'. Krummacher, p. 341.

[25] Ibid., p. 345. I have translated what Krummacher calls *Hauptsatz Glied a* as MTA; MTB is *Hauptsatz Glied b*, TR is the *Überleitung*; ST is the *Seitensatz*, and CT is the *Schlussgruppe*.

	202–12	MTA'
C2	212–43	Development of MTA and MTB
	244–61/66	Development of MT and CT
R3	266–85	MTA
	286–328	MTB which is then becomes TR
C3	329–44	ST, antecedent and consequent
	345–64	ST, varied repetition
	365–78	TR with MTA material
	379–404	Figurative *Fortspinnung*
	405–25	Repetition of Figurative *Fortspinnung*, which then becomes CT
Coda	425–36	Figuration and CT fragments
	437–61	Figuration and MT fragments
(R4)	461–85	Varied repetition
	485–515	Final closure with MT material

Comparing Krummacher's interpretation of the movement's structure in Table 5 and the much-simplified rondo structure, which I give Table 4, highlights a further peculiarity. Although the movement's structure is more complicated than the simple exchange between refrain and couplet that Table 4 conveys, it nevertheless takes into account the presence of thematic material that Krummacher overlooks: what I label as the C-couplet in Table 4, Krummacher dismisses as figurative *Fortspinnung*. For Krummacher, when this same material repeats at 155–85, it functions as the closing theme. There is some logic behind his reading: bars 125–54 are indeed mostly figurative, and even though new melodic material appears at bars 155–85, it would not be uncharacteristic for a closing theme to introduce new material. But according to Hepokoski and Darcy, the closing theme can only commence after a perfect authentic cadence in the secondary key.[26] And even though Caplin doubts whether a closing theme is truly a distinct thematic section but is rather a postcadential passage that follows the subordinate theme, he similarly views what he calls the closing section as following the perfect authentic cadence that ends a subordinate theme.[27] Yet the lack of any perfect authentic cadence throughout bars 75–185 makes it difficult to identify a single moment where the subordinate

[26] Hepokoski and Darcy, p. 180.
[27] Caplin, *Classical Form*, p. 122.

theme ends and the closing theme begins. In Table 6, I summarise the cadences that occur at the end of each section according to Krummacher's labelling, demonstrating that none of the cadences during this section constitute perfect authentic cadences (although a i:PAC occurs at the end of MTB, this confirms the modulation back to the tonic, rather than a subordinate key).

Table 6. Cadences in bars 75–185.

Krummacher's labelling	Bars	Cadence at end
ST	75–110	III:AC
TR with development of MTA	111–24	elided, weak III:PAC[28]
Figurative *Fortspinnung*	125–54	III:EC
CT	155–185	VI:IAC
R2: MTB	186–201	i:PAC

Mendelssohn nevertheless avoids giving perfect authentic cadences to demarcate formal sections on a fairly regular basis, so it may be possible to view the VI:IAC at bars 180–81 as providing a sufficiently strong closure for the closing theme.[29] But it occurs in C major rather than the G major key in which this passage begins. And although C major could be deemed as the 'real' subordinate key because it achieves an imperfect authentic cadence while no such cadence arises in G major, I still regard G major as carrying considerably more weight in the exposition. Following the beginning of ST over V^7 of this key at bar 75, Mendelssohn continues to emphasise G major — if not cadentially — during Krummacher's figurative *Fortspinnung* passage until bar 160. Consequently, the VI:IAC at bars 180–81 functions more

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[28] Although there is a V6/4 cadential progression in bars 123–25, I nonetheless view this as an example of an elided and weak cadence since the ultimate tonic harmony at bar 125 initiates the start of the following phrase, while the absence of a bass note in bar 124 weakens this cadence.

[29] Of Mendelssohn's common sonata procedures observed by Paul Wingfield and Julian Horton, three — 'elisions of exposition and development', 'elisions of development and recapitulation', and 'non-resolving recapitulations' — imply that they do not close with perfect authentic cadences. Of the seventy-four sonata-form movements Mendelssohn wrote between 1825 and 1847, eleven have elisions between the exposition and development, thirty-six have elisions between the development and recapitulation, and five of these have non-resolving recapitulations. Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn Perspectives*, ed. by Nicole Grimes and others (Farnham, Surrey: Ashgate, 2012), p. 103. Likewise, in his examination of Mendelssohn's sonata form practice, taking the first movement of Op. 44/2 as a paradigmatic example, Taylor observes that Mendelssohn's recapitulations 'are commonly elided with the preceding music'. Taylor, 'Mendelssohn and Sonata Form', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 205.

as a brief intermediary key during the modulation from G major back to the tonic E minor for the start of the development at bar 201. Indeed, this modulation had been suggested as early as bars 163–69 owing to its prolongation of E minor, so when what Krummacher calls MTB leads back to E minor in bars 185–201 following this VI:IAC, it quickly becomes clear that C major should be heard as VI of E minor. Krummacher's closing theme in at bars 155–85 thus initiates the retransition back to the tonic, which MTB then continues. Rather than fulfilling the closing theme's formal role of reinforcing the subordinate key, Krummacher's closing theme assumes the role of modulating from G major back to E minor.

Because Krummacher's closing theme begins in a different key from that in which it ends and initiates the retransition back to the tonic minor, I find his labelling of bars 155–85 as the closing theme unsatisfactory. Furthermore, the lack of perfect authentic cadences in a subordinate key, as shown in Table 6, challenges the ability of any of the new thematic material that occurs here to function as the subordinate theme, let alone the closing theme. Instead, I propose in Table 7 two other possible formal interpretations for this movement, both of which regard Krummacher's figurative *Fortspinnung* at bars 125–54 and closing theme at bars 155–85 as holding greater thematic weight than he concedes. Either they function as a second subordinate theme (ST2) of a sonata form's exposition, or as a rondo form's C-couplet — and both also undertake a retransition function since bar 125 initiates the modulation from G major back to the tonic. This function continues into what Krummacher calls MTB, and what I call MT^2 at bars 185–200. This change in labelling is due to how I question whether the movement's opening main theme can be construed as exhibiting a small-ternary design. What Krummacher labels as the exposition of a small ternary form, or MTA, at bars 1–22 cannot be designated as such according to Caplin's conception of this tightly organised unit, since a small ternary's exposition should consist of a relatively tightly organised unit and conclude with a perfect

authentic cadence in either the tonic or subordinate key.[30] What I instead label as MT^1 at bars 1–22, however, is more ambiguously constructed: rather than sounding as a self-contained tightly organised theme, it sounds as though it has begun in the middle of process that has already begun, and rather than closing with a perfect authentic cadence, its landing on C major at bar 20 results in a deceptive cadence.[31]

Table 7 offers two possible formal interpretations of the movement as either a Type 3 sonata or a rondo form. Neither form is a completely satisfactory interpretation for Op. 44/2's finale, so in what follows I explain why propose these interpretations as well as offering my misgivings for each.

Table 7. Sonata and rondo forms in the exposition of Op. 44/2's finale

Bars	Keys	Sonata form	Rondo form
1–22	i	MT^1	**R1:** A-refrain
23–39	i	MT^2	
39–72	i – V	TR	TR
73–110	III	ST1	B-couplet
111–24	III	MT^1-interpolation	**R2:** A-refrain
125–84	III – i (–VI)	ST2/RT	C-couplet + RT
185–200	(VI –) i	MT^2/RT	RT (MT^2)
201–10	i	Development: MT^1	**R3:** A-refrain
211–45	i – V – VI – iv	MT^2	
246–60	iv – III – VII	ST2	C-couplet
260–65	V of I	RT (MT^1-based)	RT (A-based)
266–85	i	Recapitulation: MT^1	**R4:** A-refrain
285–328	i – I	MT^2	
329–64	I	ST1	B-couplet
365–78	I	MT^1-interpolation	**R5:** A-refrain
379–437	I – i	ST2⇒RT	C-couplet
437–60	i	CT (MT^1-based)	RT (A-refrain-based)
461–84	i	Coda: MT^1	**R6:** A-refrain
485–515	i	MT^2	

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[30] Caplin, *Classical Form*, p. 73.
[31] Although MT^2 exhibits a tightly organised period structure, suggesting that it could be labelled as MT2, because the preceding MT^1 does not follow such a tightly organised layout or close with a clear cadence, MT^2 does not begin as a distinct thematic unit but sounds as a continuation of what came before it. See 'List of Abbreviations' for further explanation of my thematic labelling.

Rondo Form

Table 7 gives two possible subordinate themes at bars 73–110 and bars 125–84 (ST1 and ST2), which, because an MT[1]-interpolation surfaces between them, could be regarded as B- and C-couplets of a rondo form. Indeed, both themes present new thematic material, and are distinct from the main theme and the other possible couplet. In the case of ST1, the onset of its new crotchet melody in the first violin at bar 75 is of a markedly different character to the preceding main theme: it is slower, quieter and more melodic; it also resides in the relative major. Although ST2 begins with less melodically distinct figuration in bars 125–54, when it repeats in bars 155–84, its second iteration is joined by a new, more distinct crotchet melody in the two middle voices.

Furthermore, both ST1's and ST2's failure to establish G major with an authentic cadence increases their resemblance to rondo form. While the subordinate theme in a sonata form's exposition should attain a perfect authentic cadence in a subordinate key (or what Hepokoski and Darcy call the essential expositional closure), Caplin remarks that 'the establishment and confirmation of a subordinate key in a rondo are often less emphatic than they are in a sonata […and] this requirement may sometimes be waived'.[32] Admittedly, the lack of perfect authentic cadences during ST1 and ST2 is not enough on its own to suggest a rondo form, especially since Mendelssohn fairly frequently avoids establishing the subordinate keys with authentic cadences in his expositions.[33] That being said, the thematic distinctiveness of ST1 and ST2 means one could instead read them as the B- and C-couplets of a rondo form, with ST2 presenting new thematic material that is tonally and thematically distinct from both the main theme and ST1 (Ex. 2 and 3).

The similarities between ST1's and ST2's syntactical constructions also suggest that

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[32] Caplin, *Classical Form*, p. 233.
[33] Op. 44/2's first movement similarly evades an essential expositional closure (see chapter four) as does the first movement from the String Quartet No. 3, Op. 44/1 (chapter seven) and the finale from the Piano Trio No. 2, Op. 66 (chapter eight).

their thematic status is roughly equal, which may imply two couplets of similar weight. Both start by alluding to tightly organised sentence structures, and both ultimately subvert them owing to their lack of cadences. In Ex. 2 and Ex. 3, I mark their suggestion of a sentence's presentation and continuation phrases but also their missing cadences. ST1, moreover, begins over dominant rather than more stable tonic harmony, thus undermining the stable harmonic environment that a sentence's presentation phrase should provide. Meanwhile, Mendelssohn substantially expands ST2's continuation phrase. And while I argued in chapter two that because a sentence's layout is less symmetrical than a period's, it can undergo some expansion without necessarily undermining its underlying shape, ST2's expansion of its continuation phrase is rather extreme. In comparison to its eight-bar presentation phrase at bars 125–32, its continuation is more than twice its length at twenty-two bars long.

ST1 and ST2 share a further similarity. Because a varied repetition follows their initial subverted sentence structures, they both allude to tightly organised periods that have sentential antecedent and consequent phrases. In the case of ST1, this remains an allusion because both antecedent and consequent phrases fail to achieve authentic cadences (Ex. 2). The allusion is perhaps less obvious in ST2 owing to the new legato countermelody in the inner voices at bars 156–66 (Ex. 3). The first violin nonetheless repeats its figurative part from bars 125–40 (even if it relegated it to accompanying ST2's new crotchet melody in the inner voices), replicating the presentation phrase of ST2's initial sentence from bars 155–62. It thus alludes to a consequent's repetition of the preceding antecedent. While ST2's consequent ultimately closes with a VI:IAC at bars 180–81, Mendelssohn does not provide a cadence at the end of its antecedent phrase: a first-inversion dominant in bars 153–54 undermines its penultimate harmony, and the cadence's completion at bar 155 elides with the beginning of the next phrase. I label this subversion of closure as both an elided and abandoned cadence in Ex. 3. The lack of a cadence at the end of the antecedent means ST2 can only allude to a tightly organised

period.

Ex. 2. ST1 in the exposition, bars 75–111

Ex. 3. ST2 in the exposition, bars 125–83

While ST1 and ST2 may act like a rondo form's B- and C-couplets, and the MT[1]-interpolations that occur between them may suggest the exchange of a rondo form's refrain, several features of the MT[1]-interpolation upset this interpretation. The interpolation's first

iteration at bars 111–124 does not come after a retransition back to the tonic, but instead remains in the relative major, the same key as the preceding passage. It thus departs from how a rondo's refrain should return in the tonic. Mendelssohn, moreover, ensures the preceding B-couplet music flows straight into the MT[1]-interpolation without a distinct break. An abandoned cadence at bars 110–11 prevents a clear cadential division, while at bar 111 the first violin takes up the held dotted minims from bars 106–08, creating a degree of continuity (Ex. 4). Mendelssohn similarly evades the MT[1]-interpolation's closure. Although bar 123 presents a V6/4 suspension resolving onto V of G major, what should be its resolution onto I at bar 125 instead initiates the beginning of ST2 and groups with the following phrase, resulting in an elided cadence (Ex. 4). Mendelssohn also does not restate the refrain in full since there is no sign of MT[2]. The MT[1]-interpolation thus departs from Marx's understanding of a rondo's refrain, which 'cannot entertain essential alterations of its *Sätze*, but only peripheral changes'. Sonata form, on the other hand, 'can embrace these as well'.[34]

Ex 4. Abandoned cadence at the end of ST1 and the MT¹-interpolation, bars 105–125

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[34] Adolf Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, trans. by Scott Burnham (Cambridge: Cambridge University Press, 1997), p. 95.

Sonata Form

If the finale's MT¹-interpolations do not fully comply with a rondo form's refrain, then it is worth considering to what extent the movement follows a sonata form layout.[35] Such an interpretation becomes more convincing during the movement's second half. The appearance of only ST2 (or the C-couplet) without ST1 (or the B-couplet) during the development diminishes the allusion to rondo form, since this generates an ABAC*AC*ABA design. If the movement were in a rondo form, following the initial ABACA pattern in bars 1–245, one would

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[35] One may be tempted to regard the movement as following what James Webster describes as a three-key exposition in Schubert's music, what Caplin calls a modulating subordinate theme, or what Hepokoski and Darcy regard as a trimodular block. See James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', *19th-Century Music*, 2 (1978), pp. 18–35; Caplin, *Classical Form*, pp. 119–21; Hepokoski and Darcy, pp. 170–77. Op. 44/2's finale nonetheless departs from such a formal layout. Webster stresses that Schubert's three-key expositions consist of a subordinate theme that initially begins in some remote key, before closing in the expected dominant (p. 19). Likewise, Caplin regards the goal of a modulating subordinate theme as the 'dominant region of the home key' (p. 119). Even if one stretches this to also include the relative major of a minor-key movement, because the VI:IAC at the end of ST2 only entails a brief diversion during ST2's and MTB's retransition back to the tonic minor, this implies that the exposition follows a I – III tonal path, rather than I – III – VI. Even if VI had been more convincingly established, it occurs in the wrong order: VI would be the more remote key in which the subordinate theme of a three-key exposition should begin, before concluding in VI. Op. 44/2's subordinate theme, on the other hand, modulates from III to VI, rather than VI to III. While the presence of two possible subordinate themes resemble Hepokoski and Darcy's description of a trimodular block as featuring 'two separate launches of new themes', they depend on the appearance of two medial caesuras preceding them (p. 171). It is, however, difficult to detect a clear medial caesura before ST2, since the preceding MTA-interpolation flows straight into ST2 with an elided cadence.

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expect either the return of the B-couplet, resulting in an eventual ABAC*AB*A design, or a further new D-couplet, generating an ABAC*AD*A pattern. The return of ST2 or the C-couplet at bars 246–60 therefore upsets the movement's potential rondo form, and instead has more in common with a sonata form's development, which reformulates material from the preceding exposition.

Furthermore, bars 266–460 mirror the thematic layout of bars 1–200, suggesting a sonata form's recapitulation. It also serves as something like a correction to the confusing early return of MT^2 before MT^1 in bars 185–200 in the exposition. In the exposition, a sequential progression at the end of ST2 bars 167–74 upsets the cello's prolongation of E in the bass, resulting in a shift onto D7 which becomes V of V of C major that ultimately leads to the V:IAC (Ex. 3). Although I view the VI:IAC to which this leads as representing only a brief harmonic diversion during the modulation back to the tonic minor, it nonetheless prevents ST2 from completing the modulation from G major to E minor. Only MT^2's return at bars 185–200 completes the modulation back to the tonic minor. In the recapitulation, however, Mendelssohn replaces the sequential progression at the end of ST2 with an exact repetition in bars 417–24, thereby preventing a similar harmonic diversion. Mendelssohn's expansion and fragmentation of ST2 at bars 425–36, moreover, bolsters its preparation for the tonic minor by prolonging its dominant. Unlike in the exposition, ST2 alone completes the modulation (which this time is from ST1's tonic major back to the tonic minor). MT^2 therefore does not resurface to finish this modulation, as it had done in the exposition, and when MT^1 then arrives at bar 437, it begins securely over a rooted tonic harmony. In the recapitulation, then, ST2 alone holds a retransition function, while in the exposition ST2's harmonic deviation to C major means it cannot complete the modulation from the G major to E minor, necessitating the return of MT^2 at bars 185–200 to complete the retransition. I therefore view ST2 in the recapitulation as an instance of functional transformation. Because in the exposition the subsequent MT^2 completes

the modulation back to the tonic minor, ST2 can claim to act as a second subordinate theme, which is then followed by MT^2 functioning as the retransition. Yet in the recapitulation, what had previously acted as a possible second subordinate theme (ST2) becomes the retransition (ST2⇒RT), since it successfully completes this function alone without the re-emergence of MT^2.[36]

If ST2 in the recapitulation becomes the retransition, I could regard this as strengthening ST1's claims to functioning as the true subordinate theme all along. The movement would then more comfortably follow a sonata form layout, with only one subordinate theme, ST1. I do not, however, regard this as resolving the movement's formal ambiguities. Although I ultimately read ST2 in the recapitulation as functioning as the retransition, this role is by no means secure in the exposition. Even in the recapitulation, its retransition role only becomes evident when Mendelssohn expands ST2 in bars 425–37 to elicit the modulation back to the tonic minor. Yet when ST2 had begun as far back as bar 379, it could still have followed a similar path as it had in the exposition. Until ST2's expansion in the recapitulation, it holds at least as strong claims as ST1 to being an independent thematic unit. Coupled with the fact that ST2 follows an MT^1-interpolation at bars 111–124 in the exposition, and again in the recapitulation at bars 365–78, the movement still recalls a rondo's forms exchange of couplet and refrain.

Mendelssohn, moreover, throws doubt on whether ST1 should be regarded as the 'real' subordinate theme — even if ST2 becomes the retransition in the recapitulation — since he

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[36] There is one caveat to this interpretation. Normally, the closing theme comes *before* the retransition. Yet because the closing theme also has the function of reinforcing the final key of the recapitulation — which is exactly what MTA at bars 437–60 does by beginning in E minor and closing with a perfect authentic cadence in this key — I still view this passage as holding this role. Such a procedure is only really possible in a recapitulation. In an exposition, the closing theme must confirm the subordinate key, and must therefore occur before the retransition (if there is one) back to the tonic. The closing theme in the recapitulation, however, has the function of confirming the tonic key (since the subordinate theme should ultimately be resolved in the tonic). This means, in the case of Op. 44/2's finale, the closing theme can follow the retransition in the recapitulation, since its role is to confirm the key to which the retransition modulates. One could alternatively view MTA at bars 437–60 as the beginning of the coda, but I find bar 461 a more convincing option since it follows the i:PAC that closes MTA as the closing theme.

undermines ST1's tonal stability in the exposition in two ways. First, he destabilises its beginning through a tonal subversion: the preceding transition modulates to B minor, concluding with a prolongation of i6 in this key at bars 68–72. A medial caesura-like passage follows in bars 73–74 (the diminished harmony here also can be regarded as a second inversion V^9 of B minor), implying that the impending subordinate theme will reside in the dominant minor. ST1, however, arrives on V of G major (which itself is less stable than I of the local tonic) rather than the prepared-for key (Ex. 5). And second, throughout ST1's duration, Mendelssohn does not supply a single perfect authentic cadence in G major; there is only the previously-mentioned abandoned cadence at its close at bars 110–11 (Ex. 2). Mendelssohn's twofold undermining of ST1's key of G major questions whether it entirely fulfils its formal role of establishing a subordinate tonality. The appearance of further new material at bar 125 (ST2) could thus be regarded as something like a second attempt at this aim — even if it ultimately fails to fulfil this aim too — especially since it offers further new material that is both tonally and thematically distinct from the main theme. So even if I ultimately view ST2 as taking the role of the retransition in the recapitulation, this is by no means certain in the exposition.

Ex. 5. The end of the transition and the subordinate theme's tonal subversion, bars 66–78

In containing features from both sonata and rondo forms, one may be persuaded to interpret Op. 44/2's finale as a sonata-rondo mixture, or what Hepokoski and Darcy would call a Type 4 sonata, especially since its development begins in the tonic. Yet I find such a categorisation dissatisfying, as it would involve overlooking several of the form's idiosyncrasies. Although the MT[1]-interpolation cannot be understood as a rondo refrain 'proper', which is self-contained and distinct from its surrounding couplets in different keys, I contend that rhetorically it has the same effect. Listeners still recognise it as the return of the movement's opening refrain, allowing them to hear the subsequent new material at bar 125 (the C-couplet or ST2) as a new couplet, or at least 'couplet-like'. Mendelssohn takes one facet of rondo form, the return of the refrain between two couplets, and combines this with a characteristic of sonata form, the variation and development of its main theme. Consequently, rather than regarding Op. 44/2's finale as a sonata-rondo mixture, I consider it as exhibiting a sonata form layout while at certain points alluding to rondo form.

Mendelssohn's play with form has important ramifications for my consideration of intimate expression in Op. 44/2's finale. In creating formal ambiguities that engender a reciprocal quality, he offers glimpses of reciprocity, hinting at an intimate mode of expression at moments where their opposing qualities otherwise dominate. To demonstrate this, I consider the expressive qualities during the MT^1-interpolation at bars 111–24 in comparison to MT^1's initial appearance at the movement's opening, and the two possible subordinate themes (ST1 and ST2) that occur on either side.

Glimpses of Reciprocity

MT^1 at bars 1–22 prioritises the first violin: it plays the main melodic material as the rest of the ensemble remain a fairly unobtrusive accompaniment, has a wider range, and is often scored some distance above the other voices. Yet despite these individual parameters, I regard MT^1 as predominantly holding collective and public qualities. Even if the first violin sounds as an individual, the dominating unison in the second violin and viola parts, which the cello joins at bar 14, contributes to this passage's uniform collective quality. Meanwhile, Mendelssohn leaves MT^1 dependent on what follows for closure by writing a deceptive cadence at bars 19–20 before MT^2 ensues, further adding to its collective quality. And although MT^1's collective quality does not necessarily oppose an intimate mode of expression, this passage also contains several public parameters which do. MT^1 has a thick texture (especially from bar 9 when the cello joins), a wide range, and loud dynamics — all of which indicate a public quality. Even if the string quartet genre tends to emphasise private and reciprocal qualities, the predominance of public and collective qualities means there is little sign of an intimate mode of expression during MT^1 at the finale's opening.

Moments that are more formally ambiguous nonetheless provoke a shift towards a more reciprocal quality. These include the MT^1-interpolation at bars 111–24, which alludes to but does not quite comply with a rondo's refrain; and ST1 and ST2 that appear either side of this

interpolation, which may or may not act as two possible subordinate themes or a rondo form's B- and C-couplets. Indeed, when MT[1] returns as an interpolation between ST1 and ST2 at bars 111–24, its expressive qualities change from its original appearance at the movement's opening. Although Mendelssohn maintains the public parameters of a thick texture and louder dynamics, the interpolation's first part up until bar 119, sees a resurgence of private and reciprocal parameters that orientate it towards an intimate mode of expression. The melodic line has a more restricted range in comparison to MT[1]'s initial statement, conferring a private quality (Ex. 4). Mendelssohn, moreover, gives the primary thematic material to the second violin's non-dominant voice, while the first violin plays a dotted minim countermelody, connoting a reciprocal quality. Furthermore, the MT[1]-interpolation presents a degree of formal ambiguity. As I argued above, the MT[1]-interpolation upsets the supposed sonata form exposition that the movement had been following until this point and sounds reminiscent of a rondo's refrain. Yet in occurring in a non-tonic key, it also does not wholly comply with the first return of a rondo refrain either.

The second part of the MT[1]-interpolation at bars 120–24 nonetheless sees the re-emergence of an individual quality. Alongside the interpolation's allusion to a rondo's static form, Mendelssohn prioritises the first violin once more, which has a wider range than the rest of the ensemble. Meanwhile, several public parameters also come forward: Mendelssohn thickens the texture, and the first violin widens its range. Mendelssohn nonetheless ensures the MT[1]-interpolation's reciprocal quality remains. Alongside the interpolation's formal ambiguity, Mendelssohn subverts its expected closure with an elided cadence. I also regard the rhythmic unison in the lower strings from bar 121 as creating a sympathetic unison texture, which also elicits a reciprocal quality. Although their scoring is similar to that at the movement's opening, the crucial difference is that the rhythmic unison in bars 110–124 follows a passage where the four voices of the ensemble had played more independent parts.

Consequently, when they join together into unison at bar 120, they sound as four distinct voices coming together into sympathetic unison, whereas at the movement's beginning there had not been the opportunity for them to assert their distinct voices first. During the interpolation's second part, then, there are three ways in which Mendelssohn suggests an individual quality: alluding to rondo form, prioritising the first violin, and giving it a wider range than the other parts. Yet four parameters indicate that a reciprocal quality exist alongside: its string quartet genre, formal ambiguity, subversion of closure, and sympathetic unison. While I regard the second half of the MT[1]-interpolation as holding several individual parameters, a reciprocal quality is likely more potent. And even if the interpolation's second part sees the revival of public parameters, preventing an intimate mode of expression from taking hold completely, it does not result in collective uniformity owing to the prevalence of reciprocal parameters.

The preceding ST1 at bars 75–110 similarly betrays an individual quality (Ex. 2). Mendelssohn prioritises the first violin, and, in extending it upwards, he gives it a more expansive range and scores it apart from the rest of the ensemble. Meanwhile, he supplies ST1 with several private parameters: its chamber-music genre, thinner texture in comparison to the preceding transition, and quiet dynamics all connote this quality. If individual and private qualities hold sway over ST1, then rather than alluding to an intimate environment, one could instead read it as suggesting something like solitary isolation. Yet ST1 also includes several parameters indicative of a reciprocal quality. At bars 84–89 and 100–04, Mendelssohn imitates conversation by having the second violin and viola reply to the first violin's legato gestures, which also play in sympathetic unison. ST1 as a whole, moreover, represents a tonal diversion. Similar to Op. 44/2's first movement (see chapter four), the preceding transition suggests a modulation to the dominant minor, landing on diminished harmony over C-sharp at bars 73–74 that functions as V9 of B minor (Ex 6). Yet ST1 instead emerges in the key of G major, the relative major. I also discussed above how Mendelssohn alludes to but ultimately subverts a

tightly organised period in ST1, which also summons a reciprocal quality. While private and individual qualities remain pervasive during ST1, Mendelssohn also imbues this passage with reciprocity, thus orientating ST1 towards an intimate mode of expression, despite the presence of an opposing individual quality.

ST2 might be even further removed from intimate expression since it brings forth both intimacy's opposing individual and public qualities (Ex. 3). Besides prioritising the first violin, which again has a wider range than the rest of the ensemble, the first violin also becomes increasingly virtuosic, eliciting both individual and public qualities. Although the first violin's quaver passagework in bars 125–140 may not be flamboyant enough to be considered virtuosic, I regard its impressive ascents first to E-flat that follow at bars 141–44 and then to B-flat at bars 145–49 as indicating this topic. It becomes more virtuosic again during bars 167–74 through its staccato quavers and ostentatious trills. Whereas ST1 can still be conceived as following a sonata form's exposition, ST2 does not fit into such a formal scheme as easily, and, as Table 7 illustrated, alludes to the C-couplet of a static rondo form. ST2 also contains several public parameters. The first violin's virtuosity already suggests this quality, which Mendelssohn further highlights through ST2's wider range across all parts in comparison to the MT[1]-interpolation that precedes it, and through its loud dynamics.

A reciprocal quality nonetheless remains prevalent during ST2. As I explained above, ST2 alludes to but subverts a tightly organised period and the tightly organised sentences that constitute its antecedent and consequent phrases owing to its lack of genuine cadences (Ex. 3). And while ST2's allusion to a rondo's C-couplet implies an individual quality, this also generates some ambiguity over its role in the movement's form. Mendelssohn's texture, moreover, increasingly adds to a reciprocal quality. First, he employs an imitative texture followed by sympathetic unison in the lower voices (since these distinct voices come together in rhythmic unison) in bars 139–49. Then, during ST2's supposed consequent phrase, he

prioritises the non-dominant voices of the second violin and viola, which play a new legato melody in sympathetic unison at bars 155–66. And even if I view the staccato quavers and trills in the first violin at bars 166–74 as virtuosic, Mendelssohn maintains a reciprocal quality by imitating conversation, since he passes similar material back and forth between the two violin parts. All four voices finally come together in sympathetic unison bars 175–77, and even if the first violin then departs from this texture, the lower voices maintain their unison in bars 179–81. While ST2's individual and public qualities dissuades me from regarding this passage as unquestionably intimate, the prevalence of reciprocal parameters nonetheless distances ST2 from the uniform collective quality that otherwise might have arisen.

Similar to Op. 44/3's scherzo, it would be difficult to regard Op. 44/2's finale as being overrun by an intimate mode of expression. Mendelssohn's play with form and the resulting formal ambiguities nonetheless works alongside several other reciprocal parameters to enable glimpses of intimacy to come forward. The MT[1]-interpolation suggests a rondo refrain but in occurring within a non-tonic key, does not completely comply with such a formal interpretation. The ensuing formal ambiguities shift this passage towards an intimate mode of expression, especially during its first part. And while ST2 contains a virtuosic first violin part, its formally ambiguous allusion to a rondo's C-couplet alongside several textural features, ensure that intimacy's reciprocal quality remains a potent presence during this passage. Even if the finale's formal ambiguities do not necessarily always succeed in conclusively producing an intimate mode of expression in this movement, they nevertheless play an important expressive role in supplying these moments with a greater degree of reciprocity.

For Marx, sonata form's greater mobility made it superior to rondo and *Liedsatz* forms, where the repeated returns of a stationary refrain in the tonic resulted in a static form. Yet the speed and forward momentum of the scherzo from Mendelssohn's Op. 44/3 and of the finale from Op. 44/2 mean they could hardly be described as static, despite their allusions to rondo

and scherzo forms. Perhaps, one could read this as Mendelssohn proving, *pace* Marx, that the repeated returns of the same theme does not necessarily entail a static form. Indeed, Mendelssohn's allusions to scherzo and rondo forms in these movements engender formal ambiguities that suggest a reciprocal quality rather than something isolated from the larger formal process. Furthermore, while it would be difficult to view these fast-paced movements as being pervaded by an intimate mode of expression, Mendelssohn's formal ingenuity and the resulting formal ambiguities enable intimacy's reciprocal quality to emerge perhaps more often than we might expect. Even if this reciprocal quality does not always tip the balance towards an intimate mode of expression, my analysis demonstrates the critical role that background formal features play in the dialogue between intimacy's qualities and those that oppose them. The formal ambiguities in these movements either work alongside other private, collective and reciprocal parameters to elicit an intimate mode of expression, or they permit an element of reciprocity to remain during passages where other qualities dominate.

Mendelssohn's formal play in Op. 44/3's scherzo and Op. 44/2's finale is by no means the only way in which his treatment of form attains an expressive potency by playing a critical role in the dialogue between different expressive qualities, but it does perhaps showcase one of his most ingenious methods of doing so. In the following chapter, I focus more closely on an aspect that I has already emerged several times in my examination of Mendelssohn's music: his subversive treatment of tightly organised units. Such procedures are particularly prevalent in the outer movements of his Cello Sonata No. 1 in B-flat, Op. 45, to which I now turn.

Chapter Six

Syntactical Subversions

Cello Sonata No. 1 in B-flat, Op. 45, First and Third Movements

As the finale of Mendelssohn's Cello Sonata in B-flat, Op. 45 (1838) draws to a close, expectations arise for some kind of momentous ending that assertively brings this three-movement work to its conclusion. Yet the work's closure is striking precisely because of how anticlimactic it is. Following a characterful finale, its coda at bars 226–55 comes across as resigned, disappointing even. Its scattering of semiquaver arpeggiations in the piano is almost too ethereal and suggests the movement has abandoned trying to find a satisfying resolution to the entire work. More astonishing is how Mendelssohn undermines the movement's conclusion. The work's final cadence occurs at bar 243, followed by a B-flat bass-pedal in the cello. This tonic prolongation is not a secure one, however, as Mendelssohn twice inserts destabilising diminished harmonies in bars 248 and 250. Not only does Mendelssohn upset the movement's harmonic stability after its final cadential closure, but this closure is itself also unsatisfying. The work's final cadence is not a perfect authentic cadence: although the cello's melody lands on the tonic B-flat at bar 243, the piano covers it with a D in its right hand (Ex. 1). And even though the cello begins by playing the main melodic line at from bar 240, Mendelssohn pitches it lower than the piano's right hand when it enters at bar 241, and it gradually loses this melodic role and starts functioning as the bass line by bar 243 when it

reaches B-flat. If the cello no longer acts as the soprano by the time it arrives on B-flat at bar 243 then the higher D in the piano's right-hand holds a greater claim to this position. Mendelssohn thus replaces the final expected perfect authentic cadence with an imperfect one. Nor does he highlight the work's finale cadence as a significant moment. Mendelssohn asks for a *diminuendo* in bar 241 from an already *piano* dynamic, arriving at *pianissimo* at bar 243. The last cadence that can indisputably be labelled as a perfect cadence occurs at bar 231, but this occurs mid-way through the main theme's final statement in the coda. We expect a further perfect authentic cadence to close main theme and to conclude the entire work, but such a cadence never arrives.

Ex. 1. The finale's final imperfect authentic cadence, bars 240–43

Larry Todd seems to overlooks the work's irresolute conclusion by insisting that 'a classical tranquility envelops this music, which avoids dramatic contrasts within and between movements, and favors balance and structural stability'.[1] It is difficult to fathom how Todd can deem a work that does not close with a conclusive perfect authentic cadence as balanced and stable: how can a 'classical tranquility' infiltrate this music if it does not achieve one of the most fundamental conditions of Classical sonata style — a perfect authentic cadence at its final conclusion? Yet there is some logic behind Todd's comments. As my ensuing analysis of Op. 45's outer movements demonstrates, Mendelssohn's syntactical play frequently suggests

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[1] Larry Todd, *Mendelssohn: A Life in Music* (New York: Oxford University Press, 2003), p. 367.

balance and stability, but he also repeatedly undermines such attributes. Todd's perception of the work as balanced and stable may not be completely unfounded, but my analysis Op. 45's outer movement proposes that such an interpretation requires further nuance.

In this chapter, I focus on Mendelssohn's syntactical play in Op. 45's outer movements, which often suggest stable and balanced tightly organised units only for Mendelssohn to then subvert them. Although he employs such procedures across his instrumental works, they occur particularly frequently in Op. 45's outer movements, offering an enlightening case study for illustrating the role they play in engendering an intimate expressive mode. As my analysis demonstrates, Mendelssohn's syntactical play often subverts conventional thematic constructions and expected closure, betraying a reciprocal quality. This is despite how Op. 45's duo sonata genre does not reinforce a reciprocal quality in the same way as the string quartets I examined in the previous two chapters do. Whereas the string quartet had long been recognised as imitating conversation, connoting a reciprocal quality, I argued in chapter two that duo sonatas do not contribute to such a quality since the genre historically tended to prioritise one voice over the other. The timbral distinction between the piano and cello parts also means their individual voices are easier to distinguish; they cannot merge as seamlessly as the string quartet's four voices. Consequently, despite the equal status Mendelssohn gives to the cello and piano in Op. 45, he cannot escape a tendency to prioritise one voice over the other, since the cello and piano cannot merge so seamlessly. This is not to say that I regard the duo sonata genre itself as contributing to an individual quality, but rather that because of its two distinct timbres, the Cello Sonata will likely contain more individual parameters, especially those that indicate the prioritisation of an individual voice. The duo sonata, moreover, does not present a clear dominant voice, like the first violin in a string quartet. Because both instruments can undertake this role, I regard any moment that prioritises one voice over the other as prioritising a dominant voice.

While the duo sonata may not reveal an inclination towards reciprocity in the same way as the string quartet, in Op. 45 Mendelssohn instead turns to syntactical subversions to summon a reciprocal quality, thereby countering the duo sonata's tendency to prioritise one individual voice over the other. Mendelssohn's syntactical subversion does not always succeed in overturning an individual quality, but it nonetheless provokes a dialogue between reciprocal and individual parameters that prevents the latter from completely dominating this movement. Furthermore, even if the duo sonata genre does not suggest a reciprocal quality in the same way as the string quartet, it remains a type of chamber music that connotes intimacy's private quality. Consequently, when Mendelssohn succeeds in eliciting a reciprocal quality through his syntactical subversions, while also reinforcing the genre's private quality, he invokes an intimate mode of expression.

The First Movement

Op. 45's opening presents an example of Mendelssohn's syntactical play, and his allusion to but undermining of balance and stability. Table 1 outlines the main theme's construction at bars 1–30, which I divide into two parts: MT1 (bars 1–22) and MT2 (bars 23–30). MT1 could be construed as a small ternary form, owing to a three-part structure that sees the return of the opening material at bar 17 (MT1A'). This passage does not, however, wholly comply with William Caplin's definition of a such a tightly organised structure. The exposition (MT1A) should end 'with a perfect authentic cadence in either the home key [… or] a closely related, subordinate key', yet MT1A closes over V^7 at bar 8, what Janet Schmalfeldt would call a 'nineteenth-century half cadence'.[2] Meanwhile, the contrasting middle (MT1B) should express 'the instability of the dominant harmony' and 'with few exceptions, concludes with that

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[2] Caplin, *Classical Form*, p. 71. Schmalfeldt defines a nineteenth-century half cadence as occurring when a 'form-defining arrival on the dominant that, unlike the typical goal of classical half cadences, includes its seventh'. Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), pp. 202–03.

harmony'.[3] The supposed contrasting middle offered by MT1B, however, does not comply, instead prolonging the tonic until bar 13 before outlining (although ultimately eliding) an imperfect authentic cadential progression in this key at bars 16–17 (Ex. 1). Rather than using dominant harmony to present instability, Mendelssohn proceeds in the opposite direction, writing an unusually stable contrasting middle that prolongs the tonic (the intervening V6 chords in bars 2 and 4 are subordinate harmonies). MT1B also departs from the looser organisation expected from a small ternary's contrasting middle, constituting instead a tightly organised sentence: the cello's repeated ascending arpeggiation at bars 9–12 constitute the repeat of its presentation phrase's basic idea (b.i.), followed by a continuation phrase in bars 13–16 that sees the basic idea's fragmentation (Ex. 2).[4] Caplin also stipulates that in a small ternary, 'the B and A' sections do not normally elide', yet this is precisely what occurs between MT1B and MT1A'.[5] Even though Mendelssohn outlines an imperfect authentic cadence arriving on the tonic at bar 17, which should mark the ending of MT1B, he undermines its closure by blurring MT1B with the beginning of the ensuing MT1A'. What confuses matters is the cello, which acts as both the melody and bassline. When the cello enters at the end of bar 16, it outlines the cadence's V–I bass progression, while also offering the opening anacrusis of MT1A's melody. The second half of bar 16 thus behaves as both the penultimate chord of an imperfect authentic cadence at the end of MT1B, and the beginning of MT1A', generating an instance of cadential elision. In a departure from the clear division between the contrasting middle and recapitulation in Caplin's small ternary form, Mendelssohn elides MT1B and

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[3] Caplin, *Classical Form*, p. 75.

[4] 'Because the contrasting middle of the small ternary is more loosely organized than the preceding exposition, conventional theme-types infrequently appear in the B section.' Caplin, *Classical Form*, p. 77. Caplin nonetheless concedes that the contrasting middle will occasionally follow a sentential design, but '[i]n such cases, the supporting harmonies are much less stable or the grouping structure less symmetrical than in regular tight-knit form' (p. 77). MT1B's contrasting middle in bars 9–16, however, retains the stable harmonies and symmetrical structure of a tightly organised sentence.

[5] Ibid. The elided cadence results in a subversion of MT1B's sentence, since such a structure should close with a full authentic or half cadence. Its allusion to a tightly organise sentence nonetheless still presents a departure from a small ternary's contrasting middle, which normatively is structured more loosely.

MT1A'.

Table 1. Structure and cadences for the main theme, bars 1–30

Bars	Phrase	Possible intrathematic function	Cadences
1–8	MT1A	A of small ternary	I:HC (8)
9–16	MT1B	B of small ternary	*elided* I:IAC (16–17)
17–22	MT1A'	A' of small ternary	*elided* I:IAC (22–23)
23–26	MT2a	Antecedent	I:HC (26)
27–30	MT2c	Consequent	*elided* I:PAC (30–31)

Ex. 2. MT from the first movement, bars 1–30

Mendelssohn employs a similar joining device between MT1A' and MT2 in bars 22–23. Once again, the cello plays an anacrusis that leads into the start of MT2. The last beat of bar 22 acts simultaneously as the last beat of MT1A' and the upbeat to MT2. The V–I progression at bars 22–23 therefore does not function as an imperfect authentic cadence because MT2 has begun before MT1A' can complete its closing cadential progression, eliciting

another cadential elision (Ex. 2). To summaries, while the three-part structure of bars 1–22 allude to a small-ternary design, this passage does not strictly follow this tightly organised structure: MT1B does not highlight unstable dominant harmony but rather the more stable tonic, it does not land on dominant harmony before the arrival of MT1A', and MT1A' then does not close with a perfect authentic cadence but instead overlaps with the start of MT2. MT1's tripartite structure may suggest the balance and stability of a tightly organised small ternary, but it is ultimately more subversive than it initially appears. What might have been a self-sufficient and independent main theme that provides a stable opening to the work is actually more dependent and ambiguous.

Mendelssohn's subversions of the authentic cadential progressions at the end of both MT1B and MT1A' and his undermining of MT1's proposed small ternary structure contribute to a reciprocal quality. As Table 1 has already indicated, Mendelssohn also summons a collective quality by leaving each of MT1's sections dependent: MT1A closes with a nineteenth-century half cadence, followed by two instances of cadential elision at the end of MT1B and MT1A'. The movement also opens with the piano and cello in dominating unison, since the two voices sound uniformly together without having had the opportunity to establish their individual voices. Although I previously emphasised that the distinct timbres of the cello and piano makes it difficult for these voices to merge seamlessly together, they do so here: Mendelssohn successfully merges the cello with the piano by placing the former within the latter's left and right hands. Such close scoring coupled with their unison texture indicates a collective quality. Next during MT1B, Mendelssohn's textural treatment connotes a reciprocal quality: the cello and piano pass a falling and rising quaver figure between them, imitating conversation. Despite the cello's widening range in comparison to MT1A, which might emphasise its individual voice, the imitating of conversation during MT1B prevents the cello from dominating. And even though during MT1A' the cello becomes the main melodic voice,

Mendelssohn once again scores the two voices close together by predominantly placing the cello between the piano's left and right hands. He also summons a private quality throughout MT1. Although this passage contains several *crescendos,* it has predominantly quiet dynamics, which alongside the work's chamber-music genre, contributes to this quality. MT1A's elongated crotchet note values also betray a private quality. Through combining private, collective, and reciprocal qualities, MT1 at bars 1–22 points to an intimate mode of expression.

MT2's arrival at bar 23 nevertheless presents a shift in emphasis. Whereas MT1 had elicited a private quality, MT2 contains several public parameters: it has a thicker texture, a wider range and louder dynamics. Meanwhile, the cello becomes more pronounced, gaining a wider range emphasised by its opening octave leap, which may suggest an individual quality. Yet despite Mendelssohn's prioritising of the cello's individual voice, other features ensure that reciprocal and collective qualities remain a persuasive presence. Mendelssohn still scores the cello within the piano's range and the piano's right hand often doubles the cello line in sympathetic unison. He further reinforces MT2's collective quality through subverting its closure, thereby leaving it dependent on what follows for closure. The supposed perfect authentic cadence that concludes MT2 induces an instance of cadential elision: when it arrives on the tonic harmony at bar 31, this harmony also provides the initiating harmony for the subsequent transition. The elided cadence, moreover, undermines MT2's tightly organised period: bars 23–26 suggest an antecedent phrase closing with a half cadence, answered by a consequent phrase in bars 27–30 (Ex. 2). Yet the lack of cadential closure subverts such a tightly organised construction, adding to a reciprocal quality. Even if MT2 reveals a shift towards public and individual qualities that oppose an intimate mode of expression, Mendelssohn prevents these qualities from thriving, since he also includes several collective and reciprocal parameters.

Mendelssohn's syntactical play does not, however, invariably weaken the genre's

tendency towards highlighting an individual voice throughout Op. 45's first movement. Indeed, syntactical subversions are also rife during the first movement's subordinate theme, but these do not turn the tide against the predominance of individual parameters, even though it shares several commonalities with the main theme. It too has predominantly *piano* dynamics, which, together with the work's chamber-music genre, contributes to a private quality. Mendelssohn also seemingly suggests stability during the first movement's subordinate theme by alluding to tightly organised constructions. Table 2 and Ex. 3 illustrate how I divide the subordinate theme into two possible sentence structures at bars 61–68 (ST1) and 69–78 (ST2), which Mendelssohn then repeats at bars 79–86 and 87–94. Yet the subordinate theme's supposedly tightly organised thematic units are not as stable as they initially seem. Although ST1's presentation phrase repeats its initial two-bar basic idea (b.i.), ST1 begins at bar 61 over diminished harmony, so its presentation phrase fails to fulfil its function of securely establishing the local tonic. Mendelssohn further subverts ST1's sentence structure by blurring its closure: the ultimate C minor chord of its closing ii:PAC at bars 68–69 also acts as the initiating harmony for the subsequent ST2, resulting in cadential elision. The closing cadences given at the end of each of the subordinate theme's phrase in Table 2 also indicates its constantly shifting tonality, which undermines the subordinate theme's stability. The preceding medial caesura bars 59–60 prolongs V^7 of D minor, leading one to expect its resolution onto this key. Yet Mendelssohn never secures D minor because ST1 begins over diminished harmony, despite D's arrival in the bass at bar 61. The subordinate theme then continues to modulate, reaching C minor at the end of ST1 and either F minor or major at the end of ST2.[6]

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[6] The initiating tonic of the perfect authentic cadential progression in bars 93–95 begins with F major in first inversion with an A-natural in the bass. However, when Mendelssohn completes the cadential progression at bar 95, he lands with an A-flat in the piano's bass (Ex. 4). He thus initially indicates an authentic cadential progression in F major, but then switches to F minor. Mendelssohn nonetheless eventually brings back F major during the codetta from bar 100, when he instead writes A-naturals instead of A-flat. This ultimately leads to a perfect authentic cadence in F *major* at bars 103–04, which functions as the essential expositional closure.

Table 2. Possible sentences and cadences in the subordinate theme, bars 59–103

Phrase	Bars	Closing cadence
Medial Caesura (MC)	59–60	iii: HC
ST1	61–68	elided ii:PAC
ST2	69–78	V:EC
ST1	79–86	elided ii:PAC
ST2	87–94	weak v:IAC
Codetta	95–103	V:PAC

Ex. 3. The subordinate theme, bars 59–79

Mendelssohn similarly undermines ST2's closure. Bars 69–73 present the repetition of a two-bar basic idea followed by a continuation phrase from bar 74, again indicating a sentence. Yet he subverts this allusion to a tightly organised unit in two ways: not only does he unexpectedly expand the continuation phrase to six bars, upsetting the sentence's shape, but he also undermines its expected cadential conclusion. Bar 78 sees a cadential 6/4 suspension, but instead of resolving onto F major, ST1 restarts at bar 79, which again begins over diminished harmony. Mendelssohn thus evades the expected authentic cadence, thereby subverting ST2's allusion to a tightly-organised sentence.[7] The same subversions occur again during ST1's repeat at bars 79–86. Mendelssohn nonetheless removes ST2's expansion when it returns at bars 87–94, and rather than evading its final perfect authentic cadence, this time it successfully resolves onto F minor at bar 95. Yet he still subverts its final imperfect authentic cadence in two ways: first, he weakens its cadential closure, since its bass note in the cello arrives a quaver beat too late (Ex. 4). This, secondly, could be conceived as creating another instance of cadential elision, since the cello's bass note also functions as the initial melody note of the subsequent codetta, so it groups simultaneously with both the preceding and following passages. If Mendelssohn subverts ST2's v:IAC at bars 93–94, then he also undermines ST2's allusion to a tightly organised sentence.

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[7] This could be interpreted as a deceptive cadence instead, because V^7 at bar 78 never resolves onto the tonic. The diminished harmony, however, groups with the start of ST1's repeat, which distinguishes this cadential progression from my definition of a deceptive cadence (see my table of definitions in chapter two). The repeat of ST1 and ST2 at bars 78–94, moreover, behave somewhat like a one-more-time technique's cadential extension: ST1 and ST2's repeat could be viewed as another attempt at a cadential resolution followed the failed evaded cadence at bars 78–79. Usually, however, the one-more-time technique only repeats the final cadential idea, rather than the entire phrase, which is what happens during Op. 45's subordinate theme.

Ex. 4. The subordinate theme's elided, weak v:PAC closure, bars 93–95

In the exposition, Mendelssohn leaves ST1 and ST2 open-ended by subverting their cadential closure. Each of these phrases depend on what follows for their closure, adding to a collective quality. He also alludes to but ultimately subverts ST1's and ST2's tightly organised sentences, thereby evincing a reciprocal quality. Yet despite these collective and reciprocal parameters, an individual quality remains a convincing presence throughout the exposition's subordinate theme, particularly during its second half. As the subordinate theme progresses it accrues increasingly more individual parameters. The first ST1 at bars 61–68 prioritises the cello's individual voice, since the piano remains a fairly unobtrusive accompaniment. Mendelssohn then increases the prominence of the cello's individual voice by expanding its range during ST2 at bars 69–78. And even though Mendelssohn passes the role of the *Hauptstimme* to the piano for ST1's second iteration at bars 78–86, he emphasises its individual voice to an even greater extent from bar 83. He substantially widens its range and thickens its texture through placing the piano's right-hand melody in octaves — features that then continue into ST2 in bars 87–94. ST1 continues to emphasise an individual quality in the recapitulation at bars 257–64 (which this time is only stated once). Mendelssohn emphasises the cello's individual voice by expanding its range in comparison to its initial appearance in the exposition. The cello also plays in a higher register, mostly rising about the piano during ST1, so it is

scored further apart from the piano, distinguishes its individual voice to a greater extent.

There are two ways in which one can interpret Mendelssohn's emphasis of the cello's then the piano's individual voices during the subordinate theme and the role this plays in a dialogue between reciprocal and individual qualities. On the one hand, one could regard the subordinate theme as being overrun by an individual quality, with his subversions of the subordinate theme's sentential phrases providing only a mere glimpse of reciprocity in a passage that otherwise emphasises the cello's and piano's individual voices. On the other hand, one could view Mendelssohn's subversions of the subordinate theme's tightly organised sentences as allowing a reciprocal quality to remain a conspicuous presence *despite* the dominance of an individual quality throughout this passage. I lean more towards the latter reading, especially given the resurgence of further collective and reciprocal parameters during ST2 in the recapitulation at bars 265–74. Although Mendelssohn continues to prioritise the cello here — he even widens its range further from ST1, since the cello reaches as high as D at bar 271 — several other factors contest this passage's individual quality. Mendelssohn places the piano at a higher register, resulting in a closer scoring between the two instruments in comparison to ST1. ST2 once again concludes with an elided, weak cadence at bars 274–75, since the bass resolution onto B-flat again arrives a quaver beat too late, which also groups simultaneously with the subsequent codetta (this is similar to ST2's closure in the exposition at bars 94–95, shown in Ex. 4, but this time it occurs in the piano). But what ultimately shifts ST2 towards stronger collective and reciprocal qualities is their textural treatment. In ST2, Mendelssohn passes the cello's initial motif to the piano in bar 266, resulting in an exchange between parts that imitates conversation. This then leads into a passage of sympathetic unison, when the two voices come together into a shared crotchet rhythm at bars 269–70. Even if the cello has primacy here, the combined effect of Mendelssohn's subverting ST2's closure and its sentential construction, alongside its imitating of conversation and sympathetic unison, is to

supply this passage with a reciprocal quality during a theme which had, until then, predominantly highlighted an individual quality.

My analysis of the main and subordinate themes from the first movement of Op. 45 challenges Todd's conclusion that the work exhibits balance and stability. Indeed, it is difficult to conceive either of these themes as such given the frequency with which Mendelssohn alludes to, but then subverts, tightly organised units and their expected cadential closure. Furthermore, the expressive qualities during the main and subordinate themes trace a discourse between a reciprocal quality that arises through Mendelssohn's syntactical subversions, and the duo sonata's tendency to emphasise an individual voice over the other. Whereas several features reverse the genre's inclination towards an individual quality during the exposition's main theme, the subordinate theme contains other features that summon an individual quality, despite the numerous ways in which Mendelssohn subverts its tightly organised constructions. Yet even if my analysis illustrates that the movement's syntactical play cannot always overcome the duo sonata's tendency to highlight an individual quality, its effects should not be overlooked. If, for instance, he had not subverted his allusions to tightly organised sentences during the subordinate theme, and had not undermined their expected cadential closure, a reciprocal quality would not have reared its head at all. Coupled with the fact that the subordinate theme invokes a private quality owing to its predominantly *piano* dynamics and chamber music genre, such traces of a reciprocal quality enable glimpses of an intimate mode of expression to emerge. Similar to how the formal ambiguities explored in chapter five allowed for moments of intimacy to arise in two string quartet movement that otherwise prioritise an unrelenting forward drive, Mendelssohn's syntactical play during the subordinate theme of Op. 45's first movement permits remnants of intimacy's reciprocal quality to remain, even if it does not ultimately overturn the passage's predominant individual quality. Yet unlike the scherzo from Op. 44/3 and the finale of Op. 44/2 considered in the previous chapter, I

regard these signs of reciprocity and the intimate expressive mode it engenders as planting the seed for its return in the finale. Because Mendelssohn's syntactical subversions do not always succeed in reversing the duo sonata's tendency to emphasise one voice over another during Op. 45's first movement, it is left to the finale and its open-ended closure to decisively reverse the genre's inclination towards an individual quality. But as my subsequent analysis of the expressive qualities that pervade its main theme, such a course is never entirely certain until the work's closing bars.

The Finale

In contrast to the elided cadences that blur the boundaries between the intrathematic sections at the beginning of the first movement, the finale's main theme complies more comfortably with Caplin's description of small ternary form (Table 3) owing to its perfect authentic cadences. What I label as MTA at bars 1–16 follows a tightly organised period, closing with a I:PAC. Following MTB's contrasting middle, MTA' at bars 25–31 then reprises the consequent phrase from MTA, closing again with a I:PAC.

Table 3. The main theme's small ternary form

Bars	Small-ternary structure
1–16	MTA
17–24	MTB
25–31	MTA'

Mendelssohn's syntactical play during the finale's main theme indicates that the supposed stability of its small ternary structure is nevertheless an illusion. Its contrasting middle (MTB) alludes to a tightly organised sentence by repeating a two-bar basic idea (b.i.) in bars 17–20 for its presentation phrase, followed by its fragmentation at bars 21–24 for its continuation phrase (Ex. 5). Like the contrasting middle of the small ternary structure at the start of the first movement (MT1B), which also alludes to a tightly organised sentence (see previous section), such an allusion during MTB departs from the looser organisation expected from the contrasting middle. Mendelssohn takes his syntactical subversions further in Op. 45's finale, however: not only does he depart from the looser organisation expected from a small ternary's contrasting middle, he also proceeds to subvert this very syntactical structure, creating something like a 'double subversion'. A sentence's presentation phrase should 'create a solid structural beginning for the theme by establishing its melodic-motivic content in a stable harmonic-tonal environment', but this is not how MTB's supposed presentation phrase at bars

17–20 behaves.[8] Similar to the first movement's ST1, MTB begins over a dissonant chord. Although one could still read this as G minor with an added dissonant note (Gm^6), this dissonance still subverts the stable harmonic environment that a sentence's presentation phrase should provide. MTB also does not close as a sentence should: although its conclusion on V of G minor at bar 24 could constitute a half cadence, bars 22–24 are an instance of what Caplin calls 'prolongational closure'.[9] Rather than offering a full half cadential progression, MTB's closing bars merely prolong V of G minor. And even though this dominant prolongation eventually resolves onto G minor at bar 25, by this point it functions as vi of B-flat with the onset of MTA'. MTB thus alludes to and subverts two tightly organised structures: its allusion to a tightly organised sentence subverts the expected loosening of a small ternary's contrasting middle, while its harmonic dissonance simultaneously undermines its allusion to a tightly organised sentence.

MTB's dissonant harmonies and its suggestion of G minor, moreover, undermines its function as the contrasting middle of the main theme's small-ternary complex in another way. While MTB alludes to a contrasting middle of a small ternary structure by presenting a harmonic and melodic contrast to MTA, as well as a marked change in mood, its harmonic instability does not fulfil the contrasting middle's harmonic role of expressing 'the instability of dominant harmony' because it turns to other unstable dissonant harmonies instead.[10] Consequently, while it has been demonstrated Mendelssohn subverts the allusions to small ternary at the beginning of both of Op. 45's outer movements, he uses a different harmonic strategy to achieve this end in the finale. Whereas the contrasting middle from the first movement's opening (MT1B) had subverted a small-ternary form by being too stable (through its tightly organised sentence and its emphasis on stable tonic harmony), the contrasting middle

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[8] Caplin, *Classical Form*, p. 35.
[9] William Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum*, 40 (2018), pp. 1–26 (pp. 14–16).
[10] Caplin, *Classical Form*, p. 75.

from the finale (MTB) tilts in the opposite direction. Rather than emphasising unstable dominant harmony, its dissonant harmonies are too unstable.

While both allusions to small ternary engender a sense of stability for it to be only then undermined, they effect the dialogue between expressive modes differently. In the first movement, Mendelssohn's subversion of MT1's small ternary reverses the duo sonata's inclination towards an individual quality by producing a reciprocal quality that gives rise to an intimate expressive move. When Mendelssohn subverts the main theme's small ternary form in the finale, however, the subversion only becomes effective during MTB. The preceding MTA can still be heard as a small ternary's A section, especially since it follows the tightly organised period layout typical for the opening section of a small ternary form.[11] If Mendelssohn's subversion of the main theme's small ternary form only becomes clear during MTB, then the preceding MTA does not summon intimacy's collective and reciprocal qualities. Although its tightly organised period evokes a collective language, this passage's suggestion of an individual quality nonetheless outweighs its allusions to a collective one: Mendelssohn not only prioritises the cello with an unobtrusive piano accompaniment, but he also highlights its separation from the piano by marking it *cantabile*. Furthermore, its I:PAC closure creates a self-sufficient section that also contributes to an individual quality. Even if MTA's restricted range and quiet dynamics indicate intimacy's private quality, I cannot regard MTA as alluding to intimacy because Mendelssohn does not combine these private parameters with collective and reciprocal ones. Individual parameters also continue into MTB, even though it is during this passage that Mendelssohn's subversion of the main theme's small ternary form becomes evident. MTB now prioritises the piano, which further emphasised through its thicker texture and wider range resulting from its more expansive right-hand octaves. The emergence of MTA' at bars 25–31 then sees the return of most of the same features from its initial statement at bars

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[11] Ibid., p. 73.

1–16, so it again emphasises an individual over collective and reciprocal qualities.

The finale differ differs from the first movement in that it begins with a greater emphasis on an individual quality. Mendelssohn is nevertheless not content to let this quality to remain an authoritative presence. Although each of the finale's rotations begin by restating the main theme in the tonic, and the main theme itself opens the movement by commencing over rooted tonic harmony, Mendelssohn undermines its initial stability by never again beginning the main theme over such secure harmony.[12] Such an off-tonic return occurs as early as MTA' at bars 25–31, which begins over G minor at bar 25 instead of the tonic B-flat (Ex. 5). Table 4 shows the harmonies the main theme returns over in the finale, illustrating how it never again returns over the same secure, rooted tonic harmony it had initially started over. Mendelssohn nonetheless maintains the $V^7 – I$ progression from bars 2–3 of main theme for each of its returns (Ex. 6), so even if the main theme begins over non-tonic harmony, he immediately resumes the $V^7 – I$ progression from its initial statement, bringing it back to the tonic. The off-tonic return thus begins over pre-dominant harmony each time and partakes in a larger harmonic progression as indicated in Table 4's final column. I have marked the harmony over which the main theme returns in red to indicate that its arrival occurs in the middle of a progression, rather than initiating a new one.[13]

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[12] This is probably why Todd views Op. 45's finale as residing in rondo form: the second rotation begins with a tonic restatement of the first part of the main theme at bars 87–101. Larry Todd, 'The Chamber Music of Mendelssohn', in *Mendelssohn Essays* (New York: Routledge, 2007), pp. 135–69 (p. 156). There is not, however, a distinct couplet consisting of new thematic material during the second rotation; rather Mendelssohn develops and varies both the main theme and subordinate theme from the movement's exposition. Although the main theme's tonic restatement at the start of the development would be enough for both Friedhelm Krummacher, and James Hepokoski and Warren Darcy to warrant calling it a sonata-rondo, I have already expressed my scepticism of this formal type when it comes to Mendelssohn's formal practice. See chapter two.

[13] This avoids what Poundie Burstein calls a 'harmonic bump', which occur when the half cadence that typically precedes a main theme's return does not resolve onto the expected tonic for the start of the main theme's return but instead moves directly to a non-tonic chord, A 'bump' occurs as the listener's expectation of a tonic resolution are frustrated. In maintaining the V^7–I progression, Mendelssohn instead smooths over the main theme's off-tonic returns. Poundie Burstein, 'The Off-Tonic Return in Beethoven's Piano Concerto No. 4 in G Major, Op. 58, and Other Works', *Music Analysis*, 24 (2005), pp. 305–47 (p. 312).

Table 4. The main theme's off-tonic returns

Section	Bars	Harmony over which MT returns	Larger progression
MTA'	25–31	vi	III – vi – V^7 – I
Development	87–101	II6/5	I6/5 – II 6/5 – V^7 – I
Recapitulation	163–80	VII4/3	III – VII4/3 – V^7 – I
Coda	227–55	Fr6/5	Ger6/5 – Fr6/5 – V^7 – I

Ex. 6. The main theme's initial V^7 – I progression, bars 1–4

As Table 4 demonstrates, the finale's off-tonic returns begin over increasingly unstable harmonies. While MTA' commences over rooted vi harmony at bar 25, when the main theme returns for the start of the development at bar 87 it begins over more insecure first-inversion harmony. The main theme's return next return for the recapitulation is particularly insecure, starting over a harmonically distant and unstable third inversion A7 chord (VII4/3). And although MTA at the start of the development consisted of a complete restatement of MTA's period structure, complete with a perfect authentic cadence, when the main theme returns for the recapitulation at bar 163 Mendelssohn does not provide such a decisive conclusion. Bars 163–70 at the start of the recapitulation reproduce the same antecedent phrase from the movement's exposition and development, but he expands its consequent phrase and replaces its perfect authentic cadence with a prolongational closure on the dominant in bars 177–80. Not only does the main theme's return at the recapitulation represent its most unstable off-tonic return so far, it also becomes the most open-ended. MTA's final return in the coda begins over

unstable augmented sixth harmony. Mendelssohn abandons any reference to MTA's original tightly organised period here, in part because of an early I:PAC at bars 230–31 (which, as I remarked on at the beginning of this chapter, actually constitutes the work's final perfect authentic cadence).

The main theme's off-tonic returns enable a collective quality to remain present during each of MTA's returns, even if an individual quality flourished during its initial statement. Consequently, in comparison MTA's suggestion of an individual quality at the finale's opening (that is during both MTA at bars 1–16 and MTA' at bars 25–31), each of the main theme's returns reveal a gradual shift towards an intimate mode of expression. MTA at the start of the development at bars 87–101 contains several parameters that contribute to intimacy's private and collective qualities. A restricted range and quiet dynamics indicate a private quality, while its off-tonic return connotes a collective quality. Meanwhile, its tightly organised period betrays a collective language too. Yet MTA at the start of the development does not overturn the passage's prevalent individual quality: Mendelssohn prioritises the cello, marks it *dolce* to highlight its distinctiveness from the piano, and concludes its tightly organised period structure with a I:PAC at bars 101–02, creating a self-sufficient section.

When MTA next returns at the start of the recapitulation, its off-tonic return not only relies on a larger harmonic progression to reach the tonic, but also on what follows since Mendelssohn replaces its perfect authentic cadence with a prolongational closure in bars 177–80 — both indicating a collective quality. This passage also contains numerous private parameters: it has a thinner texture and more elongated note values than the preceding development, a more restricted range and quiet dynamics. And unlike the finale's earlier iterations of MTA, Mendelssohn includes several reciprocal parameters. He subverts MTA's allusion to a tightly organised period by extending its consequent phrase from bar 175 and by repeating the same rising figure in the piano's right hand until bar 180, upsetting the period's

symmetrical structure. This also results in an evasion of the period's expected cadential closure. Yet despite the resurgence of private, collective, and reciprocal qualities, I still regard MTA at the start of the recapitulation as giving precedence to an individual quality. Mendelssohn prioritises first the cello's individual voice at bars 163–70, followed by the piano at bars 171–80, whose distinctiveness he highlights in turn by marking them as *dolce*. He emphasises the piano's individual voice in particular. Its right-hand octave melody has the effect of widening the piano's range, thickening its texture and engendering more open scoring that lies apart from the cello — all of which reinforce this passage's individual quality.

Even if an individual quality still prevails during MTA at the start of the recapitulation, its reciprocal parameters nonetheless plant the seed for its eventual re-emergence in the coda. Indeed, this is most strongly indicated through its lack of a perfect authentic cadence to provide the final structural cadence for the movement and entire work. As I described at the beginning of this chapter, Mendelssohn leaves Op. 45's conclusion astonishingly open-ended by replacing its expected final perfect authentic cadence with an imperfect one (Ex. 1). Perhaps one may conclude, then, that the reason Mendelssohn avoids such a resolute conclusion in the coda is to finally push MTA towards collective and reciprocal qualities, which can then in turn invoke an intimate mode of expression. Even though MTA's previous returns gradually shifted towards emphasising collective and reciprocal qualities, none of these succeeded in overturning an individual quality's hold. Only by leaving MTA's final appearance in the coda open-ended can intimate expression to gain greater sway. For the coda's open-ended conclusion not only suggests a collective quality, it also means that because MTA is *not* a self-sufficient section that closes with a perfect authentic cadence, there are no individual parameters during MTA in the coda. Unlike all of the main theme's previous iterations, Mendelssohn does not prioritise a single voice over the other, since the cello and piano pass the role of the *Hauptstimme*. Furthermore, MTA's off-tonic return at the start of the coda (Table 4) partakes in a larger

harmonic progression, which also reinforces its collective quality. MTA in the coda also contains several reciprocal parameters. The cello and piano exchange imitates conversation, while imperfect authentic cadence at bars 242–43 subverts the movement's expected closure (see Ex. 1) Several other characteristics, meanwhile, indicate a private quality: alongside its quiet dynamics Mendelssohn employs elongated note values and a thinner texture in comparison to the passage of semiquavers that precedes it. Without any characteristics to indicate an individual quality, the coda's private, collective and reciprocal qualities can now evoke an intimate expressive mode without obstacle. The open-ended closure of MTA in the coda is the culmination of the main theme's shift away from its initial individual quality, enacted first by its off-tonic returns and completed by Mendelssohn's subversion of the work's final cadential closure.

Mendelssohn's decision to move away from an individual and towards a collective quality by leaving Op. 45's finale open-ended may originate from its first movement, where the subordinate theme never succeeds in overturning its individual quality. Perhaps it also stems from the work's genre. Whereas in my previous two chapters, the string quartet genre had highlighted a reciprocal quality, the same is not true for Op. 45's duo sonata genre, which tends to emphasis one individual voice over the other. Consequently, in Op. 45 Mendelssohn required something more radical — the finale's imperfect authentic cadential conclusion — to push this duo sonata into the realm of collective expression. In some senses, then, Op. 45 takes to an extreme the progression from self-sufficient to dependent sections that I traced in Op. 44/2's first movement in chapter four. Whereas this movement could only gain structural closure after its main and subordinate themes became dependent on the larger formal process, Op. 45 can only conclude once its final structural cadence is itself left open-ended.

My analysis of Op. 45's outer movements demonstrate that Todd's perception of the work's balance and stability can only describe the movement's surface: Mendelssohn suggests

balance and stability through alluding to tightly organised units, but his frequent subversions of them leads me to challenge Todd's conclusions. Todd's comments follow Robert Schumann's review of Op. 45, who regarded the work as revealing Mendelssohn approaching a more Mozartean style: 'Everything seems to want to become more musical, more refined and transfigured — if one does not misinterpret it, more like Mozart'.[14] I am not convinced, however, that Schumann's comparison of Mendelssohn with Mozart was necessarily meant to suggest that Op. 45 reveals a 'classical tranquility' or that it tends towards greater balance and stability, as Todd assumes. In the same review, Schumann also suggested that the work may be reminiscent of the intimacy shared between friends, explaining how 'an eternal smile hovers round his mouth, but it is that of pleasure in his art, of calm self-sufficiency *in a close circle*' [emphasis added].[15] While my methodology of examining intimate expression in Mendelssohn's instrumental music naturally had no bearing on Schumann's response to Op. 45, I nonetheless suspect that his interpretation of the movement as suggesting a close or intimate circle stems from the intimate mode of expression that pervades this work. Such a mode of expression does not arise from the supposed balance and stability detected by Todd, but rather from the abundance of syntactical play that flourishes in Op. 45's outer movements.

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[14] 'Es scheint mit alles noch mehr Musik werden zu wollen, alles noch verfeinerter, verklarter — wenn man es nicht falsch deuten wolle, Mozartlicher'. Robert Schumann, *Neue Zeitschrift für Musik*, 30 April 1839, p. 138.
[15] 'auch ihm spielt ein ewiges Lächeln um den Mund, aber es ist das der Freude an seiner Kunst, des ruhigen Selbstgenügens im engen Kreise'. Ibid.

Part Four

In part three, I examined how aspects pertaining to form and syntax contribute to an intimate mode of expression in Mendelssohn's instrumental music. Listeners may not immediately nor consciously discern such parameters, especially when one contrasts the movements I considered in part three with my initial study of the Violin Concerto in chapter three, where the overt opposition between the individual soloist and collective orchestra on a public concert stage propels its dialogue between different expressive qualities. The presence of two distinct musical topics in the works I study in part four — virtuosity and the chorale — provide something like a happy medium. Formal and syntactical properties still play a significant role in the dialogue between qualities that either suggest or detract from an intimate mode of expression, but these also interact with more palpable topics on the music's surface. Chapter seven examines the role virtuosity in the first movements from the String Quartet No. 5, Op. 44/3, and No. 3, Op. 44/1, illustrating how Mendelssohn alters this topic's tendency to suggest public and individual qualities and instead imbues it with an intimate expressive mode. Then in chapter eight, I pay special attention to the chorale's expressive effects in the finale from the Piano Trio No. 2 in C minor, Op. 66 — a topic that refers to the real experience of collective and public worship. Part four thus offers something like a culmination of what I have considered in this thesis thus far. It illustrates how Mendelssohn remodels the affective power of certain topics, while demonstrating how these surface features act in dialogue with more self-referential formal and syntactical strategies.

Chapter Seven

Intimate Virtuosity II

String Quartet No. 5 in E-flat, Op. 44/3, First Movement

String Quartet No. 3 in D, Op. 44/1, First movement

Completed in February and July 1838 respectively, the openings to the String Quartets No. 5 in E-flat, Op. 44/3 and No. 3 in D, Op. 44/1 are markedly different in character. As soon as the first violin steps forward to initiate Op. 44/3's first movement, the rest of the ensemble respond as if participating in a reciprocal conversation (Ex. 1). Even though the ensemble joins together in rhythmic unison at bar 7, followed by unison at pitch in bar 8, this does not have a domineering effect. Rather, because the unison follows six bars in which each of the voices sound as individuals while supporting and complementing one another, bars 7–9 sound as the harmonious union of the four distinct voices. By contrast, in the opening to Op. 44/1's first movement, Mendelssohn gives considerably less weight to such reciprocity. Following half a bar of tremolo, which continues to behave as a purely textural, non-obtrusive accompaniment, the first violin enters with a virtuosic, ascending semiquaver flourish, which highlights its individuality (Ex. 2). There is no question which part is the dominant voice. Despite these differences in their opening characters, I consider these movements together because they both demonstrate how virtuosity can exist alongside an intimate mode of expression. Furthermore, they both feature expansive transitions, whose formal ambiguities provide another site for

virtuosity and an intimate mode of expression to coincide. In what follows, I argue that these shared features indicate that two supposedly irreconcilable opposites — the topic of virtuosity and an intimate mode of expression — are more compatible than they may initially seem. In this respect, Mendelssohn achieves something similar in these works as he does in the first movement of his Violin Concerto but transports it to the string quartet.

Ex. 1. The main theme from Op. 44/3's first movement, bars 1–32

Ex. 2. *MTA, MTB, and MTA' ⇒ TR from Op. 44/1's first movement, bars 1–41*

String Quartet No. 5 in E-flat, Op. 44/3, First Movement

I examine two moments in Op. 44/3's first movement where Mendelssohn demonstrates how the topic of virtuosity can attain qualities associated with an intimate mode of expression. First, the emergence of virtuosity in the first violin part at the start of the recapitulation, where Mendelssohn harmoniously brings together a virtuosic first violin part with the collective ensemble. Second, I consider the formally ambiguous, expansive transition from the exposition, which enables a particularly intimate episode to emerge within an otherwise virtuosic passage.

Virtuosity at the Start of the Recapitulation

The main theme Op.44/3's first movement begins at bars 1–10 with a tightly organised sentence that closes with a half cadence (MT1 in Ex. 1). MT1^{var} that follows at bars 10–18 is a variant of MT1. It begins by seeming to repeat MT1's sentence, but the first violin's D-flat at bar 11 takes this off-course, and Mendelssohn ultimately subverts its expected cadential conclusion though a deceptive cadence at bar 18. This leads to a passage of cadential extension at bars 18–

31 but its first attempt at attaining a perfect authentic cadence at bars 27–28 fails, as Mendelssohn evades its cadential progression by landing on I6. The one-more-time technique then ensues in bars 28–31, and the main theme finally achieves a I:PAC at bars 31–32. Although the cadential extension at bars 18–31 serves the function of providing the cadential closure, it attains a degree of thematic independence through its own allusion to a tightly organised unit. Mendelssohn repeats its initial basic idea from bars 19–20 at bars 21–22, implying a sentence's presentation phrase. A continuation phrase follows in bars 23–28, and even though Mendelssohn evades its initial attempt at cadential resolution at bars 27–28, the one-more-time technique that follows is an entirely conventional practice of further cadential extension.

An intimate mode of expression pervades the main theme in the exposition. Alongside its string quartet genre, which connotes private and reciprocal qualities, the aforementioned subversion of the cadential extension's tightly organised sentence further adds to this latter quality. The main theme's texture also increases the potency of an intimate expressive mode. As I remarked upon at this chapter's beginning, the first violin and the rest of the ensemble participate in a reciprocal conversation during MT1, and then join together into sympathetic unison from bar 7. This alternation between imitating conversation and sympathetic unison continues into MT1$^{\text{var}}$ and during the ensuing cadential extension, contributing to a reciprocal quality. Several other parameters also enable a collective quality to thrive. MT1's tightly organised structure that closes with a half cadence invokes a collective quality via two means: its allusion to convention speaks a collective language, while its open-ended half cadence means it depends on what follows for its resolution. And even if the main theme as a whole ultimately closes with a I:PAC at bars 31–32, creating a self-contained section that betrays an individual quality, Mendelssohn's use of the conventional one-more-time technique from bar

28 increases the passage's collective quality.[1]

The first violin's virtuosity at the point when the main theme returns at the start of the recapitulation — a topic that indicates public and individual qualities — would likely weaken the potency of an intimate expressive mode. The end of the development had seen impressive semiquaver passagework in the first violin at bars 203–08, which it continues as the main theme returns at bar 209, now played across the three lower voices (Ex. 3). Yet examining the main theme's expressive qualities when it returns at the start of the recapitulation reveals that the first violin's virtuosity does not necessarily have this expected effect. Although alongside the first violin's virtuosity several features indicate a public quality — loud dynamics, a thicker texture in comparison to MT1 in the exposition, and a wider range — I nevertheless detect few, if any, features that connote an individual quality. The first violin may be virtuosic, but it is not the *Hauptstimme*. Indeed, Mendelssohn gives the main theme's melodic content to the lower voices, so they rival the first violin for attention. Because Mendelssohn does not indisputably prioritise the first violin, its virtuosity suggests only a public quality and not an individual one. Somewhat counterintuitively, the first violin's virtuosity actually emphasises a collective quality: in producing a countermelody which accompanies the main theme's thematic material in the lower voices, the first violin's virtuosic countermelody serves as a reminder that it still forms part of this collective ensemble, even if it longer acts as the *Hauptstimme*.[2] Meanwhile, several other features indicate that intimate expression still thrives during MT1 in the recapitulation. While the first violin plays a new virtuosic countermelody, the second violin, viola and cello imitate conversation and play in sympathetic unison, just as MT1 had done at the movement's opening. And although I had regarded MT1's initial statement as following a

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[1] Although the one-more-time technique invokes both an individual quality since it closes with a perfect authentic cadence that creates a self-sufficient section, it also generates a collective quality because it represents a highly conventionalised procedure. I do not see this contradiction as problematic since, as I argued in chapter two, individual and collective qualities can exist at the same time.

[2] Mendelssohn does something similar at the start of the recapitulation in the Violin Concerto's first movement. See chapter three.

tightly organised sentence, which speaks a collective language, Mendelssohn subverts expectations for such a conventional construction in the recapitulation. Rather than closing with a half cadence as MT1 had in the exposition, Mendelssohn avoids such a cadential progression at its equivalent position in the recapitulation at bar 218, landing on ii6/5 instead of V (Ex. 3). This leads to further expansion in bars 218–24, upsetting both the sentence's expected shape and it half cadential conclusion. Rather than a varied repeat emerging (MT1var at bars 10–18), at bar 225 MT1's extension flows straight into the cadential extension (compare with bar 19 in Ex. 1), which eventually delivers a I:IAC at bars 242–43. Even if this passage's public parameters prevent an intimate mode of expression from taking hold, it still contradicts the tendency of virtuosity to emphasise an individual quality since it contains numerous collective and reciprocal parameters. The first violin may be virtuosic, but remnants of the intimacy that pervaded MT1 at the movement's opening remain.

Ex. 3. Virtuosity at the end of the development and the beginning of the recapitulation, bars 203–243

Further expansion

Formal Fusion and Formal Ambiguities

Mendelssohn's treatment of texture and syntax enables reciprocal and collective qualities to infiltrate the start of the recapitulation, in contradiction of the individual quality invoked by the topic of virtuosity. He achieves something similar during the exposition's transition, where he also furnishes virtuosity with characteristics that invoke its opposite qualities, revealing that this topic may not necessarily always resist an intimate expressive mode. His approach is somewhat different in the exposition, however; rather than seamlessly merging a virtuosic first violin part with the collective ensemble, he writes a formally ambiguous and expansive transition that enables an intimate episode to emerge within an otherwise virtuosic passage.

The transition begins at bar 32, passing around what I label as motif *x* — the semiquaver turn with which the first violin initiates the whole movement (Ex. 1) — and duly performs its

function of modulating to the subordinate key of B-flat by reaching V6/4 harmony at bar 40 which resolves onto I at bar 44. Yet this does not constitute a cadential progression, so when a new thematic idea enters at the end of bar 46, it is not entirely certain whether the transition has ended (Ex. 4). Friedhelm Krummacher nonetheless regards bars 46–92 as the movement's subordinate theme, even though he acknowledges that the passage it hardly thematic, but consists of cadential filler that appears to confirm G minor rather than the dominant B-flat.[3] Indeed, although a V:IAC eventually occurs at bars 49–50, this is preceded by alternating G minor and D major chords in bars 47–48.

Ex. 4. The new theme in the transition (TR/ST), bars 46–69

[3] 'Der akkordische Unterstimmensatz wirkt kaum thematisch, sondern eher als Kadenzfloskel, und zwar statt B-Dur in der Parallele g-moll, die durch Wiederholung (V I V I) noch bestätigt scheint'. ['The underlying chords are barely thematic, but appear as cadential filler in the parallel key of G minor rather than B major, confirmed through (V I V I) repetition'.] Krummacher, Friedhelm, *Mendelssohn, Der Komponist: Studien Zur Kammermusik Für Streicher* (Munich: W. Fink, 1978), p. 145.

This is not the only way in which Mendelssohn undermines the ability of bars 46–92 to function as the subordinate theme. Following the new theme's initial suggestion of G minor in bars 47–48, Mendelssohn employs a sequential repetition that ascends a third in bars 50–54 and up a further third at bars 55–57 (Ex. 4), suggesting that the beginning of Krummacher's subordinate theme begins with continuation rather than an initiating function.[4] Although William Caplin concedes that a subordinate theme may omit its initiating function, 'giving the impression of starting in media res',[5] he maintains that a 'continuation function replaces a true

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[4] Caplin states that the harmonic mobility of sequential progressions makes them 'especially suited for continuation function'. William Caplin, *Classical Form*, p. 42.

[5] Ibid., p. 111.

structural beginning most often with a second or third subordinate theme of a group' so that it 'can be understood to "continue" the subordinate group as a whole'.[6] Yet this is not the case with the sequential new theme in Op. 44/3's first movement, which, if viewed as the subordinate theme, must be the *first* subordinate theme.

Another interpretation is possible: one could be persuaded to regard bars 46–54 as the sequential repetition of a basic idea from a sentence's presentation phrase. (Ex. 4). Such an interpretation, moreover, would support Krummacher's claim that this new theme functions as the subordinate theme. I nonetheless view the new thematic idea as suggesting but ultimately subverting a tightly organised sentence. Its prolonging of the tonic at bars 46–54 is weak at best, given that it almost immediately suggests G minor in a departure from the 'stable harmonic-tonic environment' that Caplin stipulates.[7] Mendelssohn, moreover, continues the sequential progression into bars 55–57, so I find the entirety of bars 46–56 as a sequential passage more convincing. And even if I were to regard bar 55 as the beginning of a sentence's continuation phrase, Mendelssohn drastically expands this phrase through an abandoned cadence at bars 59–60, which instigates a cadential extension until the arrival of a V:IAC at bars 68–69.

The motivic continuity across the new theme at bars 46–69 also diminishes its ability to function as the subordinate theme. Even Krummacher recognises that once the semiquavers in the first violin subside at bar 49, the lower voices recall what I label as motif *y* from the movement's main theme (Ex. 1).[8] Meanwhile, motif *x*, which is an almost constant presence throughout the preceding transition in bars 32–45, continues to infiltrate the new theme, with

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[6] Ibid., p. 113.

[7] Ibid., p. 35.

[8] 'wenn dabei die Sechzehntelbewegung für einen Takt aussetzen, so erinnert die Führung der Unterstimmen in der rhythmischen Folge und im fließenden akkordischen Satz an die harmonische Ausfüllung zum Halteton im Kopf des Hauptthemas (T. 2–3)' ['when the semiquaver movement is suspended for one bar, the lower voices recall in their rhythmic sequence and flowing choral phrase the harmonic filling-out of the held note that begins the main theme (bars 2–3)']. Krummacher, p. 145.

the first violin incessantly playing its semiquaver turn as an accompaniment to the new melody in bars 36–54, before passing it to the inner voices in bars 55–56 (Ex. 4). And even though motif *x* is absent during the new theme's cadential extension following an abandoned cadence at bars 59–60, it rears its head once more during bars 69–91. The first violin incessantly repeats motif *x* in bars 69–70, and the second violin joins at bars 73–75 before the whole ensemble pass motif *x* around in bars 86–88. Rather than behaving as a the postcadential passage following a thematically distinct subordinate theme, the decisive return of motif *x* sounds more like the resumption of the transition, which had also almost entirely consisted of passing motif *x* across the ensemble's four voices.

While I do not deny that the new theme in bars 46–68 and its subsequent cadential expansion in bars 69–92 fulfils the role of the subordinate theme to a degree — it presents a melodic contrast to the figurative transition that precedes it and establishes the subordinate key — it should not straightforwardly interpret it as such. The persistence of motifs from the main theme and transition prevent the new theme from fully distinguishing itself thematically, while its sequential progression means it begins without an initiating function. And although Mendelssohn suggests a modulation to the subordinate key in the transition before the new theme enters at bar 46, he does not cadentially confirm this key until a V:IAC at bars 68–69. This cadence in the dominant only arrives after the new theme is already underway, suggesting that the transition is not completely over, a notion reinforced by the nearly persistent presence of motif *x* during the new theme at bars 46–59 and again during its postcadential passage at bars 70–92.

Because the new thematic idea and its subsequent cadential expansion at bars 46–92 holds both transition and subordinate theme functions, I label it as TR/ST to indicate its formal ambiguity. One could conceive of bars 46–92 as resembling what Caplin would term a 'transition/subordinate-theme fusion', when a single thematic unit:

not only modulates to the subordinate key — a prime constituent of transition function — but also closes with a perfect authentic cadence to confirm that key — a fundamental requirement of the subordinate theme's function. In such cases, it is not possible to find an appropriate initiating function for the subordinate theme, even in retrospect.[9]

Yet bars 46–92 do not wholly comply with Caplin's definition, since this passage does not close with a perfect authentic cadence. Following an abandoned cadence, bars 60–92 sees repeated attempts at asserting B-flat. After a further V:IAC at bars 72–73, Mendelssohn restarts the same phrase, but this time only reaching a deceptive cadence at bar 83. This elicits another cadential extension, which achieves a V:IAC (owing to the second violin's cover tone on D) at bars 91–92, leading to a medial-caesura-fill like passage. Yet a V:IAC is an unlikely cadence to conclude a transition and instigate a medial caesura. Hepokoski and Darcy regard V:IACs at the end of the transition as a '*fourth-level default*', which they occasionally find in small-scale works, but given its expansiveness the transition hardly complies with such a proposal.[10] Consequently, TR/ST's imperfect authentic cadential conclusion fulfils neither the subordinate theme's structural goal of gaining essential expositional closure — a *perfect* authentic cadence in the dominant — nor the transition's medial caesura, which may suggest that both these functions continue into what follows.

Krummacher nonetheless regards further new thematic material at bars 3–103 as the *Schlussgruppe*, or closing theme (Ex. 5), even though he concedes that there are several similarities between his *Schlussgruppe* and Mendelssohn's other subordinate themes: 'Not only does its rhythmic fluidity in crotchets recall the *Seitensatz* [that is TR/ST's new melody], its phrase structure also arises from what is typical of Mendelssohn's subordinate themes: *cantabile*, wavering melodies over an oscillating dominant harmony, modified pedal points in

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[9] Caplin, *Classical Form*, p. 203.
[10] James Hepokoski and Warren Darcy, Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata (Oxford: Oxford University Press, 2006), p. 29.

the cello and the repetition of notes from broken chords in middle voices'.[11] Furthermore, because motifs *x* and *y* from the main theme and transition pervade TR/ST but disappear during bars 93–103, Krummacher's *Schlussgruppe* actually provides the most convincing thematic contrast in the exposition so far — a role the subordinate theme should fulfil. And even though Krummacher observes that in an earlier manuscript version, bars 93–96 originally featured traces of motif *x* in the cello (Fig. 1), this reinforces the notion that neither TR/ST's transition function nor its subordinate theme function had fully ended.[12] Rather than offering thematic contrast, Mendelssohn had originally conceived of bars 92–110 as connected to TR/ST via motif *x*. It suggests that he had originally intended to create continuity across bars 32–103 through not only avoiding the clear divisions offered by the medial caesura and essential expositional closure, but also due to motif *x*'s incessant presence. The lack of conclusive closure continues into Krummacher's *Schlussgruppe*. Mendelssohn elides its perfect authentic cadence at bars 103–104, since its ultimate tonic harmony is also the initiating harmony for the subsequent retransition.

Ex. 5. Krummacher's Schlussgruppe (ST/CT), bars 93–103

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[11] 'Nicht nur klingt er mit seinem rhythmisch gleichmäßigen Ablauf in Vierteln an den Seitensatz an, vielmehr entspricht seine satztechnische Struktur weit eher dem Typus Mendelssohnscher Seitenthemen: kantabel geschwungene Melodik, um die Dominante pendelnde Harmonik, modifizierter Orgelpunkt im Cello und in Tonreptition aufgelöste Akkorde der Mittelstimme'. Krummacher, p. 294.
[12] Ibid., p. 146.

Fig. 1. Berlin, Staatsbibliothek, Preußischer Kulturbesitz, Mus.ms.autogr. Mendelssohn Bartholdy, F. 30 (1838), fol. 124.

I do not, however, entirely reject Krummacher's interpretation of bars 93–103 as the *Schlussgruppe*, even though it holds several subordinate-theme characteristics. What follows at bars 104–11 prolong B-flat, which, in acting as V of E-flat in preparation for the exposition's repeat, functions as a retransition. Consequently, eradicating Krummacher's *Schlussgruppe* would mean that the exposition contains no closing section at all, contradicting Caplin's claim that closing sections are rarely omitted in a sonata form's exposition.[13] Because bars 93–103 holds subordinate-theme characteristics, but is the only place where the closing theme can emerge, I regard this passage as revealing another instance of formal fusion. Indeed, because the preceding TR/ST section had behaved neither as a pure transition nor as a pure subordinate theme, it is perhaps not that surprising that several of its characteristics linger into the next

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[13] Caplin, *Classical Form*, p. 122.

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formal unit. I therefore label bars 93–103 as ST/CT to indicate its joining of subordinate and closing theme functions.[14]

Table 1 summarises my interpretation of the different thematic units and their formal functions in the exposition of Op. 44/3's first movement alongside Krummacher's and indicates that Mendelssohn's treatment of the exposition from bar 32 onwards produces large-scale formal overlapping. The transition begins at bar 32 and does not definitively finish until bar 92, and even its V:IAC closure is an odd choice to instigate the medial caesura that marks a transition's ending. Meanwhile, the subordinate theme may commence as early as TR/ST's beginning at bar 47 and then lasts until the end of ST/CT at bar 103. Such formal overlapping not only engenders formal ambiguities that contribute to intimacy's reciprocal quality, but also results in an expansive transition, lasting some sixty bars from what I label as TR/ST beginning at bar 32 until the end of TR/ST's cadential extension at bar 92.

Table 1. My interpretation of the exposition in comparison Krummacher's

Bars	My interpretation	Krummacher's interpretation
1–31	MT	MT
32–45	TR	TR
46–92	TR/ST	ST
93–103	ST/CT	CT
104–11	RT	(not given)

An expansive transition offers space for an intimate episode to emerge during TR/ST, despite the virtuosity in the first violin that pervades the transition. Although Mendelssohn shares the first violin's semiquaver figurations across the four parts during TR at bars 32–45, I still regard the first violin as more virtuosic than the rest of the ensemble owing to its more

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[14] Julian Horton finds a similar device in in the Overture *Zum Märchen von der schöne Melusine*, where the subordinate theme becomes the closing theme. Julian Horton, 'Rethinking Sonata Failure: Mendelssohn's *Overture Zum Märchen von Der Schönen Melusine*', *Music Theory Spectrum* (pending publication).

extreme range. And unlike at the beginning of the recapitulation where the first violin's virtuosity acts as a countermelody to the main theme material in the lower voices, Mendelssohn prioritises the first violin's virtuosic voice, especially from bar 36 where its expansive range distinguishes it from the rest of the ensemble.[15] Yet despite the first violin's virtuosity, Mendelssohn's scoring means a reciprocal quality remains a persuasive presence throughout TR. It exhibits an imitative texture since the ensemble pass around motif *x*. Meanwhile, the three lower voices come together into sympathetic unison first at bars 36–37, and again from bar 40. Mendelssohn, moreover, adds to TR's collective quality by leaving it dependent on what follows for its closure. Although TR/ST's new melody appears at bar 46, the preceding TR ends with a prolongation of B-flat from bar 40 rather than a clear cadential closure.

Although the virtuosic first violin means an individual quality thrives during TR, its collective and reciprocal parameters still allow space for these qualities, which ultimately leads to a rather more convincing reassertion of an intimate expressive mode during TR/ST. Indeed, the first violin's virtuosity fades when TR/ST begins at bar 46: although its semiquaver figurations continue, they become a repetitive accompaniment with a far more restricted range. It is also difficult to detect any characteristics that suggest an individual quality until the first violin's virtuosity returns at bar 69 (Ex. 4). Instead, during TR/ST at bars 45–59, Mendelssohn combines private and reciprocal qualities, which together induce an intimate mode of expression. Alongside the movement's string quartet genre, he bolsters the passage's private quality through its quiet dynamics. Meanwhile, the first violin continues motif *x*'s semiquaver figuration from the transition's first part, which acts as an active countermelody to the new

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[15] One could say that the same is true for the virtuosic first violin at the start of the recapitulation, which also has an expansive range. I do not regard it as the *Hauptstimme* here, however, because the rest of the ensemble play the main theme's material, so they can more a far more convincing claim to this role. By contrast, all four voices are more figurative during bars 32–46 of the transition, which means none of them can claim to be playing anything of significant thematic interest. I therefore regard Mendelssohn as prioritising the first violin here because its expansive range separates it from the rest of ensemble. Unlike the beginning of the recapitulation, the rest of the ensemble play figurative rather than thematic material that cannot compete with the first violin's high notes.

melody in the lower voices, contributing to a reciprocal quality. In addition, by giving the new melody to the second violin, Mendelssohn prioritises a non-dominant voice, while the viola and cello add their support in sympathetic unison. And as I previously illustrated, one could regard the sequential opening to TR/ST's new melody as alluding to but subverting a tightly organised sentence, while the formal overlaps Mendelssohn creates between the transition and subordinate theme engenders formal ambiguities — both of which summon a reciprocal quality.

While the cadential expansion at bars 60–68 see the re-emergence of several individual parameters — Mendelssohn prioritises the first violin once more by giving it a wider range and scoring it apart from the rest of the ensemble — a number of reciprocal parameters remain. This passage is still formally ambiguous (it remains uncertain whether it functions as the transition or the subordinate theme) and sympathetic unison occurs in the lower voices, which the first violin joins at bars 67–68 (Ex. 4). Other features also invoke a collective quality. Although this passage ultimately achieves a V:IAC at bars 68–69, I still regard it as open-ended. I argued in chapter two that an imperfect authentic cadence can offer a strong enough closure to create a self-sufficient section if it then proceeds to new material, but because following the V:IAC motif x resumes, I do not regard what follows as strictly new. Instead, I view the rest of the transition at bars 69–92 as a continuation of the transition from bars 32–46, which was also infiltrated by motif x. The V:IAC at bars 68–69 therefore does not provide a conclusive enough closure that marks the end of the transition as a self-sufficient section that then proceeds to new material; rather it still depends on what follows for its resolution, thereby betraying a collective quality. This final passage from the transition at bars 74–91, moreover, functions as a cadential extension that repeatedly strives to attain the exposition's structural closure: a second V:IAC at bars 72–72 results in another passage of cadential extension, followed by a deceptive cadence at bars 82–83. A further cadential extension then leads to a

final V:IAC at bars 91–92. Rather than proceeding to new material, bars 69–91 consist of prolonged cadential extension. Consequently, I do not regard the V:IAC that precedes it as providing a conclusive closure that creates a self-sufficient section. And even if this cadential extension ultimately closes with an imperfect rather than perfect cadence at bars 91–92 — owing to the D cover note in the second violin — the first violin's landing on the tonic indicates a somewhat greater degree of closure, especially if one conceives it as playing the soprano line. Furthermore, unlike the previous IACs, the cadence at bars 91–92 leads to the first genuinely distinct thematic material in the exposition so far: ST/CT.

The central part of the transition, starting with TR/ST's new melody at bar 46 until the resurgence of the first violin's virtuosity at bar 69, enables an intimate expressive mode to thrive through its private, collective and reciprocal qualities. The prolonged cadential extension at bars 69–91 that follows nevertheless sees the return of a virtuosic first violin part alongside a renewed emphasis on an individual quality. Mendelssohn prioritises the first violin, which he gives a wide range and scores apart from the rest of ensemble. Furthermore, this final part of the transition gains a V:IAC at bars 91–92 that proceeds to new material ST/CT — creating a self-sufficient section that reinforces its individual quality. One may be persuaded, then, to regard the intimate episode, represented by TR/ST's melody at bars 46–69 as only a momentary diversion from a transition in which an individual quality reigns. There are several indicators, however, that the first violin's virtuosity and the individual quality this generates is less powerful than such a conclusion assumes. As previously observed, virtuosity may pervade the transition's opening at bars 32–46, but several collective and reciprocal parameters remain an underlying presence. The same is true when the virtuosic first violin returns at bars 69–92, which also holds some reciprocal features. This passage is still formally ambiguous, and Mendelssohn employs sympathetic unison across various parts in bars 69–84, before a passage of imitation at bars 85–88.

Rather than regarding the first violin's virtuosity as diametrically opposed to intimacy's private, collective, and reciprocal qualities, Mendelssohn demonstrates how they can be brought together. The movement's expansive transition begins with a virtuosic first violin, which nonetheless retains some elements of intimacy, planting the seeds for its emergence during TR/ST's new theme at bars 46–57. The prevalence of an intimate mode of expression during this passage means that even when Mendelssohn prioritises the first violin once again at bars 60–68, this does not completely overturn an intimate expressive mode. And while the return of the first violin's virtuosity in bars 69–91 sees the resurgence of an individual quality, it remains touched by several of intimacy's qualities. During the transition, Mendelssohn shows not only that an intimate mode of expression can emerge alongside virtuosity, but also that he can reverse the topic's inclination towards public and individual qualities.

String Quartet No. 3 in D, Op. 44/1, First movement

The two points I examined in Op. 44/3's first movement illustrate how Mendelssohn's treatment of virtuosity does not necessarily place it in conflict with intimacy. Rather this topic, despite its public and individual qualities, can harmoniously coincide with intimacy's private, collective and reciprocal qualities. Mendelssohn employs similar strategies in Op. 44/1's first movement to demonstrate how the topic of virtuosity is not as antagonistic to an intimate expressive mode as one might assume. Even though my foregoing analysis demonstrates that Mendelssohn begins Op. 44/1's first movement by bolstering the individual and public qualities invoked by its virtuosic first violin, this movement is more nuanced than its initial emphasis on individual display may imply. As Benedict Taylor remarks, the movement 'balances the outward brilliance of its virtuosic first violin writing with a more intimate quality of nostalgia, even underlying regret'.[16] In what follows, I examine two moments where one

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[16] Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 185–209 (p. 188).

can detect this balancing act between outward display and inward nostalgia, or between passages that emphasise an individual voice and intimacy's collective and reciprocal qualities. First, I consider the virtuosity during the main theme's final appearance in the coda; and second, the emergence of a new thematic idea in the exposition, which confuses the division between the transition and subordinate theme.

Virtuosic Reciprocity in the Coda

I divide Op. 44/1's main theme into MTA at bars 1–12 and MTB at bar 13–37 (Ex. 2). The return of MTA' at bar 38 alludes to small ternary layout, but then exhibits functional transformation, since it 'becomes' the transition (MTA'⇒TR). At its initial statement, MTA highlights public and individual qualities. The expansive range and trills in the first violin imply a virtuosic style, bringing forth individual and public qualities. Further parameters contribute to a public quality: MTA has loud dynamics, a thick tremolo texture and a wide range. Meanwhile, other features reinforce MTA's individual qualities. Mendelssohn prioritises the first violin by giving it a more expansive range and scoring it apart from the rest of the ensemble as they play an unobtrusive tremolo accompaniment. MTA is also self-contained, since it closes with a I:PAC, which further adds to MTA's individual quality.

Ex. 6. The coda, bars 331–374

MTA's emphasis on individual and public qualities remain when it returns in the coda at bars 331–53 (Ex. 6), as the first violin attains even more virtuosic features. It ascends in a rapid semiquaver scale to reach a high A at bar 337 — showcasing greater extremes in its range than it had done in the exposition — followed by a dramatic descent. Mendelssohn then repeats bars 331–41 at bars 342–53, so the same sequence of events recurs at bars 348–51. Furthermore, the first violin's wide range bolster's this passage's individual and public qualities, while MTA's *forte* dynamics also supports the latter of these.

Yet what is striking about MTA in the coda is that even though the first violin is more virtuosic, this passage also sees the flourishing of several features that contribute to a reciprocal quality. Whereas during MTA at the start of the movement, the tremolo texture in the lower strings could hardly rival the first violin, Mendelssohn radically alters the ensemble's texture during the coda to elevate the ensemble's other voices. The second violin imitates the first's ascending head motif, which the viola and cello join in sympathetic unison, first at bars 335–41, and again at bars 347–53. The cello meanwhile mirrors the head motif, with a descending

rather than ascending semiquaver arpeggiation, which, because it does not imitate the first violin directly, imitates conversation. Although Mendelssohn prioritises the first violin, he gives as least as much attention to the collective ensemble by employing a diverse range of textures. Furthermore, he subverts MTA's closure through a deceptive cadence at bars 353–54 that arrives on D major in first inversion (D does arrive a beat later in the cello, but because MTB has already commenced by this point, I still regard this as a deceptive rather than a weak cadence)[17]. Although Mendelssohn still prioritises the first violin's virtuosic part, MTA's textures that emphasise the interchange of voices and its subversion of its expected closure indicate that a reciprocal quality can exist alongside such outward display.

The same can be said of MTA's final return at bars 366–74. The first violin resumes its virtuosic semiquaver arpeggiations, seeming to indicate the resurgence of public and individual qualities. Yet the first violin's arpeggiations echo a similar figure in the cello creating an imitative texture and, following the first violin's final dramatic descent in bars 370–71, the rest of the ensemble respond in sympathetic unison — two features that add to a reciprocal quality. Even though I cannot regard the coda as invoking an intimate mode of expression given that it contains several public parameters — it has mostly loud dynamics, a thick texture, and a wide range — its reciprocal parameters nonetheless ensure that individual virtuosic display does not completely overwhelm the movement's final bars. Mendelssohn thus demonstrates how MTA can become reciprocal without losing its original virtuosic character.

Transition Themes

Like Op. 44/3's first movement, the exposition from Op. 44/1's first movement features new thematic material during the transition. Following the return of MTA material at bar 37, which

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[17] Alternatively, one could regard this as a weak, elided cadence, since the eventual arrival on a rooted D major chord arrives a crotchet beat too late, and thus groups with the subsequent phrase, This is similar to the elided, weak cadence at the end of ST2 in Op. 45's first movement (see chapter six). A I:PAC does occur earlier during MTA at bars 341–42. But because MTA material continues until bar 353 and then closes with an evaded cadence before MTB ensues, I view the section as a whole as dependent on what follows for closure.

'becomes' the transition, a new melodic idea appears at bar 52 that contrasts starkly with what precedes it. While MTA'⇒TR is loud and energetic, the new melody in the viola at bars 52–56 slows to crotchets and elicits a drop in dynamics (labelled as TR[1] in Ex. 7). A further new idea emerges in the first violin at bars 59–71 (TR[2] in Ex. 7). And while the viola melody trails off into MTB material at bars 56–58, the second new melodic idea is more thematically distinct. Not only does it close with a V:PAC at bars 70–71, it also follows a tightly organised sentence, consisting of a repeated basic idea in bars 59–62 followed by an expanded continuation phrase in bars 63–71.[18]

Ex. 7. TR[1] and TR[2]

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[18] This has previously been pointed out by Benedict Taylor, 'Tonal Growth and Interthematic Elision in the First Movement of Mendelssohn's D Major Quartet, Op. 44 No. 1', in *Mendelssohn Network: AMS Pre-Conference Meeting* (Westin Boston Waterfront Hotel, 2019). I continue to label TR[2] in superscript, rather than as TR2 even though its sentential structure indicates it could be conceived of as a self-contained thematic unit. Because the preceding TR[1] is not a self-contained thematic unit, TR[2] appears as a seamless continuation of the transition that happens also to exhibit a sentence structure. See List of Abbreviations for further explanation of my thematic labelling.

TR¹

MTB

dolce

cresc.

cresc.

p

ii:IAC   ii:IAC

TR²
Presentation

Continuation

p

p

p

p

p

p

IV6   V 4/2   I6
V:AC

cresc.   dolce

cresc.

cresc.   p

p

V:PAC

Despite providing a distinct contrast with the movement's main theme, I do not view either of these as the subordinate theme, but two thematic episodes within the transition. I therefore label them as TR¹ and TR² in Ex. 7 and Table 2, where I outline the exposition's thematic layout. In contrast to Op. 44/3's first movement, in which I viewed the new melody during the transition (TR/ST) as engendering a fusion of the transition and subordinate theme, a further new idea in Op. 44/1's first movement at bars 72–87 as the most likely candidate for the subordinate theme (Ex. 8). Admittedly, the subordinate theme does not conclude with a cadence, unlike TR², which closes with a V:PAC at bars 70–71.[19] Yet because MTA material

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[19] Although a V:PAC does occur at bars 78–79 (see Ex. 8), this does not close the new theme, which continues until bar 89 where Mendelssohn leave it open-ended and without cadential closure. The V:PAC at bars 70–71, moreover, does not prevent the preceding passage from functioning as the transition, since a V:PAC can elicit, according to Hepokoski and Darcy, a medial caesura — although it is not as common as a half cadence medial

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that functions as the closing theme immediately follows at bars 90–120, I interpret what precedes it as bars 71–81 as the subordinate theme. In contrast to Op. 44/3's first movement, where TR/ST could hold claims to the subordinate theme because the next theme (ST/CT) is the only candidate for the closing theme, the subordinate theme in Op. 44/1's first movement does not also hold a closing theme function since it lacks cadential closure and so does not fulfil the closing theme's role of reaffirming the subordinate key.[20] Furthermore, the existence of distinct closing theme at bars 90–120 means I find bars 72–89 a more persuasive subordinate theme than ST/CT in Op. 44/3's first movement. I can therefore more easily interpret the preceding two themes (TR[1] and TR[2]) as melodic episodes within the transition.

Table 2. The exposition's thematic layout

Bars	Thematic section
1–12	MTA
13–37	MTB
38–51	MTA'⇒TR
52–55	TR[1]
56–58	MTB-material
59–71	TR[2]
72–81	ST
90–120	CT

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caesura. They also recognise that a V:PAC medial caesura can create some confusion, as it might suggest the essential expositional closure. Hepokoski and Darcy, pp. 27–29.

[20] Admittedly, what I view as the closing theme in bars 90–120 also does not attain a perfect authentic cadence in the subordinate key. And even though the subordinate theme does not conclude with a cadence, it nevertheless provides a V:PAC at the end of its first phrase in bars 78–79. I nonetheless view bars 90–120 as functioning as the closing theme because it uses MTA material. And even if it ultimately does not succeed in cadentially confirming the subordinate key, it makes repeated attempts at doing so. Mendelssohn evades two authentic cadences at bars 100–01 and 104–105, indicating that bars 90–120 act as a postcadential passage that aims to confirm (if unsuccessfully) the subordinate tonality.

Ex. 8. Subordinate theme, bars 71–89

A manuscript of an earlier version of the movement confirms TR[1]'s and TR[2]'s roles as transitional episodes. Fig. 1 begins with bar 48 of the movement's transition and then shows the entrance of TR[1]. Whereas in the published version TR[1]'s melody begins and remains in the viola, in the earlier manuscript version, TR[1]'s melody occurs first in the viola but is then passed to the first violin. The second system in the given manuscript then sees TR[1] extended as a fragmented version of the viola's original melody is passed between the first violin and lower voices. Rather than reviving MTB material (bars 56–58 in the published version), Mendelssohn extends TR[1] so that it lasts another eight bars until the entrance of the subordinate theme. In

this earlier version, there is no sign of TR^2, and even though Mendelssohn prolongs TR^1, its function as part of the transition is less ambiguous, since it arrives, via a bass descent, on V of A major, creating the expected medial caesura-fill before the onset of the subordinate theme. TR^2 nevertheless appears in the manuscript version's recapitulation, suggesting that Mendelssohn might have devised this thematic idea as he was writing the recapitulation and then decided to retrospectively add it to the exposition. Whether or not one accepts this interpretation of his creative process, the earlier manuscript version indicates that he had at one point conceived of the transition as functioning perfectly well without TR^2. If the movement's exposition could function without TR^2's presence, TR^2 is an unlikely candidate for the subordinate theme.

Fig. 1. Berlin, Staatsbibliothek, Preußischer Kulturbesitz, N.Mus.ms.108. Mendelssohn Bartholdy, F. (1838), fol. 2^v.
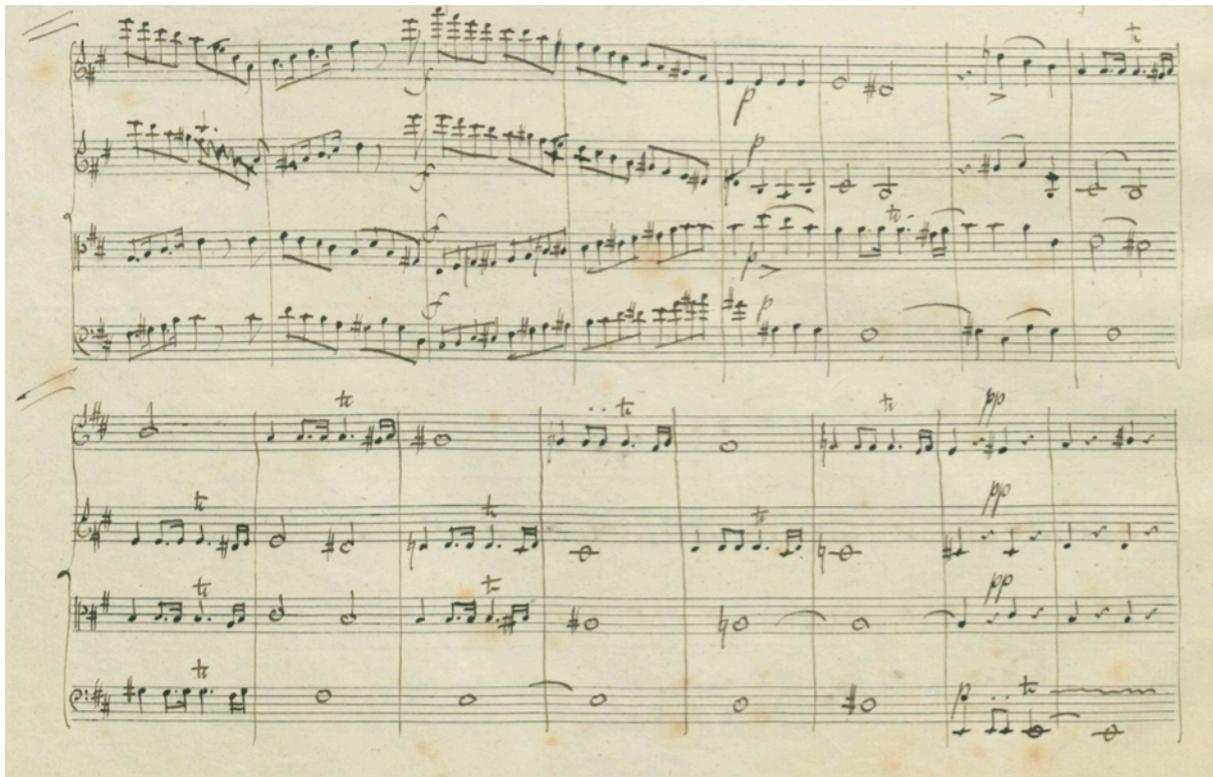
Similar to Op. 44/3's first movement, Mendelssohn's insertion of TR^1 and TR^2 results in an expansive transition, lasting from bar 37 until 79. Indeed, the addition of TR^2 in the

published version engenders a transition that is six bars longer than in the earlier manuscript version, despite previous Mendelssohn's elongation of TR^1. Such an expansive transition presents a site for formal ambiguity. Although I ultimately regard TR^1 and TR^2 as part of the transition, their melodic distinctiveness could suggest possible subordinate themes. Likewise, the functional transformation in the preceding MTA'⇒TR engenders formal ambiguity as it difficult to determine whether this passage forms part of the main theme or transition. Such formal ambiguities foster a reciprocal quality throughout bars 38–71.

MTA⇒TR at bars 37–52 nonetheless begins with a strong emphasis on individual and public qualities, as Mendelssohn maintains the virtuosic violin part from MTA's initial statement. The first violin is still the uncontested dominant voice supplying the passage with an individual quality: it has a wider range and is scored widely apart from the rest of the ensemble. Meanwhile, loud dynamics and a thick texture contribute to this passage's public quality. There are nevertheless some features which indicate that an intimate mode of expression remains a persuasive presence during bars 37–52. The cello mirrors the first violin's ascending semiquaver arpeggiation, creating an imitative texture. Furthermore, the second violin and viola play in sympathetic unison at bars 46–49, followed by the viola and cello in bars 49–52, and then the two violins also join together bars 49–52. Alongside the formal ambiguities that arise from MTA⇒TR's functional transformation, such imitative textures and sympathetic unison contribute to a reciprocal quality.

Similar to Mendelssohn's planting of a reciprocal quality during the virtuosic TR from Op. 44/3's first movement, one could regard the MTA⇒TR's reciprocal quality from Op. 44/1's first movement as planting the seeds for an intimate mode of expression to blossom during TR^1 at bars 52–55. Although this passage is fairly fleeting, parameters that suggest intimacy's private, collective, and reciprocal qualities proliferate during its four bars. Mendelssohn no longer prioritises the first violin, since the viola now plays the main melodic

line (Ex. 7). Alongside prioritising a non-dominant voice, other features enhance a reciprocal quality: TR^1 creates a degree of formal ambiguity because its melodic distinctiveness makes it unclear whether this passage still functions as part of the transition or the start of the subordinate theme. The four voices also begin in sympathetic unison, playing together in legato crotches, and even when the viola departs from the rest of the ensemble in bar 53, the other three voices maintain their sympathetic unison. Mendelssohn also bolsters an intimate expressive mode by infusing TR^1 passage with private and collective qualities. Its quiet dynamics, thinner texture and elongated note values contribute to a private quality. Meanwhile, Mendelssohn scores the ensemble close together, summoning a collective quality.

The brief surfacing of MTB material at bars 56–58 followed by TR^2 at bars 59–71 nonetheless see the first violin become the *Hauptstimme* once more, implying a resurgent individual quality. Mendelssohn initially scores the first violin apart and marks it *dolce* during MTB, emphasising its individual voice. The first violin plays wider octave leaps during TR^2, which further distinguishes it from the rest of the ensemble. TR^2, moreover, eventually closes with a V:PAC at bars 70–71, creating a self-contained section that further reinforces this passage's individual quality. Yet even if Mendelssohn prioritises the first violin so an intimate quality resumes, an intimate mode of expression remains a persuasive presence during MTB and TR^2 at bars 57–71. MTB and TR^2 predominantly have quiet dynamics and a thinner texture than the preceding MTA⇒TR, which contributes to a private quality. Meanwhile, this passage's formal ambiguity connotes a reciprocal quality: TR^2's sentential structure, its residing in the dominant, and V:PAC closure could suggest that it functions as the subordinate theme, but it could still form part of the transition. Furthermore, MTB's and TR^2's textures reinforce their reciprocal quality. MTB presents an imitative second violin and viola that also provide a countermelody to the violin's *dolce* line. TR^2 then presents an exchange between the violins, which imitate conversation, while sympathetic unison later arises between the second

violin and viola at bars 67–70 (Ex. 7). Mendelssohn also invokes a collective quality during TR^2, whose tightly organised sentence speaks a collective language. Even though he expands its continuation phrase, this is elicited by a conventional technique of expansion. Following an abandoned cadence at bars 66–67, a cadential extension follows at bars 67–71, which successfully provides a perfect authentic cadential resolution at bars 70–71.[21]

An intimate mode of expression nevertheless remains a persuasive presence throughout bars 38–71. Although MTA'⇒TR maintains the virtuosic first violin part from the movement's opening, it still contains several reciprocal parameters that pave the way for a resurgent intimate expressive mode in TR^1. Consequently, when the first violin becomes the *Hauptstimme* once more during MTB and TR^2, an intimate mode of expression remains a pervasive presence, even if the first violin also distinguishes itself as an individual voice. While Mendelssohn shows how the virtuosic MTA can still exhibit reciprocity in the movement's coda, during the exposition's transition he illustrates that he can still prioritise a dominant voice while enabling an intimate mode of expression to take hold.

Despite the diverging characters of their opening themes, Mendelssohn employs similar devices in the first movements from his String Quartets Op. 44/3 and Op. 44/1. He inserts a virtuosic first violin at the start of the recapitulation in Op. 44/3's first movement and in the coda of Op. 44/1's first movement, a topic's whose public and individual qualities should represent the opposite of an intimate mode of expression. Yet his treatment of virtuosity is more nuanced. Similar to the start of the recapitulation in the first movement of the Violin

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[21] As I explained in chapter two, Mendelssohn can use abandoned cadences to subvert an expected closure and invoke a reciprocal quality. In this instance, however, Mendelssohn relies on the technique of cadential extension that Caplin frequently finds in the Classical style. Consequently, the abandoned cadence at bars 68–69 does not result in a subversion of the tightly organised sentence's expected closure because its cadential extension ultimate provides a I:PAC at bars 70–71. And although this cadential extension also expands TR^2's tightly organised sentence, it does not undermine its expected structure, since a sentence is more amenable to expansion than the tightly organised period.

Concerto, where the virtuosic soloist becomes the accompaniment to the orchestra, the relationship between first violin's virtuosity and the rest of the ensemble at these points in Op. 44/3 and Op. 44/1 illustrate how individual virtuosity can be put into the service of the collective, and how the first violin can display their skill and distinguish themselves as an individual while still paying heed to the collective ensemble. In Op. 44/3's first movement, Mendelssohn shows that he can furnish virtuosity with an intimate mode of expression, despite how the former's outward display should be diametrically opposed to intimacy's collective and private qualities. Indeed, MTA's initial reciprocity still infects its return in the coda, despite the overtly virtuosic first violin part. Meanwhile, the movement's expansive and formally ambiguous transition enables an intimate episode to emerge alongside virtuosity, reversing the topic's inclination towards public and individual qualities. He does something similar in Op. 44/1's first movement, where the virtuosic MTA shifts decisively towards reciprocity in the coda without losing the features that had generated its virtuosity in the first place. And even if exposition's transition does not end with virtuosity, he nonetheless demonstrates how one can prioritise an individual voice during passages that also present an intimate mode of expression.

In some respects, the first movements of Op. 44/3 and Op. 44/1 share a similar narrative as the first movement of the Violin Concerto. Across these three movements, Mendelssohn demonstrates how characteristics typically associated with the opposite of intimate expression can be infiltrated by this expressive mode. In the case of Mendelssohn's Violin Concerto, it was the concerto genre and virtuosic violin part that stood in opposition to intimate expression. The first movements of Mendelssohn's Op. 44/3 and Op. 44/1 String Quartets, however, reside in a genre that already inclines towards intimacy's private and reciprocal qualities, so perhaps the relationship between intimate expression and its opposing qualities occurs in the reverse. In his Violin Concerto, Mendelssohn uses an intimate mode of expression to counter the genre's emphasis on pubic and individual qualities. By contrast, in the first movements from

Op. 44/3 and Op. 44/1, Mendelssohn permits an individual quality to come forward. In doing so, he demonstrates that a quality that should oppose intimacy's collective and reciprocal qualities does not necessarily undermine the intimacy that pervades these string quartets.

The virtuosity at the start of Op. 44/3's recapitulation and in Op. 44/1's coda, and their formally ambiguous transition themes indicate how an intimate expressive mode, and an opposing individual quality can exist alongside one another. He turns to a different topic in the Piano Trio in No. 2, Op. 66 with markedly different expressive qualities. Yet as the following chapter demonstrates, examining an intimate mode of expression in this work, and the qualities that either contribute to or detract from it, can reveal how Mendelssohn transforms the expressive qualities associate with this topic too.

Chapter Eight

Personalising the Universal

Piano Trio No. 2 in C minor, Op. 66, First and Fourth Movements

When it comes to the examining the chorales that appear in Mendelssohn's instrumental music, scholars have been concerned primarily with its association with German religious and national identity. Benedict Taylor has traced the coming together of 'aesthetic, ethical and religious strands' in the Symphony No. 2 "Lobgesang" (1840);[1] and in his examination of the Piano Trio No. 2 in C minor, Op. 66 (1845), Lawrence Kramer contemplates the implications of its juxtaposition of the sacred and secular, what he calls 'spirit out of place'.[2] In analysing the chorale that appears Op. 66's finale, however, I am instead interested in how Mendelssohn transforms its traditional associations with the public sphere and collective expression by imbuing it with intimacy's qualities. Originating from sixteenth-century Lutheran worship in Germany, the chorale has clear connections to collective worship in the public space of the church. And in bringing together the congregation's diverse voices into a single, homophonic texture who sing the same words, the chorale represents a kind of collective expression that is rather more uniform than reciprocal. Individuals are subsumed into the congregation's

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[1] Benedict Taylor, 'Beyond the Ethical and Aesthetic: Reconciling Religious Art with Secular Art-Religion in Mendelssohn's "Lobgesang"', in *Mendelssohn, the Organ, and the Music of the Past: Constructing Historical Legacies*, ed. by Jürgen Thyme (Rochester, NY: University of Rochester Press, 2014), pp. 288–310 (p. 294).
[2] Lawrence Kramer, 'Sacred Sound and Secular Space in Mendelssohn's Instrumental Music', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 330–45 (p. 332).

unanimous hymn of praise, offering little opportunity for individuals to come forward.

Scholars' concentration on the meeting of the sacred and the secular in Mendelssohn's instrumental chorales is perhaps unsurprising given the substantial amount of criticism this has elicited, and I do not intend to downplay its significance.[3] Yet it would be a mistake to view the chorale in the finale of Mendelssohn's Piano Trio in C minor, Op. 66 as representing a bold pronouncement on how the sacred chorale could find a suitable home within a secular setting. Indeed, Mendelssohn's revival of Bach's *St Matthew Passion* for the secular concert stage in 1829 has far greater claims to embodying the composer's decidedly public statement on the matter, especially since he persisted in organising the work's performance, despite several of his mentors expressing their misgivings.[4] By the time Mendelssohn came to writing Op. 66, he had already made numerous musical proclamations to this effect, beginning as early as 1824

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[3] A. B. Marx objected to the chorales in Mendelssohn's oratorio *St Paul* (1836) because although the work has a sacred subject, it was intended for performance in the secular concert hall. Writing in *Die Musik des neunzehnten Jahrhunderts und ihre Pflege* (1855), Marx described how Carl Heinrich Graun's *Der Tod Jesu* (1755) — a Passion oratorio that had become a standard a part of Berlin's Good Friday observances — stemmed from a time when daily life and the church were more closely intertwined. Yet the greater separation between sacred and secular life that he perceived as existing in his own time meant that 'to repeat the form of this church oratorio outside the church, where all feelings and relations are different, is no progress'. Adolf Bernhard Marx*, The Music of the Nineteenth Century and Its Culture*, trans. by August Heinrich Wehran (Cambridge: Cambridge University Press, 2009) p. 106. Mendelssohn's father Abraham and his teacher Zelter also held reservations when it came to adapting chorales for the purposes of inserting them into secular music. John Toews observes that while Zelter conceded that chorale tunes could be used as motifs, when they were quoted as chorales, he believed they should not be altered. And writing in a letter to his son in 1835, Abraham Mendelssohn asserted that 'no liberties ought ever to be taken with a chorale' since it was so bound to its liturgical function. Quoted in John Edward Toews, *Becoming Historical: Cultural Reformation and Public Memory in Early Nineteenth-Century Berlin* (Cambridge: Cambridge University Press, 2008) p. 220. In this respect, Mendelssohn's father, Marx and Zelter shared E.T.A Hoffmann's view advanced some twenty years earlier, that 'music intended for worship is meaningless when played separately […] because such music is *worship itself* and thus seems like a mass celebrated in a concert or a sermon preached in a theatre'. E. T. A Hoffmann. 'Old and New Church Music' (1814). Quoted in Celia Applegate, *Bach in Berlin: Nation and Culture in Mendelssohn's Revival of the "St. Matthew Passion"* (Ithaca, London: Cornell University Press, 2014) p. 190. Criticisms of Mendelssohn's crossing of the supposedly firm division between sacred and secular music extend beyond the nineteenth-century too, as indicated by Charles Rosen's curt dismissal of Mendelssohn as the 'inventor of religious kitsch in music'. For Rosen, the chorale in Op. 66's finale 'shows how religion for Mendelssohn had dwindled into a simple feeling of awe that could serve as an impressive climax to a profane work' and 'there is no obvious reason for the display of piety'. Rosen cannot fathom why Mendelssohn would insert a sacred symbol into an otherwise secular work, which he views as a disingenuous means of giving a superficial sense of profundity to a work otherwise lacking in depth. Charles Rosen, *The Romantic Generation* (Cambridge, MA: Harvard University Press, 1995) pp. 590, 595.

[4] In an account given by baritone Eduard Devrient, who played an important role in the *St Matthew* revival, he describes how Zelter, Mendelssohn's parents and Marx all showed reservations. Although Applegate concedes that Devrient may have exaggerated his account to emphasise his role, she does not dispute that Mendelssohn faced considerable opposition in trying to organise its performance. Applegate, pp. 29–32.

aged fifteen with his Viola Sonata in C minor, where a chorale emerges in the trio section of the second movement. Alongside the aforementioned Second and Fifth Symphonies, chorales also feature in the third movement of his Second Cello Sonata, Op. 58 (1843), and in Nos. 1, 3, 5 and 6 of his Organ Sonatas, Op. 65 (1845). In this chapter then, I am less interested in the already discussed ramifications of placing a sacred topic within a secular work, but rather in how Mendelssohn attempts to make this outmoded musical genre, associated with German Lutheranism and uniformity of expression, both personal and universal.

Mendelssohn had endeavoured to do something similar some fifteen years earlier in his Symphony No. 5 "Reformation" (1830), where Bach's musical language provided 'the means for a transition from the purely confessional meaning of the Protestant idea to its universal, human meaning'.[5] The symphony was not, however, judged a success by Mendelssohn or his public. After rehearsing the work, the orchestra of the Paris Conservatoire refused to perform it, deeming it 'much too learned, too much fugato, too little melody',[6] and, perhaps, as Larry Todd suggests, too Protestant, or, as Toews proposes, too German.[7] Mendelssohn never published the work, and after conducting it in Berlin in 1832 did not allow any further performances during his lifetime. Reflecting on the symphony to his friend Julius Rietz in 1841, Mendelssohn seemed to have come round to the same view as his Parisian critics, admitting that in an effort to avoid novelties, he had swung too far in the opposite direction, so that the musical ideas in the Reformation Symphony were not bold or interesting enough, and were meaningful more because of what they meant rather than what they were in themselves.[8]

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[5] Toews, pp. 227–28. Toews, moreover, explains that around 1830 Mendelssohn had a particular 'interest in articulating the fulfilment of the personal religious quest within the forms of religious community, musically expressed in the chorale. The chorale became a musical symbol for the communal foundations of his religious faith and ethical principles, pointing to the hidden essential truth within the historical forms of the traditional ecclesiastical service […] he would not concede that Bach's passions and cantatas could be reduced to their liturgical function, and thus subordinated to the specific ecclesiastical needs of their time' (p. 224).

[6] Quoted in ibid., p. 234.

[7] Larry Todd, *Mendelssohn: A Life in Music* (New York: Oxford University Press, 2003), p. 254; Toews, p. 234.

[8] 'glaube ich man kann, durch den natürlichen Abscheu vor diesem Wesen auch wieder ins andre Extrem gelangen, sich vor allem Pikanten und Üppigen so sehr zu fürchten, daß am Ende der musikalische Gedanke an sich nicht keck und interessant genug bleibt, daß statt jener Geschwüre eine Magerkeit entsteht […]. Die Grundgedanken in

Mendelssohn's appropriation of Bach's language — including the chorale 'Ein feste Burge' in the work's finale — was meaningless to his Parisian audiences because it was too specific to Mendelssohn's own religious and cultural background in German Protestantism. They therefore could not comprehend the work's larger, universal meaning. The chorale's associations with uniform, collective praise in the public sphere was compounded by its position in a symphonic work, whose inherently public nature also made it an unlikely environment for the expression of one's personal feelings. Rather than allowing an individual to build a personal relationship with God, the chorale in the public sphere of Mendelssohn's Reformation Symphony risked creating a unanimous homogeneity.

Needless to say, the failings Mendelssohn perceived in his Reformation Symphony did not prevent him from placing further chorales into his instrumental music, as Op. 66's finale attests. Indeed, this chapter argues that in Op. 66, Mendelssohn attempts what he had failed to do in his Reformation Symphony. Whereas the allusion to collective praise in the public space of the church offered by the Reformation Symphony's chorale had risked diluting the individual into a uniform collective, in Op. 66 Mendelssohn shows how the chorale can attain other qualities not normally associated with this topic while also playing a vital formal role that stretches back to the first movement. This is not to say that he rids the chorale of its public and collective qualities. Rather, by examining how the chorale interacts with the qualities that either reinforce or detract from an intimate mode of expression, this chapter illustrates how Mendelssohn transforms a topic that had otherwise been too German and too Protestant for audiences from outside of his own circle to understand into something both more personal and

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Ihrer Ouvertüre und meiner Reformaz. symphonie (beide haben darin ganz gleiche Eigenschaften find' ich) sind mehr bedeutend durch das was sie bedeuten, als an und für sich'. ['I believe one can, through a natural disgust for it, swing to far towards the other extreme, to be so afraid of what is novel and luscious that in the end the musical thought itself is not bold or interesting enough, that instead of those ulcers a leanness emerges. The main ideas in your overture and my Reformation Symphony (both have the same properties in them I think) are more meaningful because of what they mean than what they are in themselves'.] Letter to Julius Rietz, 23 April 1841. Felix Mendelssohn-Bartholdy, *Sämtliche Briefe*, ed. by Helmut Loos, Wilhelm Seidel and others, 12 vols. (Kassel: Bärenreiter, 2008–17) viii, pp. 80–81.

universal.

A Chorale Without Words

Aside from its chamber music context, the most important way in which Op. 66's chorale differs from that in Mendelssohn's Reformation Symphony is how it is *not* a quotation from a pre-existing chorale. This was a practice Mendelssohn employed somewhat frequently. As well as the Reformation Symphony's quotation of 'Ein feste Berg', Hans Davidsson finds three further chorales — 'Was mein Gott will*, das g'scheh allzeit'*; 'Aus tiefer Noth'; and 'Vater unser im Himmelreich' — in his Organ Sonatas No. 1, 3 and 6 respectively.[9] In clearly alluding to specific chorales, the listener may imagine the words of the original chorales even if no words are actually present.[10] Thomas Schmidt attempts to argue something similar for Op. 66's chorale, by demonstrating that the first two phrases of Mendelssohn's chorale combine two pre-existing chorales: 'Gelobet seist du Jesu Christ' and 'Herr Gott, Dich alle loben wir' (Ex. 1); while the final two phrases are remarkably similar to the conclusion of 'Lobt Gott, Ihr Christen alle gleich' (Ex. 2). Although he acknowledges that Mendelssohn's combination of three different chorale sources means that no single text can be incontestably connected to Op.

[9] Hans Davidsson, 'Mendelssohn's Sonatas, Op. 65, and the Craighead-Saunders Organ at the Eastman School of Music: Aspects of Performance Practice and Context', in *Mendelssohn, the Organ, and the Music of the Past: Constructing Historical Legacies*, ed. by Jürgen Thym (Rochester, NY: Boydell & Brewer, 2014), pp. 141–210 (pp. 192–94). Davidsson also notes the presence of a newly composed chorale in Mendelssohn's Organ Sonata No. 5. Such newly composed chorales are also not uncommon within the composer's oeuvre. Out of a list of thirteen newly composed chorales amassed by Larry Todd and Angela Mace (what they call 'free chorales') in Mendelssohn's works, six of these come from instrumental works. (Naturally, those written for vocal works cannot be considered as *chorale without words* since they do in fact have words, even if they are not based on pre-existing chorales). See R. Larry Todd and Angela R. Mace, 'Mendelssohn & the Free Chorale', *The Choral Journal,* 49 (2009), pp. 48–69 (p. 68).

[10] This naturally depends on the listener's familiarity with the chorale repertory. For most modern, anglophone listeners it is likely that the repertory is not familiar enough for them to be able to recall the words of the original upon hearing Mendelssohn's instrumental chorales. While one may assume that Mendelssohn's north German, Protestant audience would have been more familiar with the repertoire, this is difficult to determine. Cecilia Applegate describes how between the death of J.S. Bach in 1750 and Mendelssohn's revival of the *St Matthew Passion* in 1829, Protestant Germany saw a 'disintegration of the institutional arrangements that sustained Bach in his lifetime', including the 'deterioration of the chorale'. Moreover, by the end of the eighteenth century, the *Kantoreien*, who sang chorales in churches were disappearing. Applegate, pp. 178–79. Glenn Stanley nevertheless argues that chorales written between 1750 and 1800 remained current in the nineteenth century because they were printed alongside new chorales in collections used by church musicians. Glenn Stanley, 'Bach's "Erbe": The Chorale in the German Oratorio of the Early Nineteenth Century', *19th-Century Music*, 11 (1987), pp. 121–49 (p. 122).

66's chorale, he maintains that an attentive audience would not fail to notice that the texts all

share similar themes of praise — the expression 'Lob' features in all their titles.[11] Armin Koch,

however, contests Schmidt's finding, detecting further similarities between Op. 66's chorale

and Mendelssohn's English psalm-chorale 'Lord hear the voice' (1839) (Ex. 3) and his Fifth

Organ Sonata (1844). Koch argues that the chorales Mendelssohn draws on in Op. 66 come

from different types of church music and their underlying texts do not fall under the same

theological rubric.[12] Even if one accepts that Mendelssohn intentionally drew on the chorales

Schmidt refers to when composing Op. 66's chorale, I doubt Mendelssohn's audience could

have discerned them, let alone connected them to a shared theme of praise. At best, Op. 66's

chorale is highly evocative of certain chorale melodies, but in combining several it alludes to

a general chorale style rather than quoting from specific chorales that listeners could recognise.

Ex. 1. Thomas Schmidt's combining of 'Gelobet seist du Jesu Christ' and 'Herr Gott, Dich alle loben wir' and how this compares to the first two phrases of Op. 66's chorale

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[11] Thomas Schmidt, 'Mendelssohn's Chamber Music', in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004), pp. 130–48 (pp. 325–26).
[12] Armin Koch, *Choräle Und Choralhaftes Im Werk Von Felix Mendelssohn Bartholdy* (Göttingen: Vandenhoeck & Ruprecht, 2003) pp. 124–28.

Ex. 2. Thomas Schmidt's comparison of the final phrases from 'Lobt Gott, Ihr Christen alle gleich' and the final phrases from Op. 66's chorale

Ex. 3. The first line of 'Lord hear the voice'

Mendelssohn's decision to avoid creating any clear textual connection for Op. 66's chorale may stem from the composer's general distrust of the communicative ability of words that he inherited from his teacher Zelter[13]. Yet this does not explain why Mendelssohn quotes from pre-existing chorales in his Reformation Symphony, Organ Sonatas, and several other secular instrumental works, but not in Op. 66. I propose that Mendelssohn's decision to use a chorale that eludes any textual associations originated from his desire to reduce the risk of homogeneous uniformity by giving listeners the freedom to respond as individuals to the chorale. As John Michael Cooper attests, Mendelssohn's response to a request that he provide the underlying texts to one of his *Lieder ohne Worte* does not betray a complete aversion to the addition of words:

> You want me to tell you the words to the little Lied in A major that I left behind

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[13] John Michael Cooper describes how the Second Berlin School, which included Zelter alongside composers such as Wilhelm Taubert (1811–91), Ludwig Berger (1777–1839), and Carl Loewe (1811–1891), believed that '[b]ecause the meanings of words change as circumstances and speakers change, a given word or words might express one idea for a given individual but an entirely different idea under different circumstances or for another individual. Consequently, words are prone to distorting or even preventing the effective communicating of ideas. Music, by contrast, can approach or even achieve ideal or noumenal status because of its capacity for supreme subjectivity'. John Michael Cooper, 'Of Red Roofs and Hunting Horns: Mendelssohn's Song Aesthetic, with an Unpublished Cycle (1830)', *Journal of Musicological Research*, 21 (2002), pp. 277–317 (p. 282).

with you – but how am I even to begin to discover these? For precisely that is the main thing about such a Lied ohne Worte: *that everyone later thinks up its words and its meaning, and sets this out in his own way.* Of course, I have also done this myself, but only very incoherently, with one word on one note here and there, then a whole series of notes with no words, and then words that make no sense — and I cannot write it for you that way, especially since *it really depends only on one's disposition.* So just invent the verses for yourself so that you understand the meaning; but I know that even if you deny it or (in your words) 'despite all modesty' claim not to know them all, then the song would be useless, a failure. In that case, I solemnly swear herewith that I will bring you a better one this fall, one that would pronounce its mood more clearly than this one probably does.[14] [Emphasis added]

Mendelssohn's encouraging of listeners to think of their own words for his *Lieder ohne Worte* suggests that he avoided providing texts not because he simply mistrusted words, but because he wanted to grant listeners freedom to interpret the music in their own personal way and according to their own unique circumstances. Like his *Lieder ohne Worte* then, the 'chorale without words' in Op. 66 suggests vocal music while also refusing to offer a specific text to accompany it, leaving it to the individual listener to imagine their own words to set to the music. While a quotation from a specific chorale alludes to uniform singing in church, a chorale that does not suggest a pre-existing text allows a greater degree of freedom for each individual to interpret the chorale in their own way. It is not that this individual quality undoes the chorale topic's allusion to collective expression, rather it enables a degree of individual expression to arise, while also bringing to mind a congregation singing together in church. Consequently, I regard Op. 66's chorale as not only indicating public and collective qualities, but an individual quality too.[15]

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[14] Letter to Josephine von Miller, 30 January 1833. Quoted and translated in Cooper, p. 284.

[15] While the chorale without word's co-existing individual and collective qualities might persuade one to regard it as holding a reciprocal quality instead, these qualities are not mutually interdependent. As I emphasised in chapter one, a reciprocal quality only arises when the individual and the collective are interdependent and mutually reinforcing. Yet the lack of a textual association that gives the chorale without words its individual quality acts independently of the chorale's collective quality. (I would, for example, regard Mendelssohn's *Lieder ohne Worte* as also attaining an individual quality because of their lack of a textual association, yet this occurs without the additional necessary presence of a collective quality). Unlike other reciprocal parameters, then, which can only exist through interdependent individual and collective qualities, Op. 66's chorale without words evokes both individual and collective qualities as distinct entities. The presence of two opposing qualities is not problematic, since, as I argued in chapter one, these qualities work on a continuum and different environments can hold

The Chorale's Formal Function

Before considering the chorale's expressive qualities in more detail, I begin by examining its role in the finale's overall form. When the chorale first appears, one could conceive it as behaving like a C-couplet in a sonata-rondo form. The development begins at bar 106 in the tonic, in compliance with Hepokoski and Darcy's definition of a Type 4 sonata. Consequently, when the chorale appears in the non-tonic key of A-flat, it could be conceived as acting like a rondo's C-couplet. But as I explained in chapter two, I do not regard Type 4 sonatas as distinct from sonata-allegro or Type 3 movements in Mendelssohn's sonata practice, so Op. 66's finale only alludes to rondo form. When the chorale appears in the development it sounds reminiscent of a rondo's C-couplet, so the allusion to static rondo form appears especially evident here.

Yet Mendelssohn does not separate the finale's chorale from the collective formal process to the extent that A. B. Marx's isolated rondo couplets might imply. Fragments of main theme material in the strings infiltrate the chorale's first statement, casting doubt on whether it is a truly self-sufficient rondo couplet (Ex. 4).[16] The chorale's role in the movement's larger formal process comes to fruition in the coda, where Mendelssohn reveals a previously latent connection between the chorale and subordinate theme. Ex. 5 places the chorale melody's first line as it appears in the coda above the subordinate theme, illustrating how the start of the former maps onto the latter. Such a connection had not been especially evident in the development. The subordinate theme had previously appeared in the key of E-flat during the exposition, whereas the chorale appears in A-flat in the development, so they initially sound at different pitches. Furthermore, the main theme rather than the subordinate theme preceded and followed the chorale in the development, so their chronological separation makes detecting the connection between the chorale and subordinate theme more difficult. Only in the coda does

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characteristics of both qualities at the same time.
[16] Mendelssohn does something similar in the scherzo movement from his String Quartet No, 5 in E-flat, Op. 44/3, where he undermines a possible subordinate theme, C-couplet or trio theme by accompanying it with main theme material. See chapter five.

Mendelssohn highlight the thematic connection between the chorale melody and subordinate theme: not only do they sound in the same key, in C major, but the subordinate theme also follows immediately after the chorale at bar 296, encouraging listeners to hear their melodic similarities.

Ex. 4. The chorales first entrance, bars 128–49

Ex. 5. The chorale's melody mapped onto the subordinate theme

The chorale's connection to the subordinate theme has several important ramifications for the movement's form. First, it enables the previously unstable subordinate theme to achieve structural closure. Although in the exposition, the subordinate theme begins in the expected relative major E-flat at bar 49, it arrives over V^7 harmony as a continuation of the medial caesura from the preceding bars.[17] The subordinate theme only resolves onto a rooted tonic chord via a bass descent at bar 57. Mendelssohn, moreover, avoids cadentially confirming E-flat as the subordinate key. Its first rooted E-flat chord occurs mid-phrase, and then swiftly modulates back to the movement's tonic C minor, closing the subordinate theme's first phrase with a i:PAC at bars 59–60. Although the subordinate theme quickly moves back to E-flat, prolonging this harmony at bars 64–69, Mendelssohn never offers a III:PAC. The subordinate theme, moreover, presents a subversion of the expected cadential outline of a tightly organised period. Mendelssohn suggests such a structure by starting to repeat the subordinate theme's initial phrase at bar 61, recalling a consequent phrase's repetition of the antecedent. While Mendelssohn's expansion of the consequent through the emergence the violin's long-held notes in bars 67–78 is not outside the realms of possibility, the cadential arrangement is: the

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[17] Needless to say, it is not an uncommon for Mendelssohn to undermine the beginnings of his subordinate themes in his sonata-form movements. To give some examples, the subordinate theme in the exposition of Op. 44/3's first movement begins over a dominant pedal, while the subordinate themes in the first movements from both Op. 66 and his Piano Trio No. 1 in D minor, Op. 49 begin over first inversion harmony. Paul Wingfield and Julian Horton, moreover, find that 23 out of 74 of Mendelssohn's sonata-form movements contain some form of elision between the transition and subordinate theme, implying that the subordinate theme does not begin in these movements from a clear place of tonal stability. Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', in *Mendelssohn* Perspectives, ed. by Nicole Grimes and others (Farnham, Surrey: Ashgate, 2012), pp. 83–112 (p. 103).

antecedent phrase closes with a i:PAC at bars 59–60, in contradiction of the weaker closure required for a period's initial phrase; meanwhile, the consequent phrase does not succeed in delivering cadential closure at all but abandons such a cadential progression before the onset of the closing theme.[18] The subordinate theme thus not only fails to confirm cadentially its subordinate key and provide the essential expositional closure, it also cadences most strongly in the pessimistic home key of C minor, rather than the more positive E-flat major that it should establish.

Mendelssohn employs a similar procedure in the recapitulation. At bar 201, the subordinate theme also begins over V^7 of its local tonic — G^7 of C minor. Furthermore, its allusion to a tightly organised period also fails to confirm cadentially this key so it fails to deliver the recapitulation's essential structural closure. Mendelssohn also undercuts the subordinate theme's attempts at establishing a major key to an even greater extent in the recapitulation. Just as the subordinate theme's proposed antecedent phrase in the exposition had begun in E-flat and modulated to C minor, this same allusion to a period's antecedent phrase commences in C minor before modulating to G major at bars 211–212. Mendelssohn thus replaces a major to minor modulation in the exposition with a minor to major one in the recapitulation. Yet while he confirms the major to minor modulation in the exposition with a i:PAC at bars 59–60, he erodes the minor to major modulation in the recapitulation, replacing what had been a perfect authentic cadence with a weak imperfect authentic cadence in G major at bars 211–12 — it is weak because the strings and the piano's right hand prolong the penultimate harmony, so the cadence only fully resolves on the second beat. Mendelssohn thus

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[18] 'The perfect authentic cadence cannot be used to close an antecedent phrase, since this strong cadence achieves complete harmonic and melodic closure'. Furthermore, '[w]ith few exceptions, a consequent ends with a perfect authentic cadence, thus fully completing the harmonic and melodic processes of the theme.' Caplin, p. 51 and p. 53. Whether bar 79 marks the start of the exposition's closing theme is admittedly debatable precisely because it does not follow a perfect authentic cadence in a subordinate key or what Hepokoski and Darcy deem the essential expositional closure. I nonetheless regard bars 79–105 as holding closing-theme rhetoric, since it presents a thematic contrast to the subordinate theme that preceded it (by bringing back main-theme material) and because it makes repeated (if failed) attempts at securing an authentic cadence in the subordinate key.

more decisively articulates the minor-key inflection in the exposition's major-key subordinate theme than the major-key inflection in its minor-key recapitulation. And while this brings the recapitulation's antecedent phrase more into keeping with the weaker closure required of a period's antecedent, the ensuing allusion to a period's consequent again fails to provide a perfect authentic cadence.

Only when the subordinate theme continues immediately after the chorale in the coda does Mendelssohn divest it of its instability, and we finally hear it in the triumphant tonic major. Not only does the subordinate theme 8 follow a perfect authentic cadence in C major, which concludes the chorale at bar 296, it also starts over rooted tonic harmony — the first time in the entire movement it starts from such security. The subordinate theme goes on to achieve its *first* major-key perfect authentic cadence in C major, at bar 307. And even though what follows at bars 307–37 constitutes a greatly expanded consequent in response to bars 296–306's antecedent, it nonetheless closes with a I:PAC, reaffirming the subordinate theme's newly-found harmonic stability.[19] For the first time in the movement, the subordinate theme concludes resolutely with a perfect authentic cadence. What had been an unstable and pessimistically minor-tinged theme in the exposition and recapitulation, Mendelssohn transforms in the coda. It can hardly be a coincidence, that the first time Mendelssohn divulges the connection between the subordinate theme and the chorale, the subordinate theme also becomes decisively more secure. Mendelssohn thus demonstrates that the subordinate theme could only achieve stability *after* following the chorale. The reason the subordinate theme was previously unstable was due to it missing its vital first part — the chorale. Op. 66's chorale thus has a critical formal function: it is not merely a sacred symbol standing apart from the rest of the movement but is the stabilising first part of the subordinate theme that it had been looking

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[19] The subordinate theme in the coda could still be regarded as a subversion of a period structure because its antecedent phrase closes with a perfect authentic cadence. It is nonetheless closer to Caplin's description of such a tightly organised structure than its previous iterations in the exposition and recapitulation because its consequent phrase now achieves a perfect authentic cadence too.

for all along.

The attainment of a perfect authentic cadence during the chorale-subordinate theme amalgamation has larger formal ramifications too, since it shifts the movement's ultimate structural goal (or the essential structural closure), to the what Hepokoski and Darcy call the 'parageneric space' of the coda.[20] In doing so, the chorale rivals the formally defining role typically undertaken by the main theme. While the main theme's restatement in the tonic at bars 106–33 signals the start of a new developmental rotation (which is especially necessary given the lack of an essential expositional closure in the preceding exposition), after the chorale's initial emergence in the development, the main theme seems to lose its function as a formal marker. Indeed, no such main-theme restatement or 'double return' occurs at the start of the recapitulation. Instead, Mendelssohn completely elides the main theme, proceeding directly into the transition at bar 189. While the earlier return of the main theme at bar 167 could be a contender for the start of the recapitulation, it does not state MTA in full and begins in the wrong key of A-flat: clearly, this passage still forms part of the development. The entrance of the transition at bar 189 is thus more convincing as the beginning of the recapitulation because from this point onwards it maps onto the exposition.[21] And even though it could be argued that the main-theme material succeeds in the producing the essential structural closure, since the recapitulation's main-theme based closing theme at bars 231–50, produces a C minor perfect authentic cadence at its conclusion, there are two problems with

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[20] For Hepokoski and Darcy, codas are 'parageneric' spaces or 'not-sonata-space' because they are unnecessary for a sonata movement to reach its structural closure. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), p. 281.

[21] This contradicts Hepokoski and Darcy's understanding of how a recapitulation should begin, who argue it must elicit a new rotation by starting with the main theme. In the case of Op. 66's finale, the absence of the main theme at the start of recapitulation means they would not view the development and recapitulation as distinct sections, but as forming a single second rotation of a Type 2 sonata. Ibid., p. 354. Steven Vande Moortele contests whether it is appropriate to view such a process as creating a distinct sonata type, however, especially for nineteenth-century music. Indeed, Hepokoski and Darcy admit Type 2 sonatas were predominantly used in the mid-eighteenth century and began dying out after 1770. By the early nineteenth century, 'apparent "Type 2 sonatas" are better understood as being in dialogue with norms derived from contemporaneous practice'. In other words, they are in dialogue with Type 3 sonatas, *not* the more outdated Type 2. Vande Moortele, *The Romantic Overture*, pp. 236–37.

such an interpretation: first, the continuation of the piano's semiquaver texture and immediate resumption of the main theme in the strings means what follows this cadence sounds like a direct continuation of what precedes it, making it easy to miss any sense of a climactic arrival; and second, the cadence sounds in C *minor*, rather than C *major*. The cadence at bars 250–51 therefore cannot represent the final structural cadence in the movement's concluding key. Indeed, the chorale's return in the coda, which itself produces the shift from minor to major, elicits a retrospective formal reinterpretation: the C minor perfect authentic cadence at the end of the recapitulation's closing theme, which might have functioned as the essential structure closure, is shown to have been in the wrong key. Mendelssohn thus shifts a moment of structural import from the main theme (which provides a perfect authentic cadence in the 'wrong' key of the tonic minor) to the chorale-subordinate theme amalgamation. Doing so, moreover, adds to the significance of their climactic fusion in the coda, which not only becomes the site for the divestment of the subordinate theme's initial instability, but also the ultimate point of the movement's formal resolution.

A further formal ramification of the chorale's connection to the subordinate theme is that it grants the chorale a vital role in defining the movement's form. In presenting what seems like new material at its initial statement, it behaves like the isolated C-couplet of a rondo form. Yet when Mendelssohn reveals the connection between the chorale and the subordinate theme in the coda, it necessitates a retrospective reinterpretation. Because the chorale forms the stabilising precursor to the subordinate theme in the coda, it no longer behaves as a distinct rondo C-couplet, but as part of the subordinate theme. Consequently, what might initially have appeared as a rondo's C-Couplet, actually forms part of a sonata form's developmental rotation that restates both main and subordinate theme material. How one perceives the chorale's formal function changes as the movement progresses. What may have seemed like an isolated intrusion from an external, sacred realm in the development, actually possesses an essential

formal role.

The Chorale's Expressive modes

My previous discussion has demonstrated that Mendelssohn furnishes the finale's chorale with individual qualities in two ways: in lacking a specific textual allusion, it gives individual listeners the freedom to interpret the chorale according to their personal circumstances; and in alluding to a rondo form's C-couplet in the development, the chorale suggests one of Marx's static forms. Neither of these characteristics, however, overrules the intimate mode of expression during the chorale's initial appearance at bars 128–48. While the chorale topic itself suggests a public quality, this passage contains far more private parameters: alongside occurring within a chamber-music genre, it has predominantly quiet dynamics and elongated note values in comparison to the preceding development section that employs livelier main theme material. Meanwhile, several characteristics indicate a collective quality. As well as the chorale topic recalling collective singing, Mendelssohn's scoring of the chorale in the development is fairly contained, with the diverging string parts mostly remaining within the piano's register. The piano's homophonic texture also invokes a collective quality through presenting an instance of dominating unison. Although its quiet dynamics means it is hardly forceful or domineering in character, I do not view it as an instance of sympathetic unison because the voices that constitute this chordal texture have not previously distinguished themselves as individuals.

The chorale's initial statement is also dependent on what follows. Although Mendelssohn completes an imperfect authentic cadential progression at bars 148–49, it overlaps with the following section. After its initial statement, Mendelssohn immediately repeats the chorale in bars 148–67, transferring the chorale melody to the violin. Yet the violin, accompanied by the cello, begins the chorale's repeat *before* the initial chorale statement in the piano has ended, entering at bar 148 (Ex 4). This engenders a special instance of an elided

cadence, where not only the final tonic harmony groups with the subsequent phrase, but also the penultimate dominant harmony. Because the chorale's second statement begins before the first one has concluded with its perfect authentic cadence, its initial statement at bars 128–48 is dependent on what follows for closure, further adding to this passage's collective quality.

While the combined effect of the private and collective qualities already pushes this passage towards an intimate mode of expression, several reciprocal parameters confirm this expressive mode. The elided cadence with which the chorale's first statement concludes subverts its expected cadential closure. The chorale's first statement also presents a tonal diversion. Because the preceding passage from bar 121 had prolonged V^6 of C minor, we expect the chorale to appear in this key. Yet when the chorale enters at the end of bar 128, the expected resolution onto C minor becomes iii of A-flat — a key confirmed by a VI:PAC at bars 131–32. Both these aspects — its elided cadential conclusion and tonal diversion — summon a reciprocal quality.

There are, however, two ways of interpreting Mendelssohn's treatment of the piano trio texture during the chorale's first appearance. On the one hand, fragments of main-theme material remain in the string parts, creating countermelodies which respond to one another in a manner that imitates conversation, which could be understood as reinforcing this passage's reciprocal quality. But on the other hand, this conversation is restricted to the strings, and the chorale in the piano proceeds without paying much heed to what the strings have to say. It is as if the strings are attempting to bring the chorale into the larger formal process by trying to infiltrate the chorale with main-theme material, but it is an endeavour that ultimately proves unsuccessful. Indeed, when the chorale is immediately repeated at bars 148–67, it divests itself of these main-theme fragments and its emphasis shifts away from collective and reciprocal qualities. The chorale melody moves to the first violin, prioritising its individual voice, while the piano abandons the chorale's homophonic texture and switches to a chordal texture that

acts as a deferential accompaniment (Ex. 6). Although the cello offers a complementary countermelody, resulting in sympathetic unison between the strings, few other characteristics betray an intimate expressive mode during this passage. Rather, features that suggest an individual quality proliferate. Not only does this passage still allude to a rondo form's static C-Couplet, and still presents a chorale without words that allows individuals greater freedom to interpret the chorale in their own personal way, but the trio's individual voices are more distinct owing to Mendelssohn's wider scoring. Whereas the string parts had mostly stayed within the piano's register during the chorale's first appearance, during its repeat the violin frequently ascends above the piano. An earlier manuscript version of the work, moreover, indicates Mendelssohn's conscious decision to emphasise the violin part during the chorale's second statement. The manuscript shows he had previously written the piano's right hand at a higher pitch until bar 158 (compare Ex. 6 with Fig. 3, which begins at bar 149). In moving the piano part lower for the published version, Mendelssohn highlights the violin's role as a soloist through augmenting its separation from the piano. The resulting scoring is more open, foregrounding this passage's individual quality. The chorale's second statement is also self-contained, closing with a VI:PAC at bars 166–67 before the onset of main theme material. It therefore does not depend on what follows for its conclusion, strengthening the second statement's individual quality.

Ex. 6. The chorale's repeat, bars 148–67

Fig. 3. Berlin, Staatsbibliothek, Preußischer Kulturbesitz, N.Mus.ms. 537. Mendelssohn Bartholdy (1845), fol. 34

While the chorale's first statement had been infused with intimacy, and its second

statement had emphasised an individual quality, for its climactic third appearance in the coda at bas 271–96, it reverts back to the chorale topic's public and collective qualities. Although it remains a chorale without words within a piece of chamber music — which contribute to individual and private qualities respectively — Mendelssohn drastically increases its public and collective parameters. Before the chorale enters, the piano plays octave tremolos in the bass from bar 267, which continues bar 275, sounding reminiscent of an orchestra's timpani roll. Meanwhile, when the strings enter at bar 271 they play in double stops, further enlarging the texture (Ex. 7).[22] Further public and collective parameters continue to proliferate during the chorale in the coda. The piano's octave tremolo and the strings' double stops also create a thicker texture and wider range, while loud dynamics predominate — all of which suggest a public quality.[23] Meanwhile, the chorale's homophonic texture creates a dominating unison texture. Mendelssohn also subverts the chorale's closure, engendering a dependent passage that further cements its collective quality. Although the chorale in the coda seems to conclude with a I:PAC at bars 295–96, the entrance of the subordinate theme coincides with the cadence's ultimate tonic harmony. Its final harmony therefore groups with both the previous and following phrase, engendering cadential elision. Such a subversion of the chorale's expected cadential closure nonetheless means that the chorale's final appearance holds some reciprocal parameters. The appearance of main theme material in the piano's left hand at bars 288–89 and in its right hand at bars 293–94 creates a countermelody that further contributes to this quality.

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[22] Schmidt argues that the piano tremolo evokes the sonority of an organ, but the double-stops in the strings leads me to interpret this as Mendelssohn aiming for an orchestral effect. Even if one accepts that the bass tremolo is reminiscent of an organ technique, when Mendelssohn employs such a climactic technique on the organ, he is in essence using it to emulate the monumental sound of a full orchestra. Thomas Schmidt, *Die Ästhetischen Grundlagen Der Instrumentalmusik Felix Mendelssohn Bartholdys* (Stuttgart: M&P, Verlag für Wissenschaft und Forschung, 1996), p. 326.

[23] Bars 271–96 nonetheless reveal some alteration between loud and quiet dynamics, but I still regard this passage as predominantly loud in part because it so assertively begins *fortissimo*, which Mendelssohn also marks with *con forza*. And even if Mendelssohn does reduce the dynamics to *piano* at several points, such reductions are fairly short-lived.

Ex. 7. The chorale's entrance in the coda, bars 267–75

While I do not contest that the chorale reverts back to its typically public and collective qualities in the coda, this can only happen *after* Mendelssohn has demonstrated that this topic is capable of also invoking first, an intimate mode of expression, and then an individual quality during the development. Alongside being a chorale without words, the chorale's expressive qualities in the development suggest that this topic does not automatically evoke something uniform but can also suggest something personal. When the chorale in the coda shifts decisively towards public and collective qualities, its earlier expressive qualities cannot be forgotten easily. It remains a chorale without words, which still indicates an individual quality, while its countermelodies and subversion of its expected cadential closure retains intimacy's reciprocity. Public and collective qualities may dominate the chorale in the coda, but glimpses of individual and reciprocal qualities means public and collective qualities do not overwhelm its final statement. Mendelssohn, moreover, mirrors this transformation of the chorale through its formal role. Whereas in the development it had sounded like an isolated, external intrusion, like a rondo's C-couplet that appears 'foreign amidst the rest of the content', in the coda Mendelssohn shows that it in fact performs an essential formal role that participates in the collective formal process.[24] What had been personal can become universal too.

The Finale as a Rerun of the First Movement

Until the chorale's appearance in the coda, it had seemed as though the finale would close in the same pessimistic key in which it had started. While the exposition's subordinate theme had resided in the relative major, it fails to cadence in this key. The subordinate theme also reverts when back to C minor in the recapitulation, leading us to expect the movement will close in

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[24] Adolf Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, trans. by Scott Burnham (Cambridge: Cambridge University Press, 1997), p. 92.

the tonic minor.[25] Only when the chorale returns in the coda does the movement finally shift from minor to major. Op. 66's first movement, on the other hand, ends in the same pessimistic key in which it started. Whereas the chorale in the finale's coda had shown how the personal could become universal while also enacting the shift from minor to major, no such moment of apotheosis occurs in the first movement.[26]

There are nonetheless several similarities between the outer movements that suggest that the finale could be conceived as a rerun of the first movement. One similarity arises through Mendelssohn's treatment of their main and subordinate themes. As Tables 1 and 2 illustrate, Mendelssohn takes an expansive approach to thematic construction in both movements, which often take a three-part form. Even if Mendelssohn upsets the initial small ternary form of the first movement's main theme structure through functional transformation, he nonetheless reaffirms its three-part form when the main theme recurs in bars 95–139 (Table 1).[27] And although STB in the first movement uses material from STA and begins in the same key (E-flat) so I cannot strictly label it as a small ternary, I still view it as taking a three-part structure that alludes to such a tightly organised form, since STB closes with a VII:IAC at bars 78–79 before STA' ensues back in E-flat.[28] The finale's subordinate theme is the only

[25] James Hepokoski and Warren Darcy view such a procedure as particularly pessimistic: '[t]here is little more powerful or more affecting within minor-mode sonatas of the i – III type than the bleak realization that all of part 2 [ST and C] – sounded in major in the exposition – might come back entirely in minor in the recapitulation. To sound all of part 2 in minor is, beat-by-beat, to cancel out the hopes raised in the exposition: a moving wave of despair passes through this music, inexorably reversing former hopes'. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), pp. 314–15.

[26] The chorale's transformation in Op. 66's finale could be described as an apotheosis according to how Steven Vande Moortele defines such an event. He defines apotheoses as occurring when a climax is 'articulated by a specific kind of thematic transformation,' for Vande Moortele, such a transformation '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. Apotheoses are climactic transformations that in one way or another aggrandize the original theme. They are always louder and more fully orchestrated than the original: their default mode is tutti and fortissimo. They are also always in the major mode'. Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), pp. 241–42.

[27] For his account of the large-scale functional transformation that takes place in this movement, see Julian Horton, 'Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66', in *Rethinking Mendelssohn*, ed. by Benedict Taylor (New York: Oxford University Press, 2020), pp. 236–62.

[28] William Caplin, Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven (New York: Oxford University Press, 1998), p. 75.

exception to the three-part designs that otherwise permeate the main and subordinate themes in the outer movements. It can nevertheless be divided into two distinct groups, ST[1] and ST[2], indicating Mendelssohn still takes an expansive approach. Alongside their thematic construction, the main themes from the outer movements also share motivic similarities. Ex. 8 illustrates that both the main themes from the outer movements initially outline the interval of a ninth.[29]

Table 1. Thematic structures in the first movement's exposition

Thematic sections	Bars	Keys
MTA	1–22	i
TR ⇒ MTB	22–42	i (– V – i)
MTA ⇒TR	41–62	i – III
STA	62–70	III
STB	70–78	VII
STA'	78–86	III
MTA	95–105	v
MTB	105–27	v
MTA	128–39	v

Table 2. Thematic structures in the finale's exposition

Thematic sections	Bars	Keys
MTA	1–8	i
MTB	8–18	i – III – i
MTA'	18–31	i
TR	32–48	i – III
ST[1]	49–68	III – i – III
ST[2]	69–78	III

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[29] Schmidt takes this further, arguing that 'the thematic material of the entire cycle is interconnected through the common substance of the rising second-inversion chord'. Schmidt, 'Mendelssohn's Chamber Music', pp. 145–46. I am not, however, convinced that the finale's opening head motif should be linked to the main theme's via their outlining of a second inversion chord. In Schmidt's analysis, the rising second-inversion chord begins in bar 2, making it less prominent than in the first movement where the rising second-inversion chord begins immediately.

Ex. 8. Comparison of the opening motifs of MTA in the first movement and finale

A further similarity between the outer movements stems from their unstable subordinate themes. In my earlier analysis of the finale's subordinate theme, I commented on its instabilities: it begins over unstable dominant harmony and produces neither an essential expositional closure nor an essential sonata closure. The subordinate theme in the first movement similarly begins over non-rooted harmony — this time over I6 of E-flat at bar 62 — and does not arrive on rooted tonic harmony until bar 69 (E-flat does sound in the bass at bar 66, but it is only a passing note in a descending bass arpeggiation). Mendelssohn also does not cadentially confirm the subordinate theme's final key of G minor. Despite four attempts at doing so between bars 93 and 142, none are 'cadentially definite', so none of them act as the essential expositional closure.[30] Mendelssohn replays the same procedures in the recapitulation. The subordinate theme again arrives over unstable harmony, this time V of C minor at bar 241 (although it does find its way to rooted tonic harmony earlier at bar 244), and he once again fails to deliver a conclusive perfect authentic cadence.

The subordinate themes in both of outer movements are not only similarly unstable, but they also engender what Julian Horton calls 'large-scale teleology'.[31] Because the subordinate themes fail to achieve decisive structural closure in the recapitulations of both movements,

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[30] Horton, 'Syntax and Process', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 253. See pp. 253–55 for his description of the subordinate theme's four attempts at asserting G minor.
[31] Ibid., p. 255.

Mendelssohn defers it in both to the coda. Consequently, the codas in the outer movements are not merely parageneric spaces that lie outside of the sonata space proper but are formally integral: they supply the structural closure that both the exposition and recapitulation had failed to achieve. Mendelssohn, moreover, reinforces the coda as a site for structural resolution in both movements by blurring the development and recapitulation. In the finale, he achieves this, as described above, by completely eliding the main theme during its recapitulation and beginning directly with the transition at bar 189 and delaying the main theme's tonic major restatement until the coda. By contrast, Op. 66's first movement features a more decisive double return of its main theme and tonic at the start of its recapitulation at bar 213. Mendelssohn nonetheless employs another means for creating continuity and between these two formal sections. As Horton explains, the subordinate theme appears in the development at bar 156, followed by its gradual liquidation. Meanwhile, the main theme slowly re-emerges in fragments, culminating in its complete reconstitution at the point of recapitulation. Yet 'motivic residues' of the subordinate theme 'persist in the piano as a kind of liquidatory overlap […] until the antecedent's half cadence in bar 220'.[32] Despite the recapitulation's double return at bar 213, the continuity between the development and recapitulation undermines the main theme's return.

If the finale is a rerun of the first movement, this is further confirmed by the two intimate episodes that occur during the first movement's coda, both of which foreshadow the finale's chorale. Mendelssohn signals the first of these through the emergence of an unexpected new melody at bar 328, consisting of long-held notes in the strings while the piano accompanies with fragments of the movement's MTA material (Ex. 9). An intimate mode of expression pervades this new melody owing to its private, collective and reciprocal qualities. The string melody has elongated note values, it presents a thinner texture in contrast to that which

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[32] Horton, 'Syntax and Process', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 251.

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surrounds it and has quiet dynamics until bar 338 — all of which contribute to a private quality.[33] Meanwhile, the existence of MTA material in the piano adds to a reciprocal quality since it acts as a countermelody to this new string melody. The strings also play in sympathetic unison, and when they depart from this at bars 333–44, they imitate conversation, since the violin takes up the cello melody from bars 333–37 at bars 337–40. Furthermore, Mendelssohn elides the new melody's i:PAC closure at bars 353–54, since an elongated version of the main theme in crotchets returns before this cadential progression is completed at the end of bar 353 (Ex. 9). This is similar to the elided cadence that closed the chorale's first statement in the finale, where the penultimate dominant harmony also groups with the following phrase owing to the early entrance of the chorale's second statement (Ex. 4). Likewise, at the end of the first movement's new coda melody, main theme material begins at the end of bar 354, before its cadential progression has even reached the tonic. Such a subversion of the new melody's cadential closure elicits a reciprocal quality, while also engendering a dependent section that invokes a collective quality. And even though this new coda melody ultimately closes with an elided cadence in the tonic C minor, it begins in the unexpected key of A-flat following a prolongation of C major from bar 322. Not only does this unexpected tonality result in an instance of tonal duplicity that reinforces this passage's reciprocal quality, it also diverges from a more optimistic harmonic course. While the C major prolongation may have hinted at a shift from the tonic minor major, the new melody's tonal diversion into A-flat resolves onto V^7 of C minor at bar 350. The coda's new melody may offer a moment of intimacy, but it also leads the movement down a more pessimistic path.

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[33] Admittedly, Mendelssohn already thins the texture in preparation for the new melody's appearance from around bar 317, but the new melody's texture is still markedly thinner than the texture had been at the beginning of the coda from bar 306.

Ex. 9. The new melody during the first movement's coda, bars 328–53

The second intimate episode in the first movement's coda occurs at bars 386–90, where what I labelled as STA in Table 1 unexpectedly resurfaces (Ex. 10). At a moment when the movement is heading towards its final, home-key resolution, Mendelssohn interrupts its trajectory: not only does STA re-emerge, but it also presents another tonal diversion, prolonging V^7 of F minor at bars 388–93. An intimate expressive mode also governs this passage owing to its private, collective and reciprocal qualities. It has elongated note values and a thinner texture in comparison with a passage of double stops in the strings and semiquavers in the piano. And even if STA initially emerges *fortissimo*, it quickly dies down to *piano* by the end of bar 387. Alongside these private parameters, Mendelssohn evokes a collective quality first through the dominating unison between the string until bar 389 and also by leaving it dependent on what follows. When STA pauses over C7 at bar 393, it still sounds as V of F minor. Indeed, the preceding bar had presented a V6/4 suspension in this key, so when this resolves onto V^7 of F minor at bar 393, we are still awaiting its resolution onto F minor. This leaves STA open-ended, thereby connoting a collective quality. This STA episode also contains several reciprocal parameters. Mendelssohn passes the cello's melody in bars 389–91 to the piano in bars 391–92 in a manner that imitates conversation and creates tonal duplicity through STA's F major diversion that departs from the coda's expected harmonic trajectory of confirming the tonic minor.

Ex. 10. STA's emergence in the coda, bars 385–94

While both the new melody at bars 328–53 and the appearance of STA at bars 386–93 diverge from the coda's goal of reaffirming the tonic minor, they also both suggest a shift to the tonic major — even if neither ultimately succeed in this modal transition. I previously observed how the coda's new melody follows a C major prolongation at bars 322–27, which the new melody in A-flat disturbs. Mendelssohn also hints at C major at the end of STA. When it lands on C7 at bar 393, Mendelssohn initially does not provide its mediant note: there is neither an E-flat nor E-natural, leaving its modality ambiguous. When MTA resumes on bar 393's final beat, we briefly hear C *major*, with an E-natural. Although this is corrected by the movement's final perfect authentic cadence in C minor at bars 397–98, this brief sighting of C major at bar 393 may look forward to the finale's successful minor to major journey achieved by the chorale in its coda.

I propose that these two failed attempts at asserting the tonic major, represented by

these two intimate episodes in the coda, imply that there is something missing, something which if it had been present would have provided the triumphant minor to major shift. Both the new melody and STA strongly invoke an intimate expressive mode, which looks forward to the chorale's initial statement in the finale's development where an intimate expressive mode also holds sway. Meanwhile, the new melody's initial A-flat tonality foreshadows the chorale's tonality in the development. Horton, moreover, observes the similarities between the arrival of STA near the end of Op. 66's first movement and Beethoven's "Waldstein" Piano Sonata, whose subordinate theme also resurfaces close to the end of its first movement.[34] Notably, Beethoven's subordinate theme employs a chorale topic. Given Mendelssohn's familiarity with his predecessor's work, this was likely a conscious allusion on Mendelssohn's part; his reference to Beethoven's Sonata and its chorale subordinate theme is quite possibly a hidden indication of the chorale that is to come in Op. 66's finale. Even if the chorale topic does not actually appear in Op. 66's first movement, it gains a kind of elusive presence through its marked absence, foretelling its crucial role that is to come. The two episodes in the first movement's coda point to a dissatisfaction or absence: they evoke an intimate expressive mode in a coda that otherwise prioritises a public quality, they diverge from the coda's harmonic path, and they suggest the tonic major but fail to establish it. Meanwhile, STA's references to Beethoven's "Waldstein" sonata hints at the presence of an absent chorale. It is owing to this absence, I argue, that the first movement still concludes pessimistically in the tonic major. In the first part of this chapter, I illustrated that the chorale attains a vital formal function in the finale, while also showing how the personal can become universal. But its significance also stretches back to the first movement: it finally provides the elusive, absent object for which the two intimate episodes in the coda had been longing.

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[34] Horton, 'Syntax and Process', in *Rethinking Mendelssohn*, ed. by Benedict Taylor, p. 258.

Mendelssohn was by no means the only composer to use chorales within a private genre in the first half of the nineteenth century; Eileen Watabe finds examples in works by Chopin, Schumann and Schubert. Like Op. 66, these works displace the chorale from its typically public, communal setting, and may even go as far as highlighting the opposite effect. Watabe argues, for instance, that in Schumann's Lied 'Anfangs wollt' ich fast verzagen' (1840) from his *Liederkreis*, Op. 24, and in 'Das Wirtshaus' (1827) from Schubert's song cycle *Winterreise*, both composers use chorales ironically, intensifying the protagonist's isolation from the collective, religious community.[35] Simply placing a chorale within a private genre does not immediately counteract the homogeneous uniformity which afflicted the chorale in the "Reformation" Symphony, since it could go too far in the opposite direction. Rather than demonstrating how the individual can form part of a collective, the chorales in Schumann's and Schubert's Lieder show how isolated from one another the individual and collective can become. Op. 66's chorale is fundamentally different from those in Schubert's and Schumann's Lieder, however, because it partakes in the kind of large-scale formal process absent from these smaller-scale works, while finally providing the elusive, absent object that had been missing since the first movement. Mendelssohn's treatment of the chorale is also more flexible. Whereas it could have represented public and collective worship, Mendelssohn supplies this topic with characteristics that variously indicate an individual quality or an intimate mode of expression. In doing so, he releases the chorale from its specific associations with German cultural and religious identities, and instead reveals how it can become both personal and universal.

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[35] Eileen Watabe, 'Chorale for One: Personal Expression in Nineteenth-Century Chorale Topic', *Yale Journal of Music & Religion*, 2 (2016), pp. 135–70 (p. 146).

Conclusion

Analysing Nineteenth-Century Form and Expression

The chorale without words in Op. 66's finale works on two levels. As a topic it refers to something external, but in providing the stabilising first part of the subordinate theme, it also attains a vital formal function. One could conceive of the chorale as bridging the divide between the background form and foreground expression, between the intra- and extramusical, or between what Roman Jakobson calls 'introversive semiology' and 'extroversive semiology'. The former relates to music's ability to be self-referential, that is 'the reference of each sonic element to the other elements to come' (and presumably those yet to come).[1] Extroversive semiosis, on the other hand, relates to music's ability to refer to something external.

Although Jakobson himself regarded music as primarily self-referential, with any external references being only incidental, Kofi Agawu contends that these two domains overlap and interact with one another. 'The point of a semiotic analysis, then,' Agawu concludes, 'is to provide an account of a piece, in which the domains of expression (extroversive semiosis) are integrated with those of structure (introversive semiosis)'.[2] My thesis shares a similar aim. In tracing intimacy as a mode of expression in Mendelssohn's instrumental music, I combine introversive and extroversive analysis. I consider how certain parameters refer to external

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[1] Quoted in Agawu, *Playing with Signs*, p. 23. See also Nattiez's extensive summary of how Jakobson's concepts of introversive and extroversive semiology have at various points in history been prioritised over the other. Nattiez, pp. 111–14.

[2] Agawu, *Playing with Signs*, p. 24.

experiences of intimacy, but in doing so I also consider self-referential aspects pertaining to form and syntax. Formal ambiguities, for example, contribute to a reciprocal quality, which in turn engenders an intimate mode of expression; a formal feature thus adds to this expressive mode. Consequently, my theory of intimate expression does not see the division between form and expression as necessarily always a distinct one. While on one level, form may give coherence to expression, it also can contribute to it. The relationship also works in the reverse: Mendelssohn's expressive ends can also justify his formal choices — a point I have illustrated throughout this thesis. In this respect, my thesis has further-reaching benefits that go beyond my initial aims of theorising intimacy as a mode of expression in Mendelssohn's instrumental works: in treating form and expression as mutually interdependent, my methodology provides a model for how their analyses can be combined.

My methodology thus departs from approaches that treat form and expression, or introversive and extroversive semiosis as two, distinct entities. Agawu maintains that expression has 'no syntax' and cannot explain music's temporal course, yet my theory of intimate expression regards certain formal and syntactical aspects as contributing to expression.[3] Even though Agawu argues that analysis should consider both extroversive and introversive semiosis, in *Playing with Signs* he initially considers these two aspects in different chapters, implying that he regards them as separable from one another. James Hepokoski and Warren Darcy also view form as having expressive capacities, regarding the teleological processes of sonata form as 'a metaphorical representation of a perfect human action'.[4] Yet they, like Agawu, consider form apart from expression, positing that formal analysis is the indispensable first stage to be undertaken *before* proceeding to a hermeneutic interpretation.[5] For these authors, form and expression are distinct entities that can be analysed separately. In

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[3] Ibid., p. 20.
[4] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), p. 252.
[5] Ibid.

blurring the separation between form and expression, my theory of intimacy as a mode of expression contests such a divide by demonstrating that they are irrevocably intertwined and interdependent in Mendelssohn's instrumental music. Needless to say, it is unlikely that Mendelssohn's instrumental music is unique in in this way: if in the nineteenth century, 'formal and topical typology begins to merge', perhaps analyses of nineteenth-century instrumental music more broadly should also regard form and expression as similarly intertwined.[6]

My thesis focuses on one particular expressive mode in the instrumental works of a single composer written during a specific period. In doing so, it demonstrates how Mendelssohn succeeded in writing a virtuosic concerto that is also pervaded by intimacy; challenges dubious stereotypes about the composer's lyricism and relation to Classical form; sheds light on his idiosyncratic formal and syntactical choices; and reveals how he radically transforms the qualities we associate with certain topics. Through theorising the parameters that contribute to intimacy's private, collective and reciprocal qualities, my thesis illustrates how contemporary preoccupations surrounding inner expression infiltrated Mendelssohn's music. Despite my restricted repertoire, this does not preclude it from have broader implications, since it provides a model for how we might theorise how other expressive modes infiltrate other nineteenth-century works. Further studies may look at another repertoire and consider what parameters may contribute to a different expressive mode. They may consider how another composer's aesthetic concerns guide the expressive modes that permeate his or her music. In reflecting changes in aesthetic preoccupations during this period, my thesis opens new avenues for exploring the relationship between form and expression in nineteenth-century music, while also demonstrating what there is to be gained from doing so.

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[6] Ibid., p. 647.

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