Unraveling Nineteenth-Century Medial Caesuras: A Corpus-Based Study of the Sonata-Allegro First Movements of Ferdinand Hiller's Chamber Works

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Abstract

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The concept of MC devised by Hepokoski and Darcy, along with Richards's refinements to address the complexities of nineteenth-century medial caesuras (MC), remains insufficient owing to the under-explored temporal aspects of the MC. Hepokoski and Darcy define the MC as a specific rhetorical point occurring between the end of the transition (TR) and the beginning of the secondary theme (S), considering it structurally important to sonata form. Richards further elaborates on this concept, presenting MC as a three-stage process that enhances our understanding of how MCs can be obscured. However, their frameworks for MC prove inadequate in addressing situations where misaligned interthematic parameters lead to overlapping interthematic functions (TR and S), a common occurrence in Romantic forms. This study delves into the temporal dimensions of the MC, using Hiller's sonata-allegro first movements from chamber works as a sample, given that some of his MCs serve as an ideal benchmark for the newly identified obscured MC sub-types. Additionally, this study introduces a novel forensic approach to obscured MCs, diverging from Richards's method of grouping various types of obscured MCs into the same category based on the number of elements obscured. Instead, it focuses on a specific type of obscured MC and examining how it becomes increasingly obscured. This study also draws on examples from figures influential to Hiller's musical milieu, namely Beethoven, Mendelssohn, and Schumann.

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Finally, to my family, for their unwavering support and prayers, which have sustained me throughout this journey.

Introduction 1: Limitations, Aims and Stances

This thesis focuses exclusively on the first movements of Hiller's chamber works, as listed in Table Introduction 1. I used Grove Music Online (Oxford Music Online) to search all of Hiller's chamber works, including their composition years and publication dates. Based on this, I have excluded the fourth and sixth piano trios because Hiller designated them as serenades, as indicated on the title page. Moreover, the first movements of these works are not in sonata form. Despite this, Hiller still refers to these works as the fourth and sixth trios in the lower part of the page. Additionally, I did not include his String Quartet in C minor (1825) owing to the lack of a clean, edited score; the only available version is the composer's handwritten manuscript, which contains cross-outs and revisions that I am currently unable to edit credibly.

Table Introduction 1: Editions used for my analyses

Pre-1850	
Works	Edition/publisher
Piano Quartet No. 1 in B minor, Op. 1	Lemoine (reprint): Merton Music
Piano Quartet No. 2 in F minor, Op. 3	First edition: A. Farrenc
Piano Trio No. 1 in B-flat major, Op. 6	First edition: N. Simrock
Piano Trio No. 2 in F-sharp minor, Op. 7	First edition: Schlesinger
Piano Trio No. 3 in E major, Op. 8	First edition: Schlesinger
String Quartet No. 1 in G major, Op. 12	First edition: Hofmeister Albrecht Zumbrunn
String Quartet No. 2 in B minor, Op. 13	First edition: Hofmeister Albrecht Zumbrunn
Post-1850	
Piano Trio No. 5 in E major, Op. 74	First edition; Kistner
String Quartet No. 3 in D major, Op. 105	First edition: Kistner (reprint): Merton Music Albrecht Zumbrunn
Piano Quartet No. 3 in A minor, Op. 133	First edition: Kistner
Piano Quintet in G major, Op. 156	First edition: C.F.W.Siegel
Cello Sonata in A minor, Op. 172	First edition: August Cranz
String Trio in C major, Op 207	First edition: Rieter-Biedermann

More than half of the accessible scores by old publishers for the works listed in Table Introduction 1 are available as separate parts for each instrument. For practical reasons, particularly the string quartets, I use Albrecht Zumbrunn's (b. 1953) edited versions, available on IMSLP. These editions consolidate all the separate parts into a single score while maintaining complete accuracy to the old versions (Hofmeister edition for String Quartets No. 1 and 2, and Kistner edition for String

Quartet No. 3). In addition to these string quartets, the musical examples drawn from the first five opera included in this thesis are from my edited version.

This corpus study encounter challenges concerning the accuracy of the composition years and publication dates. As I did not find another authoritative source for Hiller's works, I also used IMSLP and Musicalics for further insight. As shown in Table Introduction 2, some works are dated only by their publication year, while other have uncertain compositon dates. Musicalics, in particular, does not indicate whether the years listed are composition years or publication dates. Additionally, these dates are inconsistently recorded across different sources. As a result, it is difficult to establish a clear chronological relationship between Hiller's works and those of his canonical contemporaries, and determine whether he influenced them or vice versa. Nevertheless, there is a noticeable gap in the composition timeline. Based on the publication dates, there is a 26-year span between Op. 13 and Op. 74. Therefore, I have categorised the corpus into two groups: pre-1850 and post-1850.

Table Introduction 2: Comparison of composition and/or publication dates

Works	Grove Music Online	IMSLP	Musicalics[1]
Piano Quartet No. 1 in B minor, Op. 1	?1829	1826/1826	1829
Piano Quartet No. 2 in F minor, Op. 3	1830	?1828/1830	1830
Piano Trio No. 1 in B-flat major, Op. 6	?*c*1835	1831/1832	1835
Piano Trio No. 2 in F-sharp minor, Op. 7	?*c*1835	pub. 1832	1835
Piano Trio No. 3 in E major, Op. 8	?*c*1835	pub. 1832	1835
String Quartet No. 1 in G major, Op. 12	?*c*1835	1833/1834	1835
String Quartet No. 2 in B minor, Op. 13	?*c*1835	pub. 1834	1835
Piano Trio No. 5 in E major, Op. 74	?*c*1855	?1860/1860	1855
String Quartet No. 3 in D major, Op. 105	?*c*1865	pub.1864	1865
Piano Quartet No. 3 in A minor, Op. 133	?*c*1868	pub.1870	1868
Piano Quintet in G major, Op. 156	1873	pub.1873	1873
Cello Sonata in A minor, Op. 172	?*c*1875	pub.1878	1875
String Trio in C major, Op 207	-	pub.1886	-

For IMSLP, x/x = composition year/publication year.
pub. = first publication year
c = composition year

[1] It is unclear whether the years refer to the composition year or the publication year.

This categorisation reflects how I structure my written analysis for each movement. With a primary focus on MC treatments, my analysis primarily centers on evaluating MCs in both exposition and recapitulation. Therefore, the formal area of analysis will focus on the MC space, and all aspects about MC and its theoretical development will be discussed in Chapter 1. However, the post-1850 works exhibit more complex formal treatments that contribute to the intricacy of MC formulation. Therefore, for this group, I also employ Caplin's form-functional theory to analyse their syntax more closely. Consequently, the formal area of analysis becomes broader, encompassing the entire exposition and recapitulation. In Chapter 2, I detail form-functional theory, Sonata Theory, and the combined use of these analytical frameworks. In Chapter 3, I emphasise the importance of both syntax and rhetorical elements in understanding the temporal aspect of MCs, which leads to the formulation of new MC sub-types. Here, I begin with an MC model where the TR concludes with an HC, followed by a post-cadential standing on V and a textural gap, leading into an S theme that initiates with dominant harmony. Subsequently, I explore how the clarity of the MC gradually diminishes, reaching a point where interpreting an MC becomes untenable, hence the title 'The Spectrum of MCs'. The musical examples drawn from Beethoven, Mendelssohn, and Schumann illustrate this progression. My rationale for including these composers serves three purposes. First, they significantly influenced Hiller's musical development, as detailed Chapter 3 and Chapter 4. Second, by examining their similar MC treatments, I can evaluate Hiller's MCs within this spectrum and how Hiller differs from them, especially Mendelssohn and Schumann. Third, I aim to advocate for Hiler's inclusion in music theory and musicology discourses, specifically within the canon of nineteenth-century Austro-German composers, focusing on chamber genre. Finally, Chapter 4 presents my analyses of Hiller's MC treatments and my classification of them.

Methodologically, Sonata Theory is a top-down approach, beginning with an examination of large-scale functions first, then progressing to interthematic functions and if necessary, addressing intrathematic functions. Within sonata form, the MC, which is the focus of this study, is on the same level as the primary theme (P), transition (TR), second theme (S) and closing section (C), which Caplin refers to as interthematic functions. Additionally, Vande Moortele (2013) refers to Sonata Theory as a negative approach. This is evident in my classification of Hiller's MC treatments, which are measured against Hepokoski and Darcy's lists of defaults based on late

eighteenth-century practices. For MC studies, analysts aim to identify changes in MC trends, making it essential to refer back to old practices.

Conversely, Caplin's form-functional theory constitutes a bottom-top approach. Per Caplin (1998), an interthematic function emerges from a specific concatenation of intrathematic functions. For example, the P theme is periodic when it begins with an antecedent followed by a consequent. This analytical method mirrors the unfolding of music in real time. However, integrating Caplin's form-functional theory into my analysis of Hiller's post-1850 works does not necessarily shift the methodology towards a bottom-top approach. Initially, my analysis process follows a top-down approach, focusing first on interthematic functions and cadences to delineate their boundaries within the sonata form. However, in nineteenth-century sonata forms, particularly at the junction between TR and S, these boundaries often becomes ambiguous. In response, I shift my focus to intrathematic functions within the TR section. Here, I examine harmonic rhythm, progression, rhythmic activity, fragmentation and liquidation. This detailed analysis allows me to discern the conclusion of TR, identify the MC, and the S theme. In this regard, my analytical approach adapts from a top-down to a bottom-up method, responding dynamically to the structural nuances present in the music.

I believe that in dealing with romantic form, where intrathematic and interthematic functions undergo functional transformations triggering multiple retrospective reinterpretations, navigating how the form unfolds in real time is crucial. Formal function emphasises process, allowing for an exploration of the MC in form-functional terms: understanding the setup leading to the MC; how the proposed MC is either accepted, declined, or transformed into an MC-effect due to retrospective reinterpration of interthematic functions, and so forth.

While I aim to generalise Hiller's compositional tendencies for categorising his MC treatments, I place particular emphasis on each movement within the post-1850 group. This approach stems from my observation that their MCs intricately relates to the design of the expositionand recapitulation, as well as the organisation of interthematic and intrathematic functions. As demonstrated in the following chapters, these movements give rise to various MC models, with one even challenging the benefit of considering the MC as formally significant, proposing an interpretation that involves a practice in which MC is disregarded.

Introduction 2: Why Ferdinand Hiller?

Ferdinand Hiller (1811-1885) emerged as a uniquely compelling figure in the musical landscape of the nineteenth century—not only for his prowess as a pianist and composer but also for his pivotal role as a mediator and collaborator among the era's most influential musicians. His close affiliations with celebrated figures such as Chopin, Mendelssohn, Liszt, and Schumann, and his active participation in significant events from Paris salons to Leipzig's Gewandhaus concerts, position him as a central nexus in the evolution of musical art. The breadth of his endeavours, ranging from private artistic patronage to influential public performances, provides invaluable insights into the interplay of tradition and modernity. It is precisely these diverse and transformative contributions that make Hiller the ideal subject for my study, promising a deeper understanding not only of his compositions and the network of influences that shaped them, but also of his influences on his contemporaries.

From an early age, Hiller's prodigious talent set him on a path that would see him become a celebrated virtuoso. His participation on 15 January 1832 as one of the sixth pianists in a programme organised under Kalkbrenner's aegis at the salon of the Pleyel firm—an event that also marked Chopin's intended Parisian debut (Todd, 1991). The programme, which included Chopin's Piano Concerto Op. 11 and a Grande-Polonaise by Kalkbrenner, positioned Hiller at the center of an international network of virtuosos. Hiller's influence extended well beyond the concert platform, as he actively engaged in the social and cultural life that underpinned the musical world of his time. He contributed a love duet to Cécile which exemplifies the close ties between artistic patronage and personal relationships (Todd, 1991, p. 348). Later, when celebrating the marriage of Mendelssohn and Cécile, Hiller composed a festive wedding song that marked the occasion with musical and social significance.

Perhaps most telling of Hiller's innovative spirit is his role as a musical adviser during the creation of Mendelssohn's Piano Trio No. 1 in D minor, Op. 49. Drafted in June and July and later revised before its January 1840 publication, the trio became a focal point of artistic debate, drawing attention

from leading musicians of the day. Drawing on his experiences in Paris—where he was exposed to the groundbreaking pianistic approaches of Liszt and Chopin—Hiller challenged the traditional piano figuration of the work (Hiller, 1874, p. 154). His detailed critique and subsequent discussions with Mendelssohn led to a reworking of the piano part, infusing the piece with a modern brilliance.

Hiller played a crucial role in mediating social and artistic tensions that emerged within the musical community. In Leipzig, as cultural rifts became apparent—exemplified by the aristocratic demeanour of Liszt—Hiller, together with Mendelssohn and Schumann, took the initiative to arrange private musicales (Todd, 1991, p. 392). These intimate gatherings provided a forum for frank discussion and creative exchange, allowing participants to explore and reconcile differing artistic visions.

Hiller's multifaceted contributions were also reflected in his participation in large-scale public events that resonated with broad audiences. At a grand soirée on 23 March 1840 at the Gewandhaus, he performed alongside Liszt and Mendelssohn in a rendition of Bach's Triple Concerto in D minor (Todd, 1991, p. 393). A subsequent benefit concert on 30 March featured works by Mendelssohn (including his Piano Concerto No. 2), etudes by Hiller himself, and Schumann's *Carnaval*, further cementing his reputation as an influential figure in the musical community. Then, at a benefit concert for the orchestral pension fund on 30 October 1843, Hiller participated in the Bach Triple Concerto with Mendelssohn and Clara Schumann (Todd, 1991, p. 464). These public engagements highlight his enduring impact on the cultural landscape of nineteenth-century music.

Chapter 1: The Medial Caesura (MC)

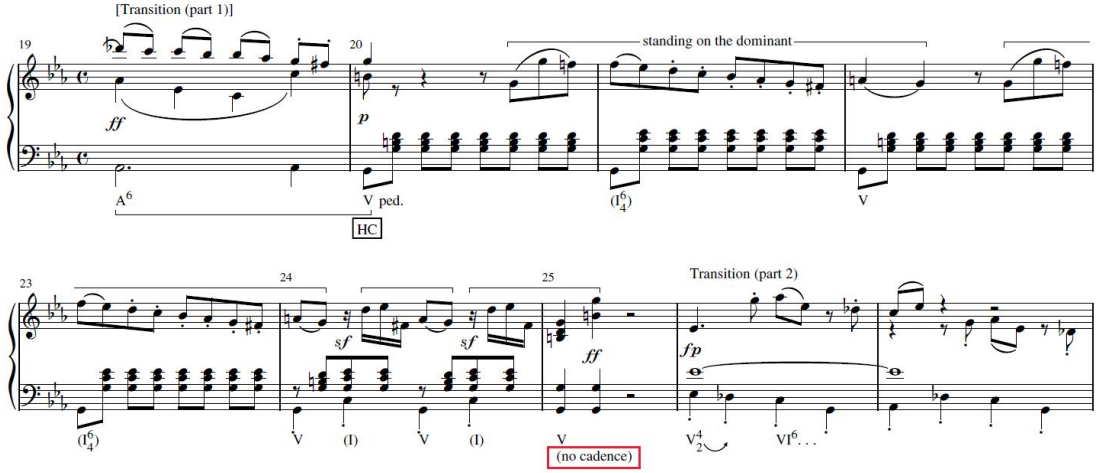
1.1: MC Narrative

Hepokoski and Darcy (2006) establish the eighteenth-century medial caesura (MC) as a structurally defining feature of a sonata form, emphasising its critical role in their watchword that '*if there is no medial caesura, there is no secondary theme*' (2006, p. 52). The narrative of the MC's structural importance lies in how the process from the transition (TR) to the secondary theme (S) unfolds. In most eighteenth-century fast-tempo first-movement compositions, the TR's role is to accumulate *forte* energy or to maintain the *forte* energy of the primary theme (P) until the end of TR. This energy is relinquished in the MC space, a brief textural gap that typically lasts less than a bar, during which all or most voices drop out. This space allows the S theme to enter with a contrasting texture, typically thinner than the P theme, and a different temperament or character reinforced by a *piano* energy level. Hepokoski and Darcy consider situations where the energy of TR diminishes to *piano* as a counter-generic event, thereby inviting interpretations as the MC might be atypically unfolded (2006, p. 25).

1.2: The MC and Its Association with Cadence

Because a cadence is traditionally associated with a halt in musical activity, as suggested by Blombach (1987, p. 231) and Lester (1982), who regard a 'break in the rhythmic continuity' as a key aspect of a cadence, the MC might potentially be perceived as a cadence as well. This misconception is evident in Caplin's (2004, p. 98-100) critique of Hepokoski and Darcy's reading of Beethoven's String Quartet in C minor, Op. 18, no. 4 (Example 1.2./1). In bar 25, Hepokoski and Darcy label the break in texture as i: HC MC. However, Caplin questions this labeling, as it implies that the I-V motion in bars 24-25 constitutes an HC preceding the MC gap. Another misinterpretation arising from the label 'HC MC' is identifying the MC-space in bar 20, where the gap follows the i: HC. As pointed by Caplin, this interpretation is erroneous as bars 20-25 constitute a post-cadential standing on V.

Example 1.2/1: Caplin's analysis of Beethoven's Op. 18 No. 4 (i)



In Hepokoski and Darcy's previous publications regarding eighteenth-century MCs (1997), the chronological events from TR to S signify that the TR's structural cadence, typically the HC, and the MC's articulation take place at two different junctures (Example 1.2/1). However, this differentiation is relevant only if the HC is prolonged by a standing on V or a V-I-V alternation, a musical segment that Caplin views as a post-cadential function. An issue arises when the post-cadential function is absent, which brings us back to the earlier conundrum regarding silence as a fundamental element of a cadence. The label i: HC MC, intended to signify 'a medial caesura that often terminates the sustaining of an active V in the tonic…in which the literal MC moment is to be interpreted referentially to any preceding moment of half-cadence arrival' (2006, p. 24), loses its meaning under these conditions, since without a post-cadential function, there is no prolongation of the dominant to terminate. Hepokoski and Darcy's remarks suggest that while the MC is not a cadence itself, it relies on a cadence. This questions their definition of an MC as a 'rhetorically reinforced break', given that their theorisation signifies the MC as both a rhetorical and syntactical phenomenon.

Hepokoski and Darcy compile a list of the MC's harmonic defaults, sorted according to the frequency with which composers employ each level: first-level defaults are the most common, while fourth-level defaults are the rarest (Table 1.2/1). The HCs are perceived as indicators of anticipation, signaling a desire for a tonic resolution. In the context of an exposition's design, they fulfill the transition's medial function by paving the way for the S theme. This idea of expectation aligns with Caplin's interpretation of the HC's function, as HCs that end the transition are often

given ‘temporal emphasis’[2] to heighten listeners’ expectation for the subsequent S theme in the new tonic key (1998, p. 131). This is why HCs used as the transition’s ending are the preferable choice.

Table 1.2/1: Lists of level defaults

	Major key	Minor key
First-level default	V: HC MC	III: HC MC or v: HC MC
Second-level default	I: HC MC	i: HC MC
Third-level default	V: PAC MC	III: PAC MC or v: PAC MC
Fourth-level default	I: PAC MC or I: IAC	i: PAC MC
Deformation	For example: dominant Arrival (inverted dominant) or V^7	

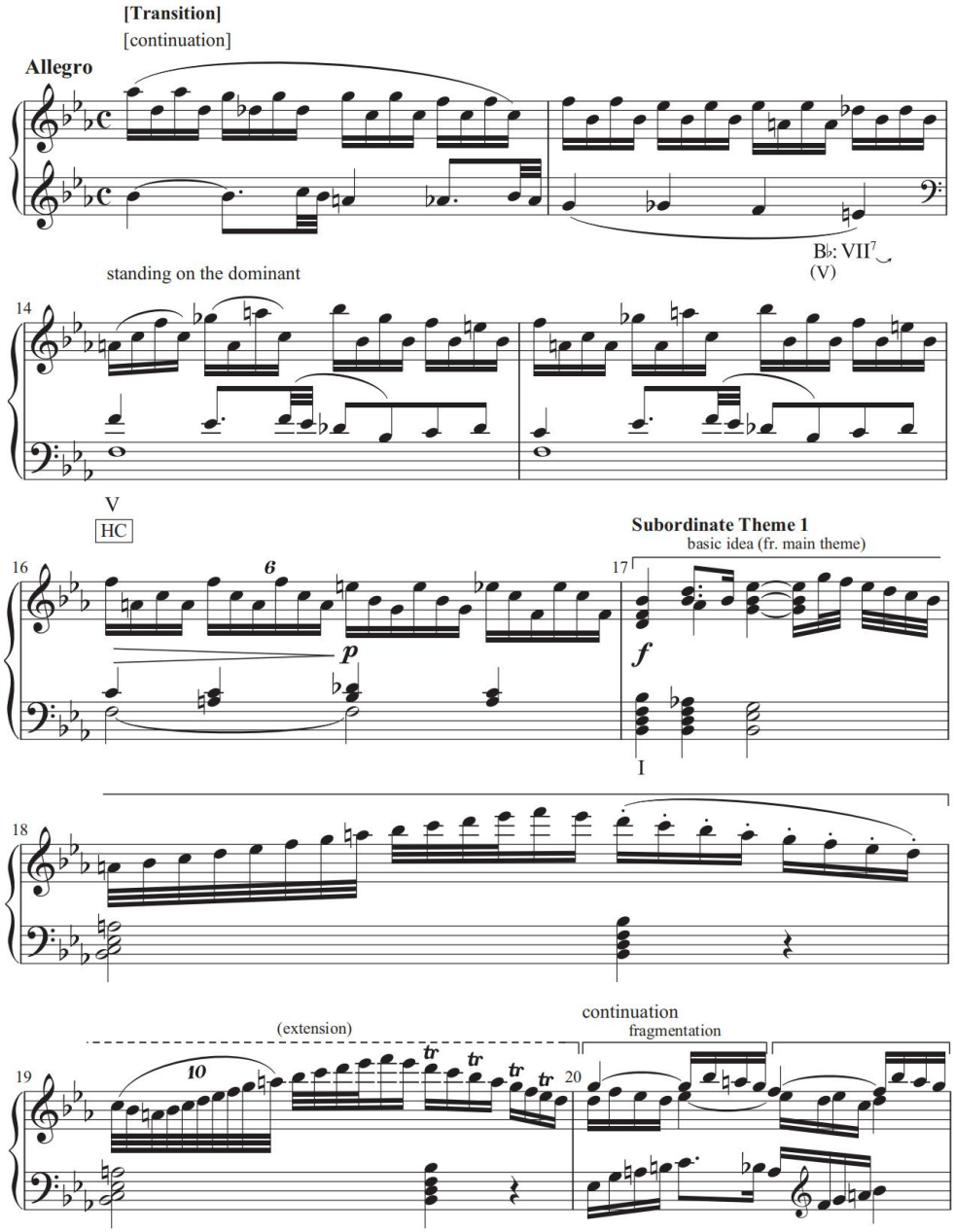
According to Caplin, a TR does not necessarily need to end with a cadence. However, there is still a dominant present that ends the TR, even though it cannot be classified as the ultimate chord of an HC because it is inverted or includes a dissonant seventh,[3] which he refers to as a dominant arrival (1998, p. 79). Despite the association of the MC with a cadence, Hepokoski and Darcy accept the dominant arrival as a ‘workable MC’ and view such MC as a *medial caesura deformation* (2006, p. 26).

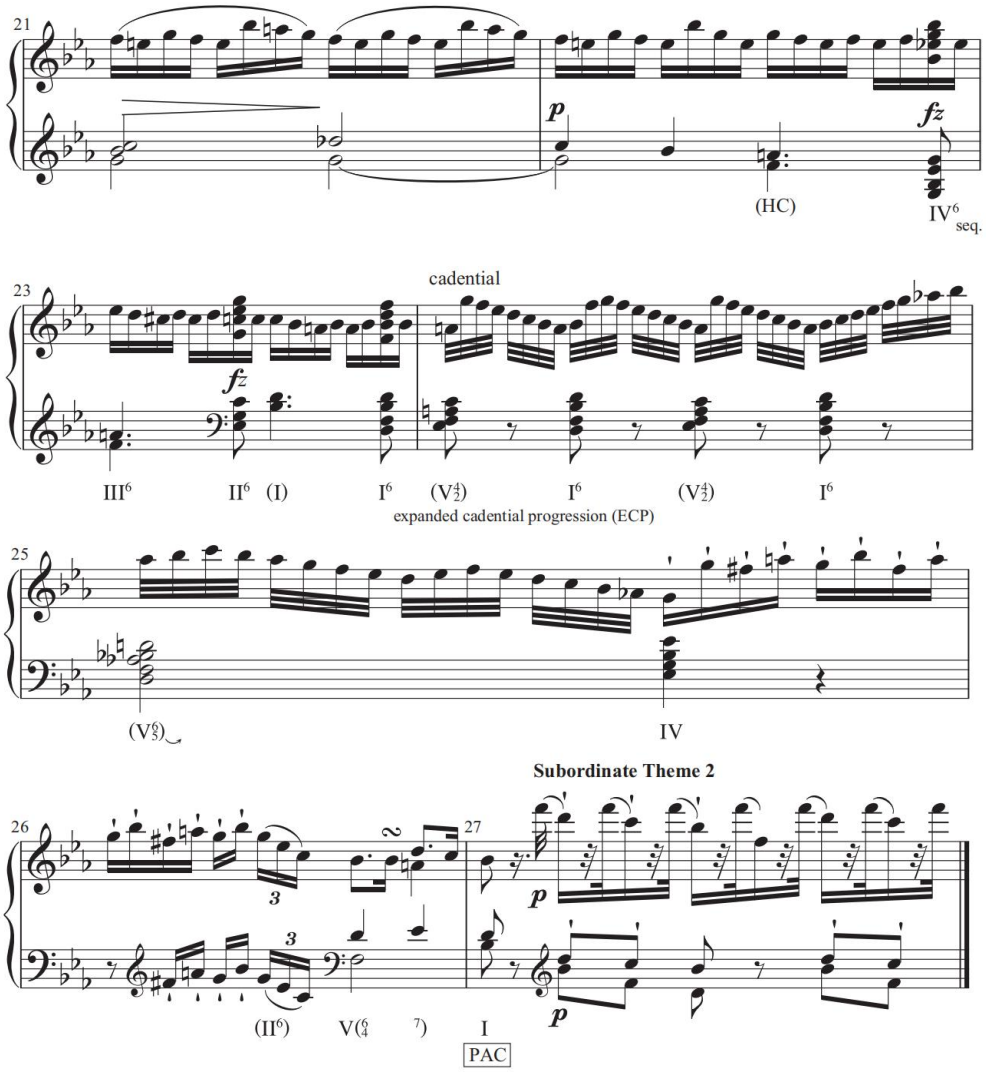
Unlike HCs, PACs are tonally and rhetorically stronger as they denote full closure. Due to this reason, Hepokoski and Darcy acknowledge that both PAC MCs are conceptually problematic. Regarding the V: PAC MC, there is a potential for confusion as syntactically, it is the same as the essential expositional closure (EEC). Hence, the question: how sure are we that it is the V: PAC MC and not the EEC? According to Hepokoski and Darcy, in each specific case, the determination relies on whether what precedes the V: PAC can be identified as a TR and whether what follows the V: PAC is a clear, newly composed S theme. The location of the V: PAC is also crucial, as the later it encountered in the exposition, the more likely it is to be considered an EEC rather than an MC. However, their solution creates a loophole in their definition of the MC as a precondition to the S theme, since the problematic PAC MC is now determined based on the existence of an S theme. This is why Caplin and Martin ‘do not recognise the necessity for a medial caesura to open up space for the entry of a subordinate theme’ (2015, p. 10). Moreover, the S theme itself can be identified based on the ‘internal formal functions that articulate a clear beginning, middle and end’ (p. 24). In Caplin and Martin’s analysis of Haydn's Piano Sonata in

[2] The term ‘temporal emphasis’ used by Caplin aligns with Hepokoski and Darcy’s MC.
[3] This term is used in Schmalfeldt (2011).

E-flat Major, Hob.XVI: 52 (i), they recognise the ending of the TR with a half cadence in bar 14, which is followed by a post-cadential standing on V (Example 1.2/2). Subsequently, they observe the S theme based on its sentential structure. Moreover, the lack of a textural break further underscores Caplin and Martin's argument regarding the MC as formally insignificant within sonata form. They acknowledge that textural breaks do exist and are common in late-eighteenth-century sonata forms, but they are not a prerequisite for the S theme to enter.

Example 1.2/2: Caplin and Martin's analysis of Haydn's Piano Sonata in E-flat major, Hob.XVI: 52 (i)





The rarest option, I: PAC MC, appears in some small-scale eighteenth-century works and in Schubert's compositions, especially the 'Unfinished' Symphony in B minor (i). The examples given by Hepokoski and Darcy in relation to the usage of this MC type are abbreviated expositions, where the TR is absent. Consequently, the I: PAC, typically responsible for closing the P section, is expected to 'do double duty as the rhetorical MC' (2006, p. 29). Examples of this scenario can be found in the first movement of Mozart's K. 45[4] and K. 169[5], discussed in Chapter 1.10.1. Note that in K. 45, Hepokoski and Darcy are 'forced' to perceive the IAC as the MC, thus classifying the I: IAC as a fourth-level default.

[4] I: IAC MC with S on the V in bar 17.
[5] I: PAC MC with S on the V in bar 12.

1.3: The MC's Rhetorical Aspect - The Textural Gap

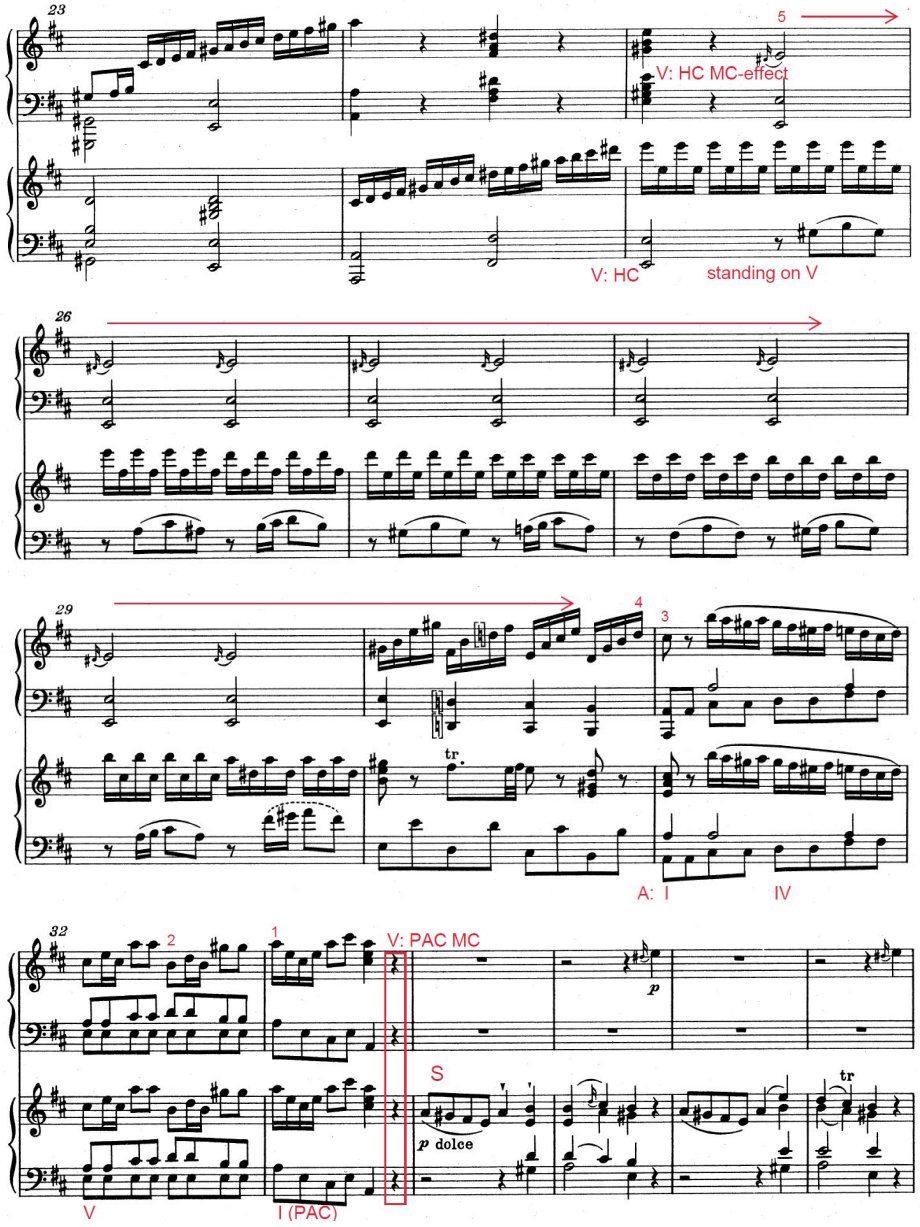
Having examined the MC's connection with cadence, it is also crucial to grasp how the rhetorical aspect of the MC, the MC space or the MC point itself, can be manifested. The prevalent method of expressing the MC space is through a rest in all parts, termed by Hepokoski and Darcy as a 'general pause', abbreviated as GP (2006, p. 34). Rhetorically, this way of portraying the MC is the most potent, as it signifies an immediate dissipation of the energy amassed during the TR. As mentioned earlier in Chapter 1.1, this GP typically spans less than a bar. Another common method is to fill in the gap, typically with a single voice referred to as *caesura-fill* (CF). CFs come in two varieties: one acts as bridging material that does not belong to either the transition or the S, while the other serves as an upbeat within the S-theme group.

The MC space can be extended by developing the caesura fill through the use of deliberately 'crafted material', diverging from its conventional role either as a bridge or a transitional pickup to the S theme, a concept identified by Hepokoski and Darcy as *expanded caesura-fill*. This widened gap can serve various purposes, including: 1) the necessity for longer energy dissipation process due to a particularly intense TR, 2) showcasing moments of creativity and unexpectedness within a conventional musical framework, or, 3) facilitating a modulation to establish the appropriate key following a TR cadence in a 'wrong' key, often found in Schubert's works (2006, p. 41). Regarding the first point, it is common for the expanded CF to incorporate a *diminuendo*, preparing for S. However, there are occasions where TR's full texture combined with a *forte* dynamic persists throughout the MC space, abruptly dropping to *piano* once S enters. Hepokoski and Darcy refer to this type of counter-generic MC as a 'juggernaut', viewing it as a deformation.

Hepokoski and Darcy also acknowledge that certain expanded CFs were employed frequently enough to become recognisable and generic options for composers, especially those featuring a 5-1 melodic descent. In some instances, the 5-1 descent is supported by a cadential progression, or at the very least, implies its presence, guiding the V: HC towards a V: PAC. Hepokoski and Darcy's stance in evaluating this scenario is to regard the V: HC as TR's cadence, with the V: PAC viewed as a secondary and merely arising as a consequence of that linear move. However, they acknowledge that if the occurrence is strong, it can create the perception of decisively rejecting the V: HC MC by attaining a V: PAC.

In the first movement of Mozart's Sonata for 2 Pianos, K. 448, Hepokoski and Darcy identify a V: HC MC-effect in bar 25, succeeded by a 9-bar expanded CF, leading to a V: PAC in bar 33 (Example 1.3/1). It is noteworthy that they use the term 'MC-effect' for the MC in bar 25, implying that it does not function as an MC, but only an effect. This implication is further supported by their assertion that the V: PAC is the 'real' MC (2006, p. 41).

Example 1.3/1: Mozart's K. 448 (i), bars 23-38



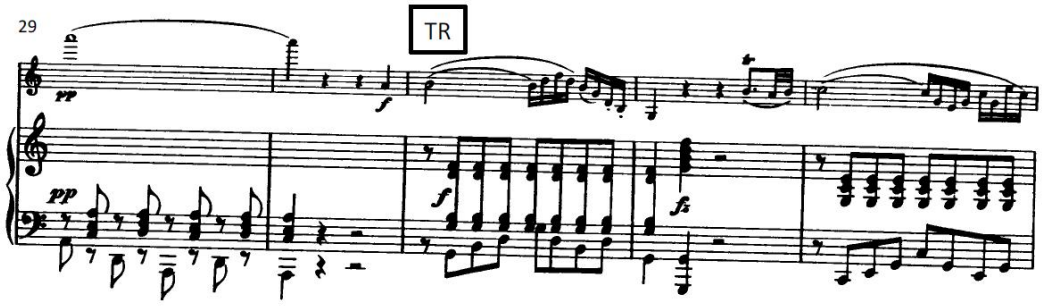
I see no reason for regarding bar 25 as an MC-effect because the standing on V following the V: HC clearly indicates a post-cadential function. However, Hepokoski and Darcy interpret bars 25-33 as an expanded CF, indicating that we are in MC space. This suggests they view the MC-effect here as a viable MC, thus recognising two MCs. Mindful that they consider MC space as conceptually

belonging ‘to neither TR nor S, although motivically it may look backward or forward to the one or the other’ (2006, p. 41), I recognise only one MC and perceive bars 25-33 as a post-cadential standing on V that moves on to a V: PAC MC.

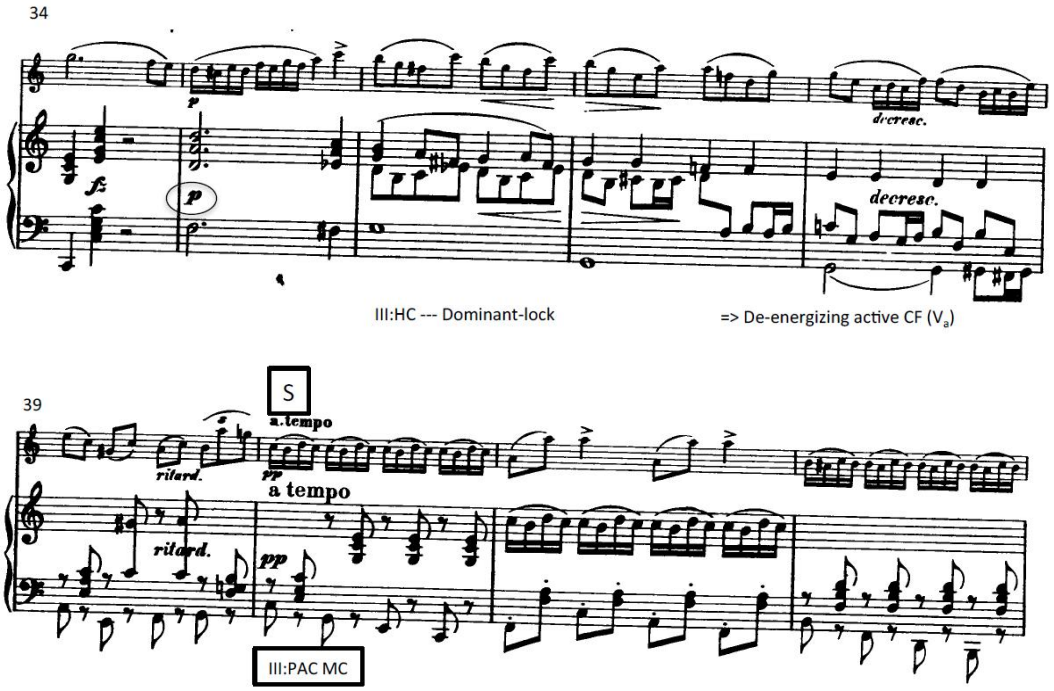
Navia’s (2016) analysis of Schubert’s Arpeggione Sonata in A minor, D. 821 (i) shows that the MC situation is analogous to Mozart’s K. 448. A III: HC articulated in bar 35 is also succeeded by a standing on V that dissolves into a cadential progression leading to a III: PAC MC in bar 40, elided with the S theme (Example 1.3/2). Melodically, it also features a 5-1 descent. However, unlike K. 448, Navia observes that in D. 821, the ‘TR’s initial *forte* dynamic is prematurely attenuated with the arrival of the pre-dominant, anticipating the energy loss expected to take place only after the MC articulation’, thus preventing ‘the dominant lock from securing the proposed MC’[6] (2016, p. 88). As explored by Navia (2016), actions that reduce energy within TR space often result in an elided MC, referred to by Navia as ‘the gentle PAC MC’, because the energy depletion occurs within TR, thereby eliminating the necessity for a gap. While reasoning this might be true in Schubert, premature energy release does not always lead to an elided PAC MC, as evidenced in the first movement of Hiller’s Op. 1 (Example 4.1.1/1). Therefore, dynamics might not be the determining factor for an elided PAC MC.

According to Navia, this dissolving standing on V is perceived as a dominant-lock => de-energising active CF. Aligning with Hepokoski and Darcy’s remarks about expanded CF, Navia’s interpretation implies that the III: HC MC is rejected by attaining an elided III: PAC MC.

Example 1.3/2: Navia’s analysis of Schubert’s Arpeggione Sonata, D. 821 (i)



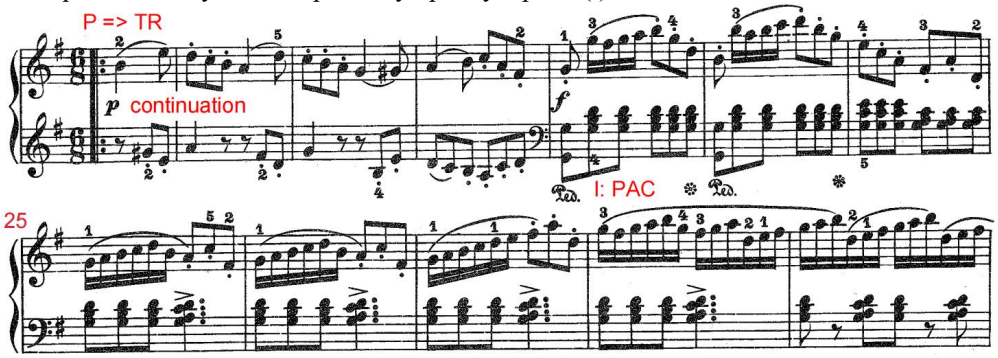
[6] I think she is referring to a III: HC MC.



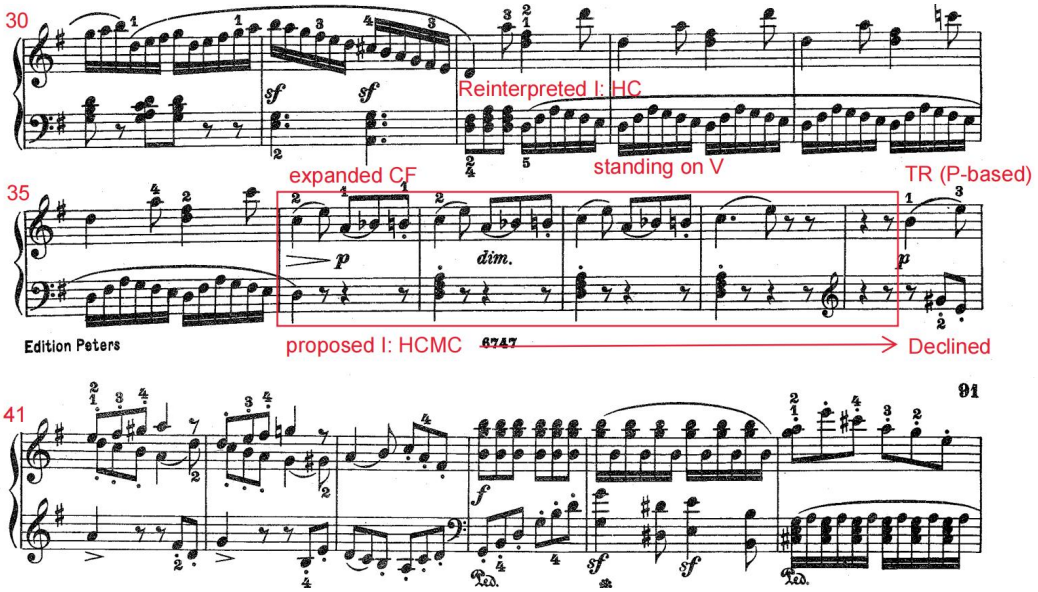
1.4: The Concept of Accepting and Declining MC

Conceptually, Hepokoski and Darcy see the MC as a proposal that the S theme can either accept or decline. Accepting a '*proposed MC*'[7] implies that the S theme begins in the appropriate key: V: HC MC is followed by V in the tonic, I: HC MC is followed by V in the tonic, and so forth. Conversely, declining a proposed MC leads to two contrasting scenarios: either the preference to 'remain within pre-MC space and defer the real MC' (2006, p. 45), or to decline the proposed MC harmonically, yet still use it as a launching pad for S, typically associated with a trimodular block (TMB) strategy.[8]

Example 1.4/1: Haydn's 'Surprise' Symphony Np. 94 (i), bars 18-46

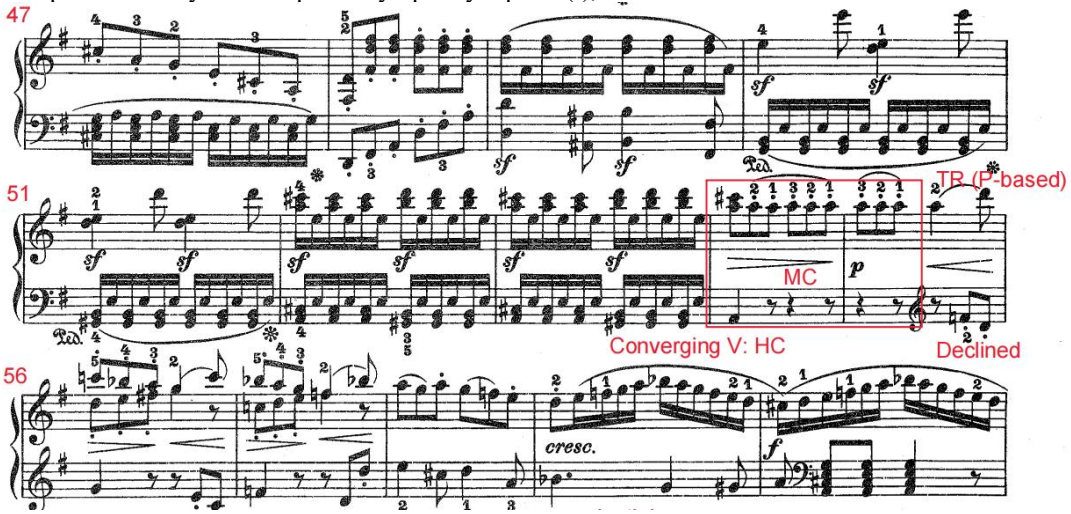


[7] I borrow the term from Hepokoski and Darcy (2006, p. 45).
[8] Hepokoski and Darcy provide three other scenarios which I did not include in the main text.



In the first scenario, composers may repeatedly introduce proposed MCs that are consistently declined until the end of the exposition. For example, in the first movement of Haydn's 'Surprise' Symphony No. 94, two proposed MCs are declined and by the time a V: PAC is achieved, what follows is C-space. The recurring P theme is related to the phrase structure of the initial P theme, which lacks an initiating function and instead begins with a continuation function, marked by a model and sequence. This leads to a reinterpreted I: HC achieved in bar 32, which is subsequently prolonged with a standing on V, indicating that P becomes TR (Example 1.4/1). In bar 36, there is gradual release of energy marked by a textural gap enlarged by an expanded CF, a *diminuendo*, and a decrease in rhythmic activity. Therefore, bars 36-40 signify a proposed I: HC MC that has the potential to open S. However, this proposed MC is declined by refusing to enter into S space, thus remaining in TR space by reintroducing the P material. Another attempt to open S space is made through a converging V: HC in bar 54, which is followed by a textural gap with a single-line CF, repeating the note A (Example 1.4/2). This time, the MC is a first-level default, which is stronger than the previous I: HC MC. However, it is also declined by reintroducing the P theme, thereby remaining within the TR again.

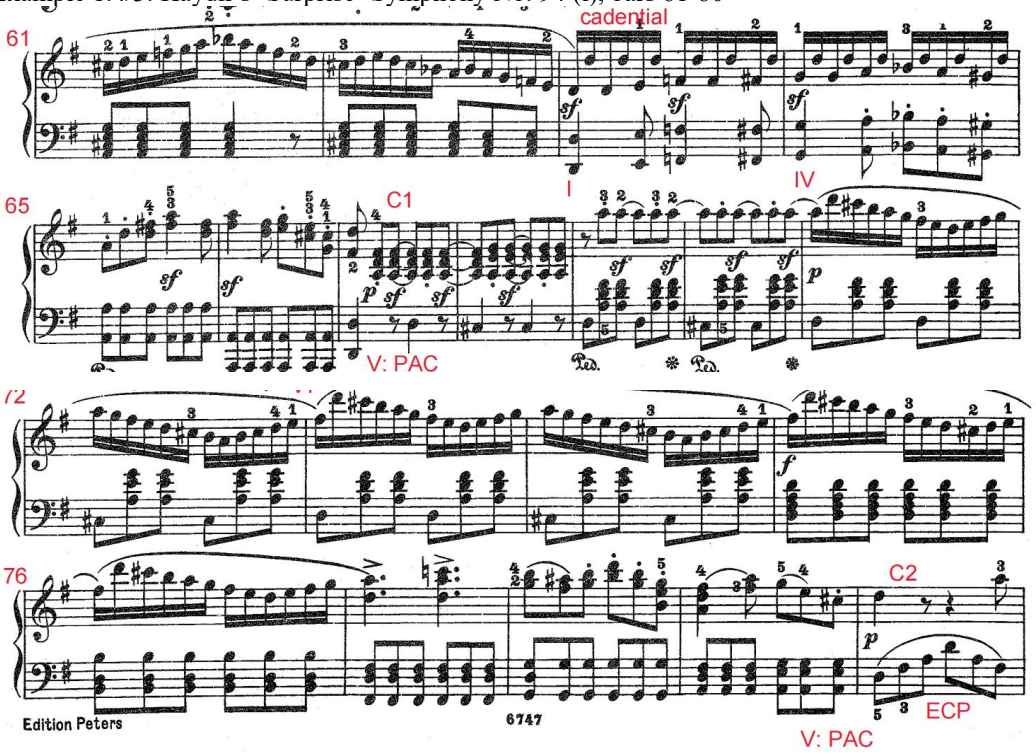
Example 1.4/2: Haydn's 'Surprise' Symphony Np. 94 (i), bars 47-60



One might interpret that Haydn's repeated decline of the MC–evidenced by his decision to bring back the P theme–as an intentional joke that plays on the listeners' anticipation of an S theme that ultimately never appears. This joke is reinforced further by the absence of an initiating function in the P theme, which creates the impression that the initiating function of a large-scale function has not yet begun. According to Caplin's form-functional theory, the P theme is tightly organised, as opposed to the S theme, which can be loosely organised. The lack of an initiating function is one way to loosen the S theme's structure. However, an initiating function is important for the P theme because temporally, it cues listeners that the music begins. By omitting this function from the P theme, Haydn creates a loop between P and TR.

The PAC in bar 67 might be the harmonic preparation of the MC, a last attempt to open S; however, it turns out that the following passage is the C space, making the PAC the EEC. One could still argue that this is the S theme instead; yet, I do not perceive it as having S-theme qualities for three reasons: 1) it has no initiating function; 2) harmonically, the entire bars 67-80 comprises an expanded cadential progression (Example 1.4/3); and 3) the sixteenth-note run is the same figure used for the codetta in bar 100.

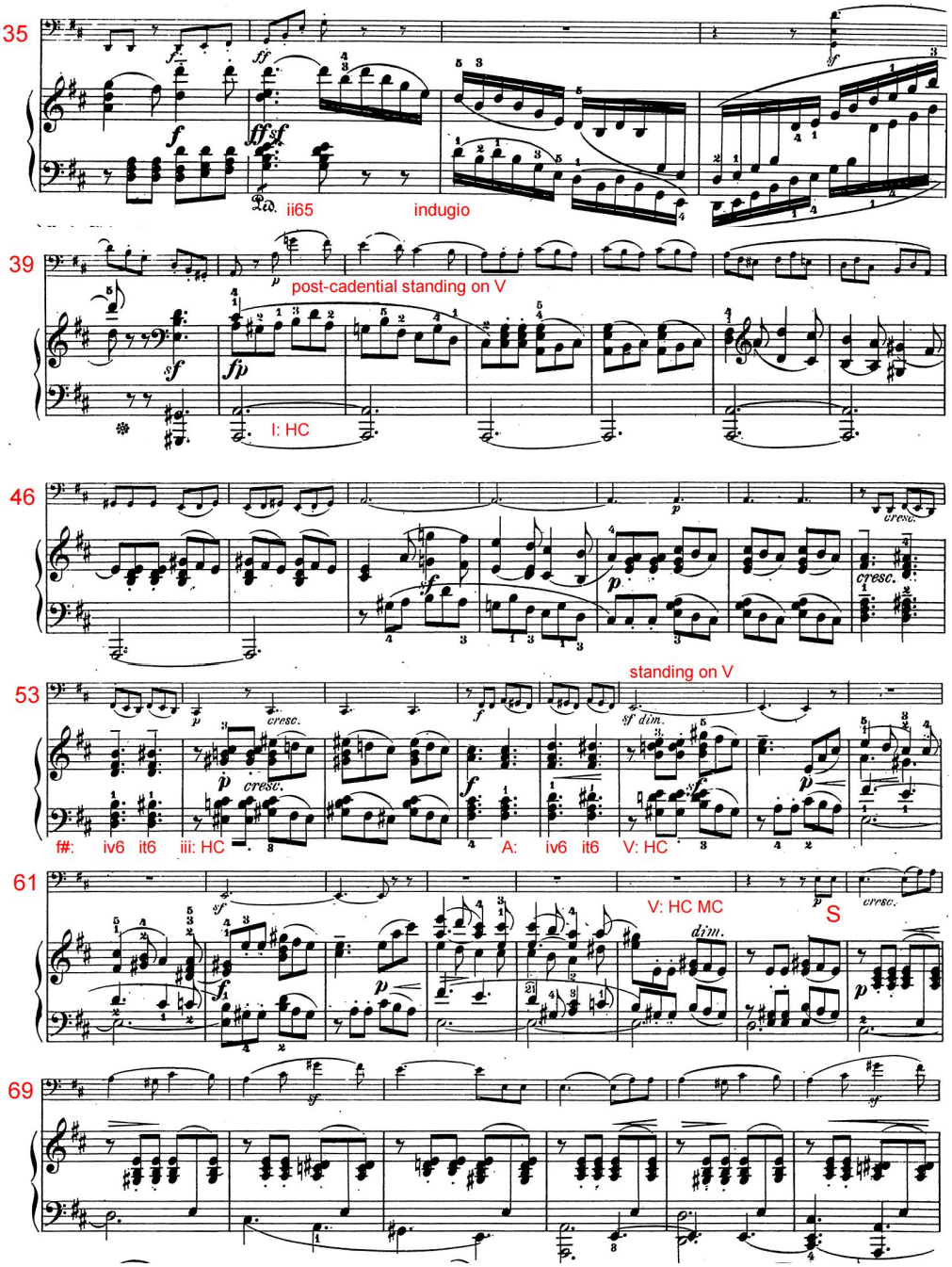
Example 1.4/3: Haydn's 'Surprise' Symphony No. 94 (i), bars 61-80



One could also decline the MC a few times as Haydn does; however, instead of resulting in a continuous exposition, the last proposed MC is able to open S space, as evident in the first movement of Mendelssohn's Cello Sonata No. 2, Op. 58. In bar 36, a prolonged predominant chord (ii^{65})[9] leads to a I: HC that is prolonged by a standing on V in bar 40 (Example 1.4/4). One could perceive this standing on V as a post-cadential function, but I consider bars 40-51 as an MC space owing to the presence of two strong aspects of MC rhetoric: a decrease in dynamic level indicating a release of energy, and a distinct crafted material signifying an expanded CF.[10] This I: HC MC is declined in bar 52 by introducing a cadential progression to a iii: HC. The modulation to F-sharp minor is short-lived as it is immediately followed by an attempt to set up a first-level default MC by achieving a V: HC that is followed by an expanded CF standing on V, akin to bars 40-51. This time, the V: HC MC is accepted by an S theme in bar 67.

[9] Gjerdingen considers this prolonged predominant as one of a common galant schemas called *indugio*, further discussed in Chapter 1.10.2.
[10] Kavanagh-Clarke (2019) also perceives bar 40 as the onset of an expanded CF.

Example 1.4/4: Mendelssohn's Cello Sonata Op. 58 (i), bars 35-74



My reading of this MC situation slightly differs from Kavanagh-Clarke (2019), who identifies two MCs, one in bar 40 and another presumably in bar 66[11], and perceives the entire bars 40-67 as a modulating expanded CF. While this interpretation could align with Hyland's MCC Complex later discussed in Chapter 1.6.3, I cannot ignore the fact that there is a iii: HC in bar 54, which suggests three proposed HC MCs. Additionally, interpreting bars 40-67 as a modulating CF would mean considering the iii: HC as an internal cadence within MC space. There has been

[11] No bar number is given to designate the second MC.

no discussion in the theorisation of MC about the occurrence of an internal cadence within the enlarged MC space. Therefore, I interpret bars 40-67 as containing two declined MCs and one accepted MC. Unlike Haydn's 'Surprise' Symphony, Mendelssohn only repeats the post-cadential function.

1.5: Trimodular Block (TMB)

As previously mentioned, the second scenario of declined MC is related to TMB strategy. A TMB comprises a two-part exposition featuring two MCs. The TMB encompasses three phases, designated by Hepokoski and Darcy as TM1, TM2, and TM3. Taken together, the TMB situation conveys the notion that TM1 serves as an inadequate S theme, succeeded by a 'TR-texture-based' TM2 leading to the second MC, and subsequently followed by the TM3, which accepts the proposed second MC as the satisfactory S theme. However, while they assert that 'the "real" S-function is consequently shifted over to TM3', they also acknowledge that TM3 does not necessarily equate to S1 (2006, 175). Hepokoski and Darcy outline four MC-pairing options based on their corpus in Sonata Theory, considering any other pairings not listed in Table 1.5/1 as deformations.

Table 1.5/1: Lists of MC pairings for TMB situation

	Major key
First-level default	I: HC / V: HC
Less frequent options[12]	I: HC / V: PAC V: HC / V: PAC V: HC / V: HC
Deformation	Alterations from the patterns above

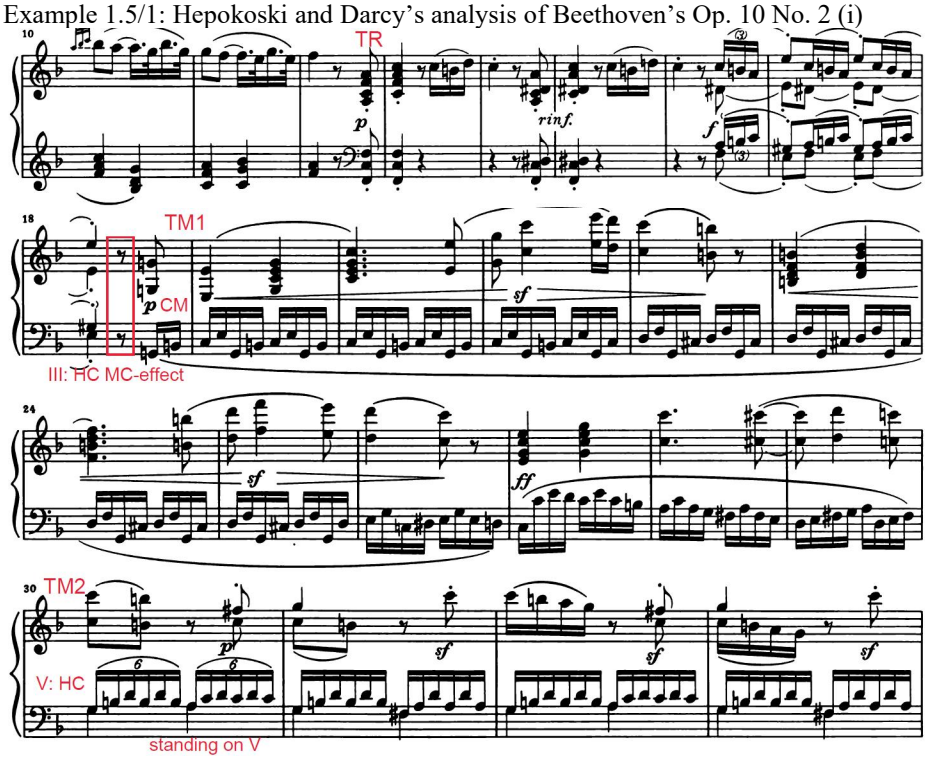
Hepokoski and Darcy acknowledge the complexity of the double-MC situation, noting that it 'can occur with differing S and/or TR implications' (2006, p. 171). It is worth noting that Sonata Theory does not provide a definitive example in which a TMB contains a functional regression back to TR, nor one that aligns with the previously mentioned first scenario of a declined MC. Instead, their labeling system—TM1, TM2, and TM3—considered equivalent to S1.1, S1.2, and S1.3, implies that the entire TMB constitutes a single-module S theme (S1), rather than a multimodular S (2006, p. 171). I have in mind that they refer to an interthematic function (P and S)

[12] There is no specific second-level, third-level, and fourth-level default following the first-level default.

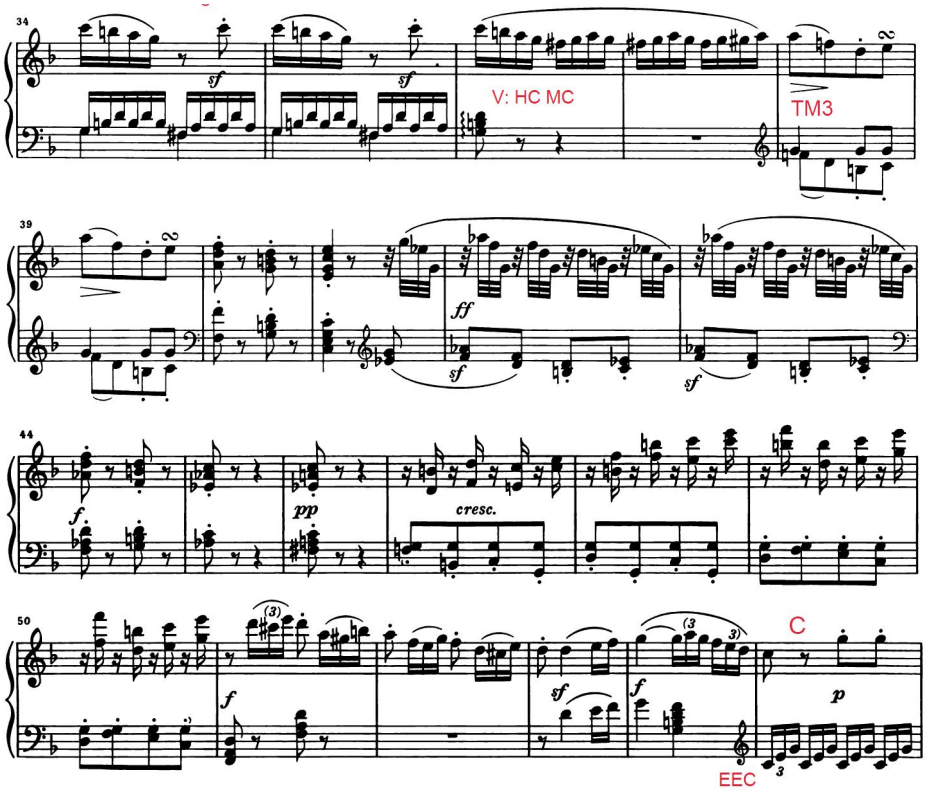
within a PAC span with decimal designators (1.1, 1.2, 1.3, etc.) and tend to identify a 1.2 designation as a continuation of a sentence wherever feasible (2006, p. 72).

An example that might illustrate the situation above is the first movement of Beethoven's Piano Sonata in F, Op. 10, no. 2.[13] This movement features an MC that arrives prematurely and in the incorrect key, appearing as a V/iii MC in bar 18 (Example 1.5/1). Nonetheless, it is still utilised as a launchpad for TM1 in C major in the following bar. In this instance, the definitive indication that TM1 is an unsatisfactory S lies in declining the MC (albeit the MC is in the wrong key) and failing to secure an EEC. Instead, it leads to a V: HC in bar 30. Following the HC, its prolongation is considered the TM2, eventually culminating in the V: HC MC at bar 36 and 'the more "real" S', the TM3, in bar 38. Rhetorically, the S theme features TR characteristics, evident in TM1 and TM2 which contribute to the accumulation of the energy level, relinquished at the MC point.

Example 1.5/1: Hepokoski and Darcy's analysis of Beethoven's Op. 10 No. 2 (i)



[13] The connection between Beethoven's Op. 10, no. 2 and a declined MC in TMB context is a speculative inference on my part. Hepokoski and Darcy use this example to illustrate that the first MC functions as a false MC, and yet, it is used as a launchpad for an S theme. They consider this MC as an MC-effect, without specifying whether the MC and MC-effect hold the same hierarchical significance. Furthermore, there is also no clarification on whether this first MC-effect is hierarchically equivalent to the first proposed MC accepted by S, as observed in the first movement of Beethoven's Op. 2, no. 3.



Perceiving a TMB as a single S theme aligns with Caplin and Martin's analysis of this movement. The difference lies in that they interpret the HC in bar 30 as an internal HC (Caplin & Martin, 2015, p. 10-12). Their analysis further indicates that no functional regression is involved (Table 1.5/2). If a TMB is viewed as a single-module S theme, Caplin's analysis proves that the second MC is not necessary. Therefore, it is plausible to interpret this exposition as having only one MC in the wrong key, which is harmonically declined by the C-major S theme.

Table 1.5/2: Hepokoski and Caplin's analysis of Beethoven's Op. 10 No. 2 (i) S theme

Bars	19		30		38		
Hepokoski	TM1		TM2	MC2	TM3		
Caplin	Pres c.b.i + c.b.i	Cont. 1			Cont. 2	Cont. 3	Cad.
Cadence	Internal V: HC				V: PAC (EEC)		

While there is no exhaustive list detailing how S can be considered unsatisfactory within the TMB context, it is conceivable for TM1 to represent a validly launched S,[14] thereby contrasting to the TMB situation previously explained (2006, p. 171-172). In this TMB scenario, the TM1 is considered an unsatisfactory S solely because of its inability to secure the EEC. A representative example is found in

[14] TM1 appears as a satisfactory S in terms of contrasting character and texture associated with lyrical and *dolce* character, in the expected new key. This TMB situation is also regarded by Hepokoski and Darcy as the simplest TMB type.

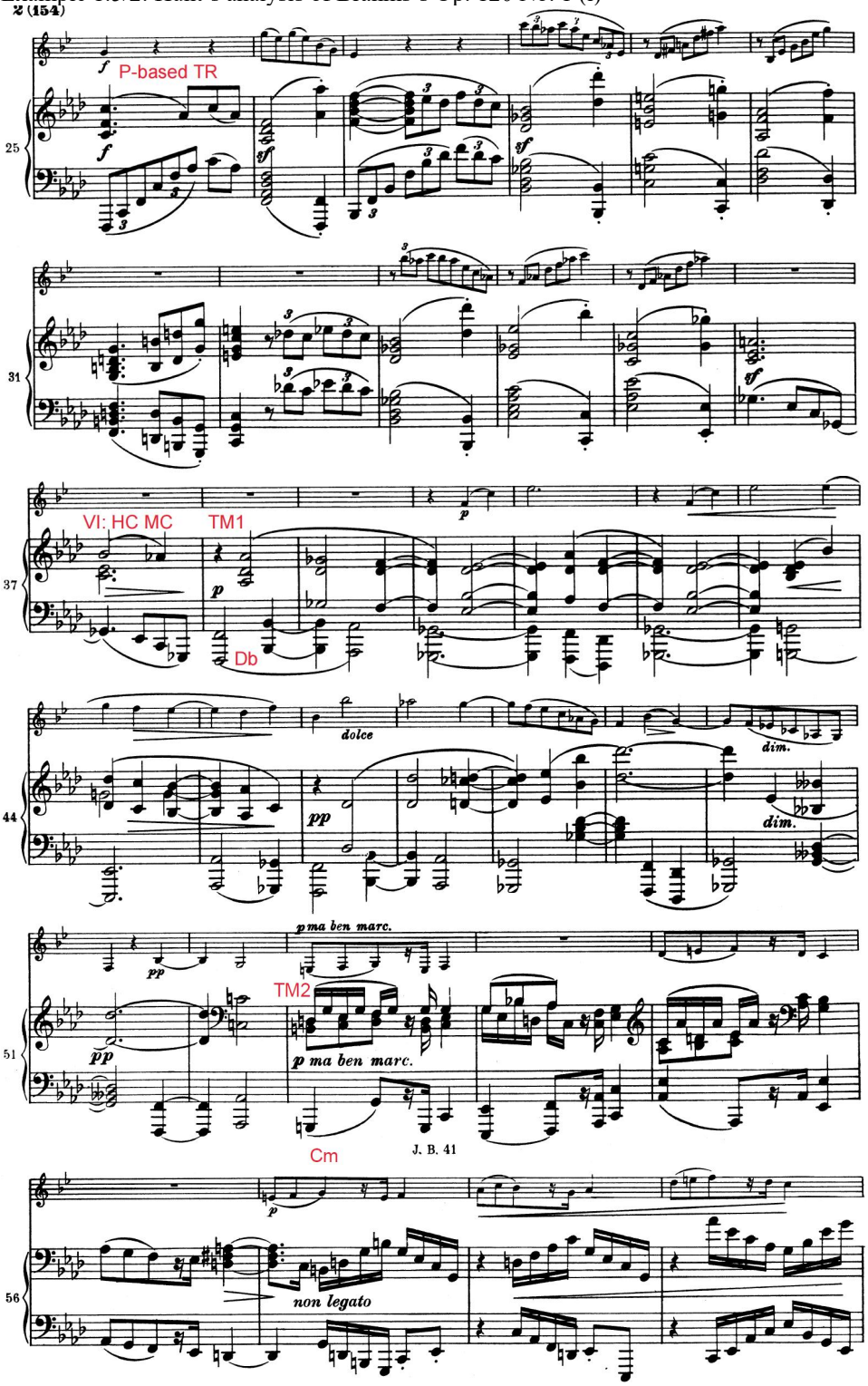
the first movement of Beethoven's Piano Sonata in C, Op. 2 no. 3 where a I: HC MC in bar 26 is succeeded by a TMB. Here, TM1, representing the unsatisfactory S, commences in a dominant minor key. However, due to this mode being incorrect, Beethoven opts against sustaining the G minor key, instead modulating to D minor and A minor, thereby failing to secure the EEC. It is worth noting that Hepokoski and Darcy do not consider the G minor entry as declining the I: HC MC (2006, p. 172). Subsequently, the TM2, beginning at bar 39, introduces a contrasting texture reminiscent of TR, leading to a the second MC at bar 47.[15] Following the second MC, TM3 introduces a newly composed S theme in the correct mode, ultimately leading to the attainment of V: PAC in bar 77.

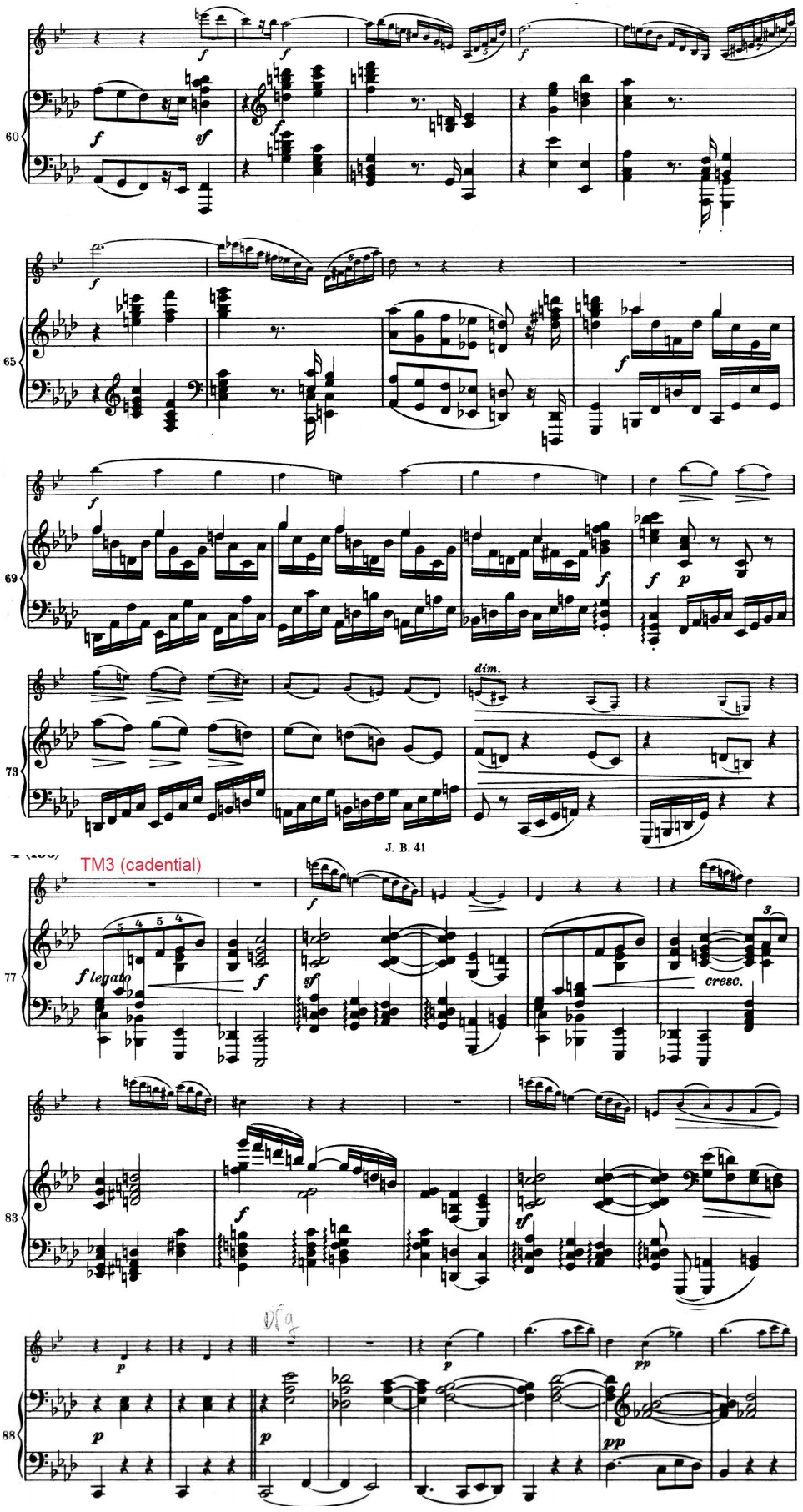
The concept of TMB remains relatively underexplored, particularly in its application to nineteenth-century music, which poses analytical challenges. Graham Hunt's recent study (2009) represents one of the latest corpus analyses focusing solely on TMB in the instrumental works of Schubert and Brahms. While he make a compelling case for a TMB study historically, tracing its evolution from a two-key TMB in the late eighteenth-century to a three-key TMB in Brahms's music, it still encounters conceptual challenges, as illustrated in his analysis of Brahms's Clarinet Sonata in F minor, Op. 120 (i).

Three aspects contribute to the compelling narrative of TMB in this movement. First, as previously discussed, a 'wrong-key' MC followed by an S theme typically prompts the need for a second MC in the correct key. In bar 25, a P-based TR with high energy modulates to VI, triggered by the G-flat chord in bar 33, functioning as the predominant in VI (Example 1.5/2). A series of inverted V^7 chords ensues (bb. 34-37), although they do not lead to any cadence. However, Hunt identifies bar 37 as a 'deformational VI: HC MC'. While it is better to identify the MC's harmonic preparation as VI: V-arrival, identifying the MC in bar 37 still aligns with Hepokoski and Darcy's remarks of accepting dominant arrivals (inverted Vs) as workable MCs (Hepokoski and Darcy. 2006, p. 48).

[15] Hepokoski and Darcy also call the second MC in this TMB situation a PMC.

Example 1.5/2: Hunt's analysis of Brahms's Op. 120 No. 1 (i)




60
65
69
73
dim.
J. B. 41
TM3 (cadential)
77
f legato
cresc.
83
88

Second, following this deformational MC, Hunt adds that both Greybill (1988) and Smith (1998) observe several elements that undermine the submediant S-key: an inverted tonic initiating S follows the V42 chord, absence of a root-position tonic within VI, and two motifs from the opening P theme used to construct the S theme (the first four notes of the P theme are transposed and positioned in the bass of the S theme, while the final three notes, Ab-Gb-F, from the opening P theme are utilised as the S theme's melody). These elements, combined with the failure to secure a PAC, signify the unsatisfactory nature of the TM1 S theme (bb. 38-52).

Third, the TM1 is immediately followed by TR-like rhetoric in TM2 (bb. 53-76) emphasising C minor. The TM2 serves as a possible preparation for the upcoming 'real' S theme (TM3), which appears very late in the exposition. Two musical parameters support this idea: increased rhythmic activity and dynamics, both contributing to the accumulation of energy. Despite a premature drop to *piano* in bar 72, Hunt suggests that TM2 still achieves a v: HC in bar 76, with the MC expressed with a general pause (GP) articulated on the third beat.

Based on these aspects, the expectation for a TM3 in C minor is high, particularly as previous TMB models, especially in Schubert, exhibit this scenario.[16] According to Hunt, bars 77-88 constitute an S theme fitting TM3. However, he acknowledges that 'TM3 is a more closing or "cadential" theme', and an 'EEC occurs *after* this… closing theme' (2009, p. 115). If TM3 serves as the satisfactory 'real' S theme, Hunt's reading implies that a cadential S theme is considered adequate. While identifying this TM3 as the S theme aligns with Caplin's idea of loose formation (discussed in Chapter 2), my contention is that a cadential function alone is insufficient to denote an S theme, as it is a primary property of C space that also fits rotationally. I am inclined to agree more with his alternative reading, in which the exposition is regarded as a two-part exposition with three-keys instead of a three-key TMB. Nonetheless, due to the aforementioned aspects signaling a strong case for TMB, I maintain the TMB concept, wherein the second proposed MC is declined by entering C-space rather than TM3. Consequently, I interpret this situation as a failed TMB with a declined second MC, resulting in a failed exposition wherein the v: PAC is deferred to bar 88.

[16] See Hunt (2009) and Navia (2016).

The discussion of Hunt's TMB reading in this movement connects to the way in which I analyse Hiller's Op. 133 (i) in Chapter 4. I will examine the aspects in which the S theme (TM1) is unsatisfactory, whether there is a process leading to the articulation of the second MC, and if so, assess the quality of the 'real' S theme (TM3), particularly if the initiating function is present or not.

1.6: Expansion of the MC Concept

1.6.1: Reception of MC

Although the concept of the MC was well received by William Horne (2006), he points out that across Beethoven's journey into maturation, the 'caesura' aspect in some of his compositions progressively 'wear away' (p. 105, note 5). Therefore, the term MC seems to be inappropriate if it is applied to a situation especially where there is no gap separating the end of the transition and the onset of the secondary theme.[17] He also points out that in Beethoven's *Eroica* Symphony, the arrival of a half cadence at bar 45 is not followed by a gap, instead it is immediately followed by a secondary theme.[18]

1.6.2: MC as a Process and Obscured MC

Mark Richards is sympathetic with Horne's view on Beethoven's 'caesura' treatment; however, he proposes the possibility of seeing an MC in situations similar if not the same; as the *Eroica* Symphony. He opines that Beethoven's treatment of the MC is 'not necessarily eroded away with time, but rather increasingly *obscured*' (2013, p. 166). Rather than viewing an MC as the articulation of a textural gap, he prefers to see it as a process involving three stages: a harmonic preparation, a gap, and an acceptance by a secondary theme (Figure 1.6.2/1). The harmonic preparation refers to the structural half cadence in the end of the transition, or, if the half cadence is prolonged by a pedal point, it refers to the last chord which is basically the same chord as the half cadence.

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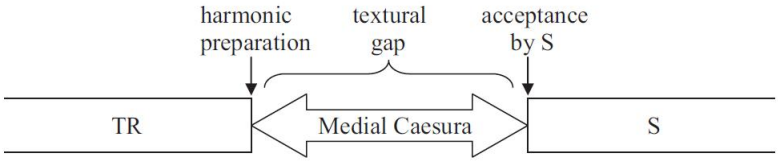
[17] For this, he coined the term 'strong-dominant complex' as a replacement for medial caesura. See Horne (2006).

[18] There are different interpretations as where the S begins, but I want to focus on those who agrees with the onset of S occurring at bar 45.

Figure 1.6.2/1: Mark Richards's Three-Stage MC



According to Richards, the perfect articulation of an MC occurs if all the three stages are executed without any obscurity. Specifically, they involve a harmonic preparation marked by a root-positioned dominant triad or dominant seventh; a gap represented by the absence of activity in all parts or by a single musical line filling in the gap, serving either as the beginning of S (starting as a pickup) or as a connecting material leading to S; and the acceptance by S, signified by the tonic harmony of the new key accompanying the S theme (2013, p. 168). Other elements which do not belong to the descriptions above are considered by Richards to obscure the MC. Hence, Hepokoski and Darcy's third- and fourth-level defaults are regarded as containing elements that obscure clarity, a notion consistent with the conceptual challenges surrounding PACs discussed earlier.

Richards suggests that MCs with the same number of obscured elements, can be grouped together as 'they share a common level of perceptibility' (2013, p. 168). In Beethoven's Type 3 sonatas, the number of elements that can be obscured range from one to four; he categorises them as '*singly*-, *doubly*-, *triply*-, and *quadruply-obscured MCs*'. The more obscuring elements that are employed, the more difficult it is to detect an MC.

The triply obscured MC does not imply that all three stages of the MC are obscured. Richards elaborates that although an MC contains three distinct stages, there are five different main elements that can be obscured: the harmonic preparation, the gap's texture, the gap's harmony, the texture of acceptance by S, and the harmony of acceptance by S (Table 1.6.2/1). Within the same category of obscured MC, it is possible to have any combination of obscuring elements. For instance, in the category of triply obscured MCs, his reading of the first movement of Beethoven's Op. 111 signifies that the harmonic preparation, the gap's texture, and the harmony of the acceptance are obscured, and his interpretation on the first movement of Op. 102, no. 1 suggests that the gap's texture, the acceptance's texture and the acceptance's harmony are obscured (Richards, 2013, p. 188).

Table 1.6.2/1: Richards's triply obscured MC types

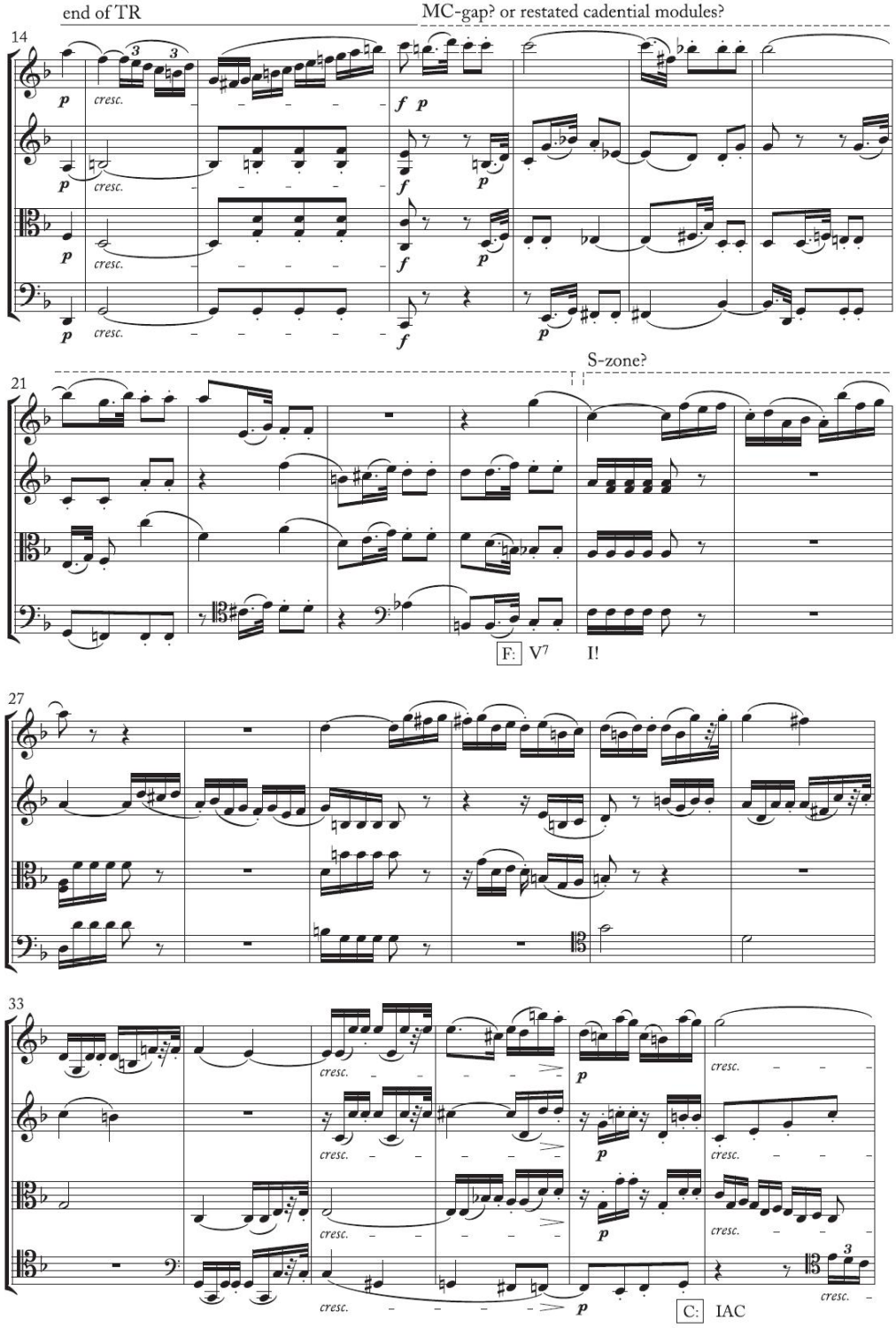
Obscured-MC Category	Obscured Elements					Example (op.)
	Preparation harmony	Gap texture	Gap harmony	Acceptance texture	Acceptance harmony	
3a	x	x			x	111
3b		x		x	x	102/1
3c	x	x	x			131
3d		x	x		x	130

Richards states that not all elements contained within each stage of the MC share the same relative strength. It is also challenging to make a complete assessment of which element is more obscured than which other element. For instance, within the first stage of MC, an inverted dominant seventh may express weaker obscurity compared to V: PAC. The difficulty in measuring degree of obscurity also applies to different stages. For example, an absent textural gap may have higher degree of obscurity compared to S's acceptance over a standing on V.

Regarding the absence of a textural gap, Richards posits that only the texture of the gap is obscured. This analytical perspective is exemplified in the previously mentioned Op. 111, where he identifies it as an instance of a triply obscured MC. I contend that the nonexistence of the gap obscures the harmony of the gap itself, particularly when perceived as the antithesis of an expanded modulating CF. Moreover, in a hypothetical scenario where harmonic preparation is obscured by an inverted dominant seventh, a missing gap, and acceptance by the S theme, with texture obscured by sharing similarities with the transitional region (TR), and harmony obscured by a deviation to an unusual key, we encounter a situation where four elements are obscured, categorising it as a quadruply obscured MC. This MC event also indicates that only the gap's harmony is unobscured, however, it is impossible to perceive that harmony as the gap is nonexistent. Hence, disregarding another potential reading, it is more convincing to perceive the MC in Op. 111 as a quadruply obscured MC

Richards's examination of Beethoven's String Quartet in F, Op. 135, in particular, warrants further scrutiny, especially regarding the extent to which the concept of obscured MC can be applied. His analysis reveals that the MC can still be discerned, albeit with four MC elements being obscured: the harmonic preparation, the texture and harmony of the gap, and the harmony of the acceptance by S. This leaves the texture of the acceptance by S as the sole element that remains unobscured.

Example 1.6.2/1: Richards's analysis of Beethoven's Op. 135 (i)



At bar 17, the achieved cadence is V: PAC instead of V: HC (Example 1.6.2/1). While V: PAC is categorised as one of the less common options in Hepokoski and Darcy's level defaults, Richards seems to consider the attainment of PAC in the TR as containing a certain degree of obscurity, likely because V: PAC typically concludes the S section, aligned with Hepokoski and Darcy's view on it

(refer back to Chapter 1.2). Following the V: PAC, there is a space that could be interpreted as an MC with an expanded CF. This reading is evidenced by the reduction from six voices to one at bar 17, accompanied by a dynamic change from *forte* to *piano*, although the texture is promptly restored to full in the subsequent bar. The expanded CF involves a modulation process, as evidenced by the return of the S-theme key to the tonic of the home key, F major, at bar 25, where the S theme candidate arrives.

Richards suggests that while there is a possibility of not considering bar 25 as the onset of the S theme, three factors could justify the unusual introduction of the S theme. First, considering the entire phrase from bars 25 to 38, only the initial four bars express the F major key, with subsequent bars expressing C major, further reinforced by the attainment of V: IAC at bar 38. Second, in the recapitulation, there is no transposition of the initial four bars into the 'wrong' key; instead, the F major key is maintained, implying that the F major opening of the S theme has now 'found its proper place'. Third, Richards cites Mozart's String Quintet, K. 516, which presents a similar scenario where the S theme, initially introduced in the home key of G minor at bar 30, later transitions to B-flat major, the typical mediant key for an S theme in a fast-tempo sonata movement in a minor key. However, it is possible that bar 30 does not mark the beginning of the S theme. Caplin and Martin (2015) interpret bar 30 as the beginning of TR, analyse bars 30-64 as a fusion of TR and S1 owing to TR's lack of an ending function and S1's absence of an initiating function. They view bars 64-85 as S2, which I consider to be the sole S module.

Despite Richards' sound interpretation, his insistence on identifying a viable MC raises some questions. First, considering that the MC is both a cadential and textural phenomenon, is it truly feasible to identify one solely based on the unobscured element of the S theme? Second, it is possible to imagine a scenario in which a piece exhibits a situation akin to Beethoven's Op. 135, where both the cadential and textural aspects of the MC process are obscured, albeit through different techniques (see the Table 1.6.2/2). Which technique plays the most significant role in obscuring the MC? It is probably easier to conclude that the obscuring techniques employed in the hypothetical scenario engender a higher degree of obscurity. The rationale lies in the fact that a V: PAC, being less common, holds lesser severity compared to having no cadence as the latter suggests no structural closure. Likewise, the expanded CF presents a less severe case of obscuring the MC since it still retains

the MC space following the structural cadence, albeit not as a prolongation, whereas no gap deletes the essential rhetorical characteristic of the MC.

Table 1.6.2/2: Obscured MC in Beethoven's Op. 135 (i) and a hypothetical scenario

Examples	Obscured Elements				
	Preparation Harmony (cadential)	Gap (textural)		Acceptance by S	
		texture	harmony	texture	harmony
Beethoven's Op. 135	V: PAC (obscured)	Expanded CF (obscured)	Modulate (obscured)		Going back to tonic (obscured)
Hypothetical scenario	No cadence (obscured)	No gap (obscured)	(automatically obscured)	No contrast (obscured)	

1.6.3: Extension of Richards's Three-Stage MC and Two Potential MCs

According to Horton's (2017) analysis of Schubert's MC treatment, it is deduced that although Schubert tends to prefer HC MCs over PAC MCs, his approach to articulating these MCs deviates from the conventional understanding derived from Hepokoski and Darcy's theory of MC. Building upon Schubert's nuanced MC treatment, Hyland (2023) attempts to refine Richards' MC concept as a process, illustrated in Figure 1.6.3/1.

Figure 1.6.3/1: Hyland's MC complex

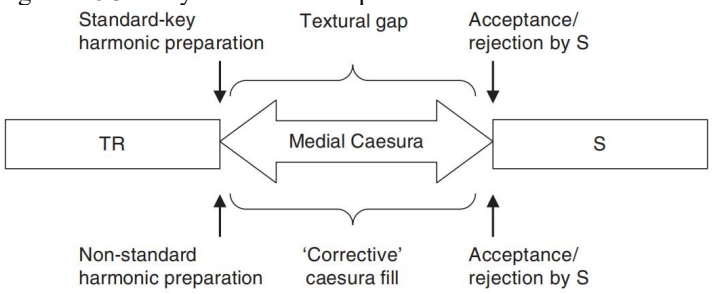
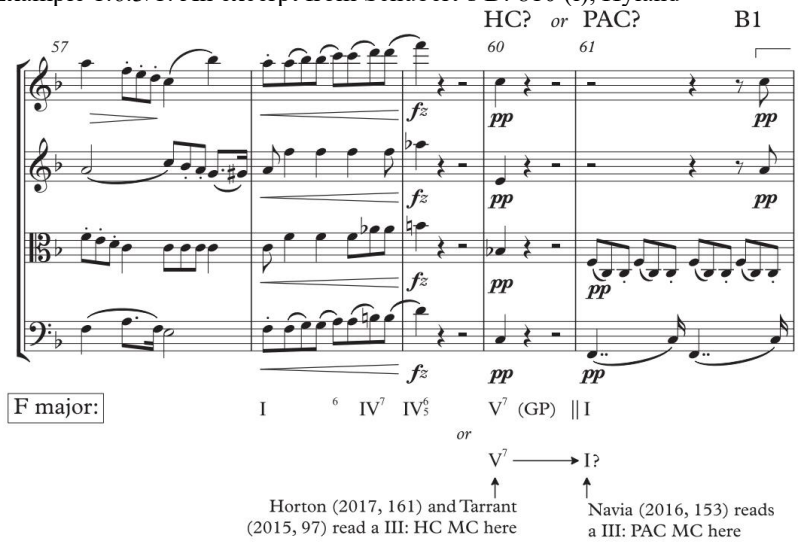


Figure 3.2 Available routes through the three stages of a complete MC Complex

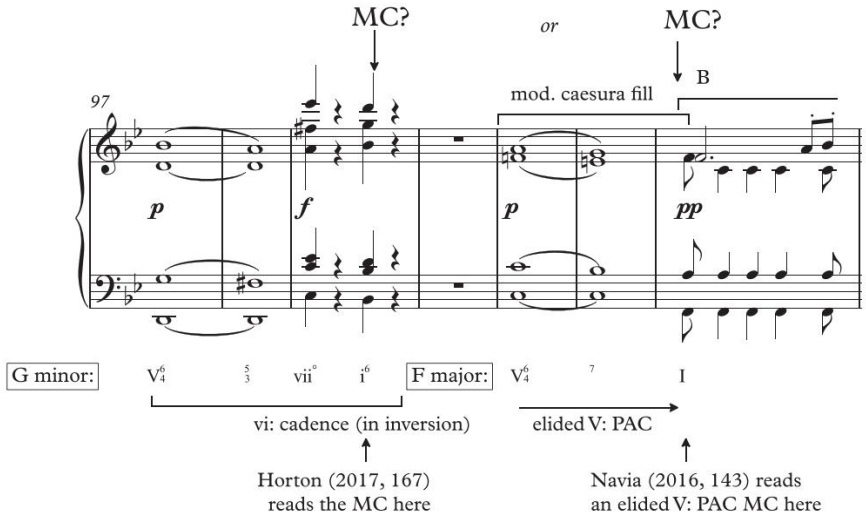
Figure 1.6.3/1 illustrates the various pathways through which the MC is expressed both in terms of cadence and texture, and how the S theme may choose to either accept or reject the proposed MC, whether normative or non-normative, based on these pathways. For instance, a non-standard harmonic preparation may be followed by a GP and still be accepted by the S theme, as seen in Beethoven's Op. 10, no. 2 (Example 1.5/1). Alternatively, it may be followed by a textural gap containing a 'corrective' CF, leading to the acceptance by S. Conversely, it is also possible to reject a proposed MC, regardless of whether the harmonic preparation is normative or non-normative. This array of potential scenarios within the three-stage MC framework is referred to by Hyland as the MC complex or MCC.

Example 1.6.3/1: An excerpt from Schubert's D. 810 (i), Hyland



Hyland's MCC proves valuable in harmonising disparate interpretations, particularly considering the contextual nuances surrounding the MC event, which have varying musical implications. For instance, in the first movement of Schubert's String Quartet in D minor, D. 810, divergent readings of TR's structural cadence emerge: Horton (2017) and Tarrant (2015) propose a III: HC MC in bar 60, while Navia (2016) suggests a III: PAC MC in bar 61, as exemplified in Example 1.6.3/1. The III: HC MC interpretation is supported by two key elements: first, the unresolved leading note (E) and seventh scale degree of C7 in terms of voice leading; and second, the subsequent transition from a V^7 chord, which functions akin to a Romantic HC according to Schmalfeldt, to a GP, followed by an S theme. In contrast, Navia's interpretation of V: PAC MC is substantiated by the 5-1 bass motion from dominant seventh to tonic, a consistent one-per-bar hypermeter between the predominant, dominant seventh, and tonic, and a gradual energy decline, characterised initially by a *pp* dynamic marking followed by the withdrawal of two voices. Furthermore, the silence in bar 60 does not signify the MC's textural break, as the preceding bar also contains three beats of silence, thus undermining the MC's 'caesural sense' (2023, p. 145). However, considering bar 61 is also problematic, as syntactically, Caplin would interpret it as a thematic introduction beginning with S's accompaniment figure. Likewise, Hepokoski and Darcy would interpret bar 61 as S^0, signifying 'a preparatory module that sets up… the "real" initial theme' (2006, p. 142). The determination of which interpretation holds greater validity depends on the analyst's contextual assessment. Nevertheless, these divergent readings find accommodation within Hyland's MCC, which delineates two distinct routes.

Example 1.6.3/2: An excerpt from Schubert's D. 112 (i), Hyland



A further illustration featuring a more intricate MC scenario is evident in the initial movement of Schubert's String Quartet in B-flat major, D112. In light of the contrasting viewpoints between Horton, who perceives the S section's design as a TMB, thus acknowledging two viable MCs (bb, 39-45 and bb. 97-103), and Navia, who identifies only one MC, I will highlight the MC situation in bars 97-103 (Example 1.6.3/2).

The MC event in bars 97-103 is read differently: Horton reads the i^6 chord in G minor as the MC's harmonic preparation, thus acknowledging the presence of the textural break, while Navia reads the elided V: PAC as the harmonic preparation, signifying the absence of the textural gap. Similar to D. 810, Hyland's MCC accommodates the two cadences. First, the music proposes a non-standard harmonic preparation that suggests the arrival of S in the submediant that is subsequently followed by a 1-bar GP. Instead of S directly accepting or rejecting the proposed MC, the 2-bar CF redirects the harmony towards the dominant with the same cadential 64 figure as bars 97-98, thus the CF serves as a 'corrective' CF. This redirection leads to an elided V: PAC. Hyland summarises the MC event spanning from bars 97 to 103 as 'a non-standard harmony [that] is redirected (in an MC fill) and ultimately refused by the B theme, which proceeds in the dominant' (2023, p. 146). This MCC overview implies that the two MC events lead to the same outcome, which is a rejection of a proposed MC despite the two evident MCs. This summary is entirely different to the reading in which two different outcomes are in play within the MCC: if the i6 chord in G minor is regarded as the proposed MC, then the S theme rejects the proposal by

having a ‘corrective’ CF so that the S theme can enters the dominant more seamlessly. Conversely, if the elided V: PAC is regarded as the harmonic preparation, then the S theme accepts the proposal, thereby resulting to a ‘double MC effect’.[19]

If the fundamental role of the MC, as an independent space, is to delineate the boundary between the end of TR and the beginning of S, then the elided PAC poses a challenge to the MC’s function owing to two interrelated reasons. First, the elision of TR’s structural cadence with the beginning of the S theme eliminates the rhetorical aspect of the MC, the gap. Second, PAC MCs present a conceptual challenge because, as underscored by Hepokoski and Darcy, the PAC in the new key inherently signifies the closure of S, namely the EEC (and ESC in the recapitulation). It can be argued that these two intertwined factors strongly suggest closure.

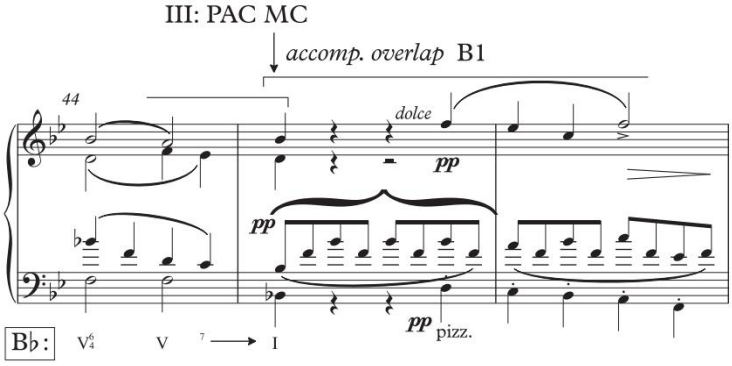
Hyland establishes the elided PAC MC case further by suggesting two formal consequences that arise from it. First, the elided authentic cadence weakens its sense of closure as it aligns with the beginning of S’s thematic material, which signifies a ‘beginning function rather than an ending function’ (2023, p. 148). Second, the elided authentic cadence becomes integrated into a forward-propelling continuation process, establishing a new key center for the S theme, rather than confirming the key at the end of a theme or section. While the elision of the PAC with the onset of S still implies an MC, albeit obscured owing to the absence of the gap, Hyland contends that in practice, it is ‘ultimately a linkage technique, flagrantly undermining the punctuation normally ascribed to the MC’ (2023, p. 148).

Hyland elucidates that Schubert’s approach to cadential elision undergoes a developmental shift over time, transitioning from ‘a subtle overlap of accompanimental material as a connective device’ to a more direct elision technique (2023, p. 148). However, it is important to highlight that her perspective on the introductory accompaniment of S differs from that of Richards. This contrasting view is evident in her analysis of Schubert’s MC treatment in D. 173, where she suggests that the III: PAC MC is elided with S’s accompaniment, implying the absence of a textural gap (Example 1.6.3/3). Presumably, she acknowledges the presence of a textural gap where the GP is displaced, occurring alongside S’s introductory accompaniment. While the elided III: PAC MC suggests a continuation process from the end of TR to the beginning of S, with no discernible gap, the thematic material in

[19] The term is used by Hyland (2023)

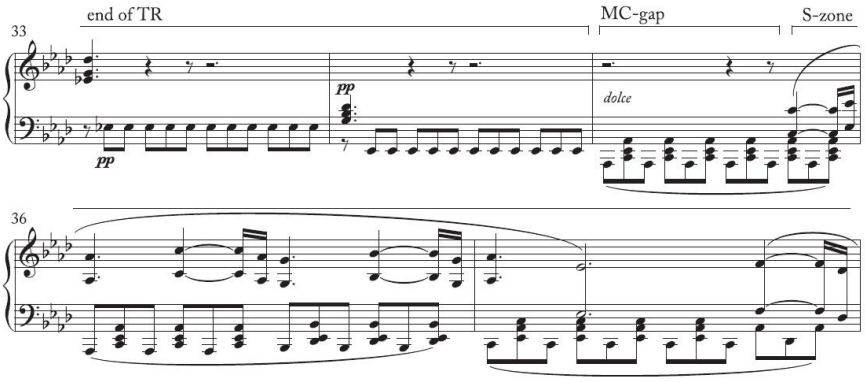
D. 173 enters three beats after the elision, creating a listening experiential gap despite being within the S section.

Example 1.6.3/3: An excerpt from Schubert's D. 173 (i), Hyland



In contrast, Richards opines that the entrance of the thematic material marks the start of S proper, notwithstanding the preceding occurrence of the introductory accompaniment of S. For instance, in the first movement of Beethoven's *Appassionata*, Richards identifies two hammer-blow chords in bars 33-34, with the second chord descending an octave, a characteristic hammer-blow gesture (Example 1.6.3/4). While he does not explicitly confirm whether the ending harmony of TR constitutes an elided III: PAC, a nineteenth-century HC, or a dominant arrival due to the seventh scale degree on the dominant chord, he identifies the S's introductory accompaniment in bar 35 as the the upbeat to S (2013, footnote 28). Despite his attempt in aligning with the perspective of Hepokoski and Darcy (1997), who assert that the gap can be filled with S's pickup, the accompaniment figure of S cannot be regarded as the S's pickup. Hepokoski and Darcy do not consider S^0 as a textural gap, as evident in their analysis of Beethoven's 'Eroica' Symphony (i), where they identify bars 46-57 as S^0 and do not consider them to occur within MC space. Therefore, the introductory accompaniment of the *Appassionata* cannot be regarded as 'a kind of anacrustic gesture to S' or 'a type of caesura-fill' occupying the MC gap (1997, p. 127). Consequently, bar 33 could serve as the MC. Alternatively, if one agrees with Richards's observation of two hammer-blow chords, one could interpret a flush-juxtaposed III: HC MC instead.

Example 1.6.3/4: An excerpt from Beethoven's Op. 57 (i), Richards

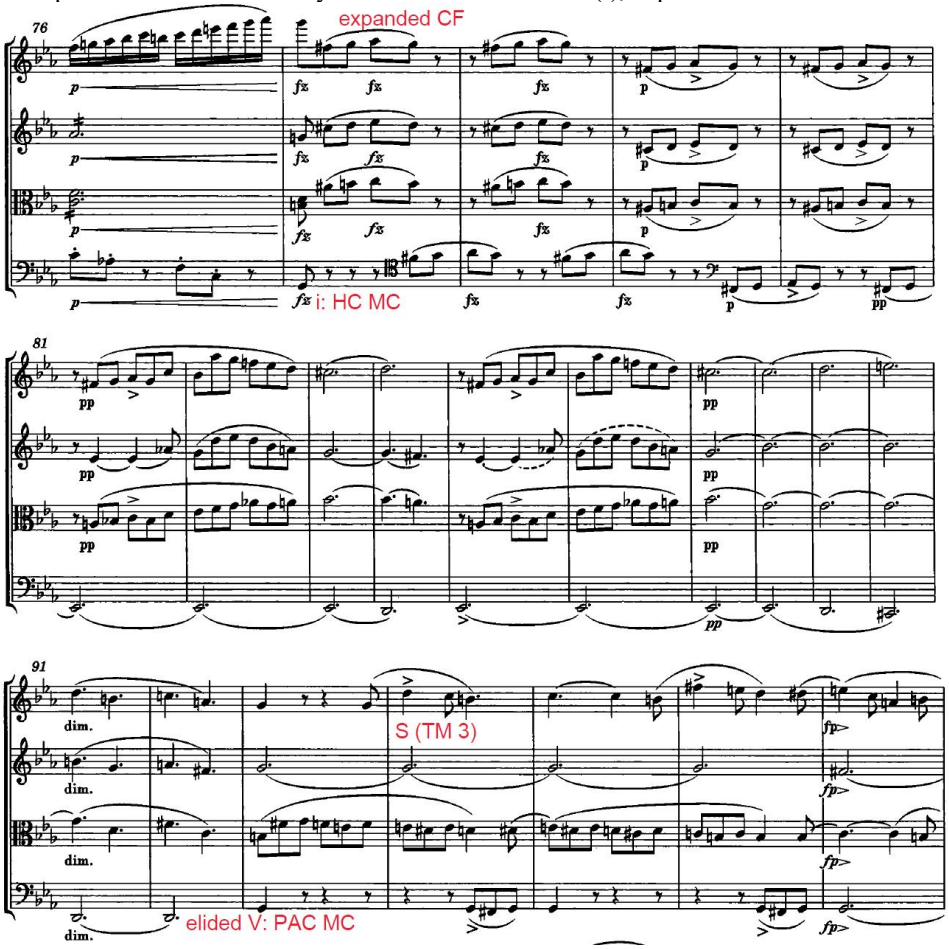


Hyland's examination of Schubert's MC treatment culminates in the analysis of the first movement of the *Quartettsatz*, D. 703, which diverges from Navia's interpretation. Initially, both theorists concur that the exposition's design adheres to a TMB framework, where the first MC manifests as a deformational elided VI: PAC MC in bar 27. In terms of narrative trajectory, the TR spanning bars 13-27 lacks a typical TR activity, as there is an absence of energy accumulation, consequently failing to establish a normative MC. Instead, the elided VI: PAC functions as both the structural closure of TR and the beginning of TM1 simultaneously. This 'defective' TR necessitates the adoption of a TMB design, wherein another transitional activity (TM2) is imperative to rectify the prior 'rhetorically failed' TR and to secure a more normative cadence and MC proposal conducive to a satisfactory S. In essence, TM2 and the second MC can be interpreted as serving a 'corrective' function vis-à-vis the initial TR and the first MC.

The discrepancy between the two interpretations primarily revolves around the second MC. Hyland contends that the V: PAC in bar 93 should be construed as an elided V: PAC MC, indicating the absence of a discernible gap. Conversely, Navia identifies a i: HC in bar 77, followed by an expanded CF filling the gap from bar 77 to 93, culminating in V: PAC at bar 93 (Example 1.6.3/5). Navia's approach to perceiving the MC space in bars 77-93 carries weight, bolstered by a shift in texture that slows down the semiquaver runs of TM2 in bars 61-77, despite the texture remains dense. This deceleration facilitates the dissipation of energy, supported by the *pianissimo* dynamic. I contend that Navia's interpretation holds greater persuasiveness, particularly as it exemplifies Hyland's MCC concept, wherein the MC situation encompasses a 'double MC effect'. Following the path of the i: HC suggests a normative harmonic preparation, an evident expanded textural gap, and the acceptance of the proposed i: HC MC by the S theme. On the other path, the elided V:

PAC implies an obscured harmonic preparation (as previously noted regarding the conceptual issue of PAC MCs), an absent gap, and the S theme's acceptance of the proposed V: PAC MC.

Example 1.6.3/5: Navia's analysis of Schubert's D. 703 (i), expanded CF



An alternative interpretation of this MCC situation involves viewing the expanded CF as assuming a corrective function. Unlike the conventional understanding of corrective actions, which typically involve redirecting from an unconventional key to a more normative one (like a dominant) for the S theme, here the corrective role pertains to redirecting from one proposed MC to another. In the context of D. 703, the i: HC MC, typically positioned as the first MC in a TMB design, is redirected by the expanded CF so that the elided V: PAC MC serves as the proposed MC instead.

1.7: Incomplete MCs Understood Form-Functionally

Caplin's perspective of the MC differs from that of Hepokoski and Darcy, as he suggests that the MC is not necessarily a prerequisite for the commencement of an S theme. Rather, Caplin's form functional theory suggests that musical forms are shaped by a combination of interthematic functions and a blend of intrathematic functions within each interthematic function. Clear thematic identities, such as the S theme, are defined by their initiating, medial, and concluding functions.

While Caplin does not attribute a structural role to the MC, he acknowledges that the boundary between the TR and the S theme can be discerned clearly. This clarity is facilitated by the presence of form-functional cues comprising an HC and a standing on V in S theme's key, and the following newly composed S theme characterised by different rhythm and texture. Notably, these form-functional cues are congruent with Richards' three-stage MC concept.

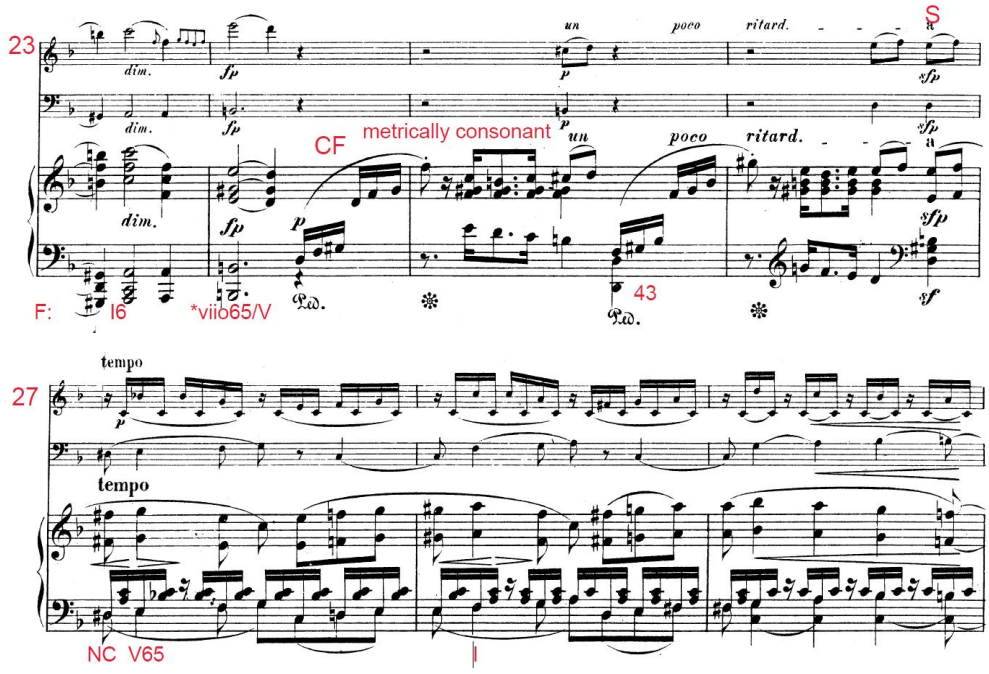
Caplin's recognition that the delineation between the end of TR and the beginning of S can be obscured reinforces the resemblance to Richards' three-stage MC concept. He outlines three scenarios where this boundary can be obscured: 1) the TR does not conclude with a cadence or even a dominant arrival, 2) the S theme lacks an initiating function and instead begins with either a continuation function, a cadential function, or a standing on V; 3) the TR merges with the S theme, where the TR closes with a PAC in the S theme's key. This situation results in what Caplin terms a 'transition/subordinate-theme fusion' (Hepokoski and Darcy consider this situation as a continuous exposition). Further elaboration is presented in Chapter 1.9.

My aim is not to reconcile the two contrasting theoretical frameworks, as the divergence between them is apparent in *Musical Form, Forms & Formenlehre*. Instead, I use Caplin's form-functional theory as a complementary analytical tool alongside Hepokoski and Darcy's Sonata Theory, with a focus on MC treatment. Specifically, I find value in Caplin's the first scenario of obscured boundary between TR and S. While Hepokoski and Darcy find this scenario as highly deformational and infrequent, mentioning it only briefly, it is noteworthy that this situation is observed in some of Hiller's works selected for this project as a corpus study. This scenario ultimately lays the groundwork for my theoretical MC concept, which I term as 'dissonant MC'.

1.8: Dissonant MCs

My theory of dissonant MC begins from Caplin's proposition that the TR can lack a concluding function, cadence or dominant arrival, thus implying that an S theme may enter before the TR has officially concluded. This idea contradicts Hepokoski and Darcy's assertion that an S theme cannot exist without an MC. However, in the subsection of Chapter 3 of Sonata Theory titled 'troubleshooting MC identifications', Hepokoski and Darcy acknowledge the possibility of confronting unusual situations where the norm is overridden. In this case, analysts are encouraged to 'propose an explanation for why the composer chose such options', as 'unequivocal S-themes lacking a preceding MC are very rare' (2006, p. 48-49). Richards utilises this specific troubleshooting scenario as a starting point to establish an MC comprising three distinct stages, as discussed previously in Chapter 1.2.2. His MC concept leads to the argument that even when the TR lacks a cadence or dominant arrival, the MC remains perceptible, although the harmonic preparation and the textural gap are obscured. He terms this MC event an incomplete MC of the 'interrupted' type (2013, 178).

Example 1.8/1: Schumann's Op. 63 (i), MC

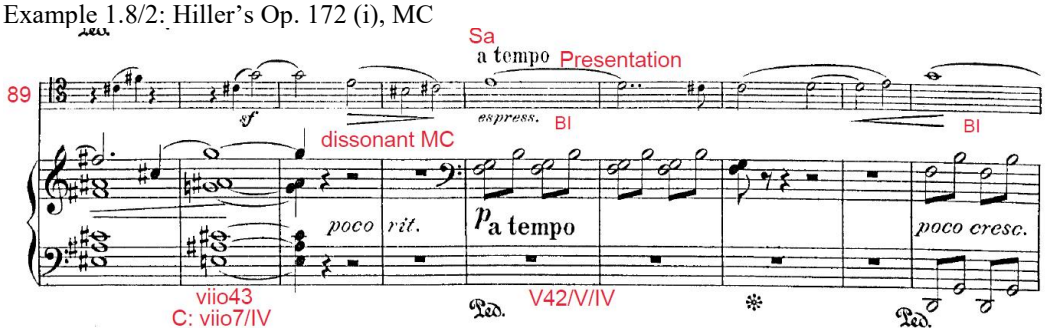


In Richards's (2013) study on Beethoven's stylistic transformation, he does not provide a concrete example of the 'interrupted' type MC. However, both the first movements of Schumann's Piano Trio in D minor, Op. 63 and Hiller's Cello Sonata in A minor, Op. 172, feature an MC situation that closely resembles Richards's

'interrupted' type MC. As illustrated in Examples 1.8/1 and 1.8/2, both TRs culminate in a diminished seventh chord, which is subsequently followed by a textural gap preceding the S theme's entrance. The presence of the textural gap is what makes these MCs differ from Richards's interrupted type MC.

In Richards's depiction, it remains ambiguous whether the S theme interrupts TR by maintaining its texture, harmony, or both. Furthermore, it is also unclear if the interrupted MC aligns with Caplin's idea, wherein TR lacks a concluding function and S enters with an initiating function. However, as observed in Examples 1.8/1 and 1.8/2, the interruption pertains to TR's unfinished role in achieving a cadence. From a form-functional perspective, the TR indeed lacks a concluding function, and the S theme enters with an initiating function. Nevertheless, the presence of a gap functioning as an MC, signifies TR's ending in an interthematic context.

Example 1.8/2: Hiller's Op. 172 (i), MC



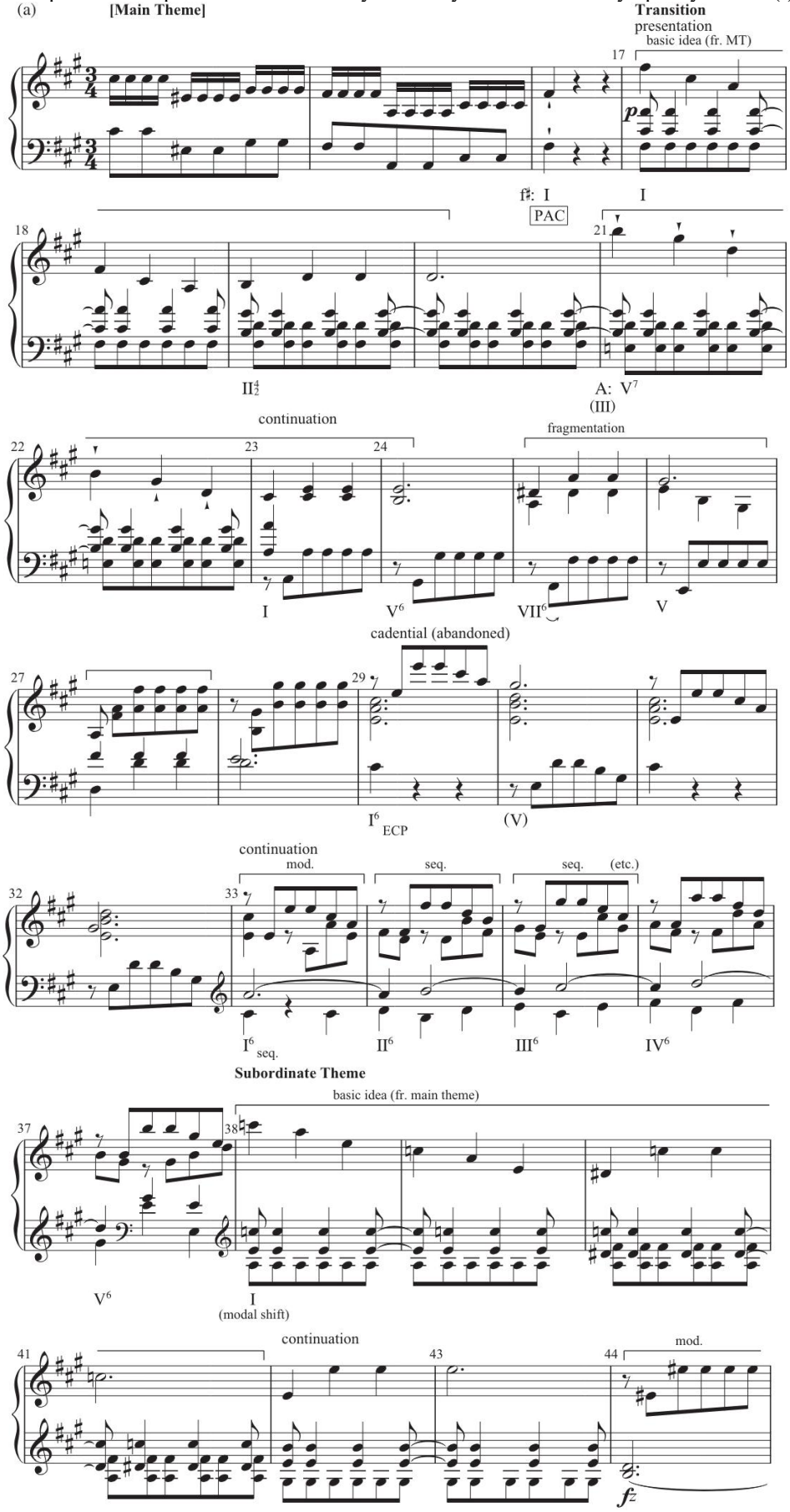
The MC situations in Op. 63 and Op. 172 exemplify how a diminished seventh chord can serve as a launchpad for an S theme. Arguably, the MC can be experienced similarly to, if not the same as, the more clearly articulated MC, where an HC is present, a gap contains a GP or a single-line CF, and an S theme enters on the root tonic of the new key. Consequently, two adjustments to Hepokoski and Darcy's MC concept can be proposed: 1) the MC is no longer tied to any cadence, thereby evolving the MC into a true caesura driven solely by rhetorical considerations, and 2) the notion of accepting and declining a proposed MC becomes irrelevant. What remains is to propose an explanation for why Schumann and Hiller chose this option, which will be further discussed in Chapters 3 and 4.

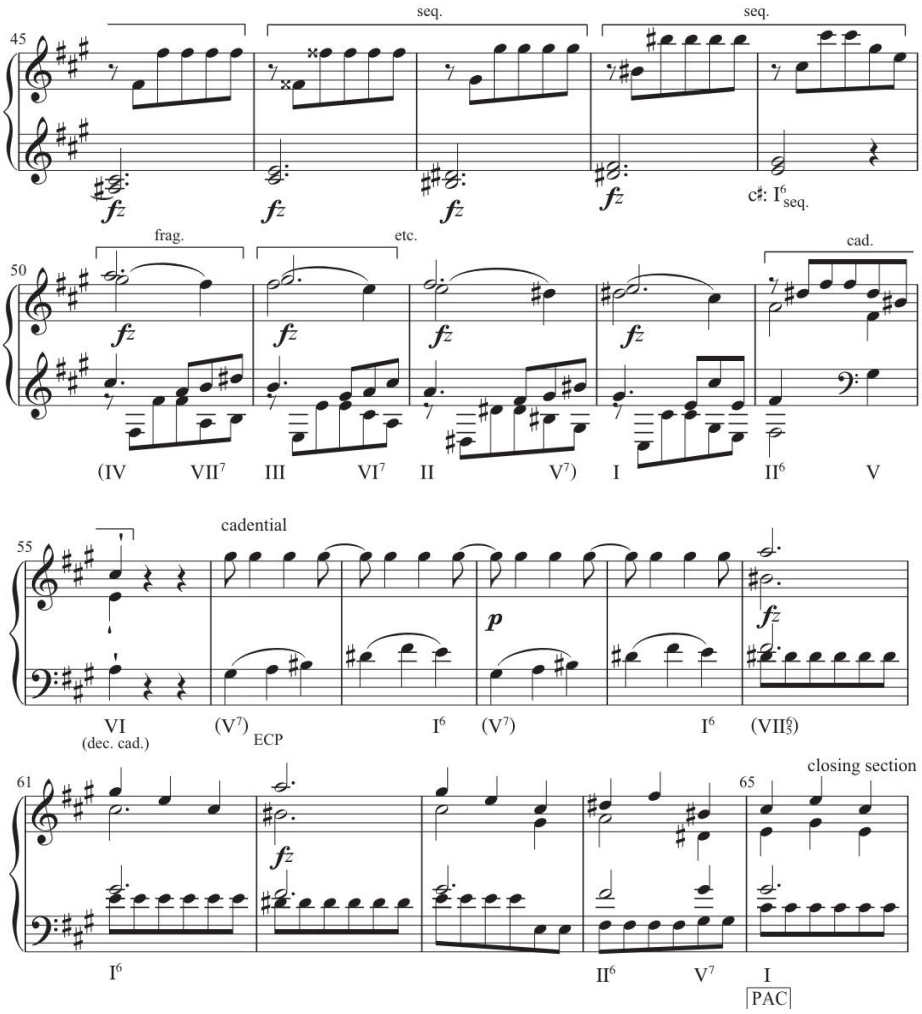
1.9: Sonata Theory Understood Form-Functionally

As previously discussed, one of the conceptual distinctions between Sonata Theory and form-functional theory lies in the significance of rhetorical features. In Sonata Theory, rhetorical elements play a central role, as evidenced by the concept of MC and its relation to the S theme's existence and the exposition's type. Here, parameters such as texture and dynamic are deemed as crucial as cadences. In contrast, form-functional theory places less emphasis on rhetorical features as Caplin focuses more on the taxonomy of syntax, wherein a theme is determined based on the concatenation of intrathematic functions that forms an inter-thematic function. However, I argue that the analytical disparity arising from using these two theoretical frameworks stems not only from the aforementioned difference, but also from their differing perception of an S theme, evident in the Caplin and Martin's article titled 'The "Continuous Exposition" and The Concept of Subordinate Theme' (2015).

Caplin and Martin delineate three categories of blurred TR-S boundary. The first category involves a TR lacking a cadence or a dominant arrival, yet the S theme enters with a clear initiating function. For instance, in the first movement of Haydn's 'Farewell' Symphony No. 45 in F-sharp Minor, Caplin and Martin identify a P-based S theme beginning in bar 38 (Example 1.9/1). Although TR is also P-based (bb. 17-37), their decision to see an S theme is based on a new grouping structure introduced with a root tonic prolongation, capable of 'express(ing) the functional initiation of a new thematic process' (Caplin & Martin, 2015, p. 16). Harmonically, there is a modal shift to A minor in bar 38, despite the A major that was introduced in TR. However, this key does not turn out to be the real S-theme key, as in bar 44, a sequential progression leads to C-sharp minor as the S theme's key, as evidenced by the confirmation with a PAC in bar 65 as the S theme's closure. Contrasting Caplin and Martin, Hepokoski and Darcy see a potential TR's cadence in A major initiated in bar 29, starting with I6. However this cadential progression is abandoned due to a sequential progression following the V^7 chord, eventually collapsing to A minor in bar 38. They view this point as 'lacking any preceding MC-effect', thereby exhibiting a continuous exposition (2006, p. 316).

Example 1.9/1: Caplin and Martin's analysis of Haydn's 'Farewell' Symphony No. 45 (i)

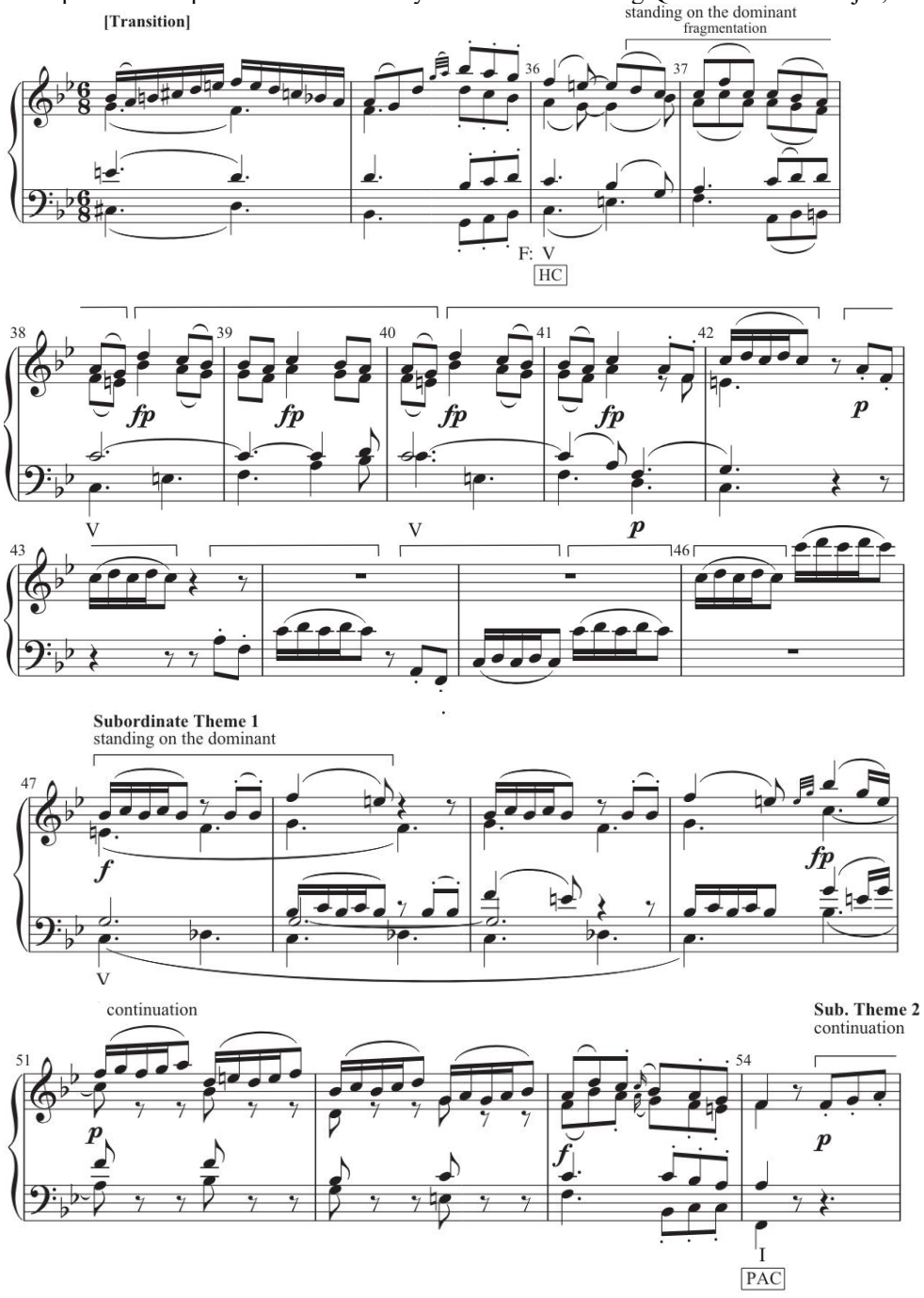


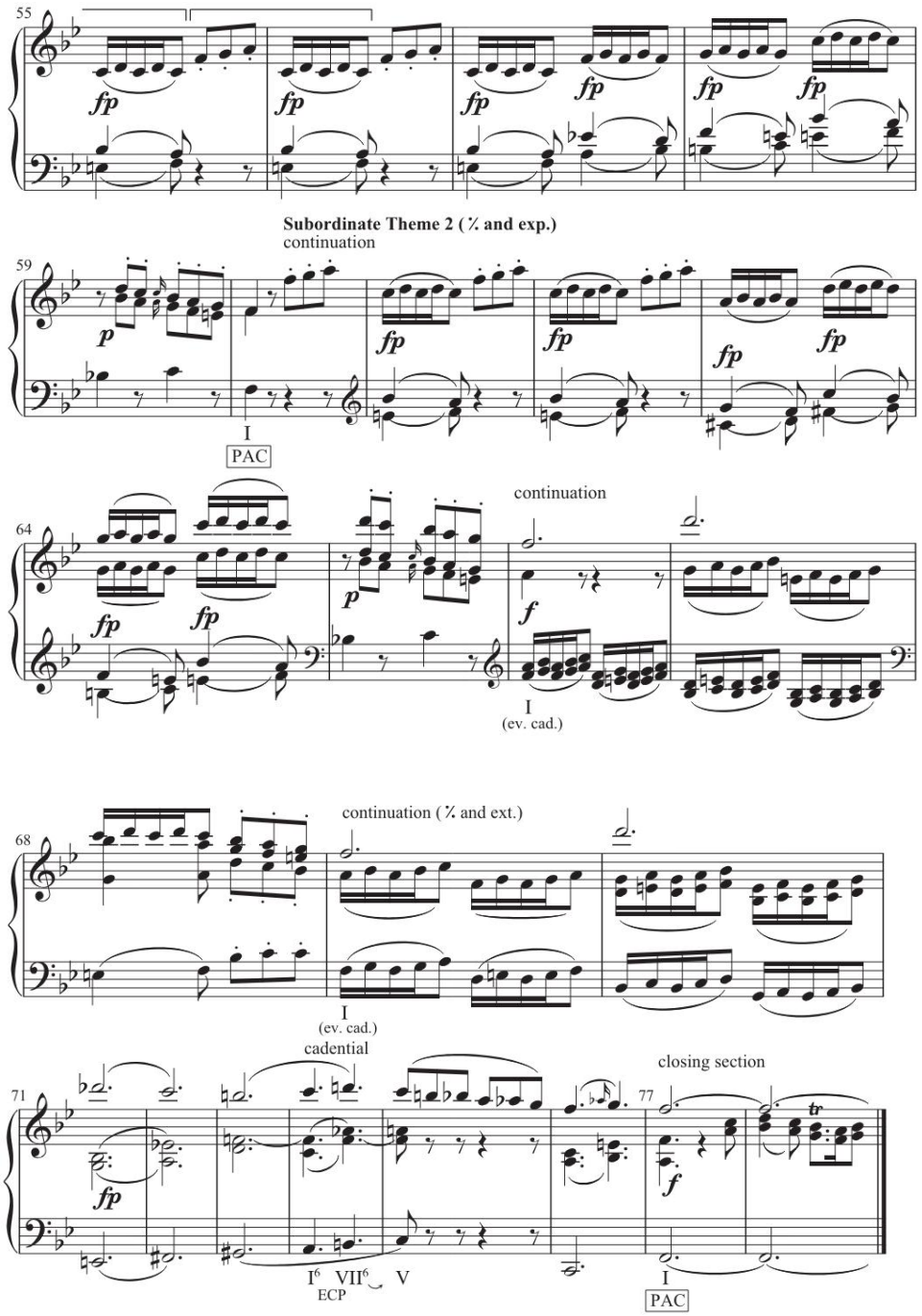


The second category involves a TR closed by a cadence, but the S theme follows without an initiating function, exemplified by the first movement of Mozart's String Quartet 'The Hunt' in B-flat Major, K. 458 (Example 1.9/2). They see the V: HC in bar 36 and its subsequent standing on V as closing TR. Following this passage is a presentation phrase, evident by a 2-bar basic idea (motivically based on a CF figure in bar 42) that is repeated over a dominant pedal. However, they assert that it is 'better understood not as a standard initiating function… but rather as a second standing on the dominant, which belongs to the subordinate theme' (2015, p. 18). Following a V: PAC in bar 54 is the S theme's second module which is looser than the first module, beginning with a continuation function that eventually leads to achieving a final V: PAC in bar 77. Hepokoski and Darcy also identify the V: HC and the standing on V, and they also perceive the textural gap in bars 42-46 as the potential MC space. However, this potential MC 'erodes away with motivic repetition… and the music gives the impression of changing its mind, unfreezing the dominant-lock, and plunging… toward an early V: PAC in m. 54'. (2006, p. 61). They

do not regard the passage following the V: PAC as the S theme as it contains varied repetitions of a cadential progression in bars 50-54. Therefore, they see this exposition as a continuous exposition.

Example 1.9/2: Caplin and Martin's analysis of Mozart's String Quartet in B-flat major, K. 458 (i)

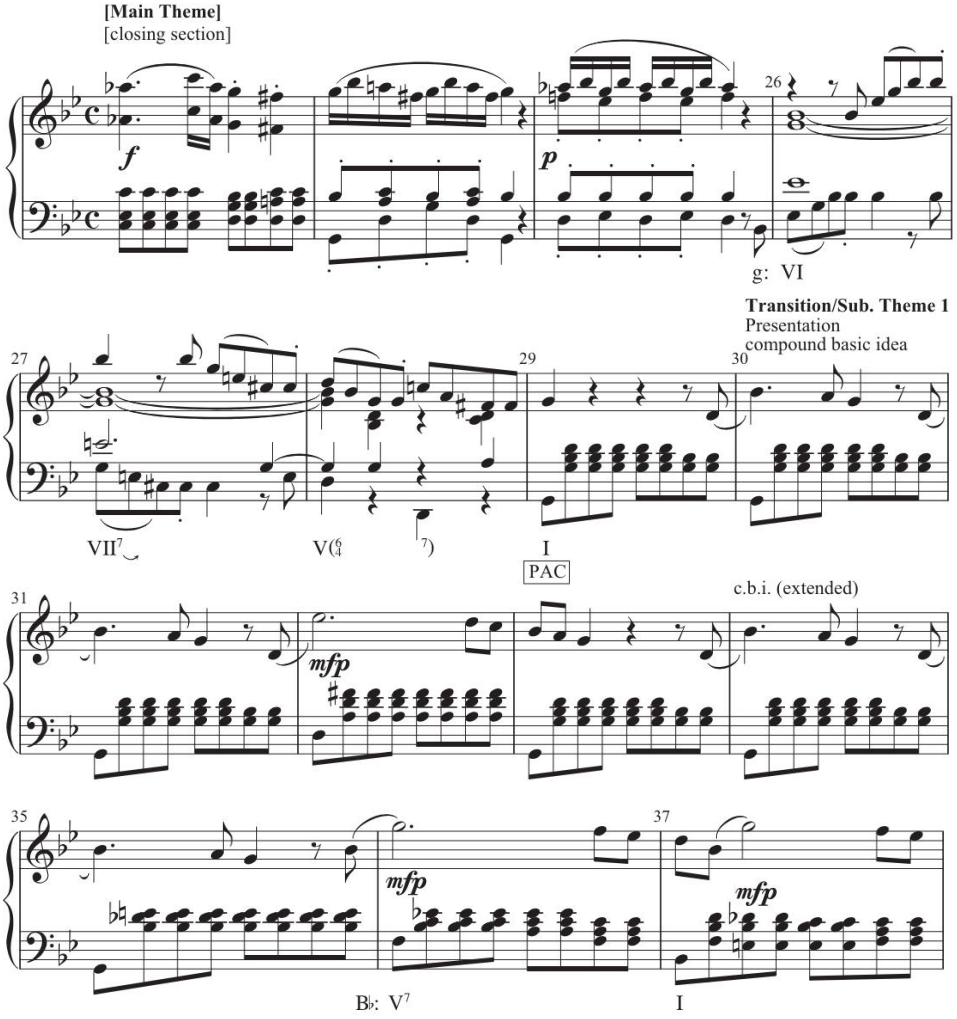


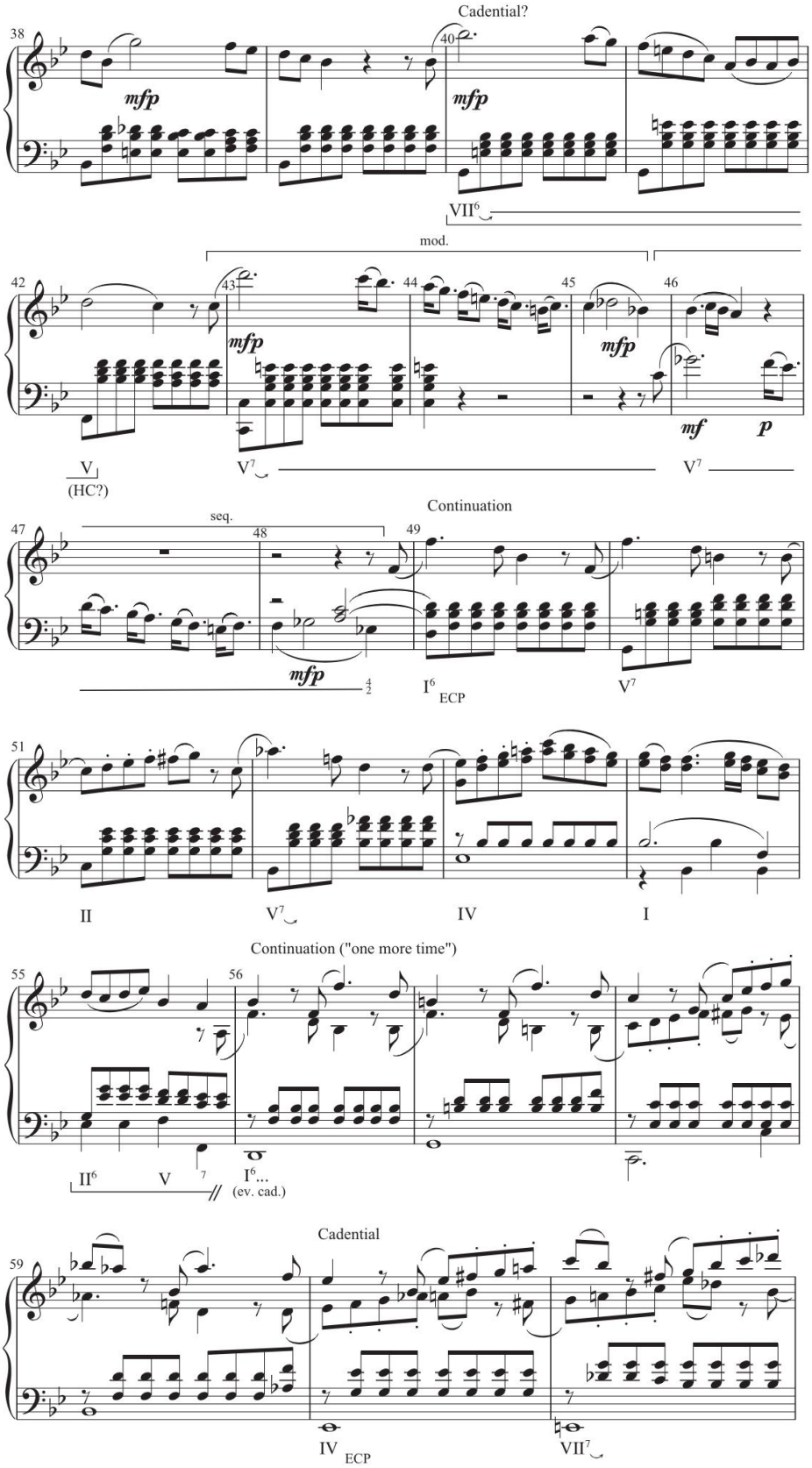


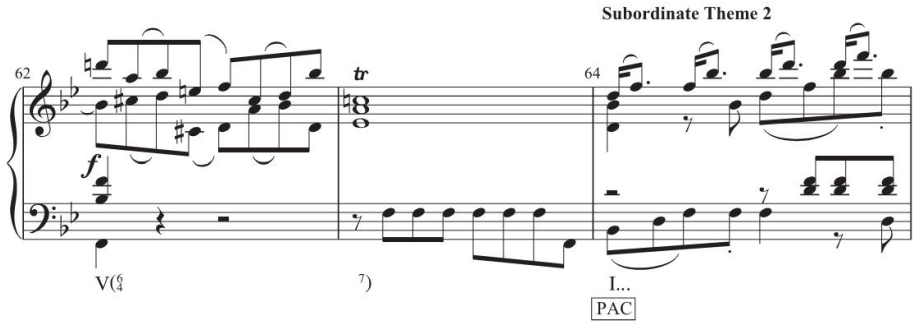
The third category exemplifies a more extreme case where TR lacks an ending and the S theme lacks an initiating function, effectively fusing both interthematic functions. In the first movement of Mozart's String Quintet in G minor, K. 516, Caplin and Martin identify the beginning of TR in bar 30 (Example 1.9/3). Syntactically, they identify a presentation phrase initiated by a four-bar compound basic idea (c.b.i) and its extended repetition, which modulates to B-flat major. According to Caplin and Martin, bars 40-42 suggest a cadential function articulating III: HC, potentially concluding TR. However, this HC, potentially functioning as an

ending, is undermined by two aspects: 1) the accompaniment persists beyond the potential HC, and 2) the cadential phrase is unable to balance the extended presentation phrase. Subsequently, the cadential phrase is repeated, albeit not exactly, and treated sequentially (bb. 43-48), thereby overwriting the HC as TR's closure. The following passage spanning from bar 49 to bar 64 is perceived by Caplin and Martin as an S theme (motivically derived from bar 30) comprising two continuation functions and a cadential function. Considering the entirety of bars 30-64, they interpret this passage as a 'transition/subordinate-theme fusion', wherein bars 43-48 serves to bridge TR's absence of closure to S's medial function. This interthematic fusion also suggests the need for S2 (b. 64) as a counterbalance.

Example 1.9/3: Caplin and Martin's analysis of Mozart's String Quintet in G minor, K516 (i)




Cadential?
38
40
mfp
mfp
VII6
mod.
42
43
44
45
46
mfp
mfp
mf
p
V
(HC?)
V7
V7
Continuation
seq.
47
48
49
mfp
4/2
I6
ECP
V7
51
II
V7
IV
I
Continuation ("one more time")
55
56
II6
V
7
I6...
(ev. cad.)
Cadential
59
IV
ECP
VII7



Unlike the previous categories, Hepokoski and Darcy interpret this exposition as two-part. The formal interpretation also diverges greatly from Caplin and Martin. They identify the onset of TR as early as bar 9, which they read as a dissolving-consequent type TR. This TR leads to a fourth-level default i: PAC MC at bar 29, which they describe as ‘one of the bleakest MCs’ in their repertory (2006, p. 29). Subsequently, they observe an S theme commencing in bar 30, which successfully navigates away from G minor in bars 36-37.

From these three examples, it becomes evident that Hepokoski and Darcy generally do not acknowledge an S theme if its motifs are derived from TR. Nonetheless, when they designate an S theme, it has an initiating function. However, this conjecture is not devoid of limitations, notably highlighted by their analysis of K. 516, which acknowledges an S theme briefly remaining in tonic, as well as the constrained number of comparable samples examined by both Caplin and Hepokoski and Darcy. Conversely, Caplin’s observations regarding S themes, which are loosely organised, implies that it suffices for an S theme to encompass both continuation and cadential functions. However, identiying an S theme in this manner presents a distinct drawback. The TR, an interthematic medial function, can begin with a continuation function, exhibiting syntactic looseness. If the S theme also lacks an initiating function to express syntactic looseness, it becomes indistinguishable from the TR in terms of phrase structure. Therefore, identifying an S theme becomes heavily dependent on the tonal context, which can be unreliable when dealing with a tonally adventurous S theme.

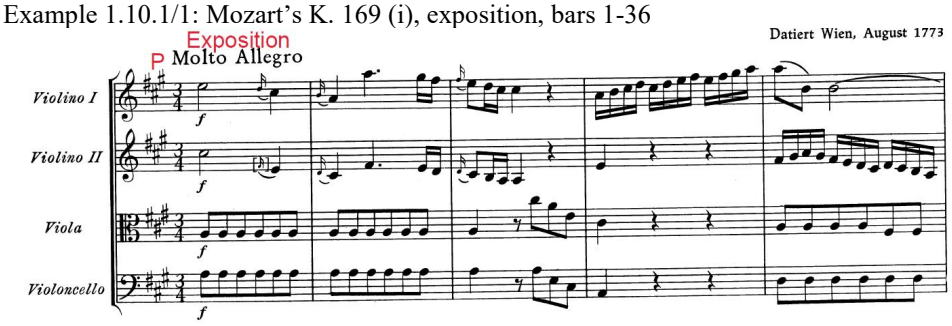
1.10: MC within Abbreviated Expositions

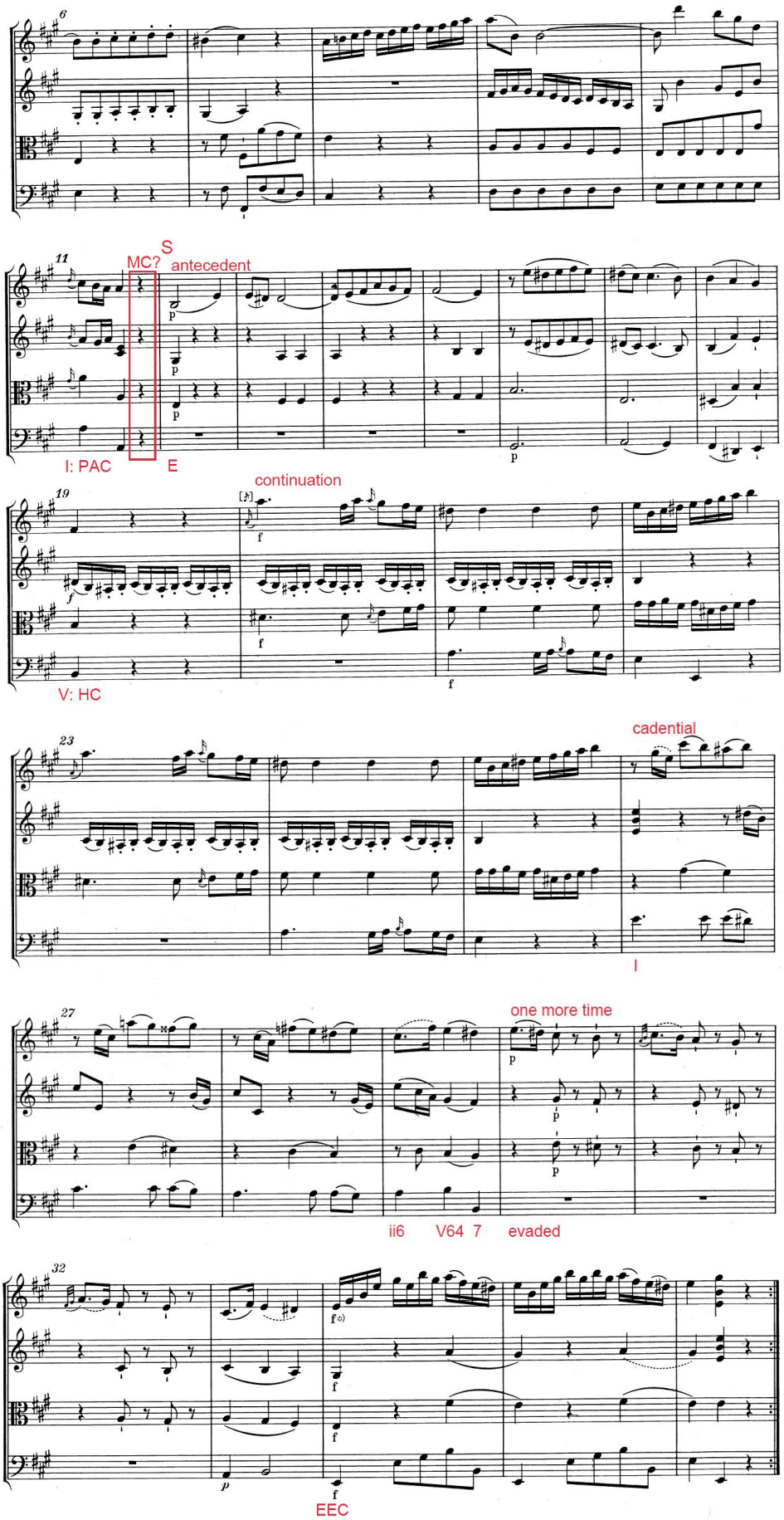
1.10.1: Double Duty MC? Revisiting Mozart's K.169

As previously discussed in Chapter 1.1, the presence of TR is necessary for the manifestation of an MC, as it provides energy required to articulate the MC to open the S space. However, Hepokoski and Darcy's identification of an MC in an abbreviated exposition where TR is absent, such as Mozart's K.169, challenges the MC narrative. They argue that assorted means to accumulate energy includes 'a more rapid surface rhythm, an accelerated harmonic rhythm, a higher dynamic level, a more active accompaniment pattern, chromaticism, and so on' (1997, p. 122). Since it is common to have an energetic P theme as opposed to a calm S theme in eighteenth-century sonata forms, their MC identification in Mozart's K. 169 (i) implies that TR's traits in the P theme can articulate the MC. Nevertheless, I contest the idea that the I: PAC can also function as the MC chord, as the PAC here serves to close P section.

It is inappropriate to consider the subsequent section as TR, owing to the clear phrase structure and the fact that no TR directly begins in the S theme's key. Upon examining bars 12-19 independently, the S theme's phrase structure forms an antecedent concluding with a V: HC, followed by a textural gap that does not qualify as the MC (Example 1.10.1/1). The ensuing passage exhibits a sudden surge in rhythmic activity and a shift to *forte* dynamic, rhetorical features associated with TR. Additionally, upon isolating bars 20-34, I discern a continuation phrase (bb. 20-25) and a cadential phrase (bb. 26-34). The former is characterised by shorter grouping (from 4-bar to 3-bar unit) and increased rhythmic activity, while the latter features an extended cadential progression containing a descending first-inversion chord progression between I and ii^6, and a one-more-time technique. Taken together, bars 12-34 constitute a hybrid S theme (antecedent + continuation) with an MC-effect (b. 19).

Example 1.10.1/1: Mozart's K. 169 (i), exposition, bars 1-36

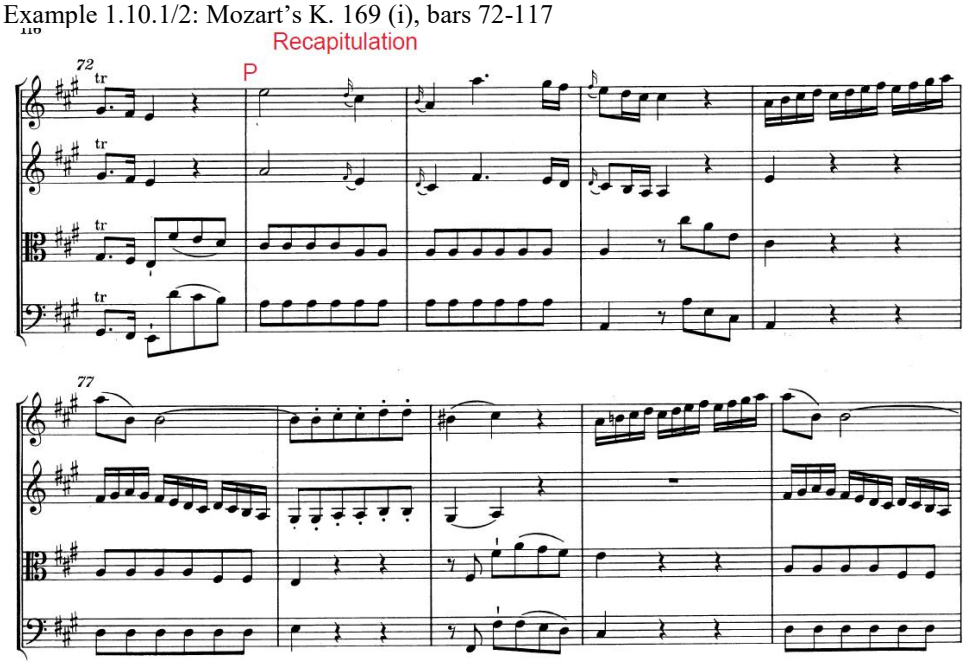


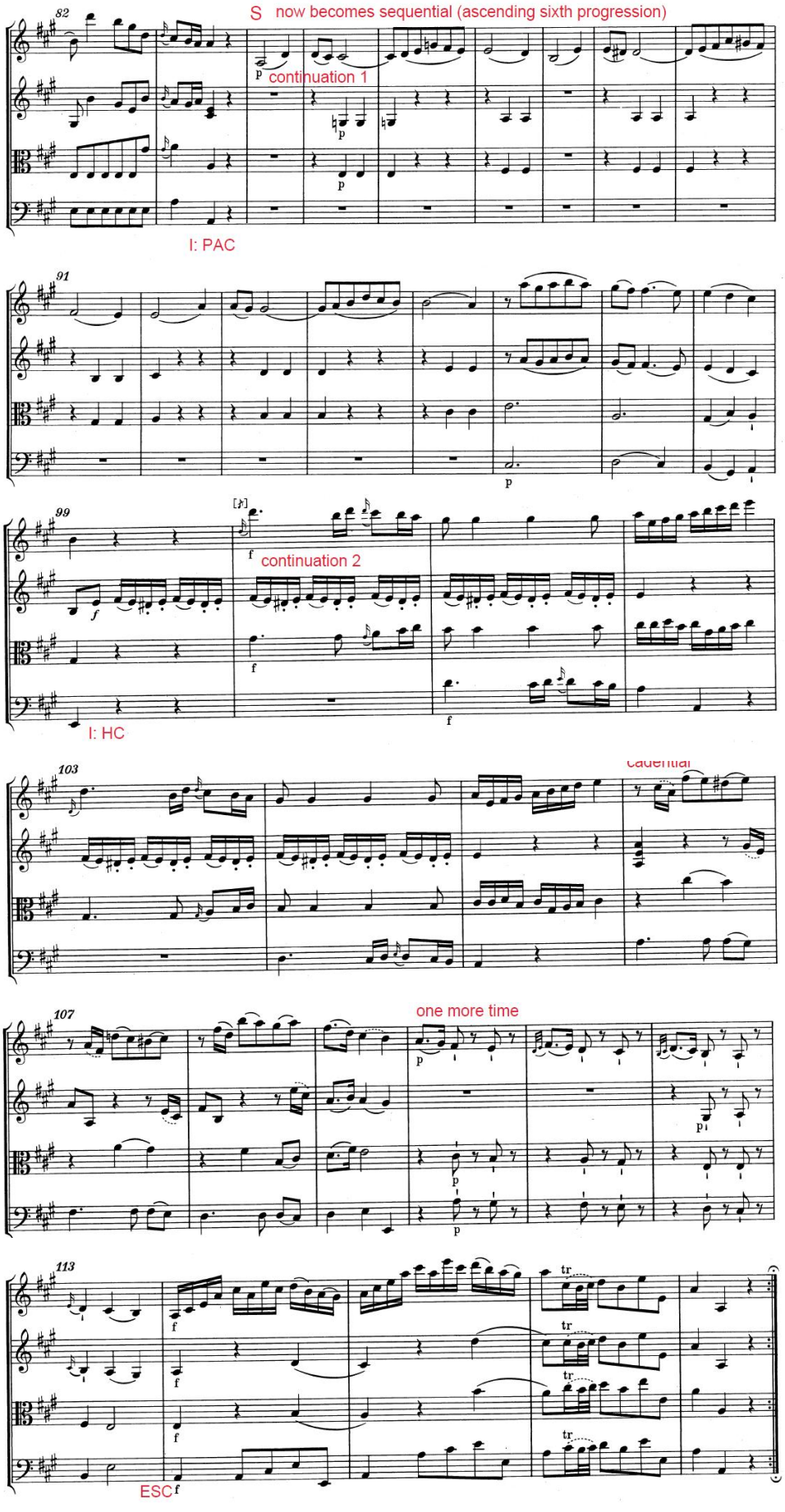

6
11
S
MC?
antecedent
I: PAC
E
19
continuation
V: HC
23
cadential
I
27
one more time
ii6
V64 7
evaded
32
EEC

In the recapitulation, the S-ness of the S theme at bar 84 is undermined by treating the initial antecedent phrase as a model-sequence typical of a continuation function (Example 1.10.1/2). One might argue that bars 84-99 are interpreted as a continuation (bb. 84-95) followed by a cadential phrase (bb. 96-99). This syntactic looseness, as opposed to the exposition, hints that bars 84-99 lean towards TR. Consequently, since the I: HC does not close an antecedent, it could function as an MC. However, I do not perceive the idea that S => TR in this situation as form-functionally correct; Caplin allows the S theme to begin with a medial function as an expression of syntactic looseness. Moreover, despite the ascending sixth progression underlying the sequential phrase, harmonically, it remains diatonic. Rather, I interpret the looseness of the S theme in the recapitulation as a compensation for its lack of looseness in the exposition. Therefore, I cannot identify any MC in the recapitulation either.

The exposition design, in which P is juxtaposed with S, anticipates Bruckner's exposition designs in his symphonies. This design has been recently examined by Sun Bin Kim (2024) through a form-functional approach, challenging the role and concept of the MC by identifying a paratactic three-theme exposition.

Example 1.10.1/2: Mozart's K. 169 (i), bars 72-117

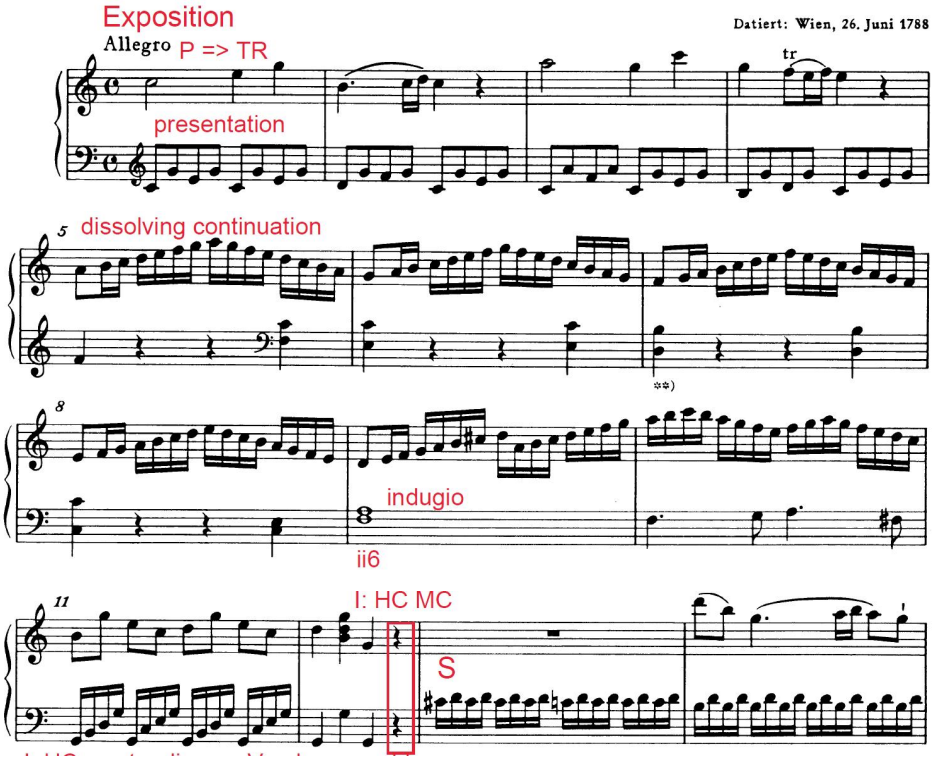



82
S now becomes sequential (ascending sixth progression)
continuation 1
I: PAC
91
99
continuation 2
I: HC
103
cadential
107
one more time
113
ESC

1.10.2: MCs in P => TR

A similar design to abbreviated expositions with an omitted TR can be observed in the first movement of Mozart's K. 545 (Example 1.10.2/1). This S section clearly initiates with a vamp in bar 13. Initially, one might perceive the preceding passage as an open-ended P theme, given that only a single cadence is present: the I: HC in bar 11. Analysing the P theme, bars 1-4 constitute a presentation with a compound basic idea; bars 5-10 constitute a continuation, marked by rhythmic verve; and bars 11-12 are discerned as a codetta. Hepokoski and Darcy read the P theme's structure differently. They perceive bars 5-10 as a dissolving continuation, implying that P => TR. Rhetorically, it is reinforced with a triple-hammer-blow gesture and a gap constituting the MC.

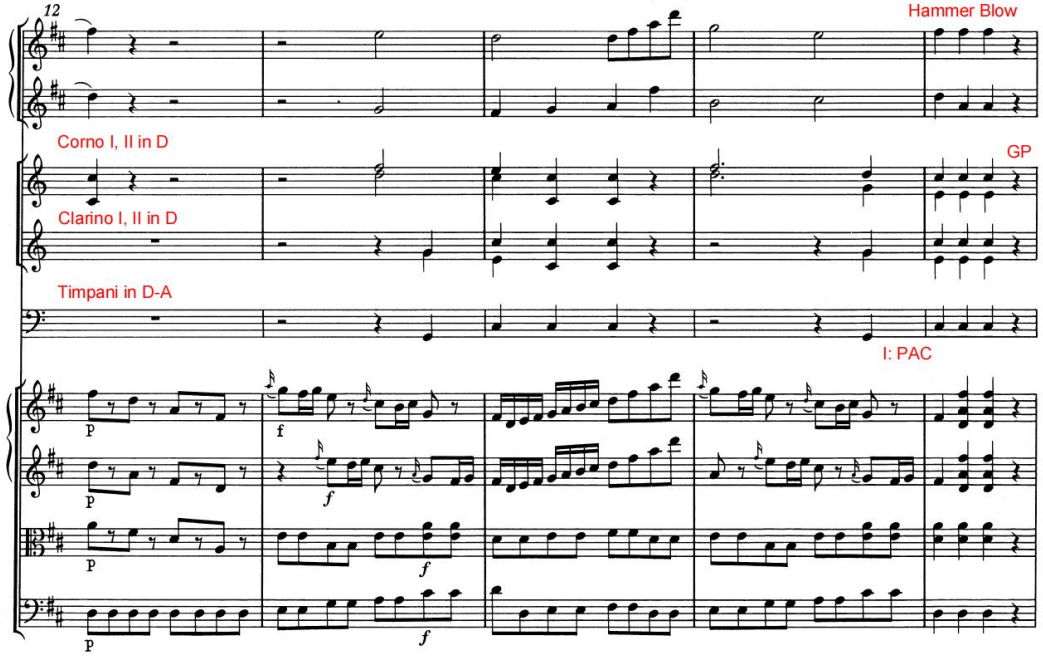
Example 1.10.2/1: Mozart's K. 545 (i) P => TR



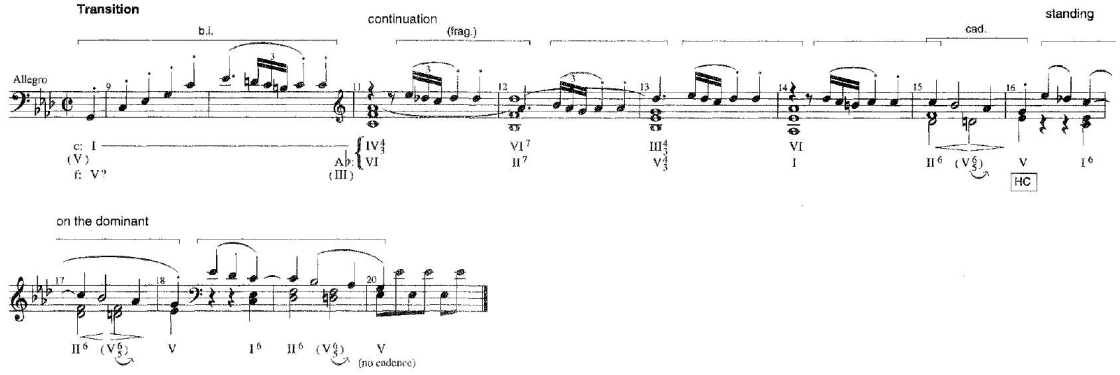
As previously discussed, this situation is similar to K. 45, where the end of the P section is marked by a three-hammer blow gesture (Example 1.10.2/2). My rationale for not identifying an MC in K. 45 and recognising a viable MC in K. 545 hinges on their temporal locations, which indicate TR. This is influenced by the type of a cadence used and rhetorical features emphasising TR. First, regarding the cadence, unlike PACs which are 'traditionally heard as signs of closure', HCs are perceived as signs of expectancy (2006, p. 27). Therefore, P sections typically conclude with a PAC. However, as observed by Caplin (1998, p. 18), they may close

with an HC: he uses Beethoven's Op. 2, No. 1 (i) as an example (Example 1.10.2/3). Hepokoski and Darcy propose that its syntax can be interpreted differently. Instead of reading bars 1-8 and bars 9-20 as P's sentence followed by TR's continuation function, they read the entire bars 1-20 as a hybrid-type P theme that becomes TR (a sentential antecedent in bars 1-8 and a dissolving continuation in bars 9-20). Although there is no specific remarks to what makes the continuation a dissolving type, I deduce that it refers to the combination of intrathematic asymmetry (the continuation phrase is longer) and modulation leading to the new key's HC. With the same logic, the passage spanning from bar 1 to bar 42 in Mozart's Symphony No. 40, K. 550 (i) can be interpreted as P => TR as well: bars 1-20 constitute a sentential antecedent (Hepokoski and Darcy call this passage a grand antecedent), and bars 21-42 constitute a dissolving consequent, which the modulation to B-flat major triggers the functional becoming to TR.

Example 1.10.2/2: Mozart's K. 45, P, bars 12-16



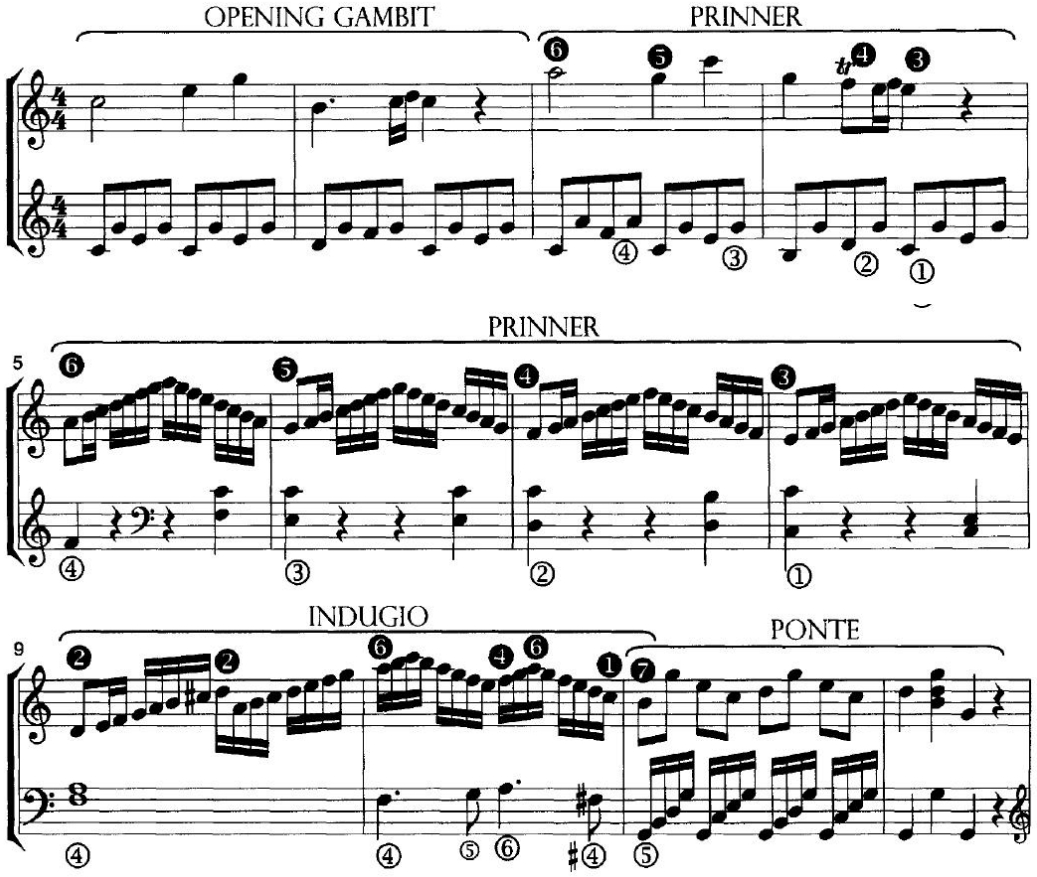
Example 1.10.2/3: Caplin's analysis of Beethoven's Op. 2 No. 1 (i), TR



Compared to K. 545, the functional becoming in Op. 2, No. 1 and K. 550 is clearer due to two reasons: 1) the phrase structure operates on two levels, and 2) there is a modulation to the key of S. Conversely, in K. 545, the P => TR operates on only one level and does not modulate. Therefore, it is necessary to investigate other rhetorical features that contribute to the P => TR idea.

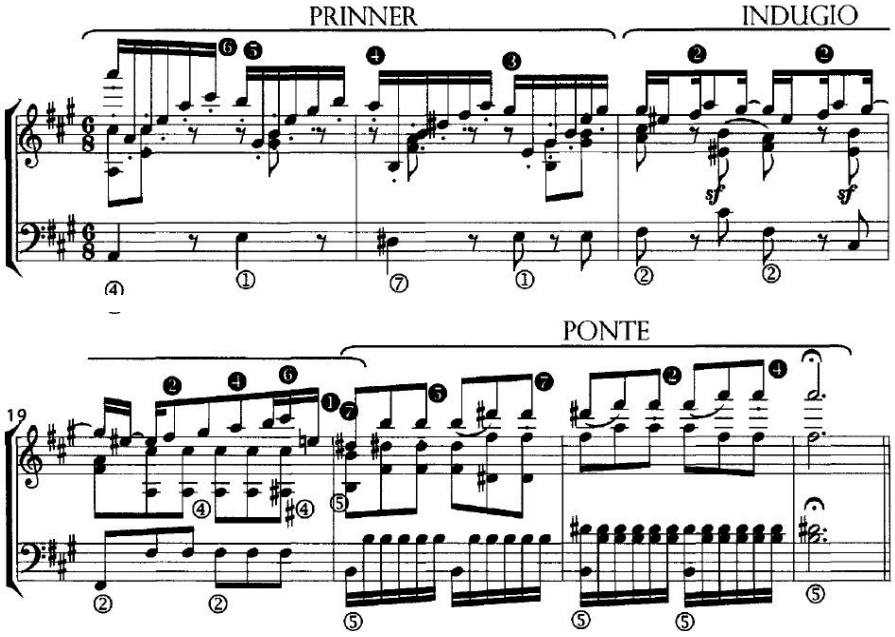
Caplin (1998, p. 125), who examines music from a form-functional perspective, observes that late-eighteenth-century TRs 'frequently feature "passage-work"—arpeggiations and scale patterns projecting a "brilliant style"', as exemplified in the continuation phrase of K. 545. While K. 45 lacks such passage-work, K. 169 features scalar figures, indicating that texture alone is insufficient for distinguishing K. 545 and K. 169 concerning MC's role in compact first-part expositions. Furthermore, Hepokoski and Darcy's analysis of bars 9-12 suggests that they 'take on the transitional features of a typical drive to a medial caesura, including a dominant lock. . . and a triple-hammer-blow gesture' (2006, p. 106). This implies that the disparity between K. 545 (P => TR-S) and K. 45 (P-S) lies in the use of an HC with a dominant lock to prolong it. However, I identify a rhetoric element they overlook: the use of a musical schema.

Example 1.10.2/4: Gjerdingen's analysis of Mozart's K. 545 (i)

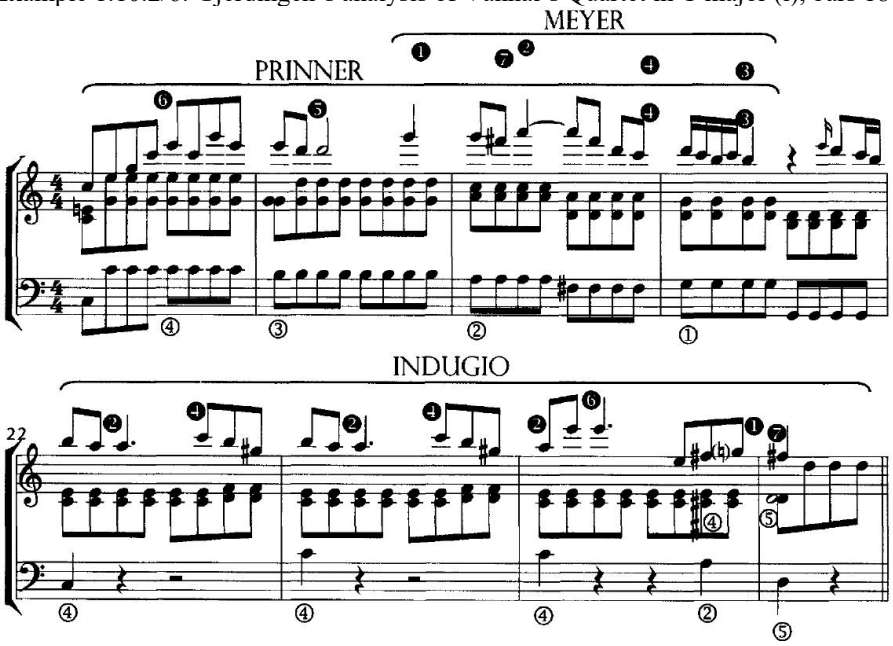


Robert Gjerdingen (2007) conducted a comprehensive examination of musical schema in the galant style, asserting that the 'hallmark of the galant style was a particular repertory of stock musical phrases employed in conventional sequence' (2007, p. 6). This statement finds exemplification in one of his full-analysis samples, Mozart's K. 545 (Example 1.10.2/4). In bars 9-10, he identifies a schema termed 'indugio', which functions to delay the arrival of a cadence by prolonging the ii^6 or ii^{65} chord with a specific combination of scale degrees: the melody typically incorporates ^2-^4-^6, and the bass complements with ^4-^#4-^5. In a two-part exposition where P and TR are two separate interthematic functions, the use of indugio to delay TR's cadence can be observed in the first movement of two quartets by Johann Baptist Vanhal, A major and C major (Examples 1.10.2/5 and 1.10.2/6), both of which feature a ^4-^#4-^5 motion in the viola (2007, p. 279). Among the first movements of Mozart's 19 piano sonatas, excluding K. 545, four converging HCs are utilised in expositions' TRs, with three of them containing the indugio schema (K. 280, K. 281, K. 310).

Example 1.10.2/5: Gjerdingen's analysis of Vanhal's Quartet in A major (i), bars 16-22

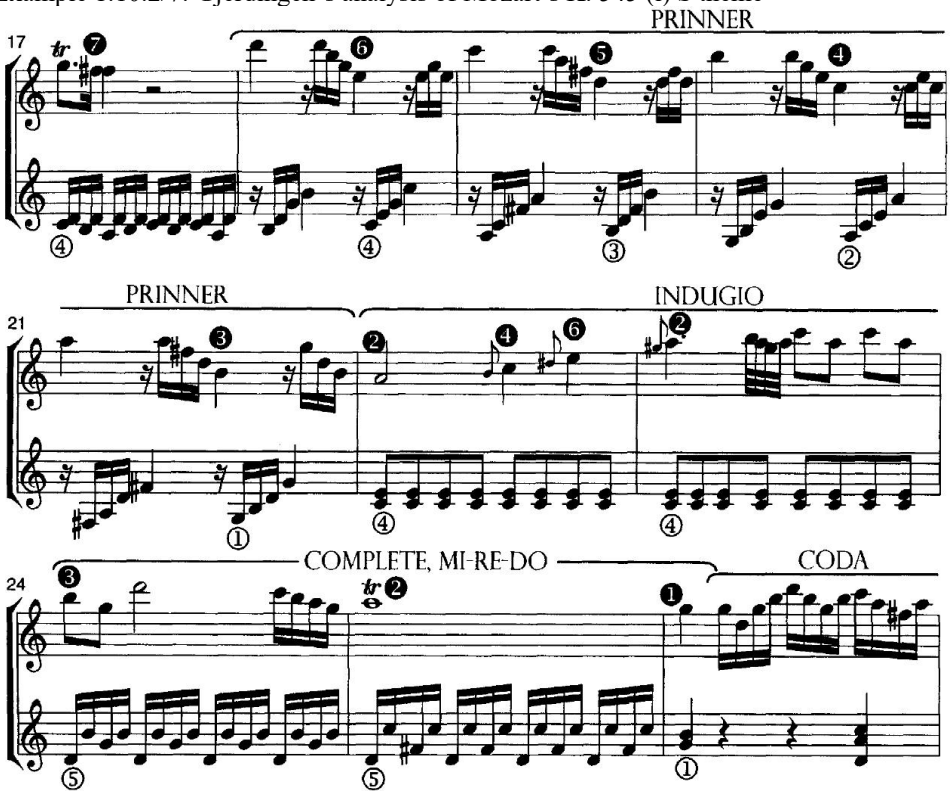


Example 1.10.2/6: Gjerdingen's analysis of Vanhal's Quartet in C major (i), bars 18-25



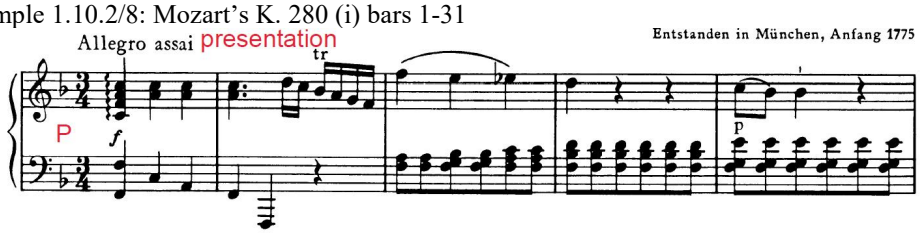
The indugio is not exclusively confined to TRs and does not always serve to delay a converging HC. As depicted in Example 1.10.2/7, indugio can also be employed to postpone the PAC of the S theme. When considering the usage of indugio form-functionally, we can infer that it is used in interthematic functions which are formally loose. This inference does not mean that the tight-knit P theme is devoid of means in delaying P's cadence. Caplin provides two instances illustrating this scenario (1998, p. 44). In the first movement of Beethoven's Op. 2, No. 3, the I: PAC closing the P theme is postponed by employing a weaker cadence, I: IAC, in bar 8. This IAC prompts a need for a stronger cadence by repeating the continuation phrase. Similarly, in the first movement of Haydn's Piano Trio in C, Hob. XV: 27, a deceptive cadence is deployed in bar 8, triggering a repetition of the continuation phrase that eventually secures the I: PAC. Both indugio and the repetition of a continuation phrase serves as means for formal loosening. However, based on Gjerdingen's provided examples, indugio is used within TR and S.

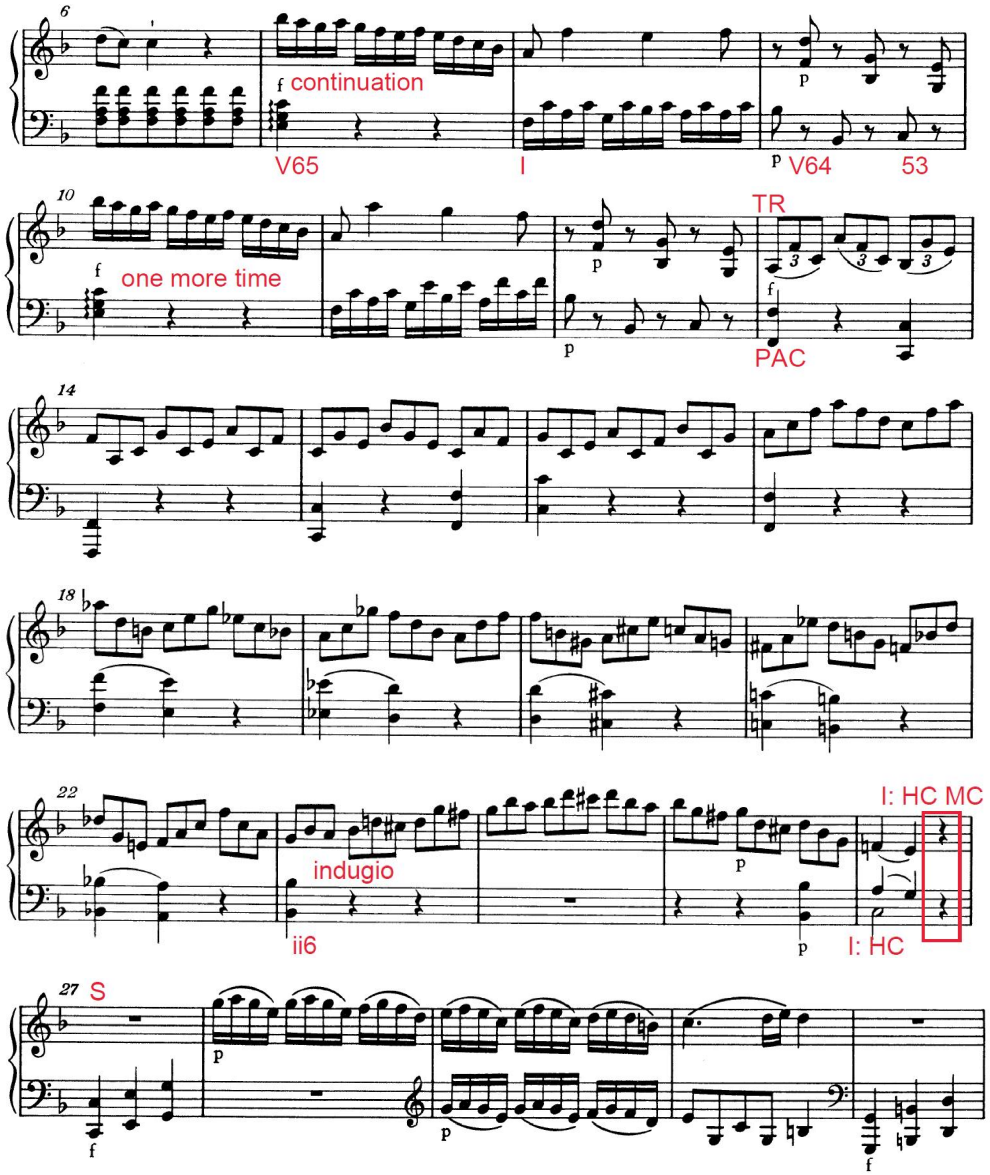
Example 1.10.2/7: Gjerdingen's analysis of Mozart's K. 545 (i) S theme



One possible reason why indugio is not used to delay the cadence of a P theme could be attributed to the dual nature of formal loosening: it extends the phrase while disrupting the pace of the harmonic rhythm. This can be observed in K. 280, where TR (b. 13) initiates with a 2-bar grouping and a harmonic rhythm of one chord per 2 bars (Example 1.10.2/8). By bar 17, the grouping fragments into 1-bar units, and the harmonic rhythm accelerates to one chord per bar. In bar 23, the grouping expands into a 3-bar unit, accompanied by a harmonic deceleration to one chord per 3 bars before achieving a converging I: HC. In contrast, the formal loosening in bars 10-12 with a one-more-time technique only serves to extend the phrase structure while maintaining the rate of the harmonic rhythm. Nonetheless, Gjerdingen (2007, p. 292) also notes that once 'the indugio ceased to resonate as a courtly schema', it can be utilised unconventionally, as evident in the opening of Beethoven's Op. 31, No. 3 (i).

Example 1.10.2/8: Mozart's K. 280 (i) bars 1-31



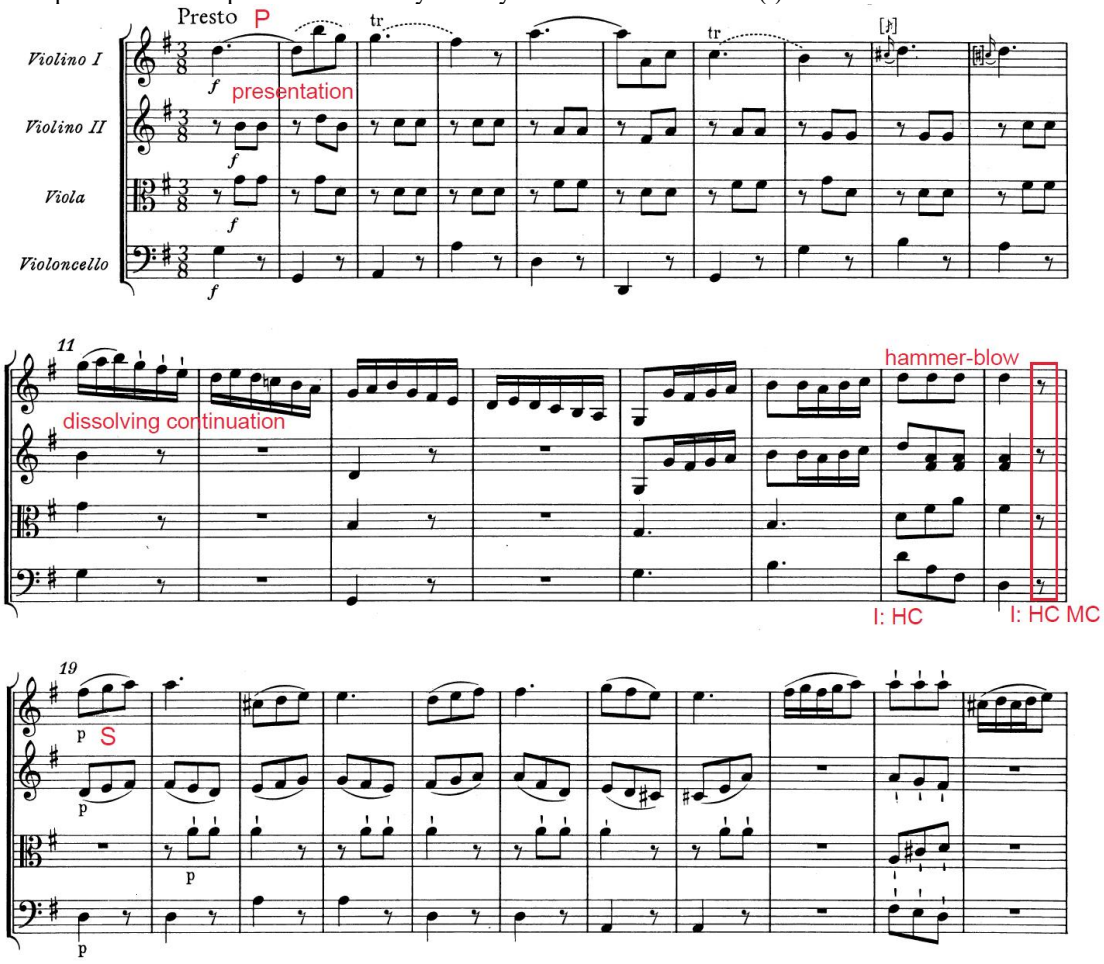


Based on the elaboration above, the interpretation of K. 545 as P => TR involves the utilisation of passage-work, the indugio schema, an HC, and a standing on V. This model arguably foreshadows the P => TR situation in Beethoven's *Tempest* Sonata (i), a topic explored by Schmalfeldt (2011) within the framework of foregrounding romantic form.

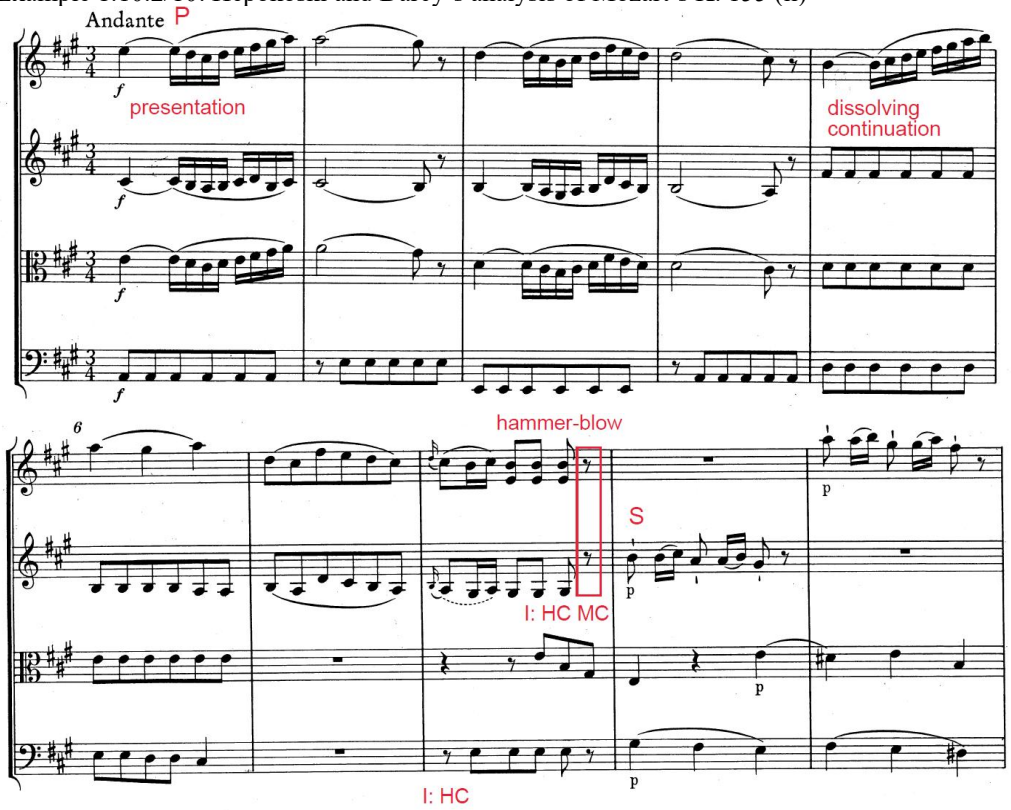
K. 545 is not the sole instance of P => TR in Mozart's works, and there might be a specific rationale behind why Hepokoski and Darcy regard it as the *locus classicus* of this scenario. They place K. 156 (i) within the same category as K. 545, a dissolving continuation TR. Both works share a texture where the presentation phrase features a melody with accompaniment, while the continuation phrase incorporates a sixteenth-note run. Additionally, they both use an I: HC. However, K. 156 lacks the indugio and the standing on V, resulting in a comparatively weaker impression of a

dissolving continuation (Example 1.10.2/9). Another example, K. 155 (ii), exhibits an even weaker, or better, questionable impression of P => TR compared to K. 156, employing only the I: HC followed by a triple-hammer-blow gesture (Example 1.10.2/10). Syntactically, bars 1-8 are symmetrical, featuring a 4-bar presentation followed by a 4-bar dissolving continuation. The continuation phrase also lacks heightened harmonic rhythm and rhythmic activity. Consequently, Hepokoski and Darcy's categorisation of K. 155 alongside K. 156 and K. 545 prompts inquiries into whether the mere presence of I: HC is adequate to signify the dissolution of the continuation into TR. Furthermore, their interpretation of K. 155 is contested, with the possibility of an open-ended P juxtaposed with S.

Example 1.10.2/9: Hepokoski and Darcy's analysis of Mozart's K. 156 (i) P => TR



Example 1.10.2/10: Hepokoski and Darcy's analysis of Mozart's K. 155 (ii)



1.11: Concluding Remarks

This chapter has provided an in-depth exploration of the technical features of the MC. By tracing its original formulation by Hepokoski and Darcy and examining the subsequent refinements prompted by the increasing complexity of nineteenth-century musical syntax, the discussion establishes a robust foundation for understanding MC's operational mechanics. Moreover, I have delineated my critical stance on reading an MC in specific situations as elaborated in Chapter 1.10.

Building on these technical insights, the following chapter will bridge the MC with broader theoretical perspectives–specifically, Sonata Theory and form-functional theory. Here, MC will be re-examined as a vital analytical tool that interacts with formal functions, particularly in contexts where musical parameters within a form are misaligned. This integrative approach aims to illuminate how MC functions as a dynamic element within the evolving formal and harmonic structures of nineteenth-century music, thereby offering a more nuanced understanding of its analytical potential.

Chapter 2: Perspectives on Form – Theoretical Foundations and Analytical Expositions

2.1: Form-Functional Theory

The theory of formal function is rooted Caplin's believe that musical form is closely linked to our perception of time in a piece of music. Therefore, the ability to perceive that we are in the 'beginning' of something, in the 'middle' of something, and in the 'end' of something is central to the theory (2010, p. 24). The words 'beginning', 'middle', and 'end' represent general temporal functions from which all formal functions manifest (p. 33). To illustrate, on intrathematic level, the formal functions of presentation and antecedent exemplify the beginning/initiating quality, continuation exemplifies the medial quality, and cadential and consequent exemplify the ending quality.

A specific concatenation of formal functions generates a specific formal 'type'. For instance, a musical theme that features a presentation followed by a continuation and a cadential function is categorised as a theme type called 'sentence'. Another combination of formal functions such as an antecedent followed by a consequent, is designated as a theme type called 'period'.

At an interthematic level, the distinction between function and type is also evident. By following a sequence of formal functions such as main theme, transition, and subordinate theme, a full-movement type know as sonata can be generated. Similarly, by following a sequence of formal functions such as main theme, subordinate theme, main theme, interior theme, and main theme, a full-movement type called a five-part rondo can be created, and so on.

In contrast to formal functions, formal types do not have fixed temporal designations (p. 33). For example, a sentence type of theme, as Caplin stated, 'does not situate itself in any particular location of time', as it can occur in different interthematic functions (p. 33). We can infer that a sentence form is located in the middle of sonata exposition only when a specific interthematic function carrying a sentence form, such as a transition, has been identified. Therefore, as opposed to formal functions which have temporal quality, formal types are atemporal.

Another main theoretical principle of formal function is the distinction between tight-knit and loose theme organisation. The level of tightness or looseness in

the classification of the formal units, regardless of their size and function, is determined by seven criteria: tonality, cadence, harmony, grouping structure, functional efficiency, motivic uniformity, and formal conventionality (Caplin, 1998, p. 84). The following table is a comprehensive breakdown of the degree of tight-knit and loose organisation based on Caplin's elaboration in *Classical Form* (p. 85).

Table 2.1: A range of Caplin's tight-knit and loosely-structured themes

Criteria	Tight-knit ----------> Less tight-knit			Loose ----------> Even looser	
Tonality	A unit begins and ends in the home key.		A unit opens and closes in a subordinate key.	A unit modulates.	
Cadence	PAC		IAC	HC	No cadence
Harmony	Authentic cadential progressions. Tonic prolongational progressions.			Dominant prolongation. Sequential progressions.	
Grouping structure	Symmetries based exclusively on exponentials of two.		Symmetries but other than exponentials of two.	Asymmetry.	
Functional efficiency			Redundancy: repetitions, extensions, expansions. Interpolations.	Ambiguity of formal function. proliferation	
Motivic uniformity				A unit filled with diverse motives. Frequently changing accompanimental patterns.	
Formal conventionality	Period	Hybrid	Sentence	Non-conventional formal types.	

The seven criteria used to assess the tightness or looseness of formal units can interact with each other in various ways. In some cases, they may work together to create a distinctly tight-knit or loose organisation. However, there are instances where they 'conflict with one another so that some factors contribute to a tight-knit organisation while other make for a looser one' (p. 85). Consequently, comparing two interthematic functions becomes challenging. For instance, the phrase structure of a P theme in piece A is a period ending with a PAC, featuring a modulating antecedent and an asymmetrical grouping structure. In contrast, an S theme from the same piece is a sentence with a symmetrical grouping structure and stable tonality in the dominant key but closes prolongationally. As Caplin notes, it becomes almost impossible to determine 'which of two units is looser than the other, because different criteria are responsible for the formal loosening' (p. 85). This is particularly relevant

in nineteenth-century music, where the P theme can be as loose as the S theme, thus eliminating the typical polarity of a tight-knit P and a loose S.

2.2: Sonata Theory

Sonata Theory, a newer theoretical framework emerging in 2006, constitutes an encyclopedic exploration of the late eighteenth-century sonata practices. It aims to challenge the characterisation of sonata form merely a rigid set of 'textbook' rules[20] and opposes the generative approach to form advocated by figures such as Donald Francis Tovey and Charles Rosen. The former approach tends to generalise structural elements found commonly across many works, while the latter emphasises each work's unique internal logic, thereby downplaying the importance of tranditional sonata conventions. Hepokoski and Darcy are especially sympathetic to Mark Evan Bonds' (1991, p. 29) statements:

> Few analyses openly acknowledge the extent to which composers worked within the context of formal conventions. There can be no doubt that style and content shape the structural manifestation of any well-written movement, and generative approaches to form are essential in establishing the relationships that do exist between small- and large-scale forms. But it would be ludicrous to argue that sonata form was not at least in part an *a priori* schema available to composer. . . Sonata form, for Haydn, was in fact a point of departure, a mold, albeit a flexible one. . . What is needed, then, is a general theory of form that can account for conventional patterns and at the same time do justice to the immense diversity that exists within the framework of these patterns.

Thus, Sonata Theory seeks to discern patterns regarded as regulative guidelines rather than fixed entities, inferred from exemplary works. These guidelines are derived from typical choices made by composers and listeners dring specific historical periods, aiming to identify influential trends in the development of the sonata in the mid-eighteenth century (Hepokoski, 2020, p. 4-6).

2.2.1: Rotation and Sonata Types

Sonata Theory categorises sonata forms into five distinct types, each defined by the number of rotations through a set of grouped 'compositional zones', which

[20] The word 'textbook' is borrowed from Hepokoski and Darcy (2006, p. 15)

Caplin identifies as interthematic functions. For instance, in a Type 3 sonata form—a familiar model in music education—each rotation includes ordered interthematic functions: P, TR, S, and C sections, which appear in the exposition, development, and recapitulation. Therefore, a Type 3 sonata typically comprises three rotations.

The formal positioning within these rotations is crucial in distinguishing Sonata Types. Illustrated in Sarah Moynihan's (2019) Sonata Type pathway table, both Type 1 and Type 2 entail two rotations, excluding any coda that extends beyond the sonata space (Table 2.2.1/1). However, the arrangement of interthematic functions within the overarching formal structure differs between the two types. In Type 1, the second rotation begins within the recapitulation phase of the large-scale form, thus termed a sonata form without a development section. In contrast, Type 2 places its second rotation across both the development and the recapitulation: the first half, encompassing P and R, occurs in the development section, while the second half featuring S and C is situated within the recapitulation.

Table 2.2.1/1: Moynihan's pathways and points of realisation in sonata types

ROTATION 1		ROTATION 2				ROTATION 3				ROTATION 4
P TR I	S C V	(Exp.) Type 1 → P (-development) I	TR V_A	S I	C	(Coda P) I				
		Type 4 → RT V_A	P-development I	RT V_A		P I	TR	S I	C	(Coda P) I
		Type 2 → P-development Non-I	TR V_A	S I	C	(Coda P) I				
		Type 3 → P-development Non-I	RT/TR V_A			P I	TR	S I	C	(Coda P) I

Moynihan's Sonata Type Pathway table also serves to guide our listening experience by illustrating how the sonata forms unfold. Given that the first rotation of Type 1 to Type 4 Sonatas shares a common sequence of interthematic functions, it is imprudent to hastily classify a movement as a definite Type 3 Sonata solely based on its position as the first movement of a symphony. Therefore, one could argue that our understanding of the Sonata Type is essentially achieved through a process of elimination as we engage with the music. According to Moynihan, he first hint lies in whether the second rotation starts with P in the tonic or non-tonic key. Starting the second rotation with P in the tonic suggests that we might deal with either Type 1 or Type 4. Conversely, initiating the second rotation with a non-tonic P implies the likelihood of Type 2 or Type 3, requiring further examination during the listening process. In essence, this table suggests that the theoretical construct of Sonata Theory can be approached in a manner similar to Caplin's, from bottom to top.

It is worth noting that the rotations described earlier represent the fundamental or common options. Especially in nineteenth-century sonata forms, there are myriad of options that could be regarded as less common or even rare, diverging from the standard versions depicted in Moynihan's table. For example, in Hiller's Op. 172, examined in Chapter 4, the large-scale form is a Type 3 Sonata; however, the development is initiated by a tonic P following a retransition featuring an active dominant.

2.2.2: Dialogic Form

Sonata Theory's core precept revolves around perceiving sonata forms as networks comprising normative compositional options with which composers engaged. These normative options, or norms, 'existed conceptually within the knowledgeable musical community as something on the order of tasteful generic advice… given by a shared knowledge of precedents' (2006, p. 9).

Among the array of available compositional options, certain choices were more commonly preferred than others, establishing a hierarchical order of favored options. Hepokoski and Darcy delineate this hierarchy through lists of level defaults based on usage frequency. While these customary options served as 'commonly understood guidelines', in actual practice, they were creatively realised by composers according to their respective styles and individuality (2020, p. 4). Moreover, composers often deviated from these normative options to achieve a specific, personalized effects, a phenomenon termed as *deformations* by Hepokoski and Darcy.

2.2.3: Deformations

The concept of deformation was initially applied to post-1800 orchestral compositions written by composers such as Liszt, Strauss, and Sibelius, among others. This concept refers to the overarching formal structure that deviates from the '*Formenlehre* (standard-textbook) structures' (Hepokoski, 1993, p. 5). For instance, in Classical music, there is a distinction between form and cycle, each possessing different hierarchical status. A classical sonata cycle typically comprises four movements: a sonata-allegro movement, a slow movement, a dance movement (minuet or scherzo

and trio), and a fast rondo finale. Each movement is characterised by different forms: the sonata-allegro movement adheres to sonata form, the slow movement and the dance movement follow ternary forms, and the finale adopts either a rondo or sonata rondo form. However, in the hands of the late-nineteenth-century composers mentioned above, cycle and form are merged into the same hierarchical level, which exemplifies one of Hepokoski's (1993) 'sonata-deformational' procedures of 'multimovement forms in a single movement'. A specific manifestation of this merger is the embedding of four movements within a sonata form.

William Newman's analysis of Liszt's B-minor sonata characterises it as more than 'a simple "sonata form", but a double-function form, because its several components also serve as the (unseparated) movements of the complete cycle' (1969, p. 134). Steven Vande Moortele (2009) interprets this phenomenon a 'two-dimensional sonata form', and he critiques Newman's interpretation that assumes a one-to-one relationship between the form's sections and the movements of the sonata cycle. Vande Moortele argues that not all 'the sections of the overarching sonata form coincide with the movements of the sonata cycle as seamlessly as Newman's definition suggests' (2009, p. 22).

Table 2.2.3/1: Vande Moortele's formal overview of Liszt's B-minor sonata

INTRODUCTION	EXPOSITION **b – D – (F♯)**	DEVELOPMENT	
1–7	8–204	205–330	331–452
SONATA-FORM FIRST MOVEMENT **B**			SLOW MOVEMENT **F♯**

INTRODUCTION RETURN	RECAPITULATION **b♭ – b – B**		CODA **B**
453–459	460–532	533–672	673–760
	SCHERZO ⇒ FINALE **b♭** **b – B**		

In one of Hepokoski early publications, *Sibelius: Symphony No, 5* (1993), he created a useful inventory of deformations of typical sonata-form patterns, categorising them into recurring 'families'. These include examples like breakthrough

deformations, introduction-coda frames, episodes within the developmental space, various strophic/sonata hybrids, and multimovement forms in a single movement as discussed earlier. In another earlier publication, *Fiery-Pulsed Libertine or Domestic Hero? Strauss's Don Juan* (1992), Hepokoski initially defined 'deformation' as a situation 'when one encounters a strikingly nonnormative individual structure, one that contravenes some of the most central defining traditions, or default gestures, of a genre while explicitly retaining others' (p. 143).

In *Elements of Sonata Theory* (2006), the concept of deformation is broadened to encompass cases where a work largely follows a conventiona sonata form, but certain internal elements exhibit defomational characteristics. One such deformational feature is outlined in one of Sonata Theory's core principle known as the essential sonata trajectory (EST). The trajectory is aimed at two 'generically obligatory' perfect authentic cadences (p. 13). The first PAC, serving as the short-range goal, is a non-tonic PAC achieved at the end of the S theme in the exposition, termed as the 'essential expositional closure' (EEC). The second PAC, serving as the long-range and ultimate goal, is a tonic PAC attained at the end of the S theme in the recapitulation, known as the 'essential structural closure' (ESC).

Hepokoski and Darcy characterise the absence of an EEC as a *failed exposition*. The consequence of such failure carries significant implications for the entire sonata, as 'the normative exposition's rhetorical plan leading to EEC serves as a predictor of things to come [how the ESC is pursued in the recapitulation]' (p. 177).[21] Consequently, without achieving EEC, the risk of incomplete closure in the recapitulation jeopardises the overall coherence of the sonata, leading to what Hepokoski and Darcy term as *sonata failure*. Both a failed exposition and a sonata failure (failed recapitulation) are regarded by them as kinds of deformation. When a failed recapitulation occurs, the responsibility for providing tonal resolution is shifted beyond the sonata space, namely to the coda (p. 178).

Hepokoski and Darcy clarify that deformation, despite its negative-sounding term, is not intended to imply "a negative assessment of aesthetic defectiveness, imperfection, or ugliness' (p. 614). They are suggesting "neither that a sonata deformation is an unattractive structure . . . nor that it is the result of a misguided execution on the part of the composer' (p. 615). Instead, the term signifies a 'non-

[21] The in-between bracket is mine.

normative of a musical action-space, a surprising or innovative departure from the constellation of habitual practices' (p. 11).

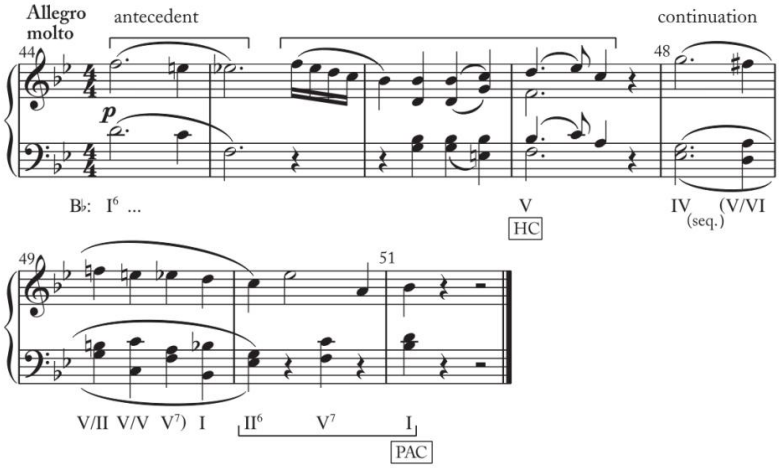
The concept of deformation extends to nineteenth-century practices as well. A specific deformational option, which deviated from the norm in eighteenth-century practice, could have become normative, albeit a lower-level default, if nineteenth-century composers had adopted it as part of their compositional habits. Therefore, as Hepokoski and Darcy statet, 'what was a deformation in Beethoven could become a lower-level default in Schumann, Liszt, or Wagner' (p. 11).

2.3: Cadence in the 19th Century: Loosening the Cadential Concept

Caplin's formulation of cadence relies on 'a specific type of *harmonic progression*' (2018, p. 1). In classical cadence, for instance, the complete cadential progression to reach an authentic cadence typically begins with an inverted tonic, followed by a predominant chord such as ii^6 or IV, a penultimate root-position dominant often embellished with the cadential six-four, and finally a root-positiontonic. It is important to note that Caplin allows for incomplete forms of authentic cadential progression, where the initial inverted tonic and predominant chord can be omitted, either individually or both. However, a root-position dominant must always be present (p. 1).

In the nineteenth century, the practice of using inverted chords in cadential progressions became less common as composers preferred to deploy all root-position harmonies for such progressions. This shift resulted in formal ambiguity, particularly in distinguishing between cadential and sequential progressions.

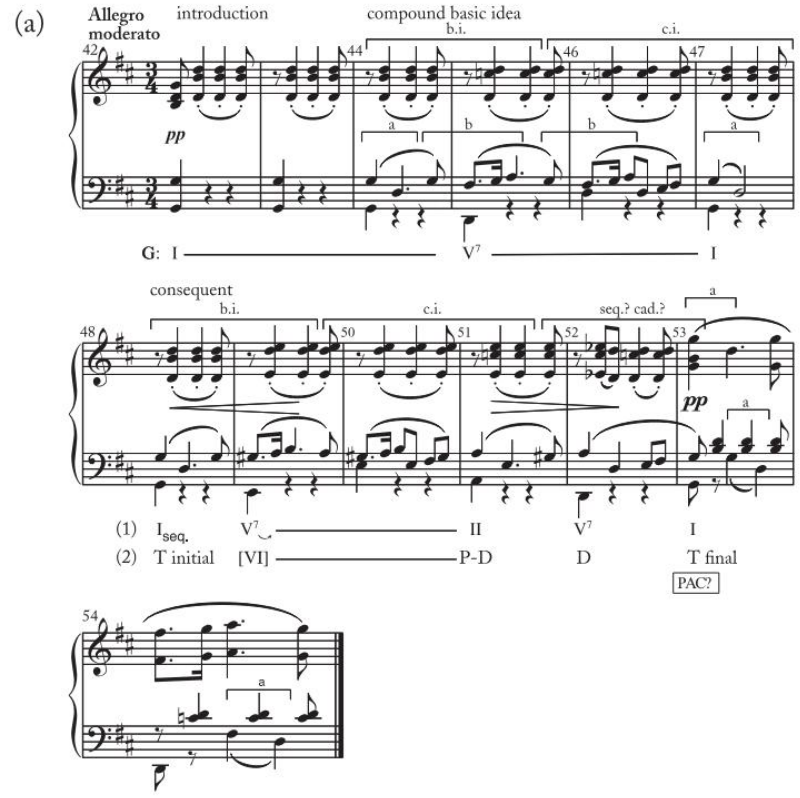
Example 2.3/1: Mozart's Symphony No. 40 in G minor (i), bars 44-51, Caplin

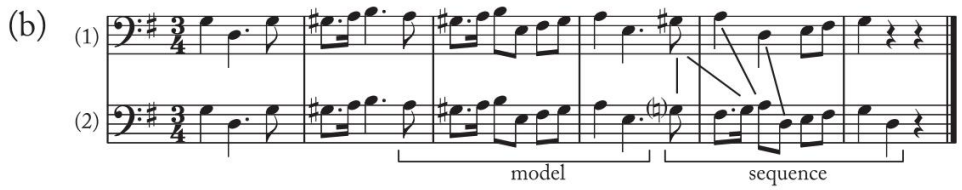


As noted by Caplin, composers of the Classical style were typically cautious about separating sequential progressions, which are associated with the medial function, from cadential progressions which are linked to the cadential function (p. 11). This distinction is crucial because a sequence involves repeating something that already functions as medial, and therefore should maintain the sense of 'being-in-the-middle' rather than sounding cadential (p. 12). An example of this can be seen in the first movement of Mozart's G-minor symphony, bars 44-51 (Example 2.3/1). The use of an inversion chord, ii^6, further clarifies the cadential function.

Schubert's 'Unfinished' symphony, on the other hand, departs from the classical practice by making it difficult to distinguish between sequential and cadential progressions through the use of an all-root harmonic progression (Example 2.3/2). Caplin's recomposed version of bars 48-53 shows that the perceived 'cadential' idea in bars 52-53 is actually a sequential repetition of the contrasting idea in bars 50-51. In the original version, the modified rhythm in bar 52 creates the impression that the sequence starts with 'motive a', adding another layer of ambiguity in terms to the formal grouping.

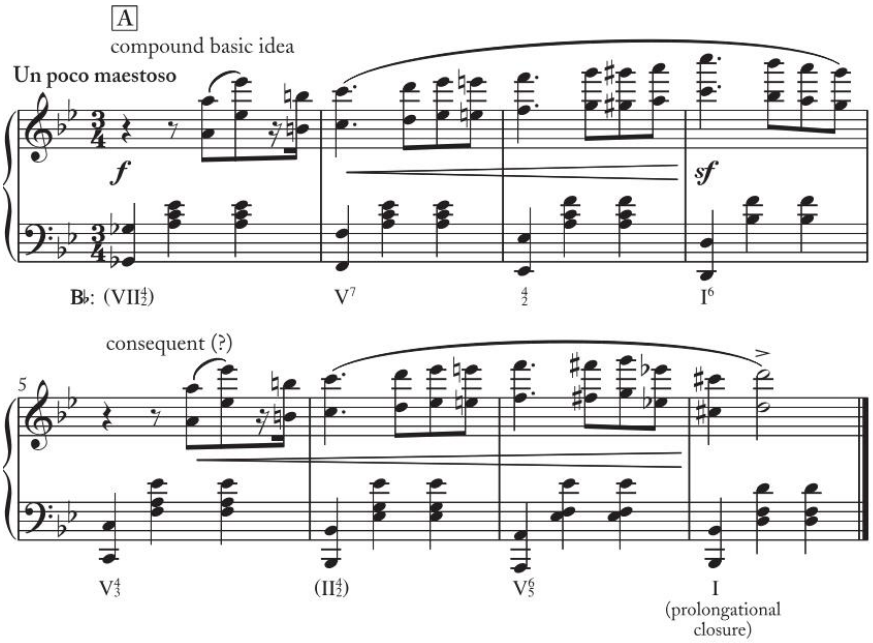
Example 2.3/2: Schubert's 'Unfinished' Symphony (i), bars 42-54, Caplin





Another departure from classical practice is the loosening of theme types by replacing cadential progressions with prolongational ones, which Caplin refers to as *prolongational closure* (p. 4). For instance, in Schumann's Carnaval Op. 9, No. 4, prolongational closure involves a penultimate dominant and tonic, with one or both of these chords in inversion (Example 2.3/3). Caplin identifies the 8-bar theme in the A section of a small ternary as a period, where both the antecedent and consequent phrases end prolongationally. The antecedent concludes with V^{42}-I^{6}, and the consequent with V^{65}-I. Notably, a PAC is used in the A᾽ section to end the movement.

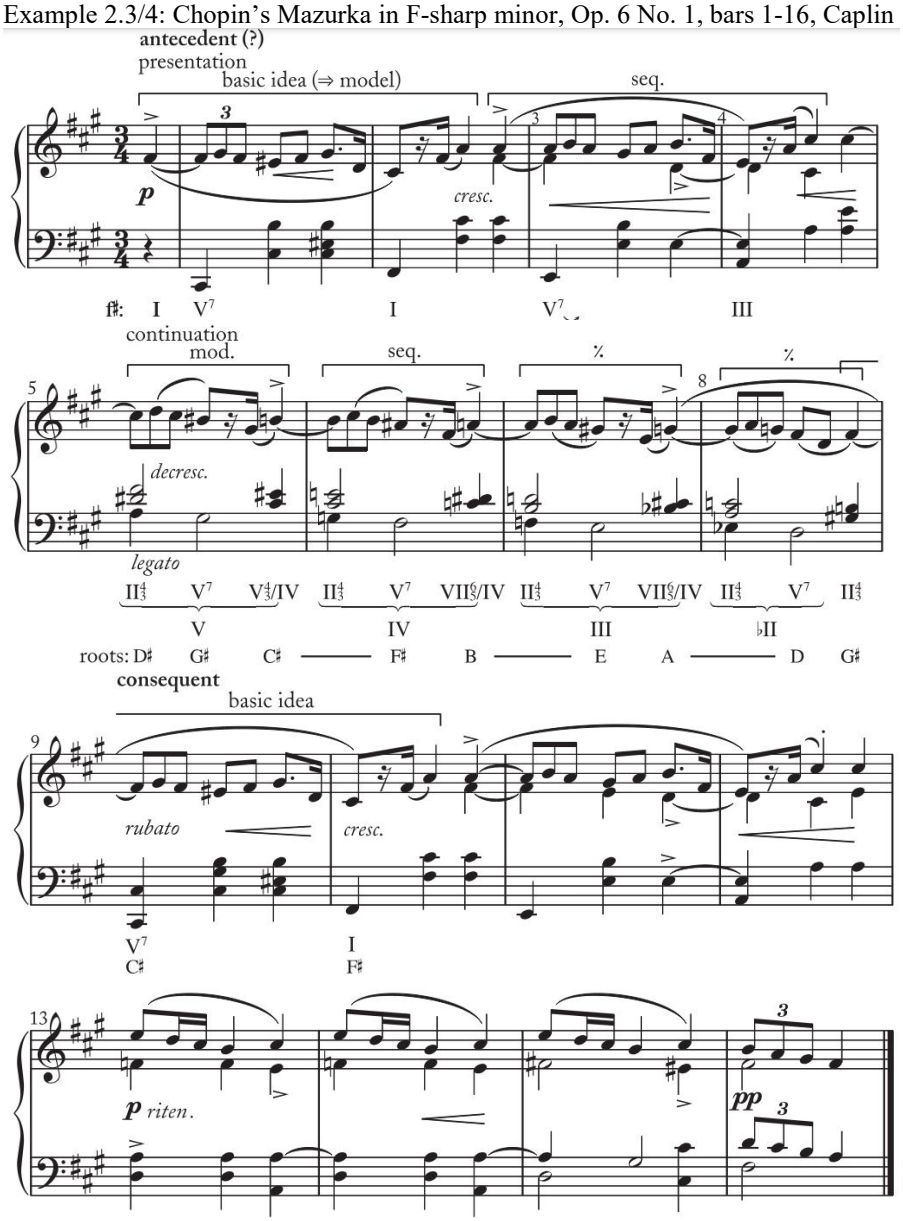
Example 2.3/3: Schumann's Carnaval Op. 9, bars 1-8, Caplin



Caplin also uses Chopin's Mazurka in F-sharp Minor Op. 6, No. 1, to illustrate a thematic unit that fails to project closure, ending only when the subsequent unit begins (Example 2.3/4). According to Caplin, the sentential antecedent lacks an ending harmony because the last chord preceding the consequent is a predominant IIhalf-dim^{43}. Prolongational closure is not an option here since this predominant chord is part of a descending-fifth sequential progression starting at bar 5. These 'formal oddities' can be explained by examining the harmonisation of the consequent's

opening basic idea, which involves a V^7-I progression.[22] As a result, the predominant ii is used to establish a connection with the opening V-I of the consequent's basic idea.

Example 2.3/4: Chopin's Mazurka in F-sharp minor, Op. 6 No. 1, bars 1-16, Caplin



The role of dominant in cadence also distinguishes the classical style from the romantic style. While classical composers clearly differentiate between the penultimate and ultimate dominant, romantic composers often prefer a more ambiguous role for the dominant. In the first movement of Schubert's Piano Sonata in A, D. 959, the A section of a small ternary ends with a dominant seventh. The inverted tonic in bar 5 implies an authentic cadential progression (Example 2.3/5). However, the dominant seventh is left unresolved as the subsequent B section begins

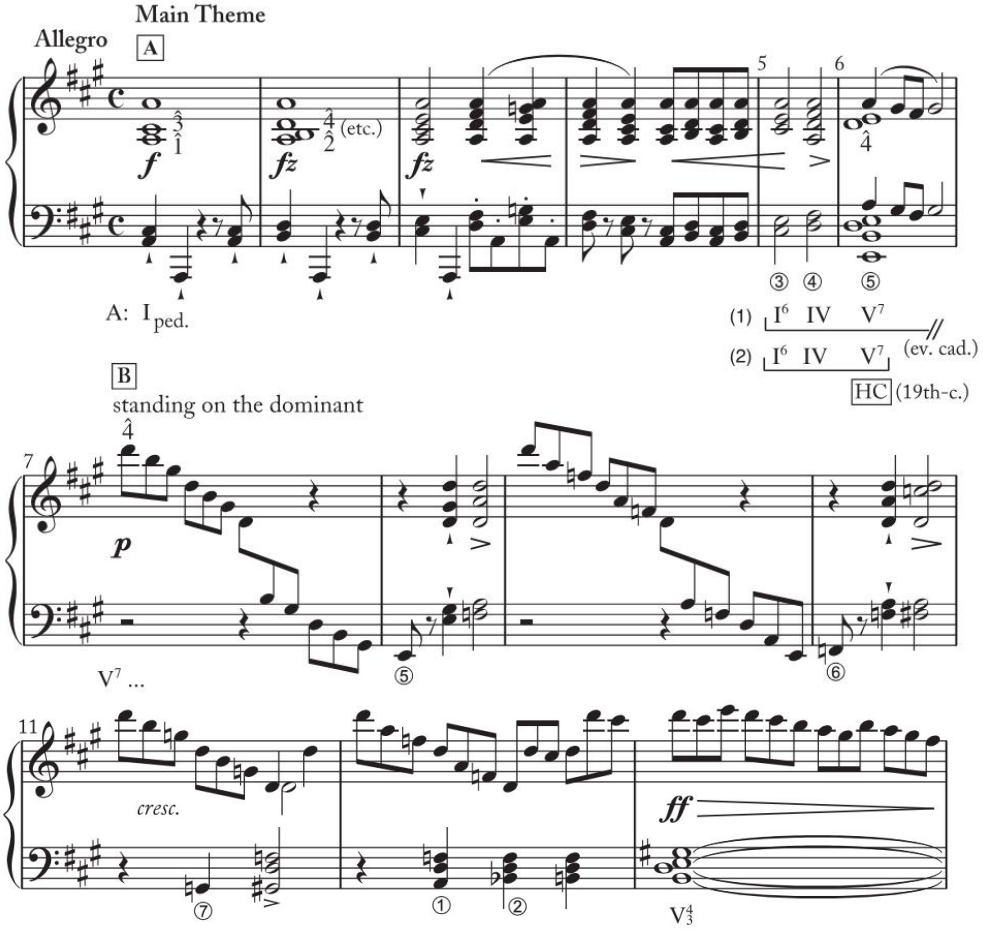
[22] I borrow the term 'formal oddities' from Caplin (2018).

with a standing on the dominant. Therefore, the first interpretation suggests that A lacks formal closure owing to a cadential evasion in bars 6 to 7.

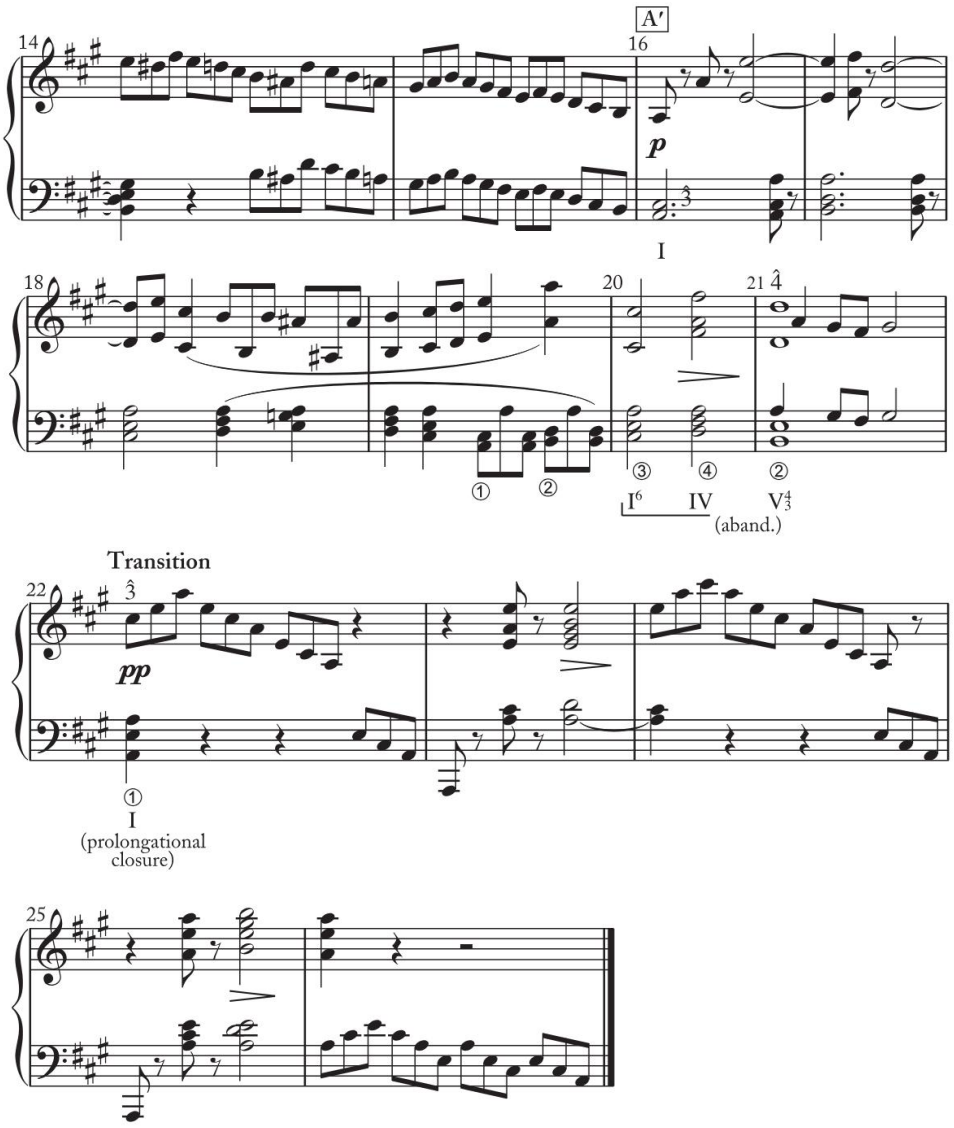
Caplin offers an alternative interpretation, suggesting that the dominant should not be seen as penultimate but as ultimate. Thus, the dominant seventh is perceived as a 'nineteenth-century HC',[23] which serves as a closure to the A section. This interpretation, however, implies that the standing on the dominant at bars 7-15 should be seen as a post-cadential function. Consequently, bar 16 could be regarded as a consequent rather than A' section.

Caplin notes that using a dominant seventh as a half cadence is rare in Schubert. Moreover, the A' section concludes with a prolongational closure, V^{43}-I, in bars 21-22. Caplin does not explicitly state which interpretation he prefers. However, he considers a consequent ending with a weak cadence to be a failed function (2004, p. 79). It remains unclear whether a prolongational closure holds the same hierarchical position as a weak cadence or if it ranks even lower.

Example 2.3/5: Schubert's Sonata in A major, D. 959 (i), bars 1-26, Caplin



[23] The term is coined by Schmalfeldt (2011).



2.4: Romantic Form

Analytical tools for analysing music from the long nineteenth century still revolve around form-functional theory and Sonata Theory, both of which have been developed and expanded by numerous music theorists and musicologists. However, the mindset behind these two theoretical frameworks differ significantly. The form-functional theory serves more as an analytical tool for examining nineteenth-century syntax which are typical of Romantic form, thereby generating the form from the bottom up. Vande Moortele (2013) considers this tool a positive approach because it bases the typical nineteenth-century syntax on nineteenth-century works rather than measuring them against eighteenth-century syntax. In contrast, Sonata Theory engages directly with Romantic form in terms of normativity, analysing how

nineteenth-century composers' works adhere or deviate from eighteenth-century sonata-form features. Therefore, the approach is top-down, and Vande Moortle (2013) regards it as a negative approach.

2.4.1: Functional 'Becoming'

The applicability of formal functions to this era of music was famously developed by Janet Schmalfeldt (2011), which is not surprising given that Caplin's *Classical Form* was also a result of their collaborative efforts. She claimed that her one contribution to Caplin's work was her exploration of the concept of *becoming* (2011, p. 9).

Schmalfeldt describes the concept of *becoming* as 'the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context' (p. 9). This idea is symbolised with a double-lined right arrow (=>). For example, a passage initially perceived as an introduction but retroactively understood as a main theme can be represented as 'Introduction => MT'.

As Vande Moortele (2013) discusses in *In search of Romantic Form*, the idea of 'form as the process of becoming' is not a 'monolithic concept' as it undergoes several transformations over the course of Schmalfeldt's book (p. 406). One particular example of this concept in relation to this thesis is found in Schmalfeldt's analysis of Beethoven's 'Bridgetower' Sonata, Op. 47 (i), more commonly known as the 'Kreutzer' Sonata. Here, an initial interthematic functionbecomes something larger than expected. This main theme, which consists of a nine-bar unit from bars 19-27 and its equal repetition starting from bars 28-36, exemplifies what she refers to as 'equal opportunity' openings seen in Beethoven's earlier violin and cello sonatas. These openings allow each instrument to present the initial phrase, which can take the form of straightforward main-theme repetitions, antecedent-consequent structures, written-out varied repetitions within small binaries, or repetitions that retrospectively become the beginning of a transition (2011, p. 96).

Schamlfeldt does not explicitly state the formal functions of the main theme, but Vande Moortele suggests that at this interthematic level, the intrathematic functions include a regular two-bar basic idea (mm. 19-20) and its fragmentation (2013, p. 413). Examining the main theme (bars 19-36), it follows the form of a period, with a III: IAC in bar 27, serving as a weak cadence, and a III: PAC in bar 36,

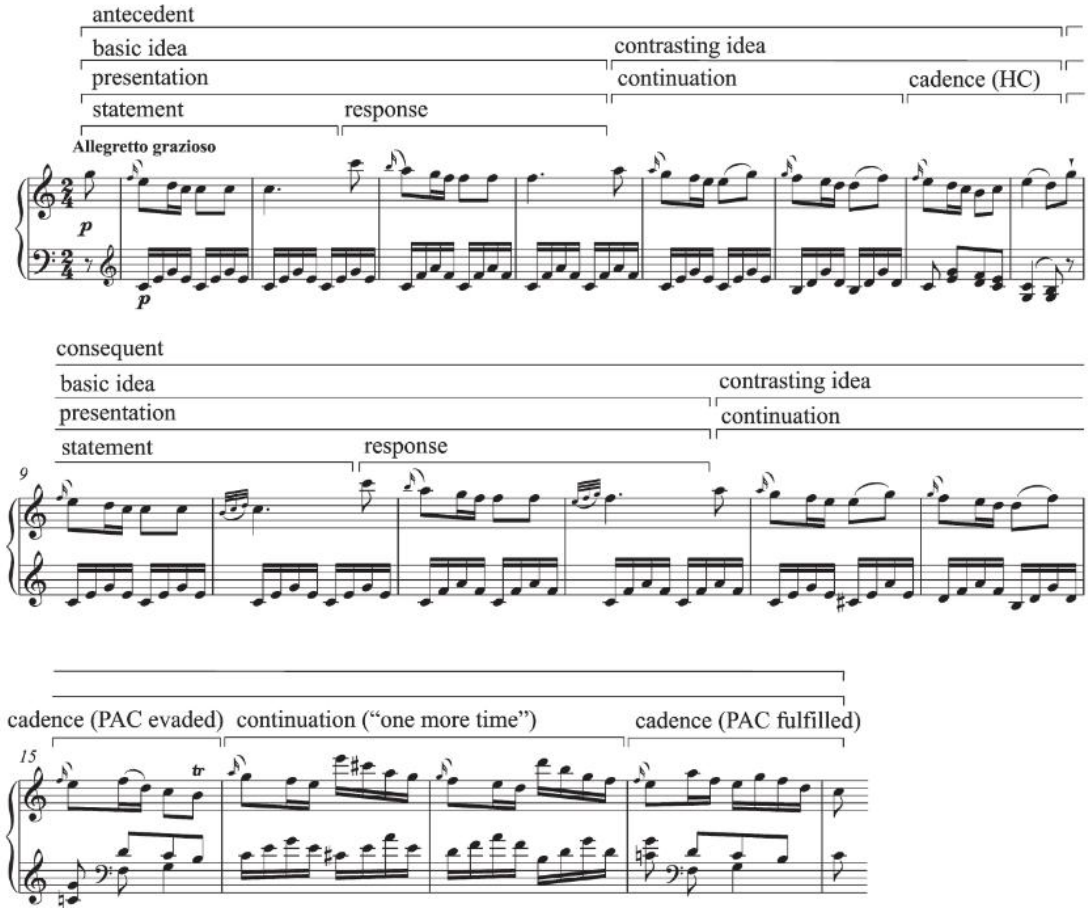
providing closure. However, as noted by Schmalfeldt, since main themes are typically expected to close in the home key, the two closures in the mediant cannot bring the theme to completion. She adds that Beethoven resolves this issue by devising a continuation phrase that builds upon the preceding material, creating a sense of heightened tension, and leading back to the home key with a i: PAC in bar 45 (2011, p. 96). Consequently, the previous two phrases initially thought to form a period theme are retrospectively reinterpreted as compound basic ideas within an enormous presentation, resulting in a 27-bar sentential main theme (Table 2.4.1/1).

Table 2.4.1/1: Beethoven's 'Bridgetower' Sonata (i)

Bars	19-27	28-36	37-45
Interthematic function	Main theme		=> Main theme until here
Intrathematic function	Period => Presentation		Continuation
	Antecedent (sentential) + Consequent (sential)		
Cadence	III: IAC	III: PAC	i: PAC

The form-functional expansion resulting from the functional becoming exemplifies what Horton terms *proliferation*. This technique allows thematic units to be expanded to the point where multiple intrathematic levels accumulate within a single interthematic span (2021, p. 305). Horton observes that Mendelssohn's expositional first themes frequently employ the technique, which contrasts with one of Caplin's principle in Classical Form. Caplin's principle suggests that thematic contrast arises from the juxtaposition of tightly structured and loosely organised elements (p. 305). However, proliferation does not always generates a loose theme type typical of nineteenth-century themes. In fact, it can also be found in larger Viennese classical designs ,such as compound theme types. In *Formal Functions in Perspective*, Horton (2015) uses the last movement of Mozart's Piano Sonata K. 309 as an example to demonstrate how a single thematic group can exhibit a proliferation on lower-level groupings (Example 2.4.1/1).

Example 2.4.1/1: Mozart's Piano Sonata K. 309 (iii), bars 1-19, Horton



Creating a comprehensive list of theme types resulting from the proliferation technique is challenging, if not impossible. Horton (2015) suggests that such nineteenth-century theme types arise because 'composers marshal aspects of classical syntax in novel formations, augmenting them by cadential expansion or the insertion of consecutive continuation functions to produce expansive hybrid or compound form' (2015, p. 85).

It is also challenging to determine the minimal threshold to contravene Caplin's principle of tight-knit and loose organisation polarity as a parameter for generating thematic contrast. In line with Schmalfeldt's concept of becoming (functional transformation)[24] and its relation with proliferation (form-functional expansion), Horton's analysis of the first movement of Mendelssohn's Piano Trio, Op. 66 illustrates how loosely structured an expositional first theme can become. Examining the first 22 bars, the main theme manifests as a compound period, with both the antecedent and consequent being sentential. At the lower intrathematic level,

[24] I borrowed this term from Horton's (2020) article on *Syntax and Process in the First Movement of Mendelssohn's Piano Trio, Op. 66.*

both the antecedent and consequent comprise a statement and response presentation, continuation, and cadence (Table 2.4.1/2).

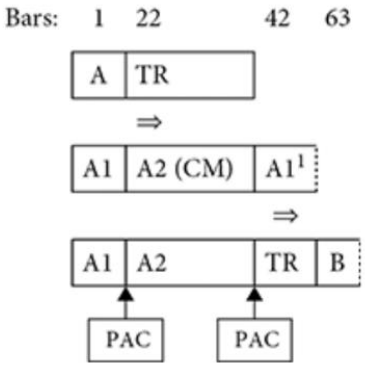
Table 2.4.1/2: Mendelssohn's Piano Trio Op. 66 (i)

Bars	1-8		8-22	
Interthematic function	Main Theme			
Intrathematic level 1	Antecedent		Consequent	
Intrathematic level 2	Presentation Statement - Response	Continuation	Presentation Statement - Response	Continuation (expanded)
Cadence	i: HC		i: PAC	

The following passage suggests that a transition follows the tonic PAC. This interpretation is supported by a strong rhetorical implication as energy increases, coupled with a modulation to the dominant minor (v) beginning in bars 28-29. The re-attainment of a tonic PAC in bar 42 and the recurrence of the main theme's antecedent, however, introduces a functional ambiguity, prompting a retrospective reinterpretation of the transition as a contrasting middle (TR => A2) within a larger ternary main theme. This reinterpretation effectively demotes bars 1-22 from an interthematic function to an intrathematic function, now seen as the periodic A section of the broader theme.

Shortly after the reprise of the main theme's antecedent in bar 42, initially perceived as the A reprise, it dissolves into a transition by bar 46. Consequently, the PAC in bar 42 contrasts with the functional demotion of bars 1-22, retrospectively becoming the closure of the main theme and acquiring interthematic significance (Figure 2.4.1/1).

Figure 2.4.1/1: Expositional P => TR of Mendelssohn's Op. 66 (i) by Horton



The ongoing reassessment of functional identities within Mendelssohn's main theme extends the exploration of the relationship between functional transformation

and proliferation, as exemplified in the main theme of Beethoven's *Bridgetower* Sonata. In Beethoven, functional transformation occurs solely at one intrathematic level, where the main theme only has one intrathematic level. In contrast, Mendelssohn's Op. 66 (i) demonstrates functional transformation at both the interthematic and upper intrathematic levels. This proliferation is evident through instances of functional demotion and promotion, leading to organisational ambiguity that impacts the formal types of the main theme, transforming it from a period into a large ternary form.

Horton's use of the term *retrospective functional transformation* provides a nuanced understanding akin to Schmalfeldt's concept of becoming. It not only portrays a form of progressive transformation but also incorporates Nathan Martin's and Vande Moortele's additional types of becoming, such as the symbols <= for regressive transformation and <=> for circular transformation.[25] Applying this framework to Mendelssohn's Op. 66 (i), the transition that becomes a contrasting middle of a large ternary form indicates a regressive transformation. Therefore, bars 22-42 are interpreted as TR <= B .[26]

Circular transformation involves the oscillation between two functions. In the first movement of Schubert's String Quintet in C major, Vande Moortele and Nathan Martin (2014) propose that while all intrathematic functions of the secondary theme are clearly identifiable, its interthematic function remains uncertain. The modulation to C major from bars 71 to 75 and the subsequent modulation to G major from bars 76 to 79 suggest that the secondary theme is in the process of fulfilling the transition's role in modulating to the secondary theme's key (p. 139). This indicates a return to the function of transition

According to Vande Moortele, the repetition is not merely a repetition, as the texture is more grounded with violins playing the melody and the cello providing the bass. Additionally, the key G major becomes more familiar to the listener's ear. Consequently, 'the repetition appears more exclusively as a subordinate theme', indicating a progressing back to the subordinate theme (p. 142-144). What his interpretation does not explicitly emphasise is that the possibility of reverting back to the secondary theme is also supported by the exact repetition of the rhetorical MC.

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[25] The words progressive transformation, regressive transformation, and circular transformation can be found in Horton's (2021) 'Rethinking Sonata Failure'.

[26] This is read from left to right in a literal sense, TR <= (regresses to) B. As for Nathan Martin's and Vande Moortele's version, they use the symbology that is read from right to left. Therefore, B <= TR.

Therefore, the repetition of bars 60-79 confirms the secondary theme's status despite the key-related issue.

2.4.2: Horton's Analysis of Mendelssohn's Melusine Overture

Incorporating this specific analysis into my literature review serves a dual purpose. First, the design of *Melusine*'s sonata form may have influenced Hiller's, particularly evident in the movements discussed in Chapter 4, where an interthematic function in the exposition assumes a different role in the recapitulation. This is notably linked to Hiller's unconventional MC treatment, particularly observed in Op. 105. Second, this analysis integrates Hepokoski and Darcy's concept of deformation and Caplin's formal functions.

As Horton (2021) points out, the challenge of analysing *Melusine* is twofold. First, it involves explaining the unique post-classical tactics and understanding their purpose or significance within the context of *Melusine*. Second, it raises broader questions about reconciling these tactics with Hepokoski and Darcy's deformational concept and Schmalfeldt's concept of 'becoming' (p. 305).

Turning to Hepokoski and Darcy's concept of deformation, *Melusine* incorporates two distinct deformational features: the absence of an ESC and the use of an 'introduction-coda frame'.[27] Hepokoski and Darcy describe the failure to achieve an ESC in the recapitulation as a 'failed recapitulation' or a 'sonata failure'.[28] It is a failure because per Hepokoski and Darcy's statement, the job of the S theme is 'to drive to a secured PAC' (2006, p. 177). Failing to achieve this in the recapitulation is seen as 'a strong expressive gesture', as it defers the task of securing the PAC beyond the sonata space, the coda (p. 245). As noted by Horton, *Melusine*'s recapitulation does not secure any ESC within the sonata space itself, instead the last PAC tonicises VI (2021, p. 303). This tactic resembles Beethoven's *Egmont* where the recapitulation firmly establishes itself in the submediant key (VI). The difference lies in *Egmont* remaining in the submediant key and successfully securing the VI: ESC, considered by Hepokoski and Darcy as the most extreme form of sonata deformation (2006, p.

[27] Terminology by Hepokoski (1993)
[28] Terminology by Hepokoski and Darcy (2006)

254). Regarding the introduction-coda frame,[29] Horton's analysis suggests that this deformation not only involves reintroducing introduction in the coda section, but also its recurrence in bars 161-211 in the development section, where this framing function intrudes upon the sonata space (2021, p. 311).

As previously mentioned, Vande Moortele (2013) describes the deformational concept as a negative approach, where nineteenth-century forms are measured against 'a set of types and norms that are external to it', specifically in relation to classical precedent. However, Horton argues that the explanation of why *Melusine*'s failure to achieve ESC 'is more appropriately sourced to the processual network than to the misprision of classical norms' (2021, p. 316).

The beginning of the *processual network*[30] can be traced from the relationship between the exposition's introduction and main theme. Initially, bars 1-48 serve as a main theme function, characterised by clear thematic organisation in a small ternary structure with F major as the tonic key (Table 2.4.2/1). Upon securing a PAC in bar 40, it becomes reasonable to view bar 49 as the onset of a transition. However, the modal shift to F minor and subsequent modulation to A-flat established in bar 123 suggest that F minor functions as the 'sonata form's functional tonic' (p. 306). As noted by Horton, it is challenging to find classical precedents that illustrate an expositional tonal scheme where the secondary theme relates to the transition diatonically but connects to the main theme through modal mixture (p. 306). Consequently, bars 1-48 are retrospectively reinterpreted as an introduction through a regressive transformation, thereby negating their initial main-theme function. Horton represents this as A <= Int. ($A^{neg.}$).

Table 2.4.2/1: Mendelssohn's Melusine Overture, introduction and theme A, Horton

Measures	1	8	17	25	33	40	49	50	53	59	60	67^2
Large-scale function	⇐Intro.						Exposition					
Inter-thematic function	A					… negated	A⇒A1					TR
Intra-thematic function 1	A1		CM	$A1^1$		codetta	intro.	b.i.	continuation (model-sequence-fragmentation)	cadential	fragmentation	
Intra-thematic function 2	antecedent	consequent		consequent	⅞							
Tonality and cadence	I HC	V:PAC	Standing on V	I PAC	PAC		i			HC	Standing on V	i

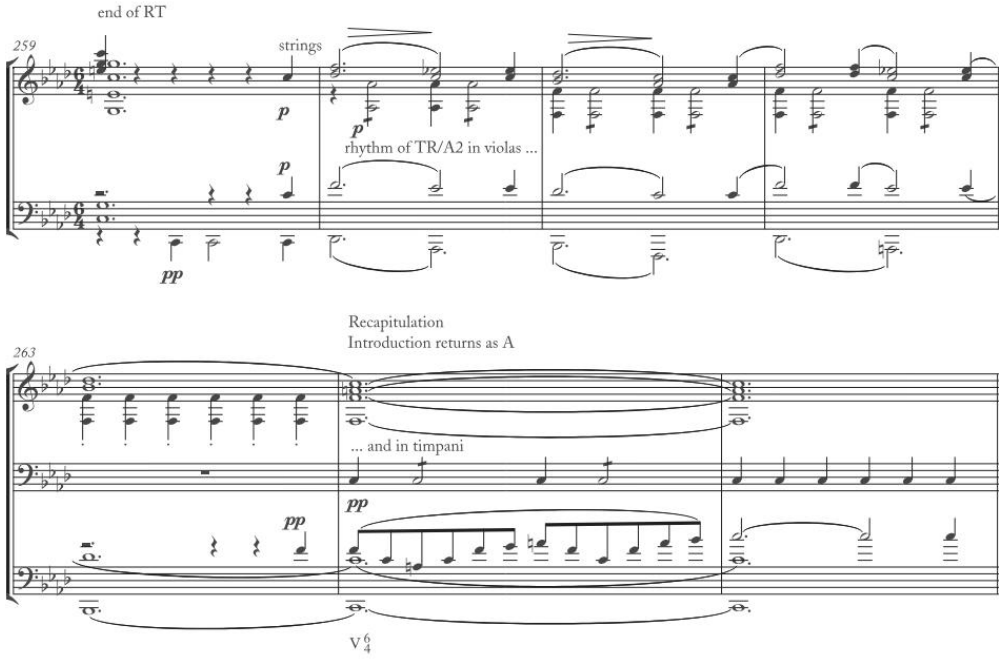
In the recapitulation, the return of the introduction at bar 264 opens up the possibility attain functional status within the sonata space (Example 2.4.2/1). The thematic structure of the introduction becomes simplified, resulting in a more tight-

[29] In EST page 304, the introduction-coda frame deformation refers to a situation where "material from the introdution returns as all or part of the coda." However, in his 1993 publication 'Sibelius: Symphony No. 5' on page 6, it can refer to a situation where introduction 'may also intrude into certain inner sections of 'sonata'.

[30] Term by Julian Horton

knit structured period. Following the attainment of a I: PAC at measure 279, a new transition emerges that draws upon the introduction material rather than directly corresponding to the exposition, whether truncated or not. Additionally, with the entrance of the secondary theme at measure 289, the bipartite main theme from the exposition is absent,[31] resulting in a transformation of the introduction's function into that of the main theme. This transformation contrasts with the regressive transformation observed in the exposition. Horton uses the term 'A *sublated*' to describe the introduction that is simultaneusly preserved and transcended, drawing from Hegelian philosophy. This term illustrates a situation where 'the initial condition of negation is now overcome at a higher formal level'. Therefore, Horton labels this transformed introduction as $(A^{neg.}) => A^{subl.}$.

Example 2.4.2/1: Mendelssohn's Melusine Overture, recapitulation's beginning, Horton



The main theme material of the exposition does not completely disappear; the return of TR/A2 in F minor at the end of the secondary theme zone carries 'an echo of the exposition's functional order as well as its minor tonality' (p. 309). However, from bar 327 onwards, the TR/A2 material contends with the intrusion of $A^{subl.}$. According to Horton, one way to interpret this conflict is as a delayed attempt to restore the 'affective universe' of the bipartite main theme folowing its formal removal. However, this endeavour fails owing to the 'heavy formal burden' carried by the C section, caused by the secondary theme settling on the VI, which prevents a

[31] For greater accuracy, Horton describes the bipartite main theme as having functional ambiguity between A2 and the transition, thus leading to his label of it as TR/A2.

structural tonic cadence (p. 310). Therefore, the first deformational feature, the failure to achieve an ESC, which is eventually resolved in the coda, results from the processual network of the introduction's intrusion to the main-theme space. Hence, the closing section primarily focuses on reaffirming F minor as a musical premise rather than solidifying it as a final destination.

Turning to the second deformational feature, the introduction-coda frame occurs within the processual network. The return of the introduction in the coda space signifies that the transformed $A^{subl.}$ returns to its framing function, thus regressing once more. Horton represents this reading as $A^{subl.}$ <= Int. as coda. Furthermore, Horton notes that the coda preserves the thematic identity of $A^{subl.}$ while exhibiting a dual nature in terms of its relationship to the overall structure. This encompasses both circular transformation, which involves existing within and outside the functional boundaries of the sonata space, and progressive transformation, where the framing function that previously occurred before the sonata space now serves as a framing function after the sonata space. Horton illustrates this interpretation as $A^{subl.}$ <=> (Int. => Coda).

Table 2.4.2/2: Mendelssohn's Melusine Overture, form and narrative, Horton

Form	Introduction	Exposition				Development				Recapitulation			Coda
Melusine (supernatural)	A⇐Int. ($A^{neg.}$)					Int.		Int.		Int.⇒$A^{subl.}$			$A^{subl.}$
Melusine (human)				B			B				B		
Raimund		A⇒A1	TR⇐A2		⇒C(A2)		A2					⇒C(A2)	
Tonality	I	i		III		V→	iv	i→VI	V/i	I	VI→i	i	I

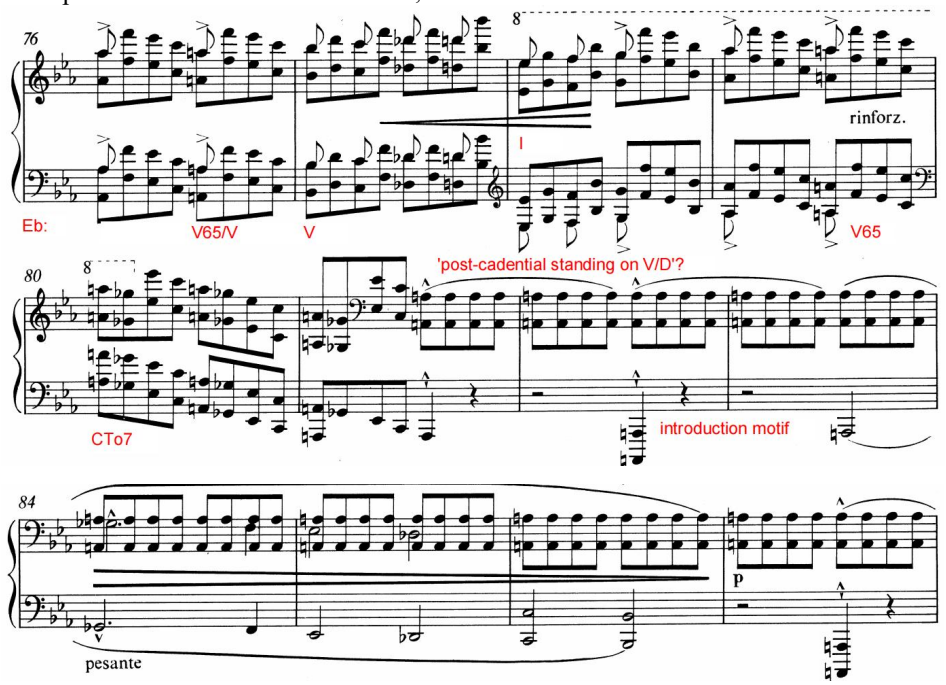
2.5: Different Compositional Practice and the Relevance of MC

Before exploring the temporal dimension of the MC in Chapter 3, I would like to acknowledge that there are other nineteenth-century compositional practices where the concept of MC holds little, if any, significance. Liszt's Sonata in B minor, for instance, is a representative example where analysing its form-functional syntax is more illuminating.

As discussed by Vande Moortele (2009), the functional becoming in Liszt's B-minor sonata unfolds similarly to the first movement of Beethoven's *Tempest* Sonata where introduction => main theme (bb. 8-31) and main theme => transition (bb. 32-104). Syntactically, Vande Moortele identifies TR as sentential, in which the key starts to modulate from the sequential repetition of the double basic idea. I identify a separate second continuation phrase (octave passage) that unfolds sententially and

expresses B-flat major: the basic idea resides in I (b. 55), the sequential repetition of basic idea moves to VI (b. 61), and the sequential dissolving restatement moves to IV (b. 67). Starting from bar 67, the grouping undergoes fragmentation and the P-theme motif is liquidated, culminating in a vii^{o7}/B-flat major chord in bar 81. The bass A is subsequently prolonged for 20 bars before entering S (b. 105). Syntactically, this prolongation section carrying the introduction motif (bb. 1-7) implies a post-cadential function. From the persepctive of S, harmonically, the prolonged A serves as a standing on V. Harmonically, the modulation to D major (the key for S) is done via a CT^{o7} (Example 2.5/1). Therefore, although bars 81-104 can be regarded as a standing of V leading to a D-major S theme, this V is 'prolonging' a non-functional chord. Furthermore, as Vande Moortele mentioned, the standing on V is 'too long and too strong to be the preparation of a mere subordinate theme group . . . (and it) behaves as if it were the end of a development section rather than the end of a transition' (2009, p. 45). He adds that the reappearance of the introduction motif 'takes on a strong form-articulating function throughout the composition', thus strengthening the idea that the standing on V resembles the end of a development.

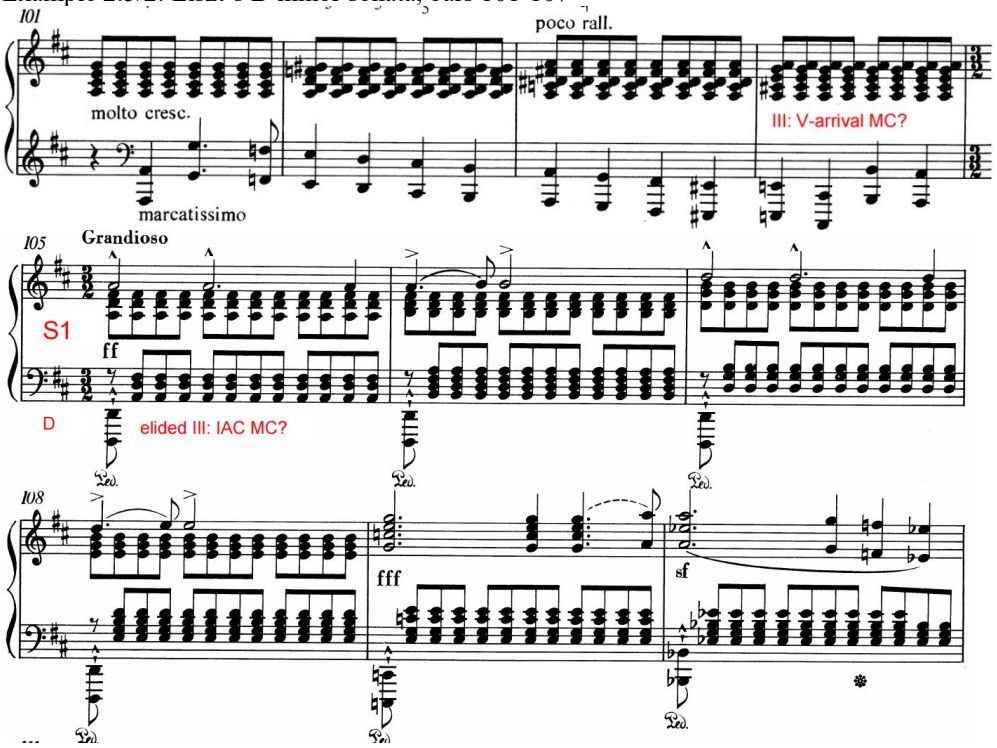
Example 2.5/1: Liszt's B-minor sonata, bars 76-83



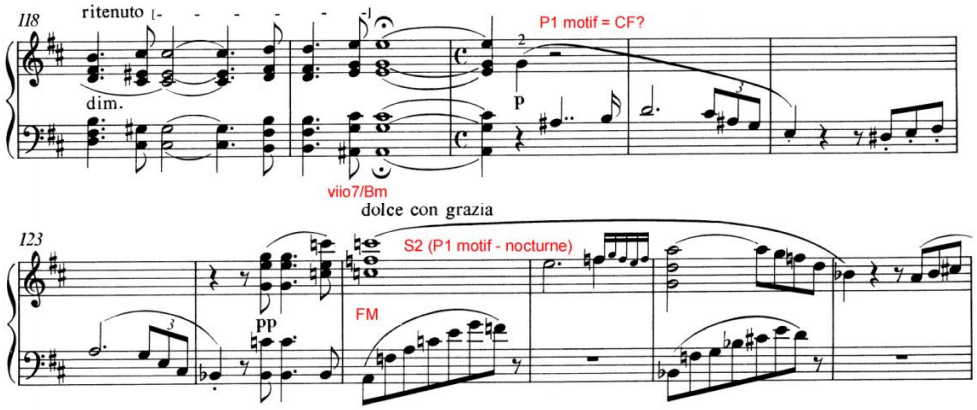
It is clear that the S theme begins in bar 105, marked by a new theme and its grand arrival in D major (Example 2.5/2). If we adhere to the formal significance of the MC as a guiding principle in navigating the form, it can lead to analytical challenges in understanding the thematic process within the exposition. For instance,

one might attempt to force an MC reading in bar 105 as a deformational elided III: IAC MC, which, alongside the previously mentioned issue of the standing on V, presents a parametric misalignment, reminiscent of Mendelssohn's Op. 66 (i), where the piano texture extend beyond S (Example 2.5/2). Vande Moortele also sees a possibility for an MC reading, regarding bar 104 as the MC, where a III: V-arrival serves as the harmonic preparation, followed by a juggernaut-type CF. However, his viewpoint regarding the MC in this context suggests that the MC is overwritten because the standing on V, 'which initially may seem to be an arrival, is reactivated to lead to the tonic arrival at the onset of the first subordinate theme', thereby emphasising less on the persistence of the piano's texture.

Example 2.5/2: Liszt's B-minor sonata, bars 101-107

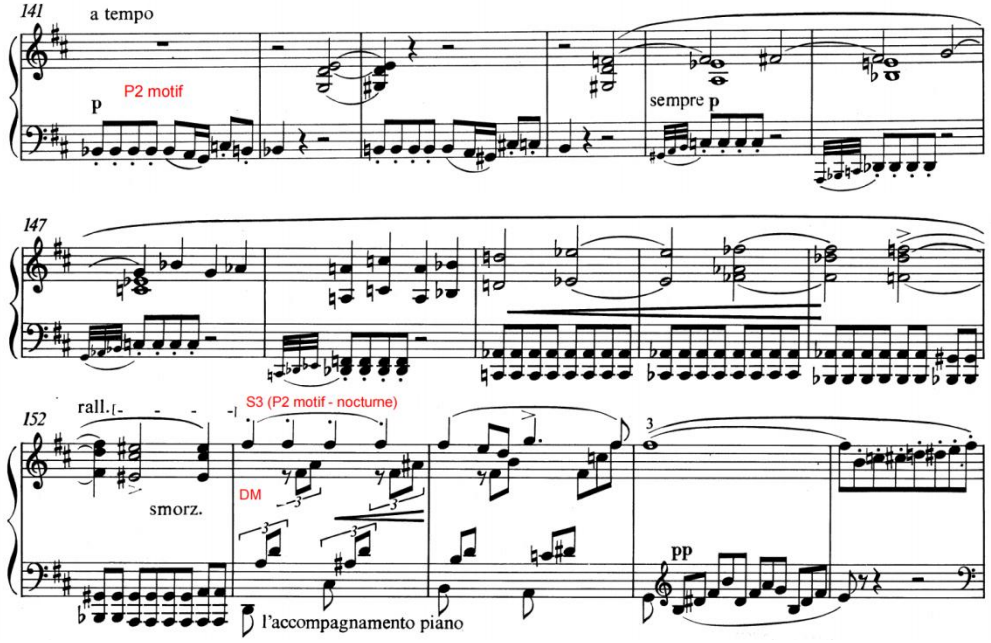


Example 2.5/3: Liszt's B-minor sonata, bars 118-128



The subsequent analytical challenge revolves around how the S theme unfolds. Vande Moortele reads bars 105-204 as an S-theme group comprising three thematic ideas: the first idea is newly composed, while the second and third ideas respectively transform the topic of P1 and P2's motif into a nocturne. Horton (2023)[32] interprets bars 105-204 differently, identifying functional regressions: S1 <= TR; S2 <= TR; S3. The S theme (S1) is dissolved: thematically, a linking passage using P1 motif occurs in bars 120-124; and harmonically moving away from D major (Example 2.5/3). The entrance of P1-based S theme (S2), now set in a nocturne style, exhibits a heightened lyrical quality, thus able to provide a stark contrast against the energetic P theme. Subsequently, S1, characterised by its dissolution, regresses back to TR. Narratively, S1 is deemed inadequate and is consequently replaced by another thematic idea derived from P, which undergoes topical transformation. S2 is also inadequate in two respects: it enters in F major and dissolves in bar 141 by reintroducing the original form of P2 motif (bb. 13-15). Consequently, S2 regresses to TR and S3 replaces S2 as the 'real S' by using P2 motif, transforming it into a nocturne style, and returning to D major. Thus, the deficiencies observed in S1 (persistence of TR's texture) and S2 (the key) are rectified in S3 (Example 2.5/4).

Example 2.5/4: Liszt's B-minor sonata, bars 141-156



If the principle of MC is kept, the functional regressions are supposedly illustrated as S1 <= TR' MC2; S2 <= TR' MC3; S3. This illustration also resembles

[32] Based on Horton's power point lecture in Durham University.

Hepokoski and Darcy's idea of trimodular block, albeit in Liszt's case, there are two unsatisfactory S themes, thus suggesting a quadri-modular block[33]. While theoretically plausible, this illustration is not reflected in the present case. First, regarding MC2, there is an expanded textural gap spanning from bar 120 to 124. However, the 'CF' is exactly derived from P1 motif, an aspect that has not been addressed in any Sonata Theory discussions regarding this MC situation and its precedent. Harmonically, it culminates in vii^{o7}/B minor chord (b.119), where the A-sharp is enharmonically reinterpreted as B-flat, seemingly belonging to a V^{42}/F major chord (b. 124). However, even under the assumption that a cadence is delayed, no cadence in F major is achieved. Consequently, no MC2 is identified. At most, bars 120-124 can be perceived as an MC-effect but do not function as the real MC.

Second, unlike MC2, it is feasible to identify MC3 as an elided III: IAC (b. 153) is discernible. Furthermore, S3 introduces a contrasting texture compared to the preceding passage (bb. 141-152), where S2 dissolves. However, referring back to the illustration (TR' MC1; S1 <= TR' MC2; S2 <= TR' MC3; S3), only MC3 appears viable. There is no compelling explanation for the exclusive presence of MC3 to introduce S3, nor for the absence of preceding MCs in the preceding S modules. Consequently, maintaining the concept of MC lacks merit in this context, as it underscores a practice where MC is formally insignificant. Therefore, analysing this sonata in terms of its syntax proves more productive.

[33] This is not present in Sonata Theory.

Chapter 3: The Spectrum of MC

3.1: Preface

In this chapter, I propose a novel approach to studying the historical evolution of obscured MCs. I begin by examining a specific MC scenario in Beethoven's works and exploring its influence on subsequent composers particularly Mendelssohn and Schumann, investigating the extent to which they potentially abandon the MC as a structural feature of sonata form. Subsequently, I analyse Hiller's MC treatment within this context, considering how these three composers shaped Hiller's musical trajectory during the first half of the nineteenth century. Hiller, recognised as an authoritative interpreter of Beethoven's works, notably performed as the soloist in the first Paris concert of Beethoven's Fifth Piano Concerto, as noted by Wane Senner (1999). His move to Dresden in 1844 facilitated his collaboration with Schumann, including conducting the premiere of Schumann's Piano Concerto in A minor on January 1st, 1846, a work dedicated to him. Particularly significant is Hiller's association with Mendelssohn.[34]

My approach complements Richards' obscured MC and three-stage MC in two key aspects. First, as previously discussed in Chapter 1, Richards' classification of singly-, doubly-, triply-, and quadruply-obscured MCs aims to trace Beethoven's stylistic evolution, that is, his use of increasingly complex obscuration techniques. However, a limitation of this approach is that not all MC situations within the same category exhibit uniform degree of obscuration. For instance, both Op. 110 and Op. 130 are categorised as triply obscured MCs, yet they differ in the specific MC elements obscured. While the former feature an incomplete MC lacking a textural gap, the latter displays an expanded CF. Despite belonging to the same category, they employ distinct MC strategies, making it difficult to ascertain whether the elided MC or the expanded CF is more obscured. Therefore, the first aspect of my approach is to isolate a specific MC strategy relevant to Hiller's repertoire and track its evolution over time.

Second, my approach aims to further elevate the temporal dimension of MC. This approach complements one of Romantic form's features, parametric non-congruence between TR and S, which is explored by Horton (2020). While Richards'

[34] Evident in his publication 'Mendelssohn Letters and Recollections', comprising Mendelssohn's correspondence with him and his own commentary on these letters.

methodology focuses on analysing individual MC moments and evaluating their conformity to the three-stage MC concept, my approach concerns the entire TR and S, assessing which MC elements persist beyond the designated MC space, thereby indicating variations in the occurrence of each MC element.

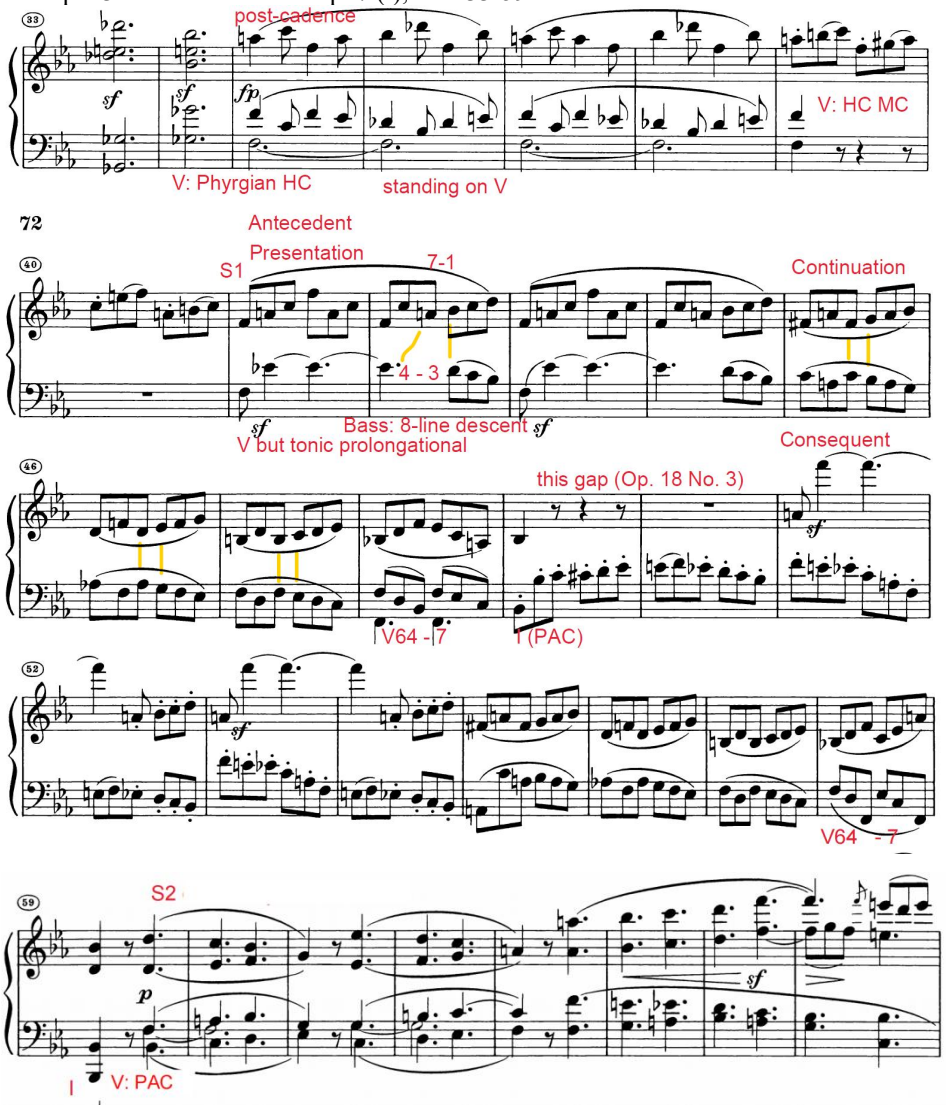
3.2: Beethoven's Obscured MCs - Standing on V and Parametric Misalignment

Richards (2013) illustrates how the delineation between TR and S in Beethoven's instrumental sonata-form compositions becomes increasingly blurred, as evidenced by his concept of the obscured MC. Beethoven often obscures MC space by introducing S on the new key's dominant and keeping TR's textural drive, a tendency also noted by Janet Schmalfeldt in *In the Process of Becoming* (2017). For instance, in the first movement of Beethoven's piano sonata in E-flat major Op. 7, TR concludes harmonically with a V: Phrygian HC in bar 35. This cadence is followed by a post-cadential function, leading to a potential V: HC MC in bars 39-40. Up to this point, everything aligns with typical late-eighteenth-century practices (Example 3.2/1). However, the CF increases the rhythmic activity, which is picked up by the S-theme. Moreover, the S-theme entering on the dominant creates the impression that it still prolongs the V: HC to some degree. Furthermore, a V: PAC occurs in bar 49, followed by a textural gap with a CF-like figure now in the bass. Until bar 50, we encounter two cadences, each is succeeded by a textural gap. When analysing this situation syntactically and considering Hepokoski and Darcy's MC concept, a question arises: how certain are we that the MC is situated in bars 39-40 and not 50-51?

Perhaps, it is still straightforward to consider bars 39-40 as the MC for three reasons. Firstly, what ensues is a period in which both the antecedent and the consequent are sentential. It is important to note that my interpretation of bars 41-59 as a period violates Caplin's theory, which states 'the perfect authentic cadence cannot be used to close an antecedent phrase, since this strong cadence achieves complete harmonic and melodic closure' (Caplin, 1998, p. 51). Secondly, the dominant harmony initiating S becomes tonic prolongational, as evidenced by the scale-degree motion from ^7-^1 and ^4-^3. Examining the antecedent of S in its entirety, the scale degree motion continues, resulting in an 8-line descent in the bass, reaching a cadential V^{64}. Lastly, bars 39-40 embody the intrinsic and extrinsic

characteristics of an MC, including a textural gap and proper alignment within the rotational order. Furthermore, as observed by Hepokoski and Darcy, the V: HC MC represents the most prevalent choice in late-eighteenth-century practice. It is noteworthy that a concatenation of a post-cadential function, a gap, and an S theme on the dominant elucidates the distinction between the dominant that is dominant-prolongational and tonic-prolongational.

Example 3.2/1: Beethoven's Op. 7 (i), bars 33-59

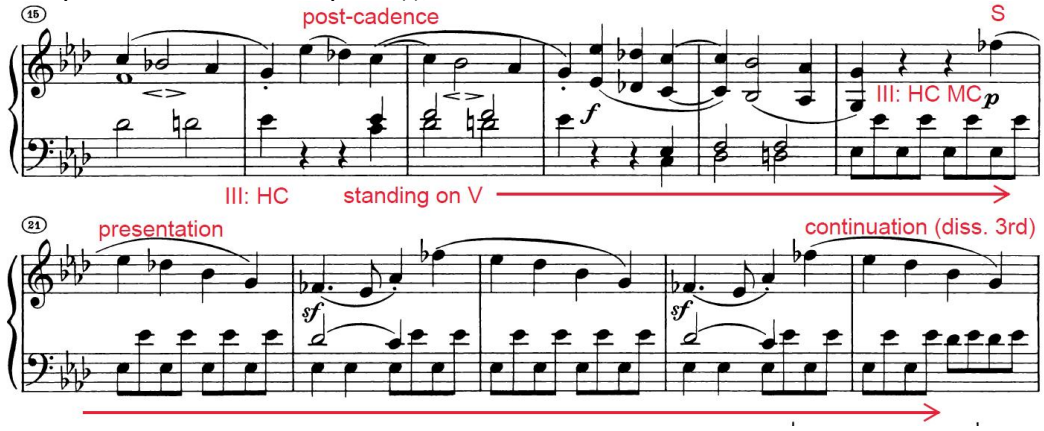


The level of obscuration increases when the S theme not only begins with a dominant harmony, but also stands on V, as is observed in the first movement of Beethoven's piano sonata in F minor, Op. 2, No. 1 (Example 3.2/2). TR section begins in bar 9 with a restatement of P's basic idea in the bass. Beginning with C minor, the harmonic progression leads to a converging III: HC initiated in bar 15. Following the HC arrival in bar 16, the cadential idea is repeated twice, resulting in two more HC arrivals in bars 18 and 20, respectively. As noted by Caplin (1998), the

HC in bar 16 serves as TR's cadential marker, and the repetition of the cadential idea is therefore considered as the standing on V, functioning as a post-cadence.

The post-cadential function concludes in bar 20, marked by the subsequent textural gap. However, this gap is filled with a dominant pedal that persists until bar 25. Although we identify the S theme beginning in bar 21 syntactically as a sentence, as the music progresses, the S theme's presentation phrase standing on V slightly undermines our perception whether we have truly entered S space. Additionally, our interpretation of the S theme's dominant pedal as prolonging the tonic is not only based on S theme's syntax and its underlying harmonic progression, but also on the presence of a textural gap that effectively separates the exposition's first part and second part. Therefore, I argue that the rhetorical aspect becomes significant, given that the assurance in perceiving bar 21 as the beginning of the S theme stems from the MC articulation in bar 20.

Example 3.2/2: Beethoven's Op. 2/1 (i), bars 15-25

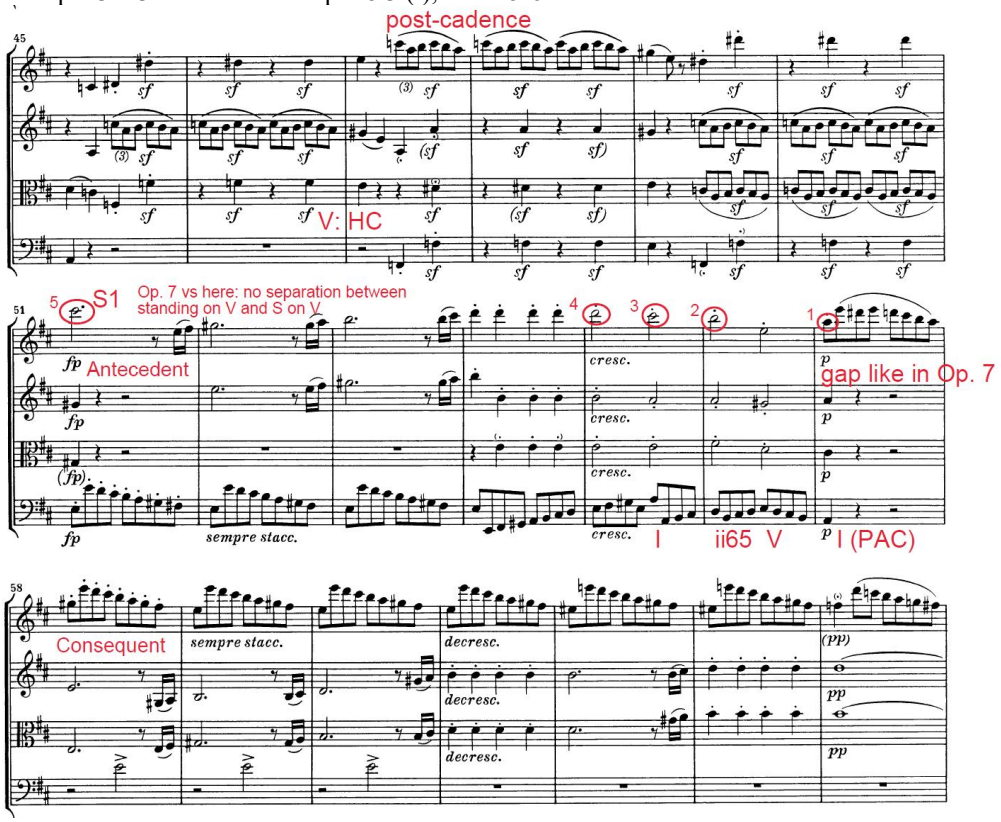


In instances where the rhetorical aspect of the MC is absent and the S theme stands on V, when experienced temporally, our perception most likely inclines towards regarding the S theme as a post-cadential function. This scenario is exemplified in the first movement of Beethoven's String Quartet in D major, Op. 18, No. 3 (Example 3.2/3). Like Op. 2, No. 1 (i), the arrival of a V: Phrygian HC in bar 47 is followed by two repetitions of the cadential idea. In bar 51, the second violin and the viola drop out, but we cannot consider this bar as the textural gap for two reasons. Firstly, despite a sudden energy drop, it quickly reaccumulates. Secondly, this re-accumulation of energy is accompanied by a more intense rhythmic drive in the bass. Furthermore, bar 57 serves as a more ideal MC because it marks a complete release of energy, with the gap filled by a CF. In addition, a cadential motion is initiated in bar

55, leading to a V: PAC in bar 57. Hence, the potential MC in bar 57 fulfills the requirement of featuring both a cadence and a textural gap.

However, interpreting a V: PAC MC in bar 57 has two major drawbacks when considering TR and S as a whole. First, acknowledging a V: PAC as TR's ending means that the previous V: HC in bar 47 is reinterpreted as a penultimate dominant. According to Caplin (2004), this reinterpretation is implausible because transforming an ultimate dominant into a penultimate one negates the HC as formal closure, conflicting with the subsequent passage as functionally post-cadential.[35] Furthermore, the repetitions of the cadential idea strengthens the role of the HC as formal closure. Second, restating the phrase that stands on V (b. 51) makes the whole passage from bars 51-67 as a periodic S1 with a dissolving consequent that modulates to C major, subsequently followed by S2. Consequently, we now perceive bar 51 as the onset of S, elided with TR's ending, and thus forming an elided V: HC MC (not in cadential sense).

Example 3.2/3: Beethoven's Op. 18/3 (i), bars 45-64



Alternatively, one can also perceive bars 51-57 as an expanded CF featuring a ^5-^1 linear motion, as previously discussed in Chapter 1, that is retrospectively

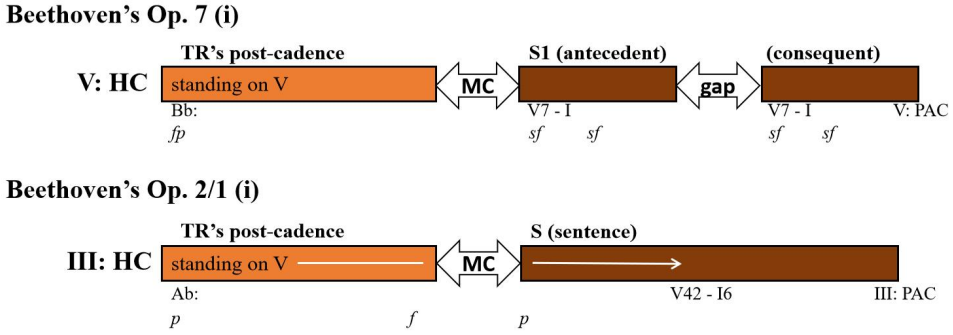
[35] This issue has been disucssed by Caplin (2004) in response to Hepokoski and Darcy's MC interpretation in the first movement of Beethoven's Op. 1, No. 2.

reinterpreted as the S theme. Worth mentioning is that the elements of expanded CF are embedded in the S theme: standing on V and ^5-^1 linear motion. Thus, the ambiguity between two different functions is pronounced. Hepokoski and Darcy also address this issue, particularly in a situation where S^{0} or $S^{1.0}$ prolongs the 'caesura-dominant' and features a ^5-^1 linear motion, making it difficult to distinguish between the two (2006, p. 143).

Returning to elided V: HC MC, the formal elision between TR and S renders the role of the dominant pedal beginning from bar 51 ambiguous. When experienced temporally, the dominant pedal first functions as a dominant prolongation. This MC is thus undermined more strongly than that of Op. 2, No. 1, owing to the omission of a gap and a strong MC-effect in bar 57. Once bars 51-68 are perceived as a cohesive unit, we then recognise the formal elision, allowing for a convincing reinterpretation of the dominant pedal as prolonging tonic.

The conflict between real-time listening experience and retrospective reinterpretation does not reconcile the dual roles of the dominant pedal in prolonging both tonic and dominant functions. In this context, I discern a conflation between tonic and dominant prolongations resulting from the gap's absence and an S-theme standing on V. With the S theme commencing in bar 51, the V: PAC arrival in bar 58 occurs prematurely. Although bars 51-57 form a sentence that is perfectly concluded by the PAC, both the S theme and the cadence are insufficient to fully resolve the conflated roles. Therefore, I propose that following the V: PAC, the S theme must proliferate, possibly diverting to tonicise another key, leading eventually to another V: PAC as a definitive structural closure. Beethoven solidifies the credibility of the second V: PAC as a structural closure by repeating and extending the ECP in bars 75-81, providing a firmer establishment in A major.

Figure 3.2/1: progressive MC obscuration in Beethoven's works



Beethoven's Op. 2/1 (i)

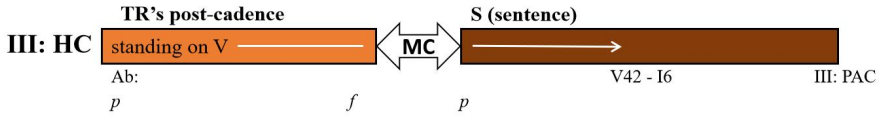


Figure 3.2/1 depicts the progressive obscured MC based on the three examples discussed. As a starting model, in Op. 7, the harmonical aspect as obscuration device is minimal as the S theme entering on V is clearly tonic prolongational. The ambiguity primarily arises from the transitional texture of the S theme and the energy accumulation. Consequently, the S theme expands, facilitating the introduction of S2 with a contrasting texture and a softer dynamic.

From Op. 7, there are two ways in which the MC situation can be further obscured. The first is evident in Op. 2, No. 1, which abbreviates Op. 7's exposition model. Harmonically, the MC is more obscured because the gap is filled in with the accompaniment of S, which still stands on V and lasts until the end of the S theme's presentation phrase. As in Op. 7, the texture of the S theme is transitional, coupled with an accumulation of energy. However, unlike that of Op. 7, the S theme does not proliferate, and as a result the exposition is concise. This exposition is directly aimed at reaching the end of S, making the two-part aspect less discernible. The second can be seen in Op. 18, No. 3, which is similar to Op. 7 in terms of an existing textural gap (MC-effect) within S. The former's MC is much less discernible owing to three consecutive elements: the absence of a gap, the fact that the S theme stands on V, and the subsequent appearance of a V: PAC followed by a gap. As I mentioned earlier, when experienced in real-time, these occurrences creates a misleading perception, suggesting that the gap within S functions as the MC.

Both Op. 2, No. 1 and Op. 18, No. 3 imply a parametric misalignment where the standing on V, belonging to TR's post-cadential function, persists beyond S. The latter, in particular, is picked up by Mendelssohn to blur the boundary between TR and S, embodying the continuous formal process from TR to S.

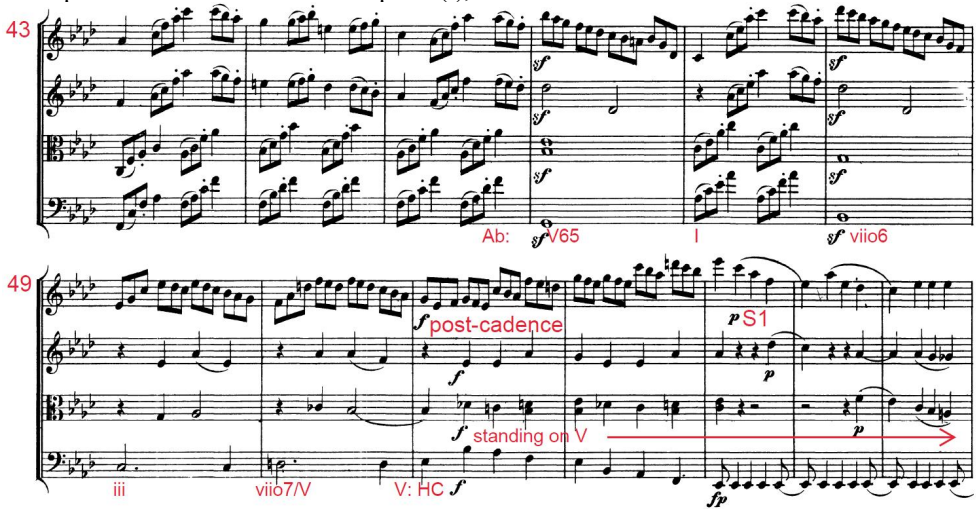
3.3: Mendelssohn and Schumann - Dismantling MC

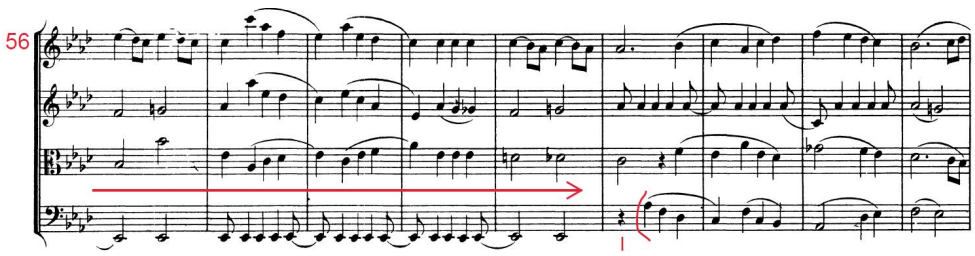
3.3.1: Mendelssohn's String Quartet No. 6 in F minor, Op. 80 (i)

The influence of Beethoven's MC treatment in Op. 18, No. 3 is especially evident in the first movement of Mendelssohn's Op. 80 (Example 3.3.1/1). In contrast to the expansive P-theme group, the TR is concise, featuring consistent triplet runs. Beginning with a tonic pedal, it modulates to A-flat major in bar 47. Over the next four bars, a converging III: HC is secured, followed by a post-cadential dominant pedal. To judge by the triplet runs, TR space concludes in bar 53. This is emphasised by the immediate drop in dynamic to *piano* in the same bar, signaling the beginning of new material. Although bars 51-52 may be construed as a post-cadential function, they align rhetorically with Hepokoski and Darcy's depiction of CF *juggernaut*, wherein the MC space is filled with a full texture and *forte* dynamic. In this context, an S-theme follows the MC with a sudden drop to *piano*, as evident in bars 51-53.

This MC reading, however, falls shorts as the new material maintains the standing on V. This suggests that the passage starting from bar 53 could be post-cadential. Furthermore, the standing on V persists until bar 60, with the phrase ending in bar 61. Yet, a restatement of the new material in the tonic of III on the second beat of bar 61 indicates that bar 53 marks the onset of the S-theme, highlighting a misalignment between TR and S.

Example 3.1.1/1: Mendelssohn's Op. 80 (i), bars 43-64





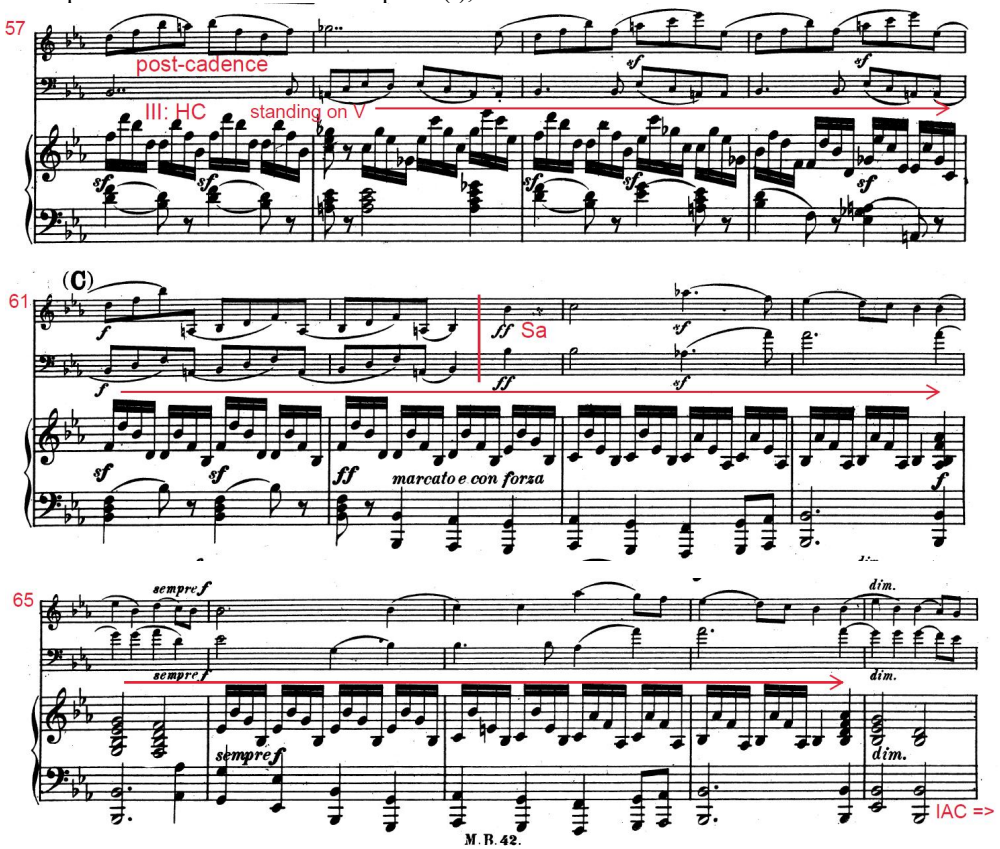
This parametric non-congruence is more complex than Beethoven's Op. 18, No. 3. In Beethoven's case, the S theme entering on the standing on V conflates the dominant's function, serving both a dominant prolongation a tonic prolongation. However, in Mendelssohn's case, the S theme enters above the dominant pedal, which functions solely as a dominant prolongation. This distinction is evident as the bass in bar 61 breaks off in order to highlight the restatement of the S theme in bar 53, which begins on the second beat. Although a V^{65}-I progression occurs later in the S-theme group (b. 77), the absence of a cadence concluding S suggests that the new key center fails to be firmly established, thereby undermining any dominant functioning as a tonic prolongation. Moreover, unlike Op. 18, No. 3 where the gap is displaced as part of the misalignment, in this movement, no textural gap is present. Consequently, the combination of any undermined tonic prolongation, the absence of a displaced gap, and the lack of a structural cadence further complicates the perception of MC in comparison with Op. 18, No. 3.

3.3.2: Mendelssohn's Piano Trio No. 2 in C minor, Op. 66 (i)

Opus 66 features a notably intricate scenario of parametric misalignment when compared to Op. 80 (i), thereby complicating the perception of MC further. After attaining a III: HC in bar 57, a standing on V follows, marked by reiteration of vii^{o7}/V-V (Example 3.3.2/1). Furthermore, there is also a liquidation process in which the 2-bar unit constituting the half-cadential motion is gradually reduced until it becomes two quavers, evident in bar 62. This liquidation signals the conclusion of TR, as indicated by the immediate introduction of the S-theme, resulting in a flush-juxtaposed MC. However, despite the juxtaposition, TR's texture is maintained, suggesting a misalignment between TR and S in terms of both melody (inter-thematic function) and texture. This maintenance is supported harmonically by standing on V in bars 62-68. Initially serving as a dominant prolongation, the standing on V assumes the additional function of tonic prolongation following the attainment of what Horton

(2020) describes as a 'putative imperfect authentic cadence' in E-flat major in bar 70, confirming the establishment of a secondary key area. This phenomenon resembles Beethoven's Op. 18, No. 3, where the standing on V conflates both the tonic and dominant prolongation functions, ultimately leading to a cadence that fails to close the S section owing to misalignment and conflation. Consequently, the S theme proliferates in search of a definitive PAC, and eventually unfolds as a small ternary.

Example 3.3.2/1: Mendelssohn's Op. 66 (i), bars 57-69



According to Horton, a space to articulate MC in bar 62 is overwritten as the texture and harmony of TR persist beyond S. However, melodically, the liquidation makes it evident that TR's phrase concludes on the third beat of bar 62, with the S theme starting on the fourth beat. Considering MC as a rhetorical feature with embedded harmonic elements, one could entertain the interpretation that this example demonstrates the possibility of the S theme entering without an MC, which contradicts Hepokoski and Darcy's motto that '*if there is no medial caesura, then there is no secondary theme*' (2006, p. 52). However, I argue that the MC still exists, which I will theorise the MC further in Chapter 3.4.

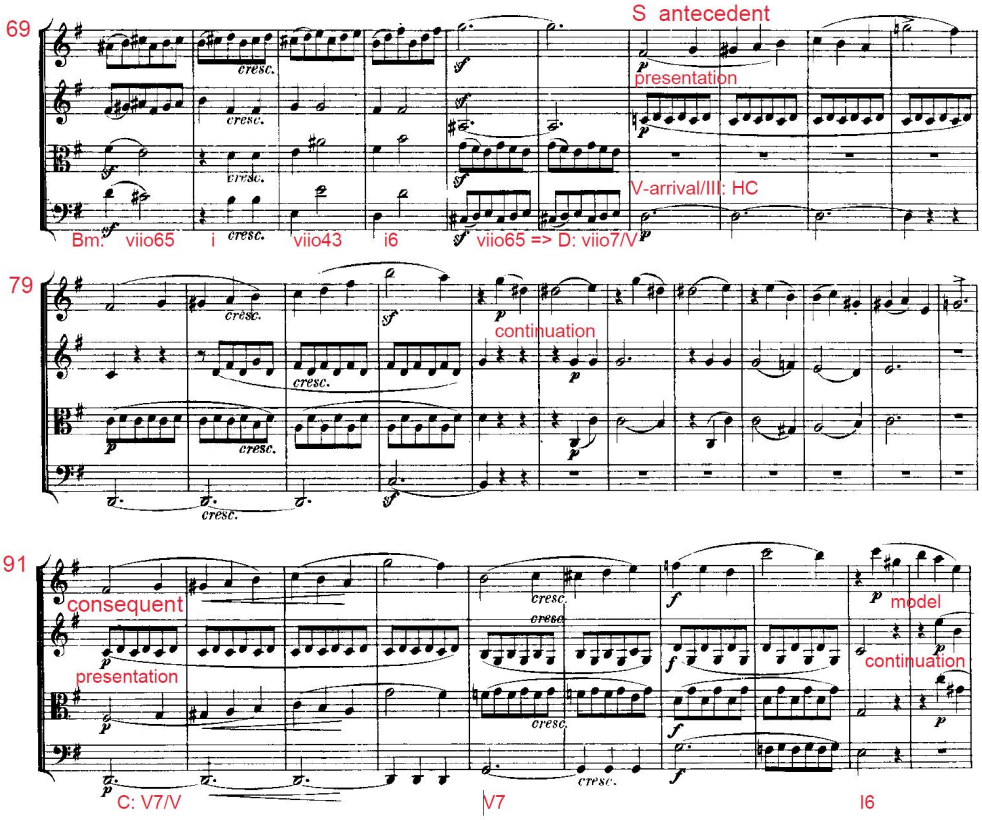
The attempt by the S theme to proliferate in search of a more definitive III: PAC is thwarted by the modulation to G minor, confirmed with a cadence, resulting in

a three-keys exposition. As noted by Horton, there are four attempts to confirm G minor, none of which are 'cadentially definitive' (2020, p. 253).

3.3.3: Mendelssohn's String Quartet No. 4 in E minor, Op. 44 No. 2 (iv)

In contrast to the preceding examples, the S theme in this movement enters on an attenuated HC, illustrating a different kind of undermining MC (Example 3.3.3/1). First, TR departs from E minor and modulates to B minor, as evidenced by reiterations of vii^{o7}-i. This modulation also suggests that B minor is likely to serve as the key for S. However, in bar 74, vii^{o65} of B minor resolves to V^7 of G major. Consequently, the vii^{o65} is reinterpreted enharmonically as vii^{o7}/V of G major, resulting in a half-cadential progression. The III: HC in bar 75 is articulated weakly because of two aspects: 1) while the soprano does resolve to F-sharp, it does not do so in the same register, and the A-sharp in the second violin does resolve properly; and 2) there is a sudden dynamic drop to *piano*.

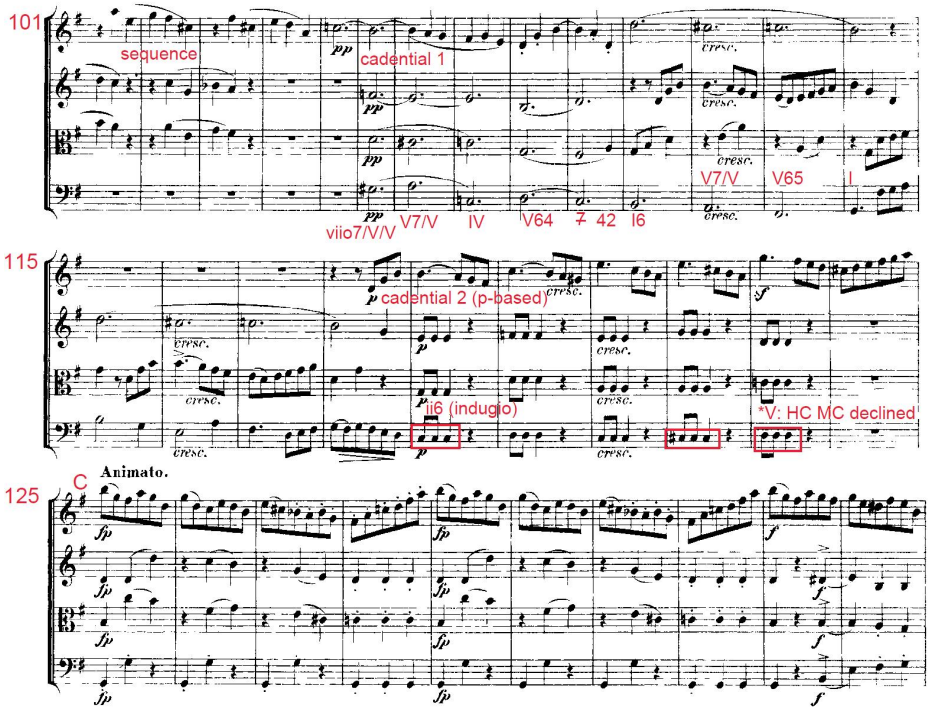
Example 3.3.3/1: Mendelssohn's Op. 44 No. 2 (iv), bars 69-100



The misalignment between TR and S in this movement is evident as the S theme enters on an attenuated III: HC and its subsequent prolongation, possibly intended for a post-cadential function. This dominant prolongation becomes tonic

prolongation when the bass moves down to B, albeit not in the same register, reaching an apparent tonic in bar 83. However, this apparent tonic cannot establish the new key and thus, remains ungrounded. Moreover, the S theme's consequent also begins with a dominant pedal, with the bass moving to G, but harmonically, we are in the secondary tonal level of G major, highlighting C major. It only becomes apparent that the music in G major when the cadential phrase 1 closes prolongationally in bar 111 (Example 3.3.3/2). The ensuing one-more-time technique (OMT) also leads to the same closure. Subsequently, cadential phrase 2, thematically derived from P, achieves a III: HC, resulting in an open-ended S. My reading of this cadence contrasts with Benedict Taylor (2020), who identifies an IAC in bar 125 instead. I argue instead for a III: HC in bar 123 for two reasons. First, I observe an indugio schema in the second OMT (b. 119), where the predominant ii^6 is extended, rendering the diminished chord in bar 120 as a non-functional neighboring chord. In terms of bass motion, the scale degree ^4 ascends chromatically to ^#4 before reaching ^5. Second, a textural gap occurs, placing emphasis on the V^7 chord and effectively separating it from the I chord in bar 125.

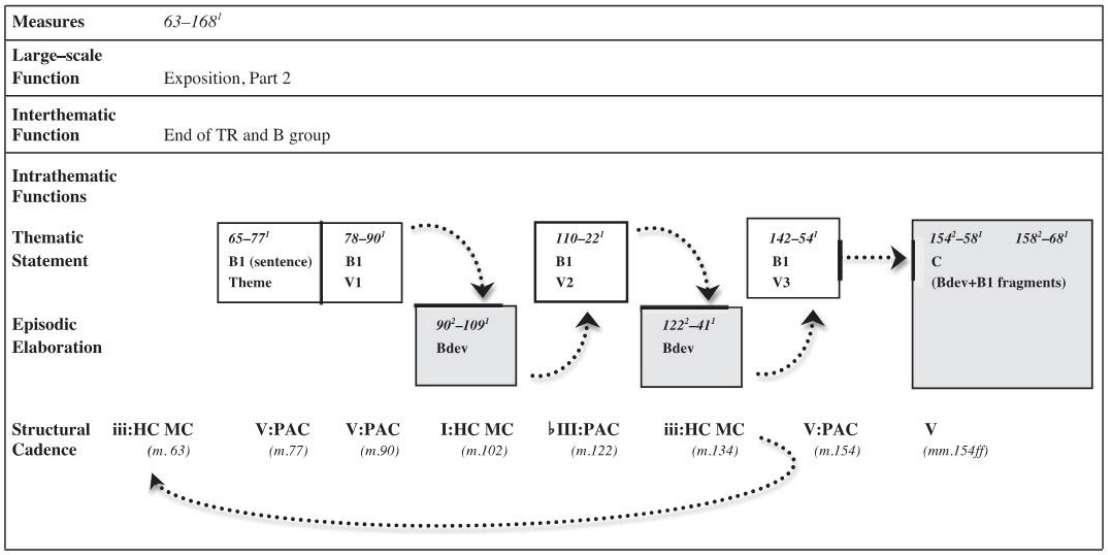
Example 3.3.3/2: Mendelssohn's Op. 44 No 2 (iv), bars 101-134



As both the closure of S and TR share the same III: HC, the textural gap in bars 123-124 creates a perception of a plausible proposed MC, potentially allowing for an S2, especially considering the elision between TR and S. This approach bears resemblance to the treatment of the iii: HC MC in bar 134 of the first movement of

Schubert's last string quartet, D. 887, as discussed by Hyland (2016). When the third variation of S follows the MC (b. 134), it creates a 'time loop', circling back to the beginning of the S-theme group that is opened via the same iii: HC MC (Figure 3.3.3/1). In contrast to D. 887, Op. 44, No. 2 (iv) lacks a transitional function labeled as 'Bdev' in Hyland's table. Given the unstable tonal center of S in Mendelssohn's quartet, the proposed III: HC MC effect (b. 123) implies a certain expectation for an S2. However, this proposed MC is declined in the sense that C follows the cadence instead.

Figure 3.3.3/1: Hyland's Table on Schubert's S theme in D. 887 (i)



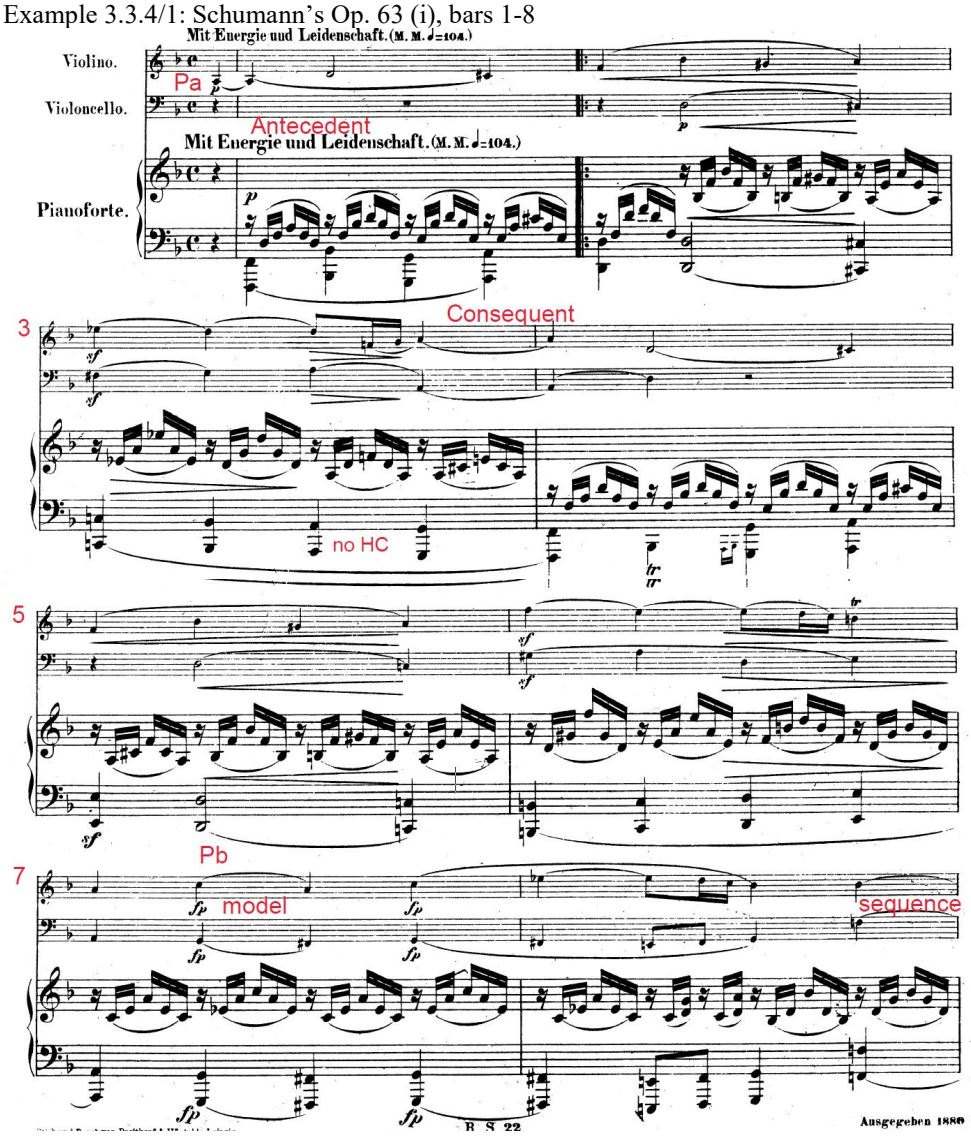
3.3.4: Schumann's Piano Trio No. 1 in D minor, Op. 63 (i)

Like Mendelssohn's Op. 66 (i), the first movement of Schumann's first piano trio also features a parametric misalignment between TR and S. However, in contrast to Mendelssohn's Op. 66, where an HC is present but no textural gap exists, Schumann's Op. 63 presents TR without an ending harmony, yet with the presence of a gap. This lack of cadential aspect combined with parametric misalignment assumes significance in the exposition, a feature that is 'prepared' in the P-theme group.

The P-theme group unfolds in the form of a small ternary, consisting of a periodic P^a, a continuational P^b (model and sequence), and an antecedent/consequent $P^{a'}$ (Example 3.3.4/1). The periodic P^a deviates from convention in that it lacks the typical correlation between weak and strong cadences found in a period structure. To judge by the melody, the consequent, beginning in the upbeat to bar 4, is elided with the end of the antecedent. However, there is no HC, dominant arrival, or

prolongational closure concluding the antecedent. Although there is an attempt to conclude the antecedent, evidenced by the arrival of the cadential V^{64} in the third beat of bar 3, it is abandoned as it is followed by a V^{42} chord, subsequently restarting the harmonic progression from bar 1, targeting i: PAC in bar 7. This cadential abandonment smoothly connects to the consequent, supported by the same harmonic progression as the antecedent. This connection is facilitated by the fact that the antecedent begins with cadential content (i^6-VI-iihalfdim^7-V^7- i). Therefore, although the phrase structure is a period, the harmonic progression directly targets i: PAC, demonstrating a parametric misalignment in the level of intrathematic function.

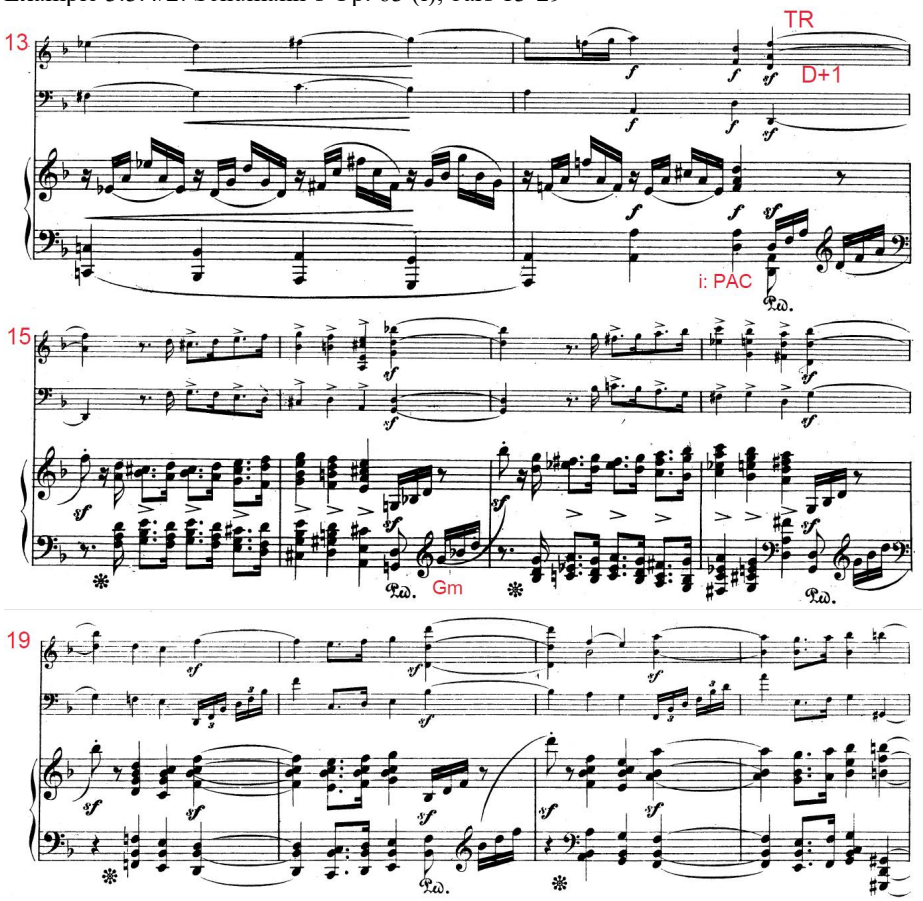
Example 3.3.4/1: Schumann's Op. 63 (i), bars 1-8

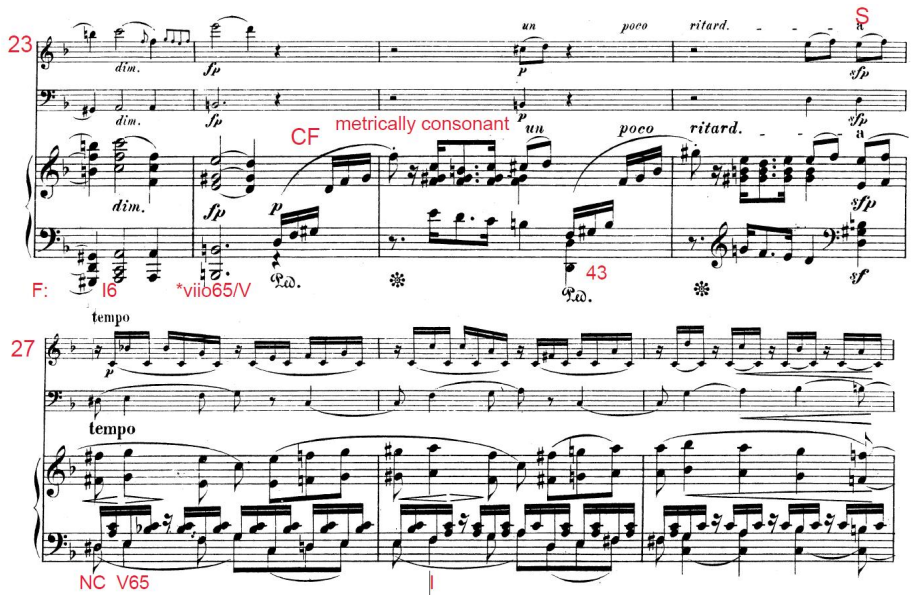


Following the closure of P, this misalignment is elaborated further at the level of interthematic function involving TR and S. Because the i: PAC concluding the P-theme group does not elide with the onset of TR, a metric dissonance arises in that TR is displaced by one bar (D+1), making beat 4 the strong beat (Example 3.3.4/2).

Harmonically, after a modulation to G minor, an attempted modulation to A minor is made with the arrival of vii^{o65} in bar 24. At the same time, this marks the end of the phrase, with the strings dropping out, suggesting that TR concludes in bar 24. However, the harmonic progression remains incomplete as a predominant chord cannot serve as a conclusion. Nevertheless, bars 24-26 function as a textural gap serving as an MC in two aspects: 1) retaining its extrinsic value by occurring after TR and before S, and 2) shifting the metrical dissonance to consonance through the CF, with beat 4 now functioning back as a weak beat, rendering S metrically consonant. This scenario indicates that harmonically, TR is still seeking a cadence within S, resulting in a parametric misalignment where S enters amidst TR's ongoing harmonic progression. Moreover, this situation demonstrates that an MC can open S space on a dissonant chord, a practice categorised as a dissonant MC. This possibility is crucial in assessing Hiller's MC treatment, particularly in Op. 133 and Op. 172 (Chapter 4.3).

Example 3.3.4/2: Schumann's Op. 63 (i), bars 13-29





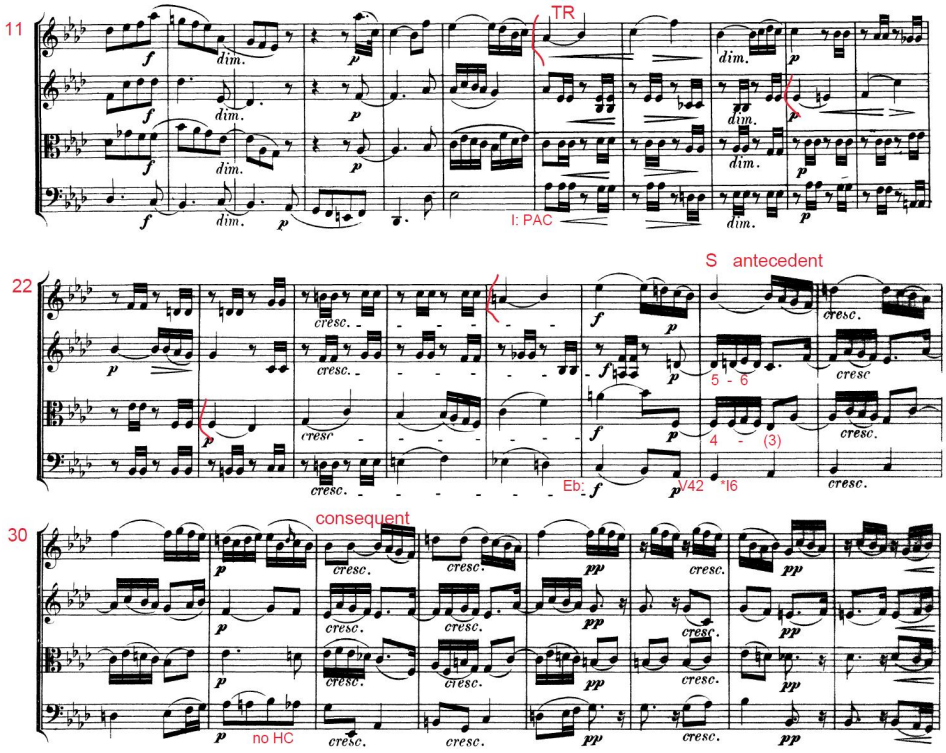
The fact that TR ends on vii^{o65} of A minor suggests that S will be in A minor, and this seems to be confirmed as the S-theme picks up the chord in a different inversion (b. 26, beat 4). However, this chord immediately slides chromatically to V^{65} of F major, and F major is eventually tonicised, as the key of S. The vii^{o65} of A minor is understood retrospectively as an applied vii^{o7}/V of F by reinterpreting the G-sharp as A-flat.

Despite the tonicisation, the absence of a III: PAC concluding S exacerbates the severity of TR-S parametric misalignment. Because TR is still searching for a cadence within S, the lack of an EEC signifies that the search is ongoing. Therefore, solely from the harmonic parameter, bars 14-41 can be understood as remaining within the realm of TR.

3.3.5: Mendelssohn's String Quartet No. 6 in F minor, Op. 80 (iii)

The third movement of Mendelssohn's Op. 80 exemplifies how parametric non-congruence can completely eliminate the MC as formally significant, enabling S to enter without any such prerequisite. TR begins in bar 17 with imitative interplay between the violins and viola (Example 3.3.5/1). In bar 26, the third imitation is condensed into two bars, with the figure in bar 27 not only picked up by the S-theme to enter in bar 28, but also becoming the main motif of the S-theme. However, the S-theme's imitative character limits the contrast with the texture of TR.

Example 3.3.5/1: Mendelssohn's Op. 80 (iii), bars 11-37



Harmonically, an attempt to cadence is made through an implied V^{64} of E-flat major in the third beat of bar 27. However, the bass descends by a step, forming a V^{42} of E-flat. Vertically, the first beat for bar 28 forms a iii^7 chord, while horizontally, it represents a I^6 chord, indicating a resolution to the V^{42} chord. However, this resolution is obscured by the 5-6 and 7-6 suspensions in the second violin and viola, respectively, prepared by the V42 chord. Like Schumann's Op. 63, here also TR continues to seek a cadence within S.

The S theme unfolds as a period, implying that the first opportunity to cadence is at the antecedent's closure. However, as seen in bar 27, the cadential V^{64} is abandoned. Consequently, the next cadence occurs at the closure of S, which is the V: PAC in bar 39.

Three aspects, including the absence of a textural gap, the S-theme picking up TR's motif and featuring the same imitative device as TR, and TR's search for a cadence within S, leave no room for MC reading, demonstrating that S can enter without an MC. This example extends beyond Caplin's notion that TR does not necessarily need to end with a cadence (1998, 133). Although Caplin refers to an inverted dominant seventh, which he calls 'dominant arrival', it still signifies an ending harmony (1998, p. 121 & 133). This example, along with Schumann's Op. 63,

exemplifies that no ending harmony is needed, with the former showing a total abandonment of the MC as structurally defining sonata form feature.

3.3.6: Mendelssohn and Schumann's MC Overview

Figure 3.3.6/1 illustrates the progressively obscured MC in Mendelssohn and Schumann, from the first movement of Op. 80, which parallels Beethoven's Op. 18, No. 3 (i), albeit lacking an MC-effect, to third movement of Op. 80, which exemplifies the practice of abandoning the MC. From Op. 80 (i), the MC can be obscured in two distinct manners. Firstly, as demonstrated in Op. 44, No. 2 (iv), the S theme enters on the ultimate dominant, which can be perceived as either a V-arrival or a III: HC. This HC can be seen as an elided III: HC MC; however, since the standing on V is strongly associated with TR's post-cadence, the MC situation gives the impression that the S theme occupies the space for the post-cadence. In comparison to Op. 80 (i)'s MC situation, the S theme in Op. 44 arrives earlier. This comparison is perhaps more accurately depicted in Figure 3.3.6/2.

Figure 3.3.6/1: Progressive MC Obscuration in Mendelssohn and Schumann

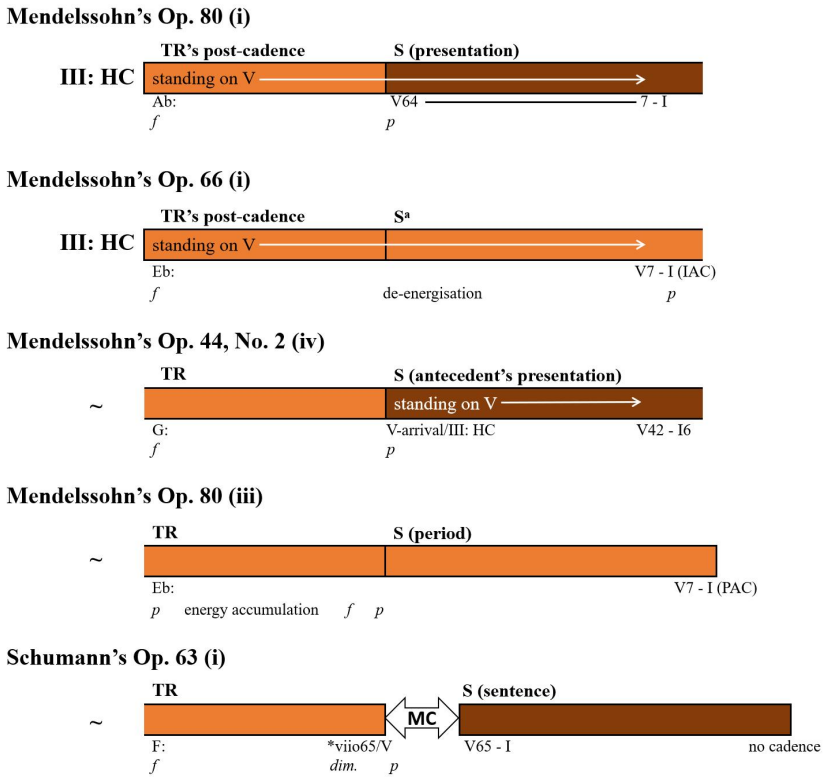
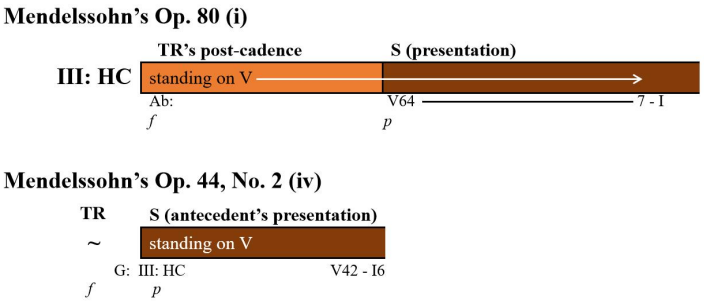


Figure 3.3.6/2: MC Comparison between Op. 80 (i) and Op. 44 No. 2 (iv)



Secondly, as demonstrated in Op. 66 (i), our perception of MC is further blurred by the inclusion of an additional misaligned parameter beside the harmony, namely, the texture. Although one can recognise the onset of S as the S theme, the simultaneous misalignment of both harmony and texture challenges the MC concept. One may opt to interpret the MC as being overwritten, following Horton's reading, or as a flush-juxtaposed III: HC MC, a perspective I still find valid given the attainment of the HC. However, it is crucial to recognise that, from the perspective of seeing an MC in this movement, no single MC element is clear. As discussed in Chapter 1, according Richards's MC model, the harmonic preparation is considered absent because the standing on V is ongoing, despite the achievement of an HC. Furthermore, in situations where TR and S are juxtaposed, maintaining TR's texture beyond S negates all the rhetorical aspect of the MC. Thus, the formal boundary between TR and S is illustrated by the clarity of S's syntax and the typical liquidation process of TR. This identification leans to Caplinian approach.

Opus 80 (iii) completely eliminates all elements associated with the MC. In addition to the MC reading issue in Op. 66 (i), the TR in Op. 80 (iii) does not conclude with a cadence, resulting in a larger scale of parametric misalignment. Whereas the non-congruence in Op. 66 concerns TR's post-cadence and a part of S's intrathematic function, the misalignment in Op. 80 encompasses the entirety of TR and S. The fact that the next PAC, following P's cadence, constitutes S's closure implies that TR and S's PAC are conflated. Adhering to Hepokoski and Darcy's concept of EEC, it is doubtful that accepting the S theme's PAC as both the EEC and TR's cadence is a viable interpretation.

Opus 63's MC model provides an alternative way of perceiving an MC as a rhetorical device. Although this piece is similar to Op. 80 (iii) in that TR does not achieve harmonic closure, the presence of a textural gap in between TR and S

strongly highlights the presence of MC. However, this presence is based only on the MC's extrinsic value, being located in the correct rotational order. Its instrinsic value, which involves opening the S space—where cadence and energy are considered vital by Hepokoski and Darcy—cannot be used as a reference. In addition to the cadence's absence, the de-energising process typically leads to the elision of TR and S. Since the energy level already matches the S theme, providing a gap would serve no purpose. However, Schumann still provides a textural gap following a de-energising TR. As was previously noted, this textural gap is employed to resolve the dissonance displacement in TR. This can be seen as the MC's intrinsic value, which is unique to Op. 63. In this MC situation, where harmonic elements are detached from MC's conceptualisation, I find it imperative also to maintain the MC's intrinsic value, which likely varies from case to case. Thus, while the extrinsic value signifies the MC's presence, its intrinsic value explains its purpose.

3.4: Mapping the Obscured MCs

Table 3.4/1 outlines my thoughts on the progressively obscured MCs discussed in Chapters 3.2 and 3.3. For Beethoven's Op. 7 (i), I retain Richards's term 'singly obscured MC'. From Beethoven's Op. 2 No. 1 (i) to Mendelssohn Op. 44 No. 2 (iv), the consistent musical elements are the HC and the standing on V (SotD). Therefore, I term the MCs in these works 'SotD type MC'. While the term implies these works share the same obscured elements besides the standing on V, Chapters 3.1 to 3.3 emphasis the MC spectrum based on one specific type of MC situation, which is the use of standing on V. Thus, I categorise Op. 2 No. 1 to Op. 44 No. 2 as the SotD type MCs, with Table 3.4/1 illustrating how this MC type becomes increasingly obscured. Additionally, I further differentiate the SotD type MC. In Op. 44 No. 2 (iv), the HC is elided, and the standing on V begins on S. Consequently, I classify the MCs from Op. 2 No. 1 (i) to Op. 66 (i) as SotD 'non-elision' type MCs, while the MC in Op. 44 No. 2 (iv) is categorised as SotD 'elision' type MC.

Table 3.4/1: The spectrum of obscured MCs in Beethoven and Mendelssohn

Composers:	Beethoven			Mendelssohn			
Works:	Op. 7	Op. 2/1	Op. 18/3	Op. 80	Op. 66	Op. 44/2	Op. 80
Movements:	1	1	1	1	1	4	3
Cadence:	HC	HC	HC	HC	HC	HC with 7 or V-arrival	No
Post-cad.:	Yes	Yes	Yes	Yes	Yes	No	No
Gap	Yes	Yes	Deferred	No	No	No	No

S theme's opening harmony:	V7	SotD continues beyond S	SotD continues beyond S	SotD continues beyond S	SotD continues beyond S	SotD begins on S	I6 with suspen-sions
S theme's texture:	Contrast	Contrast	Contrast	Contrast	No contrast	Contrast	No contrast
MC types:	Singly obscured MC	SotD 'non-elision' type MC				SotD 'elision' type MC	No MC

*SotD = Standing on the dominant

As shown in Table 3.4/2, Schumann's Op. 63 (i) contains more elements that undermine the MC, placing it between Op. 44 No. 2 (i) and Op. 80 (iii) on the MC spectrum. Despite the S theme also beginning on the dominant of the new key, I view Schumann's MC as a different type of obscured MC. In Chapter 1.8, I classified the MCs in the first movements of Schumann's Op. 63 and Hiller's Op. 172 as dissonant MCs. However, I will further refine the formulation of these dissonant MCs in Chapter 3.5, elaborating on their temporal dimension.

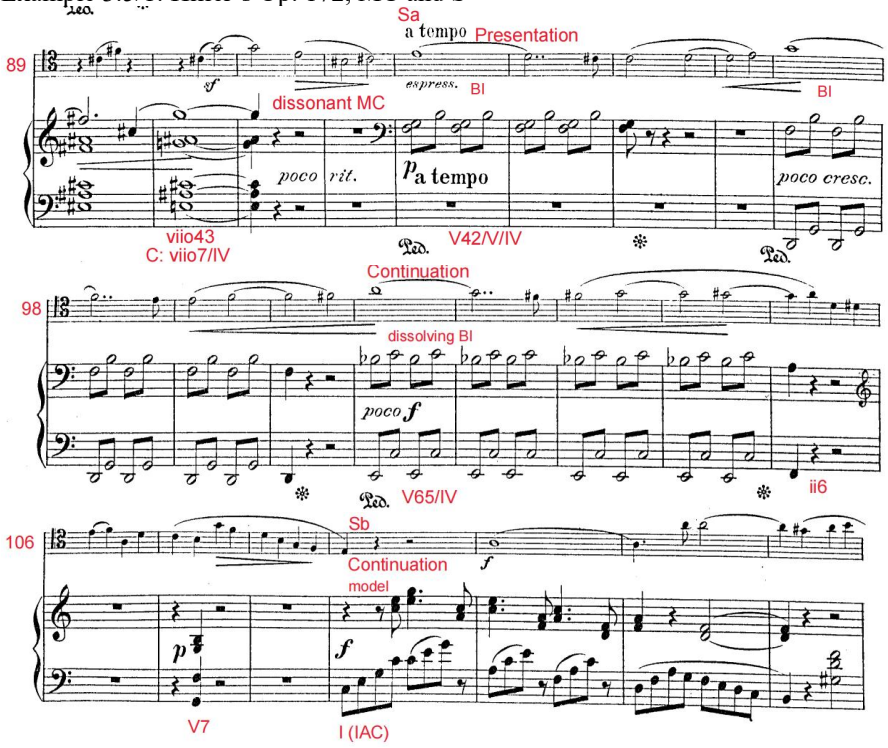
Table 3.4/2: The spectrum of obscured MCs, including Schumann

Composers:	Mendelssohn	Schumann	Mendelssohn
Works:	Op. 44/2	Op. 63	Op. 80
Movements:	4	1	3
Cadence:	HC with 7 or V-arrival	No (ending with vii^{o}7)	No
Post-cadence:	No	No	No
Gap	No	Yes	No
S theme's opening harmony:	SotD begins on S	V65	I6 with suspensions
S theme's texture:	Contrast	Contrast	No contrast
MC types:	'SotD' type	Dissonant type	No MC

3.5: A Sub-Type of Dissonant and Overlapped MCs

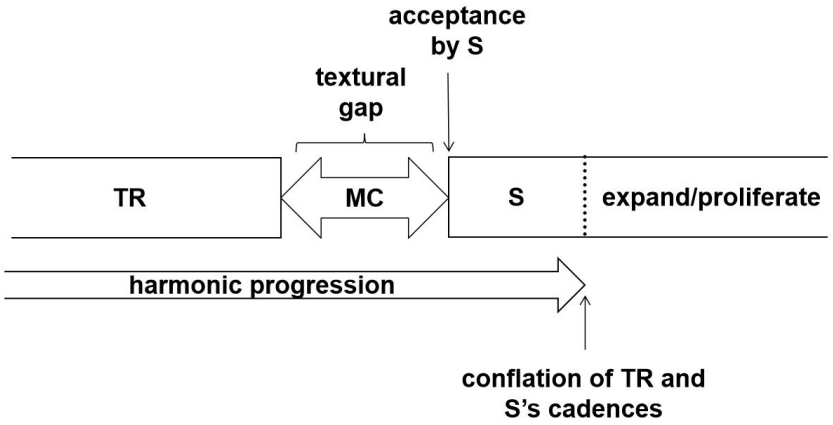
Before analysing the MC's technical aspect in Schumann's Op. 63 (i), I would like to begin with Hiller's treatment of the MC in Op. 172, which I use as a benchmark. As shown in Example 3.5/1, the phrase of TR ends in bar 91, supported by a vii^{o43}/Bm harmony. Mindful to Caplin's (1998, p. 23 & p. 117)) statement that 'the leading-tone seventh chord (VII^{7} and its three inversions) also have a dominant function when they resolve to a tonic harmony', which can potentially be considered as a dominant arrival, I do not perceive the vii^{o43} chord as a dominant arrival because I notice a cadential deferral. Enharmonically reinterpreting vii^{o43} into vii^{o7}/IV in the context of C major clarifies the ^3-^4-^5-^1 (E-F-G-C) bass motion. Consequently, the MC's supposed harmonic preparation, the III: IAC, arrives 17 bars after the MC's gap. Despite this, the textural gap arrives following the diminished chord, making the MC harmonically dissonant.

Example 3.5/1: Hiller's Op. 172, MC and S[a]



Identifying III: IAC as a deferred cadence of TR results in a formal issue. The S theme, which clearly starts in bar 93, also concludes in bar 109. Consequently, the III: IAC constitutes a conflation of the MC's harmonic preparation (TR's cadence) and the S theme's cadence. I argue that this conflation formally plausible because the S theme unfolds as a small ternary. Because of the conflation, the III: IAC cannot satisfactorily conclude the S section, requiring the S theme to secure another authentic cadence, resulting in the proliferation of the S theme. I illustrate this MC situation in Figure 3.5/1.

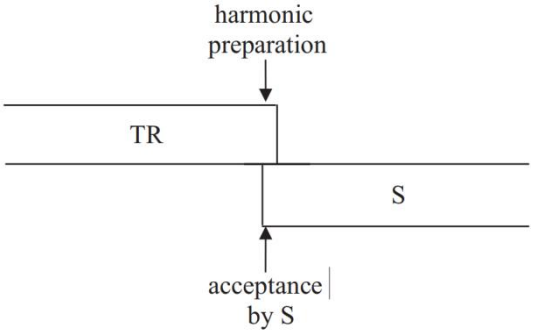
Figure 3.5/1: Hiller's Op. 172 (i), the 'conflated' MC



Technically, this MC can be classified as an 'overlapped' MC, a termed coined by Richards (2013, p. 178). However, he specifically applies this term s to situations where a gap is absent, indicating a functional overlap between TR and S or

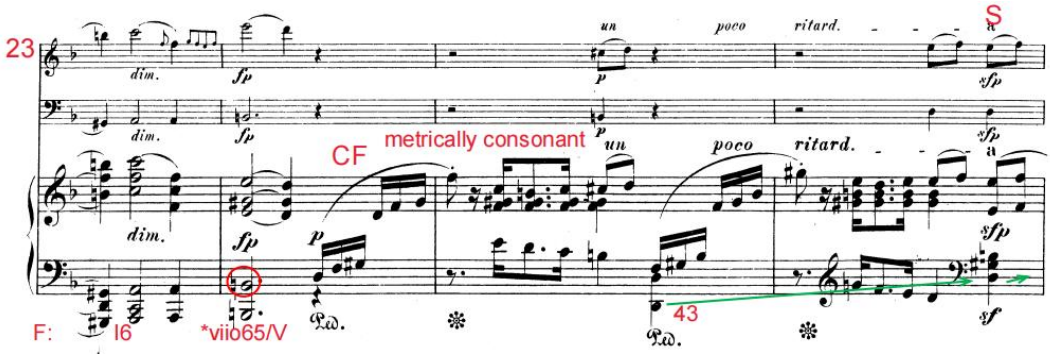
merely an elision (Figure 3.5/2). In contrast, Op. 172 (i) exhibits a gap, with the harmonic aspect being the only indicator of overlap. I classify Op. 172's MC as a sub-type of Richards's overlapped MC, which I refer to as the 'conflated MC'.

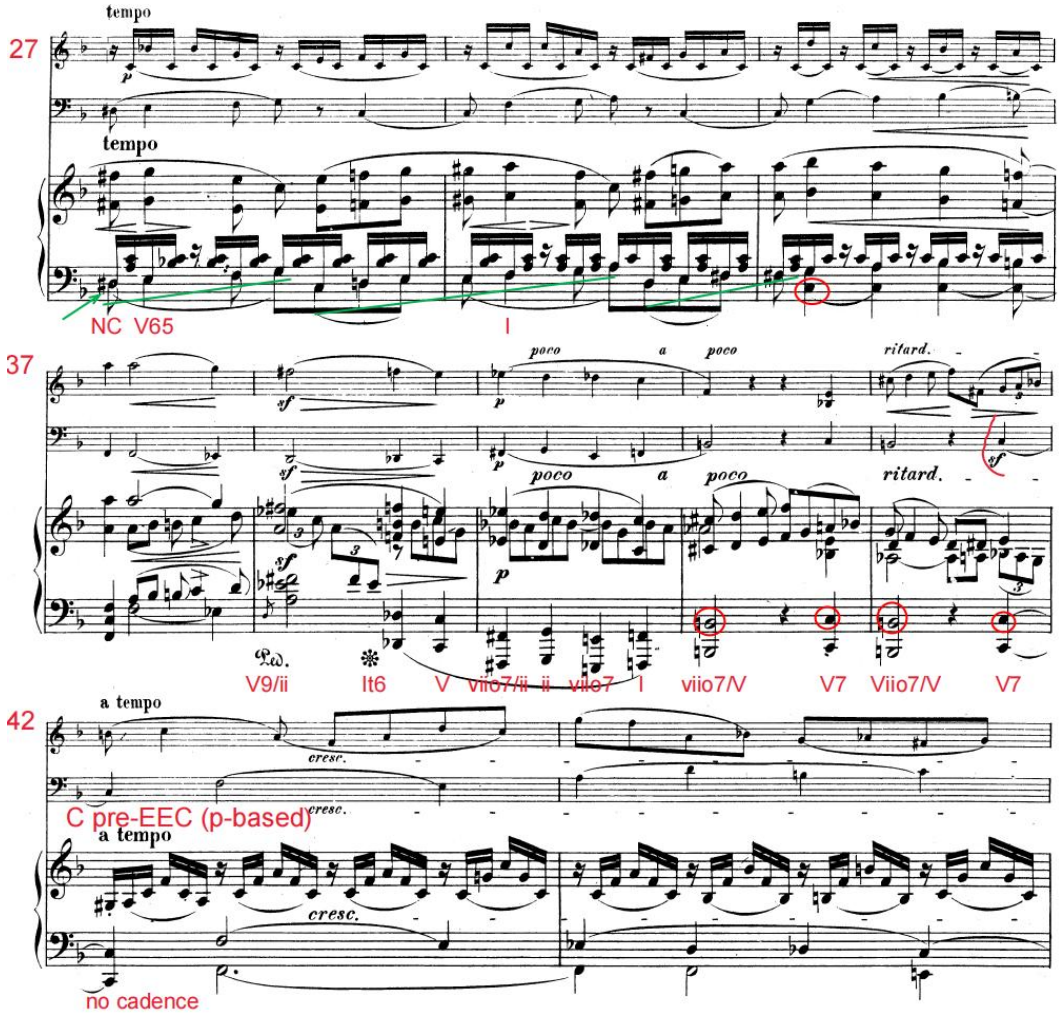
Figure 3.5/2: Richards's illustration of overlapped MC



Turning to Schumann, there is no indication of a deferred cadence of TR, and more importantly, no cadence concluding the S section (Example 3.5/2). However, I identify a ^#4-^5 bass motion that attempts to resolve to ^1 (marked by the red circle in Example 3.5/2). I interpret the note B in bar 24 going to C in bar 29 as a separate line from the bass motion starting from D in bar 24 to G in bar 29 (illustrated the green line in Example 3.5/2). My rationale is that while he bass line progression, indicated by the green line, is notated as the bass line in the score, it shifts to the tenor register when it reaches G in bar 29, where C appears as the bass note. This change also explains the shift in chord position from vii^{o65}/V to vii^{o43}/V (bb. 24-25). In bars 40-41, the ^#4-^5 bass motion recurs; however, owing to the reintroduction of the P theme which begins with ^5, the bass motion fails to resolve to ^1 in a cadential sense, resulting in a failed exposition.

Example 3.5/2: Schumann's Op. 63 (i), bars 23-29 and 37-43





My illustration of Schumann's MC situation (Figure 3.5/3) highlights a higher degree of obscurity compared to Hiller's Op. 172 (Table 3.5/1). I also categorise this MC as another sub-type of Richards overlapped MC, which I term 'unresolved MC' to indicate that no deferred cadence is achieved. This MC also demonstrates that the rhetorical parameter, the textural gap, holds a higher hierarchical significance than the syntactical parameter, the cadence. Additionally, the MC here serves to resolve the metrical dissonance into consonance, as discussed in Chapter 3.3.4.

Figure 3.5/3: My illustration of Schumann's MC situation, 'unresolved MC'

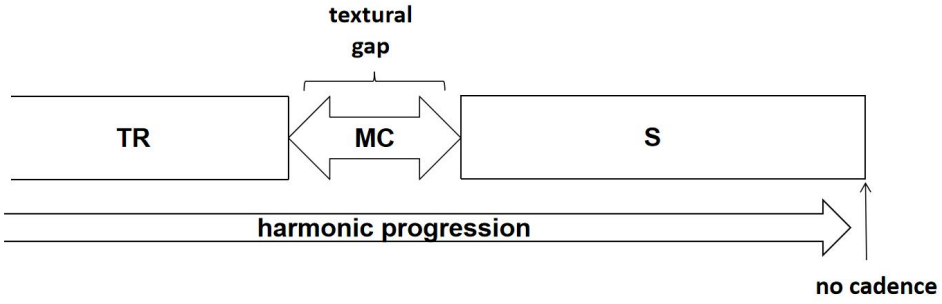


Table 3.5/1: Comparison between Hiller's and Schumann's MCs

Composers:	Hiller	Schumann
Works:	Op. 172	Op. 63
Movements:	1	1
Cadence:	No (ending with vii^{o}7)	No (ending with vii^{o}7)
Post-cadence:	No	No
Gap	Yes	Yes
S theme's opening harmony:	V	V
S theme's texture:	Slight contrast	Contrast
TR's cadential deferral:	Achieved	Not achieved
MC types:	Overlapped and dissonant	Overlapped and dissonant
MC sub-types:	Conflated	Unresolved

3.6: Generalising the MC Model for Overlapped MCs

Drawing from Chapters 3.2-3.5, I present a new MC model in Figure 3.6/1, adapted from Richards's model, to address situations where non-congruence occurs. This model focuses on three elements that may or may not be present: 1) the cadence of TR, 2) TR's deferred cadence occurring within S, and 3) the textural gap. The drawback of this model is that, to avoid excessive complexity, the presence of post-cadential standing on V is not depicted in Figure 3.6/1. Therefore, if there is a post-cadential standing on V following TR's cadence, one needs to assume as if there is an extra space for it in the model (Figure 3.6/2). Additionally, the arrow labeled 'harmonic progression' can refer to two things: the standing on V persisting beyond S and the ongoing search for TR's cadence within S. The indication 'cadence/no' following the arrow only applies to the latter.

Figure 3.6/1: MC model for overlapped MCs

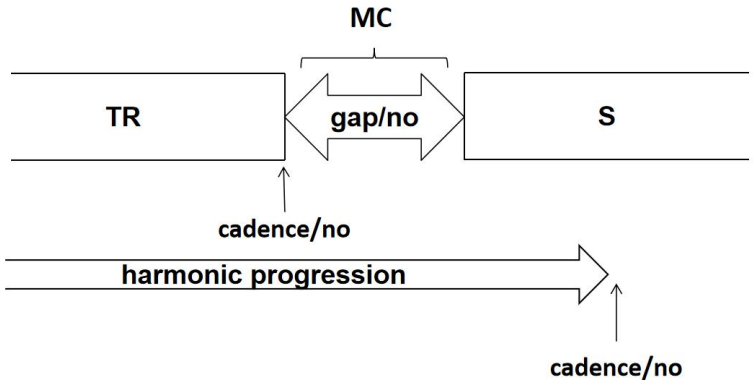
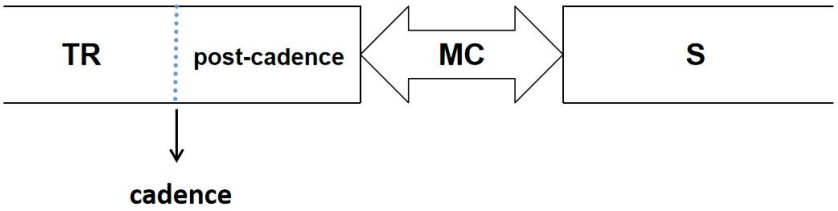


Figure 3.6/2: Post-cadence in the MC model



To understand how the MC model operates, one must verify whether there is a cadence concluding TR or not. If a cadence is present, two scenarios can follow: 1) there may be a gap and the persistence of standing on V beyond S, as depicted in Beethoven's Op. 2 No. 1 (i); 2) alternatively, the gap may be absent, but the standing on V persists beyond S, as illustrated in the first movements of Beethoven's Op. 18 No. 3 and Mendelssohn's Op. 66 and 80. On the other hand, in the absence of a cadence, four scenarios emerge: 1) TR's deferred cadence is present with a gap, illustrated in the first movement of Hiller's Op. 172, 2) TR's deferred cadence occurs without a gap, 3) TR's deferred cadence is absent with a gap, as seen in Schumann's Op. 63 (i), and 4) both TR's deferred cadence and the gap are absent, indicating no MC, as observed in the third movement of Mendelssohn's Op. 80. I will apply this MC model in my further analyses of Hiller's MCs in Chapter 4 whenever applicable.

Chapter 4: Hiller's Medial Caesuras

4.1: Overview of Hiller's Expositional MCs

Table 4.1/1: Overview of Hiller's expositional MCs

Movement	First-level default	Second-level default	Third-level default	Fourth-level default	Other (deformation)	No MC
Op. 1	III: HC MC					
Op. 3	V: HC MC					
Op. 6						No MC
Op. 7			III: PAC MC			
Op. 8					vi: PAC MC	
Op. 12					V-arrival MC	
Op. 13						No MC
Op. 74					Pre-V MC	
Op. 105					V: IAC MC	
Op. 133						No MC
Op. 156					iii: PC MC (declined)	
Op. 172					vii^{o}7 MC	
Op. 207					iii: HC MC (MC1) Elided V: PAC MC (MC 2)	

Table 4.1/1 provides an overview of Hiller's MC practices in the first movements of his chamber works, with a particular focus on the expositional MC. Among the 13 first movements, only three—all composed before 1850—exhibit MC practices consistent with Hepokoski and Darcy's harmonic level defaults. Notably, Hiller, like Mendelssohn, shows a preference against second-level and fourth-level default MCs. Horton (2017) observed that in Mendelssohn's 25 first movements, over 50% are categorised as 'other', the first-level default is the second most prevalent, and only one MC falls under third-level default category.

Table 4.1/2: Overview of Hiller's deformational MCs (exposition)

Category:	V-arrival	Elided cadence	Non-standard cadence at MC (IAC and PC)	MC over non-standard harmony	MC in non-standard key	Overlapped MC	MC declined
Hiller:	Op. 12	Op. 105 Op. 207 (MC2)	Op. 105 Op. 156	Op.74 Op. 172	Op. 8 Op. 74 Op. 156 Op.207 (MC1)	Op. 8 Op.207 (MC1)	Op. 156

As shown in Table 4.1/2, I align with most of Horton's (2017) deformational MC types, which include elided cadences, non-standard cadences at the MC point, MCs over non-standard harmonies, and MCs in non-standard keys. Horton's term 'MC evaded' refers to situations where the S-theme enters in a different key than the

proposed MC. For consistency, I retain Hepokoski and Darcy's term 'MC declined', as used in Chapter 1. Moreover, I differentiate Horton's categories of MCs in inversion from MCs over non-standard harmonies, as the former pertains to V-arrival, which Hepokoski and Darcy acknowledge as a workable MC (2006, p. 48). In Table 4.1/2, the 'V-arrival' category includes non-HC dominants in any chord position. Furthermore, I introduce the 'overlapped MC' category, which illustrates instances where the S-theme enters slightly before the arrival of a cadence, contrasting with the elided cadence, where it signifies both the ending of TR and the beginning of S simultaneously.

Based on Table 4.1/2, two points need further attention. First, an expositional MC can exhibit into two distinct categories. For instance, Op. 105 includes a non-standard, elided cadence. Second, the two expositional MCs in Op. 207 do not adhere to the trimodular block strategy, which includes two MCs. Instead, they are connected to a de-energising expanded CF, resulting in a second elided MC. While Hepokoski and Darcy (2006, p. 41) consider this kind of elided MC as secondary, merely resulting from the melodic linear descent (^5-^1), Hyland (2023) in her MCC framework, regards both MCs as equally viable. Therefore, I include both MCs rather than just one.

The following sections analyse the expositional MCs listed in Table 4.1/1. Discussions concerning the expositional MCs in Op. 74, Op. 105, Op. 133, Op. 172, and Op. 207 are deferred to Chapter 4.3. A thorough examination of their form is essential for fully grasping the intricate treatment of deformational MCs and their significance in deformational sonata form. In Chapter 4.2, a similar approach will be employed, concentrating on Hiller's recapitulatory MCs as outlined in Table 4.1/1, with the aforementioned opera addressed in Chapter 4.3.

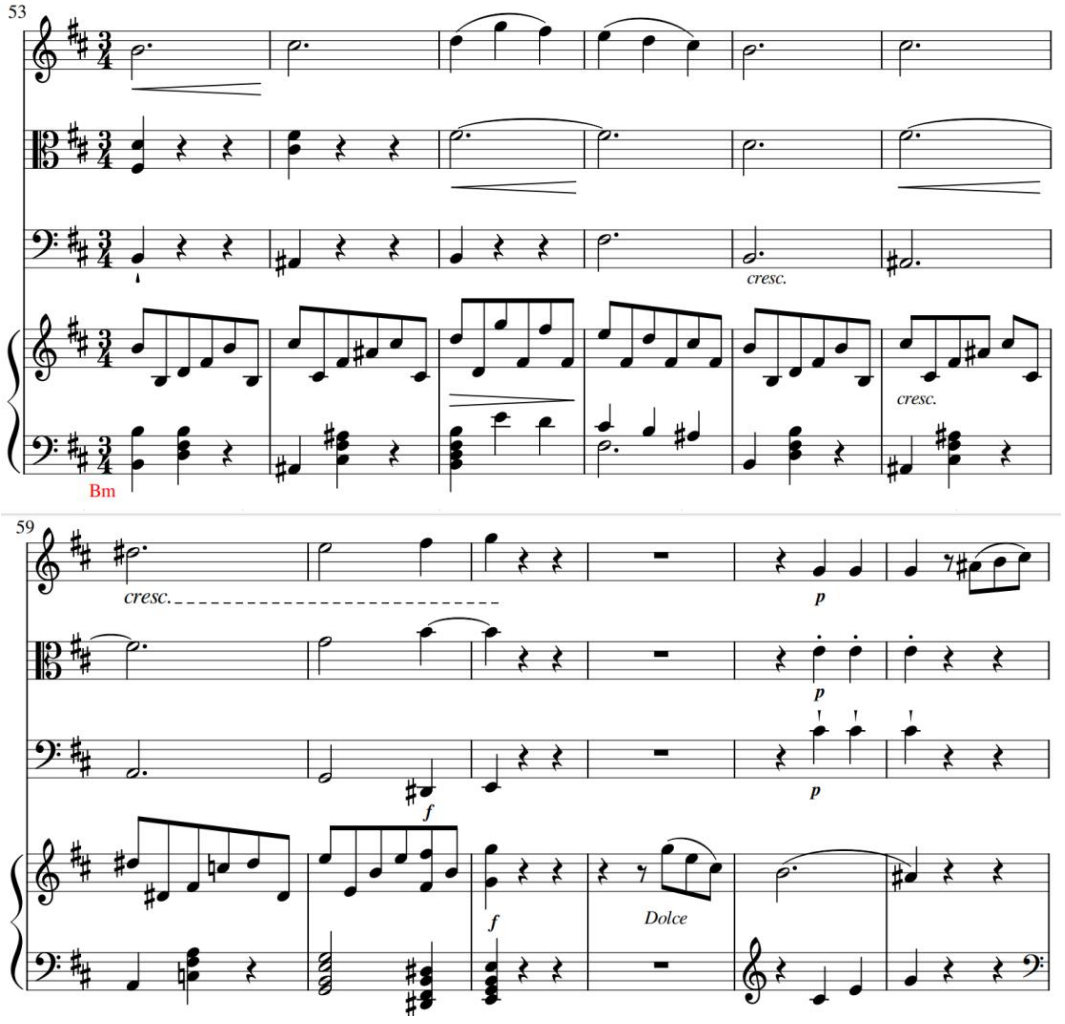
4.1.1: First-Level Default MCs

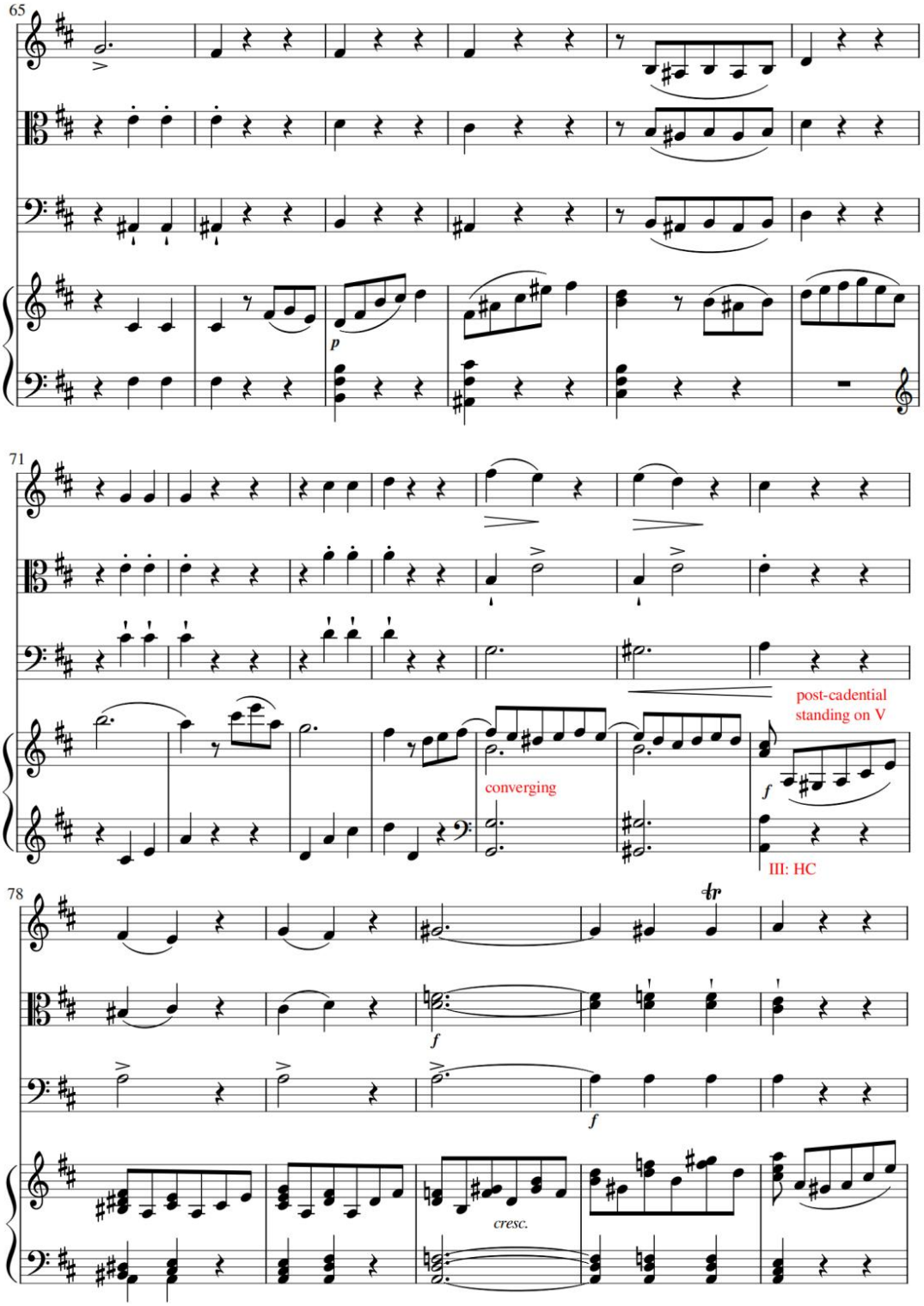
Piano Quartet No. 1 in B Minor, Op. 1

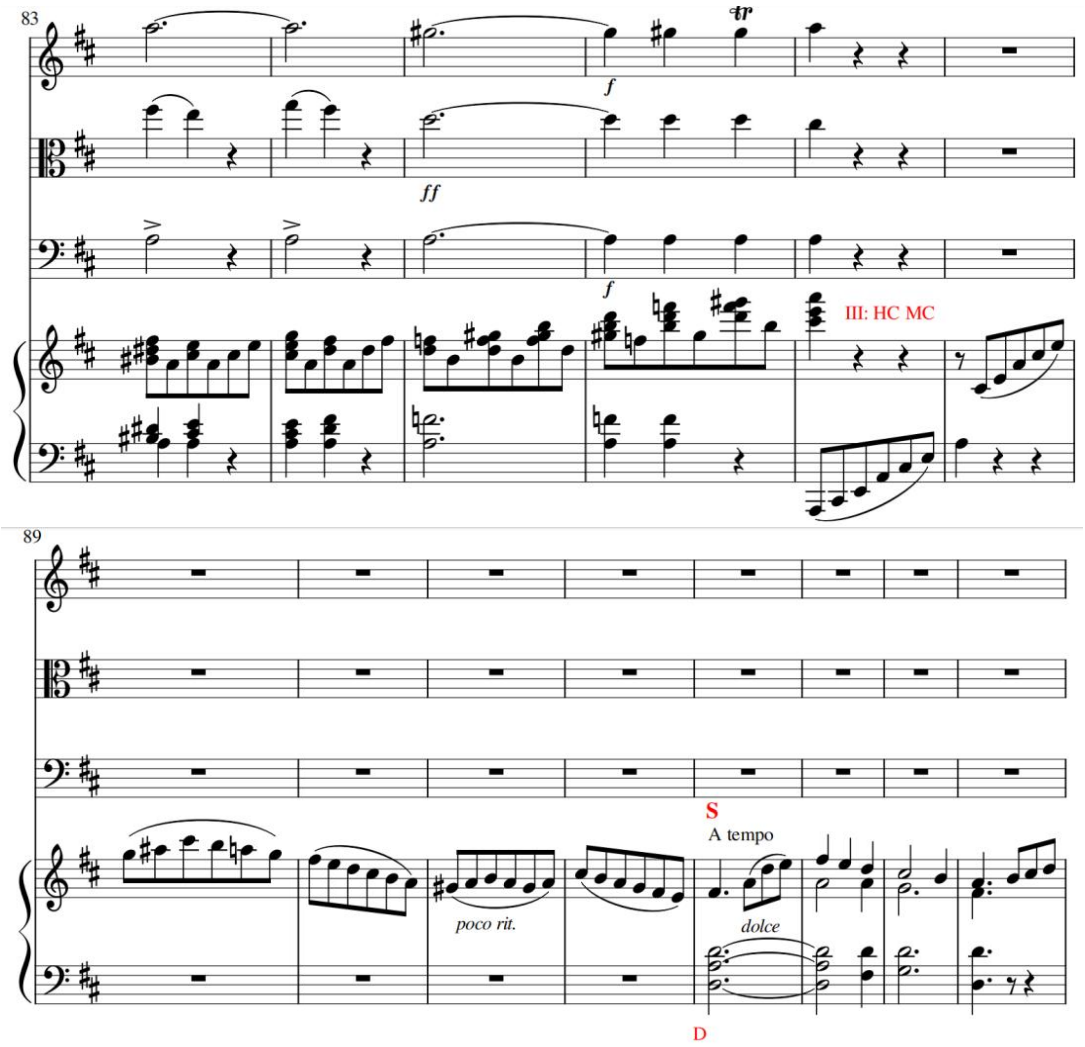
This Piano Quartet represents one of his earliest ventures into chamber music, composed at the age of 15. The design of the first movement's exposition reflects his stage of learning, characterised by a clear structure in each interthematic function and distinct cadences. The P theme unfolds as a sentential period, concluding with a i: PAC, while the subsequent TR culminates in a converging III: HC by bar 77

(Example 4.1.1/1). Notably, the TR lacks a significant increase in rhythmic activity and predominantly resides in B minor, with modulation to D major beginning only by bar 71, nearing the attainment of a III: HC. Despite the discernible process of energy accumulation, its premature release occurs owing to a caesura in bar 61. However, the subsequent music rebuilds the energy, with an eleven-bar post-cadential phrase, allowing ample space for this purpose. The MC space features a single-line CF spanning from bars 87 to 92, which dissipates the energy level, preparing for the anticipated arrival of an S theme in bar 93.

Example 4.1.1/1: Hiller's Op. 1 (i), bars 53-96




65
p
71
converging
post-cadential
standing on V
f
III: HC
78
tr
f
f
cresc.



Piano Quartet No. 2 in F minor, Op. 3[36]

The first movement of the Second Piano Quartet mirrors the expositional design observed in the first piano quartet. Beginning with a slow introduction in F minor, the P theme unfolds as a sentential period in F major, concluding with a I: PAC. The subsequent TR section is tightly organised, featuring a clear sentential phrase structure: the presentation (bb. 76-84) remains harmonically stable owing to the tonic pedal, while the continuation (bb. 84-92) introduces a model and sequence leading to a V: HC by bar 92 (Example 4.1.1/2).

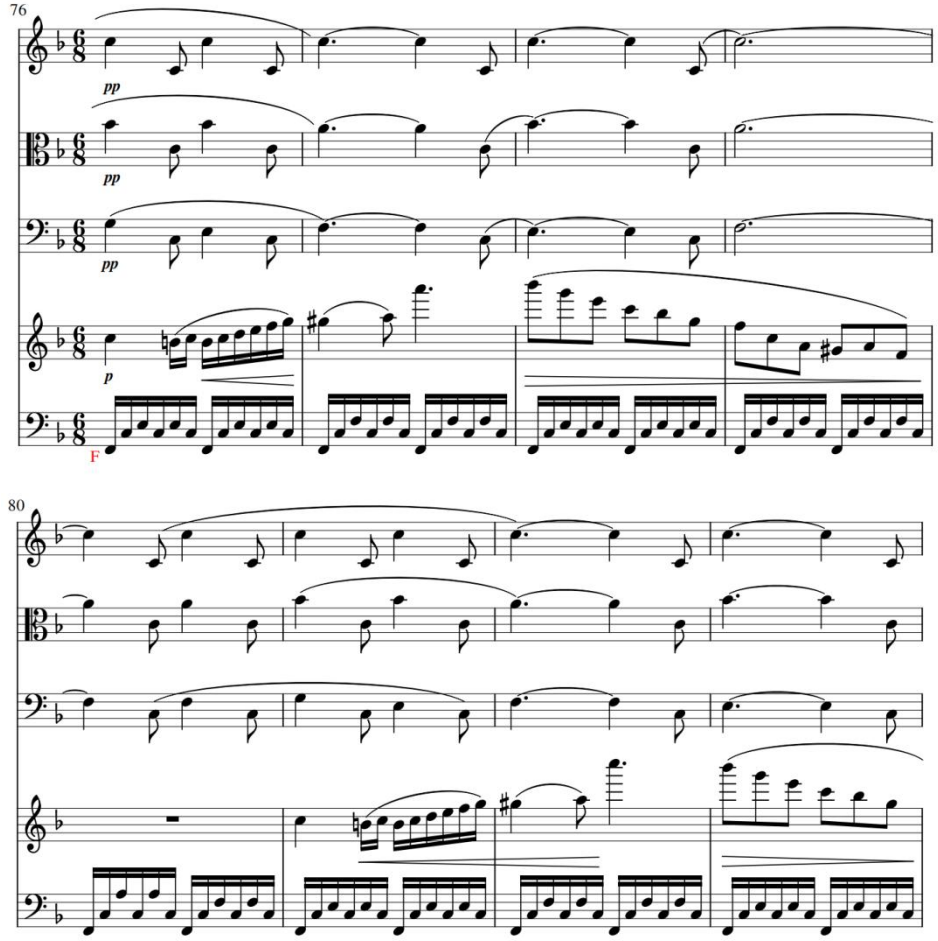
The exact placement of the MC space is slightly ambiguous, suggesting two potential MC locations. First, considering that strings have already dropped out before the V: HC, it is plausible to identify bar 92 as the beginning of the MC space, characterised by motivic interplay between the piano and violin serving as the CF.

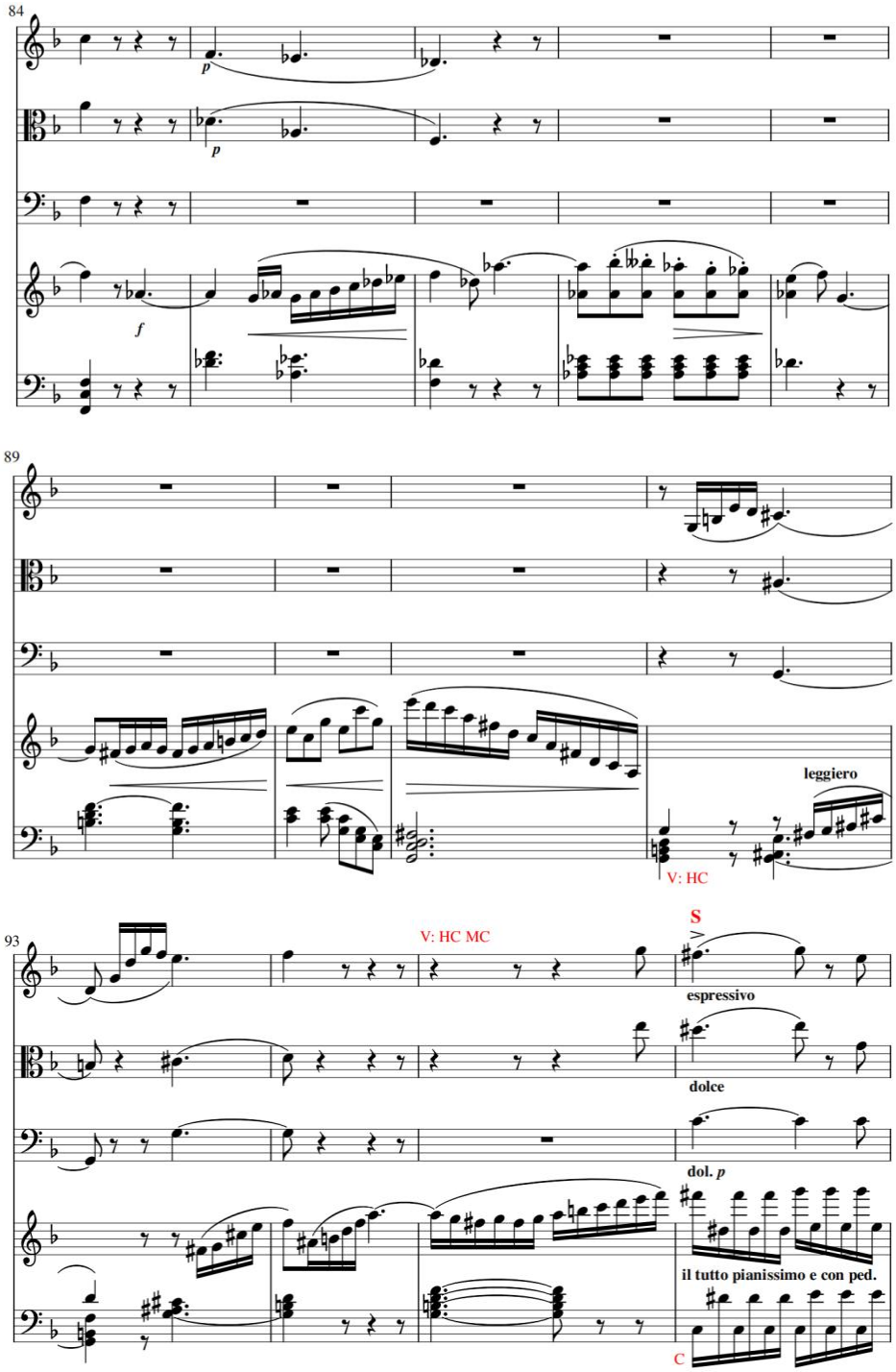
[36] The assigned key for the piano quartet is F minor: the introduction of the first movement is F minor, and the last movement is also in F minor. However, the sonata space of the first movement is in F major.

Second, following the V: HC, a dominant lock ensues with other strings joining in, and from the rhetorical perspective of an MC, bars 94-95 could be seen as the MC space because the strings dropping out. Additionally, the dominant lock features harmonic alterations between a G chord and a common-tone diminished seventh (CT^{o7}), suggesting a post-cadential function. Between these two options, I favor the second option.

While the V: HC MC appears normative, with the S theme harmonically accepting the MC, the designated key for the piece is F minor. The introduction of the first movement begins in F minor, and the last movement is in F minor. This suggests that the V: HC MC holds only pseudo-normative status within the broader sonata cycle. For this corpus study focused on the first movement, I classify this MC under the 'first-level default' category, treating it as completely normative. However, I acknowledge that the role of F minor in the sonata cycle may influence the interpretation MC and possibly the sonata form of the first movement as deformational.

Example 4.1.1/2: Hiller's Op. 3 (i), bars 76-92





4.1.2: Third-Level Default MC

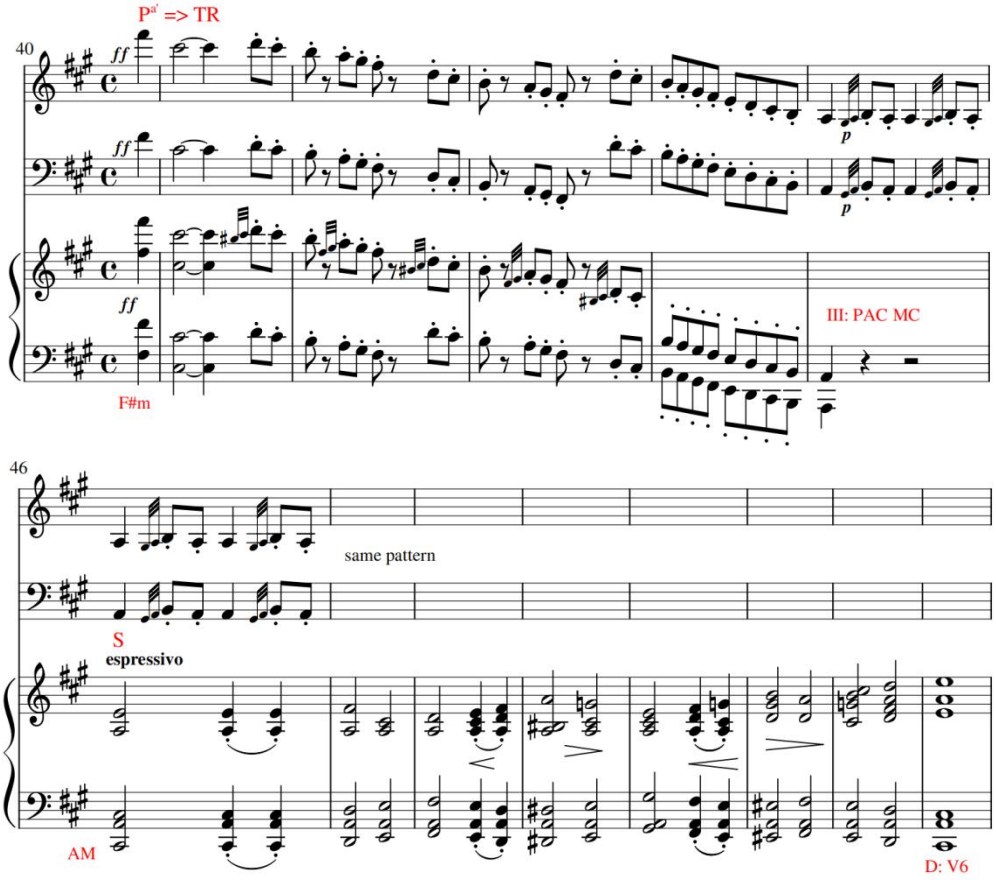
Piano Trio No. 2 in F-sharp Minor, Op. 7

The P theme of Op. 7 unfolds in a small ternary form with a dissolving A reprise. While the antecedent fails to firmly establish the tonic minor, as evidenced by the arrival of iv: HC, the consequent reinstates the tonic minor and concludes with a i: PAC. The B section, primarily characterised by tonic and dominant harmony and

predominantly in a *piano* dynamic, exhibits greater stability compared to the A section. Additionally, it concludes with a i: HC.

The subsequent A reprise, marked by a *Sturm und Drang* effect, is brief and rapidly becomes a TR within a span of 5 bars. Texturally featuring an octave passage, it becomes challenging to perceive a modulation and the achievement of TR's structural cadence owing to obscured underlying harmony. Nonetheless, the 5-line descent from E to A at bars 44-45 still suggests a III: PAC (Example 4.1.2/1). Despite the lack a post-cadential standing on V is absent, the gap, represented by a rest in all voices, follows the III: PAC. The S theme accepts the proposed III: PAC MC; however, shortly after, the key deviates from III.

Example 4.1.2/1: Hiller's Op. 7 (i), bars 40-53



4.1.3: Deformational MCs

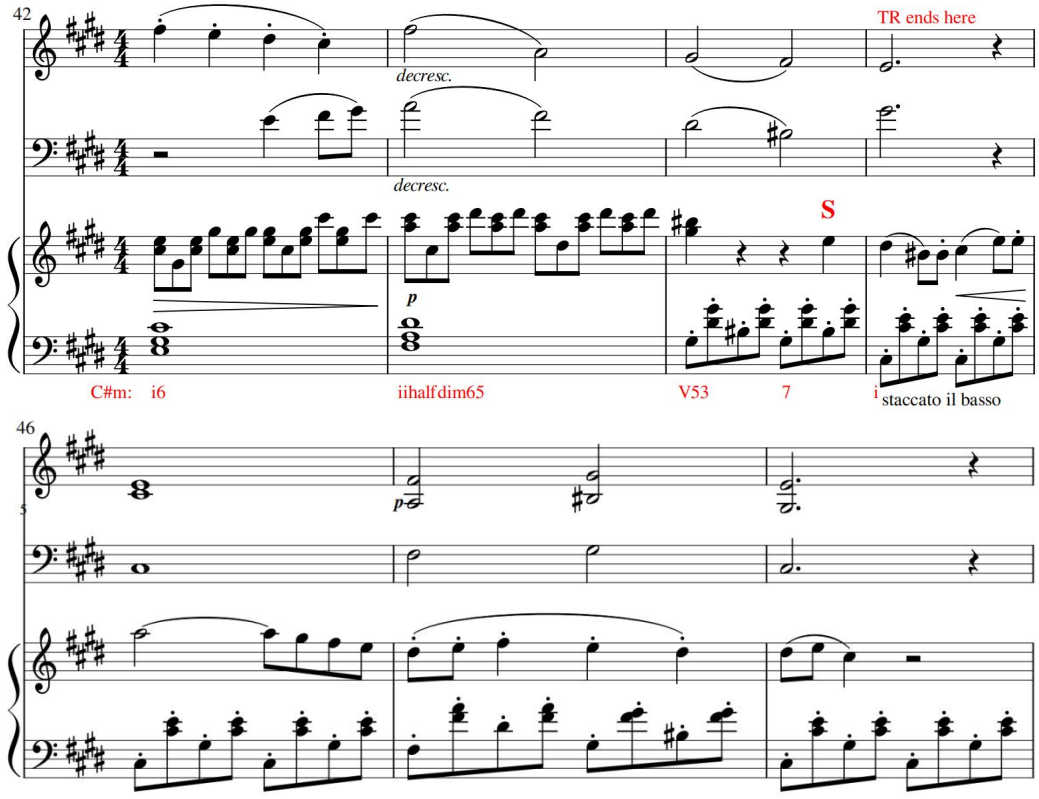
Piano Trio No. 3 in E Major, Op. 8

In Op. 8, based on the piano part, the TR seems to conclude with a vi: HC in bar 44, immediately followed by a gap (Example 4.1.3/1). Considering the dominant as the HC is also feasible because the absence of the seventh scale degree suggests the

dominant as penultimate rather than ultimate. However, upon closer examination of the violin and cello parts, it becomes apparent that the phrase actually concludes in bar 45 instead of 44. Specifically, the violin part concludes with a descending 5-4-3 motion, contradicting the idea of the dominant as the HC. The crotchet rest in bar 45 in both violin and cello parts further supports that the TR concludes in that bar. Therefore, instead of concluding with a vi: HC, the TR actually concludes with a vi: PAC.

As a result, what was initially perceived an MC in bar 44 cannot technically be considered as an MC since the cadence arrives in bar 45. The anticipation for an MC, therefore, occurs after achieving vi: PAC. The challenge in expecting the MC in bar 45 arises because the S-theme begins in bar 44, amidst a cadential progression, resulting in an overlap. This overlap not only indicates the absence of a textural gap but also indicates that the opportunity to propose an MC has not yet emerged, rendering the S theme unable to accept any proposed MC. Consequently, it is plausible to interpret this situation as a manifestation of a two-part exposition without the presence of an MC.

Example 4.1.3/1: Hiller's Op. 8 (i), bars 42-48

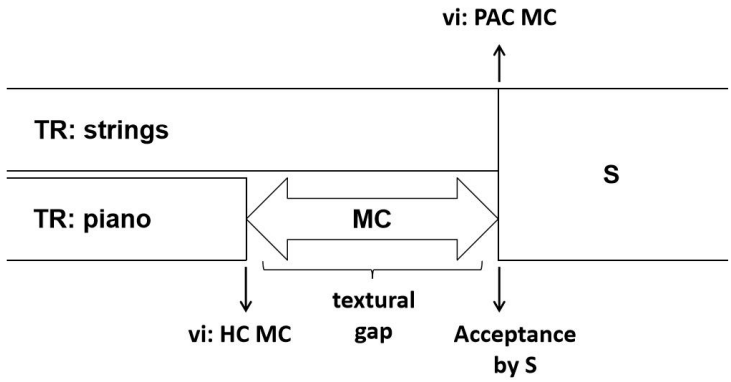


Instead of simply noting the absence of an MC due to the functional overlap, I argue that bars 44-45 constitute Hiller's intentional effort to obscure the MC. This

obscuration features a formal dissonance where the piano and strings articulate different implied cadences, functional endpoints and beginnings. Thus, while there is technically an MC, it is exclusively articulated by the piano part. This MC is characterised not only by a textural break and an implied HC but also by a change in the accompaniment figure that anticipates the arrival of the S theme.

Hyland's MCC model applies to this scenario, albeit with some adjustments (Figure 4.1.3/1). The piano part secures a vi: HC, suggesting a proposed vi: HC MC, followed by a gap, which the S-theme then accepts. In contrast, the violin and cello parts articulate a vi: PAC. However, because the S theme enters before this cadence, no MC is proposed. According to Hyland's MCC model, I depict two misaligned layers of the MC stages to illustrate the functional overlap. The second layer excludes 'acceptance by S' because the S theme is already in progress. The presence of a crotchet rest signifies the end of the phrase in the violin and cello parts. Overall, I categorise this MC situation as an overlapped MC.

Figure 4.1.3/1: Hiller's Op. 8 (i), overlapped MC

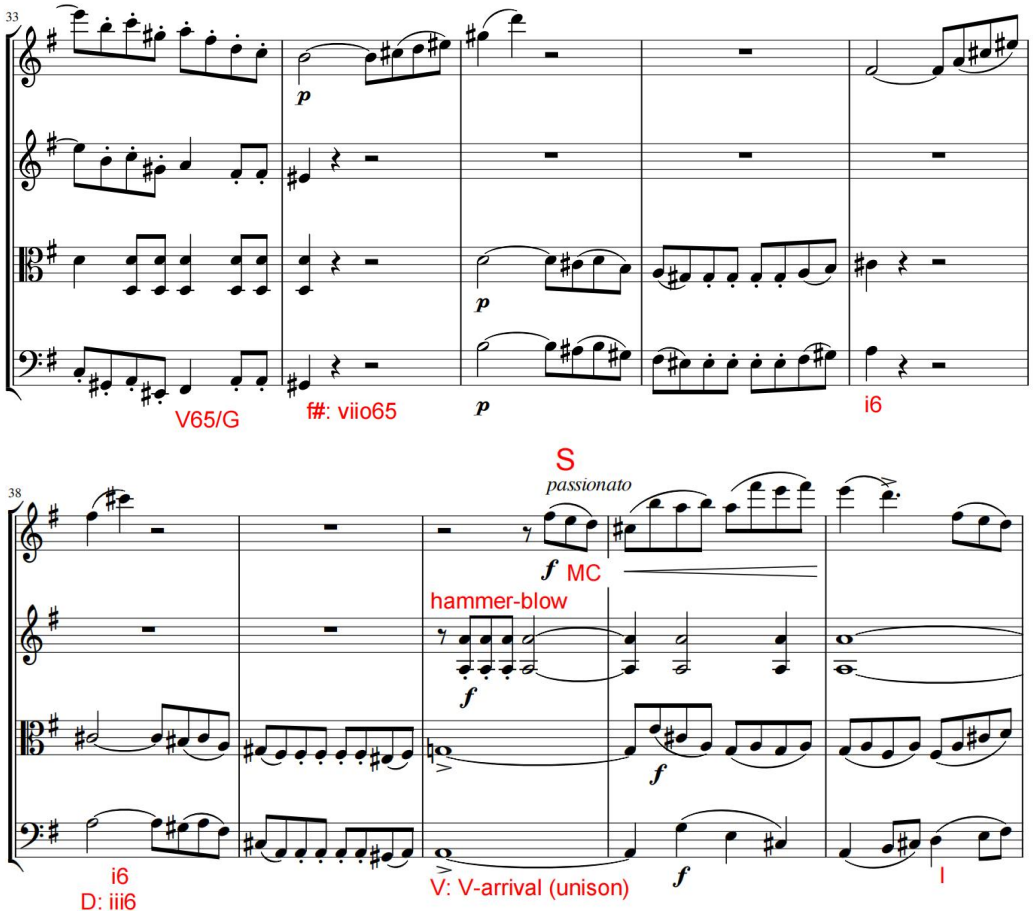


String Quartet No. 1 in G Major, Op. 12

In Op. 12, the TR does not culminate in a cadence but rather in a dominant arrival. As discussed earlier in Chapter 1, Hepokoski and Darcy acknowledge the dominant arrival as a viable MC, though they consider it a deformation. Rhetorically, a textural break follows the G-sharp diminished seventh chord in bar 34. However, this gap does not constitute the MC, as the dominant arrival, though not fully articulated as a chord, occurs later in bar 39 (Example 4.1.3/2). The hammer strokes executed by the second violin further signal the impending MC, with the gap being filled by the pickup of the S theme serving as the CF. Consequently, the last two beats of bar 40 represents the V-arrival MC.

Regarding the texture within this brief MC space, the articulation of the gap is unconventional. The cello and viola sustain the pitch A, followed by the viola's hammer strokes, creating a texture full. Unlike the energy depletion observed in bar 34, the MC space features a sudden *forte* energy level that persists beyond the introduction of the S theme.

Example 4.1.3/2: Hiller's Op. 12 (i), bars 33-42



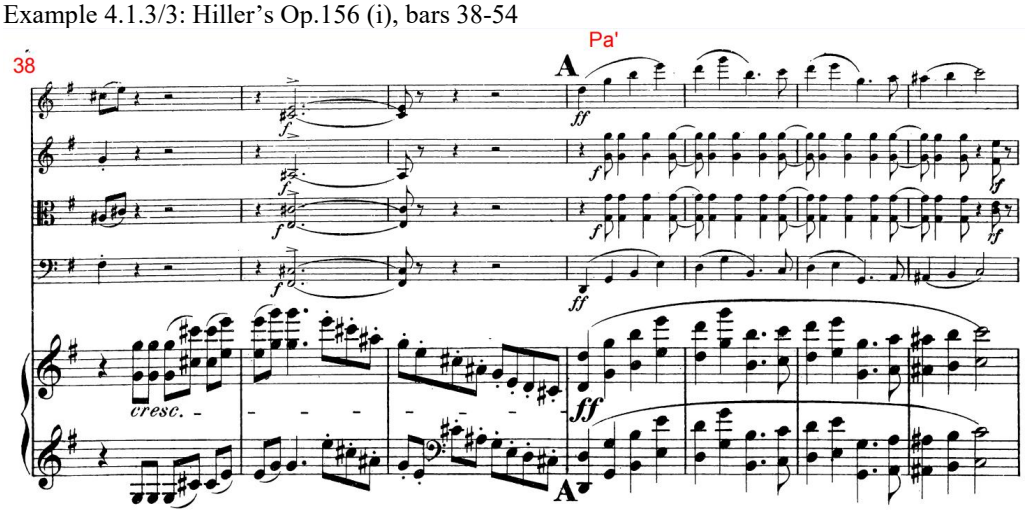
Piano Quintet in G major, Op. 156

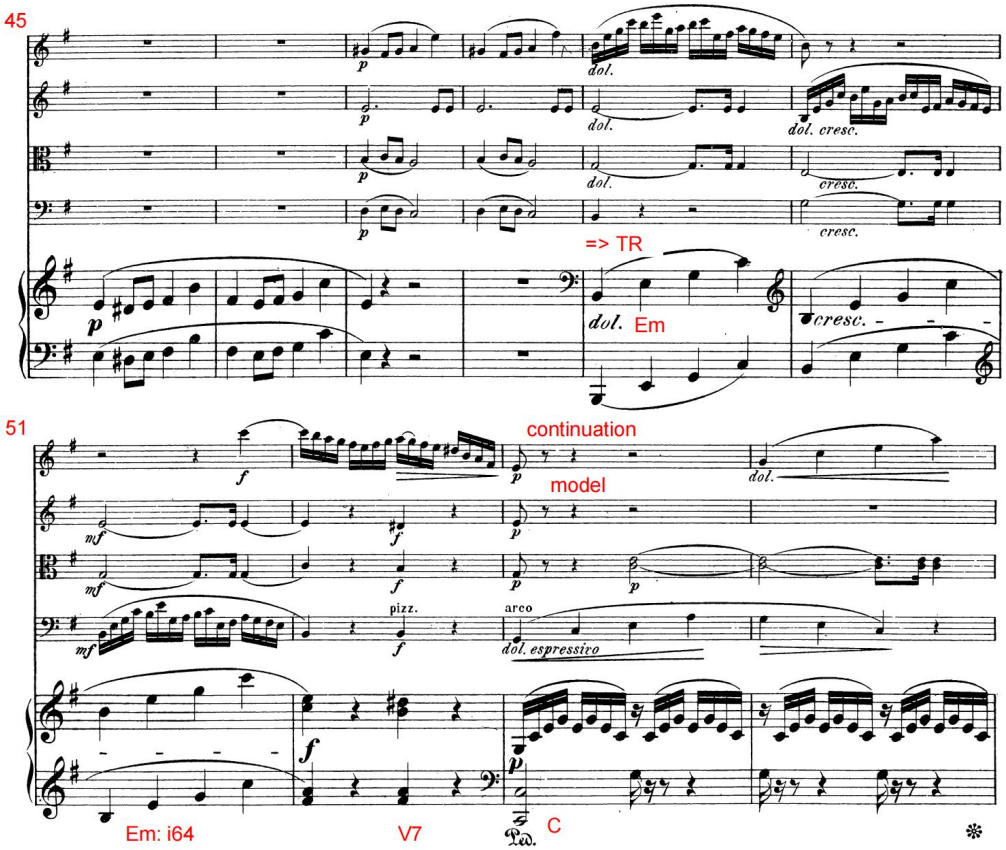
This movement potentially contains an MC, though it significantly deviates in terms of harmonic preparation, presenting a iii: imperfect plagal MC. Although Caplin (1998, p. 43) argues that a plagal cadence 'cannot articulate formal closure', Kavanagh-Clarke (2019) establishes a precedent for this type of MC reading by identifying an elided III: imperfect plagal MC (b. 41) in the second movement of Mendelssohn's Op. 20. In Mendelssohn's case, the proposed MC suggests a normative key choice for the S theme, given the initial tonality is in C minor. In contrast, the proposed MC in Hiller's Op. 156 implies an S theme veering towards an uncommon key. The S theme entering in D major indicates that the proposed MC in

the non-standard key is declined. To confirm that the iii: imperfect plagal MC is indeed the MC, it is necessary to comprehend the syntax in the exposition.

The initial P theme forms a period in which the antecedent closes with a reinterpreted HC (V: PAC). At bar 24, the TR begins with a new material forming a continuation phrase comprising a model and a sequence, each forming a sentence. Although the sequence modulates to F-sharp major, it remains harmonically static owing to the tonic pedal throughout the sequence phrase. Initially, only the increased rhythmic activity contributes to the accumulation of energy, evidenced by the constant quaver runs. The dynamic increase starts late, occurring near a textural gap at bar 40 (Example 4.1.3/3). This gap could be the MC if the following passage is the S theme. If that is the case, there remains an issue concerning the harmonic preparation, as there is no cadential motion owing to the tonic pedal. At most, the F-sharp seventh chord at bar 39 can be regarded as a dominant arrival, anticipating a B-minor S theme, or it may be succeeded by an S theme in D major, potentially starting with a V^7 first. However, the P theme recurs following the V-arrival, indicating that the P theme proliferates from encompassing bars 1-24 to beyond. Consequently, the initial P theme is retrospectively reinterpreted as P^a and is functionally demoted from an interthematic to an intrathematic function. Similarly, the TR is also retrospectively reinterpreted as P^b, effectively downgrading its functional level from interthematic to intrathematic function.

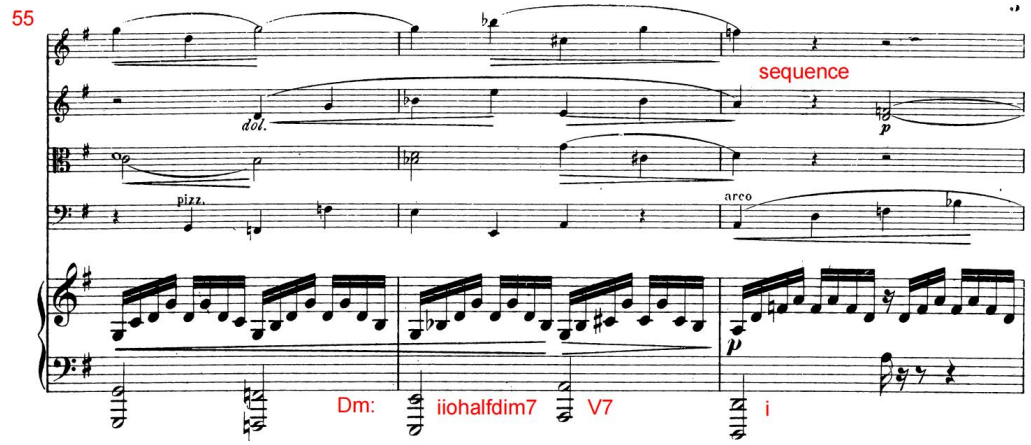
Example 4.1.3/3: Hiller's Op.156 (i), bars 38-54

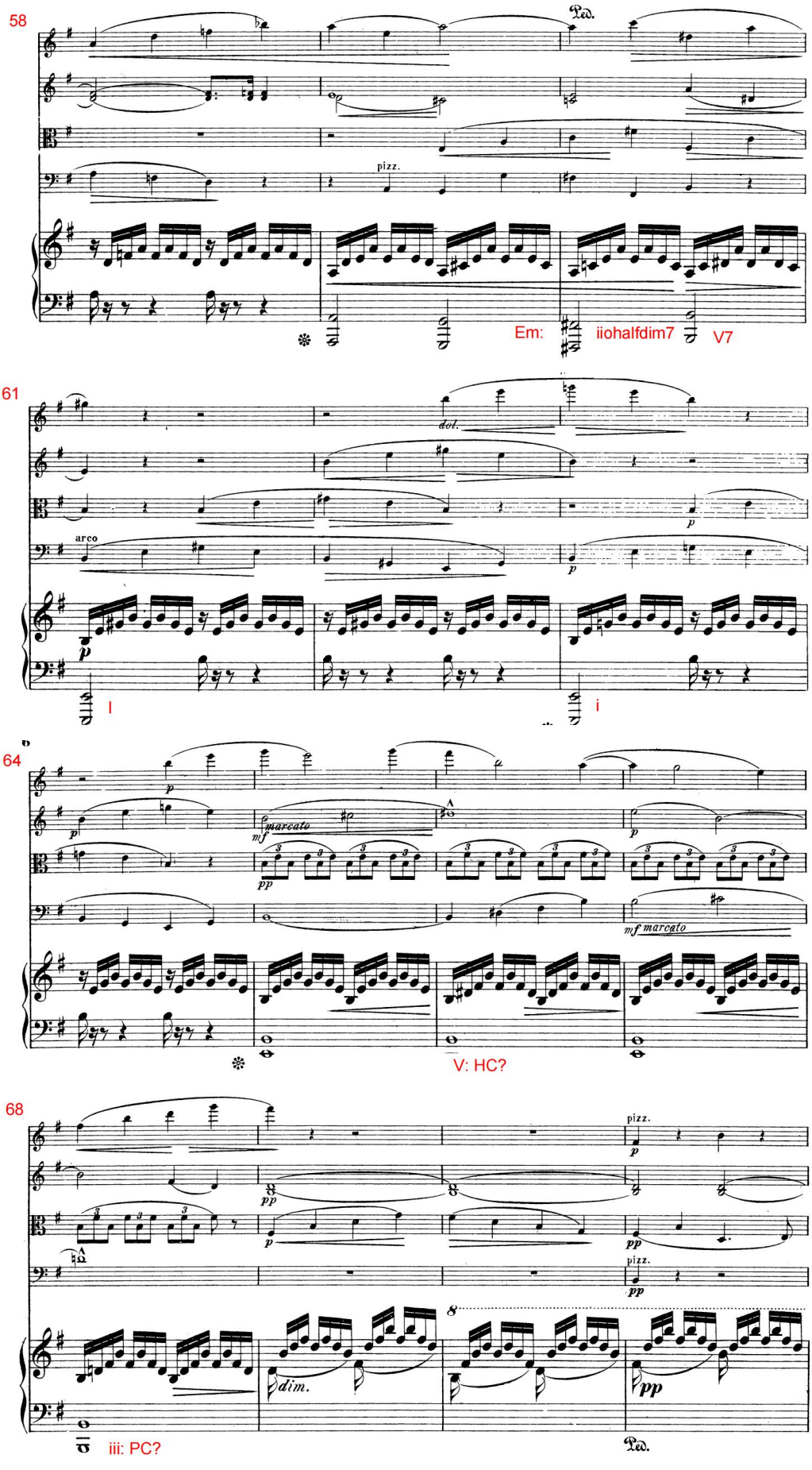


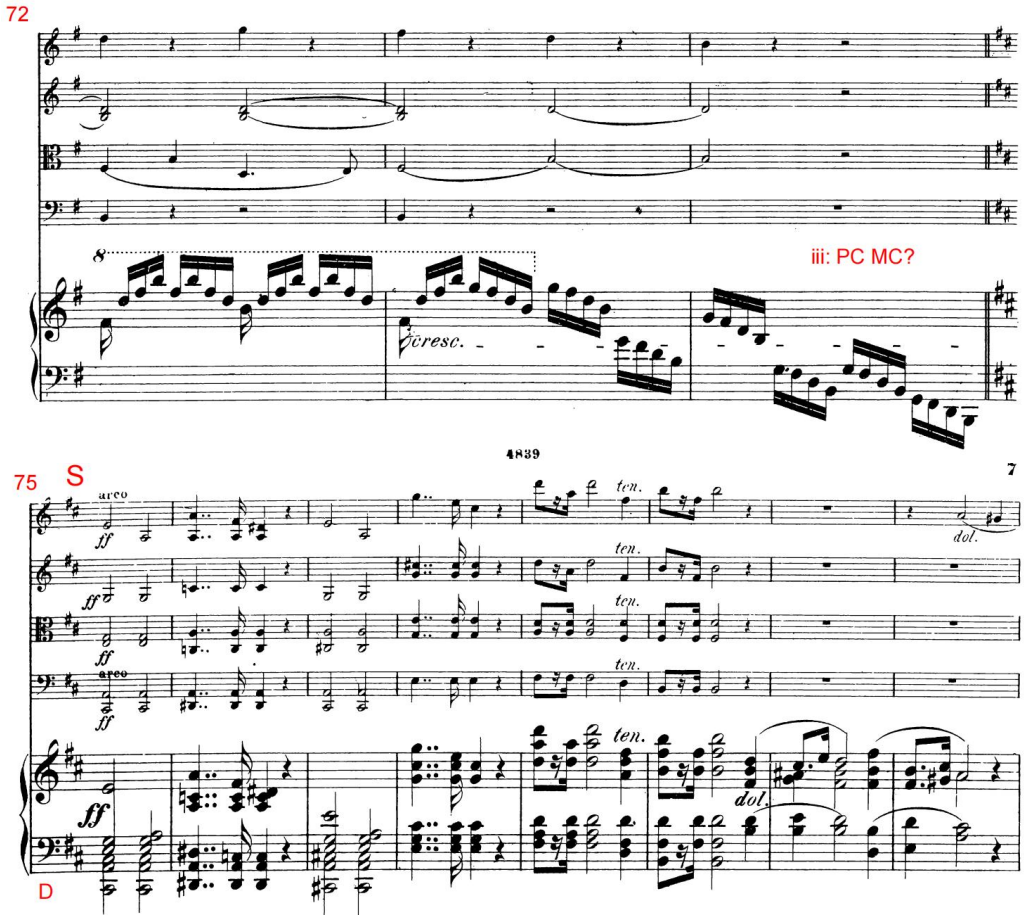


The dissolving $P^{a'}$ indicates that $P^{a'}$ => TR. The arrival of a cadential V^{64-53} in E minor beginning form bar 49 serves as the point of dissolution, marked by a sudden increased in rhythmic activity, the semiquaver runs (Example 4.1.3/3). At bar 53, there is an opportunity to achieve a vi: IAC; however, the cadential motion is evaded with the introduction of another continuation function, transforming the P theme into a model-sequence phrase. While the model tonicises D minor, the sequence tonicises E minor through a modal mixture, with E major arriving first at bar 61 (Example 4.1.3/4).

Example 4.1.3/4: Hiller's Op. 156 (i), bars 55-67




58
Ped.
pizz.
Em:
iiohalfdim7
V7
61
dol.
arco
p
I
i
64
mf marcato
pp
V: HC?
68
pizz.
dim.
iii: PC?



The harmonic motion between bars 65-68 creates ambiguity regarding the direction of the new key. The i-V-i progression in bars 65-67 prolongs E minor as the local key center. However, the harmonic progression to v in the following bar creates uncertainty: should bars 67-68 be interpreted as i-v in E minor or iv-i in B minor? Opting for the former implies that the TR ends with a dominant minor, and whether this can be considered a dominant arrival is inconclusive, as there is no precedent in considering a dominant minor as a dominant arrival. Conversely, selecting the latter acknowledges a sudden last-minute move to B minor as the potential key for S. Regardless of the key suggested by the TR, the arrival of the S theme in D major harmonically declines the proposed iii: PC MC.

This exposition design resembles Mendelssohn's Op. 66 (i), where both themes are small ternary forms, with the first theme containing a dissolving reprise that becomes a TR. As observed by Horton (2020), there is no MC in Op. 66 (i) because the S theme arrives, abandoning the MC opportunity at bar 62 by maintaining the TR's texture and standing on V/III until bar 70, creating an eight-bar parametric non-congruence. I argue that Hiller drew inspiration from this particular exposition

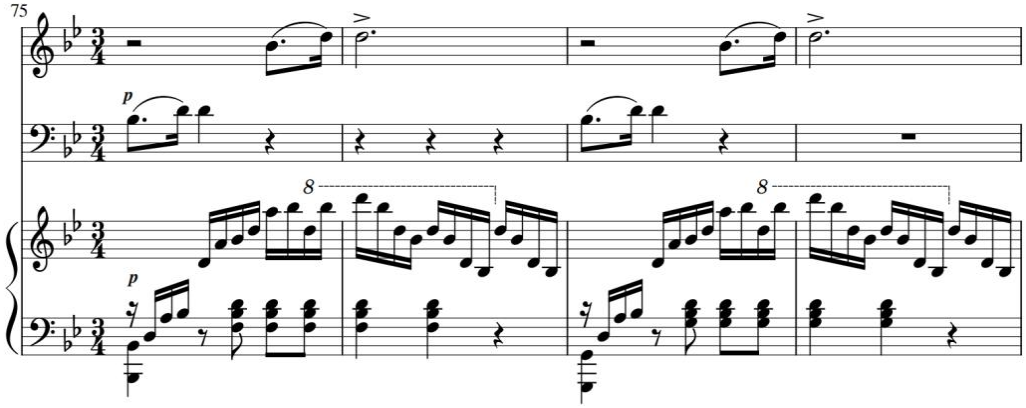
design, though he challenges the formal significance of the MC differently. In Hiller's case, despite a discernible gap at bar 74, there is a clear intent to maintain the piano's transitional texture alive. Similarly, Mendelssohn also maintains the piano's transitional texture, bypassing a potential MC. However, Hiller maintains a certain degree of perceptibility for the MC by dropping out the strings and introducing the S theme with an entirely different texture.

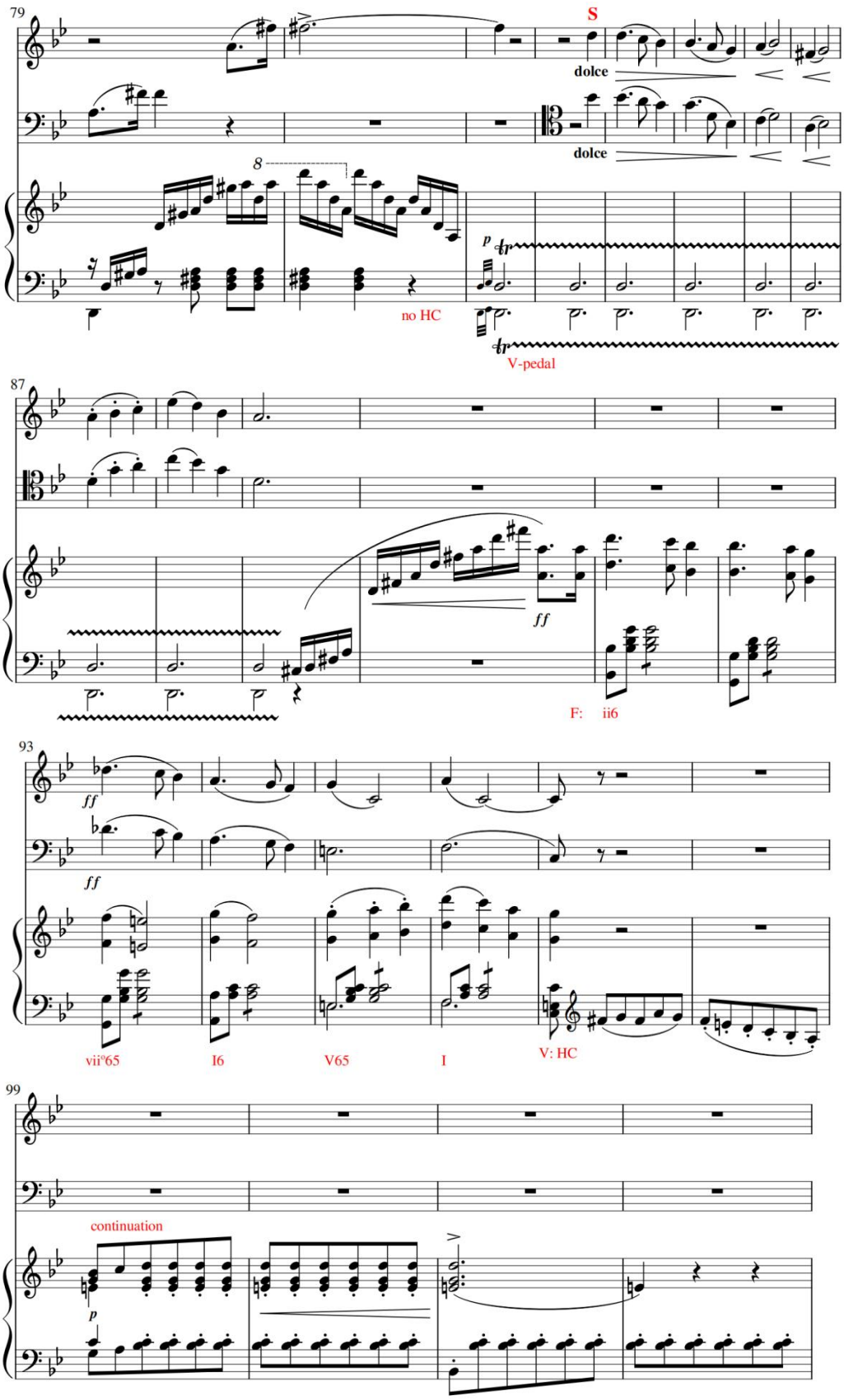
4.1.4: No MC

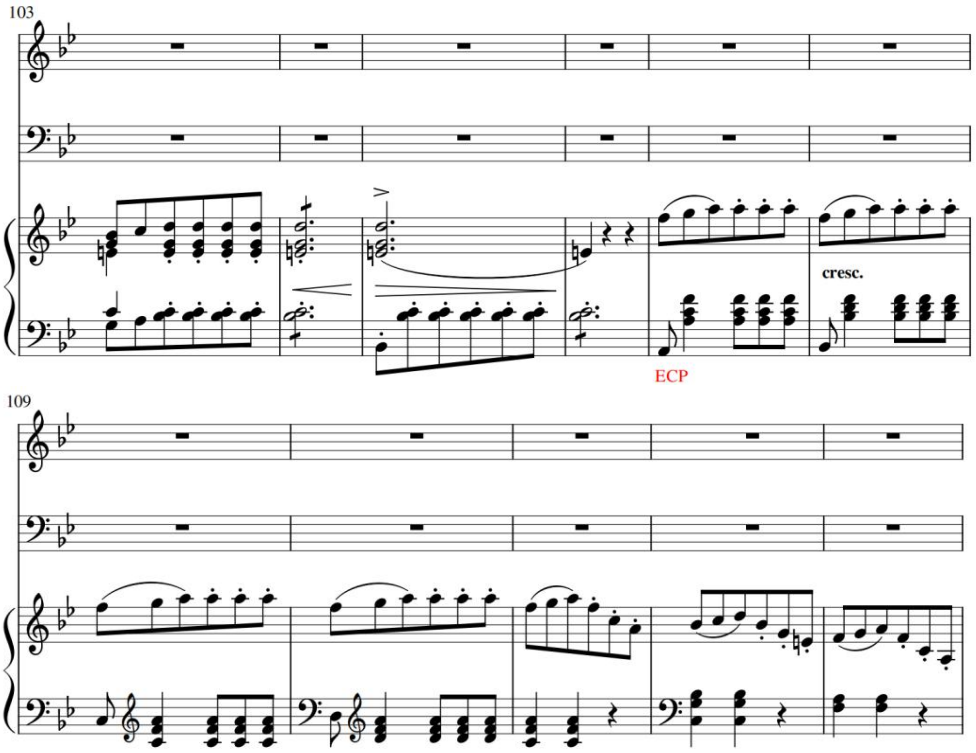
Piano Trio No. 1 in B-flat Major, Op. 6

Opus 6 features a two-part exposition that omits an MC, yet there is a strong implication of an MC-effect within S. The TR begins at bar 67, incorporating a contrasting texture and modulating to vi at bar 77. The following prolongation of V/vi functions similarly to a standing on V, and the S theme's entrance at bar 82 seems to interrupt the ongoing TR. Despite the strings dropping out at bar 81, defining an MC in this context is challenging, as it would imply accepting an MC occurring over a dominant pedal in the 'wrong key' (Example 4.1.4/1). A similar MC situation is previously observed in Mendelssohn's Op. 44 No. 2 (iv), where the beginning of the S theme is elided with TR's HC, occurring over a standing on V. Unlike in Mendelssohn's case, I cannot regard the V/vi in Op. 6 as an ending harmony because the harmonic rhythm is kept the same (bb. 73-80). I interpret the S theme that interrupts the ongoing TR as an example of a two-part exposition without an MC, contrasting Richards' view, who considers this a type of an obscured MC.

Example 4.1.4/1: Hiller's Op. 6 (i), bars 75-113




79
S
dolce
dolce
8
p
tr
no HC
tr
V-pedal
87
ff
F: ii6
93
ff
ff
vii°65
I6
V65
I
V: HC
99
continuation
p

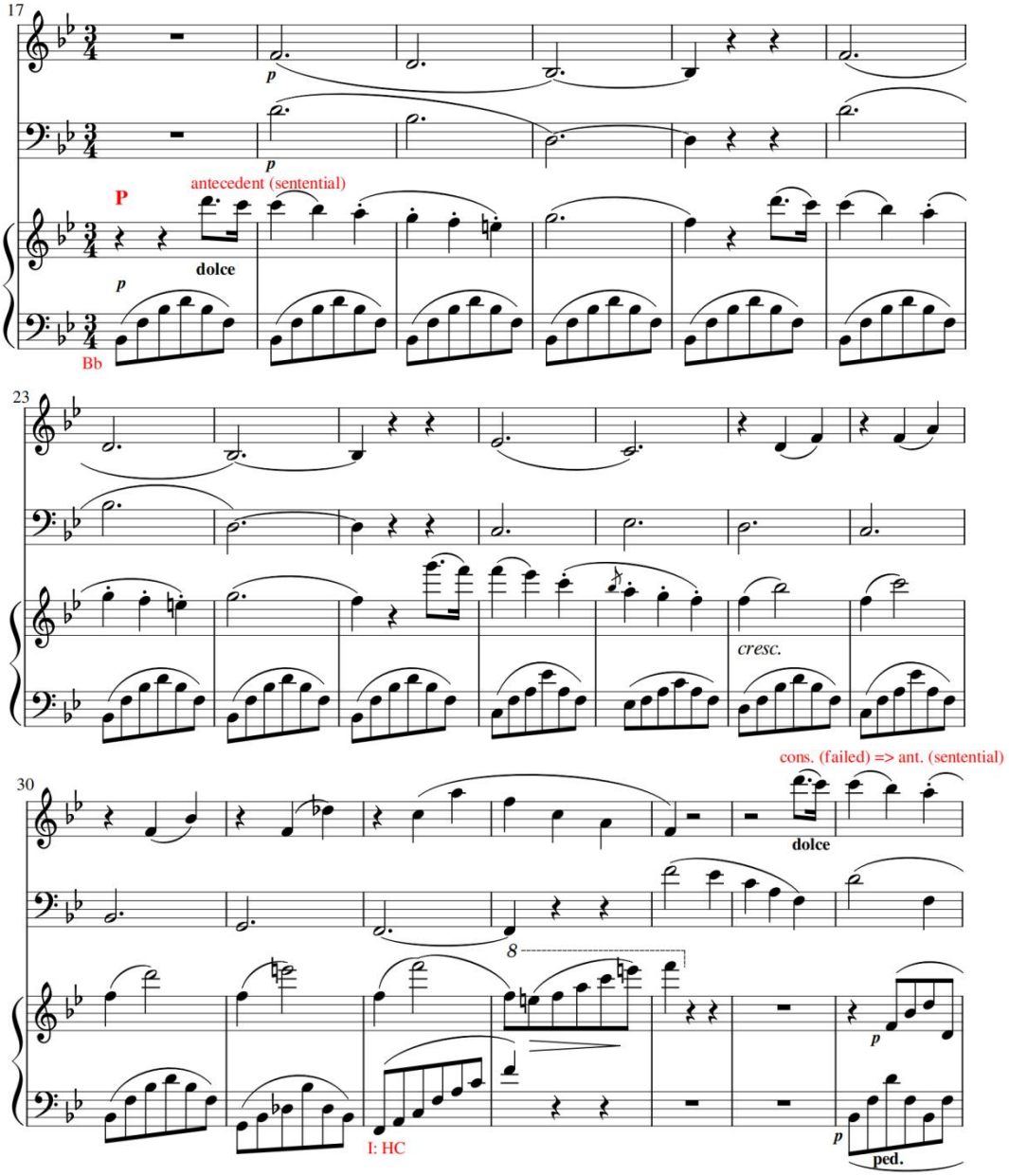


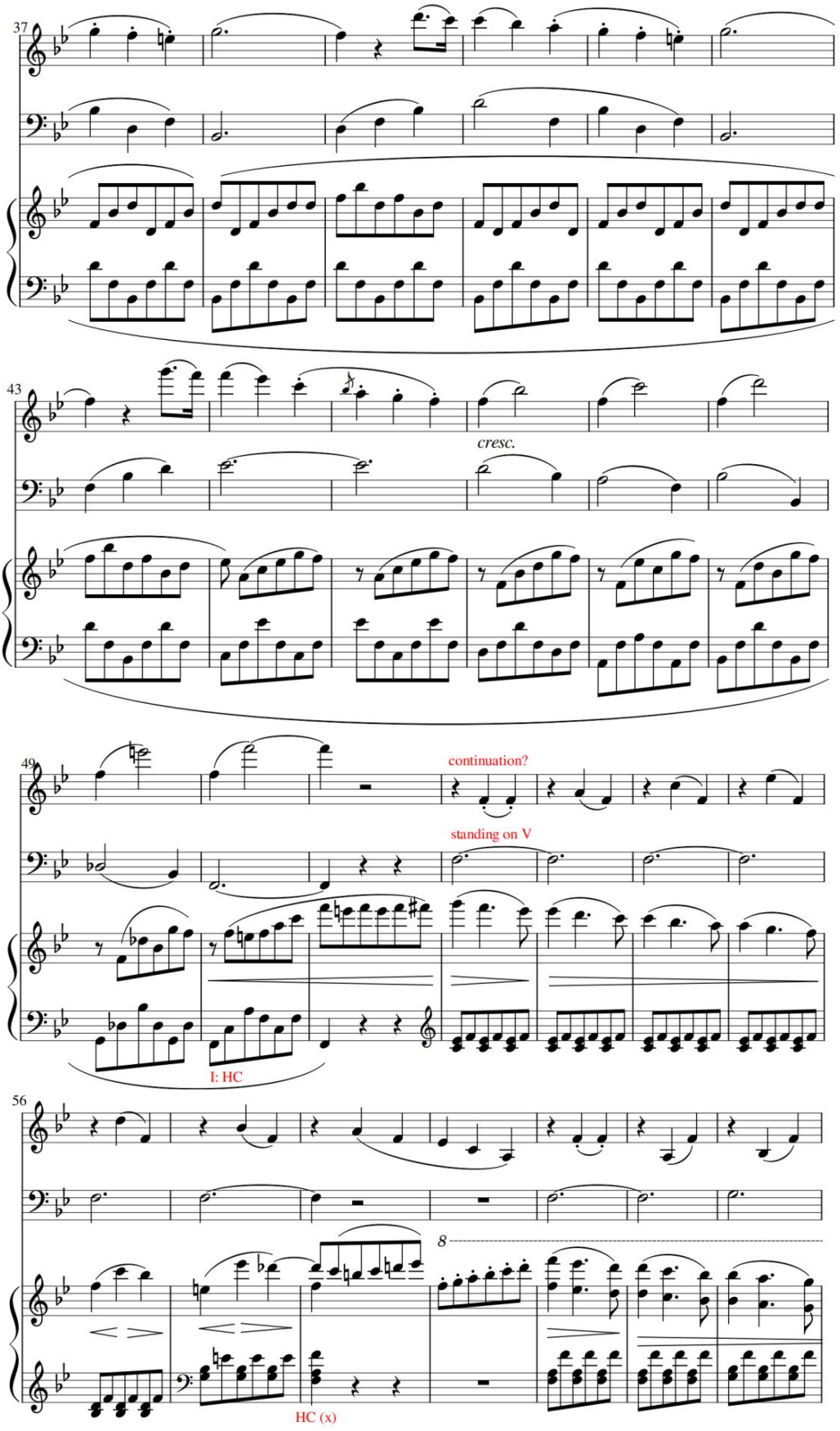
Turning to the S theme, bars 82-97 seem to form an antecedent function with two compound basic ideas. The repeated c.b.i at bars 90-91 confirms the function of F minor as a predominant of the correct S-theme key, F major (V). The V: HC at bar 97, followed by a textural gap, demonstrates how the MC is typically articulated, suggesting a dislocation. However, considering a displaced MC within the S theme is not viable because the nature of the MC is to open the S space. At most, this can be interpreted as an MC-effect. In summary, the S theme interrupts the TR, leading to a retrospective interpretation of the standing on V/vi as an ongoing modulation process, making the V: HC the intended goal of TR.

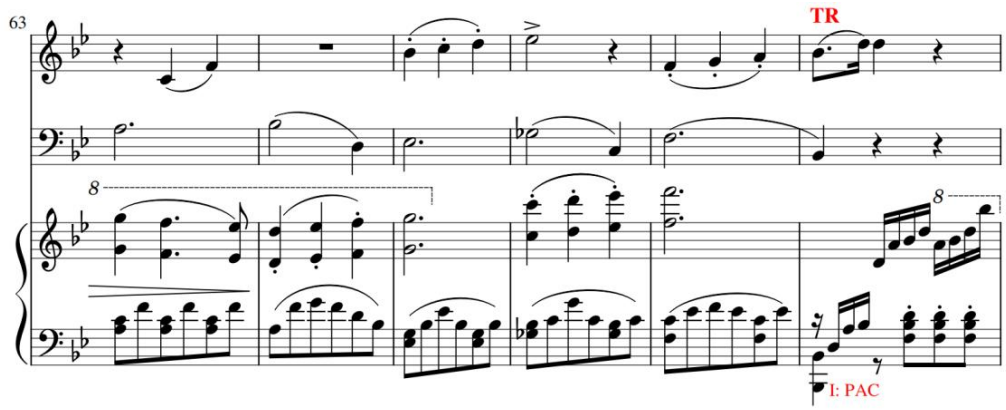
My interpretation of the dislocation of the MC in this exposition is connected to the structure of the P theme. It begins with a sentential antecedent featuring a dissolving third statement that reaches a I: HC. A consequent ensues but unfolds exactly like the preceding antecedent, also concluding with a I: HC (Example 4.1.4/2). This situation is similar to the S theme in the first movement of Schubert's Piano Sonata in A, D. 959 (bb. 55-82), where the consequent is perceived by Caplin as a failed consequent that becomes an antecedent, owing to the exact repetition and a modulation to G major with the same half-cadential gesture (2018, p. 20). Following this failed consequent is a textural gap (b. 51) and a continuation with a standing on V

spanning from bars 52 to 61. This process rhetorically resembles a TR followed by an MC and an S theme beginning with a standing on V. Because of this TR-S rhetoric and the over-determined HCs, owing to the failed consequent, the actual point of TR-S does not contain an HC. The redundancy of repeating a I: HC as the ending of TR is offset by maintaining the G-minor key within S. Overall, the P theme is a sentence, where the presentation comprises two antecedents. Following Caplin (2004, p. 86-89), the half cadences concluding the antecedent phrases are regarded as of 'limited cadential scope'.

Example 4.1.4/2: Hiller's Op. 6 (i), bars 17-68



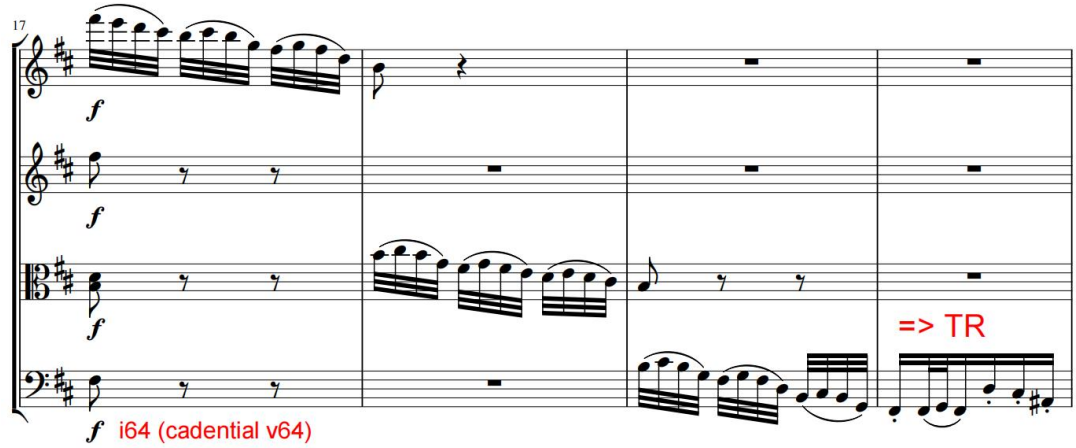

37
43
cresc.
49
continuation?
standing on V
I: HC
56
8
HC (x)

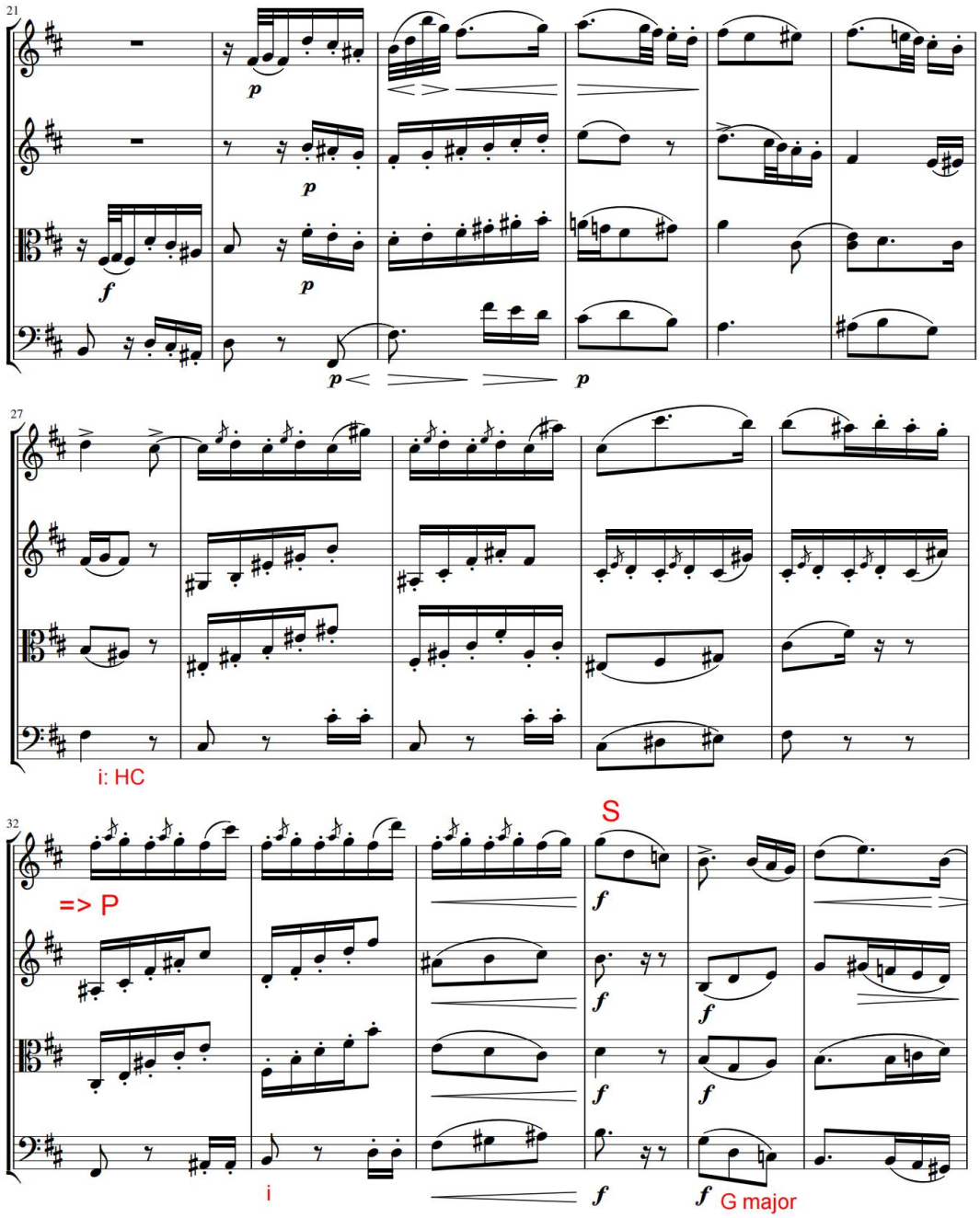


String Quartet No. 2 in B minor, Op. 13

The issue with this movement lies in the absence of cadences marking the conclusion of interthematic functions, resulting in the absence of the MC. The P theme constitutes a period with an extended consequent phrase (Example 4.1.4/3). When the phrase reaches a cadential V^{64} in bar 17, two formal issues arise. First, the cadential V^{64} is left unresolved as a new section begins in bar 21 with the arrival of tonic minor. Second, the new section (potentially the TR), which introduces new material with an imitative technique, actually begins in bar 20. Consequently, there is no cadence concluding the P theme, creating ambiguity about the start of the new section: is it bar 20 or bar 21? Opting for the former implies that the P theme is somehow returns to the tonic minor with the potential TR section entering one bar early, creating a parametric misalignment of one bar. Conversely, choosing the latter suggests interpreting the cadential V^{64} as being blocked, leaving the P theme open-ended and closely juxtaposed with the potential TR beginning in bar 20.

Example 4.1.4/3: Hiller's Op. 13 (i), bars 17-37





Initially, the TR section appears concise as a i: HC is attained in bar 27. However, this HC does not function conclusively for the TR, as the following passage continues to search for the tonic minor, as evidenced by the tonic arrival at bar 33. A textural gap emerges in the next two bars as the chord progresses to vi^6, where the S theme enters, using vi^6 as the new local key. This situation suggests that in addition to the inconclusive P theme, the TR is also non-modulating and inconclusive. Alternatively, if we perceive bars 17-32 as composing out a V^{64-53}- i progression, two issues arise: how to account for the extra three bars (bb. 33-35) and how understand the formal division of bars 1-35—whether it is an inconclusive P followed by an

inconclusive TR or if the entire passage is better regarded as P. Overall, I perceive bars 1-34 as featuring a circular transformation, where the functional becoming to TR is triggered by the imitative entries (bb. 21-23) and the functional regression to P is marked by the tonic arrival in bar 33.

Regardless of one's preferred formal division and interpretation of the syntax—which I leave open to interpretation—I contend that there is no MC in this exposition, even though some may choose to recognise one. My rationale for not acknowledging any MC stems from perceiving bars 1-34 as entirely belonging to the P section. As I established in Chapter 1.10.1, no MC functions in expositions where the P and S sections are juxtaposed.

Conversely, recognising an MC implies acknowledging a TR (without functional regression to P) and adhering to Richards's idea of an incomplete MC as discussed in Chapter 1. An incomplete MC, even lacking a harmonic preparation, is viable if it is positioned correctly within the rotational order. Additionally, the S theme beginning at bar 35 can be interpreted as the CF, or one could perceive it as a juxtaposition between P and S instead.

One remaining issue is whether there is also a parametric misalignment between the TR and S sections, given the earlier discussion about the incomplete TR harmonic activity due to the lack of harmonic preparation. The only cadence in the S section is the VI: HC at bar 42, which closes the antecedent phrase. This HC could mark the end of the TR if there were no misalignment, indicating a current misalignment of 8 bars.

Overall, the exposition is highly deformational in three aspects: 1) the formal division between P and TR is ambiguous owing to the absence of cadential closure; 2) there is a parametric non-congruence between TR and S; and 3) the S theme concludes by veering off to another key, C major, through a plagal bass motion.

4.2: Overview of Hiller's Recapitulatory MCs

As shown in Table 4.2/2, the majority of the recapitulation's MCs are deformational. Additionally, three movements fall into 'second-level default' category, and three lack MCs altogether (one being Type 3 and the other two non-Type 3). Among the deformational MC types, 'MC in non-standard key' and 'MC declined' are the most prevalent (Table 4.2/1). This indicates Hiller's inclination towards adventuring in the

recapitulation, particularly in Op. 7, Op. 13, and Op. 156, which exhibit both of these deformational MC types.

Table 4.2/1: Overview of Hiller's deformational MCs (recapitulation)

Category:	V-arrival	Elided cadence	Non-standard cadence at MC (IAC and PC)	MC over non-standard harmony	MC in non-standard key	MC Declined
Hiller:		Op. 207 (MC1)	Op. 156	Op. 133 Op. 172	Op. 6 Op. 7 Op. 13 Op. 74 Op. 156	Op. 7 Op. 13 Op. 156

4.2.1: Second-Level Default MC

Piano Quartet No. 2 in F Minor, Op. 3[37]

Opus 3 stands out as Hiller's only first movement in his chamber works where the recapitulation closely mirrors the exposition. The recapitulation's presentation of the P theme is slightly truncated, a common practice to avoid redundancy, especially given the nested P theme in the exposition, resulting in three levels of intrathematic function, as illustrated in Table 4.2.1/1. In the recapitulation, the phrase structure of the P theme adopts a hybrid type 1 configuration, with the antecedent phrase corresponding to bars 39-46 and the continuation phrase correlating with bars 64-75. The TR remains non-modulatory and culminates in a I: HC, followed by the same standing on V and the proposed I: HC MC (b. 280), which the S theme accepts by commencing in the root tonic (Example 4.2.1/1).

Table 4.2.1/1: Hiller's Op. 3 (i), P theme, exposition

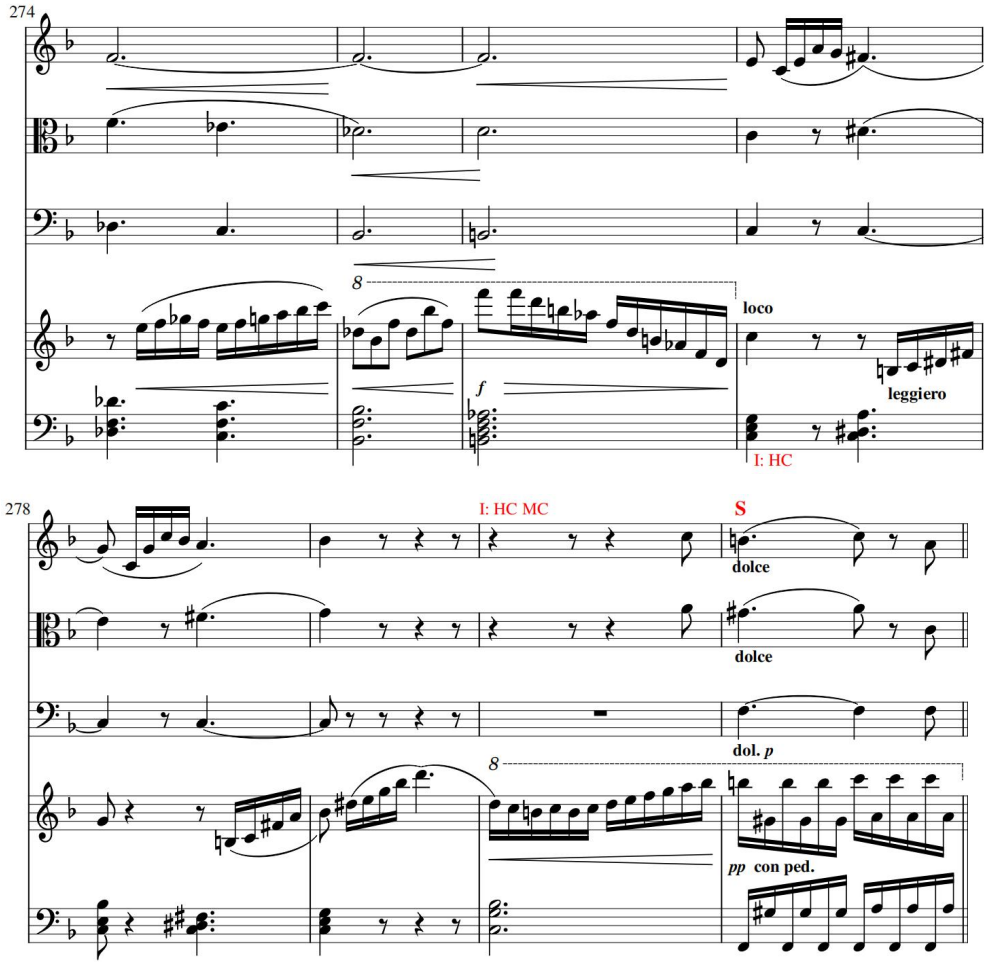
Bars	39				55			
Large-scale function	Exposition							
Interthematic function	P							
Intrathematic function	Antecedent				Consequent			
	Statement		Response		Statement		Response	
	c.b.i	Cont.	bi	Cad.	c.b.i	Cont.	bi	Cad.
Harmony	I	V	V	I	I	V/vi	$vii^{o4}{}_3$/vi - V	I
Cadence	I: HC		I: PAC		vi: HC		I: PAC	

[37] The assigned key for the piano quartet is F minor: the introduction of the first movement is F minor, and the last movement is also in F minor. However, the sonata space of the first movement is in F major.

Table 4.2/2: Overview of Hiller's expositional and recapitulatory MCs

	Exposition					Recapitulation				
Movement	First-level default	Second-level default	Third-level default	Fourth-level default	Other	First-level default	Second-level default	Third-level default	Fourth-level default	Other
Op. 1	III: HC MC						i: HC			
Op. 3	V: HC MC						I: HC			
Op. 6					No MC					vi: HC MC
Op. 7			III: PAC MC							bV: HC MC (declined)
Op. 8					vi: PAC MC					Type 2
Op. 12					V-arrival MC					Reversed P-S
Op. 13					No MC					iv: HC MC (declined)
Op. 74					Pre-V MC					V7/vi HC MC
Op. 105					V: IAC MC					No MC
Op. 133					No MC					viiº7 MC
Op. 156					iii: PC MC (declined)					iii: PC (declined)
Op. 172					viiº7 MC					viiº7 MC
Op. 207					iii: HC MC (MC1) Elided V: PAC MC (MC 2)		I: HC MC (MC 2)			Elided I: PAC MC (MC1) I: V-arrival MC (MC2)

Example 4.2.1/1: Hiller's Op. 3 (i), bars 274-281



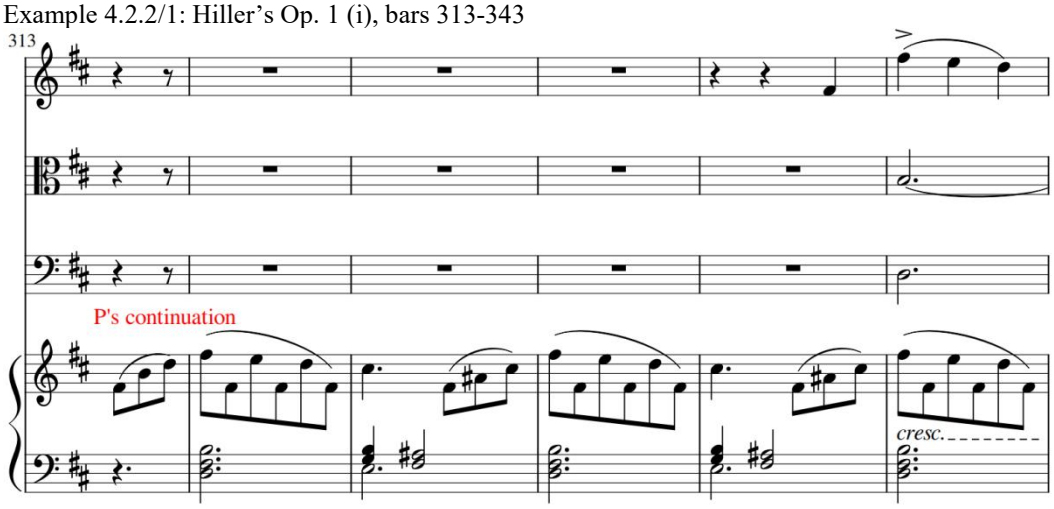
4.2.2: Deformational MCs

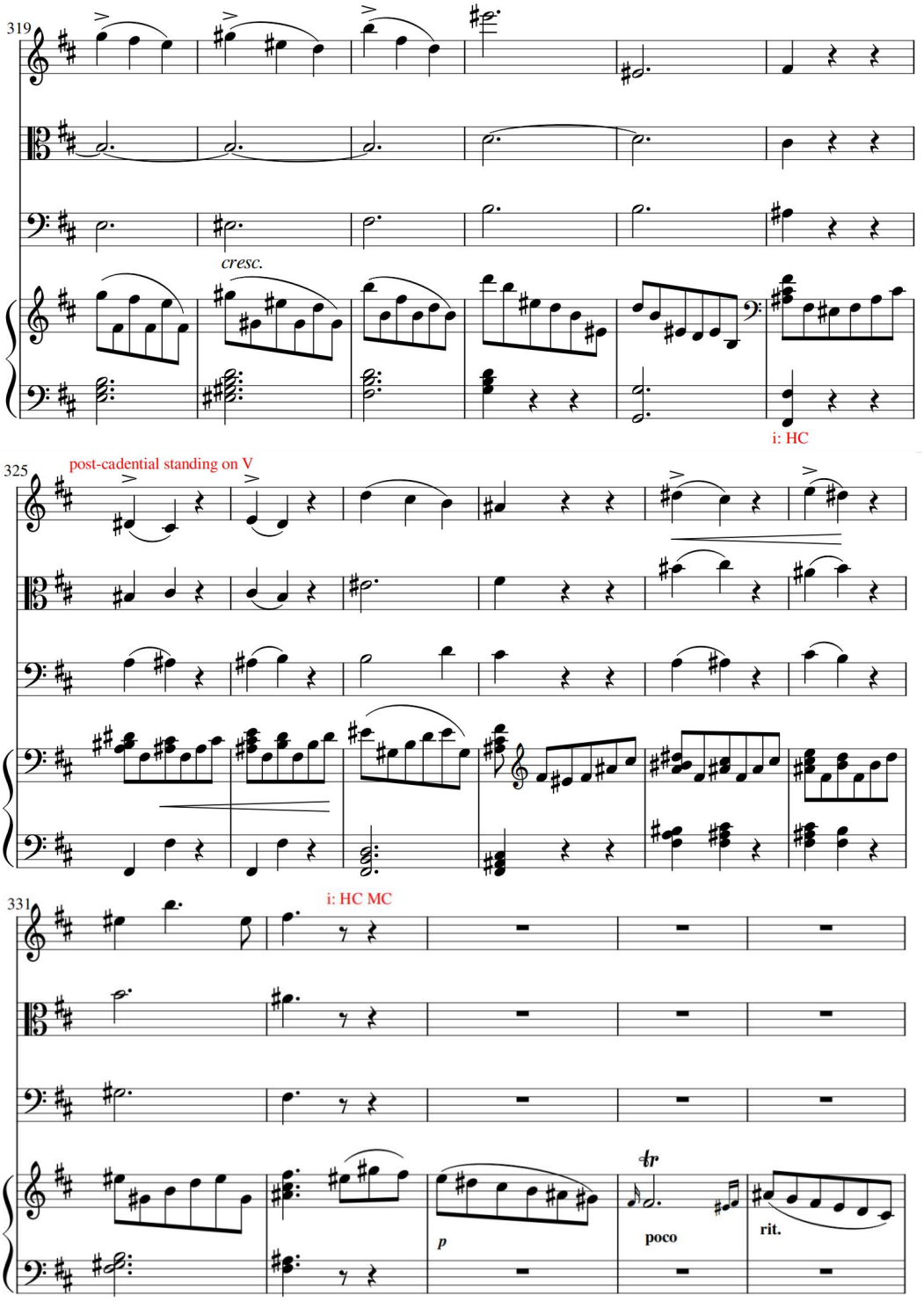
As previously outlined in Chapter 1, both Mozart's K. 45 and K. 169 exhibit an abbreviated exposition where the P and the S themes are juxtaposed. According to Hepokoski and Darcy (2006), the cadence concluding the P theme also serves as a proposed MC for the S theme, allowing it to be either accepted or declined. However, as mentioned in Chapter 1, I oppose recognising any MC in such situations because the PAC closing the P theme cannot also serve as harmonic preparation for an MC. However, I accept an MC reading in situations where P theme becomes TR (P => TR) and concludes with an HC. This reminder is particularly relevant to Op. 1, Op. 6, Op. 17, and Op. 13.

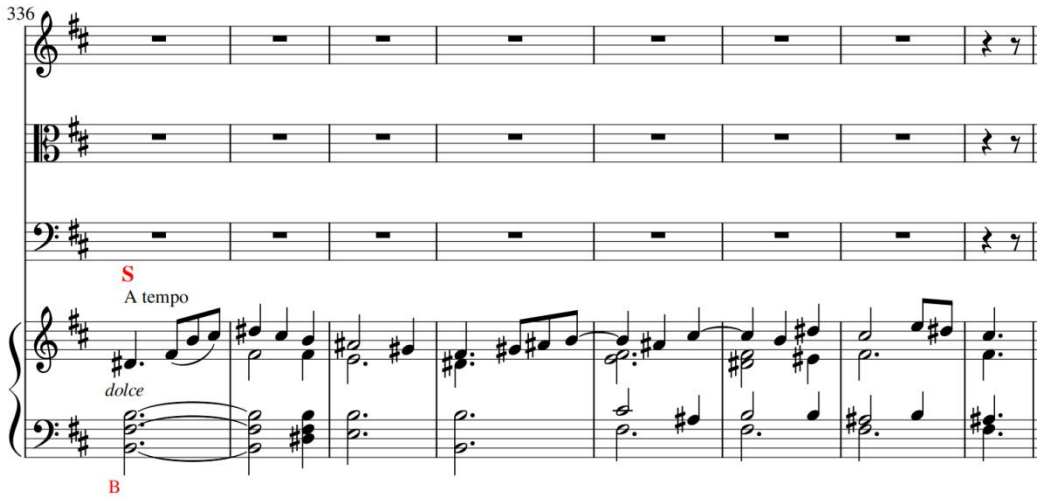
Piano Quartet No. 1 in B minor, Op. 1

In the recapitulation of Op. 1, the P theme is truncated into a sentential antecedent, contrasting with its exposition counterpart, which includes both an antecedent and a consequent were present. Unlike Mozart's K. 45 and K. 169, the truncated P theme in this recapitulation concludes with an HC, resulting in an open-ended P. This P section resembles Mozart's K. 156 (i), which, as discussed in Chapter 1, leaves open the interpretation of whether the open-ended P theme can be considered a P => TR. Given that Hiller repeats the same post-cadential phrase as in the exposition following the HC, I am inclined to identify a viable MC, despite the ambiguous P => TR in this context (Example 4.2.2/1). Additionally, the role of the MC in the recapitulation is distinct owing to the formal truncation, a practice commonly observed in Mendelssohn. I contend that this formal truncation does not diminish the relevance of the MC, as its initial large-scale function with a clear MC is already established in the exposition, serving as a reference point. Therefore, I regard the recapitulation's P theme + post-cadential function as sufficient for recognising an MC. The MC point, observed in bars 332-335, is filled in with a single-line CF, through which the S theme begins in B major, signifying its acceptance.

Example 4.2.2/1: Hiller's Op. 1 (i), bars 313-343



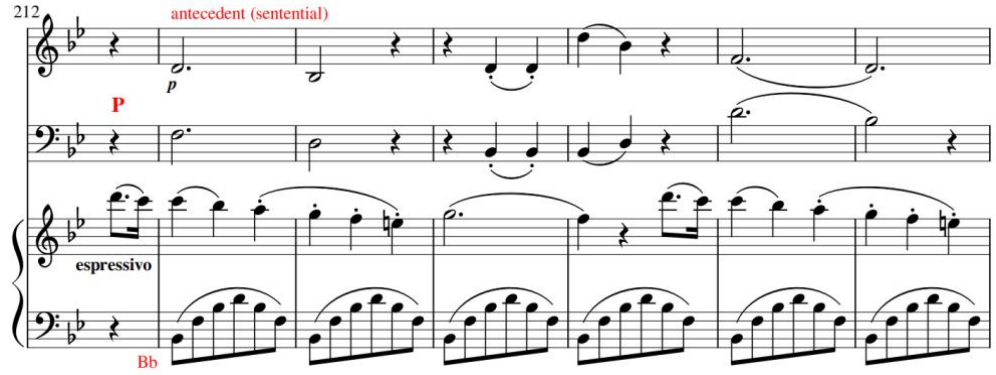

319
cresc.
i: HC
325
post-cadential standing on V
331
i: HC MC
tr
p
poco
rit.

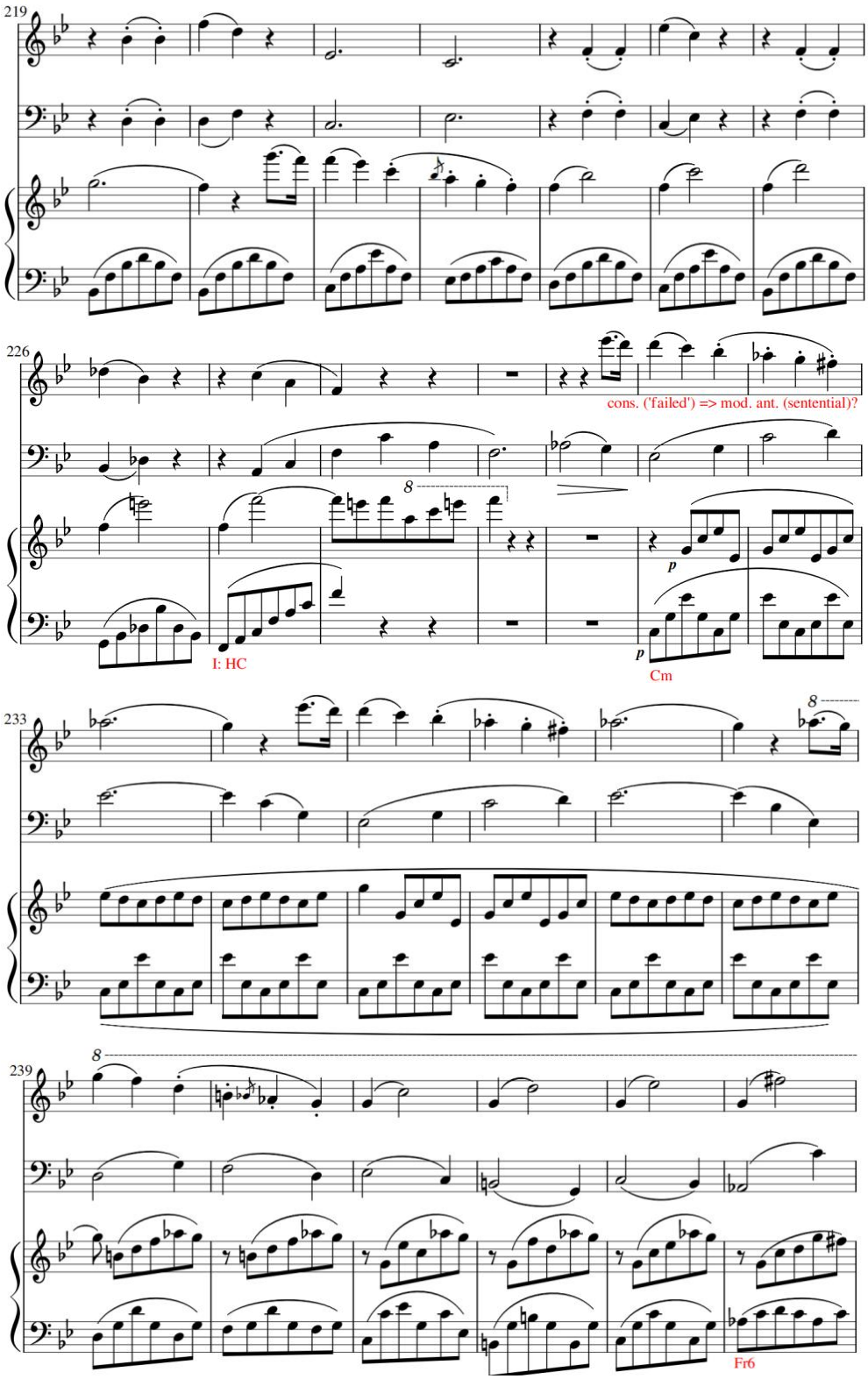


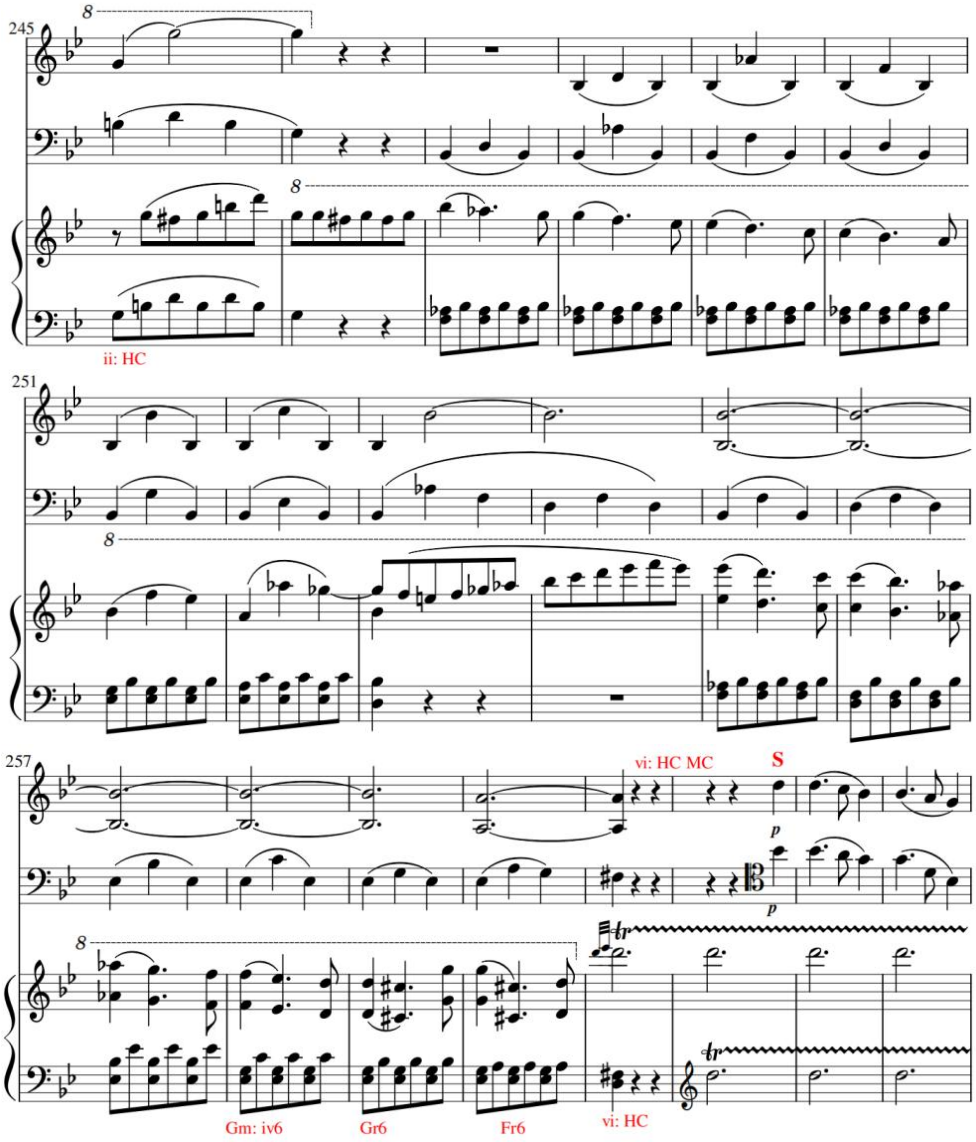
Piano Trio No. 1 in B-flat Major, Op. 6

The first piano trio features a sonata form in which the exposition lacks an MC to separate the TR from the S theme, as both the harmonic preparation and the gap are deferred beyond the S theme. However, in the recapitulation, an MC is discernible owing to the open-ended and truncated P theme => TR. The functional becoming of the recapitulation's P theme is characterised by modulations to C minor and G minor, leading to a vi: HC in bar 261 (Example 4.2.2/2). The MC gap is filled with a trill, immediately followed by an S theme in G minor, which accepts the proposed vi: HC MC. Reflecting on the exposition, where the S theme is also in G minor, indicates that the recapitulation does not resolve this issue. In summary, the harmonic preparation is unconventional, the gap is articulated in a normative manner, and the harmony of the S theme is obscured as it stands on the dominant.

Example 4.2.2/2: Hiller's Op. 6 (i), bars 212-264

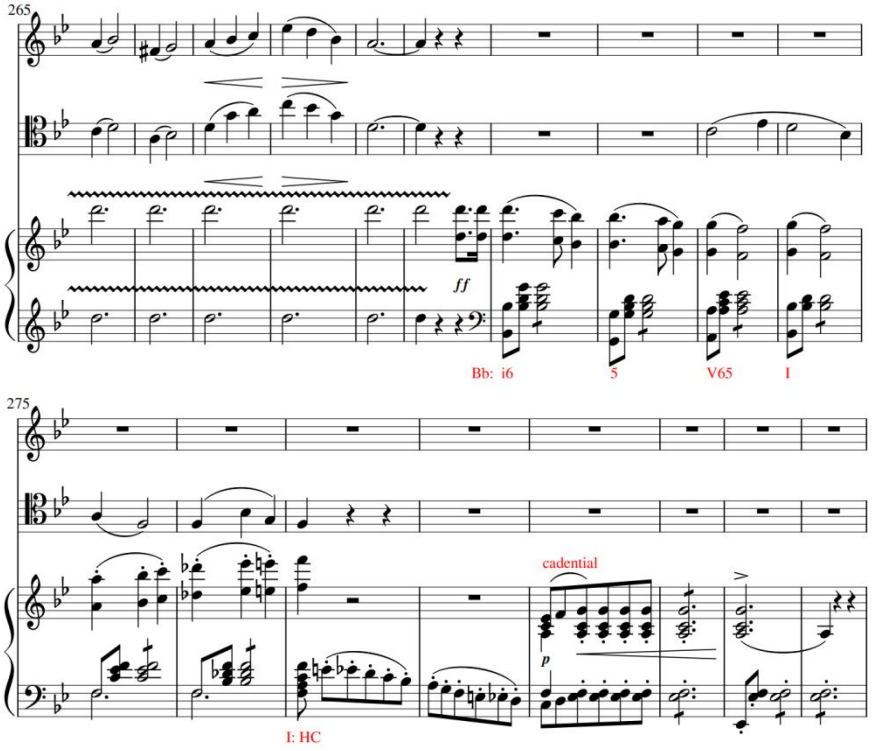



219
226
cons. ('failed') => mod. ant. (sentential)?
8
p
I: HC
Cm
233
8
239
8
Fr6



In bars 277-278, there is a I: HC cadence followed by a gap, characteristic of an MC (Example 4.2.2/3). As in the exposition, these elements are considered as an MC-effect. This MC fulfills the same function as in the exposition, redirecting the modulation from the 'wrong' key back to the tonic. Consequently, there is an implied TMB-effect, transitioning from an MC in an unconventional key to another cadence that establishes a second MC in a conventional key, facilitating the entrance of TM3. However, the S theme in this section does not fully embody a TMB structure, as it consists of a single expansive module. Therefore, similar to the exposition, bars 266-267 represent an MC-effect.

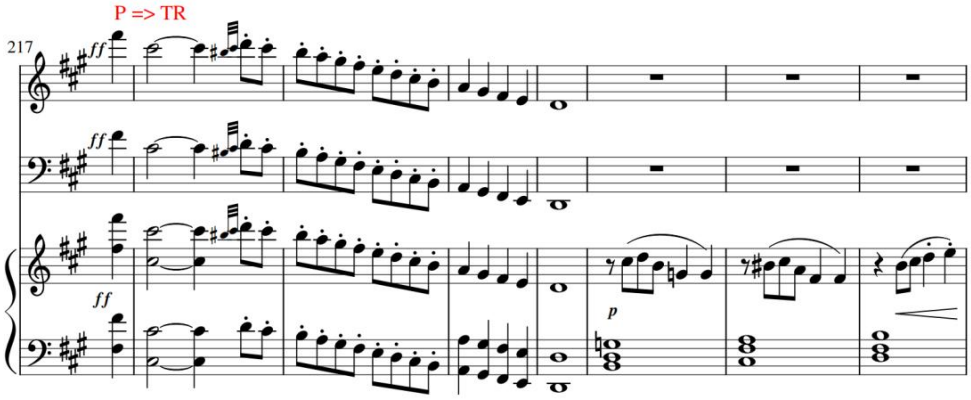
Example 4.2.2/3: Hiller's Op. 6 (i), bars 265-282

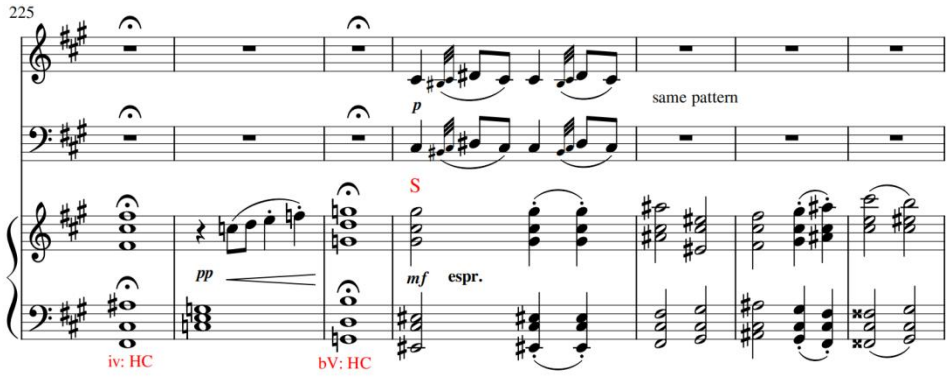


Piano Quartet No. 2 in F-sharp Minor, Op. 7

Similar to Op. 1, the recapitulation's P theme in Op. 7 is truncated, including only the antecedent, which concludes with a iv: HC. However, the half-cadential motion is reiterated a half step above, resulting in a bV: HC (Example 4.2.2/4). Subsequently, a 1-bar GP ensues, with the S theme commencing in the dominant key, declining the proposed non-standard bV: HC MC.

Example 4.2.2/4: Hiller's Op. 7 (i), bars 217-231

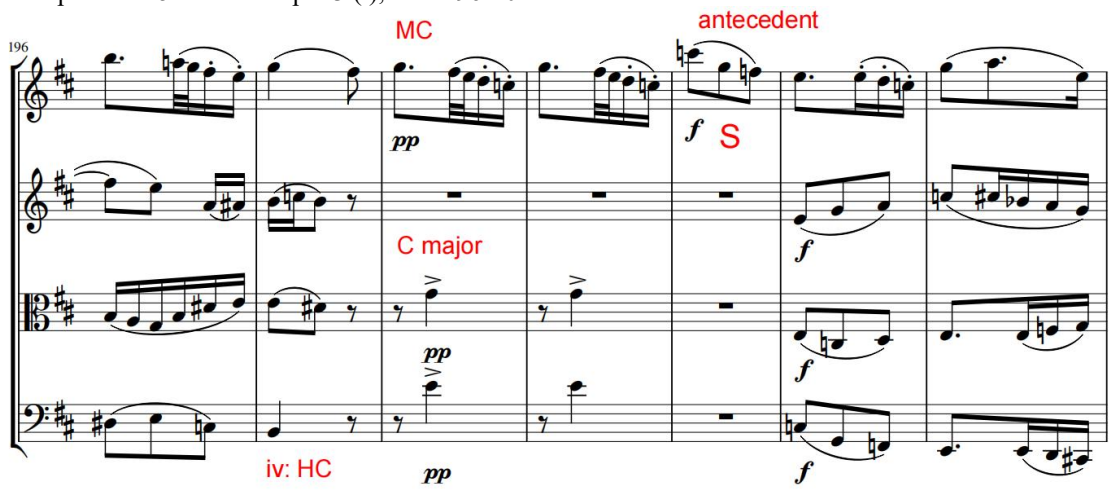


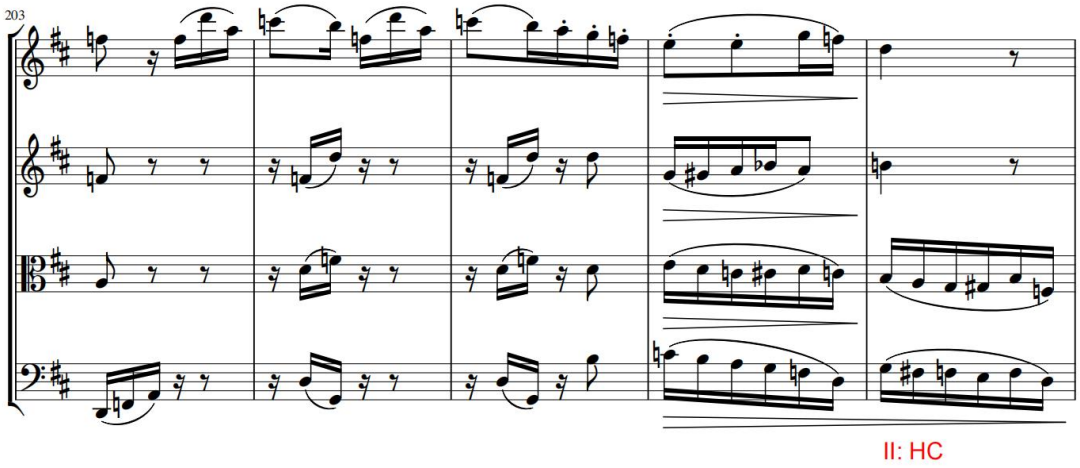


String Quartet No. 2 in B Minor, Op. 13

In contrast to the two previously mentioned piano quartets, this quartet retains the periodic structure of the P theme, albeit with slight truncation. The attempt to conclude the P theme with a PAC in bar 191 is thwarted by a cadential evasion, achieved through avoiding the root tonic. Moreover, this P theme is presented in E minor, illustrating a non-tonic recapitulation. Following the cadential evasion, a cadential module featuring an ECP leads to the arrival of iv: HC in bar 197 (Example 4.2.2/5). The subsequent three-bar gap witnesses an abrupt modulation to C major, from which the S theme emerges. In summary, the harmonic preparation is unconventional, the harmony within the gap deviates from the norm, and the S theme declines the proposed iv: HC MC by adopting a non-standard key (C major).

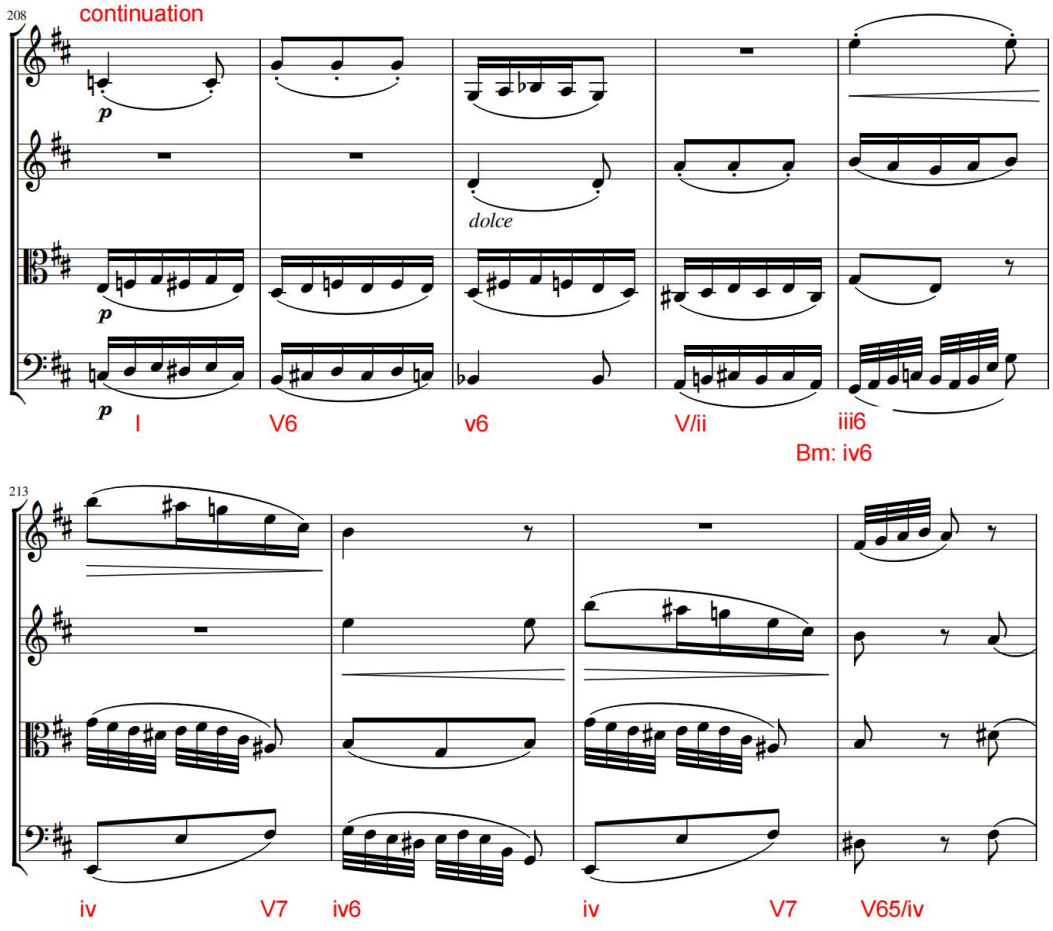
Example 4.2.2/5: Hiller's Op. 13 (i), bars 196-202

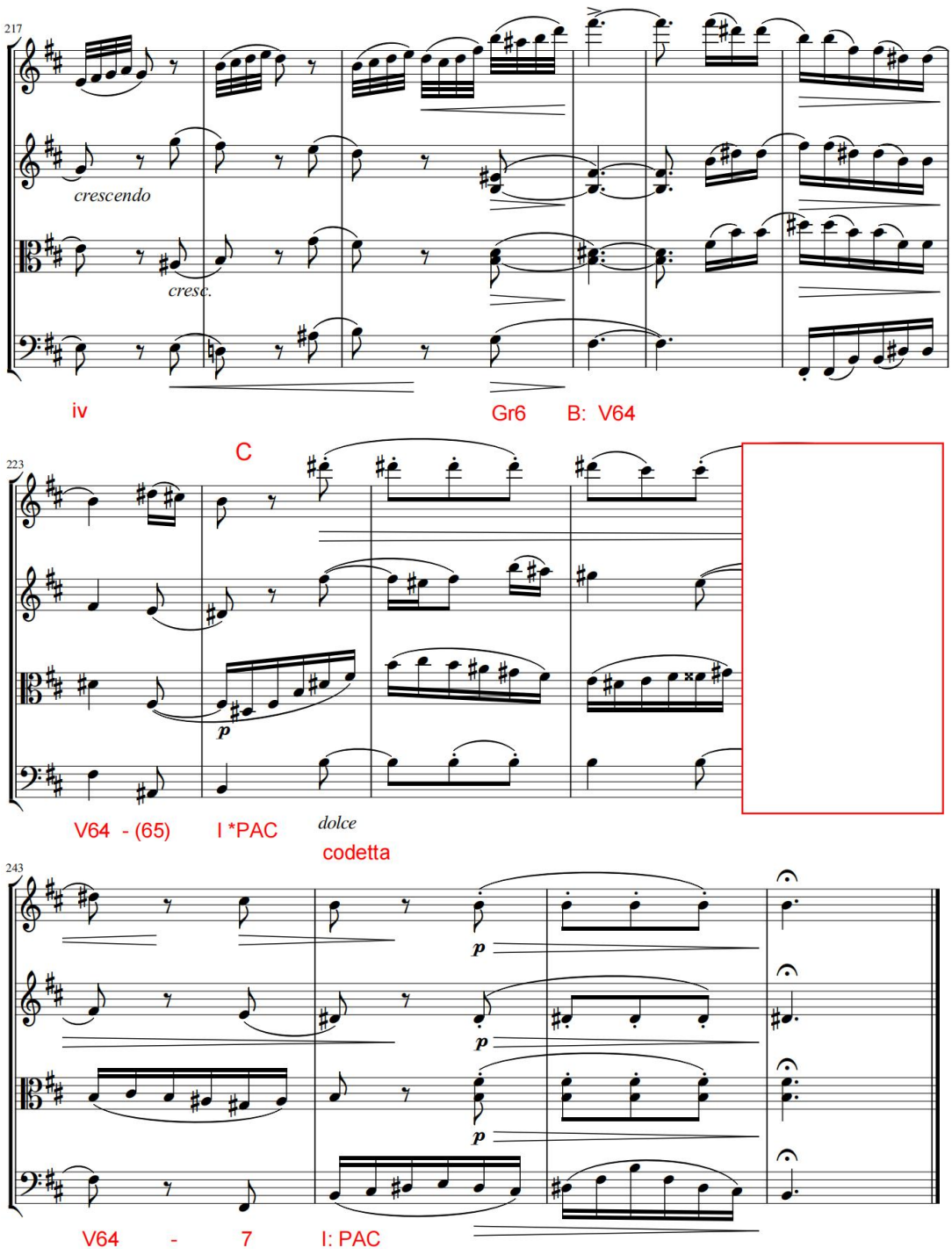




Example 4.2.2/6 shows that iii^{6} is used as a pivot chord to return to B minor. In bar 220, Hiller changes the mode to major by introducing a cadential V^{64} of B. However, the opportunity to achieve a I: PAC in bar 224 is discarded by the bass skipping from F-sharp to A-sharp, indicating a sonata failure. The final PAC is postponed to the C section, observed in bars 243-344, where the cadential V^{64} reappears. This time, the F-sharp in the bass is maintained, ensuring proper voice-leading motion to cadence.

Example 4.2.2/6: Hiller's Op. 13 (i), bars 208-246





Piano Quintet in G, Op. 156

The recapitulation of this movement does not resolve the declined MC presented in the exposition. Moreover, the non-tonic recapitulation begins in C major, facilitated by a common-tone diminished seventh in the preceding bar. The P theme in the recapitulation follows a small ternary formal type, with the P^a section displaying the most divergence. Despite starting in a non-tonic key, P^a concludes with a I: PAC.

In the exposition, the dissolving $P^{a'}$ strives to achieve an authentic cadence in E minor, but the V^7/Em is evaded, leading to a continuation function (b. 53) comprising a model and a sequence, culminating in the iii: imperfect PC (Examples 4.1.3/3 and 4.1.3/4). In contrast, the V^7/C in the recapitulation is resolved rather than evaded, thereby confirming a modulation to C major. Furthermore, the continuation phrase in bar 281 is an exact replica, including the key, of the passage from the exposition in bars 53-74, resulting once again in the iii: PC MC. Following this model-sequence phrase is an S theme in the tonic. Therefore, I interpret the MC situation in both the exposition and recapitulation as a bifocal MC, a concept first described by Robert S. Winter (1989) to denote a I: HC MC. In the exposition, this MC is followed by an S theme in the dominant harmony of the I: HC whereas in the recapitulation, the I: HC functions as a local dominant to the tonic-key S theme.

4.2.3: Non-Type 3

Piano Trio No. 3 in E Major, Op. 8

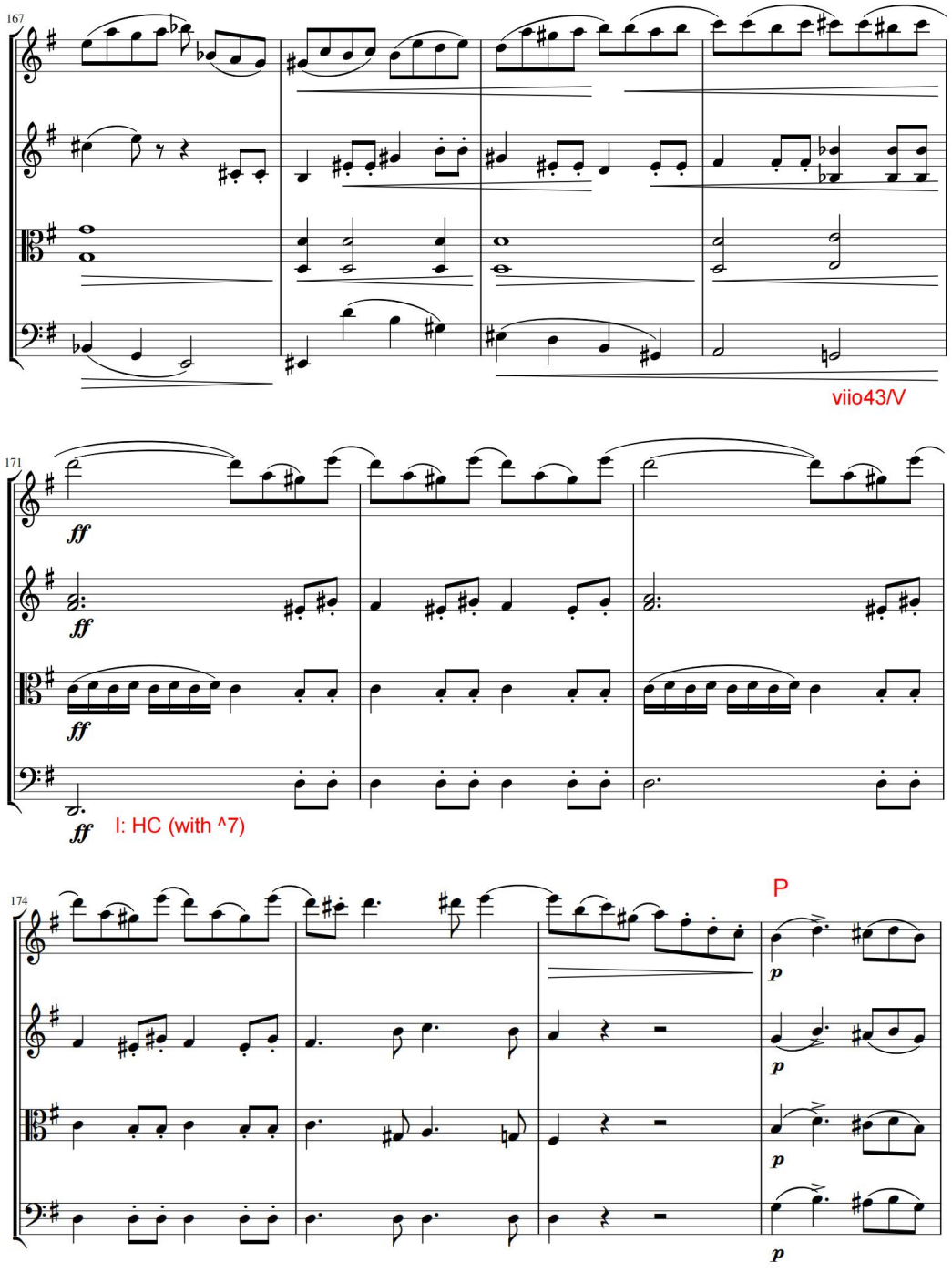
In Op. 8, a two-rotational sonata form is used, where both the development (bars 108-140) and the recapitulation (bars 141-197) constitute a single rotation. In the development, the antecedent phrase of the P theme is restated with modifications and modulations. Beginning at bar 117, an imitative exchange based on the P theme ensues between the violin and cello. This section reaches a I: HC progression in bar 133, further prolonged by a standing on V. The recapitulation initiates with an S theme at bar 141, responding to the structural I: HC from the development with a tonic minor. Toward the conclusion of the S theme, there is an abrupt return to tonic major, emphasised by the articulation of I: PAC.

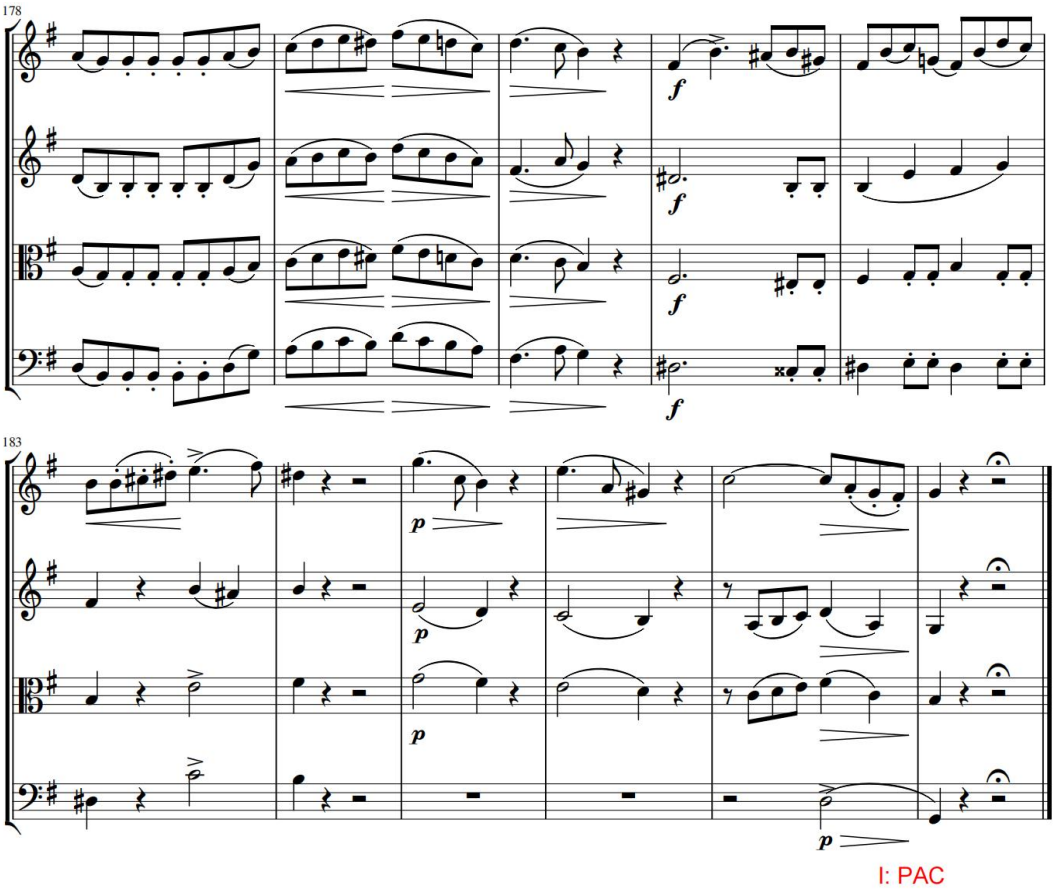
Piano Trio No. 1 in G Major, Op. 12

Opus 12 resembles Op. 8 in that the recapitulation also begins with an S theme. However, unlike Op. 8, this movement deviates from a Type 2 sonata because the development and recapitulation are treated as distinct rotations, as can be seen in bar 91 and 106. While the recapitulation starts with an S theme, the presence of a P theme can be identified at bar 177, indicating a reversal of P and S themes in the recapitulation—a formal reading which is rejected by Hepokoski and Darcy (2006, p. 368). This reversed P theme serves the role of the S theme in terms of securing a I:

PAC. Conversely, the S theme is open-ended as it is concluded with a I: HC in bar 171 (Example 4.2.3/1). Following this, there is a six-bar passage reintroducing material from TR section (referencing back to bar 28), which prolongs the I: HC. This passage, marked by three voices dropping out in bar 176, with only the first violin continuing, can be interpreted as a post-cadential standing on V leading towards a possible I: HC MC in bar 176.

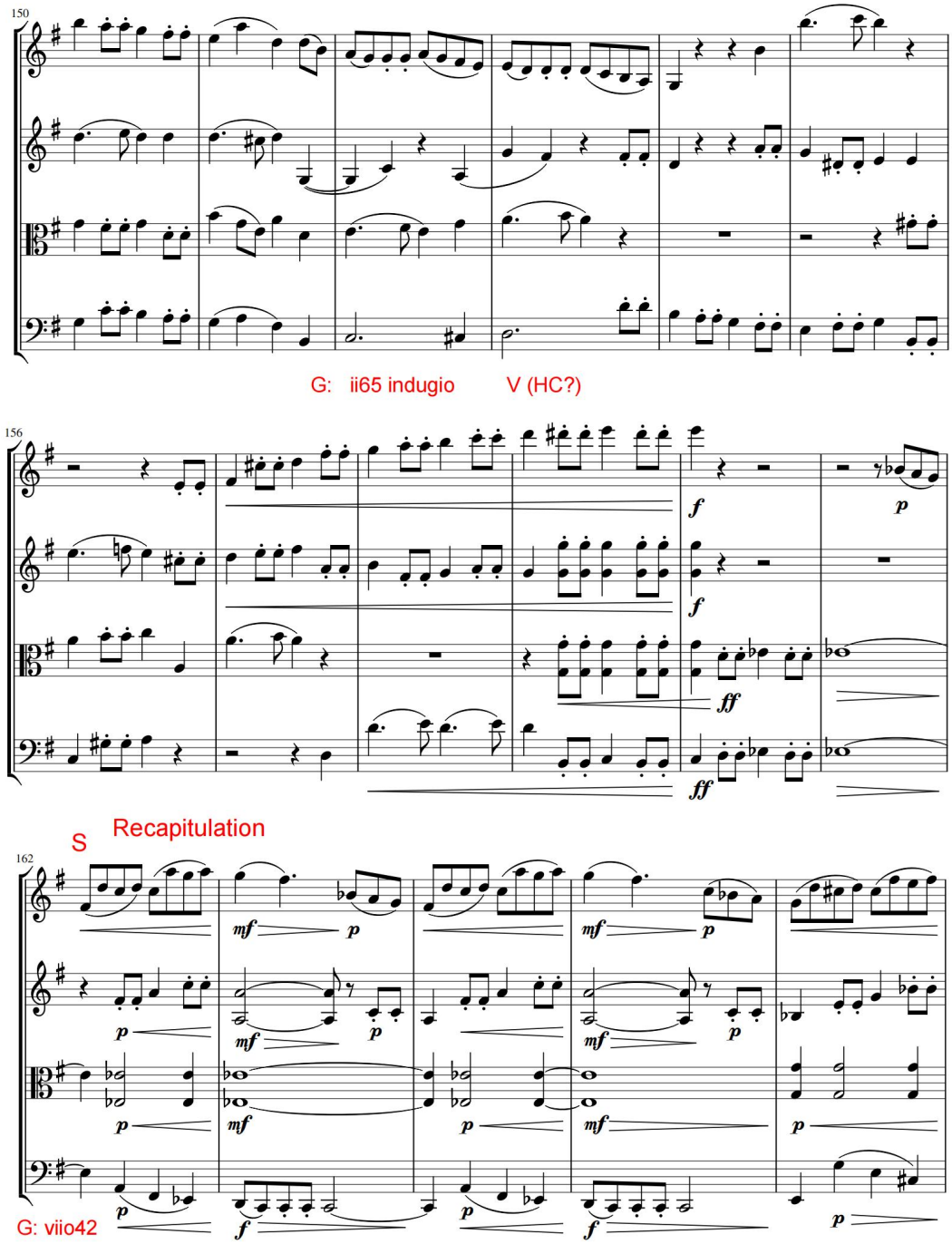
Example 4.2.3/1: Hiller's Op. 12 (i), bars 167-188





The way in which the development transitions to the recapitulation in Op. 12 is deformational. As observed in bars 152-153, there is an attempt to secure a I: HC (Example 4.2.3/2). However, the following passage thwarted this opportunity. Instead, the end of the development it is left hanging on a IV chord, followed by a gap where the pitch E chromatically alters to E-flat. When the S theme returns in bars 161-162, the presence of E-flat suggests a I: vii^{o7} chord, indicating an ongoing effort to establish the tonic as the new key center. The entire S theme features a series of consecutive diminished chord progressions, ultimately reaching a I: HC in bar 171. This scenario suggests that the S theme in the recapitulation enters during the development's ongoing pursuit of I: HC.

Example 4.2.3/2: Hiller's Op. 12 (i), bars 150-166



Based on this analysis, whether the I: HC MC can be considered viable or merely an effect hinges on one's interpretation: either viewing the recapitulation with a reversed P-S theme structure or considering the return of the S theme as still part of the development. The latter perspective is supported by the harmonic instability of the S theme, which is in the process of securing a I: HC. However, this viewpoint also implies that the start of the recapitulation occurs nearly at the end of the movement, with the P theme assuming the responsibility for securing an ESC.

I am inclined to interpret the recapitulation with a reversed P-S theme structure for two main reasons. First, the development has already reworked the S theme, therefore, the recapitulation's S theme can be regarded as initiating the third rotation. This interpretation acknowledges the deformational aspect where the development's ongoing quest for an I: HC results in a non-tonic recapitulation. It is beyond the scope of this study to assess the degree of unorthodoxy of this type of development-recapitulation transition. Reharmonising the recapitulation is a trait common in Schumann's late chamber works; for instance, the first movements of his violin sonatas (Op. 105 and Op. 121) and third piano trio (Op. 110). However, Schumann typically ensures that the development section concludes with an HC. Second, the notion of a P theme assuming the role of an S theme in securing the ESC appears more convincing, especially given the presence of an S theme within the recapitulation itself.

4.3: Full Analyses

4.3.1: Piano Trio No. 5 in E major, Op. 74 (i)

In this movement, C-sharp minor undermines the tonal center in both exposition and recapitulation. This undermining influence results in an idiosyncratic deformational MC treatment, which is subsequently 'rectified' within both the sonata space and parageneric space (recapitulation and coda). For the annotated score of Op. 74 (i), see Appendix A.

Table 4.3.1/1: Hiller's Op. 74 (i), exposition, P theme

Bars	1		13/14			30/31	43	
Large-scale function	Exposition							
Inter thematic function	P							=> TR
Intra thematic function	P^a					P^b	$P^{a'}$	
	Antecedent		Consequent			Cont.	Pres.	Cont.
	Pres.	Cont.	Pres.	Cont. 1	Cont. 2			
Tonal plot	E		(c#) - E			A - E - c#	E - B	
Cadence	V: PAC/ reinterpreted HC		Evaded I: PAC		I: IAC	vi: IAC	V: V-arrival/ V: HC	

The P theme constitutes a small ternary with a non-modulating dissolving reprise: P^a (bb. 1-30), P^b (bb. 30-42), $P^{a'}$ => TR (b. 43). P^a begins with a sentential antecedent: a presentation phrase consisting a single four-bar b.i followed by a continuation phrase (Table 4.3.1/1). The I6/E major chord initiating the cadential progression also serves as a pivot to modulate to B major, securing a V: PAC. This PAC could align with what Caplin refers to as a reinterpreted I: HC, typically followed by a consequent. If so, bars 9-13 are perceived as a local secondary tonal level within the context of E major, rather than indicating a modulation. A consequent does indeed follow the reinterpreted HC; however, it enters in C-sharp minor, thereby undermining the stability in E major, and reinforces TR's modulatory activity.

The consequent further loosens the formal organisation by extending the phrase and misaligning two intrathematic functions. The piano carries the four-bar b.i, with 2 two-bar fragmentation and an evaded cadence in bar 23, while the continuation phrase enters in bar 22. Like the cadential progression in bar 9, the i^6/C-sharp minor chord in bar 20 is used as a pivot to bring the E major key back, ultimately affirmed with a I: IAC in bar 30. Examining bars 13-30 in their entirety, I discern a consequent featuring two continuation functions. I interpret continuation 2 as a sub-type of a 'one-more-time' technique: rather than repeating the same continuation function, continuation 2 emerges as the 'correct' continuation function (although the fragments are inverted) corresponding to the antecedent, following up on the 'wrong' continuation 1. However, this 'correction' is attenuated by the misalignment.

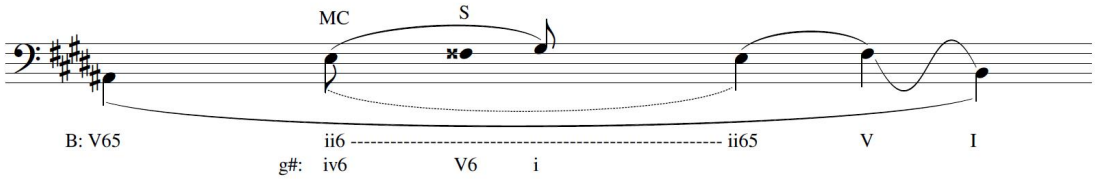
P^b theme features a melody (strings) and a counter-melody (piano), both of which are treated in invertible cointerpoint. The second restatement (bb. 38-42) modulates to C-sharp minor, confirmed with a vi: IAC in bar 42. This modulation to C-sharp is stronger compared to that in P^a, which lacked a cadence owing to its reversion back to E.

Perhaps in order to balance the previous sections' modulation attempts, $P^{a'}$ is non-modulatory. It comprises a four-bar basic idea that is repeated twice. While the first repetition is melodically exact, the second repetition dissolves and culminates in a dominant arrival in B major (V: V-arrival).

There are two possible interpretations regarding bars 55-65: a post-cadential function or an expanded CF with two MCs. Preferring the former implies that the standing on V is disrupted as it moves to an inverted C-sharp minor chord. This situation implies that the harmony in the MC space (bb. 66-68) deviates from the

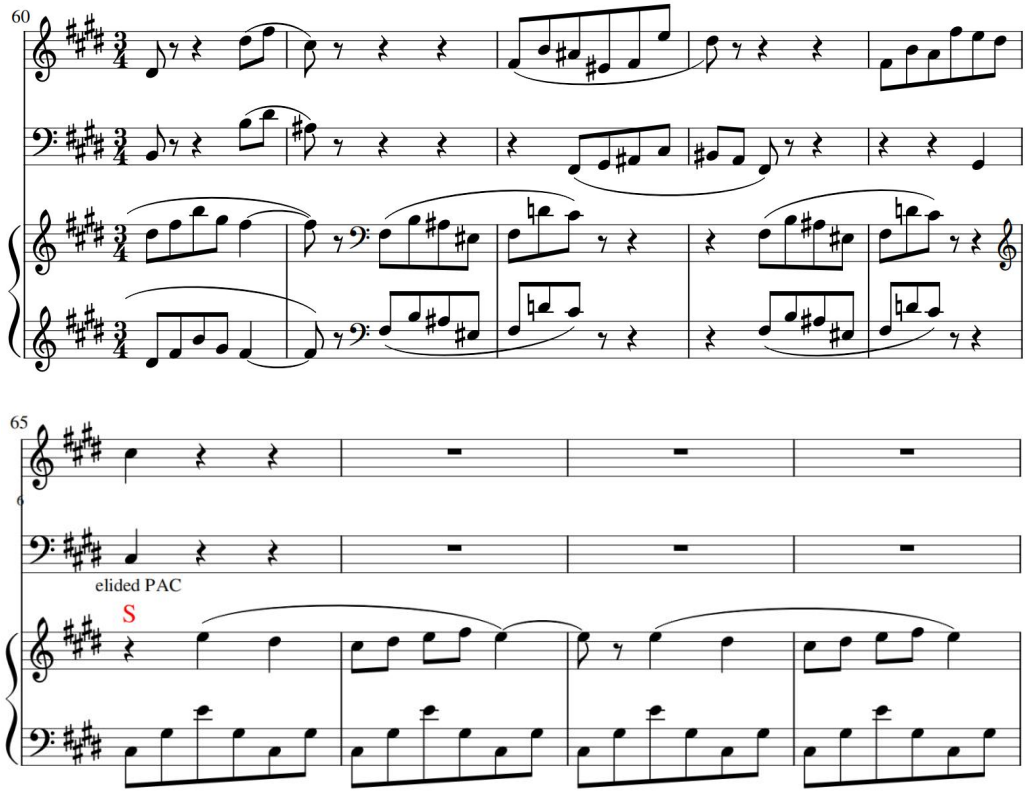
dominant arrival attained. Landing on C-sharp suggests that the S theme will be in C-sharp, given the previous modulation attempts to that key. If so, C-sharp effectively supplants B major as the S-theme's key, despite achieving the V: V-arrival. If we evaluate the syntax and its underlying harmonic progression, once the S theme enters, the C-sharp is understood as a iv/G-sharp minor. However, the V: IAC arrival in bar 76 implies that the G-sharp as a vi/B major chord. Consequently, the C-sharp is a predominant in the secondary tonal level.

Figure 4.3.1/1: Hiller's Op. 74 (i)'s expositional MC based on Schenkerian graph



Alternatively, considering that bars 69-75 features a succession of predominant chords, one could perceive C-sharp minor as the ii^{6} of B major. As illustrated in my graphic notation (Figure 4.3.1/1), bars 65-75 represent a prolongation of ii^{6} (or ii^{65}). Consequently, the C-sharp chord operates on two different levels where the keys share relative connection: on the foreground level, it functions as a iv/G-sharp, while on deeper level, it serves as a ii^{6}/B. Thus, the MC is positioned over a predominant function harmony.

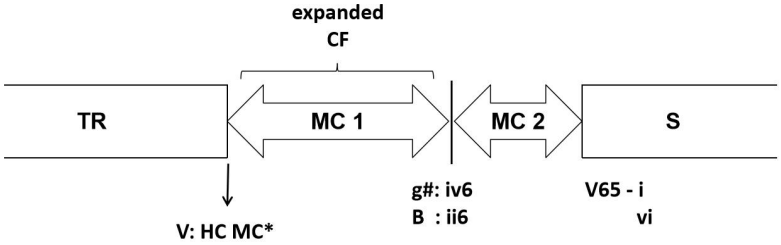
Example 4.3/1: My recomposed version of the MC situation in Op. 74 (i)



Regarding the second MC interpretation, I slightly adjust Hyland's MCC model. It is feasible to interpret bar 55 as the textural gap. On the rhetorical level, the *fortissimo* energy is relinquished, as indicated by the quaver rest and the subsequent CF with a *piano* dynamic. Therefore, bar 55 can be regarded as a V:V-arrival MC, or possibly a sub-type of V: HC MC. In Hyland's MCC model, which is applied to Schubert's string quartets, the second MC is an elided PAC MC, highlighting the connectivity and a 'forward-driven process of continuation' towards the S theme. In my recomposed version (Example 4.3.1/1), it is also possible to provide an elided PAC in bar 65, although this results in the S theme entering in vi. However, Hiller provides a second gap and delays the cadence to bar 76. Therefore, contrasting Schubert's D. 703 (i) previously mentioned in Chapter 1, where the second PAC MC is elided, Hiller provides an additional gap before entering the S space (Figure 4.3.1/2).

The second interpretation provides an additional analytical perspective on the C-sharp MC. The HC motion is initiated with the C-sharp (ii^6) in bar 53. The following CF offers another cadential retry, leading to C-sharp in the second MC gap. Although this MC formulation is deformational if compared to existing MC frameworks, the presence of C-sharp as 'ending' is foreshadowed in bar 51, where the vi: IAC concludes P^b. In bar 65, the C-sharp does not serve as a harmonic ending but rather positioned in melodic ending (CF).

Figure 4.3.1/2: The second MC reading in Op. 74 (i), exposition



The S theme exhibits a period phrase structure and demonstrates tonal mobility (Table 4.3.1/2). The antecedent is sentential,with the continuation featuring a dissolving third restatement. Harmonically, the impression of vi as the key centre is foreshadowed in P^a's consequent, where C-sharp functions as the vi in the secondary tonal level within the context of E major. The S's consequent is also sentential, featuring a continuation that similarly dissolves the basic idea. Like the antecedent, the consequent introduces another secondary tonal area (bVII). The consequent's continuation further enhances the tonal adventurousness by briefly tonicising D major

and B minor. This tonally mobile S theme does not conclude with a cadence but instead closes prolongationally,[38] resulting in a failed exposition.

Table 4.3.1/2: Hiller's Op. 74 (i), exposition, S theme

Bars	69			77		
Large-scale function	Exposition					
Interthematic function	S					
Intrathematic function	Antecedent			Consequent		
	Presentation		Continuation	Presentation		Continuation
	b.i	b.i	Diss. 3rd	b.i	b.i	Diss. 3rd
Tonal plot	(g#) - B			(A - D - b) - B		
Cadence	V: IAC			No cadence		

The C section, beginning at bar 90, distinguishes itself from the closure of S by displacing the strong beat to the second beat (D+1). This dissonance displacement is resolved in bar 98 through the introduction of the fragmentation of P^a's antecedent. By juxtaposing itself against S and prolonging B major, the C section counterbalances the looseness of S, providing a moment of relief before entering a deformational development. This development begins in the tonic of E major and is formally elided with the retransition through a I: IAC.

The formal truncation in the recapitulation results in a binary P theme, with P^a now forming a sentence owing to the omitted antecedent phrase (Table 4.3.1/3). The presentation function now contains two basic ideas, with the first being slightly less grounded as it begins with a I^6. Similar to the exposition, the 'consequent' contains two continuations, with the first one being a dissolving third restatement. There are two resolutions in P^a: consistent with the omitted antecedent, the recapitulation's consequent is fully anchored in the tonic, and the fragment in bar 222 returns to its original state.

Table 4.3.1/3: Hiller's Op. 74 (i), recapitulation, P theme

Bars	198			230/231
Large-scale function	Recapitulation			
Interthematic function	P			
Intrathematic function	P^a (consequent)			P^b
	Pres.	Cont. 1	Cont. 2	Continuation
Tonal plot	E			(f# - c#) - E
Cadence	No cadence			I: PAC

[38] I borrow the concept of prolongational closure from Caplin (2018).

As established in Chapter 1.10 concerning my position on MC in a juxtaposed P-S, the I: PAC in bar 248 only serves as P theme's closure. Technically, there should be no MC. However, the presence of an expanded CF corresponding to the exposition not only demarcates P from S, but also potentially functions as TR for three reasons. First, there is a modulation to C-sharp minor, thus exemplifying transitional activity, albeit brief. Second, a vi: HC is achieved in bar 258. Third, a textural gap follows the HC and precedes the S-theme. This situation implies that the expanded CF, as a linking function[39], is functionally promoted into TR. Consequently, in contrast to the exposition where there are two MCs, in the recapitulation, there is only one viable MC which coincidentally 'resolves' the issue of having an MC on a predominant harmony in the exposition by providing a vi: HC MC.

In contrast to the truncated P theme, the S theme is more extensive, while the periodic phrase structure is retained (Table 4.3.1/4). Harmonically, bars 262-273 are exact transpositions to the exposition: the C-sharp minor in the antecedent is the vi/E major, and the consequent's presentation modulates to bVII (D major). However, the status of bVII as a secondary tonal level is blurred as the following continuation suggests different local key areas. In the context of D major, the E minor seventh chord in bar 275 is perceived as a ii^{65}. There is an opportunity to cadence in D, given that ii^{65} is prolonged, implying an indugio schema. The bass in the cello does move from G to A, however, that A belongs to an F-sharp half diminished seventh chord. If we consider bar 275 in the context of E minor, the F-sharp can be understood as a iihalfdim65 chord, potentially attempting a cadence in E minor with a i^{6}-ii^{o65}-V^{64-7}- i progression. However, the E minor context is unlikely because there is a seventh in E. I prefer to read bar 275 still in the context of D, serving as the model, while the 'ii^{o65}' as the sequence, dissolving D as the local key. In bar 279, the sequence dissolves and a local tonicisation in C-sharp is implied with the vii^{o}/C-sharp prolonged for 8 bars. Closing the S theme with C-sharp minor, or even better, C-sharp major, further reinforces its significance in the whole movement further: in addition to undermining both the P theme's and the S theme's key, the movement is threatened with a sonata failure via a wrong-key PAC. The arrival of $vii^{o}7$/E in bar 287 saves the sonata from the predicament of ending with the wrong key, however, it still results in a sonata failure because the S theme closes prolongationally.

[39] Horton perceives CF as a linking function on intra-thematic level (Horton 2015, p. 83).

Table 4.3.1/4: Hiller's Op. 74 (i), recapitulation, S theme

Bars	262			270		
Large-scale function	Recapitulation					
Interthematic function	S					
Intrathematic function	Antecedent			Consequent		
	Pres.		Cont.	Pres.		Cont. (extended)
	BI	BI	Diss. 3rd	BI	BI	Diss. 3rd
Tonal plot	(c#) - E			(D - c#) - E		
Cadence	I: IAC			No cadence		

Aligned with the exposition, C follows in bar 292, prolonging the tonic. However, the ensuing retransition (b. 309) derails the tonality by securing an elided IV: IAC in bar 316, at which point a discursive coda begins.

The coda fulfills three compensatory functions. First, the passage in bars 316-328 revisits the P^a material in the development section, which enters and maintains the tonic. This issue is compensated by retaining the P^a material in A major. Second, the lack of both EEC and ESC is redeemed by achieving a I: PAC in bar 336, anticipated by a three-bar indugio schema and a ten-bar tonic pedal following the PAC. Third, although the second textural gap following the expanded CF in the exposition is rectified in the recapitulation by securing an HC, it remains in the 'wrong' key due to the undermining influence of C-sharp. Consequently, P^a is restated once more in bar 356, leading to an expanded CF beginning in bar 364. This time, the CF secures a I: HC in bar 376, followed by a I: HC MC-effect in the next bar. The final restatement of P^a in bar 378 concludes all the compensatory functions.

4.3.2: String Quartet No. 3 in D major, Op. 105 (i)

The intricate syntax of Op. 105, despite its clear cadential points, still undermines our understanding of both small-scale formal boundaries and the larger-scale formal structure, even when standard cadential arrivals in the common key are present (see Appendix B for the annotated score of Op. 105). The first obstacle arises in bar 16, where the consequent phrase played by the viola enters before the antecedent phrase concludes with a I: IAC (Table 4.3.2/1). Once the PAC is established in bar 32, new material forms a model-sequence phrase, initiating the TR. The modulation to B minor is followed by a prolongation of the V/V-arrival with a dynamic build-up to

fortissimo. Hence, an MC in bar 42 seems plausible. The passage spanning bars 42-51 may serve as a CF, strategically averting a straightforward energy dissipation by reintroducing a complete texture with a gradual energy release marked by *decrescendo*. However, the entrance of $P^{a'}$ in a new imitative guise declined this proposed MC, and the bass E in bar 52 indicates that bars 42-51 constitute an interpolation. I also perceive this E as connected to the V/V-arrival. This interpolation does not conform to Caplin's description, in which the passage could be omitted without disrupting the music's coherence. Rather, I see it as a deliberate deception in preparing to open the S space, even with the maneuver aimed at postponing the energy release, only to be declined by the entrance of $P^{a'}$.

Table 4.3.2/1: Hiller's Op. 105 (i), exposition, Pa

Bars	1		16
Large-scale function	Exposition		
Interthematic function	P^a		
Intrathematic function	Antecedent		Consequent (viola)
	Presentation	Continuation	
Cadence	I: IAC		I: PAC

In retrospect, the TR beginning in bar 32 is reinterpreted as P^b, and the ternary form is unconventional in the sense that $P^{a'}$ begins in the dominant. This dominant is confirmed in bar 62 when the root-position A major chord arrives. A cadential phrase of TR follows, marked by the ECP with a prolonged I^6, aiming to secure a V: IAC which is achieved in bar 73 and juxtaposed to S. This situation suggests that $P^{a'}$ dissolves into TR, and a flush-juxtaposed MC results (Table 4.3.2/2).

Table 4.3.2/2: Hiller's Op. 105 (i), exposition, Pa' => TR

Bars	52		73
Large-scale function	Exposition		
Interthematic function	=> TR $P^{a'}$		S
	Imitative	Cadential	
Cadence	Evaded V: IAC	V: IAC MC	

Syntactically, I observe a functional becoming of P => P^a and TR <= P^b. However, I find it challenging to fully accept the dissolving reprise $P^{a'}$ => TR. The section where TR <= P^b involves a preparatory modulation to the S key, with $P^{a'}$ confirming the modulation process. Therefore, a discrepancy arises between the phrase structure and the underlying harmony: the phrase structure suggests P => P^a, TR <= P^b, and $P^{a'}$ => TR, while the harmonic parameter suggests that P remains unchanged because both P^b and $P^{a'}$ imply TR (Table 4.3.2/3).

Table 4.3.2/3: Different readings of P and TR in Op. 105 (i)

Bars	1	32	52
Large-scale function	Exposition		
Interthematic function (phrase structure)	P => P^a	TR => P^b	=> TR $P^{a'}$
Interthematic function (harmony)	P I: PAC	TR (modulating to V)	V: IAC

The sentential S theme demonstrates proliferation, characterised by a presentation that displays a periodic structure, with the extended consequent being open-ended, marked by a caesura on the predominant ii in bar 88. The continuation comprises a model-sequence unit and an extended V/V which concludes in a V: IAC (Table 4.3.2/4). Owing to the equivalent syntactical strength between the exposition's closure and the MC, the V: IAC cannot substitute for PAC as an EEC, thereby contributing to the failed exposition.

Table 4.3.2/4: Hiller's Op. 105 (i), exposition, S theme

Bars	52	73		
Large-scale function	Exposition			
Interthematic function	=> TR $P^{a'}$	S		
Intrathematic function		Presentation		Continuation
		Antecedent	Consequent	-
Cadence	V: IAC MC	V: IAC	V: DC	V: IAC

In the recapitulation, Hiller illustrates how the recapitulation, instead of resolving the formal issues in the exposition, introduces additional 'conflicts'. These conflicts, achieved through syntactical manipulation and reversal, disrupt of our perception of form, leading to a significant divergence of the recapitulation from the exposition.

Instead of opting for truncation to avoid redundancy, Hiller chooses to elaborate more extensively on the P theme of the recapitulation in this movement. The antecedent undergoes two additional fragmentations (bars 179-180 and 188-189), and the consequent acquires an additional 5-6 sequence. Unlike the exposition, where the phrase concludes with a I: PAC, in the recapitulation, the P theme seems to culminates in a vi: HC instead (Table 4.3.2/5).

Table 4.3.2/5: Hiller's Op. 105 (i), recapitulation, P theme

Bars	172	191		207
Large-scale function	Recapitulation			
Interthematic function	P			
Intrathematic function	Antecedent	Consequent		Post cadence
Cadence	I: PAC	IV: PAC	vi HC	vi: HC MC?

To assist in interpreting the passage subsequent to vi: HC's arrival at bar 207, two form-functional strategies from Hiller's earlier first movements can be considered. First, drawing from Op. 1, the truncated P theme concludes with a i: HC which is followed by a post-cadential function that corresponds to the exposition (Example 4.2.2/1). Hiller appears to reuse this strategy in the recapitulation of Op. 105, despite the vi: HC (bar 207) being in the 'wrong' key. Second, referencing Schubert's MC practices as analysed by Horton (2017) and Hyland (2023), TR leading to an MC in the 'wrong' key is typically followed by a 'corrective' CF, thereby facilitating S to arrive in the correct key. If we identify bar 211 as the vi: MC, the ensuing passage could potentially serve as the CF *juggernaut*, aiming towards an elided I: PAC, and seamlessly connecting with S.[40] The complication arises when, referencing to the exposition, the P^{a}-based material reappears, leading to a deceptive cadence associated with S, a fact substantiated by the subsequent continuational passage, corresponding to bar 89 (Table 4.3.2/6).

Table 4.3.2/6: The S theme in exposition and recapitulation, Op. 105 (i)

Bars	227	231	239	243	250
Recapitulation	S?				
Correspondence to exposition	$P^{a'}$	-	S		=> TR $P^{a'}$
	Presentation	Continuation => cadential		Continuation 2	Cadential 2
Cadence	I: DC			I: PAC	

Before proposing a plausible reinterpretation to bars 207-226, I would like to shift the focus to $P^{a'}$. Syntactically, $P^{a'}$ undergoes a form-functional transformation with respect to the exposition: originally presented in an imitative manner, it now appears as a presentation within a sentential phrase structure. The presentation, orbiting around V, is followed by a continuation => cadential function that includes an ECP. The arrival of I: DC after the ECP is succeeded by a second continuation, formerly situated within the S theme in the exposition. The second continuation is

[40] A CF Juggernaut is an expanded CF characterised by a sustained *forte* dynamic (Hepokoski & Darcy, 2006, p. 41).

followed by a second cadential function, initially a $P^{a'}$ => TR in the exposition. This cadential function prepares for the arrival of a I: PAC, coinciding with the onset of S's material. Together, bars 227-263 form a sentence interjected with material from S (Table 4.3.2/6).

Returning to bars 207-226, the vi: MC is invalidated; however, ambiguity arises regarding whether what ensues the negated MC is TR, especially given the reappearance of $P^{a'}$ material. Revisiting bar 191 reveals a significant divergence from the exposition, where the consequent phrase undergoes modulation. The IV: IAC at bar 199 confirms the modulation to G major, followed by two 5-6 sequences that lead to the arrival of vi: HC. Thus, the consequent assumes the role of TR, prompting a reinterpretation from P => TR, with bar 199 marking the conversion point. In light of TR's occurrence prior to the vi: HC, bars 211-226 can be regarded as an extension of the ongoing TR (Table 4.3.2/7).

Table 4.3.2/7: Hiller's Op. 105 (i), recapitulation, P => TR

Bars	172	182	191	199	211
Large-scale function	Recapitulation				
Interthematic function	P			=> TR	~~vi: MC~~ TR
Intrathematic function	Antecedent		Consequent		
	Presentation	Continuation		Continuation Sequence 1 - sequence 2	Post cadence - sequence - interpolation
			Presentation		
Cadence		I: IAC	IV: IAC	vi: HC	

One remaining puzzle to solve is how to interpret the status of $P^{a'}$: is it part of TR or a distinct interthematic function? Choosing the former implies accepting that S is introduced with a flush-juxtaposed I: PAC MC (b. 263), suggesting a functional reversal in S, as its continuation is introduced first in bar 243. This interpretation holds if the continuation of S is viewed as distinct from $P^{a'}$. However, since the continuation is an integral part of $P^{a'}$, this reading becomes less probable. Moreover, the 'S-ness' of the S theme in bar 263 is diluted by the lack of a clear phrase structure and by its position following a I: PAC, which gives the impression that 'S' is C. The situation would be different if S retained its periodic structure, noting that truncation for syntactic conciseness is a common practice (Table 4.3.2/8). Considering S in bar 263 also implies that S concludes with a weaker than the previous I: PAC, the I: IAC. This cadence is succeeded by a twofold coda, with the first part serving as a 'corrective' structural closure. It addresses the insufficiency of the IAC to resolve the

interthematic complexities occurring in the recapitulation; the ESC is attained in bar 294.

Table 4.3.2/8: S theme in the exposition and recapitulation

S in the exposition	Presentation (Antecedent - Consequent)	Continuation
Hypothetical scenario: S without a continuation function	Antecedent - Consequent	
'S' in the recapitulation (bars 263 - 277)	Closure	

Alternatively, considering $P^{a'}$ as a distinct interthematic function also present some challenges. First, accepting the P-based S implies that the contrasting themes in the exposition becomes 'monothemathic' in the recapitulation. This is compounded by the reappearance of the S theme's continuation following a I: DC. Finding a precedent that mirrors this situation, even within Hiller's works, proves challenging. Second, there is no structural closure that concludes both P and TR; the latter 'ends' with C-sharp minor.

The C-sharp in the bass, however, persists until the presentation of $P^{a'}$, which targets the tonic in bar 231, initiating an ECP. Consequently, a third interpretation emerges: it is also plausible that bars 227-242 are considered as part of the ongoing TR, with the introduction of S is in bar 243. Following Caplin, it is conceivable to initiate S with a middle function as an expression of syntactic looseness.[41] Consequently, the textural break with a fermata in bar 242 could potentially be viewed as an MC. In contrast, in the exposition, the material following the deceptive cadence until the fermata was situated within S, functioning merely as a caesura. This interpretation also suggests that the caesura in the exposition is promoted to a structurally significant medial caesura (exposition caesura => recapitulation MC). A drawback of perceiving an MC in this situation is the absence of TR's propoer closure, as there is only a deceptive cadence followed by a short passage leading to ii. Regardless of whether S begins in bar 227 or 243, the I: PAC in bar 263 can be considered as the ESC and therefore, the S material in the same bar is considered as the onset of C; $S^{exposition}$ => $C^{recapitulation}$.

[41] Per Caplin (1998, p. 111), a formal 'dissonance' arises when a particular function is situated differently from its indicated temporal position, such as the instance where a continuation function manifests as an initiation.

All three potential readings of the recapitulation introduce a complication in identifying an MC and consequently, the S theme. This complexity stems from the functional ambiguity present in both interthematic and intrathematic functions. As illustrated by Richards, a flush-juxtaposed MC eliminates one of the three distinct MC stages, specifically the gap. Upon revisiting bar 263, the only normative elements are the harmony and the texture of the S theme, thus exemplifying a *triply-obscured MC* (although there is I: PAC, Richards considers this cadence type as an obscuration device). However, as demonstrated earlier, such an MC reading is only conceivable if, in relation to the exposition, the S theme (b. 263) in thre recapitulation retains its intrinsic S-ness. This situation implies that the clarity of the S theme determines the validity of the MC, highlighting the connection discussed in Chapter 1 regarding MC as a prerequisite for S. Consequently, two distinct listening modes come into play that impact the MC reading: 1) real-time listening analysis and 2) reinterpretative listening analysis (Table 4.3.2/9). Adding two other possible S readings, the I: PAC MC is not only negated but also retrospectively reinterpreted as the ESC. The confusion in 'mistakenly' identifying two distinct structural points results from an inherent dependency on the exposition's design. Hiller exploits this dependency by functionally reversing intrathematic functions and changing the initial interthematic functions to different interthematic functions.

Table 4.3.2/9: Real-time listening vs Reinterpretation

Bars	243	263	263
Real-time listening	TR	I: PAC MC	S
Reinterpretation	S	ESC	C

Considering the three possible readings and addressing issues related to whether $P^{a'}$ is part of TR or a distinct interthematic function, the identification and formulation of a feasible MC, and the syntactical clarity of S, I am inclined to support the hypothesis of a continuous recapitulation with $S^{exposition} => C^{recapitulation}$. Although Caplin accepts that an S theme can initiate with a continuation function to express formal loosening, I cannot regard the continuation function in bar 243 as the beginning of S because no key is used as a stable anchor yet. The harmonic progression from the onset of the recapitulation is still in motion. Thus from the TR's conversion point in bar 199 onwards, it might be a *Fortspinnung* all along.

Once the second cadential function is introduced (b. 250), leading to a I: PAC (b. 263), the S theme arrives, referencing the exposition. However, considering the I:

PAC as the elided MC owing to the S theme's arrival and and its alignment with the exposition's design is unconvincing for two reasons: 1) it arrives too late, and 2) the S theme no longer retains its S-ness and instead resembles the characteristics of C, as it features only tonic prolongation. Therefore, I am more inclined to view the I: PAC as the ESC. Therefore, I perceive $S^{exposition}$ => $C^{recapitulation}$ (see table 13 for the overall recapitulation's design), with the recapitulation as a whole encompassing P => TR (*fortspinnung*); C.

4.3.3: Piano Quartet in A minor, Op. 133 (i)

The tonal relationship of the sonata form in this movement is conventional: i-v in the exposition and i-i in the recapitulation. However, the absence of cadences at important structural points, which I will discuss later, along with deformational features within interthematic functions caused by musical parameters encompassing voice-leading structure, grouping, dynamic, and texture, challenges the concept of an MC (See Appendix C for the annotated score of Op. 133).

Table 4.3.3/1: Hiller's Op. 133 (i), exposition, P theme

Bars	1		18	
Large-scale function	Exposition			
Interthematic function	P			
Intrathematic function	Antecedent		Consequent	
	b.i (thematic intro.)	c.i (sentential)	b.i	c.i (sentential)
Cadence	i: PAC		i: PAC	

Beginning with the P theme, its phrase structure shows significant proliferation and characteristics that deviate from Caplin's description of a period (Table 4.3.3/1). First, if we analyse the passage from bar 1 to bar 18, where the first i: PAC is achieved, the phrase structure can be perceived as a thematic introduction (bars 1-6) followed by a sentence (bars 7-10: presentation, bars 11-18: continuation). However, in light of Caplin's (1998, p. 10) remarks that the harmonic context of the presentation function is tonic prolongational, it prolongs the dominant in bar 5 instead, suggesting a dominant prolongation. Moreover, it becomes evident that the i: PAC in bar 18 does not mark the conclusion of the P theme, as the passage in bars 1-18 repeats, leading to another i: PAC in bar 31 that ultimately concludes the P theme.

Consequently, two levels of intrathematic functions emerge under the same interthematic function, where the initially perceived P section (bars 1-18) serves as the antecedent, the thematic introduction of P functions as the b.i, and the sentential P serves the c.i.

Identifying the P theme as a period diverges from Caplin's description in two key respects. First, the PAC cannot close the antecedent phrase because it 'achieves complete harmonic and melodic closure' (1998, p. 51). Second, the antecedent does not distinctly establish the tonic until the PAC arrives in bar 18. Thus, the harmonic progression of the antecedent aims towards achieving harmonic and melodic closure, starting from a non-tonic opening.

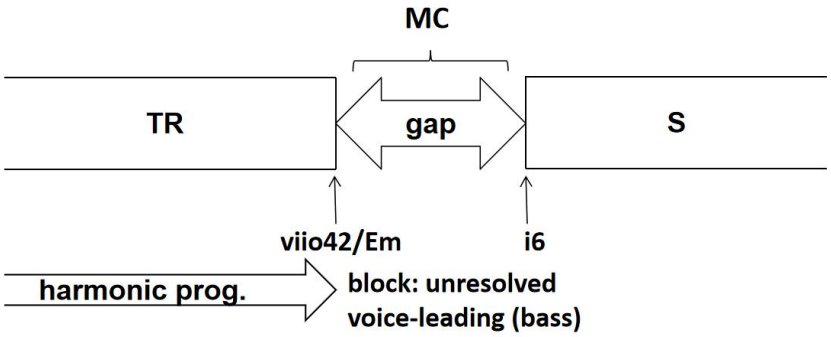
Despite the TR increasing rhythmic activity and accelerating the harmonic rate per bar, the dynamic indications prevent it from building up energy smoothly. This is noticeable in bar 47, where the dynamic suddenly drops to *piano* and further diminishes *pianissimo*. Although there is a sudden energy outburst marked by *fortissimo* in bar 63, it proves unsustainable. Consequently, the energy disperses, characterised by a *diminuendo* leading to an elided prolongational closure in bar 71, where the key modulates to E minor.

If we analyse the following passage from bar 71 to 102 from a rhetorical perspective, interpreting bar 71 as the start of TR2 is reasonable owing to a steady increase in energy. First, a dissonance displacement is introduced in bar 87 (piano right hand). Second, starting from bar 91, there is an additional grouping dissonance (G3/2) in the string sections, accompanied by shorter rhythmic groupings and a *crescendo*. Third, the dynamic reaches its peak in bar 95, and the resolution of metrical dissonance back to consonance is traded for significant harmonic acceleration at a rate of dotted crotchet per bar. Finally, a triple-hammer blow gesture in bar 101 and the subsequent textural break in bar 102 indicate a potential MC, which appears to be confirmed by an S-candidate beginning in bar 103. Moreover, this S-candidate is also delineated by a double-bar line, separating TR2.

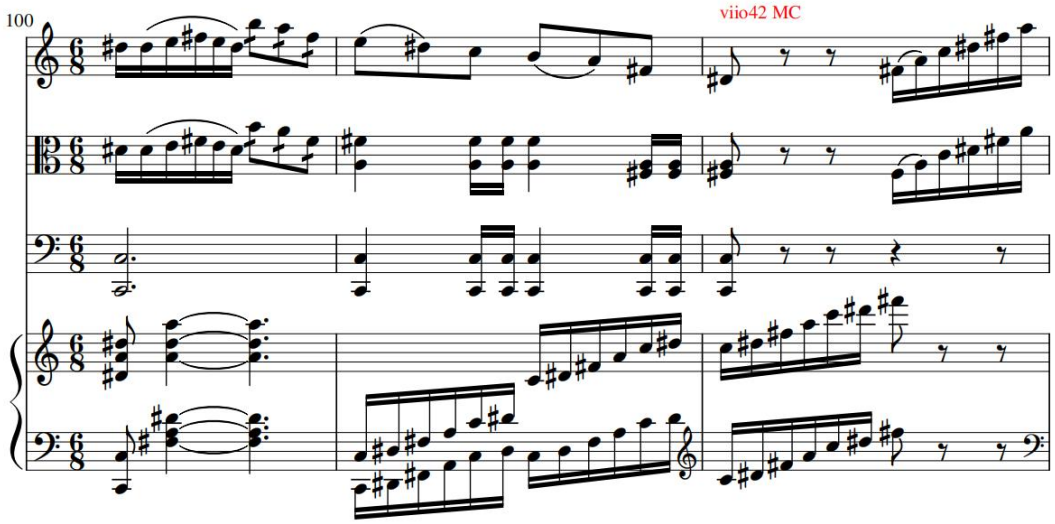
Like the expositional MC in Op. 172 (i) discussed in Chapter 3, the MC here is also harmonically dissonant (vii^{o42}/Em: MC). According to my MC model, the cadence of TR is either deferred within S or not attained at all, as seen in Schumann's Op. 63 (i). However, the voice-leading structure from bar 102 to bar 103 indicates that the bass C, which belongs to vii^{o42}/Em, is not resolved, as it moves to G instead. In *Classical Form*, Caplin (1998, p. 23 & 117) indicates that '(VII^{7} and its three

inversions) also have a dominant function when they resolve to a tonic harmony', suggesting they have the potential to be the dominant arrival.[42] This implies that vii^{o42}/Em potentially functions as a substitute for the dominant arrival. However, in terms of voice-leading, the third inversion of vii^{o7} demands a resolution to a cadential^{64} or to V^7, making it impossible to serve as a dominant arrival. The unresolved C also indicates that Hiller abandons the possibility of misaligning the harmonic parameter (Figure 4.3.3/1). Example 4.3.3/1, my recomposed version, illustrates that it is possible for the S-candidate to be harmonically supported by a standing on V. Therefore, I interpret this MC situation as a formal issue which will be resolved later in the recapitulation.

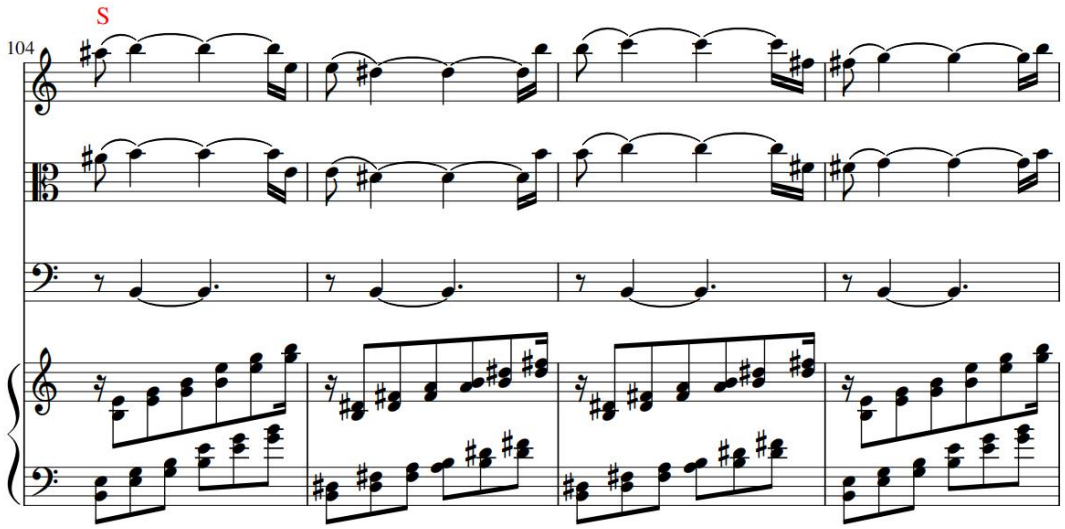
Figure 4.3.3/1: My MC model for Hiller's Op. 133 (i), exposition



Example 4.3.3/1: My recomposed version of bars 100-107, Op. 133 (i)



[42] In Caplin's (1998, p. 112 & 117) analysis of Beethoven's Piano Sonata Op. 2 No. 2 (i), he does not consider vii^{065} as a dominant arrival because it functions as a passing chord, despite being prolonged for 9 bars, and is followed by a cadential function. This implies that if the diminished seventh chord concludes a phrase structure, Caplin would consider it a dominant arrival, although he does not explicitly state this in *Classical Form*.



When we analyse the entire bars 71-162 syntactically, bar 71 marks the onset of S (Table 4.3.3/2). I identify a presentation function in bars 71-86, where the b.i and its repetition are both sentential, indicating thematic proliferation. In bars 86-03, I read a continuation function with two sequential phrases, and the vii^{o42}/Em chord suggests that this section is open-ended. This presentation function reappears in bars 142-149, in E major, followed by a different continuation phrase. Therefore, it makes more sense to interpret bars 71-162 as a small-ternary S (bars 71-102: S^{a}, bars 103-141: S^{b}, bars 142-162: S$^{a'}$).

Table 4.3.3/2: Hiller's Op. 133 (i), exposition, S theme

Bars	71		103	142	
Large-scale function	Exposition				
Interthematic function	S				
Intrathematic function	TR2 => S^{a} (MC)		S^{b}	S$^{a'}$	
	presentation b.i + b.i	continuation seq. 1 + seq. 2		presentation	continuation
Cadence	no cadence		no cadence	v: PAC	

Given the phrase structure of S^{a} is identifiable and the rhetorical perspective suggesting TR, I am inclined to see a functional becoming where TR2 is retrospectively reinterpreted as S^{a}. This implies that there are three points that need to be addressed regarding the small-ternary S. First, I do not perceive an MC in bar 71 because of three things: 1) TR concludes with prolongational closure, 2) TR is elided with S^{a}, and 3) since the identification of S^{a} hinges on a retrospective reinterpretation, an 'elided v: prolongational closure MC' is unlikely to be experienced as an MC. Second, the vii^{o42}/Em MC in bar 102 is not a viable MC; instead it signifies the open-

ended S^a, which is unusual. Third, S^b is interjected with the opening material of the P theme, which leads to no concluding harmony.

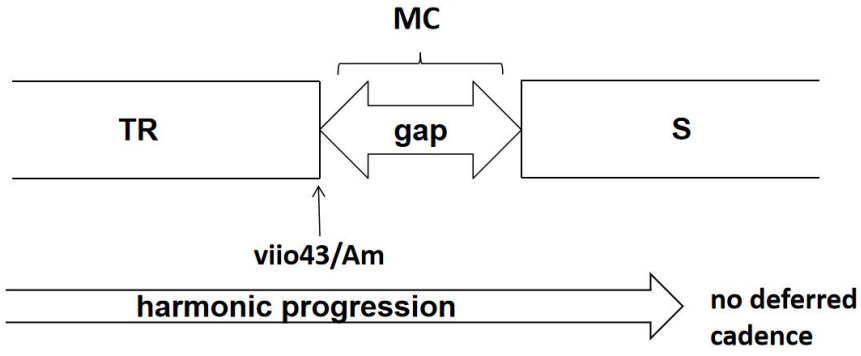
The absence of cadence in S^b, which serves as the medial function of the small-ternary S, is reflected globally, where the development, serving as a medial function of the sonata form, also lacks a cadence. At bar 282, the P theme is introduced in the submediant key, suggesting a non-tonic recapitulation. However, this proves to be a false recapitulation when the restatement of the P theme corresponds to the exposition: returning to the tonic key with a dominant pedal. Although there is a discernible bass progression F-E, implying the V^7 in bar 290 is the dominant arrival, I do not perceive it as such because it marks the entrance of the P theme.

Table 4.3.3/3: Hiller's Op. 133 (i), recapitulation, TR and S

Bars	309	335	349	383	
Large-scale function	Recapitulation				
Interthematic function	TR vii^{o}43 MC		S		
Intrathematic function	continuation	continuation seq. 1 + seq. 2 (of TR2 => S^a)	S^b	$S^{a'}$	
				presentation	continuation
Tonal plot	Am			A Am	
Cadence	no cadence		no cadence	i: PAC	

The formal truncation in the recapitulation resolves the issue on the MC situation in the exposition. Because the presentation phrase of S^a is truncated, its continuation phrase (bb. 335-348) becomes part of the TR, resulting in a more generic process of energy gain. Additionally, the voice-leading issue in the exposition is also resolved by changing the diminished seventh chord in bar 347 to second inversion, allowing the bass D to resolve to C. As a result, the idea of TR still searching for a cadence here is applicable, demonstrating a misaligned harmonic parameter.

Figure 4.3.3/2: My MC model for Hiller's Op. 133 (i), recapitulation



It is worth noting is that a i: PAC is achieved in bar 411, which marks the conclusion of the S theme and the recapitulation. Therefore, the absence of cadences in closing both P and TR is not seen as a formal issue.

In summary, the sonata form of Op. 172 (i) is formally conventional based on the tonal organisation in both exposition and recapitulation, as well as the attainment of EEC and ESC. However, internally, there are unconventional elements, such as the formation of the periodic P theme and the lack of concluding harmonies in the exposition's TR and S theme, as well as their counterparts in the recapitulation, and the development. Regarding the MC situation in the exposition, I do not perceive the elided TR and S^a as departing from the use of MC as a structural feature of sonata form. I maintain my reading that there is no viable MC in the exposition. However, I also perceive that the vii^{o42}/Em 'MC' in the exposition (only serving as an MC-effect and not a viable one) is covered because of its formal position. As previously discussed, the rhetorical perspective heavily implies the set up for this covered MC. The formal truncation in the recapitulation reveals the vii^{o43}/Am MC, resolving the voice-leading issue in the exposition and functioning as a precondition for the recapitulation's S theme.

4.3.4: Cello Sonata in A minor, Op. 172 (i)

This movement features a conflict between three keys in the exposition, different from the three-key exposition. I do not consider this exposition a three-key exposition because the struggle between the second and third keys occurs within the TR. Consequently, the tonal relationship between three keys in this exposition is formally less significant, as will demonstrated in this section.

The conflict between three keys results in an unconventional MC treatment, resembling the MC model in Schumann's Op. 63 (i). Additionally, the MCs in this movement underscore the importance of rhetorical features, as evidenced in the recapitulation where an additional formal issue involving a new MC, distinct from the one in exposition, is introduced (See Appendix D for the annotated score of Op. 172).

The first hint of a tonal conflict can already be seen in the P-theme group (Table 4.3.4/1). It exhibits significant proliferation, encompassing a presentation phrase comprising two basic ideas, each of which constitutes a sentence; and a continuation phrase that also constitutes a sentence. The key centre is firmly rooted in

A minor, as evidenced by the static harmonic activity in the presentation phrase. The harmonic progression begins to move in the continuation phrase and specifically, in bars 41-43, there is an attempt to tonicise C major. Previously discussed in Chapter 1.2, Hepokoski and Darcy outline four harmonic level-default options for an MC as preparation for S. In minor-key sonata forms, they regard both III: HC MC and v: HC MC as equally first-level default options to open S. Therefore, the attempted tonicisation in C major hints at III as the key for S.

Table 4.3.4/1: Hiller's Op. 172 (i), exposition, P theme

Bars	1						33		
Large-scale function	Exposition								
Interthematic function	P								
Intrathematic function	presentation						continuation (sentential)		
	b.i (sentential)			b.i (sentential)			b.i	b.i	Diss. 3rd restatement
	b.i (S)	c.i (S)	c.i' (L)	b.i (S)	c.i (S)	c.i' (L)			
Tonal plot	a								(C)
Cadence									i: PAC

S = short, L = long, CI' = extended CI

TR encompasses two continuation functions. In continuation 1, a modulation to C major is noticeable as early as bar 55 (Table 4.3.4/2). This modulation reinforces the attempted tonicisation in P, indicating an impending arrival of S in the initially chosen key. However, in the subsequent two bars, a modulation to E minor undermines that expectation, introducing a tonal conflict: will the S theme unfold in C major or E minor?

Table 4.3.4/2: Hiller's Op. 172 (i), exposition, TR

Bars	49	73	
Large-scale function	Exposition		
Interthematic function	TR		
Intrathematic function	continuation 1	continuation 2	
		model	sequence (dissolved)
Tonal plot	a - C - e	G	b
Cadence			No cadence

At bar 73, the arrival of continuation 2, comprising a model and a sequence, accentuates this dilemma. The G major model has a close affinity with C major, facilitating a modulation back to C and ultimately concluding TR with either a dominant arrival (inverted dominant or dominant seventh) or an HC in C major.

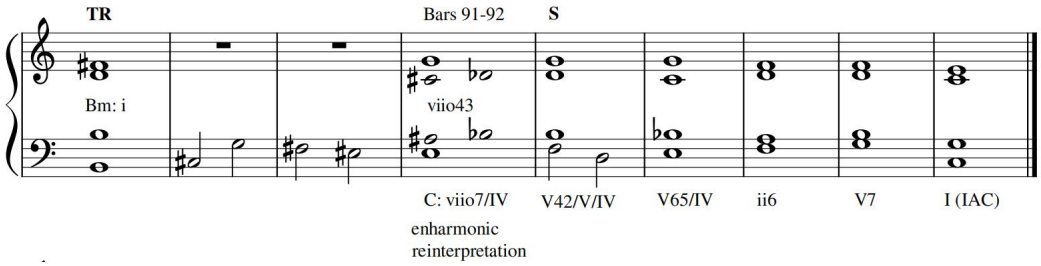
However, the B minor sequence is allied to E minor, preventing C major from assuming a structural role. There are two contrasting rationales regarding the attempt to undermine C major through the presence of E minor. First, since C major is briefly hinted at within P, the tonal contrast between P and S becomes less distinct. Consequently, E minor seeks to replace, or at the very least, undermine C major as the secondary key. Alternatively, given that tonal contrast between A minor and C major is already initiated in the P-theme group, modulating to C major in TR and establishing it in S becomes less impactful. Hence, E minor works to erode listener's reference of C major, such that when the S theme establishes C major, the tonal contrast between P and S reaches a satisfactory level.

Table 4.3.4/3: Hiller's Op. 172 (i), exposition, S theme

Bars	93			109		130		
Large-scale function	Exposition							
Interthematic function	S							
Intrathematic function	S^a			S^b		$S^{a'}$		
	b.i	b.i	b.i'	mod.-seq,	frag.	b.i	b.i	b.i'
Tonal plot	C			(a)			(f)	a
Cadence	III: IAC			i: PAC				

b.i' = dissolving and extended b.i

Example 4.3.4/1: Harmonic reduction of TR and Sa

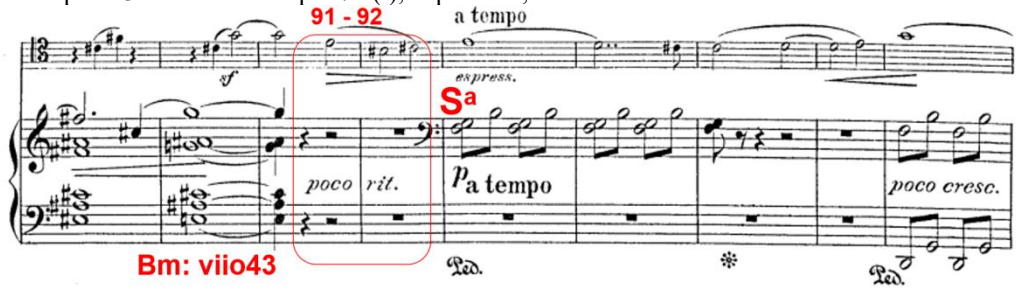


TR seemingly concludes with a vii^{o7} in B minor. Subsequently, there is a textural gap, potentially the MC, after which a newly composed S theme in the form of a small ternary emerges (Table 4.3.4/3). S^a is also a clear and compact sentence in which the continuation constitutes a dissolving restatement of the basic idea. Harmonically, the diminished seventh of B minor functions as a pivot chord through enharmonic reinterpretation (now understood as vii^{o7}/IV in C major context), progressing to a V/V/IV in C major, implying a modulation back that key. This progression culminates in a III: IAC, marking the conclusion of S^a (Example 4.3.4/1).

The culmination of III: IAC within S signifies E minor's success in undermining C major as TR's cadence is delayed until the end of S[a].

While Hepokoski and Darcy could consider the textural gap at bars 91-92 as an MC, this is problematic because their MC framework relies upon a cadence or dominant arrival (Example 4.3.4/2). More importantly, within their framework, interpreting an MC on a dissonant chord, particularly a diminished seventh chord, is unimaginable, and their framework does not account for TR's ongoing harmonic progression leading to a III: IAC within S. This MC reading prioritises the rhetorical aspect, particularly the presence of a textural gap and its placement within the correct rotational order. Hence, there is a pressing need for a more comprehensive MC framework, specifically one that analyses the harmonic and textural components of the MC and considers its temporal aspects.

Example 4.3.4/2: Hiller's Op. 172 (i), exposition, MC



As discussed in Chapter 1.6.2, Richards's conceptualisation of the MC has a slight temporal implication. Rather than being a single moment, he demonstrates that the MC unfolds in three distinct stages. However, perceiving the MC situation here in terms what is obscured and what is missing is still insufficient to explain Hiller's idiosyncratic MC. Therefore, in Chapters 1.8, I introduced the existence of an MC with a dissonant harmonic preparation and discussed its temporal implication in Chapter 3.5.

Returning to the harmonic reduction (Example 4.3.4/1), the ongoing TR's harmonic progression is expected to culminate in an HC or a dominant arrival in C major. However, this progression continues into S[a] and concludes with an IAC. While this IAC provides a sense of closure to S[a], it also marks the culmination of TR's harmonic progression. Consequently, the IAC conflates the cadences of both TR and S, as does Beethoven's Op. 18, No. 3 (i). This movement also resembles Beethoven in that the authentic cadence cannot conclusively end TR nor provide definitive closure for S; S thus expands into a small ternary form. This expansion facilitates S to achieve a conclusive PAC serving as an EEC.

TR's lack of cadence is reflected in how S^b concludes. The descending first-inversion chord progression leads to a vii^{o42}/iii chord in bar 128. This chord connects to the V^{42}/V/IV chord, the onset of S, through voice-leading progression: A to A-flat and F-sharp to F (bb. 128-129); D-sharp to E and A-flat to G (bb. 129-130). In the context of vii^{o42}/iii, D-sharp moving to E suggests a resolution, implying an E minor chord. However, the V^{42}/V/IV arrival indicates that E is a non-chord tone, as evident when E resolves to D in bar 131. This situation illustrates a continuous flow, where the harmonic progression of S^b extends beyond $S^{a'}$.

The S^a reprise is accompanied by a twist that anticipates the failure to achieve an EEC. The third restatement dissolves into different continuation material, accompanied by triplet figuration in the piano. Harmonically, it lands on F minor, thus C: V^{42}/V/IV is reinterpreted as f: V^{42}/V. However, the tonicised F minor is fleeting, as the vii^o42 chord in bar 150 suggests a modulation to A minor.

One necessary step in establishing C major as structural involves achieving a C major PAC at the end of S. However, the arrival of an A minor IAC as S's closure leads to the 'failed' exposition and implies monotonality. An attempt to reaffirm C major as the tonal centre in the closing section is evident, marked by a successful modulation back to C major from bar 160 onwards. Additionally, the following tonic pedal reinforces C major, while the dominant pedal in bars 178-182 anticipates the closing theme's restatement in C. Still, the A minor IAC closing S makes the exposition monotonal, and the subsequent restatement of the closing theme confirms it by completely grounded in the tonic.

In summary, the exposition displays a three-way tonal conflict, leading to two formal consequences (Table 4.3.4/4). Initially suggesting a tonal contrast between A minor and C major, E minor in TR challenges C major, creating uncertainty regarding which key will contrast A minor and resulting in a conflation sub-type. Ultimately, the exposition concludes in A minor, failing to commit to either of the initially presented tonal options and resulting in a failed 'monotonal' exposition.

Table 4.3.4/4: Formal overview of Hiller's Op. 172 (i), exposition

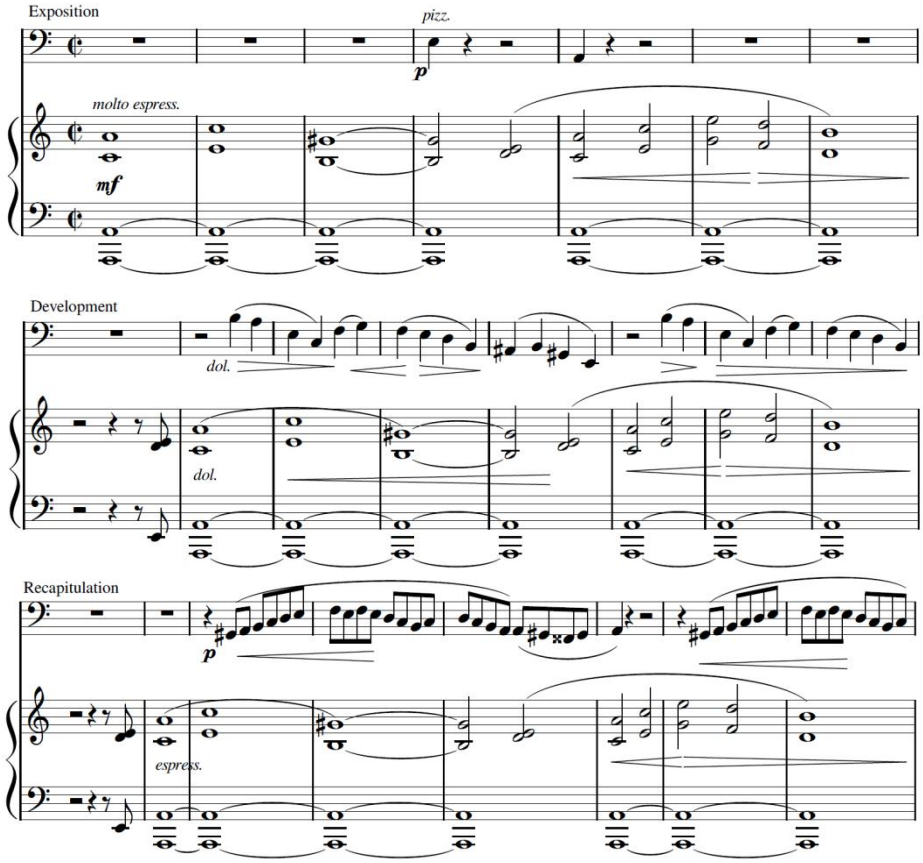
Bar	1	49	93	158
Large-scale function	Exposition			
Interthematic function	P	TR' MC	S	C
Tonal plot	a - (C)	a - (C - e)	C - (f)	a - C - a
Cadence	i: PAC		III: IAC i: PAC	

Listening to a performance without prior knowledge of the piece, when the P-theme returns at bar 225, we find ourselves navigating between three possible sonata types: Type 3 (expositional repeat), Type 1, and Type 4 (Hepokoski and Darcy, 2006). Initially, the cello's increased rhythmic activity eliminates the possibility of a Type 3. However, as the P-theme's sentential phrase dissolves in bar 241, followed by a recurrence of S^b material with a modulation to B-flat major, it implies that we are indeed dealing with a Type 3. Therefore, a potential Type 1/4 => Type 3, exemplifying a Brahmsian deformation (Hepokoski and Darcy, p. 350-351).

This development structure diverges from Hepokoski and Darcy's rotational principle. However, conducting a detailed analysis of this particular developmental design exceeds the scope of this thesis. Nonetheless, two aspects warrant attention. First, S^a is the only material absent in the development. My rationale is that S^a has already undergone a developmental process. This is evident in $S^{a'}$, which presents a different continuation phrase with a different tonal trajectory, ultimately leading to the monotonal exposition. Second, the resolution to the aftermath of a conflict between C major and E minor, resulting in a conflated III: IAC, is reserved for the recapitulation. Hiller introduces a newly composed theme in D-flat major as a consequence of this decision.

Upon examining the P theme across the exposition, development, and recapitulation, a noticeable escalation in rhythmic activity is observed (Example 4.3.4/3). In the exposition, the introduction of a countermelody at the repetition of the basic idea introduces a minim pace. In the development, a countermelody is already present in the initial basic idea, with the pace intensified to crotchet. In the recapitulation, the rhythm further accelerates to quaver pace. This tempo is maintained, particularly evident in the left hand of the continuation phrase, written in tremolo. This heightened rhythmic activity, alongside a gradual increase in energy, suggests rhetorically that TR is in progress. The rationale behind structuring the recapitulation's P theme in this manner becomes clearer when TR's continuation 2 ensues after the i: PAC. Consequently, this P theme is able to compensate for the omission of TR's continuation 1.

Example 4.3.4/3: P theme in the exposition, development and recapitulation

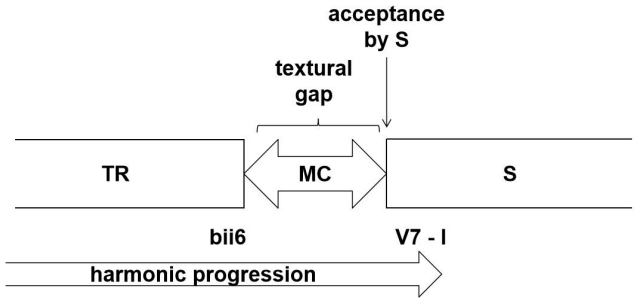


Although the recapitulation is formally truncated, it is no less complicated than the exposition. At bar 409, there is a textural break with four hammer strokes on a Neapolitan sixth chord, a situation which did not happen in the exposition. This gap could be a mere MC-effect. However, the following continuation 2, previously a model-sequence phrase contributing to the tonal conflict in the exposition, now becomes the second theme, evident in its transformation into a sentence and the shift to A major. This situation also aligns with the typical situation in minor-key sonata form where the second theme enters in the tonic major.

Examining both Op. 105 and Op. 133, a characteristic feature of Hiller's compositions appears to be the transformation of an interthematic function in the exposition into another function in the recapitulation. One might raise concerns about this interpretation suggesting that TR is unusually brief for late-nineteenth century sonata forms, leading to an MC that occurs prematurely. This phenomenon is not unprecedented, as observed in the first movement of Beethoven's Op. 10, No. 2 (Example 1.5/1). However, because the process of energy accumulation and the presence of active rhythmic activity are already initiated in P-space, the articulation of MC is not premature and retains a rhetorically generic quality.

The MC situation here also unfolds analogously with the conflation sub-type. The Neapolitan sixth chord does not serve as the ending harmony, instead it is part of a harmonic progression that ends in bar 416. The difference from my previous MC model lies in the fact that the putative A major IAC here ends slightly after S's beginning, eliminating any conflation. Consequently, I perceive this MC situation as a 'deferred' sub-type (Figure 4.3.4/1).

Figure 4.3.4/1: MC 'Deferred' Sub-type



The following section complicates the form as it is followed by the exposition's textural gap and small ternary S. Given that the exposition serves as the formal reference, this gap is identified as the MC used to open S. Previously, the gap in bar 409 was interpreted as a viable MC in the correct rotational order, capable of commencing S space. However, with the exposition's MC returning at bar 429, followed by the small ternary S theme, continuation 2, previously identified as the S theme, is relegated back to TR. Consequently, the recapitulation encompasses two sub-type MCs with the first MC being negated (Table 4.3.4/5).

Table 4.3.4/5: Hiller's Op. 172 (i), recapitulation, TR and S

Bars	462					491		
Large-scale function	Recapitulation							
Interthematic function	TR	~~MC~~	TR <= S		MC	S		
Intrathematic function			Pres.	Cont.		S^{a}	S^{b}	$S^{a'}$
Tonal plot	a		A					
Cadence	I: IAC						i: IAC	

Tonally, the resolution of the conflict between two potential keys for the S theme in the exposition is achieved by anchoring in the tonic. Given my reasoning that interprets the delayed IAC as a consequence of the tonal conflict, the delayed IAC in the recapitulation suggests that the issue remains partially unresolved. However, I perceive that the deferred MC sub-type and the ensuing 'S theme' (bb.

409-428) as an intended additional conflict, which is resolved by introducing another MC sub-type that rotationally corresponds to the exposition. In this manner, maintaining the same conflated MC as in the exposition does not necessarily signify leaving the problem unresolved.

As in the exposition, here also S concludes with an A minor IAC. While Hepokoski and Darcy would label this situation as an instance of sonata failure, the recapitulation effectively resolves the tonal conflict by firmly establishing the tonic. In the exposition, the expository three-way tonal conflict results in the manifestation of an incomplete MC and a failed monotonal exposition. However, in the recapitulation, the entire section is firmly grounded in the tonic, despite alternating between major and minor modes. Due to the conflict between major and minor, the A minor PAC is postponed until the coda section. I interpret the eventual resolution in minor as foreshadowed by the expository three-way tonal conflict, where the keys of A, C, and E converge to form A minor.

The summary of the overall sonata form design encompasses four key points: first, the exposition introduces an expository three-way tonal conflict between A minor, C major, and E minor, resulting in an incomplete MC and a monotonal exposition. Second, these tonal conflicts are resolved in the recapitulation, albeit with a formal diversion where the actual MC and S are preceded by a quasi-MC and quasi-S. Third, although the tonic is now firmly established, a struggle between major and minor modes persists, resulting the postponement of the final PAC until the end of the movement, thereby exemplifying a sonata failure. Fourth, the tragic turn to minor in the recapitulation, culminating in a final PAC in tonic minor, was prefigured by the tonal conflicts in the exposition.

4.3.5: String Trio in C major, Op. 207 (i)

This Trio was published posthumously in the same year after the composer's death. However, it is likely that this Trio was composed in the second half of the nineteenth-century, as the first movement, discussed shortly, shares similar features to Op. 74 and Op. 172. For instance, these three opera each exemplify a 'quadri-rotational' sonata[43] and include a deformational development initiated by the tonic P-

[43] I borrow Hepokoski and Darcy's (2006) term for a sonata movement that contains four rotations of P-TR-S-C.

theme, neither of which are not evident in Hiller's pre-1850 sonata movements. However, unlike the other two, where the coda follows a sonata failure, both the exposition and recapitulation in this Trio are concluded with an EEC and ESC, respectively. Additionally, the interthematic functions are not nested as in the other two, yet their lengths are relatively equally expansive. This likely results in a less complex MC articulation. Nevertheless, it is still crucial to navigate how the form unfolds syntactically to understand better the idiosyncratic features and strategies that differ from and are absent from both Op. 74 and Op. 172. The annotated score of this movement is provided in Appendix E.

The exposition begins with a P theme constituting a hybrid-theme type: a presentation comprising a compound basic idea (c.b.i) and a continuation consisting of a model-sequence phrase and a cadential function (based on the b.i) leading to a I: PAC (Table 4.35/1). The following sentential TR pulls the music's drive by stretching the grouping: the b.i lasts for eight bars, as opposed to the four-bar b.i in the P theme. The continuation beginning in bar 31 features a dissolving third restatement and a modulation to A minor. A modulation attempt to D major is evident in bar 49, given that the indugio schema prolongs E minor, which serves as the pivot chord. This indugio schema is treated beyond classical conventions. The bass (together with the viola) drops out in bar 49, and it enters in bar 50 on scale degree 1 instead of 4. This creates a textural gap, which undermines the rhetorical strength of the following proposed II: HC MC (b.51). In the context of C major, this tonal relation is highly deformational.

Table 4.3.5/1: Hiller's Op. 207 (i), exposition, P and TR

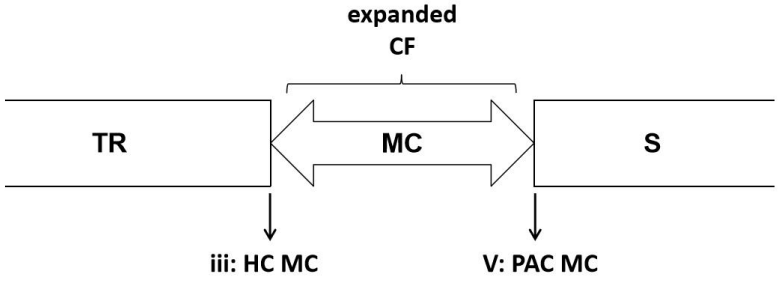
Bars	1				16			51	52	71
Large-scale function	Exposition									
Inter thematic function	P				TR1			~~MC~~	TR2	iii: HC MC
Intra thematic function	Pres.		Cont.		Pres.		Cont.		Cont.	
	b.i	c.i	Seq.	Cad.	b.i	b.i	Frag.			
Tonal plot	C				Modulating to D				D - G	
Cadence	I: PAC				II: HC				iii: HC	

The proposed MC seems to be accepted by a newly composed potential S theme entering in V/D. However, I perceive this potential S theme (bb. 52-71) as TR2

because of three chronological formal events. First, the presumed b.i (bb. 52-54) is a model treated sequentially; then, the P theme's c.i recurs; and third, iii: HC is achieved in bar 71. This situation implies that the proposed II: HC MC is declined by remaining within TR, indicating that the S theme does not accept a chromatically related MC.

I interpret bars 71-88 as an expanded CF, preceded by a GP. Initially, it stands on V, however, in bar 78, the bass descends, modulating to G major by securing an elided V: PAC in bar 88. This MC situation aligns with Hyland's MCC model derived from Schubert's MC practice: a harmonically preparatory iii: HC MC is followed by a modulating expanded CF, featuring a ^3-^2-^1 melodic descent, and consequently leads to an elided V: PAC MC that propels the music forward. Thus, the CF serves as a corrective function to a non-standard harmonic preparation (Figure 4.3.5/1).

Figure 4.3.5/1: Hiller's Op. 207 (i), exposition, MC



The sentential S theme begins with an unaccompanied nine-bar b.i. Its repetition, beginning on the weak beat of bar 95, implies that the bass D on the weak beat of bar 87 is the beginning of the S theme (Table 4.3.5/2). Consequently, the elided V: PAC is reinterpreted as an attenuated V: PAC owing to the slight overlap. The exact repetition of b.i in the viola, accompanied with a counter-melody in the bass, results in a contrapuntal texture. The expansive continuation begins in bar 103, characterised by fragmentation derived from various parts of b.i. This b.i-based fragments culminate in VI, thereby preventing the arrival of a PAC. Furthermore, this VI is prolonged by interpolated material for 11 bars. The subsequent continuation 2, utilising different material, aims to secure a V: PAC (achieved in bar 149) by endeavoring to tonicise C major and by prolonging the penultimate dominant in bar 145, thereby balancing the previous lengthy intrathematic functions.

Table 4.3.5/2: Hiller's Op. 207 (i), exposition, S theme

Bars	88	104	120	131	149
Large-scale Function	Exposition				
Interthematic function	S				C-codetta
Intrathematic function	Pres.	Cont. 1	Interpolation	Cont. 2 => cad.	
Tonal plot	G				
Cadence				V: PAC	

The following codetta briefly prolongs G. While the vii^{o7}/V and the following V^{64} might hint at a V: HC, paving the way for a development section starting on V, the unresolved B results in a V^{43} chord instead. Consequently, the development, instigated by the P theme, commences in the initial tonic.

I perceive a potential recapitulation beginning in bar 243, indicated by the P theme's return in the tonic key after the development's prolonged V. However, the formal organisation undermines the interpretation of a recapitulation. The P theme does not attain any PAC, instead it culminates in a ii chord in bar 260. Here, I see a potential P => TR interpretation, considering that the c.i becomes a continuation with a drastic foreshortening from a four-bar grouping (presentation function) to a one-bar grouping. Furthermore, this is followed by a model-sequence phrase corresponding to the exposition's P theme (Table 4.3.5/3). This sequence culminates in a vii^{o} chord, followed by a CF.

Table 4.3.5/3: Hiller's Op. 207 (i), Recapitulation 1, P => TR

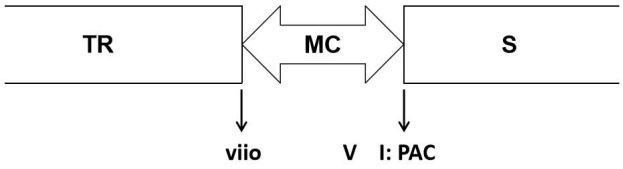
Bars	243		252	261	270
Large-scale function	Recapitulation 1				
Interthematic function	P => TR				S
Intrathematic function	Presentation		Dissolving continuation		
	b.i	b.i	c.i-based frag.	Model-sequence	
Tonal plot	C				
Cadence				Elided I: PAC (MC)	

Given this situation, there are two possible MC interpretations. First, one could argue that there is only one viable MC, the elided V: PAC MC. I interpret the soprano cadence in the viola line as more pronounced than the violin, especially with

the change from *pizzicato* to *arco*.[44] I perceive this PAC as weakened because in bar 269, the weak-beat G is no longer the first note of S because of three rhetorical factors: the G is now a minim, indicated by the *pizzicato* marking, and the C in bar 270 is marked with *arco* and *forte* dynamic. These three factors indicate that the S theme begins on the strong beat, even though its imitation enters on the weak beat. Consequently, there is a misalignment: while both the violin and viola suggest elision, the cello, carrying the S theme implies a juxtaposition.

Second, aligning with the expanded CF in the exposition, one could perceive the vii^{o7} chord as the dissonant MC (Figure 4.3.5/2). Conceptually, this MC situation is akin to Op. 172, where a textural gap occurs while TR is still seeking for a cadence. While the former attains the cadence within the S section, in Op. 207, the PAC arrives at the beginning of S.

Figure 4.3.5/2: Hiller's Op 207 (i), recapitulation, MC



The presence of an indugio schema in bar 302, in the context of the S theme, indicates that I: PAC is imminent. However, the V chord in bar 306 acts as an ultimate V, emphasised by the gap. Additionally, the following interthematic functions, TR2 in bar 307 and TR1 in bar 323, suggest a retrograde formal progression of the S theme. TR1 effectively modulates to D-flat major (b. 346), and this is succeeded by the c.i of the P theme. I interpret this c.i as a reference to TR2 (see b. 59), possibly attempting to rectify the recapitulation from further internal retrogression. This interpretation seems valid as in bar 357, continuation 2 of S enters, leading to a I: PAC, corresponding to the exposition, including the subsequent codetta.

Table 4.3.5/4: Formal overview of Hiller's Op. 207 (i), recapitulation 1

Bars	243	270		307	357	381
Large-scale function	Recapitulation 1					
Interthematic function	P => TR	S		(TR2 - TR1 - TR2)	S	C-cod.
Intrathematic function		Pres.	Cont. 1		Cont. 2	
Tonal plot	C			Db	C	
Cadence	I: PAC	I: HC			I: PAC	

[44] The New Wuppertaler String Trio's (2010) recording also highlights this soprano cadence, further reinforcing the PAC implication.

Looking at bars 243-392 as a whole (Table 4.3.5/4), despite the highly deformational formal organisation, and considering that bar 393 marks another rotation, I perceive this passage as a viable recapitulation for three factors: 1) all the interthematic functions are present; 2) the recapitulation mainly stays in the tonic, especially the P theme and the S theme; and 3) a I: PAC, which I interpret as the ESC, is achieved in bar 381. If the following large-scale function (b. 393) is perceived as the coda with compensatory functions, it is important to note that an ESC has already been achieved. Hepokoski and Darcy's 'quadri-rotational sonata' provides exemplary cases in the first movements of Beethoven's Op. 53 and Op. 57, which both feature a failed exposition and recapitulation (2006, p. 207). The purpose is to keep the sonata space open by postponing the tonic PAC arrival to a parageneric space, where the 'issues' within the sonata space are rectified. For instance, in Op. 53, the S theme appears in the wrong key in both the exposition and recapitulation, and this is resolved in the coda by reintroducing it in the tonic. Conversely, in Hiller's case, both the exposition and recapitulation achieve a tonic PAC, signifying the closure of the sonata space.

I am inclined to interpret the large-scale function beginning from bar 392 as an alternative recapitulation 2, which embodies a more conventional recapitulation practice observed in late-eighteenth to early-nineteenth century (Table 4.3.5/5). The P => TR is even more concise than recapitulation 1, and one could even compare the dissolving continuation to Mozart's K. 545. It starts with an eight-bar presentation phrase that closely mirrors the exposition, in contrast to recapitulation 1. This presentation is followed by a b.i-based dissolving continuation that secures a I: HC which serves as the harmonic preparation for the I: HC MC in bars 406-409. This MC is accepted by introducing a small-ternary S theme.

Table 4.3.5/5: Hiller's Op. 207 (i), recapitulation 2, P => TR

<table>
<tr><td>Bars</td><td colspan="2">393</td><td colspan="2">401/402</td></tr>
<tr><td>Large-scale function</td><td colspan="4">Recapitulation 2</td></tr>
<tr><td>Interthematic function</td><td colspan="3">P => TR</td><td>I: HC MC</td></tr>
<tr><td rowspan="2">Intrathematic function</td><td colspan="2">Presentation</td><td rowspan="2">Dissolving Continuation</td><td rowspan="3"></td></tr>
<tr><td>b.i</td><td>c.i</td></tr>
<tr><td>Cadence</td><td colspan="3">I: HC</td></tr>
</table>

I interpret the introduction of a newly composed S theme as twofold. First, the new material serves to alleviate the monotonous nature in both recapitulation 1 and 2. This notion has been discussed by Chusid (2011) and Hyland (2013), albeit within the

context of using a new thematic idea in a monotonal exposition. Second, in recapitulation 1, the S theme undergoes formal retrogression. Resolving this issue by employing the same thematic idea while maintaining the tonic is redundant. On the other hand, compensating for it with the same S theme, albeit non-tonic, resolves the previous problem of formal retrogression (S returning to TR midway) while simultaneously introducing another issue of an off-tonic S theme. Therefore, the necessity arises to replace the old S theme with a new one.

The S^a shares the same feature as exposition's TR1, pulling the music's drive by expanding the grouping from a four-bar b.i to an eight-bar b.I (Table 4.3.5/6). The continuation, beginning in bar 426, fragments the BI motif and modulates to F major. Hiller does not entirely replace the S theme with new material as the following S^b derives from the imitative S theme. He prepares the F major key as a temporary tonal centre to compensate for the reintroduction of the old S theme. Its formal organisation is tightly knit, consisting of an eight-bar presentation phrase and a continuation phrase that culminates in a liquidation and modulates back to C. The S^a reprise omits the repetition of b.i, and the continuation intensifies the forward-driven rhetoric by shortening the eight-bar unit into two-bar fragments. Approaching a I: PAC, Hiller incorporates TR2's tail (b. 84). The subsequent section, starting at bar 480, merely prolongs the tonic.

Table 4.3.5/6: Hiller's Op. 207 (i), recapitulation 2, S theme

Bars	410			445			462	
Large-scale function	Recapitulation 2							
Interthematic function	S							
Intrathematic function	S^a (new)			S^b (old)			$S^{a'}$ (new)	
	Pres.		Cont.	Pres.		Cont.	Pres.	Cont.
	b.i	b.i		b.i	b.i		b.i	
Tonal plot	C			F			C	
Cadence								I: PAC

In contrast to the first movements of Op. 74 and Op. 172, and with the inclusion of Beethoven's Op. 53 and Op. 57 to the equation, the fourth rotation in Op. 207 is notably orthodox, epitomising the conventional unfolding of an exposition or recapitulation. It surpasses mere compensatory functions typically associated with a coda. Opus 74 lacks the generic process where the S theme is approached by a P theme, TR and MC. In Op. 172, the interthematic functions lack chronological cohesion, and there is no generic MC articulation opening the S space. Beethoven's

Op. 53 presents a coda which is directly initiated by a dissolving off-tonic P theme, thus rendering the P => TR interpretation unlikely. Similarly, in Op. 57, the P theme is directly continuational, juxtaposed with the S theme. In Op. 207, disregarding how the recapitulation 2 resolves the issues in the previous large-scale functions, the successive interthematic functions unfolds generically. The P => TR leads to a normative MC, subsequently accepted by an identifiable formal type of the S theme. This S theme concludes with a PAC, followed by a TR-based C that prolongs the tonic and concludes the recapitulation. Moreover, as noted earlier, recapitulation 2 predominantly remains in the tonic key.

My preference for reading this movement as featuring two recapitulations presents a significant challenge, particularly within the current Sonata Theory framework concerning the Essential Sonata Trajectory (EST). The fact that recapitulation 1 and 2 conclude with a I: PAC poses a challenge to the logic of the ESC as the final goal. Considering the PAC in recapitulation 2 as the ESC implies that the PAC in recapitulation 1 is not perceived as such. However, the manner in which recapitulation 1 attains the 1: PAC aligns with the exposition. Consequently, the I: PAC in the exposition cannot be viewed as the EEC. Interpreting this sonata space as a sonata failure with a deferred structural PAC conforms to a design where a sonata space is followed by a coda, thereby contesting the interpretation of two recapitulations. Delving into the correlation between EST and the sonata model with two recapitulation exceeds the scope of this study, but could be a potential avenue for further research.

4.4: Concluding Remarks

Examining Hiller's expositional and recapitulatory MCs reveals that, in addition to his preference of employing MCs in non-standard keys, Hiller experimented with introducing an S theme without an MC. However, this does not imply that every instance of 'no MC' represents an attempt to abandon the MC practice in sonata form. Instead, it constitutes Hiller's strategy where S enters without an MC is seen as a structural problem, and is resolved in the recapitulation by truncating some of the intrathematic functions, particularly the initiating function. For instance, in Op. 6, the absent expositional MC serves more as an expositional conflict that is solved in the recapitulation. Hiller solves this issue is by truncating the entire

TR and leveraging the 'convoluted' P theme via modulation to represent TR's tonal instability. This approach results in P => TR, which concludes with a vi: HC. Consequently, the gap in the exposition, which cannot be regarded as an MC, now functions as an MC in the recapitulation.

Likewise, I construe the lack of an MC in Op. 13's exposition as a conflict, albeit the underlying cause differs. In the exposition, there is an opportunity to articulate a i: HC MC in bar 28. However, the following passage restores B minor, resulting in a functional regression back to P. This issue is resolved in the recapitulation by truncating the additional passage following the HC and replacing it with a two-bar modulating CF.

Opus 133 demonstrates a more strategic approach concealing the MC, where TR2 is reinterpreted as S^a. All the rhetorical implications for the MC are present, but it is hidden by being situated within the S space. As a result, TR1, which closes prolongationally, is elided with S, resulting no MC. By truncating the presentation function of S^a, the continuation function can blend with the ongoing TR, and consequently, the rhetorical aspects for the MC come to the surface.

Regarding MCs with a misaligned harmonic parameter (overlapped MC), which I elaborate in Chapter 3, only two movements are relevant: Op. 133 and Op. 172. These movements exclusively use a dissonant harmonic preparation. In Op. 172, the TR's cadence is deferred,[45] whereas Op. 133 does not exhibit any deferral. However, in Op. 133, the S theme concludes with a PAC. This highlights the exposition design in Schumann's Op. 63 (i) as more unorthodox owing to the absence of structural closures (TR and S).[46] It is also worth noting that, in comparison with other overlapped MCs discussed in Chapter 3, achieving TR's cadence before S and maintaining the standing on V within S seem to be more prevalent than deferring TR's cadence to S or having no cadence and no deferral at all. However, it is not my intention to claim this as a universal truth, as it necessitates a specific corpus study with defined groupings and limitation for overlapped MCs.

[45] The TR's deferred cadence that I am referring to is not the same as the EEC or ESC. Therefore, I do not perceive a conflation of the TR's cadence and the S theme's essential closure.
[46] I use the term 'structural closure' to refer to the cadences in TR and S based on Hepokoski and Darcy's concept of MC and EEC. I acknowledge that the term 'structural closure' may have a different meaning in other analytical frameworks, such as Caplin's form-functional theory and Schenkerian analysis.

Chapter 5: Conclusion

This study has explored Hiller's approach to MC in the first-movement sonata forms of his chamber works, with the scope of formal areas covered varying from piece to piece, depending on the clarity of the MC and the impact of the form's deformational design on the MC. The analysis can be as straightforward as in Op. 1, where the expositional MC is the clearest within the corpus. In this case, the analysis of the MC treatment requires only that we examine how the TR secures the HC, how the MC's gap is articulated, and where the entry point of the S theme is. In other pieces, the formal areas under analysis can be extensive, encompassing the entire sonata form as seen in Op. 172 (i), where various elements in different large-scale functions and interthematic functions contribute to the interpretation of the MC. As outlined earlier in Chapter 4, interpreting the MCs in Op. 172 (i) involves examining several aspects: the conflict between three keys in the exposition, ensuring the S-ness of the S theme in the exposition, observing the interthematic rotation in the development (the S^a is absent), and tracking the rhythmic activity of the P theme in the exposition, development and recapitulation, noting its increasing rhythmic intensity. This acceleration leads to a truncated TR, posing additional challenges in interpreting the MC in the recapitulation. Furthermore, the entire recapitulation must be scrutinised to determine whether the three-way tonal conflict is resolved and assess how the formal truncation impacts the MC situation.

In earlier chapters, I have delineated my rationale for studying Hiller's treatment of MC and my view that Hepokoski and Darcy's MC concept, along with its refinement by Richards, are insufficient for some of Hiller's MCs. In Chapter 1, alongside laying the groundwork regarding MC and its role in nineteenth-century music discourses, I clarified my stance on the varying technical interpretations of MC, specifying which perspective I adhere to. For example, I align with Hyland and Hepokoski and Darcy in considering the S theme to formally begin with the onset of the accompaniment, when it precedes the melodic entry, unlike Richards, who regards the melodic entry as the formal start of the S theme. These two contrasting viewpoints significantly influence formal interpretation, as illustrated by Hyland's analysis of the first movement of Schubert's D. 173 (Figure 1.3.3/4). Despite the presence of a textural gap on the second and third beats of bar 45, Hyland suggests that formally, the S theme is elided with the TR. Therefore, she interprets the MC as an elided III:

PAC MC, or, in Richards's terms, an incomplete MC. In contrast, Richards would consider the III: PAC MC complete, viewing the accompanimental opening of the S theme as the CF, indicating a non-elided TR-S.

In terms of MC as a rhetorical device, Hepokoski and Darcy focus on a particular rhetorical point, the textural gap, labeling it as an MC. Richards enriches their MC concept by addressing problematic MC situations, proposing that MC involves a three-stage process rather than a single stage, allowing for the rationalisation of these problematic MCs, exploring how they are obscured and in what ways. However, in Chapter 3, I demonstrate the inadequacy of Hepokoski and Darcy's MC concept and its expansion by Richards in explaining the blurred boundary between TR and S owing to parametric misalignment. I titled it 'The Spectrum of MC' because my demonstration begins with a specific MC situation where the S theme begins in dominant harmony, and progressively extends to instances characterised by misaligned parameters, where the MC is obscured even more and eventually abandoned. I include examples from Mendelssohn and Schumann, who were close friends of Hiller, to demonstrate that their MC treatments are similar to Hiller's. This is one of my contributions in this study: advocating for Hiller's inclusion as a canon in nineteenth-century Austro-German chamber works studies.

Including Mendelssohn and Schumann allows me to contextualise Hiller's MCs within this spectrum. My findings indicate that some MC situations in both Schumann and Mendelssohn exhibit more obscured MC treatments compared to those in Hiller. However, Hiller's MCs serve as a more valuable benchmark for establishing another key contribution of this study: exploring the temporal aspects of MC and introducing new sub-types of obscured MCs. Opus 172 (i) is a representative example, where there is a viable MC despite a misaligned harmonic parameter. The TR cadence, the III: IAC, is secured after the occurrence of the MC's textural gap. However, this IAC is conflated with S^{a}'s cadence, thus requiring the expansion of the S theme into a small ternary form and leading to another cadence at the end of S, although it cannot be regarded as the EEC. The MC situation in Schumann's Op. 63 (i) is similar to Op. 172 (i), however, we know that the former is more obscured as no cadence is ever achieved following the MC's gap.

I also suggest that Mendelssohn's Op. 80 (iii) represents the end of the MC spectrum where no MC is identifiable owing to two crucial misaligned parameters: 1)

the only cadence achieved after the MC is a V: PAC, the EEC, and 2) the texture of TR is maintained in the S section, leaving no textural gap. With this example, I also prove that Richards's idea of the 'interrupted' MC is not viable because the existence of the MC is determined by the S theme. Simultaneously, this proves the loophole in Hepokoski and Darcy's MC concept, which I mentioned in Chapter 1, where the MC is supposedly a precondition for the S theme.

In Chapter 4, besides revealing how Hiller's MCs are deformed, I show that the ambiguity in interthematic functions and the lack of cadences signify a departure towards MC as a formally significant feature, particularly evident in Op. 105 (i) and Op. 133 (i). This is fundamentally different from Mendelssohn's Op. 80 (iii), where the MC is not viable because its elements are totally dismantled via parametric non-congruence.

Finally, while I have focused my corpus study on the first movements, I anticipate that the approach to MCs explored here can be beneficial for analysing Hiller's other sonata forms across different movements, including not only chamber works, but also his symphonies and concertos. I acknowledge that the MC sub-types I proposed here are based on limited examples. Particularly, within this corpus study, only Op. 133 and Op. 172 are relevant. However, I hope that this study can serve as a starting point for rethinking MCs not only in other nineteenth-century Austro-German composers but also to other composers from different regions. A more comprehensive exploration of temporal MCs in Romantic forms across different geographical locations remains to be undertaken, but I believe this study provides a solid foundation for future research in this area.

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