



NUI MAYNOOTH
Ollscoil na hÉireann Má Nuad

**(De)Constructing Paradigms of Genre:
Aesthetics, Identity and Form in Franz Schubert's
Four-Hand Fantasias**

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For my Parents

ABSTRACT

(De)Constructing Paradigms of Genre: Aesthetics, Identity and Form in Franz Schubert's Four-Hand Fantasias

This thesis investigates and critiques the taxonomical criteria associated with Franz Schubert's piano music for four hands. The classification of piano duets as salon music, with a utilitarian, pedagogical, perfunctory, and entertaining function, has resulted in the majority of these works being sidelined from serious scholarly enquiry. Indeed, the complex aesthetic of the early nineteenth-century salon has yet to be fully probed in relation to Schubert's transformation of the piano duet medium. This thesis aims to firstly, expose the disparaging discourses regarding salon music which have manifested in the reception history of Schubert's piano duet music, and secondly, to investigate Schubert's unique ambition in this area. Schubert's earliest innovations are evident in his decision to merge a typically solo piano genre – the fantasia – with the four-hand medium. It is such early ambitions which propelled the investigation into theories of genre: How does a category become established? Can we differentiate between genre and medium? What effect has the (collective) categorisation of the piano duets had on the reception of these works? Such questioning critiques the classification methodologies of Carl Dahlhaus, whose approach is still apparent in the most recent musicological discourses regarding Schubert and genre.

The revisionist work done on genre by Jim Samson and Jeffrey Kallberg has argued that understanding a generic group by mere classification ignores and dismisses the communicative aesthetic of genre; they also accentuate that early nineteenth-century genres are, by nature, flexible and not fixed. Whereas Samson and Kallberg have focussed their attention on the generic identity of Chopin's solo piano music, a considerable lacuna exists in Schubert scholarship regarding the significance of theories of genre and their persuasive role in the reception of the composer's four-hand repertoire. The latter part of the thesis focuses on one generic group – the fantasia – which Schubert explored via various mediums: solo piano, duet piano and one work for violin and piano. By adapting Kallberg's paradigm of genre, the analytical section of this dissertation elucidates the role of medium, performer, audience, and form in Schubert's four-hand fantasias. A comprehensive appraisal of Schubert's formative influence in the cyclical sonata-fantasia of the early nineteenth century will be presented.

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ABBREVIATIONS

A. Abbreviations in footnotes, tables, bibliography, and discography:

arr.	arranged	aut.	Autumn
bap.	Baptised	bt(s)	beat(s)
dim	Diminished	ff.	Following
Movt	Movement	orch.	Orchestral
Pf	Piano	Pp	<i>Pianissimo</i>
pub.	Published	rev.	Revised
str qrt	string quartet	sum.	Summer
Vars	Variations	Vn	Violin
4H	four-hand		
P1	<i>Primo 1</i>	P2	<i>Primo 2</i>
S1	<i>Secondo 1</i>	S2	<i>Secondo 2</i>

B. Abbreviations in Music Examples:

/ Refers to an upbeat: for example, bar /1 means upbeat to bar 1

C. Indication of major and minor keys in Tables:

Upper case indicates major, for example, C denotes C major etc.

Lower case indicates minor, for example, c denotes C minor etc.

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- 5.27 Tonal Scheme and Thematic Outline of Fugue and Lyrical Theme

INTRODUCTION

I. Rationale for the study

Not only are the objects we encounter always to some extent pre-interpreted and pre-classified for us by our particular cultures and languages; they are also pre-evaluated, bearing the marks and signs of their prior valuing and evaluations by our fellow creatures.¹

Within the parameters of historiography and musicology, music has always been understood and represented within multiple theories of taxonomy. Even such simple classifying terms of nineteenth-century music as *absolute*, *popular* or *serious* prove problematic, as shall be revealed, when discussing Schubert's piano duets – due, in part, to their compositional diversity. The ideology of absolute music instigated a hierarchical structure in which musical works were disseminated and promoted. The social milieu of the duets all too easily categorised these compositions as *popular* – the most derogatory category in musical discourses. Such classification techniques only served to place a value judgement on works, controlling our perceptions of the music. This thesis continually challenges such long-standing categories and presents alternative paradigms, which invite the reader to consider and appreciate Schubert's four-hand piano music in a new perspective.

Producing approximately thirty-five works for this medium, Schubert's generous output of four-hand piano music contains a wealthy reserve of the composer's unique contribution to this medium: these musical offerings, however, have been largely marginalized within both historical and analytical musicology.

¹ Barbara Herrnstein Smith, *Contingencies of Value: Alternative Perspectives for Critical Theory* (Cambridge: Harvard University Press, 1988), p. 43. Hereafter referred to as Smith, *Contingencies of Value*.

Schubert's duet repertoire include a variety of original works: fantasias, sonatas, divertissements, overtures, theme and variations, polonaises, marches, Deutscher, Ländler, rondos and single-movement works; a small number are arrangements of his own overtures and operas. (See Appendix 2.) The categorisation of these works as largely second-rate compositions provoked this author to question several facets of music scholarship: firstly, musical aesthetics; secondly, reception history; and finally, the fundamental implications of musical categorization itself, which naturally lead to the question of how concepts of genre are formed and also how established definitions of genre require deciphering. The role of function and identity play a central role in these three contexts where (apparent) functions of the piano duets as well as the role of function in aesthetics and in genre theory, will feature significantly. The overlapping of these three outlined areas provides a useful framework in which to trace the origins of value and prejudice in the history of the piano duet— one which also illuminates attitudes to Schubert's predecessors who composed works of this type. Indeed, the journey from the Schubertian salon to current musicological thought is thoroughly complex and involves several ideologies and unquestioned truths to be considered and evaluated.

The placement of Franz Schubert's piano duets within his overall reception history distinctly positions these works as pertaining – in the historical sense – to their epoch. The reception history of Franz Schubert has undergone various stages due to the staggered (posthumous) dissemination of many of his larger instrumental genres following his death in 1828. Indeed, Schubert's assimilation into the academic canon was a slow process and the status he enjoys

today occurred gradually as the commitment to engaging with his works and with greater comprehensiveness occurred. His title of ‘father of the lied’ from around the middle of the nineteenth century, as well as the discovery of chamber and orchestral works later in the nineteenth century had copious consequences: such activities overshadowed Schubert’s contribution to four-hand piano music positioning these works as more of a cultural artefact relating only to Schubert’s time, and ultimately ensuring that this extensive repertoire was generally absent from the expanding Schubert canon. In terms of the recent reception of his piano music, the late solo piano sonatas have received extensive performance and academic attention, especially in the past twenty years; the duet piano music however has remained largely absent from the revisionist work done regarding analysis and reception of Schubert’s piano compositions.

II. Aims of the study

This thesis outlines three distinct aims: firstly, to decipher the effects of the categorical blueprints of the piano duet medium within reception aesthetics; secondly, to deconstruct and critique theories of genre with the purpose of understanding how such paradigms pertain to Schubert’s four-hand repertoire; and finally – utilising revisionist theories of genre – to provide a comprehensive and specialised study of Schubert’s four-hand fantasias.

Prior to exploring the multi-faceted issues of generic identity, an understanding of musical aesthetics and their effect on reception history shall begin to reveal the reasons for the placement of Schubert’s four-hand works on the margins of his success as a composer by Schubert scholars. Another area that shall be explored – which is a central facet of reception history – is the role of the

listener in producing meaning. Therefore, the role of the listener in performance and in musicology challenges the notion of a fixed truth in musical discourses. Reception history also plays a key role in current genre studies, and Jim Samson acknowledges that one understanding of genre ‘separates musical works from the conditions of their production and reception, and identifies genre as a means of ordering, stabilizing and validating the musical materials themselves’.² Another and more recent trend is to examine the nature of aesthetic experience and explore ‘the relation between artworks and their reception’.³ Therefore the connection between the reception process and generic discourses of Schubert’s four-hand oeuvre will be purposefully probed.

The promotion of fixed, singular meanings of genres have long pervaded the history of generic classification and part one of this thesis will therefore scrutinize the following in relation to Schubert’s four-hand piano works: firstly, established ideologies and narratives regarding nineteenth-century art music along with their effects on the discipline of musicology; secondly, Carl Dahlhaus’s extensive scholarship on genre will be explored, especially in relation to classification and function, as well as a critique of the revisionist work done in this area since Dahlhaus; and finally, Schubert’s piano duets will be placed within these paradigms. The second part of the thesis will explore the tradition of the fantasia – one which Schubert explored via his piano duets as well as in other instrumental mediums. The principal aim in Part 2 of this thesis is to examine, via Kallberg’s model of genre, the tradition of the fantasia genre prior to and during

² Jim Samson, ‘Genre’, in *The New Grove Dictionary of Music and Musicians*, 2nd edn, ed. by Stanley Sadie and John Tyrrell (London: Macmillan, 2001), ix, pp. 657-59, (p. 657). Hereafter referred to as Samson, ‘Genre’, *New Grove*.

³ *Ibid.*

Schubert's epoch. Finally, the aim of my analysis of the piano duet fantasias is to probe Schubert's approach to medium, genre and form, thereby addressing issues of identity surrounding these works. The relationship between music theory and its influence on hermeneutics will be shown to play a key role in establishing issues of identity and meaning.

III. Research Questions

1. Why have the piano duets been placed on the sidelines of musicological investigation: both historically and analytically speaking?
2. How can genre theory uncover the taxonomical distinctions of Schubert's piano duets?
3. Can we distinguish between genre and medium and how have such distinctions effected the reception of these works?
4. How does the solo piano fantasia genre relate to long-accepted ideologies and musical taxonomies relating to four-hand music?
5. What recurring genre markers mark Schubert's four-hand fantasias and (how) did these impact future musical works of the nineteenth century?

IV. Methodology

IV.a Overview of Methodological Approach

The methodological approach undertaken in this thesis encompasses three broad theoretical frameworks: Reception History, Genre Theory and Analysis. Indeed, the three approaches outlined prove not to be mutually exclusive and these convergences clearly manifest in the course of the thesis. Utilising such an approach in exploring Schubert's four-hand music realises the embedded notions of identity and function.

IV.b Implementation of Methodologies

Chapter 1

The way in which Schubert's piano duets relate to such aesthetic typologies as: salon music; theories of greatness within the absolute aesthetic; and the assignment of Schubert as a feminine composer, stipulated the preliminary methodological approach in this dissertation. The methodology of the opening chapter therefore incorporates a broad contextual consideration of the piano duets within nineteenth-century musical aesthetics and reception history.

In relation to canon formation, John Guillory asserts that one needs to 'reconstruct a *historical* picture of how literary works are produced, disseminated, reproduced, reread, retaught over successive generations and eras'.⁴ This reconstruction of events is useful as a starting point to a musicologist as the placement of different genres in the musical hierarchy is the direct result of the items outlined by Guillory. Therefore, in relation to Schubert's four-hand piano music, it is useful to consider the following: how the musical work was produced and disseminated – this includes the compositional and performance environment, publishing of works, how aspects of Schubert's personal life have been interpreted as characterising his later works especially; the idea of reproducing works relates to musical and cultural institutions that ensure a work is – or is *not* – continually re-presented to the public and to academics, ensuring the upkeep of its apparent value. Also, the multiple reproductions of the duets as presented in scholarship as performing specific functions shall be addressed in the course of the thesis. The representation of the duets in scholarship, in their various guises, shall also help

⁴ John, Guillory, 'Canon', in *Critical Terms for Literary Study*, ed. by Frank Lentricchia and Thomas McLaughlin (Chicago & London: The University of Chicago Press, 1990), pp. 233-49, (p. 238). Hereafter referred to as Guillory, 'Canon'.

trace how they gained their current labels. Included here are the misconceptions regarding the Viennese salon in the early nineteenth century and long-standing images of Schubert as a feminine composer who excelled in minor genres within the salon environment. Amidst these concerns, notions of functionalism, sociability, the role of the listener and musical meaning shall feature in this exploration of the reception of Schubert's music for four-hands. These concepts provide a useful framework to explore the question of identity and trace how particular value judgements and various canonic discourses have occurred over long periods of time.

Chapter 2

The interplay between aesthetics and reception history naturally lead to questions of generic identity regarding Schubert's four-hand repertoire. The term genre itself frequently invokes an automatic response based on pre-set expectations of what we expect or even want to hear. This response is largely due to what is termed: generic classification, which has long pervaded the history of genre studies and the broader compass of musicology. This concept of classification is not exclusive to music, and the history of Western art in general has always exhibited an almost primal need for the categorization of art works. The 'pre-set expectations' referred to above and Schubert's response to such expectations provokes many questions regarding the identity of the duets. This thesis will trace the trajectory of genre theory assessing how genre has been defined in the past and how Schubert's duets respond to current trends of genre studies.

Chapter two will commence by focusing on Carl Dahlhaus's contribution to genre theory, highlighting the area of musical form and scoring, and the issue

of function and aesthetic autonomy in nineteenth-century genres. The second part of this chapter will present and evaluate what occurred after Dahlhaus in relation to concepts and categories of genre where two aspects of function shall be considered: its presence in early nineteenth-century genres but also the way in which function is defined and therefore applied to musical works. The revisionist work done by Jeffrey Kallberg, Jim Samson and Marcia Citron and their proposed paradigms will feature in this discussion. It will be argued that their models have instigated a new direction for looking at genre – one that is relevant to Schubert's duets. Furthermore, the *impact* of the placement of the piano duets in one generic category is an activity that has not been probed in Schubert scholarship. The effect the casual labelling of these works as a genre therefore necessitated a thorough investigation into genre theory.

Chapter 3

The application of the revisionist work regarding genre theory on Schubert's engagement with the piano duet forms the approach in the third chapter. This chapter also incorporates a critique of Dahlhaus's work on genre and the effect his classification criteria have had on the reception of the piano duets. The following aspects are explored in relation to the revisionist work on genre: the role of scoring; the compositional title; and the role of style and form in creating generic meaning. The blurring of the terms medium with genre and the way in which these are defined are teased out, highlighting the role of scoring as a defining feature of genres in the early nineteenth century. The starting point of genre – that is the title – is explored and questioned. Although Kallberg argues that the interaction between title and content needs to be explored (and this thesis does not

contest this assertion), the implications that the title ‘Piano Duet’ is a *genre* title is questioned and the implications deciphered.

This questioning of whether the piano duets comprise a complete genre lies outside the work done on genre theory to date. Although Dahlhaus and Kallberg have questioned how a category is defined, they are dealing with what they would view as established genres: the symphony, string quartet, sonata, nocturne and so on. Therefore, this section of the thesis shall not presume that the piano duet is a genre but will question this issue by investigating aspects of the medium. As a means of elucidating this argument, a scrutiny of established canonical texts will support the nebulous categorisation of the piano duet both as a genre and as a medium.

Chapter 4

The fourth chapter will explore the tradition of the fantasia and its many representations within scholarship and performance. An adaptation of Kallberg’s model on genre provides the core theoretical approach in deciphering the tradition of the fantasia from the middle of the eighteenth century to the early nineteenth century; the free fantasia and sonata-fantasia being the key ‘types’. Following from the earlier chapters’ emphasis on the importance of reception history, the following aspects of the piano fantasia are scrutinized: seminal texts, canonical examples, the primacy of response, tradition, and signals (as per Kallberg) all serve to provide a contextual framework for Schubert’s engagement in his own fantasias.

The utilisation of Kallberg’s model serves to reveal key issues surrounding the piano fantasia and the role of medium, contemporary practice and influence

prior to and during Schubert's time. A distinct move away from the mere categorisation of the fantasia towards a broader more interpretive approach is adopted. Traditions regarding performance practice, performance style, intended audiences, tonality, the role of subjectivity and formal issues are all central characteristics deciphered. The limited representation of Schubert's own fantasias in reception history concludes the chapter, revealing the need for a more comprehensive investigation into Schubert's understanding of the communicative aesthetic which abound in his own four-hand fantasias. This chapter aims to build on the previous theoretical probings and reveal their necessity in examining crucial issues of genre.

Chapter 5

The adaptation of Kallberg's model as presented in the previous chapter extends to the fifth and final chapter where Schubert's direct engagement with the four-hand piano fantasia is explored. Kallberg's emphasis on tradition is especially pertinent to Schubert's four-hand fantasias, a genre whose tradition lay in the solo piano medium. The works featured here are: Fantasia in G, D.1, composed in 1810; the Fantasia in G minor, D.9, composed in 1811; the Fantasia in C minor, D.48, composed in 1813; and the Fantasia in F minor, D.940, composed in 1828. Schubert also composed three complete fantasias for solo piano and one for violin and piano.⁵ Although the 1828 duo fantasia has received some scholarly attention, it has been limited, unlike the wealth of research the solo piano genres have

⁵ Fantasia in C minor pf solo, D.2e (formerly D.993), composed 1811; Grazer Fantasia in C pf solo, D.605a, composed in ?1818; Fantasia in C 'Wandererfantasie' pf solo, D.760, composed in 1822; Fantasia in C for vn and pf, D.934, composed in 1827.

received. Furthermore, the three early duet fantasias have had little or no scholarly attention. The aim is to position these works within new theoretical frameworks.

When examining a genre such as the four-hand fantasia, Kallberg's model encourages an acknowledgement of the malleable nature of genres as well as the prevalence of cross-generic referencing. Ironically, although the proposed paradigm acknowledges that genres absorb copious influences, it is the *recurrence* of certain influences and adaptations of specific tonalities, form or style, for example, which, in turn, establish cohesion and stability of that genre. A comparative analysis, embodying formal, tonal and aesthetical aspects serves to uncover the communicative aesthetic and identity of these long neglected works.

V. Literature Overview

Due to the comprehensive engagement with reception history throughout this thesis, a detailed assessment of the body of scholarship in Schubert studies is integrated throughout the chapters of this thesis. Indeed, despite the surge of scholarly interest in the reception of both Schubert and his piano music, a glaring gap regarding Schubert's four-hand music, exists in current Schubert scholarship. This lacuna extends to every facet of scholarship: reception studies, cultural studies, historical musicology and music analysis. The literature regarding the piano duets is in fact more prevalent in older musicology where the works are discussed within the frameworks of sociable and popular music.

Some prime examples from older musicology which offer an overview of the works are very descriptive in their approach, for example, Kathleen Dale's

chapter ‘The Piano Music’ (1946)⁶; Hans Gal’s book, *Schubert and the Essence of Melody* (1974)⁷ which characteristically places the duets in the domestic setting; and Arthur Hutchings, *The Master Musicians Series: Schubert* (1973) – the latter describes the duets as: ‘a sociable branch of music ... [and as] some of [Schubert’s] best light music’.⁸ Ernest Porter’s chapter (1980)⁹ on the duets provides a solid, if very general, harmonic and formal outline yet its deterministic approach and branding of the duets as mostly light music, has not inspired recent music analysts to explore this repertoire. The work by renowned Schubert scholar, Maurice J. E. Brown (1954 and 1966)¹⁰ provides a useful starting point; he explored Schubert’s duets in variation form and also the 1828 F minor fantasia D.940. Although it is likely that he influenced the more recent scholar, William Kinderman (1997) who explores the psychological symbolism in D.940, the revisionist work done on Schubert’s *solo* piano music has largely excluded the piano duets.

What is remarkable however about some of the more dated reception history of the duets is that they acknowledge that Schubert made an important contribution to four-hand music but simultaneously belittle this achievement by labelling them as domestic, light or sociable music. A short article by Eric Sams entitled ‘Schubert’s Piano Duets’ (1976)¹¹, for example, makes a plea for these

⁶ Kathleen Dale, ‘The Piano Music’, in *Music of the Masters: Schubert, A symposium*, ed. by Gerald Abraham (London: Lindsay Drummond Ltd., 1946), pp. 111-48.

⁷ Hans Gal, *Franz Schubert and the Essence of Melody* (London: Victor Gallancz Ltd., 1974), pp. 136-51.

⁸ Arthur Hutchings, *Schubert* (London: J.M. Dent and Sons Ltd., 1973), pp. 152-53. Hereafter referred to as Hutchings, *Schubert*, (1973).

⁹ Ernest G. Porter, *Schubert’s Piano Works* (London: Dennis Dobson, 1980). Hereafter referred to as Porter, *Schubert’s Piano Works*.

¹⁰ Maurice J. E. Brown, *Schubert’s Variations* (London: Macmillan & Co Ltd, 1954); *Essays on Schubert* (St. Martin’s Press: Macmillan, 1966). Hereafter referred to as Brown, *Essays*.

¹¹ Eric Sams, ‘Schubert’s Piano Duets’, *The Musical Times*, 117 (1976), 120-21.

works to be introduced into the concert repertoire. Indeed, Hutchings makes a call for ‘more humble players’ to perform these pieces in concert in case the ‘great virtuosos’ may not have the interest.¹² The bicentenary of Schubert’s birth (1997) however, did inspire some revisionist articles and recordings of Schubert’s four-hand piano music. A recording by Yaara Tal and Andreas Groethuysen (1994-1996) is a notable production of Schubert’s entire piano duet repertoire. Later recordings by established performers include Evgeny Kissin and James Levine in Carnegie Hall (2005) and Murray Perahia and Radu Lupu produced a recording of D.940 with Mozart’s Sonata for two pianos, D major K.448. A small number of articles on the topic of Schubert’s duets surfaced: Brian Newbould’s chapter ‘Four Hands at one Piano’ (1997)¹³; Charles Rosen included the Grand Duo Sonata in his chapter on classical form (1997)¹⁴; Margaret Notley’s chapter (1997)¹⁵ is an important contribution as she is unique in her questioning of the definition of ‘social music’ in relation to Schubert’s piano duets and also raises issues surrounding the definition of the term ‘genre’. In terms of reception, D.940 has attracted the most interest, out of a very small scholarship pool. Two articles outlining the influence of Mozart (Humphreys, 1997)¹⁶ and Hummel (Elizabeth Norman McKay, 1999)¹⁷ make a contribution regarding the impact of

¹² Hutchings, *Schubert*, (1973), p. 153.

¹³ Brian Newbould, *Schubert, The Music and the Man* (London: Victor Gallancz, 1997), pp. 234-49. Hereafter referred to as Newbould, *Schubert*.

¹⁴ Charles Rosen, ‘Schubert’s inflections of Classical form’, in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 72-98. Hereafter referred to as Rosen, ‘Schubert’s inflections of Classical form’.

¹⁵ Margaret Notley, ‘Schubert’s Social Music: the “forgotten genres”’, in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 138-54. Hereafter referred to as Notley, ‘Schubert’s Social Music’.

¹⁶ David Humphreys, ‘Something Borrowed’, *The Musical Times*, 138/1853 (1997), 19-24. Hereafter referred to as Humphreys, ‘Something Borrowed’.

¹⁷ Elizabeth Norman McKay, ‘Schubert and Hummel: Debts and Credits’, *The Musical Times*, 140/1868 (1999), 30-35. Hereafter referred to as McKay, ‘Schubert and Hummel’.

contemporary musicians on this work. Despite the contributions outlined, two contentious issues in the reception of the duets are evident: the limited sources and the lack of critical methodologies to explore these works.

The lack of detailed investigation into the duets necessitated the detailed reception study which occurs in the opening chapter. The limited availability of up-to-date research on the four-hand repertoire necessitated the exploration of genre theory in chapters 2 and 3. In these instances, a detailed critique of older and revisionist models of genre serve to provide a theoretical model in which to explore Schubert's piano duets. These models serve as the underlying framework in which chapters 4 and 5 explore the fantasia tradition as well as an examination of Schubert's own four complete four-hand fantasias.

VI. Note to the reader

This dissertation conforms to the house style guide of the Music Department, National University of Ireland Maynooth which complies with the *Modern Humanities Research Association Style Guide*.¹⁸

¹⁸ *MHRA Style Guide* (London: Modern Humanities Research Association, 2008).

—PART 1—

**“THEIR TRUE MERIT”?:
RECEPTION, GENRE AND SCHUBERT’S
FOUR-HAND PIANO MUSIC**

CHAPTERS 1-3

CHAPTER 1

PLACING SCHUBERT: MUSICAL AESTHETICS AND FUNCTION IN THE RECEPTION OF SCHUBERT

1.1 ‘Serious’ Salon Music?: The Absolute Ideology versus the Salon Aesthetic

The concept of musical purity, which transcends a tangible function and identifiable emotion, lies at the core of the nineteenth-century aesthetical ideology of absolute music. In fact, Roger Scruton argues that the absolute ideology in music can be understood as ‘music that has no external reference’.¹⁹ This intangible quality is thus an intrinsic characteristic of such music, and musical works that exemplify such an ideology still, today, enjoy a unique status in musicology. Within such discourses, ‘serious’ instrumental genres – the symphony being a prime example – have been placed at the top of the musical canon, instantly distinguishing them from other genres which do not adhere to the desired conventions. Indeed, Jim Samson has argued that:

The canon has been viewed increasingly as an instrument of exclusion, one which legitimates and reinforces the identities and values of those who exercise cultural power.²⁰

Samson reveals a vital point here – the need for reinforcement, which any ideology requires in order to survive and experience longevity. Accepting this need for corroboration from various centres of power, the continual exclusion or misrepresentation of specific works has dictated musicological practices for certain genres. This chapter shall argue and reveal how the identity and value of

¹⁹ Roger Scruton, ‘Absolute Music’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 14 May 2009].

²⁰ Jim Samson, ‘Canon (iii)’, in *The New Grove Dictionary of Music and Musicians*, 2nd edn, ed. by Stanley Sadie and John Tyrrell (London: Macmillan, 2001), v, pp. 6-7, (p. 7). Hereafter referred to as Samson, ‘Canon’.

Schubert's works for piano four-hands have been at the mercy of such exclusionary practices. Indeed, the exclusion of Schubert's four-hand works from the canon is palpable from the dearth of four-hand literature, even amidst the most recent musicological contributions in Schubert criticism, analysis and historical musicology.

Considering that absolute music refers to instrumental works, the inherent rejection of 'extra-musical'²¹ elements automatically disparages genres, even instrumental, that may possess any of these 'extra-musical' features, for example: a work written for entertainment purposes such as a keyboard dance performed in a 'noisy' salon environment. One consequence of this is that music produced and performed in the nineteenth-century salon – with all its extra-musical activities – could never be appreciated within such an isolated ideological framework. These concepts of identifiable- emotion and function in the Schubertian salon have been represented in scholarship as the polar opposite to these 'absolute' ideals – ideals that have endured to the present day. Furthermore, the spiritual and quasi-religious implications of absolute music are in blatant contrast to images of the salon represented in much of Schubert scholarship. Hutchings' now dated description of Schubert's salon promotes a less than virtuous scenario:

Four-handed writing is essentially a sociable branch of music, and what musician does not recall the four-handed orgies of his bachelor Schubertiades?²²

Against the ideals of perfection and purity, this portrayed salon environment immediately degrades the quality of the music and such representations have been detrimental to the reception of these works. The implications in Hutchings' quote

²¹ Daniel K. L. Chua, *Absolute Music and the Construction of Meaning* (Cambridge: Cambridge University Press, 1999), p. 4. Hereafter referred to as Chua, *Absolute Music*.

²² Arthur Hutchings, *Schubert* (London: J. M. Dent & Sons Ltd., 1945, reprinted 1956), p. 152.

above are multifold and brand the duets as essentially non-serious at the very least. The implied scene of drunken debauchery, alongside the homosexual undertones, moves the reader's interest away from the actual music performed in such an environment. In this context, these undertones project negative connotations which insinuate music of a lesser quality, which were deemed to have taken second place to the activities within the salon environment. If one considers such comments as Dahlhaus's assertion that absolute music was the '[a]esthetic paradigm of German musical culture in the nineteenth century',²³ it is no wonder that the domestic associations of the duets negatively labels these works as countering the idealised absolute category.

What has resulted in these steadfast opinions is that they automatically belittle the quality of the music and its possible inclusion within serious scholarly enquiry. Where is Schubert's place amongst such an aesthetic? Before exploring this question, further aspects of the *absolute* ideology demand exploration.

1.2 Musical Experience and the Role of the Listener

The role of the listener and his/her input into musical experience has profoundly effected the interpretation of specific performance contexts. The significance of the correlation between absolute music and the concert hall is highlighted by Daniel Chua who identifies how: 'the social phenomenon that accompanied the ideology of absolute music was the eradication of audience chatter'.²⁴ By implication, the informal environment of the Viennese salon as depicted in some literature signals a more relaxed atmosphere suggesting that there was less focus

²³ Carl Dahlhaus, cited in David Beard and Kenneth Gloag, *Musicology The Key Concepts* (London; New York: Routledge, 2005), p. 4. Hereafter referred to as Beard/Gloag, *Musicology*.

²⁴ Chua, *Absolute Music*, p. 5.

on listening. In her discussion of the Schubertiade, Alice Hanson argues that entertainment, dancing, eating, and music are all of equal importance:

... the Schubertiades are examples of typical middle-class socializing, for, apart from their attention to the music of Schubert, Schubertiades were neither formal concerts nor serious salon groups.²⁵

The labelling of these events as *non-formal* instantly separates them from the concert hall scenario, which was solely focussed on performing-listening practices. We are therefore introduced to two (apparently) distinct types of listener: the salon listener and the concert listener – the former casual and the latter serious. A clear divide has been created, within such ideologies, between these supposed disparate musical experiences of an audience member.

The subjectivity of the Romantic musical listener has been described by Francois-Joseph Fétis: ‘Past listeners have viewed the goal of music as “expressing the author’s ideas or realizing sentiments or images” [...]. Instrumental music was independent of all this’.²⁶ Therefore, absolute music signified an abstract complexity that one could not define with simplified ideas or programmes. James Johnson describes how the listener, within such an ideology, was convinced that his or her ‘own musical experience was unique’.²⁷ This raises immediate problems, namely how can we definitively argue that the listening experience in the salon was any less unique? Indeed, an attempt to qualify the listening experience, in any performance context, is a tenuous argument. There is also an inadvertent suggestion that within the salon, a non-specific collective listening experience occurred as opposed to the superior individual, unique

²⁵ Alice Hanson, *Musical Life in Biedermeier Vienna* (Cambridge: Cambridge University Press, 1985), p. 121. Hereafter referred to as Hanson, *Musical Life*.

²⁶ Francois-Joseph Fétis, cited in James Johnson, *Listening in Paris – A cultural history* (Berkeley; London: University of California Press, 1995), p. 270.

²⁷ *Ibid.*, p. 274.

experience referred to by Johnson. In relation to this Hanson identifies three types of salon: the aristocratic salon, salons of the Jewish bankers, and the middle-class salon. It is in the latter salon in which she places the Schubertiade; her description of the middle-class salon is relevant at this point:

In contrast to the formality and opulence of aristocratic or financiers salons, bourgeois salons were small, informal, congenial gatherings which met primarily for entertainment.²⁸

Hanson's focus on 'entertainment' implies a less attentive and serious listener, and consequently music, within the middle-class salon. It should be emphasised that Hanson's view is similar to earlier reception that branded Schubert's four-hand works as popular salon works, ultimately the ideological antithesis to the more serious category of absolute music.

1.3 Reception Aesthetics and Response of the Listener

The response of the listener has also been addressed in reception aesthetics where the importance of the reader's interpretation of a work, as opposed to the focus on the work itself, has been a central ideology. The basic premise of musicological reception theory, which was an outgrowth of German reception aesthetics in the 1960s, was to destabilize the notion of an authoritative text.²⁹ This represents a distinct shift regarding the origin of a work's meaning, where the 'authoritative text', or musical work, represents just *one aspect* of musical hermeneutics. The literary theorist, Wolfgang Iser, discusses how 'the "implied reader" engages in gap-filling and image-making strategies as he or she produces meaning from a

²⁸ Hanson, *Musical Life*, p. 117.

²⁹ Jim Samson, 'Reception', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 1 December 2008]. Hereafter referred to as Samson, 'Reception'.

necessarily indeterminate text [...]'.³⁰ This postmodernist approach reveals an interesting relationship between author and reader and the importance of the latter's role in establishing meaning and truth in any given text. Iser's arguments apply directly to the nature of music composition, performance and listening, which raises such questions as: How do we assess the relationship between the composer, the performer and the audience? Given the tri-part relationship indicated, it is evident that meaning is derived from this multi-faceted activity – here the idea of a singular meaning can be dismissed. In current musicological thinking, no absolute exists. When a scholar reads a text, it is what he or she brings with him or her to that text that produces their unique response. Our responses are based on our own knowledge, education, musical insights and experience. Therefore, multiple responses will occur to any given text (or musical work) and this is what is key within reception theory. We can consider this in our own academic pursuits but also in a broader way as one undertakes a critical examination of a composer's reception. Therefore, it is crucial to critically read and respond to established, canonical texts in a reception study. This has special significance for Schubert's piano duets which have largely been dealt with in two ways: firstly, neglect within Schubert scholarship and secondly, disparaging discourses surrounding these works. Therefore, in line with the trend of reception aesthetics, where reader response is crucial, the limited and largely negative response to Schubert's four-hand music occupies a key role in understanding why these works occupy a peripheral position in Schubert and early nineteenth-century scholarship.

³⁰ Wolfgang Iser, cited in Samson, 'Reception'. See Wolfgang Iser, *The Act of Reading, A Theory of Aesthetic Response* (Baltimore: The Johns Hopkins University Press, 1980).

The theorist John Guillory asserts that ‘canon formation is one aspect of a much larger history of the ways in which societies have organized and regulated practices of reading and writing’.³¹ Within this argument the presence of an authoritative text(s) should be considered. The methods of absorption of certain beliefs regarding musical genres and music history are, by their very nature, unconscious and the possibility that our attitudes and opinions have been somewhat controlled or manipulated necessitates contemplation. Certain beliefs have been embedded in our cultural consciousness and require a certain process of withdrawal and deciphering to establish a truth. Accordingly, reader-response is often a result of cultural ideologies of the period from which the author comes and which influences his or her perceptions of previous cultures. This chapter argues that this practice is a significant aetiological factor in the negative responses to the duets.

1.4 “Their True Merit”: Four-Hand Music in Schubert’s Documents

The arguments presented so far represent ideas pertaining to the canon, value and the absolute versus popular ideologies; a reading of the composer’s correspondences, although limited in quantity, serves to uncover how Schubert’s discussion of his own four-hand piano works relate to such ideologies. An engagement with the diaries and letters of the composer illuminates two issues regarding the assignment of value: firstly, the value allocated to the works by the composer, and secondly, that value was a transient phenomenon post-Schubert. Following an unveiling of the constructs of value, the question must be posed: should one category of value take precedence over another?

³¹ Guillory, ‘Canon’, p. 239.

The popularity of the duets during Schubert's time is supported by Gibbs' proposed framework for the general reception of Schubert. Here Gibbs discusses the co-existing fame and neglect Schubert suffered during his lifetime.³²

The musical genres for which [Schubert] was most familiar were quite different from those which eventually won his immortality or which audiences usually encounter today in concerts or on recordings. Among the small-scale genres occasioning such intimate music-making as Waldmüller sketched, Lieder won pride of place, although Schubert's popularity and success also came from dances, partsongs (usually for two tenors and two basses), and keyboard music (especially four-hand compositions).³³

The complexity of Schubert's success with four-hand music, in relation to the reception of the composer's contribution to 'popular' and 'serious' genres, is also emphasised by Gibbs:

The domestic music cultivated [in the 1820s] (and sometimes composed) by dilettantes, women, and amateurs could barely hope to compete with higher forms. Schubert never abandoned these more intimate genres – indeed, *part of his achievement was to raise their stature* – yet he also held aspirations for large-scale works.³⁴

Indeed, Schubert was unique in his achievement of elevating the status of four-hand piano music, something which is evident not just from the compositions themselves but also in his dedication of his 8 variations on a French song, E minor (D.624) to Beethoven, which was Schubert's first ever published piano duet (composed in 1818 and published in 1822). Based on the song 'Le bon Chevalier', this work comprises a theme and eight variations. Although not as sophisticated as the A flat major variations of 1824, the final two variations, *Più lento* and *Più mosso*, *Tempo di Marcia*, reveal a highly evocative treatment of the original theme. Both sets of variations are included in the sixteen piano duets published

³² Christopher H. Gibbs, 'German Reception: Schubert's "journey to immortality"', in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University, 1997), pp. 241-53.

³³ Christopher H. Gibbs, *The Life of Schubert* (Cambridge: Cambridge University Press, 2000), p. 11. Hereafter referred to as Gibbs, *The Life of Schubert*.

³⁴ Gibbs, *The Life of Schubert*, p. 61.

during Schubert's lifetime, comprising approximately half of his overall output. Although only a small body of Schubert's letters have survived, correspondences from his time in Zseliz reveal his musical activities and ambitions in both instrumental and vocal genres. References to the composer's four-hand compositions during this time, are quoted in the 1824 letters cited below. The duets composed during Schubert's two periods in Zseliz (1818 and 1824), where he taught the sisters Marie and Karoline Esterhazy, could easily position these works as pedagogical.

Table 1.1a, Duet Compositions from Zseliz, 1818

Title of Work	Year Composed	Year Published
4 Polonaises, d, Bb, E, F (D.599)	1818 (July)	1827 op.75
3 Marches Héroïques, b, C, D (D.602)	1818 or 1824	1824 op.27
Sonata, B flat (D.617)	1818	1823, op.30
Deutscher, G, with 2 trios and 2 Ländler, E (D.618)	1818	1909
Polonaise and trio, sketches (D.618a)	1818	1972
8 variations on a French song, e (D.624)	1818	1822, op.10
Marches Militaires, D, G, E flat (D.733)	1818	1826, op.51

Table 1.1b Duet Compositions from Zseliz, 1824

Title of Work	Year Composed	Year Published
Sonata, C (D.812)	1824 (June)	1838, op.140
8 Variations on an original theme, A flat (D.813)	1824 (May-July)	1825, op.35
4 Landler, E flat, A flat, c, C (D.814)	1824 (July)	1869
Divertissement à l'hongroise, g (D.818)	1824 –Autumn Zseliz?	1826, op.54
6 Grandes Marches, E flat, g, b, D, e flat, E (D.819)	1824 ?	1825, op.40
Introduction, 4 variations on an original theme and finale, B flat (D.968a, formerly D.603)	1824 ?	1860, op.82/2

However, the four letters dating from Schubert's first stay in Zseliz in 1818, do not refer directly to the four-hand music composed.³⁵ Although it is most likely that the Esterhazy sisters performed, and perhaps inspired, these works, the duets provide important examples of the versatility of Schubert's four-hand music which embraced multiple genres, as outlined in the tables above. Although there are no specific references to the duets composed in Zseliz in 1818, Schubert's compositional ambitions are relayed in a letter, during this period, to his friends on 3 August 1818. The quotations below disclose both the value that Schubert placed in his works composed at Zseliz and in Zseliz as an environment highly conducive to composing:

Ich lebe und componire wie ein Gott, als wenn es so seyn müßte.³⁶

I live and compose like a God, as though indeed nothing else in the world were possible.³⁷

Another letter dated 8 September 1818, Zseliz, is addressed to his friend Schober:

Denn in Zeléz muß ich mir selbst alles sein. Compositeur, Redacteur, Autiteur u. was weiß ich noch alles. Für das Wahre der Kunst fühlt hier keine Seele, höchstens dann u.wann (wenn ich nicht ire) die Gräfinn. Ich bin also allein mit meiner Geliebten, u. muß sie in mein Zimmer, in mein Klavier, in meine Brust verbergen. Obwohl mich dieses öfters traurig mach, so hebt es mich auf der andern Seite desto mehr empor. [...] Mehrere Lieder entstanden unter der Zeit, wie ich hoffem sehr gelungene.³⁸

Here in Zelez [sic] I have to be everything at once. Composer, editor, audience, and goodness knows what besides. There is not a soul here with a genuine interest in music except, perhaps, now and then, the Countess (if I am not mistaken). So I am all alone with my beloved, and must hide her in my room, in

³⁵ 3 August 1818 (Spaun, Schober, Mayrhofer and Senn); 24-25 August 1818 (Ferdinand Schubert); 8 September 1818 (Schober and friends); 29 October 1818 (Siblings: Ferdinand, Ignaz and Thérèse).

³⁶ Otto Erich Deutsch, (ed.), *Schubert, Die Dokumente seines Lebens* (Kassel, London: Bärenreiter, 1964), p. 62. Hereafter referred to as Deutsch, *Schubert, Die Dokumente*.

³⁷ Letter dated 3 August 1818, to his friends, cited in Otto Erich Deutsch (ed.), *Franz Schubert's Letters and Other Writings*, translated by Venetia Savile, foreword by Ernest Newman (London: Faber and Gwyer, 1928). Hereafter referred to as Deutsch, *Schubert's Letters*.

³⁸ Deutsch, *Schubert, Die Dokumente*, p. 66.

my pianoforte, and in my own heart. Although this is often very depressing, yet on the other hand it inspires me towards greater things. [...] Several new songs – and I hope very successful ones – have come into being during this time.³⁹

The duet compositions from Schubert's second sojourn appear to develop from his 1818 works from the four-hand repertoire. Schubert's musical achievements from 1824 are realised in the very ambitious four-movement, 'Grand Duo' Sonata (D.812) and the 8 Variations on an original theme, A flat major (D.813). Notley describes the beautifully expressive seventh variation of D.813 as revealing a 'deliberately ambiguous chromaticism' as the music travels between F minor and C minor.⁴⁰ Newbould however argues that the first two bars of the opening are in fact in A flat major and not C minor, highlighting the complexity of Schubert's harmonic colouring in this variation. As the previous variation (number six) concludes on a clear statement of I in A flat major, it is the *effect* of the C minor chord that is so remarkable – which indicates the mediant of A flat major according to Newbould. This depth of expression for the duet is indicative of Jim Samson's assertion that piano works at the beginning of the nineteenth century, influenced by vocal music and contemporary literature, subsequently encouraged an increasingly expressive aesthetic.⁴¹ Although Samson's discourse does not specify four-hand piano music, Schubert undoubtedly absorbed such trends into much of his four-hand repertoire. A further musical achievement from 1824 was the *Divertissement à l'hongroise*; this work was published in 1826 and its popularity in Vienna is reflected in Liszt's decision to arrange the work in 1838-

³⁹ Deutsch, *Schubert's Letters*, pp. 42-3.

⁴⁰ Notley, 'Schubert's Social Music', p. 147.

⁴¹ Jim Samson, 'Chopin and Genre', *Music Analysis*, 8/3 (1989), 213-31, (p. 214). Hereafter referred to as Samson, 'Chopin and Genre'.

1839. Now entitled: *Mélodies hongroises (d'après Schubert)*, this version of Schubert's duet was first published in Vienna in 1840.⁴²

Even a glance at Schubert's 1824 letters communicates meaning on a variety of levels. Firstly, the limited body of letters refer to the site of composition as well as the composer's desire for the works to be published. The notion of value is an interesting one here as we can read about Schubert's satisfaction with the four-hand works completed during his stay in Zseliz in 1824. In a sense, the need he expresses for the works to be judged by the Viennese public, could be interpreted as his aspiration to be more widely recognised as a composer but also his desire for the duets to be published. Indeed, in his letter to Schober (8 September 1818), Schubert refers to the lack of genuine interest in music in Hungary which is in contrast to the prolific artistic persons, frequent performing salons and publishing houses in Vienna. Ironically, the popularity of his works with the middle-class amateur musician has sometimes placed a lower value on the works within ideologies of greatness. The examples cited below are from Schubert's 1824 letters to his brother Ferdinand and Viennese artist and friend, Moritz von Schwind, both of which mention the composer's A flat variations (D.813) composed in Zseliz in the summer of that year. In his letter to Schwind, dated August 1824, Schubert writes:

Lieber Swind!

Endlich ein Brief von Schubert, wirst Du sagen, nach 3 Monaten! – Es ist wahr, es ist schon hübsch lang, aber da mein Leben hier so einfach als möglich ist, so habe ich wenig Stoff Dir oder den Übrigen etwas zu schreiben. Und wenn mich nicht zu sehr verlangte, zu wissen, wie es Dir u. den andern nähern Freunden geht, insonderheit aber wie es um Schober u. Kupelwieser stünde, würde ich,

⁴² Maria Eckhardt, Rena Charnin Mueller, 'Liszt, Franz, Works', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 15 March 2012]. Hereafter referred to as Eckhardt/Mueller, 'Liszt'.

verzeih mir's, vielleicht noch nicht geschrieben haben. Wie gedeiht Schober's Unternehmen? Ist Kupelwieser in Wien oder noch in Rom? Hält die Lesegesellschaft noch zusammen oder ist sie, wie zu vermuthen, nun gänzlich aufgelöset? Was machst Du??? – – – Ich bin noch immer Gottlob gesund u. würde mich hier recht wohl befinden, hätt' ich Dich, Schober u. Kupelwieser bey mir, so aber verspüre ich trotz des anziehenden bewußten, *Sternes* manchmahl eine verfluchte Sehnsucht nach Wien. Mit Ende Septembe. hoffe ich Dich wieder zu sehn. Ich habe eine große Sonate u. Variationen zu 4 Hände componirt, welche letztere sich eines besondern Beyfalls *hier* erfreuen, da ich aber dem Geschmack der Ungarn nicht ganz traue, so überlasse ich's Dir u. den Wienern darüber zu entscheiden. – Wie geht es Leidesdorf? Geht's vorwärts oder gehn dem Hund die Haar' aus? Ich bitte Dich beantworte mir alle diese Fragen aufs genaueste u. so bald als möglich. Du glaubst nicht, wie ich mich nach einem Schreiben von Dir sehne. Und da von Dir so viel über unsere Freunde über Wien u. tausend andere Sachen zu erfahren ist, von mir aber nichts, so hätte es Dir nicht geschadet, wenn Du mir einiges mitgetheilt hättest, wenn Du anders meine Adresse wußtest. Vor allen andern, lege ich Dir auf's Gewissen, den Leidesdorf scandaleuse auszuabmachen, indem er auf meinen Brief weder eine Antwort noch das Verlangte überschickte. Was soll das heißen? zum Teufel hinein ! Mit den Müllerliedern gehts auch so langsam, alle 4tel Jahr wird ein Heft *gezöt't*. Und nun lebe wohl. u. grüße mir, wen Du beyläufig glaubst, u. (ich sage Dir's) schreibe mir ja bald, sonst soll Dich – – –

Dein

Trauer Freund
Frz. Schubert.

Meine Adresse:

Zeléz in Ungarn
über Raab u. Torock

Beym Grafen Joh. Esterhazy v. Galantha.⁴³

Dear Swind [sic],

At last after three months a letter from Schubert, you will say! – It is a long time indeed, but my life here being the simplest possible, I have very little news for you or the others. Indeed, were it not for my longing to know how you and my other special friends are – and above all to hear how things are going with Schober and Kupelwieser – forgive me for saying it, but I might perhaps not have written even now. How is Schober's enterprise succeeding? Is Kupelwieser in Vienna or still in Rome? Is the Reading Society still holding together, or, as I suspect, has it completely broken up? What are you doing??? – – – My good health continues, thank God, and I should be very content here if only I had you, Schober and Kupelwieser with me, but as it is, in spite of the attractive star, I feel at times a desperate longing for Vienna. I hope to see you again at the end of September. *I have composed a big sonata and variations for four hands, and the latter have met with a specially good reception here, but I do not entirely trust Hungarian taste, and I shall leave it to you and to the Viennese to decide their true merit* – How is Leidesdorf? Is he making good, or is the dog getting mangy? Please answer all these questions as exactly and as quickly as possible. You have no idea how much I long for a letter from you. And since there is so much for you to tell me, about our friends, about Vienna, and about a thousand other things besides – whereas I have nothing to relate – it really would not have hurt you to

⁴³ Deutsch, *Schubert, Die Dokumente*, p. 255.

have told me some of the news: but perhaps you did not know my address. Before everything else I must ask you to make it a matter of conscience to make a real fuss with Leidesdorf for neither answering my letter nor sending me what I asked him for. What does he mean by it? – the devil take him! The “Miller-songs” are making very slow progress too: a volume comes out every three months. And now good-bye, remember me to anyone you will, and (I repeat) write very soon or else ...

My address:
Zelez [sic] in Hungary,
Via Raab and Torok,
c/o Count Joh. Esterhazy
v. Galantha.⁴⁴

Your
true friend,
Frz Schubert

So what else can we interpret from this letter? Although primarily employed in a pedagogical role in the Hungarian residence, Schubert continued to compose prolifically. Furthermore, his concerns regarding delays in his work being published emanate strongly in this correspondence. This is evident in his anticipation of how the Viennese will respond to his four-hand sonata and variations and his frustration that the “Miller Songs” were slow to be disseminated.

There is a further point of interest to observe from Schubert’s letters however, which relates to a key aspect of Schubert’s reception history: the relationship between the music and the man. This has long occupied a prominent position within Schubert studies and continues to be debated within current Schubert scholarship. It should be considered how such documents as these, as well as the memoirs by Schubert’s friends, contributed to the notion that Schubert’s works are in some way autobiographical or representative of his psyche. This is especially evident in his letter to his brother Ferdinand which reveals a contemplative artist and man who used his artistic genius to escape his

⁴⁴ Deutsch, *Schubert’s Letters*, pp. 86-7.

personal struggles. The following is an excerpt from a letter to his brother Ferdinand written in July 1824:

Freylich ists nicht mehr jene glückliche Zeit, in der uns jeder Gegenstand mit einer jugendlichen Glorie umgeben scheint, sondern jenes fatale Erkennen einer miserablen Wirklichkeit, die ich mir durch meine Phantasie (Gott sey's gedankt) so viel als möglich zu verschönern suche. Man glaubt an dem Orte, wo man einst glücklicher war, hänge das Glück, indem es doch nur in uns selbst ist, u. so erfuhr ich zwar eine unangenehme Täuschung u. sah eine schon in Steyer gemachte Erfahrung hier erneut, doch bin ich jetzt mehr im Stande Glück u. Ruhe in mir selbst zu finden als damals. – Als Beweis dessen warden Dir eine große Sonate u. Variationen über ein selbst erfundenes Thema, beydes zu 4 Hände, welche ich bereits componirt habe, dienen. Die Variationen erfreuen sich eines ganz besonderes Beyfalls. Über die dem Mohn übergebenen Lieder tröste ich mich, da nur einige davon mir *gut* erscheinen, als: *die bey dem Geheimniß enthaltenen*, Wanderers Nachtlied, u. der *entsühnte* nicht aber *entführte* Orest, über welchen Irrthum ich sehr lachen mußte. Suche wenigstens diese benannten sobald als möglich zuruck zu bekommen.⁴⁵

To be sure that blessed time is over when everything appeared to us in a nimbus of youthful glory, and we have to face instead the bitter facts of existence, which I try to beautify, however, as far as possible with my own imagination (for which God be thanks!). One turns instinctively to a place where one found happiness before, but in vain, for happiness is only to be found within ourselves. In this way I have met with an unpleasant disappointment, and renewed an experience already made in Steyr, though I am better able to find inner peace and happiness now than I was then. – *A long sonata and variations on a theme of my own, both for four hands, which I have already composed, will prove this to you. The variations have met with particular success.* I console myself over the songs made over to Mohn, for only a few seem to me to be good: for instance, in the lot which contains “The Secret” – the “Wanderer’s Night Song” and “Orestes’ Atonement”, – yes, not his “abduction”! Try to get these at any rate back as soon as possible.⁴⁶

Schubert often referred to the gift of his imagination in his letters, which allowed him to artistically transform ‘the bitter facts of existence’ into an artistic form.

One example is found in Schubert’s lost diary, 29 March 1824:

O Phantasie ! du höchstes Kleinod des Menschen, du unerschöpflicher Quell, aus dem sowohl Künstler als Gelehrte trinken !⁴⁷

O Imagination! – the greatest treasure of mankind, the inexhaustible spring at which both the artist and the scholar come to drink.⁴⁸

⁴⁵ Deutsch, *Schubert, Die Dokumente*, p. 250.

⁴⁶ Letter to Ferdinand (16th (or 17th to 18th July 1824): Deutsch, *Schubert’s Letters*, p. 82.

⁴⁷ Deutsch, *Schubert, Die Dokumente*, p. 233.

⁴⁸ Translation by Lorraine Byrne Bodley, 2007.

What also surfaces from these letters, is that Schubert himself performed and premiered his compositions with his students in Zseliz. This, however, does not just refer to his four-hand piano works but also his piano solo works.⁴⁹ That Schubert was not a publically prominent virtuoso and that these works were not assigned to a specific, established (public) performer, is an aspect of the domestic tradition of music-making. Beethoven, for example, was well known as a virtuoso (public) performer whereas Schubert's association with the salon (private) performer diminishes the status of these works. Such perceptions of Schubert as exclusively non-virtuosic are strongly contested by his ambitious four-hand virtuosic 'Grand Duo' sonata. This work reveals a stylistic ambition and perhaps signals Schubert's desire to be known as a composer of 'serious' instrumental genres. (See also previously quoted letter to Schwind, August 1824.)

Amongst the various hermeneutical platforms on which we place Schubert's music are the many connections made between the composer's personality and his illness. Although this is especially apparent in the reception of his *late* works, these letters reveal a man who recognises the loss of youth and idealism. The 'bitter facts of existence', to which he refers, have multiple meanings: it could merely relate to his frustrations as an artist longing to be widely published, it could be related to his deteriorating health given his recent diagnosis of syphilis and the expectation of an early death or losing his sanity.⁵⁰ The harsh reality he refers to could also include the political uncertainty in Vienna

⁴⁹ See the letter to his step-mother and father in 1825 quoted below.

⁵⁰ Aspects of Schubert's ill health are explored in: Peter Gilroy Bevan, 'Adversity: Schubert's illnesses and their background', in *Schubert Studies*, ed. by Brian Newbould (Aldershot: Ashgate, 1998), pp. 244-66.

referred to by Leon Botstein.⁵¹ When Schubert asserts that his newfound happiness is found in two works for piano duet: the ‘Grand Duo’ Sonata D.812 and Variations on an original theme D.813, he acknowledges the ability of art to transcend the struggle of everyday reality. Evidence of the duets’ popularity during Schubert’s time is revealed in a letter to his father and step-mother in 1825 where we learn of these works being performed outside Vienna:

In Oberösterreich finde ich allenthalben meine Compositionen, besonders in den Klöstern Florian und Kremsmünster, wo ich mit Beihülfe eines braven Clavierspielers meine 4 händigen Variationen und Märsche mit günstigem Erfolge producirt. Besonders gefielen die Variationen aus meiner neuen Sonate zu 2 Händen [...]⁵²

I have come across my compositions all over Upper Austria, but especially in the monasteries at St. Florian and at Kremsmünster, where, assisted by an excellent pianist, I gave a very successful recital of my Variations and Marches for four hands. The Variations from my new Sonata for two hands met with special enthusiasm.⁵³

Although a limited resource, the documentary evidence signals that these were generically ambitious compositions and also popular in Vienna; we now realise that the aspirations Schubert had for many of the duets, did not guarantee them a long-standing position within the performance and scholarly canon.

Mark Everist in fact emphasizes that ‘value attached to a given work changes with time, and accounts for the position at the margins of certain canonic discourses [of certain works]’. Although there have been some changing guises of reception, these have been sustained throughout different historical periods and are interlinked. Moreover, they all help to sustain the predominantly negative value judgement given to Schubert’s four-hand works. While what the works have

⁵¹ Leon Botstein, ‘Realism Transformed: Franz Schubert and Vienna’, in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 15-35. Hereafter referred to as Botstein, ‘Realism Transformed’.

⁵² Erich Valentin, *Die schönsten Schubert-briefe herausgegeben* (München, Wien: Langen Müller, 1975), p. 86.

⁵³ Letter to his father and stepmother, Steyr, 25 July 1825: Deutsch, *Schubert’s Letters*, pp. 97-8.

been associated with has changed, their essential reception value has remained the same through different historical eras. By considering the trajectory of these judgements and responses, the aim is to gain an understanding as to why the duets lay on the margins of Schubert's success and to argue that they are worthy of being considered within current musicological discourses.

1.5 Function, Identity and the Four-Hand Tradition

There is a clear connection between the perceived function of a work and the value that is associated with that function. Indeed, it bears consideration that the pre-assigned labels which have been attached to Schubert's four-hand repertoire, along with the associated function of such branding, directly impinge on their value within reception history:

Of particular significance for the value of "works of art" and "literature" is the interactive relation between the classification of an entity and the functions it is expected or desired to perform.⁵⁴

The very act of classifying an object, or musical work in this case, instantly gives it an identity and thereby a function depending on what typifies that category. Marcia Citron argues that by 'going beyond contemporary referentiality, [the higher arts] have themselves constituted a particular function. Functionality is probably inescapable'.⁵⁵ In theories of generic classification, the notion of function in genre holds a central role in such discussions. Citron's argument that *every* work has an actual function ties in with recent reactions to Dahlhaus's writing on this topic where his definition of function as having less importance

⁵⁴ Smith, *Contingencies of Value*, p. 32.

⁵⁵ Marcia Citron, *Gender and the Musical Canon* (Urbana & Chicago: University of Illinois Press, 2000), p. 128. Hereafter referred to as Citron, *Gender*.

within nineteenth-century genres, has led to a debate as to how we perceive musical function.

As the duets have been placed in the category of salon music, it is how the salon has been represented in scholarship and the accompanying prejudices that has lead the reader to their supposed functions. One definition of salon music asserts that explanations tend to be derogatory and are often considered as ‘music of light character which aims to please rather than be profound’.⁵⁶ The most overt functions or meanings in musicology regarding the duets have been the pedagogical, the sociable, the entertaining, the utilitarian and the commercial. Weekley’s dissertation (1969) outlined four possible ‘purposes’ of Schubert’s piano duets: ‘for professional concert performance’ (or intention of performance beyond the salon); ‘for social gatherings’; ‘for instructional purposes’ (i.e. pedagogical); and ‘for profit by sale’.⁵⁷ Two points of interest arise from Weekley’s classifications: firstly, he refers to the multiple functions relating to the duets, yet these frequently overlapped; secondly, the intention of some works for professional performance, instantly creates a hierarchy within these duet works (even if unintentional by the scholar). In contrast, the ‘apparent’ absence of an identifiable function in works of the ‘absolute’ category creates an ideological dichotomy between such works and the duets: this has positioned the duets on the periphery of musicological investigation or merely categorized these works as

⁵⁶ ‘Salon Music’, *The Oxford Dictionary of Music*, *Oxford Music Online*, <www.oxfordmusiconline.com>, [accessed 14 May 2009].

⁵⁷ Dallas A. Weekley, ‘The one-piano, four-hand compositions of Franz Schubert: an historical and interpretive analysis’ (unpublished Doctoral Dissertation, Indiana University, 1969). Hereafter referred to as Weekley, ‘The one-piano, four-hand compositions of Franz Schubert’.

popular music and all that implies. Embedded in these prejudices are the value judgements that have long accompanied salon music.⁵⁸

Value is established via the continual fortification of certain ideologies and judgments, which can result in both positive and negative repercussions. Long-standing conditions as to how value has functioned within the duets' reception help to illuminate their position in Schubert scholarship and reception today. As one seeks to discover the reasons why Schubert's duets have been placed on the margins of his own success in comparison to his solo piano works and lieder which have been more positively engaged with, for example, the question of value and how it functions within canonical discourses proves insightful. In opposition to the salon milieu in which the duets were premiered, performed and made known to the public, Jim Samson informs us that the canon established itself in the mid-nineteenth century via public concerts.⁵⁹ The formation of the canon and notions of greatness however were occurring during Schubert's time; if we consider Beethoven as part of the historical trinity alongside Haydn and Mozart and the *Gesellschaft* that mostly promoted earlier works of compositional excellence. Indeed, Schubert's piano duets were not performed in the public concerts referred to by Samson; the discovery of Schubert's larger instrumental genres after his death, overshadowed the many contributions Schubert had made to four-hand music. Indeed, William Weber highlights the need to examine the 'musical, social, ideological, and semiological' elements when considering works

⁵⁸ Margaret Notley discusses other examples of sidelined 'domestic' genres within Schubert's oeuvre: dances for piano solo (pp. 139-44) and part songs (pp. 148-54): Notley, 'Schubert's Social Music'.

⁵⁹ Samson, 'Canon', p. 7.

as part of a ‘canonic tradition’.⁶⁰ Surely then, we can use these concepts to identify why a work or genre lay *outside* the canonic tradition also. In addition, the functions of the piano duet prior to Schubert have also had an impact on the reception of the composer’s four-hand repertoire. A reflection on the history of the duet as a domestic activity preceding Schubert reveals how many of his four-hand works challenged the domestic salon aesthetic both prior to and during his time.

1.6 A Cultural Phenomenon?: Functions Associated with Four-Hand Music

The philosophical pursuits of ‘pure’ music, addressed earlier, create a useful framework in which to contemplate the musical and social dimensions (as suggested by Weber) of Schubert’s piano duets. It should be highlighted that ‘pure’ music was a durable phenomenon that extended to the second half of the twentieth century. Firstly, several aspects of Schubert’s society require consideration. Such cultural theorists as David Gramit and Otto Biba have identified severe value judgements within Schubert’s reception in some instances, which have negatively impacted the piano duets.⁶¹ Biba, for example, argues that it is futile if we ‘evaluate historical testimony using our own experiences as a reference point’, because we should never judge Schubert’s musical culture by

⁶⁰ William Weber, ‘The History of the Musical Canon’, in *Rethinking Music*, ed. by Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), pp. 336-55, (p. 338). Hereafter referred to as Weber, ‘History of the Musical Canon’.

⁶¹ David Gramit, ‘Constructing a Victorian Schubert: Music, Biography and Cultural Values’, *19th-Century Music*, 17/1 Schubert: Music, Sexuality, Culture (1993), 65-78. Hereafter referred to as Gramit, ‘Constructing a Victorian Schubert’. Otto Biba, ‘Schubert’s Position in Viennese Musical Life’, *19th-Century Music*, 3/2 (1979), 106-13. Hereafter referred to as Biba, ‘Schubert’s Position in Viennese Musical Life’. Richard Leppert, *Music and Image: Domesticity, Ideology and Socio-cultural Formation in Eighteenth-Century England* (Cambridge; New York: Cambridge University Press, 1993).

comparing it to our own.⁶² This, I believe, is where a large part of the negative reception of the duets lies. In a related area of scholarship, ‘Music as a gendered discourse’, Marcia Citron argues that a familiarity with the ‘aesthetic and social context’ of a work’s era should be reconciled with the current cultural activities.⁶³ Musical achievement and musical status were measured quite differently during Schubert’s time than any other and this cannot be stressed enough when it comes to evaluating his reception history. The blurring of amateur and professional and public and private, as expressed by Alice Hanson,⁶⁴ is an entity, which really needs to be understood and acknowledged in this context. Hanson’s nuanced view of the salon culture does however contradict her claims that the Schubertiade belonged in the middle-class salon category who ‘met primarily for entertainment’.⁶⁵ (See earlier section 1.2.) In addition to the widespread amateur salon activities, the salon culture in Vienna was simultaneously the primary venue for a composer’s works to be disseminated. Indeed, the salon as a forum for serious musical activity was widespread across Vienna and further afield. Biba clarifies this when he asserts that a musical success in the salon or public concert earned a composer equal merit during the beginning of the nineteenth century.⁶⁶ This is further supported by Notley’s discussion of Schubert’s four-hand music, arguing that during this historical period in Vienna:

Distinctions between private and public, amateur and professional, social event and concert did not always hold. Because no concert hall yet existed, there were few fully public performances; the city’s musical life revolved instead around private and semi-public events.⁶⁷

⁶² Biba, ‘Schubert’s Position in Viennese Musical Life’, p. 106.

⁶³ Citron, *Gender*, p. 121.

⁶⁴ Hanson, *Musical Life*, p. 86, cited in Notley, ‘Schubert’s Social Music’, p. 138.

⁶⁵ Hanson, *Musical Life*, p. 117.

⁶⁶ Biba, ‘Schubert’s Position in Viennese Musical Life’, p. 107.

⁶⁷ Notley, ‘Schubert’s Social Music’, pp. 138-39.

Schubert was not the only composer who was branded a mere salon composer; Chopin has also suffered a similar reception. The Chopin scholar Andreas Ballstaedt argues:

... the term salon ... is an extraordinarily imprecise and permeable concept, employed in most cases not merely to describe but to impose a value judgement.⁶⁸

How ‘precise’ can we be when assessing the Schubert salon experience? The obscuring of the Schubertiade experience in relation to the quality of the works performed in that context is a key issue here. As articulated earlier, Schubert’s duet output was, at the very least, varied. If we endeavour to evaluate his output, he appeared to subscribe to all of these notions of *absolute*, *popular* and *serious* in his four-hand music and this variability is important when appraising his contribution to this medium (my emphasis). Einstein proposed a categorical partition between the “sociable” Schubert and ‘the “deeply serious Schubert,” the “real and great Schubert” of the later string quartets and piano sonatas’.⁶⁹ Such an opinion latches itself securely onto ideologies of ‘greatness’ and ‘seriousness’ as distinguished from ‘sociable’ and ‘popular’, the latter being commonly associated with four-hand piano works. Indeed, in relation to Schubert’s four-hand music, Notley argues that this composer could be concurrently serious and sociable.

The multifarious salon culture that existed during early nineteenth-century Vienna has been acknowledged by one scholar, Alice Hanson, who discusses the many types of salon during that era. Recalling Hanson’s identification of specific salon types – the aristocratic salon, salons of the Jewish bankers, and the middle-

⁶⁸ Andreas Ballstaedt, ‘Chopin as ‘salon composer’ in nineteenth-century German criticism’, in *Chopin Studies 2*, ed. by John Rink and Jim Samson (Cambridge; New York: Cambridge University Press, 1994), pp. 18-34, (p. 19). Hereafter referred to as Ballstaedt, ‘Chopin’.

⁶⁹ Alfred Einstein, *Schubert: A Musical Portrait* (New York: Oxford University Press, 1951), pp. 254 and 246, cited in Notley, ‘Schubert’s social music’, p. 138.

class salon – the latter salon group is where she places the Schubertiades.⁷⁰ In one sense, Hanson’s cultural analysis of the Viennese salon acknowledges the complex aesthetic of the musical activity in these venues:

The music performed in Viennese salons was varied both in genre and level of difficulty.⁷¹

Hanson’s lengthy and detailed recount of a typical Schubertiade evening is, however, perforated with contradiction where an ambiguous estimation of the music performed there becomes apparent:

Schubertiades tended to follow a similar pattern. For instance, on the evening of 15 December 1826, Michael Vogel, a retired opera singer and close friend of Schubert, sang almost thirty of Schubert’s songs. Then Josef Gahy and Schubert played a number of piano duets. A ‘grand feast’ and dancing followed (Deutsch, *Biography*, 271-2). At two subsequent parties, Schubert’s songs and piano music again were performed, followed by big meals and games, which included gymnastic stunts at one meeting and a drinking bout at another – another testimony to the mostly male participation in the salon (Deutsch, *Biography*, 729). While music historians have tended to concentrate only on the musical aspects of these gatherings, the eyewitnesses report that the eating, dancing and games were equally important to them. In this respect, the *Schubertiades are examples of typical middle-class socializing, for, apart from their attention to the music of Schubert, Schubertiades were neither formal concerts nor serious salon groups. In fact there is little evidence that Schubert performed his more serious chamber or symphonic works there or that Vienna’s wealthy and influential music patrons ever attended them.*⁷²

Accordingly, *the music Schubert wrote and performed for these circles was, however fine, still generally bourgeois in character. Lieder with sentimental texts, jocular men’s vocal quartets, piano duets, dances, and variations based on his songs perfectly suited the setting and demands of his amateur, yet discerning audiences. His concert arias, string quartets, piano trios, overtures, and symphonies, written in a more serious and pretentious style, were intended for his father’s quartet, certain aristocratic or professional patrons, theatres or music societies. In contrast, Beethoven’s nominal interest in this genre is understandable, since he rarely participated in such activities in middle-class homes.*⁷³

⁷⁰ Hosts of salon evenings included Hofrat Josef Witticzek (1781-1859), Karl Ritter von Enderes (1787-1861), and Josef Freiherr von Spaun (1788-1865): Hanson, *Musical Life*, p. 119.

⁷¹ Hanson, *Musical Life*, p. 119.

⁷² *Ibid.*, pp. 120-21.

⁷³ Hanson, *Musical Life*, p. 121.

A few middle-class salons seriously pursued the arts and had some impact on the city's dramatists, writers and composers. One of these was the literary salon of Caroline Pichler.⁷⁴

The absence of 'Vienna's wealthy and influential music patrons'⁷⁵ at such gatherings causes Hanson to dismiss the possibility of the works as having more than an entertaining function. Again, the problematic categories of serious versus sociable reappear where, within these frameworks, Schubert's transformation of four-hand music is overlooked. By association, the reference to the bigger genres as outright examples of Schubert's 'serious' music, allows the many important contributions in the four-hand medium to fade into an ambiguous 'bourgeois' category. What clearly emanates from Hanson's description of a typical Schubertiade is that the sociability of the event is emphasised, to the detriment of the quality of the music.

The meaning of amateur in the early Viennese salon differs considerably to our current understanding of this term and consequently relays a weakness in Hanson's argument. Indeed, three levels of listener/performer existed during Schubert's epoch: firstly, the 'Liebhaber', which defined the amateur performer who had a restricted knowledge of music; secondly the 'Kenner', a professional musician; and finally the 'Connoisseur', who had a concrete comprehension of music, although his/her full-time profession lay outside music.⁷⁶ Indeed, Josef Gahy who performed piano duets regularly with Schubert, including the first performance of the F minor fantasia in 1828, was not only a government official, (the secretary of Court Chamber), but also an established performer (connoisseur).

⁷⁴ *Ibid.*

⁷⁵ *Ibid.*

⁷⁶ I would like to gratefully acknowledge Dr Lorraine Byrne Bodley for her insight to this aspect of early nineteenth-century performance.

In the late eighteenth/early nineteenth centuries, the connoisseur was assumed to have real insight into music because he/she was not a professional musician and therefore could be more objective. It was the latter ‘category’ of musician that usually performed Schubert’s musical works. Considering these three levels of performer/listener as outlined, it reveals a very different understanding of amateur than the modern reader of today may interpret from Hanson’s description of the Schubertiade audience as ‘amateur’. The aesthetic of the drawing room is clearly not fully addressed by this author. Indeed, a consideration of the persons present at the Schubertiades accentuate the contradictions in Hanson’s proposed salon aesthetic of such events. The presence of professional musicians: Franz Lachner, conductor at Kärntnerthor Theatre; Benedict Randhartinger, Kapellmeister at Court Chapel; and singer, Michael Vogel as well as well as important artistic and cultural figures: Franz Schober, actor, poet and later secretary to Franz Liszt; Franz Grillparzer, director of Court Chamber archives and dramatist/poet; Josef Spaun, official in Lottery Administration; and Eduard Bauernfeld, official in the Lottery Administration and writer, signal the calibre of a typical Schubertiade audience (see Appendix 3). Furthermore, the renowned Viennese piano virtuoso, Karl Maria von Bocklet, was also an important figure in Schubert’s circle; he performed the ‘Wandererfantasie’, 1822, D.760 and the Violin and Piano fantasia, 1827, D.934.

Another scholar, Christina Bashford, again emphasizes the ambiguity surrounding what salon music actually entailed. In her discussion of ‘Domestic music-making’, Bashford describes the typically trivial works for the salon and includes ‘easy solo piano pieces, piano duets (for example, waltzes, quadrilles and

marches) and piano-accompanied songs'.⁷⁷ Immediately though, Bashford identifies exceptional composers including Schubert, Schumann, Mendelssohn and Brahms.⁷⁸ Bashford's specific mention of marches as a typically 'trivial' salon genre, reminds us how Schubert took this much-practiced genre, and explored it in various styles. The trio of the fifth march in E flat minor, from Schubert's popular *Six Grand Marches*, D.819 (1824), has evoked very melancholy responses. Franz von Hartmann remarked how he was 'moved almost to tears', resulting in the march to be described as the 'Trauermarsch'.⁷⁹ It is under this title that Liszt arranged and published this work as an orchestral piece, composed in 1859-60, revised in 1870, and published in 1870-71.⁸⁰ A processional quality is immediately audible at the opening of this work, with the steady crotchets played by the *secondo*, coinciding with Liszt's arrangement being described as a funeral march.⁸¹

In addition to producing dance music for piano duet, Schubert's four-hand sonatas, fantasias, theme and variations, and divertissements were important contributions to this medium. Although Schubert only composed two complete duo sonatas, the C major sonata, D.812, (1824), embodies a four-movement structure (the earlier B flat sonata, D.617, (1818), is a three-movement piece), where the use of a semitone shift proves to be a vital structural technique. The utilisation of this hallmark Schubertian compositional device in D.812 designates

⁷⁷ Christina Bashford, 'Chamber Music', in *The New Grove Dictionary of Music and Musicians*, ed. by Stanley Sadie and John Tyrrell (London: Macmillan, 2001), v, pp. 434-48, (p. 442). Hereafter referred to as Bashford, 'Chamber Music'.

⁷⁸ Bashford, 'Chamber Music'.

⁷⁹ Deutsch, *The Schubert Reader*, p. 571, cited in Weekley, 'The one-piano, four-hand compositions of Franz Schubert', p. 65.

⁸⁰ Eckhardt/Mueller, 'Liszt'.

⁸¹ Newbould, *Schubert*, p. 237.

this as an important work in the composer's oeuvre.⁸² Schubert's utilisation of this technique continued to reappear in later four-hand works with the F minor fantasia, D.940, being a prime example. Otto Biba also warns that music from the Viennese salon should not be compared to our, 'present day notions of Hausmusik'.⁸³ Indeed the negative associations of the term *domesticity* and the way in which this label has been misconstrued is evident in four-hand works by other established composers: among Mozart's contributions, for example, he produced four sonatas for piano four-hands. His most mature work in this medium, the F major sonata K.497 (1786) has been described as an 'almost uncomfortably great piece of domestic music'.⁸⁴ This work certainly blurred the edges of what was deemed serious and sociable, which is evident in the author's struggle to classify the work.⁸⁵ The same struggle endured for a long time in the reception of Schubert's duets as sociable and what that actually meant. The idea that the central function of the duets was to provide entertainment, merely because of the salon environment is beginning to be addressed in scholarship. Again, the work of Margaret Notley has been valuable in this regard by arguing that the serious and sociable can co-exist and criticizes Alfred Einstein who also drew a distinct divide between the sociable Schubert of the duets and the serious Schubert of his late chamber and solo piano works.⁸⁶ What becomes most apparent,

⁸² For further insight to Schubert's incorporation of the semitone shift in the 'Grand Duo' Sonata, D.812, please consult, Rosen, 'Schubert's inflections of Classical form', p. 80ff.

⁸³ Biba, 'Schubert's Position in Viennese Musical Life', p. 109.

⁸⁴ Eric Blom, *Mozart* (London: J. M. Dent & Sons Ltd; New York: Farrar, Strauss & Cudahy, 1962), p. 273. Hereafter referred to as Blom, *Mozart*.

⁸⁵ Donald Tovey even admitted he was 'tempted to arrange [the sonata] as a string-quintet in G with two violoncellos': Donald Tovey, *Essays in Musical Analysis Vol.1 Symphonies* (London: Oxford University Press, 1972), p. 199. Hereafter referred to as Tovey, *Essays, Vol. 1*.

⁸⁶ Notley, 'Schubert's Social Music', p. 138. Margaret Notley's omission of Schubert's two duo sonatas; in B flat, D.617 and in C, D.812 and the Fugue in E minor, D.952 as not exemplifying the

however, is how integrated the performance venue – the salon or drawing room – was in the identity of four-hand works in general: this partly caused the ‘struggle’ referred to above regarding how to classify Mozart’s four-hand piano sonata.

Approximately half of Schubert’s thirty-five piano duet output were published during his lifetime and although this quantity may initially create a favourable story, the commerciality associated with this is an aspect of their misconstrued reception and also rather complex aesthetic. (See Appendix 2: Schubert’s Complete Piano Duet Repertoire.) The commercial aspect of the German Lied, (which developed in the same environment as the piano duets) has been acknowledged by Lorraine Byrne Bodley.⁸⁷ Here, the somewhat limited musical aspirations of the Austrian bourgeoisie consumers demanded accessible music and composers often gave in to that demand.⁸⁸ In line with this, many duet works certainly respond to the requests of the publishers for popular and not too technically difficult pieces.⁸⁹ Schubert’s variations on a theme from Herold’s opera ‘Marie’, D.908 (composed and published 1827) – this theme was very popular at that time – could be placed in this commercial category. This form proved to be a suitable choice for the four-hand medium given the stylistic and textural modifications required between each variation. The public appeal of D.908 with variations such as number VI, indicated *Con forza*, is clear: this variation fully utilizes the range available to four-hands and the extended chromatic passages indicate the intention of this work as a bravura concert piece.

genre (and here she omits them from her discussion because of this) will be addressed in Chapter 3.

⁸⁷ Lorraine Byrne, ‘Schubert’s Literary Genius and Eclectic Imagination: Questions of Musical Inheritance’ (Public Lecture, Music Department, University College Dublin, 1 November, 2001), p. 5.

⁸⁸ *Ibid.*

⁸⁹ Schubert: 8 variations on a theme from Hérolde’s opera ‘Marie’, C, D.908, composed in Feb 1827 and published that year.

This piece does challenge the distinct divide of sociable and serious, as argued by Einstein.

William Weber has emphasized the ‘moral dimension’ in the history of the canon, which opposed the commercial associations of certain musical works.⁹⁰ In Weber’s discussion he refers to Arthur Bedford’s *The Great Abuse of Musick* (1711), which was re-circulated in many modes throughout the nineteenth century. One of the central arguments of Bedford’s work is the belief:

Because the great master-works were thought to stand above the money-making side of musical life, they could help society transcend the commercial culture and thereby regenerate musical life.⁹¹

If the duets have been demonstrated as providing a commercial function – which in many instances they have and this has been emphasized – more so than a musical function, then this strongly acts as an aetiological factor in their misrepresentation in Schubert scholarship. Schubert’s music was very much a part of this publishing culture and his letters to the publishers in the last few years of his life reveal a strong urgency for his work to be published and to be known as a composer of serious repute beyond Vienna. The following example is an excerpt from a letter to Breitkopf and Härtel in Leipzig dated 12 August 1826:

[...] I am venturing to ask whether you would be disposed to take over at a moderate price some of my compositions, for I very much want to become as well known as possible in Germany. Your selection could be made from the following: - songs with pianoforte accompaniment, string quartets, pianoforte sonatas, pieces for four hands etc., etc., and I have also written an octet.⁹²

A very similar letter to the publishers, H. A. Probst in Leipzig, was also sent the same day in 1826 where Schubert once again states his anxiousness to be known

⁹⁰ Weber, ‘History of the Musical Canon’, p. 352.

⁹¹ *Ibid.*

⁹² Letter to the publishers Breitkopf and Härtel in Leipzig, 12 August 1826, in Deutsch, *Schubert’s Letters*, pp. 122-23.

in Germany, offering the same group of genres to be published.⁹³ The proclivity of piano duet performances in the middle-class salon is mentioned in abundance in literature concerning the period: Cameron McGraw is one example, where he states: ‘piano duet playing came to be the favourite social and musical pastime in every affluent parlor’.⁹⁴ The publishers’ response to the needs of the bourgeois musical demands, which is the context in which duet music of this era is frequently discussed, has shaped opinions that the duets were produced more for cultural commercialism rather than purely for the sake of music itself. What needs further illumination, within these contexts, is an acknowledgment of how Schubert transformed these piano duet genres: the march provides a fitting example.

Table 1.2 Schubert’s Four-Hand Marches

Title of Work	Year composed	Year Published
3 Marches Héroïques b, C, D (D.602)	1818 or 1824	1824, op.27
Marches Militaires, D, G, E flat (D.733)	1818	1826, op.51
6 Grandes Marches, E flat, g, b, D, e flat, E (D.819)	1824 ?	1825, op.40
Grande march funèbre, c (D.859)	1825 (Dec)	1826, op.55
Grande marche héroïque, a (D.885)	1826 (Sept)	1826, op.66
2 Marches Caractéristiques, C (D.968b, formerly D.886)	1826 ?	1830, op.121

Transcriptions of orchestral works – a further aspect of musical culture in nineteenth-century Vienna – have obfuscated opinions of Schubert’s duets amidst salon music. Dahlhaus observed that piano transcriptions of chamber and

⁹³ Letter to the publishers H. A. Probst in Leipzig, 12 August, 1826, in Deutsch, *Schubert’s Letters*, pp. 123-24.

⁹⁴ Cameron McGraw, *Piano Duet Repertoire Music Originally Written for One Piano, Four Hands* (Bloomington: Indiana University Press, 1981), Preface, xii. Hereafter referred to as McGraw, *Piano Duet Repertoire*.

symphonic music were a ‘cornerstone of bourgeois music culture’,⁹⁵ and it is imperative that original contributions to four-hand music are not also placed in the same corner, so to speak. Transcriptions were produced from early in the nineteenth century where this medium provided the primary method for the bourgeoisie to gain familiarity with larger instrumental genres.⁹⁶ Thomas Christensen addresses this commercial aspect of duet music and asserts that the piano was the most ‘commercially viable’ instrument, as opposed to solo arrangements or string or woodwind groups.⁹⁷ The close connection transcriptions had with domestic musical activity has significantly influenced perceptions that four hands at one piano merely provided a utilitarian function. Brian Newbould, however, differentiates between the utilitarian character of so much duet music in the nineteenth century and Schubert’s realisation of the ‘intrinsic virtues of the four-hand ensemble’.⁹⁸

Therefore, alongside Schubert’s duet compositions being produced in Vienna were copious amounts of arrangements of instrumental works in the medium of piano duets: this created a vague perception of the music’s function. In support of this, Laurence Petran has underlined how perceptions of the medium have suffered from the abundant use of arrangements of instrumental works.⁹⁹ Even within Schubert’s own output in this medium, he produced a small number

⁹⁵ Carl Dahlhaus, *Nineteenth-Century Music* (Berkeley: University of California Press, 1989), p. 42.

⁹⁶ Don Michael Randel, (ed.), ‘Piano Duet’, *The Harvard Dictionary of Music*, 4th edn (USA: Harvard College, 2003), p. 257.

⁹⁷ Thomas Christensen, ‘Four-Hand Piano Transcription and Geographies of Nineteenth-Century Musical Reception’, *Journal of the American Musicological Society*, 52/2 (1999), 255-98, (p. 260).

⁹⁸ Newbould, *Schubert*, p. 234.

⁹⁹ Laurence Petran, ‘Piano Duets’, *Bulletin of the American Musicological Society*, 8 (1945), 10, (p. 10).

of piano duet arrangements of his own overtures and operas.¹⁰⁰ (See Table 1.3 below.)

Table 1.3 Schubert’s Four-Hand Orchestral and Operatic Transcriptions

Original Work	Year Composed and Published	Four-Hand Arrangement	Year Composed and Published
Orchestral Overture D.590	Composed, Nov 1817 Published, 1886	Overture, D ‘im italienischen Stile’ D.592	Composed, Dec 1817 Published, 1872
Orchestral Overture D.591	Composed, Nov 1817 Published, 1865, op.170	Overture, C ‘im italienischen Stile’ D.597	Composed, Nov or Dec 1817 Published, 1872
Alfonso und Estrella, 3 act opera, D.732	Composed, 20 Sept 1821 – 27 Feb 1822 Published, 1892 First performed 1854	Overture to Alfonso und Estrella D.773	Composed, 1823 Published, 1826; 1830 as op.69
Fierrabras, 3 act opera, D.796	Composed, 25 May – 2 Oct 1823 Published, 1886, First performed 1897	Overture to Fierrabras D.798	Composed, late 1823 Published, 1897

What immediately becomes evident from the table above is the close proximity of the dates of the original works to the four-hand piano arrangements; Schubert’s intentions are clear: he was utilising the four-hand medium as a way of publicising his orchestral and operatic works. It was not unusual for Schubert to recycle his own material from one medium or genre to another; indeed, he frequently used song quotations in instrumental works, so this activity of reusing his own material is not unusual. However, in this instance, Schubert was clearly utilising the common cultural practice of disseminating larger works by way of piano transcriptions. These four transcriptions are a minority in Schubert’s overall four-hand repertoire, yet they remind us that the composer produced generically

¹⁰⁰ Overture, D ‘im italienischen Stile’, 1817 (Nov); Overture, C ‘im italienischen Stile’, 1818 (Dec) – These two overture arrangements were of his own Overture works; Overture to Alfonso und Estrella, 1823, Overture to Fierabras, late 1823.

diverse works; in fact, Christopher Gibbs acknowledges that it can be difficult to classify Schubert both musically and functionally even within a single genre.¹⁰¹ Furthermore, from 1824 onwards – a period in which half of his duet output was produced – the composer only produced original (that is, non-transcription duets) duet pieces. (See Appendix 2). The year 1824 revealed a turning point for Schubert as a composer, which is evident from a close knowledge of his four-hand output. The diversity of forms and styles of Schubert’s duets is alluded to by some critics. Frank Dawes, for example, describes how Schubert’s duet output ‘range from the tiniest of waltzes to the vast Grand Duo [...]’.¹⁰² The *New Grove Dictionary* catalogues the waltzes with the solo piano dances but Dawes perhaps referred to the unscored waltzes which would have been performed in the salon. However, Schubert’s piano duets certainly encompass a wide range of forms and genres including marches, polonaises, rondos, sonatas, divertissements and fantasias.¹⁰³

The utilitarian and domestic functions outlined, which are embedded in the history of the duets, have been reassessed in recent scholarship. Although it cannot be contested that this music was indeed salon music – our understanding of what this means in relation to Schubert’s works and Viennese society requires a broader definition. David Gramit recognizes that, during a Schubertiade both Schubert’s close friends and society at large ‘shared culture through conversation

¹⁰¹ Christopher H. Gibbs, ‘Introduction: the elusive Schubert’, in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 1–11, (p. 4).

¹⁰² Frank Dawes, ‘Piano Duet’, in *The New Grove Dictionary of Music and Musicians*, 2nd edn, ed. by Stanley Sadie and John Tyrrell (London: Macmillan Publishers, 2001), xix, pp. 653–55, (p. 654). Hereafter referred to as Dawes, ‘Piano Duet’.

¹⁰³ Maurice J. E. Brown; Eric Sams, ‘Schubert, Franz, Works’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 3 September 2011].

and dancing, as well as through a serious interest in music'.¹⁰⁴ Recalling Hanson's sidelining of Schubert's achievements in the smaller genres, this thesis aims to develop and expand Gramit's referral to the 'serious interest in music' of the Schubertiades in relation to Schubert's four-hand repertoire. Gramit's mention of Schubert's close friends and society at large reveals a communicative element which is the focus of Leon Botstein's article: 'Realism transformed: Franz Schubert and Vienna'.¹⁰⁵ In his discussion Botstein identifies three functions of music in Vienna during Schubert's time: that music acted as a private communication for individuals; that musical gatherings, such as the Schubertiades, provided a safe means of communication in a supposedly politically neutral event; and finally, that these events were an aspect of domestic living between family and close friends.¹⁰⁶

Botstein's propositions pay reverence to the multi-faceted salon environments of Schubert's Vienna. The communicative strand of Botstein's theory relates to a further facet of Schubert's reception: Schubert's homosexuality in relation to his music, which has resulted in a debate between scholars such as Maynard Solomon, Philip Brett, Rita Steblin and Jeffrey Kallberg.¹⁰⁷ There are several facets to this argument: firstly, the acknowledgment or rejection of

¹⁰⁴ David Gramit, "'The passion for friendship': music, cultivation, and identity in Schubert's circle", in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 56-71, (p. 65).

¹⁰⁵ Botstein, 'Realism Transformed'.

¹⁰⁶ *Ibid.*, pp. 31-2.

¹⁰⁷ Maynard Solomon, 'Franz Schubert and the Peacocks of Benvenuto Cellini', *19th-Century Music*, 12 (1989), 193-206. Philip Brett, 'Piano Four-Hands: Schubert and the Performance of Gay Male Desire', *19th-Century Music*, 21, Franz Schubert: Bicentenary Essays (1997), 149-76. Hereafter referred to as Brett, 'Piano Four-Hands'. Rita Steblin, 'The Peacock's Tale: Schubert's Sexuality Reconsidered', *19th-Century Music*, 17/1, Schubert: Music, Sexuality, Culture (1993), 5-33. Jeffrey Kallberg, 'Sex, Sexuality, and Schubert's Piano Music', in *Historical Musicology: Sources, Methods, Interpretations*, ed. by Stephen A. Crist and Roberta Montemorra Marvin (New York: University of Rochester Press; United Kingdom: Boydell and Brewer Ltd., 2004), pp. 219-33. Hereafter referred to as Kallberg, 'Sex, Sexuality, and Schubert's Piano Music'.

Schubert's sexual orientation and secondly, how (and if) this homosexuality is expressed in the music. In addition to inviting further assessments of Schubert the man, the proposal of homosexual activity as an aspect of Schubert's music, realises another potential aesthetic layer of the Viennese salon culture. Brett, for example, discusses the expression of gay male desire in Schubert's four-hand music. Brett argues that scholars such as Steblin who deny Schubert's homosexuality represent an anxious effort to afford Schubert 'full status within the German musical canon'.¹⁰⁸ The inherent complexity when deciphering the relationship between Schubert, his sexuality, and his audience – both then and now – is addressed by Kallberg. In this instance, Kallberg argues that there is a clear differentiation between sex and sexuality, stating that these two terms need to be considered within a 'general historical perspective'.¹⁰⁹ If we recall the earlier musings regarding the role of the listener in creating meaning, Kallberg's unravelling of the issue of homosexuality incorporates a similar approach where he acknowledges the partition between the sexuality of Schubert as being present in the music versus the interpretation of a sexuality as perceived by a listener:

... Schubert's own perception of his practices is only part of the issue – the lesser part for those interested in questions of historical meaning during Schubert's life. The more pressing concern is how, or whether, his audiences construed sexual meanings in his music.¹¹⁰

If we recall the role and responses of the listener in creating meaning, Kallberg contributes a further dimension to this debate; he concludes his argument by

¹⁰⁸ Brett, 'Piano Four-Hands', p. 150.

¹⁰⁹ Kallberg, 'Sex, Sexuality, and Schubert's Piano Music', p. 219. Here Kallberg differentiates between the act of sex and sexual behaviours to our modern notion of sexuality which is 'a cultural production that configures the relationship between sexual practice and identity and that thus to some degree contributes to our personal, interior sense of self', p. 219.

¹¹⁰ Kallberg, 'Sex, Sexuality and Schubert's Piano Music', p. 222.

reminding us that the listening experience of Schubert's contemporaries versus today's, radically differ.¹¹¹

1.7 Feminine Display?: Further Presentations of Schubert in Reception History

1.7.1 Schubert and the Salon

The history of the salon as a woman's performance environment and therefore a strong association with the feminine has resulted in further value judgements for the duets. Indeed, Citron has emphasized the association of groups of women with the domestic musical experience during the nineteenth century and how this has negatively portrayed the quality of the music produced there. Similar to the treatment of female composers of this epoch, the reception of Schubert is tied up with these feminine ideologies of what domestic music represented. The insightful scholarship of David Gramit, for example, examines the English Victorian reception of Schubert.¹¹² In 'Constructing a Victorian Schubert', he unveils some of the attitudes exemplified by nineteenth-century critics and uncovers sources which reveal how the association of the drawing room with feminine music still endured throughout the nineteenth century to some degree:

... a lady's voice and touch on the piano are inevitably more suited to a drawing room than a man's and advises utmost caution to male musicians entering what is clearly still feminine territory.¹¹³

Such 'associations' prevailed well into the nineteenth century, as the salon culture existed alongside the public concert culture in Austria and beyond in Europe. Christina Bashford argues that well into the nineteenth century the piano itself

¹¹¹ Kallberg, 'Sex, Sexuality and Schubert's Piano Music', p. 228.

¹¹² Gramit, 'Constructing a Victorian Schubert', p. 68.

¹¹³ *The Habits of Good Society: A Handbook for Ladies and Gentlemen ... from the Last London Edition* (New York, 1867), pp. 240-41, cited in Gramit, 'Constructing a Victorian Schubert', p. 68.

‘became the pre-eminent domestic instrument, [and an] emblem of female gentility [...]’.¹¹⁴ The label of ‘femininity’ though is damaging because at that time it represented the lesser, the weaker, and the creatively and intellectually inferior. We should be reminded of the popularity of four-hand works *during* Schubert’s time as remarked by Gibbs (see section 1.4). A crucial aspect pertinent to Schubert’s reception is the development of the solo virtuoso, which was developing during Schubert’s time, but flourished later in the nineteenth century alongside the public concert; this created a distinct divide in the nineteenth century between private domestic music-making and the much revered public concert. It was within such ideologies of femininity and within this divide between private music making and public concerts that Schubert’s reputation as a salon composer was immediately perceived negatively. Other salon composers have suffered a similar reception to Schubert. The presence of a supposed, ‘absent masculinity and a fundamental immaturity’, in Chopin’s character has also been expressed in scholarship, revealing an interesting parallel between these two composers.¹¹⁵ Such parallels provide evidence that what have been deemed as established ‘givens’ or ‘truths’ in the history of music and music scholarship have been formulated and are part of a complex web of cultural beliefs of what constituted manliness.

¹¹⁴ Bashford, ‘Chamber Music’, p. 442.

¹¹⁵ Scharlitt, *Chopin*, cited in Ballstaedt, ‘Chopin’, p. 26.

1.7.2 Comparative Scholarship of Schubert and Beethoven

Schumann, an influential figure in the early reception of Schubert's works, discussed Schubert as a feminine character – compared to Beethoven – when reviewing the 'Grand Duo' Sonata D.812. In this 1838 review in the *Neue Zeitschrift für Musik* he declared:

To one who has some degree of education and feeling Beethoven and Schubert may be recognized and distinguished, from the very first. Schubert is a more feminine character compared to the other; far more loquacious, softer, broader; compared to Beethoven he is a child, sporting happily among the giants.¹¹⁶

As a renowned and respected advocator of Schubert's music, Schumann's perception was particularly influential within the reception history of Schubert the man and his music. Schumann's portrayal of a delicate Schubert – which is specifically in relation to Beethoven – has endured in scholarship and much evidence of this image can be found in twentieth-century scholarship. Genres, such as the Lied, from Schubert's salon however have received a similar reception in musicological discourses. In his discussion on the reception of Schubert's Goethe settings, Tobias Lund raises a point similar to the one presented in this chapter – that certain twentieth-century scholars 'have the canon of instrumental music as their fundamental ideal [...] but that none of them show any interest in investigating the theoretical or historical basis for their own position'.¹¹⁷ Essentially, these mostly *unchallenged* opinions originally expressed by Schumann, which have endured and re-appeared in the writings of twentieth-century scholars, have been catalysts in guaranteeing that such images have

¹¹⁶ Robert Schumann, *On Music and Musicians*, ed. by Konrad Wolff, trans. by Paul Rosenfeld (London: Denis Dobson, 1947/reprinted 1956), pp. 116-17.

¹¹⁷ Tobias Lund, 'Winners Write the History: The Reception of Schubert's Goethe Lieder', in *Goethe and Schubert: Across the Divide*, ed. by Lorraine Byrne and Dan Farrelly (Proceedings of the Conference 'Goethe and Schubert in Perspective and Performance', Trinity College Dublin, 4 & 5 April, 2003, (Dublin: Carysfort Press, 2003) pp. 59-70, (p. 69).

survived. One example is Alfred Einstein (1947), who acknowledges that Schubert has always been considered effeminate, in contrast to Beethoven.¹¹⁸ Following this statement, he adds: ‘As a matter of fact, he was strongly susceptible to external influences’.¹¹⁹ Here Einstein makes a direct link between the composer’s character and the instrumental music he produced. What is immediately apparent is the unwillingness in ‘old’ musicology to challenge this image – in fact Einstein re-confirms its position in the reader’s mind of the type of person Schubert was, and connects this instantly to the music he produced.

The enduring comparison of Beethoven and Schubert has been investigated more profoundly by Scott Messing where he discusses Schumann’s invention of Schubert the feminine character or *Mädchencharakter*.¹²⁰ Messing’s argument is multifaceted and reveals a potentially more complex meaning of the term *Mädchencharakter* than is perhaps presumed. The basic premise of his argument is that an ‘aesthetic and creative plan’ lay behind Schumann’s use of the term *Mädchencharakter*, (this term appeared in his 1838 essay¹²¹ – quoted above) one that was perhaps misunderstood by the scholars that followed him.¹²² The presence of a ‘gendered language’, prior to the writing of the essay, in literature and philosophy resulted in many potential meanings for the term.¹²³ Messing traces the placing of Schubert as feminine against a masculine Beethoven as a development from ‘a formulation of feminine and masculine whose literary incarnations of Eusebius and Florestan were themselves traceable to Schumann’s

¹¹⁸ Alfred Einstein, *Music in the Romantic Era* (London: J. M. Dent & Sons Ltd, 1947), p. 89.

¹¹⁹ *Ibid.*

¹²⁰ Scott Messing, *Schubert in the European Imagination: The Romantic and Victorian Eras* (Rochester: University of Rochester Press, 2006), i. Hereafter referred to as Messing, *Schubert, i.*

¹²¹ This 1838 essay by Schumann included reviews of the ‘Grand Duo’ D.812 and three solo sonatas D.958-60. Messing, *Schubert, i.*, p. 8.

¹²² Messing, *Schubert, i.*, p. 55.

¹²³ *Ibid.*, pp. 15 and 19.

adolescent infatuation with the novels of Jean Paul Richter'.¹²⁴ Furthermore, fragments or musical ideas are found in works by Schubert which are quoted in Schumann's own works as a direct reference. Messing argues that, as Schumann discovered Schubert's music during his youth, he is recollecting his discovery of these works as well as embracing the memories of childhood.¹²⁵

Gibbs provides further insight as to why the notion of a feminine Schubert prevailed in scholarship. In Gibbs' discussion on images of the composer he refers to the perception of Schubert as 'natural' and Beethoven as 'mighty'.¹²⁶ Here Gibbs asserts that Beethoven's reputation of producing grandiose works in contrast to the smaller genres encouraged this image of a natural Schubert as he was associated with the salon and therefore women and the home. Further evidence of a feminised depiction of Schubert in scholarship is found in the writing of George Grove who, in his biography of the composer, repeatedly reinforces the dichotomy of the womanly Schubert versus a manly Beethoven.¹²⁷ One extreme incident, which reveals the prevalence of this belief that Schubert in fact lacked Beethoven's masculinity and that this related directly to his compositional genres, occurred in 1863 when Schubert and Beethoven's remains were exhumed from the Währing Cemetery in Vienna. One acquaintance of both composers – Gerhard von Breuning – commented:

[...] it was extremely interesting physiologically to compare the compact thickness of Beethoven's skull and the fine, almost feminine thinness of Schubert's, and to relate them, almost directly, to the character of their music.¹²⁸

¹²⁴ Messing, *Schubert, i*, p. 20.

¹²⁵ *Ibid.* p. 30.

¹²⁶ Christopher H. Gibbs, "Poor Schubert": images and legends of the composer', in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 36-55, (p. 48). Hereafter referred to as Gibbs, 'Poor Schubert'.

¹²⁷ David Gramit discusses this aspect of Schubert's perception in his article, 'Constructing a Victorian Schubert', p. 72.

¹²⁸ Gibbs, 'Poor Schubert', p. 51.

1.8 Early Ambitions

Recalling Gibbs' claim that Schubert aimed to raise the stature of minor genres,¹²⁹ a central goal of this thesis is to trace and expose this ambition in his piano duets. Although several environmental and cultural factors cultivated Schubert's interest in the four-hand medium – Schubert's time with the Esterhazy sisters in 1818 and 1824, as well as artistic and commercial aspects – a survey of his earliest duets also relay an unquestionable ambition. Schubert's aspirations were first realised with three early four-hand fantasias: Fantasia in G, D.1 (1810), Fantasia in G minor, D.9 (1811) and Fantasia in C minor, D.48 (1813). Overwhelmingly neglected in Schubert scholarship, these works are innovative by exploring the typically *solo* piano fantasia via the piano duet. Although these works were composed during Schubert's time at the Stadtkonvikt, their place of conception and that they are early works, has most likely resulted in them being dismissed as unimportant contributions. This dismissal refers to both Schubert's four-hand repertoire and within broader frameworks of early nineteenth-century fantasia literature.

The fabrication of certain identities, functions and categories, as argued in this chapter, are immediately challenged when Schubert's early innovation of conjoining the piano fantasia with the four-hand medium is contemplated. Schubert engaged with the fantasia throughout his lifetime in both solo and duet piano mediums: the F minor fantasia, D.940, from 1828 is commonly asserted as one of his seminal achievements in four-hand music, yet Schubert's engagement with the fantasia was a lifelong one. It is precisely such early generic innovations

¹²⁹ Gibbs, *The Life of Schubert*, p. 61.

which further propel the investigation into the work of seminal genre theory scholars such as Dahlhaus, Kallberg and Samson, where crucial questions begin to surface regarding the construction and interpretation of genre. Such queries underlie the theoretical probings of this thesis which shall ensue in the following chapters.

1.9 Conclusion

Robert Winter argues that Schubert's piano duets could be considered as exemplifying the composer's most unique works for keyboard,¹³⁰ yet a rather significant gap openly exists within current Schubert scholarship. The hierarchical nature of enduring ideologies such as greatness, absolute, serious and popular, frequently result in ascribing a value judgement according to each work's associated category. Indeed, in line with this, the performance venue has been central in establishing the identity of genres within the early nineteenth century. Within the current context, the association of the popular with the salon predominantly results in labelling piano duets as non-serious music. This is not an attempt to equate the four-hand sonata or march to that of the symphony but to acknowledge that one of Schubert's significant achievements was his transformation of four-hand music for the piano. The deciphering of the salon culture is paramount in realising that Schubert's contributions to the four-hand piano repertoire distinguished him from the common cultural practice of the middle-classes performing piano duets in the drawing room or salon. What perhaps has obfuscated opinions in this regard, is that in relation to the absolute's

¹³⁰ Robert Winter; Maurice Brown, J.E.; Eric Sams, 'Schubert, Franz (Peter)', in *The New Grove Dictionary of Music and Musicians*, 2nd edn, ed. by Stanley Sadie and John Tyrrell (London: Macmillan, 2001), xxii, pp. 655-729, (p. 684). Hereafter referred to as Winter, 'Schubert'.

frame of reference, the depictions of *non-musical* salon activities – food, merriment, dancing and games – signal lesser quality music performed in such environments. In the course of assessing the salon aesthetic, the importance of such theorists as Botstein – who emphasises the different strata of communication in the salon – becomes apparent.¹³¹ According to one’s own hermeneutical podium, several possible meanings may arise. Schubert certainly stands apart from the middle-class cultural practice of domestic-style compositions; his achievements are evident in the breadth of forms and genres explored via piano four hands, the precision of formal structures, and the expressive quality of these works, achieved by Schubert’s rich harmonic language. Schubert attempted to get many of his four-hand duets published both in and beyond Vienna alongside other piano solo and chamber works. One of the central aims of this chapter has been to expose the aesthetic in which the duets were produced, performed and disseminated. This aesthetic was multi-faceted – one which incorporated the sociable, the serious, the commercial and the expressive. Schubert was certainly a musician of his time, by all means, at the mercy of his publishers at times (both in terms of getting published and what they demanded of him), yet established in Vienna and well-known for his work of smaller instrumental genres, especially four-hand music and lieder.

The questioning by scholars such as Gramit and Gibbs have certainly begun to illuminate the historically misconstrued evidence regarding the operation of the salon culture and also in the myths which surround Schubert’s personality.

¹³¹ Botstein’s three functions: that music acted as a private communication for individuals; that musical evenings such as the Schubertiades provided a safe means of communication in a supposedly politically neutral event; and that these events were an aspect of domestic living with family and close friends. Botstein, ‘Realism Transformed’, pp. 31-2.

Indeed, as has been revealed, these two aspects of Schubert scholarship frequently converged, where Schubert's success in the smaller 'salon' genres were attributed to his mild character. Musical theory has begun to occupy a significant space in Schubert studies, yet the majority of Schubert's piano duets remain to be explored in the most recent advancements regarding revised analytical frameworks.¹³² A small number of scholars have referred specifically to the four-hand works; Brian Newbould and Charles Rosen's discussions¹³³ certainly inspire further analytical probing into Schubert's four-hand duets, something on which this thesis aims to build.

Samson has outlined one of the major problems facing reception studies: that reception studies themselves 'imply unstable, even receding, or 'vanishing' meanings for the artwork'.¹³⁴ In this regard, Samson informs us that a reception study raises 'the issue of identity of a musical work' and although the identity or meaning of a work may be unstable, exploring and understanding these meanings is essential in uncovering the status of musical genres in current musicological

¹³² Seminal works here include, David Beach, 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structures', *Music Theory Spectrum*, 15/1 (1993), 1-18. Hereafter referred to as Beach, 'Schubert's Experiments with Sonata Form'; Suzannah Clark, 'Schubert, Theory and Analysis, Review: The Cambridge Companion to Schubert, Christopher H. Gibbs; Franz Schubert: Sexuality, Subjectivity, Song by Lawrence Kramer; Schubert, *Durch die Brille 21*', *Music Analysis*, 21/2 (2002), 209-43. Hereafter referred to as Clark, 'Review: Schubert, Theory and Analysis'; Suzannah Clark, *Analyzing Schubert* (Cambridge; New York: Cambridge University Press, 2011). Hereafter referred to as Clark, *Analyzing Schubert*; Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th-Century Music*, 22 (1999), 213-22. Hereafter referred to as Cohn, 'As Wonderful as Star Clusters'; Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (Berkeley: University of California Press, 2001). Hereafter referred to as Fisk, *Returning Cycles*; David Damschroder, *Harmony in Schubert* (Cambridge: Cambridge University Press, 2010). Hereafter referred to as Damschroder, *Harmony in Schubert*.

¹³³ Newbould, *Schubert*. Rosen, 'Schubert's inflections of Classical form'. Rosen's discussion of Schubert's manipulation of sonata form in the 'Grand Duo' sonata, emphasizes the composer's originality in his modulations.

¹³⁴ Samson, 'Reception'.

debates – something central also to genre studies.¹³⁵ What this chapter has intended to reveal is that the piano duet has had multiple identities which transform as each new age and culture imposes their own ideologies on the works and the composer. In line with Samson's hypothesis regarding reception studies, two facets regarding the piano duet reception necessitate clarification: firstly, that critical engagement has been limited and, secondly, that the overall reception has predominantly been inclined towards negative value judgements. With this knowledge, it is necessary to evaluate, respond and create a new perspective for the works in question.

¹³⁵ *Ibid.*

CHAPTER 2

THE ROLE OF GENRE IN NINETEENTH-CENTURY MUSIC

2.1 Concepts of Genre: An Introduction to Theoretical Paradigms

Older music history differs from newer music history not only in its repertoire of genres but also in that the concept of genre itself is differently defined.¹³⁶

Any discussion regarding genre needs to consider the two main points referred to by Dahlhaus above: the repertoire of genres and how they are bound to the historical period from which they were conceived but also the more difficult problem of how one defines any given genre within that epoch. Both aspects of genre provide the central pathway for exploring Schubert's four-hand piano works, which were numerous in the nineteenth-century Viennese salon. Dahlhaus acknowledges the difficulty in ascertaining which exact features comprise genre and arriving at a clearly defined concept of genre proves to be, typically, challenging in the interpretation of Schubert's four-hand works. This theorist has written prolifically on assessing the constituent and defining elements of genre and despite developments and new approaches in genre studies, his work unquestionably influences how we classify music and genre within present-day discourses. Following the exploration of the piano duet within musical and reception aesthetics in the first chapter, with which concepts of genre are closely related, the examination of how genre is established and constructed, and if the piano duet 'fits' into these genre constructions, shall be comprehensively

¹³⁶ Carl Dahlhaus, 'New Music and the problem of musical genre', in *Schoenberg and the New Music – Essays by Carl Dahlhaus*, trans. by Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), pp. 32-44, (p. 33). Hereafter referred to as Dahlhaus 'New Music'.

interrogated. This interrogation shall be considered against the backdrop of Dahlhaus's genre model but also the more recent revisionist theories of genre.

Although Dahlhaus expressed a difficulty in conclusively elevating one feature over another in arriving at a concept of genre, he regarded the defining elements to be a combination of form and scoring. The proposition that these musical characteristics acted as chief genre determinants shall be critiqued, and also the possible limitations of this approach. Indeed, the combination of these two items as defining elements raise interesting questions in relation to Schubert's piano duets: how do Dahlhaus's criteria for establishing genre 'work' for the piano duet? Dahlhaus also claimed that the absence of function in nineteenth-century music, which was replaced by aesthetic autonomy, led to genre having a subordinate role in music of this period: this claim that function ceased to be important has been rigorously challenged by Jeffrey Kallberg and Marcia Citron. Alongside this, the various functions attributed to the nineteenth-century piano duet, as outlined in the previous chapter, need to be considered. Indeed, this exploration of the relationship between function and identity of Schubert's four-hand works and how this has been enforced within recurring narratives within reception history contributes to how we interpret and label musical genres.

The second part of this chapter shall present revised models of genre which shall focus on the seminal work of Marcia Citron, Jeffrey Kallberg and Jim Samson. Jeffrey Kallberg's contribution to genre studies has chiefly focused on Chopin and the nocturne genre for solo piano; Schubert studies and the piano duet 'category' have yet to be investigated within the theoretical developments regarding genre, and the absence of this in Schubert scholarship induced the

methodological approach of this dissertation. Jim Samson also considers solo piano genres by Chopin in his study of genre: the impromptus and the introduction of the F minor fantasia, op. 49 are the examples he explores within aspects of genre theory.¹³⁷ Indeed, Wolfgang Marx has emphasized the active avoidance in historical musicology of issues of genre due to its rather complex nature.¹³⁸ Marx argues how there has been ‘little thought on the definition of genres, their categorization and the interplay of structural and social aspects’.¹³⁹ This chapter will focus on the nature of classification with genre theory where an assessment will be made as to how categories are formed but additionally, the effects of such classification will be identified. Revisionist scholarship challenges the over-emphasis on cataloguing characteristics where the *effects* of such classification are now highlighted. Kallberg indeed criticizes Dahlhaus, as he doesn’t acknowledge the ‘communicative and persuasive properties of genre [but accentuated the] constituent elements of genre’.¹⁴⁰ Samson also explores the codes inherent in the compositional choices of Chopin’s piano genres.

2.2 Carl Dahlhaus and his ‘Theory of Musical Genres’

2.2.1 Musical Form and Scoring

Central to Dahlhaus’s discussions on genre is his preoccupation with ascertaining its ‘decisive feature’.¹⁴¹ The main areas of interest he highlights are: ‘function,

¹³⁷ Samson, ‘Chopin and Genre’.

¹³⁸ Wolfgang Marx, Review: Fabian Holt, *Genre in Popular Music* (Chicago and London: University of Chicago Press, 2007), *Journal of the Society of Musicology in Ireland*, 4 (2008-09), 27-34. Hereafter referred to as Marx, ‘Review: Genre’.

¹³⁹ *Ibid.*, p. 27.

¹⁴⁰ Jeffrey Kallberg, ‘The Rhetoric of Genre: Chopin’s Nocturne in G Minor’, *19th-Century Music*, 11/3 (1988), 238-61, (p. 242). Hereafter referred to as Kallberg, ‘The Rhetoric of Genre’.

¹⁴¹ Dahlhaus, ‘New Music’, p. 33.

scoring, form, texture or text'.¹⁴² Although Dahlhaus rightly identifies that the definition of genre differs from one historical era to another,¹⁴³ the differentiation – according to Dahlhaus – lies in a variety or combination of some or all of the musical elements outlined above. This approach to genre can be traced back to Guido Adler's *Musikwissenschaft*, which focussed on the defining *musical* elements. Such an approach neglected 'the conditions of their production and reception'.¹⁴⁴ Dahlhaus emphasises the importance of form when defining genre after the seventeenth century:

[...] in the eighteenth- and nineteenth-century symphony, string quartet and sonata, the formal type which they constitute determines the genre.¹⁴⁵

If one observes the three genre examples provided by Dahlhaus, it becomes evident that the first two, the symphony and string quartet, are characterized by their performance groupings as well as their form, whereas the sonata is a genre which can be composed for a variety of instrumental groupings. Dahlhaus himself acknowledges that it was the scoring combined with the form which comprised a genre group during this musical period stating that 'a symphony is nothing but an orchestral sonata'.¹⁴⁶

The placement of the piano duet within such theories requires some probing. When Dahlhaus refers to the sonata as a genre by itself, is there an assumption that the solo piano is the associated instrumentation? The sonata genre is defined by the *Grove online* in the following way:

¹⁴² Dahlhaus, 'New Music', p. 33.

¹⁴³ *Ibid.*

¹⁴⁴ Samson, 'Genre', *New Grove*, p. 657.

¹⁴⁵ Dahlhaus, 'New Music', p. 34.

¹⁴⁶ *Ibid.*

A term used to denote a piece of music usually but not necessarily consisting of several movements, almost invariably instrumental and designed to be performed by a soloist or small ensemble.¹⁴⁷

Furthermore, details of the cross-scoring of this genre during Schubert's time is acknowledged below:

Newman's analysis of the 19th-century sonata settings identified in Hofmeister's *Musikalisch-literarischer Monatsbericht neuer Musikalien* reveals that 41% were for solo piano, 21% for piano and violin, 11% for piano duet, 6% for piano and flute, and 5% for piano and cello, with other combinations occurring less frequently.¹⁴⁸

Indeed, another prolific nineteenth-century genre – the fantasia genre – which Schubert extensively explored, was executed via three mediums: three for solo piano (37.5%), four for piano duet (50%) and one for violin and piano duo (12.5%).¹⁴⁹ The prevalence of form and scoring in defining genre in the nineteenth century raises questions regarding the classification of the piano duet on various levels. In his critique of Dahlhaus, Jeffrey Kallberg states how in Dahlhaus's frames of reference, scoring 'might be a significant clue for genre, but only when, like the string quartet or trio sonata, it coincided with a compositional structure'.¹⁵⁰ Unquestionably the scoring of four-hands at one piano is a consistent, recurring feature, but how does this instrumentation combine with the forms utilised within these works? Given the broad variety of four-hand piano works produced by Schubert, for example, marches, Ländler, overtures, divertissements, sonatas, fantasias, polonaises, theme and variations and single-

¹⁴⁷ Sandra Mangsen, 'Sonata', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 1 Jan 2012].

¹⁴⁸ John Rink, 'Sonata, 19th Century, after Beethoven, (iii) "Compositional Practice"', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 1 Jan 2012].

¹⁴⁹ In addition to the complete fantasias outlined above, both piano solo and piano duet have one incomplete fantasia each.

¹⁵⁰ Kallberg, 'The Rhetoric of Genre', p. 240.

movement works, the form indeed varies.¹⁵¹ It quickly becomes apparent that within Dahlhaus's terms, the piano duet does not typify how genre is categorised given the variance in form of these works.

In relation to Dahlhaus's theory of form and scoring, Kallberg identifies some discrepancies in this regard stating:

Form is not a reliable marker, since two separate genres might share the same compositional structure. For example, both the symphonic poem and the string quartet employed sonata form, but the relation of the timbral forces to the compositional structure differed: the symphonic poem tended to deploy its timbral resources to articulate structure, whereas the quartet tended toward more abstract presentations of form.¹⁵²

Agreeably, form is not always a clear indicator of genre with some instances being more straightforward than others. What emerges in Kallberg's critique is that the instrumentation may interact in copious ways with the formal structure, but the formal type for example, sonata form, is consistent. Therefore, in identifying the constituent elements of a genre, it may be more useful to consider how scoring and form relate to each other and following that, consider if this determines genre. As already argued, the piano duet works by Schubert demonstrate a variety of formal structures thereby leading us to question two things: firstly, can we ignore the variance in form and find alternative classifying elements to place these four-hand works in the one musical family? Secondly, is the absence of a recurring form challenging the long-accepted notion that these works comprise a genre? In order to probe fully such questions, we must first consider the revisionist work on genre as outlined later in the chapter.

¹⁵¹ See Appendix 2.

¹⁵² Kallberg, 'The Rhetoric of Genre', p. 240.

2.2.2 Function versus Aesthetic Autonomy in Genre¹⁵³

In addition to emphasising the importance of form and scoring in determining genre, Dahlhaus also perceived function as another chief defining element:

In the early history of music, as we have seen, a genre was determined primarily by the function it performed and by the texts on which it was based. This indicates that musical genres developed less as a result of compositional assumptions than as a result of external circumstances, which were however assimilated as internal determining factors. Functional music is part of a process which reaches beyond itself, a liturgical act or a celebration, a procession or a dance.¹⁵⁴

Dahlhaus expressed two key concerns with genre during Schubert's time: that function in music was 'obliterated entirely or relegated to the backstairs of music by aesthetic autonomy', and that this aesthetic individuality challenged the central role of genre in nineteenth-century music.¹⁵⁵ Dahlhaus has argued that 'social function[s] and compositional norm[s]' are defining elements for genre in the eighteenth century.¹⁵⁶ It is important to emphasise that Dahlhaus recognised that genres still existed in the nineteenth century but that 'the autonomy principle [...] suppressed or vitiated functionality in music'.¹⁵⁷ To conclude, however, that function in the music of the nineteenth century had a lesser role is contestable. Even on Dahlhaus's terms, two obvious examples of his definition of 'function' can be found in two of Schubert's duets: firstly, the *Grande marche funèbre*, C minor, was composed on the occurrence of the death of Aleksander 1 of Russia, D.859, in 1825 and published in 1826 (op.55), and secondly, the *Grande marche*

¹⁵³ Dahlhaus, 'New Music', p. 33; Carl Dahlhaus, *Foundations of Music History*, trans. by J. B. Robinson (Cambridge: Cambridge University Press, 1983), p. 149. Hereafter referred to as Dahlhaus, *Foundations*.

¹⁵⁴ Dahlhaus, 'New Music', p. 35.

¹⁵⁵ Dahlhaus, *Foundations*, p. 149.

¹⁵⁶ *Ibid.*

¹⁵⁷ *Ibid.*

héroïque, A minor, was inspired by the coronation of Nicholas 1 of Russia, D.885, composed in 1826 and published that year (op.66).

If we consider Schubert's works for piano solo, piano duet or his lieder, for example, these works were collectively 'classed' as salon music yet they do not exemplify a singular function as might be expected from this environment. Indeed, without a court or church setting, Schubert's premieres and performances were primarily in the salon environment yet these works were distinctly multi-functional. In line with this, Kallberg states that: 'the fact that an occasion cannot be linked to a genre does not mean that the genre lacks a social "function"'.¹⁵⁸ One of the central criticisms of Dahlhaus's theory is that his interpretation of function is too restrictive. What has been called for is a more flexible interpretation of function and therefore an amendment of the typical classification system as outlined. Jim Samson acknowledges this when he outlines two new approaches that developed after Dahlhaus: firstly, a move away from the examination of artworks towards aesthetic experience and secondly, the need for a more adaptable concept relating especially to function.¹⁵⁹

Kallberg duly notes that Dahlhaus did express the importance of genre in the nineteenth century:

[Dahlhaus] organized his own history of the epoch around "the evolution of musical genres, in which aesthetic and compositional principles are reconciled with influences from social and intellectual history".¹⁶⁰

This quote refers to observations by Dahlhaus who recognised key aspects such as the hierarchical aspect of genre – something which 'often affects the aesthetic value judgement of an era', and that this hierarchy was 'an expression of a social

¹⁵⁸ Kallberg, 'The Rhetoric of Genre', p. 241.

¹⁵⁹ Samson, 'Genre', *New Grove*, p. 658.

¹⁶⁰ Carl Dahlhaus, cited in Kallberg, 'The Rhetoric of Genre', p. 241.

system' in which the works were performed.¹⁶¹ Clearly this is something which is relevant for works from the salon. However, Kallberg argues that Dahlhaus's view of genre contained some anomalies – the relationship between functional and autonomous music being the main difficulty. Basically, Dahlhaus is being criticised by Kallberg and also Marcia Citron for firstly his definition of function but also how that (restricted) definition held priority in ascertaining genre in the nineteenth century.

2.3 Revisionist Models in Exploring Genre

The principle role of classification is arguably pragmatic – to make knowledge both manageable and persuasive – but its effect can be to shape, and even to condition, our understanding of the world.¹⁶²

It is difficult to move away from classification completely when approaching the subject of genre. Genre, as a definition, does suggest a type of something and recognisable traits, which distinguish one group from another. Dahlhaus's emphasis on establishing the correct criteria does seem to have infiltrated even recent genre studies. Therefore, in many instances, the emphasis on classification still occupies a prominent place, if not the centrepiece, in our understanding of genre. In an effort to look at genre more broadly, re-classification systems have been suggested where more criteria feature in such investigations. Dahlhaus, for example, articulated that the combination of form and scoring was a defining feature in nineteenth-century music and although these areas do indeed signify certain groups, these classifying elements do not necessarily create meaning by themselves. Indeed Robert Hatten has acknowledged that:

¹⁶¹ Kallberg, 'The Rhetoric of Genre', p. 240.

¹⁶² Samson, 'Genre', *New Grove*, p. 657.

Western Literature has a long history of genre classification based on formal features alone. [...] Music theorists have also tended to classify genres in technical terms.¹⁶³

The contributions of Jeffrey Kallberg, Jim Samson and Marcia Citron will provide the theoretical foundation for the remainder of this chapter. In the work of these scholars, classification systems are broadened and re-evaluated but also the communicative aesthetic and codes within genre are also encouraged as an approach to genre studies. In keeping with trends since the 1960s, ‘the nature of aesthetic experience’ must be central to any proposed model alongside ‘a more fluid, flexible concept concerned above all with function, [and] with the rhetoric, or discourse of genre within artistic communication and reception’.¹⁶⁴ Recent developments within musical genre theory has benefited from work done by such literary theorists as Heather Dubrow, who also acknowledges the flexibility inherent in genre stating that ‘a genre behaves rather like a contract between author and reader, a contract that may be purposely broken’.¹⁶⁵ This approach acknowledges that genre may not always be fixed and even when a work does deviate from a norm, it is still related to that norm in some way. Dubrow’s work influenced theorists such as Kallberg: the latter’s work challenged Dahlhaus’s assertion that every musical work may not, and indeed need not, be typical of, and therefore belong to a genre, where he viewed genre as diminishing in importance. Kallberg challenges the notion that genre and an individual idiosyncratic work were two disparate entities:

¹⁶³ Robert S. Hatten, *Musical Meaning in Beethoven, markedness, correlation and interpretation* (Bloomington: Indiana University Press, c1994), p. 68. Hereafter referred to as Hatten, *Musical Meaning*.

¹⁶⁴ Samson, ‘Genre’, *New Grove*, p. 658.

¹⁶⁵ Heather Dubrow, cited in Samson, ‘Genre’, *New Grove*, p. 658.

[...] a composer might assert an individual voice, the choice of the context for this assertion is still, in part at least, the choice of genre.¹⁶⁶

It has already been mentioned in the first chapter that Christopher Gibbs argued that Schubert was difficult to classify musically and functionally. Nevertheless, that genre ceased to have a central role in the many genres explored by Schubert does not accurately describe the workings of his music, especially in his four-hand piano repertoire.

2.4 Generic Reclassification: Marcia Citron's Proposed Model

Citron partly agrees with Dahlhaus that every work does not need to belong to a genre. However, works that lie outside an accepted genre group, Citron argues, can result in their neglect and decreased status. Citron suggests two possible resolutions: firstly, we could 'resist the impulse to classify' or secondly, to modify the ruling taxonomical principles.¹⁶⁷ She offers no elaboration on how we may abandon the long-practiced activity of categorising music. This is understandable, as to reject such a complexly latent approach in how we perceive music and recondition our thinking would be an overwhelming task. Instead, Citron offers a new set of classification criteria which go beyond merely musical characteristics. Already, it seems that although Citron believes every work may not relate to a genre, her ultimate aim is to find an approach to exploring genre which *includes* the works existing outside any defined category. It should be noted that Citron's discussion on genre is presented against the backdrop of women and music: given the feminisation of Schubert in reception history, a lot of her arguments are applicable to the 'salon' genres of Schubert. Her approach to genre, which

¹⁶⁶ Kallberg, 'The Rhetoric of Genre', p. 242.

¹⁶⁷ Citron, *Gender*, p. 125.

encompasses a body of works that have existed outside the canon and within negatively labelled genre groups, adds genuine insight as to how genre groupings influence perceptions of nineteenth-century music. Her critique of Dahlhaus and further observations of genre are additionally beneficial, within broader definitions of genre, offering a substantial contribution to the revisionist thinking in this field.

In her discussion of theories of genre, Marcia Citron proposes that the following criteria represent a typical musical classification system:

Function, style, scoring, length, site of performance, intended audience, manner and nature of reception, decorum of the performative experience, and value.¹⁶⁸

Although Citron does not claim this to be a definitive classification system, her paradigm relates to recent trends in generic discourses, signifying the move away from merely musical characteristics. It is important to consider that the headings under which one chooses to discuss a genre are potentially exclusionary based on what they omit. Bearing this in mind, the importance of form should be acknowledged in such a system of proposed taxonomy. Immediately, there are some similarities to Dahlhaus's methodology with the presence of scoring and function in both models: Citron's classifying elements allows for such musical features as well as the inclusion of broader social features to partake in her revised approach. This proposition, which acknowledges the attachment of music to its cultural setting, however, is not just fixed in the early nineteenth century; Citron argues that 'social factors' should be assessed in any period of musical history.¹⁶⁹

Although the items in Citron's classification system can easily be divided into music and non-music elements, an assessment of genre looks at how these

¹⁶⁸ Citron, *Gender*, p. 124.

¹⁶⁹ *Ibid.*, pp. 126-27.

seemingly divided characteristics effect each other and overlap. Accordingly, Citron's model is useful for examining the way in which a musical style and scoring, for example, interact and relate to typical conventions of its time and the setting in which it was performed. One would think you could add *the intended performer* to Citron's list, which could relate to the 'decorum of the performative experience'. Here we are reminded of Wolfgang Marx's request that we look at the structural and social overlap in genre. One structural element, scoring, is especially interesting for the piano duets, and the status given to the solo performer during and after Schubert's time, relates this issue to the reception history of these works – works which were long deemed as intended for the amateur performer. Examining scoring alone however, without considering how it interacts with other features, would be a futile exercise. Indeed, if considering scoring you could ask the following questions: Who was/were the intended performer(s)? Indeed, what is the connection between scoring, (intended) performer and style and/or form? Does the style, virtuosic for example, relate to an intended performer? What is the relationship between the scoring and performance venue? What is the relationship between the scoring and genre? And is there an associated value attached to this?

Two things need to be articulated however in assessing the overlaps of Citron's paradigm: firstly, these elements can identify a genre group but once that group has been 'decided' upon or 'agreed', then one would use the model to explore that genre to see how it relates to its cultural surroundings as well as how it was perceived in reception history. Therefore, form or style do not solely classify a work – that is the purpose of the term 'genre'. The popular music

theorist, Franco Fabbri, has identified that genre itself is ‘a more permeable concept than either style or form, because a social element participates in its definition’.¹⁷⁰ The practice of defining genre by musical means continued until the mid-1960s¹⁷¹ and according to Allen Moore, the terms genre and style were used interchangeably up until the mid-1980s in musicological discourses.¹⁷² This blurring of the concept of genre has no doubt contributed to the lack of thought when defining genres mentioned by Marx. There are two levels of genre we therefore need to look at: firstly, how we construct a group or class and secondly how the ‘members’ or criteria of that group overlap to demonstrate and express meaning. Citron is examining the second aspect of genre here where she argues that established genres need to be reclassified and re-examined by deciphering reception history and the assessment of value that has or has not been placed on certain generic groups. This distinction is being made as the questioning of whether we can collectively call the piano duets a genre highlights a new, relatively unexplored aspect of genre. (Jim Samson deals with this somewhat, as will be discussed below.)

A further example of how the musical/technical and non-technical constituents of this paradigm may be explored together would be in the consideration of length and value. Citron relates the idea of length and size of a genre by saying that size can be considered in two ways: ‘quantitative and temporal, or vertical and horizontal’. Within the context of her own argument,

¹⁷⁰ Franco Fabbri, ‘A theory of Musical Genres: Two Applications’, *Popular Music Perspectives*, ed. by Philip Tagg and David Horn (Goteborg and Exeter, 1982), pp. 52-81, cited in Samson, ‘Chopin and Genre’, p. 213. Hereafter referred to as Fabbri, ‘A theory of Musical Genres’.

¹⁷¹ Samson, ‘Genre’, *New Grove*, p. 658.

¹⁷² Allen Moore, cited in Beard/Gloag, *Musicology*, p. 72.

Citron articulates that men, much more so than women, produced these larger and lengthier genres.

In their nineteenth-century incarnation, these genres represented masculinist more than feminine societal values: emphasis on political might and expansionism.¹⁷³

Once again, further parallels can be drawn between Citron's argument of the representation of genre size within ideologies of masculinity/greatness and femininity/weakness, and the labelling of Schubert as a feminine composer. In terms of apparent value, it is clear how Schubert's piano duets fare within such associations. Many four-hand works have suffered at the mercy of such ideologies; many examples of important contributions, which are small in length, include the marches, polonaises and Ländler, but also single-movement works such as the Allegro in A minor 'Lebensstürme', D.947 and the Rondo in A major, D.951. This is closely linked with the hierarchy of genres and the fact that the piano duet is lowly ranked is supported by Citron, who makes the following observation in relation to size and status:

Since c1800 art music has generally placed greater value on the larger forms (genres). Symphony and opera have occupied the top rung of instrumental and vocal music, respectively.¹⁷⁴

Consider the ideologies of absolute and popular as explored in the first chapter: these also have associated performance venues – certainly during the nineteenth century when the canon was being established and larger genres were performed in a public concert forum. Therefore, there is also an interesting relationship between the 'size' of a genre and the size of its original performance context. Schubert's solo piano works and lieder moved into the public concert hall sphere. This change of performance venue indicates that these works don't necessarily

¹⁷³ Citron, *Gender*, p. 130.

¹⁷⁴ *Ibid.*

belong in any one context: music only survives through repeated performance and scholarship. Although the piano duets were performed in the salon during Schubert's time, later performances in concert halls allowed the music to be re-transmitted and re-experienced in an alternative space. Indeed, Citron's above quotation inadvertently reiterates another issue previously articulated by Hatten – that many genres are defined via their form: that is, they are formal genres. So what should now be also considered is if (or how) Schubert's piano duets, whose form varies and is therefore not a definitive feature, are related to these larger, overtly formal genres?

Citron's inclusion of function is in some way related to her entire model for genre. She highlights Dahlhaus's theoretical contention that in the nineteenth century, genres were being replaced by 'the autonomy of the individual work' due to the lack of a tangible function.¹⁷⁵ It is likely that Citron has familiarised herself with Kallberg's work (1988) published five years prior to her own article as she similarly argues that Dahlhaus's view of function was too restrictive. Firstly, she criticises Dahlhaus because he argues that functionality should be 'overt and direct'.¹⁷⁶ Citron argues that functionality in *autonomous music* during the nineteenth century did exist but was less tangible (my emphasis):

In the nineteenth century, autonomous music provided a social outlet for the increasingly moneyed middle and upper classes. It also validated bourgeois power that now lacked monarchy and church for legitimation, and served as a vehicle for moral edification in a secular age.¹⁷⁷

Citron's broad understanding of function in autonomous music is certainly a welcome addition to revisionist approaches to studying genre and also highlights

¹⁷⁵ Citron, *Gender*, p. 126.

¹⁷⁶ *Ibid.*

¹⁷⁷ *Ibid.*

the tentative relationship between function and *absolute* music raised earlier in this thesis. However, what requires clarification in her theorizing is the relationship between autonomous music (Beethoven's ninth symphony, for example) and music that belongs to a genre (a keyboard dance, for example). Citron appears to view these as two separate groups, although she does acknowledge Kallberg's observations that more than one genre can occupy a single piece.¹⁷⁸ Furthermore, is she also indirectly stating that autonomous music had an intangible function but genre did not? If we recall Dahlhaus's argument that it was the individual work which usurped genre, Kallberg stated that even an individual work still had characteristics of its class and could be explored within its own genre group. This point is not as clear in Citron's argument. Does she consider that autonomous or absolute music still relates to its genre or exists completely outside it? It should be noted that, as pointed out at the beginning of this section, this theorist stated that works which lay outside established genres were neglected from scholarship and performance, and consequently she offered as a solution a reclassification system. There is an ambiguity in Citron's argument however, as she has not really suggested how to deal with these works that (seemingly) lay outside a genre and how this relates to her own theory of genre. As demonstrated, Citron argues that genres exist but simultaneously seems to group autonomous works separately. A theory for how these works may relate to their genre group is not proposed and is overlooked in this instance.

¹⁷⁸ Citron, *Gender*, p. 125.

2.4.1 Performance Issues, Nature of Reception and Value

Citron includes the nature of reception as one possible measure to consider in a (re)examination of genre; essentially though reception operates above all the other criteria. Each of Citron's categories, as outlined in the above heading, is an aspect of reception and each criteria, requires analysis within reception history. Citron's mention of performance-related issues immediately remind us of Fabbri's emphasis on the 'social element' when defining genre.¹⁷⁹ In fact, these three areas outlined above – performance issues, reception, and value – are both valuable and appropriate when assessing Schubert's four-hand repertoire. The venue, audience and 'scenario' of the Schubertiades along with their customary connotations within the reception history of the duets have already been highlighted. An assessment of these three areas invites further assessment and cultural analysis of the Viennese salon, especially focussing on the relationship between Schubert's transformation of four-hand music and the salon as a cultural object. Indeed, the main performance venue for the duets (and notably solo piano, small instrumental ensembles and vocal genres) was the salon and the bourgeoisie drawing room. It is worth reiterating that Schubert's friends who regularly attended his concerts consisted of educated, artistic persons, and the practice of premiering and performing for such an audience should not be confused with the widespread middle-class custom of performing original duets and transcriptions – an activity so abundant at that time.

It is useful to consider the significance of venue and genre as proposed in Citron's model. At first it may seem that as most of the duets were composed for

¹⁷⁹ Fabbri, 'A theory of Musical Genres', cited in Samson, 'Chopin and Genre', p. 213.

the drawing room of the Esterházy house in Zseliz and the Schubertiade evenings, the works somehow belong together, categorically speaking. If we remember Samson's claim that, post-Dahlhaus, there was an increased emphasis in genre studies on aesthetic experience, this relates to the association of the salon with a singular aesthetic. The salon, of course, exhibited various aesthetics, and the close association of the duet with the salon and the associated singular aesthetic has certainly contributed to their classification. Therefore, although the majority of the duets may initially appear united under Citron's headings – site of performance, intended audience, decorum of the performative experience – these headings serve to remind us that deciphering the many facets of genre may have multiple hermeneutical outcomes. The deficiency of any classification system is that many genres do not 'fit' neatly into one proposed paradigm of genre. Therefore, despite the commonalities it can be a struggle to classify Schubert's entire duet output not only in musical terms, but also in aesthetic terms. Furthermore, I would argue that the assessment of musical similarities *must be included* in defining any musical category in Schubert's piano music.

Although conceived in the same milieu, the stylistic and formal variety of Schubert's piano duet output result in a struggle to classify uniformly these works in musical terms. Schubert frequently composed diverse works in close proximity to each other – for example, the Sonata in C, June 1824 (Zseliz) and 4 Ländler in July 1824 (Zseliz) that varied formally, stylistically, and functionally, yet they were composed and performed in the same venue. Both of these works were composed in Zseliz where Schubert acted as a tutor for the Esterhazy sisters but the Sonata in C however goes beyond the pedagogical and commercial function

that the 4 Ländler immediately suggest. What is evident here is that despite being composed and premiered in the same environment, the actual function of such works are more difficult to define singularly. One aspect of function that has not been addressed is the artistic and expressive function. While the environment certainly indicates an entertaining function, surely having an entertaining function should not preclude the simultaneous presence of an artistic and expressive function. The piano duet medium was, for a long period, labelled as ‘domestic, non-serious and entertaining music,’ a *category* with which I was met most frequently when I first began dealing with this topic. It is worth recalling Blom’s reaction to Mozart’s F major duo sonata which he viewed as a great work but not suited to the domestic category.¹⁸⁰ It seems that this environment couldn’t produce a ‘great’ work and Mozart’s duet seemed to destabilize the category set out in musicological discourses regarding the duets. Given that a genre requires the repetition of at least two elements to establish it as a category, it is at this point we can reiterate the following questions: firstly, how do Schubert’s piano duets fit into Citron’s proposed paradigm – function, style, scoring, length, site of performance, intended audience, manner and nature of reception, decorum of the performative experience, and value; and secondly, do Schubert’s piano duets – fantasias, sonatas, divertissements, overtures, theme and variations, polonaises, marches, Deutscher, Ländler, rondos and single movement works – comprise a generic group?

The final category, ‘value’, is undeniably associated with the reception of the works. The assigned value placed via musicological discourses and aesthetics

¹⁸⁰ Blom, *Mozart*, p. 273.

has been explored in the early parts of the thesis and again should be emphasised as a vital tool with which to discuss genre. The recent trend in genre studies is moving away from mere classification towards examining the *effect* of the categorising of the past on our perceptions today. Therefore, Citron's suggestion of value as a central criteria for developing genre theory, is somewhat useful and appropriate to convince a scholar to rethink older classification systems.

Citron's model acknowledges the need to classify and agreeably, the repetition of elements within musical categories does need to occur within such arguments. Citron's focus on the importance of reception in assessing genre certainly allows for a consideration of the broader categories including cultural implications of performance venues, aesthetics of the salon and how the creation of hierarchies, shape the inclusion of both (minor) genres in scholarship but also works that do not fit into established genres. The relationship between an individual work and a generic category remains a contentious issue: this is something which will continue to be considered in the theories of Samson and Kallberg.

2.5 Jeffrey Kallberg and his Theory of Genre

2.5.1 Acknowledging the 'persuasive and communicative' qualities of genre¹⁸¹

The significance of Heather Dubrow's genre work within literary discourses has already been acknowledged: her approach transcends classifying elements and proposes that it is the interaction between a work's title and its content that creates meaning.¹⁸² This new approach to understanding genre was adapted in both

¹⁸¹ Kallberg, 'The Rhetoric of Genre', p. 258.

¹⁸² Samson, 'Genre', *New Grove*, p. 658.

‘ethnology and in art music’.¹⁸³ It is worth noting the work of the ethnologist

William Hanks where he articulates his interpretation of genre:

“[Genres] consist of orientating frameworks, interpretive procedures, and sets of expectations”, and as such they may be *manipulated* for a wide variety of communicative ends.¹⁸⁴ (my emphasis)

Dubrow, for example, emphasises that expectations may or may not be met. This therefore means that if a work pushes the boundaries of its genre, that this is because the composer is exploring and communicating new expressive possibilities. In musicology, Jeffrey Kallberg has published pioneering work in the area of genre studies and occupies the central position in advancing genre theory in Chopin studies. He doesn’t completely negate the relevance of categorising similar elements but stresses that these elements require interpretation.¹⁸⁵ Therefore, although genre has always been concerned with repetition, what Kallberg suggests is that the *meaning* of genre is not derived solely from these repetitions. As outlined earlier in this chapter, Kallberg has questioned Dahlhaus’s complex theory of genre. What differs from Kallberg’s approach and Dahlhaus’s is that repeated similarities only partly inform us about the powerful force that is genre and the open-ended possibilities: these possibilities oppose the purely musical repetition referred to in earlier studies, which Samson reveals aims to ‘[finalize] our experience’.¹⁸⁶ On the contrary, Kallberg argues a genre study should in a way re-experience the music, the context and the reception history and thereby the category in the following way:

¹⁸³ Samson, ‘Genre’, *New Grove*, p. 658.

¹⁸⁴ *Ibid.*

¹⁸⁵ Kallberg, ‘The Rhetoric of Genre’, p. 246.

¹⁸⁶ Samson, ‘Genre’, *New Grove*, p. 657.

Research in the effects of genre should involve the reconstruction of contexts and traditions, and the perceptions of composers and their audiences, both historical and modern.¹⁸⁷

Such an approach clearly questions reception history and would thus challenge aspects of genre which are apparently fixed. In such a framework the following could be considered in relation to the piano duet: the salon context, the tradition of the piano duet, how Schubert approached the four-hand medium, the audience present but also future audiences and their reaction to these works. In his attempt to *open up* our experience and overturn the traditional understanding of genres, many of these aspects are contained within Kallberg's proposed genre model:

Responses – past and present – signals, traditions, neighbouring and contrasting genres, mixture and mutability.¹⁸⁸

It is immediately evident that Kallberg's methodology involves a very broad approach – his headings immediately invite an assessment of the past leading right through to today. These numerous variants provide a scholar with much to consider when re-examining a generic group, something which includes deciphering long established genre groups. By referring to past and present responses and traditions, Kallberg automatically asks us to question how genres today are shaped by what has gone before.

It is worth noting however that Kallberg commences his investigation into the rhetoric of Chopin's Nocturne in G Minor, op.15, no.3 from the musical idiosyncrasies: deviations in terms of style, melody, accompaniment, rhythmic emphasis and the 'large-scale tonal plan' are all questioned by the author.¹⁸⁹ It is here that Kallberg argues that such deliberate digressions question the relationship

¹⁸⁷ Kallberg, 'The Rhetoric of Genre', p. 243.

¹⁸⁸ *Ibid.*, p. 246.

¹⁸⁹ *Ibid.*, p. 238.

of this work to other works of its type. The author argues that if we consider what the composer was trying to communicate by altering the typical conventions of the genre, rather than just assessing the classification elements, that the definition of genre takes on a new meaning. The theoretical complexity of this is already apparent as it was via an assessment of the criteria and constituent elements (which is the classification aspect of genre) that the exploration began. Kallberg's welcome approach of unveiling the significance and communicative aspect of these choices is therefore the second aspect of genre. Some degree of classification is unavoidable and indeed imperative in this approach – something which Kallberg does indeed endorse. Therefore, if we consider the necessity of establishing musical similarities, before we assess the meaning of those choices, the question of how, and if, the piano duet exemplifies a category in this way is integral to this study.

2.5.2 'Neighbouring and contrasting genres, mixture and mutability'

The way in which genres relate to each other occurs in a variety of modes but Kallberg states that historically speaking, 'there have been groups of genres that overlapped perceptually, so that the meaning of one genre in part results from comparison with another'.¹⁹⁰ Indeed, popular music theorist Fabian Holt outlines a similar approach in his study on popular music where he argues that music: 'has cross-generic and processual qualities that defy categorical fixity'.¹⁹¹ Among the examples provided by Kallberg when discussing overlapping genres, include the connection the vocal romance has with the vocal nocturne. The mixing of a genre

¹⁹⁰ Kallberg, 'The Rhetoric of Genre', p. 244.

¹⁹¹ Fabian Holt, *Genre in Popular Music* (Chicago and London: University of Chicago Press, 2007), cited in Marx, 'Review: Genre', p. 32.

could also occur in one work, something which this scholar explores in relation to Chopin's G minor nocturne: this aspect of genre crossover creates a new platform of meaning for the original genre. Furthermore, double titles such as Sonata quasi una fantasia and Polonaise-Fantasia create hybrid works. Another well-known example of this is Chopin's renowned fantasy-impromptu in C sharp minor (op.66). Kallberg argues here that in such instances that no one 'type' overrules. There are however further examples we can consider here such as sonatas which may be directed to play quasi una fantasia, yet this is not part of the genre title. Another example is the nineteenth-century fantasia, often described as the sonata-fantasia, where sonata form provided the fundamental structure but was modified in some way. It is generally understood that the overall title of a work communicated the identity of that work – that is the genre to which it belongs. It must be remembered, that this identity can be altered throughout the course of the work and deviate from expectation.

The different degrees of genre crossover and merging can be understood when considering the romantic aesthetic of Schubert's time. Indeed, generic meaning should always take into account the musical aesthetics of the culture from which it is derived. Samson describes the piano piece at the beginning of the nineteenth century in the following way:

It is a repertory in which new modes of expression struggled to break free from the old, as musical composition corresponded to rapid changes in the infrastructure of musical life and the climate of ideas. The impulses which shaped the repertory [...] include the demands of specific taste-publics in the benefit concert and the middle-class salon [...] influences from vocal music and from contemporary literature, both signalling an expressive aesthetic.¹⁹²

¹⁹² Samson, 'Chopin and Genre', p. 214.

The role of neighbouring and contrasting genres, as identified by Kallberg, were realised by William Kinderman who explored the possibility of influence of *Winterreise* on the F minor fantasia piano duet, D.940, in his article, ‘Schubert’s Piano Music: probing the human condition’.¹⁹³ Samson’s claim of the influence of vocal music and literature (*Winterreise* was set on Wilhelm Müller’s poetry) are well founded as Kinderman offers a psychological interpretation of the F minor fantasia duet through his analysis of this work. In his discussion, Kinderman provides a poetic reading of the Fantasia and *Winterreise* with both works journeying towards the same tragic destiny. Kinderman here asserts that the thematic and tonal contrasts as evident in the first (lyrical) and second (funereal rhythm) themes uncover a psychological symbolism: the first theme represents an ‘air of unreality’, which is cruelly broken by the second theme, which represents the harsh realities of the external world.¹⁹⁴ What was revealed in this study, which supports Kallberg’s hypothesis, is that genre is not always self-contained. Kinderman’s connection between these two late works also highlights a further point where this instrumental work assumes a narrative which relates to the composer’s psychology. When Kallberg discusses the combination of genre, Mozart’s instrumental finales are one example he presents, where, for example, ‘a number of his concertos finish with rondos that incorporate substantial references to different genres’ (a dance is one example provided here).¹⁹⁵ Therefore, the crossover is via musical techniques. What is emphasized in William Kinderman’s work is not just the *presence* of techniques from neighbouring and contrasting

¹⁹³ William Kinderman, ‘Schubert’s piano music: probing the human condition’, in *The Cambridge Companion to Schubert*, ed. by Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), pp. 155-73. Hereafter referred to as Kinderman, ‘Schubert’s piano music’.

¹⁹⁴ *Ibid.*, p. 171.

¹⁹⁵ Kallberg, ‘The Rhetoric of Genre’, p. 245.

genres in D.940, but what these techniques communicated, that is, the isolated wanderer, that is deemed as being present in D.940. Furthermore, the interpretation of a narrative in the F minor fantasia stimulates similar investigation for other late piano works. Indeed when Robert Winter mentions the, ‘passionate expansiveness of the duet, Allegro in A minor’,¹⁹⁶ he invites more profound investigations as to the many possible motivations for producing a work of this type – in Schubert’s final year. The method in which a genre might borrow from another genre, during this era, manifested itself in various approaches. This article by Kinderman however is not a genre study as such. Indeed, his approach could be built on in several ways depending on which ‘group’ we consider the F minor fantasia to belong to: the piano duet, the fantasia genre or whether one chooses to consider selected late works (post-Winterreise) in this way as Charles Fisk does in his book *Returning Cycles*.¹⁹⁷

Kinderman draws parallels between the F minor fantasia, the C major Symphony (Andante) and ‘Gute Nacht’ and ‘Wegweiser’ from *Winterreise*,¹⁹⁸ due to the ‘processional’ quality of all these themes.¹⁹⁹ Indeed, the presence of potential cross-influences between *Winterreise* and Schubert’s late instrumental works occupies the central hypothesis of Charles Fisk’s *Returning Cycles* where this author reveals how he felt the aura of *Winterreise* present in the solo piano impromptus of Schubert.²⁰⁰ Fisk’s own reading of the 1827 song cycle concludes that Schubert closely identified with the protagonist and consequently ‘sought

¹⁹⁶ Kallberg, ‘The Rhetoric of Genre’, p. 245.

¹⁹⁷ Fisk, *Returning Cycles*.

¹⁹⁸ Kinderman, ‘Schubert’s piano music’, p. 170.

¹⁹⁹ *Ibid.*

²⁰⁰ Fisk, *Returning Cycles*, pp. 1-2.

redemption or rebirth denied to that wanderer' in his instrumental works that followed.²⁰¹ In his own words:

[In his late instrumental music, Schubert] might have sought to revive the wanderer through that music, to restore to him or re-create for him his memories and aspirations, and to find for him a new home or a place of rest.²⁰²

Fisk establishes a wealth of musical connections both within and between Schubert's late works. Specifically, his analysis reveals fascinating musical links between *Winterreise*, the 1822 'Wandererfantasie' (based on the lied 'Der Wanderer') and the composer's late piano works. Therefore, the narrative design of the F minor fantasia, as proposed by Kinderman, is not entirely new in the broader framework of 'late' Schubertian piano scholarship. The contextualising of Schubert's D.940 in such obvious narrative terms has implications for the interpretation of the fantasia as a genre.

Brian Newbould highlights a cross-generic allusion which is in keeping with Kallberg's emphasis on neighbouring genres. Here Newbould reveals the influence of a Beethoven piano sonata on a piano duet by Schubert: here he likens Schubert's duet Rondo in A (1828) to the second movement of Beethoven's piano sonata in E minor.²⁰³ Furthermore, it seems inherent in Kallberg's model that cross-generic references regarding form, have a critical place in genre studies. This leads us to question the degree of influence these neighbouring genres – such as Lieder and piano works have on each other. Such an approach to genre, simultaneously reveals insight into Schubert's compositional approach as well as in how he perceived the potential of the genres in which he composed.

²⁰¹ Fisk, *Returning Cycles*, p. 11.

²⁰² *Ibid.*

²⁰³ Newbould, *Schubert*, pp. 247-48.

Two recent Schubert studies have explored the F minor fantasia by acknowledging how a work from the same genre family – the fantasia – and also a neighbouring genre – the sonata – may have influenced this work. The proposal of David Humphreys’ article ‘Something Borrowed’ (1997)²⁰⁴ is to reveal the influence of Mozart’s F minor fantasia duet for mechanical organ K.608 on Schubert’s F minor fantasia D.940. Humphreys provides an informed analysis and comparison of the two works outlining the tonal, formal and thematic correlations between both works. By highlighting the similarities between both duets, Humphreys achieves in revealing the differences that arise and consequently Schubert’s unique compositional approach to this genre. Humphreys raises a valid point of difference between the two composers’ treatment of the duet when concluding his article: where Schubert treats the duet as a serious genre, Mozart’s style is ‘archaic’ in his duet K.608 due to the constraints of the mechanical organ. Furthermore, Humphreys identifies Schubert’s duet as typical of ‘the highly personal poetry of his late style’.²⁰⁵ Elizabeth Norman McKay’s article ‘Schubert and Hummel: Debts and Credits’ (1999)²⁰⁶ argues that Schubert’s duet, the Fantasia in F minor D.940, is indebted to Hummel’s piano duet the Grand Sonata in Ab major (op.92). In addition to describing similarities in rhythmical, melodic patterns and ornamentation, McKay validates her argument by referring to Hummel’s presence in Vienna and performance of his works there.²⁰⁷ McKay also identifies how certain aspects of Schubert’s ‘Wandererfantasie’ for solo piano are

²⁰⁴ Humphreys, ‘Something Borrowed’.

²⁰⁵ *Ibid.*, p. 24.

²⁰⁶ McKay, ‘Schubert and Hummel’.

²⁰⁷ For further details regarding Hummel’s activities in Vienna, please consult: McKay, ‘Schubert and Hummel’.

indebted to Hummel's compositional style and that Brahms also showed influence of Schubert, and therefore Hummel, in his First Piano Concerto in D minor, op.15.

In Kallberg's in-depth consideration of Chopin's G minor nocturne, op.15, no.3, he identifies within its own class, several non-typical musical features. There are two stages in how this scholar approaches the issue of genre in his chosen work: firstly, he explores the musical aspects which refer to outside genres as well as referring to characteristic aspects of the nocturne itself. He initially refers to techniques of the mazurka and the plainchant, which feature in this nocturne. However, Kallberg reveals that the original genre still 'asserts itself' as the harmonic accompaniment is unchanging as is typical at the beginning of nocturnes. Also, the 'phrase structure' of the opening fifty bars could belong to either the nocturne or the mazurka.²⁰⁸ He notes that the irregular phrase structure is something that Chopin uses in his later nocturnes – here we therefore have an example of how a genre can take on board new structural and stylistic characteristics.²⁰⁹

The next phase of exploration in Kallberg's study deals with the communicative aesthetic and underlying meaning created by all the musical nuances and features as highlighted by the author. Kallberg reveals two responses, which occurred after the composition of Chopin's nocturne. The first is by a younger Polish composer, Edward Wolff – an acquaintance of Chopin who acknowledged the influence the older composer had on his style in an 1835 letter – who entitled his 1841 work *Nocturne en forme de Mazurke*.²¹⁰ In addition to obvious compositional similarities, such as the main theme being in G minor,

²⁰⁸ Kallberg, 'The Rhetoric of Genre', p. 250.

²⁰⁹ *Ibid.*, p. 251.

²¹⁰ Kallberg, 'The Rhetoric of Genre', pp. 252-53.

Wolff also concludes with a *Religioso* section.²¹¹ The second response occurred much later that century, where a Chopin biographer, M. A. Szulc argued that this work embodied a programmatic element following an attendance at a performance of Shakespeare's Hamlet – however, there has been no documentary evidence to support this. Kallberg argues though, that although this story is falsified, it was the generic ambiguity of this work compared to other works of its class, which evoked such a response.²¹² Kallberg though interprets these genre ambiguities as relating to Polish Romantic Nationalism. The large Polish presence in Paris in the 1830s and 40s resulted in the city becoming, 'the center of Polish political, intellectual, and cultural life'.²¹³ Adam Mickiewicz's *The Books of the Polish Nation and of the Polish Pilgrims*, published in 1832, explored several aspects of Polish Romantic messianism: 'its idiosyncratic blend of nationalism, universalism, religion, traditionalism, and radicalism'.²¹⁴ Kallberg argues that the presence of the "nationalistic" mazurka and the "religious" chorale aspects in the nocturne, mirror the impetus of this book.²¹⁵ Furthermore, during the same period, Chopin was encouraged to write a Polish national opera and Kallberg suggests that Chopin's loyalty to his homeland was expressed in the nocturne rather than in producing an opera of this kind.²¹⁶ Kallberg's findings realise an almost programmatic understanding of the piano nocturne, something which usurps singular notions of function associated with this piano genre. Indeed, Kallberg provides a clear example of generic ambiguity as the nocturne clearly hosts the

²¹¹ Kallberg, 'The Rhetoric of Genre', p. 254.

²¹² *Ibid.*, p. 255.

²¹³ *Ibid.*, p. 256.

²¹⁴ *Ibid.*

²¹⁵ *Ibid.*

²¹⁶ *Ibid.*, p. 257.

other guest genres – the mazurka and the chorale – in order to expand the original genre’s identity.

2.6 “Formalism” and “Post-Structuralism”: Two Approaches to the Study of Genre by Jim Samson²¹⁷

Within the various concepts of genre that Samson explicates, he addresses how the different workings of genre, style and form require elucidation due to their role as ‘agents of communication’.²¹⁸ Samson outlines the diversity in concepts of genres between Russian Formalism from early twentieth century poetics and developments since then which argue that a social element is a defining feature of genre: the latter is especially integral to popular music theory.²¹⁹ Samson gives the example of Adorno and his concept of Universal versus Particular in relation to genre:

... the terms style and form can accommodate, and are indeed used to describe, both poles of the dialectical process – universal-particular, collective-unique, schema-deviation. There is no such dual usage for genre, which signifies and labels only the general level, the category, the class.²²⁰

This theoretical approach, Samson argues, proves to be difficult in the examination of early nineteenth-century piano music, which was a period of vast modifications regarding public taste, technology, and artistic influence.²²¹ The stylistic range within such developments of that era, prove a challenge for the classifier who seeks out one authoritative meaning in any given generic group.

Samson firstly explores the impromptu genre as approached by Chopin within the realms of formalist thinking. The first step taken in this procedure is the

²¹⁷ Samson, ‘Chopin and Genre’, p. 213.

²¹⁸ *Ibid.*

²¹⁹ Samson, ‘Chopin and Genre’, pp. 213-14.

²²⁰ *Ibid.*, p. 214.

²²¹ *Ibid.*

classification of the impromptu genre at the time Chopin engaged with it: the author here identifies two broad types but that the genre overall is not generically defined. The tools used by this scholar employ technical and musical terms where aspects such as formal design, phraseology and texture unite these works, yet discrepancies do feature; in the third impromptu, op. 36 for example, ‘generic stability is undermined by stylistic change’.²²² Also, although the fourth impromptu in G flat major, op.53 (1842) diverges from the musical consistencies established by Chopin, this occurs within certain restrictions so the piece still belongs to the genre group.²²³ Ultimately, the conclusion here is that there is an ‘internal consistency in the correspondence between title and content within a single genre’.²²⁴

Although Samson argues that Chopin revealed a permanence and therefore a clear identity of the impromptu genre (as just outlined above), he acknowledges the role of the listener in creating meaning as they can bring ‘any number of alternative codes to the work’.²²⁵ In a similar vein to the work done by Kallberg, Samson acknowledges how the composer referred to outside genres in works where the divide between serious and popular genres is once again articulated – the popular has been represented by genres which include the march, funeral march, waltz, and the mazurka.²²⁶ In Samson’s concluding remarks on how to approach genre he observes various approaches and what aspect of genre each methodology illuminates. The first category (which is not explored by the author) is with regards to the lyric piano piece of the early nineteenth century, therefore

²²² Samson, ‘Chopin and Genre’, p. 218.

²²³ *Ibid.*, p. 221.

²²⁴ *Ibid.*, p. 223.

²²⁵ *Ibid.*, p. 224.

²²⁶ *Ibid.*

employing a broad definition of genre. Another approach, which can be attributed to the more formalist way of thinking is how he created ‘generic order amidst the devices of this emergent repertory’.²²⁷ The final approach which has been outlined above is the use of popular genres within which Samson describes as ‘high art’ genres, where the march, for example, plays a part but does not govern the ‘host’ genre.²²⁸

2.7 Formal and Expressive Genres

The proposition of these two distinct genre types, as articulated by Robert Hatten, contributes a pertinent theoretical premise regarding the role of form in establishing genre – something which has arisen in the work of Dahlhaus and in Kallberg’s response to it. Hatten’s work concerns Schubert’s contemporary, Beethoven, and therefore is historically relevant to many of the issues at hand in the establishment of a theory of genre relevant to Schubert. Hatten states the foundation of the expressive genres:

[...] cut across the distinctions between formal genres. They are based on, and move through, broad expressive states oppositionally defined as topics in the Classical style.²²⁹

It is worth noting Hatten’s reference to Classical style and if we remember Samson’s assertion (stated earlier) about the increasingly expressive aesthetic in early nineteenth-century music, this has implications for what the ‘expressive genre’ means for Schubert’s piano genres. Hatten refers to the Romance, as defined by Rousseau, where the emphasis of the genre moves away from strict formal evaluation but where a combination of structure and expression is

²²⁷ Samson, ‘Chopin and Genre’, p. 229.

²²⁸ *Ibid.*

²²⁹ Hatten, *Musical Meaning*, p. 67.

articulated.²³⁰ Indeed, it is argued that the genre is ‘more expressively than formally motivated’.²³¹ Such an approach resonates strongly with Schubert’s engagement with the fantasia genre, which he engaged with in both the solo and piano duet mediums. The fantasia is usually defined by its formal freedom, where the notion of subjectivity and free expression characterise these works. Schubert’s four-hand fantasias from 1811 onwards reveal similar patterns in terms of both structure and expression. Cyclical form is a prominent formal construct in Schubert’s fantasias. In his final F minor fantasia, aspects of sonata form are indeed borrowed, yet, from the outset, the fantasia asserts itself as the host genre which features elements of the guest sonata genre. Several features in D.940 support this, such as the initial statement of both themes in the opening movement are in the same tonality – F minor. Such an occurrence lends itself to a subjective interpretation of D.940. Furthermore, Schubert’s fantasias embody a highly individual and expressive character where each opening theme displays a lamenting and mournful quality. Indeed, the combination and connection between the structure and the expression (as referred to above) is most evident in these works, especially the 1828 F minor fantasia. Furthermore, the variance of formal types throughout the history of the fantasia and the individual expressive aesthetic associated with it all connect with Hatten’s proposal of an overarching expressive genre.

2.8 Conclusion: Synthesis of Models

The presented selection of genre models, all of which pertain to early nineteenth-century art music, support the ongoing aims and questions of this thesis: How are

²³⁰ Hatten, *Musical Meaning*, p. 69.

²³¹ *Ibid.*

genres defined? How do Schubert's four-hand piano repertoire relate to these taxonomies of thought? How has the classification of the piano duet influenced the reception history of such works?²³² An examination of Dahlhaus's theory of genre uncovered the complexity in pinpointing the defining features of a genre. Dahlhaus's emphasis on the classification element of genre, via assessing function, texture or text, scoring, and form, has interesting implications for four-hand music. Musicology has long categorised the duets as representing one generic group, given their unique four-hand scoring and their association with the salon. Furthermore, there is a clear link between the reception history of Schubert's piano duets and Dahlhaus's approach to function: the reception history of Schubert's four-hand music as bourgeois music for the salon, implies a clear function which, if adopting Dahlhaus's theory, labels these works with a misleading identity. Such negative labelling is a reason scholarly investigation into these works has been lacking. Interestingly however, given the variety of forms of the duets, the issue of form certainly could not characterize this group of works, if utilising Dahlhaus's approach.

The work of Citron, Samson and Kallberg overtly challenges specific aspects of Dahlhaus's arguments concerning the nature of genre in the early nineteenth century. All three theorists challenge two key areas of Dahlhaus's genre theory: classification and function. Although Citron agrees with Dahlhaus that every piece does not 'fit' into a genre, she highlights how this may result in

²³² The popular music theorist, Fabian Holt offers a 'de-centered concept of genre' in his studies on this topic: Holt, *Genre in Popular Music*, p. 159. Holt's model reveals similarities with Kallberg's own approach as the former author emphasises the 'cross-generic and processual qualities that defy categorical fixity', (p. 159). However, the issues which relate most closely to Schubert's four-hand category and genre theory are more applicable in the approach by Jim Samson and Jeffrey Kallberg.

the works being ignored or overlooked from scholarship and in a third level educational context. Citron proposes that the classification elements should be broadened to incorporate environmental and social aspects. In relation to Schubert's duets, an examination of the environmental and social aspects also serves to expose the prejudice an environment can have on the identity or apparent function of a work. Therefore, in line with the exploration of salon music in the previous chapter, a critical exploration of the relationship between an environment and its era, and especially how this relationship has been dealt with (or misconstrued) in reception history ties in with these aspects of genre theory. Furthermore, the idea that function ceased to exist in early nineteenth-century genres – as contested by all three revisionist theorists – ignores the role of publishing and the widespread lack of musical patronages which created a more independent composer. Indeed, the notion of music with no function at all ignores its connection to the society which supported such cultural activities and the contemporary activities of composers which incorporates musical societies, musical influence and performance practices.

Although Samson and Kallberg embrace the communicative aspect of genre, a certain degree of classification does feature in their work. What is most innovative about their work however is that classifying musical elements comprise only one aspect of genre; it is the codes inherent in generic choices which play a pivotal role in how genre is understood. This emphasis on the rhetorical element of genre aims to move away from the evaluative process as promoted by Dahlhaus. In such a framework, evaluation is replaced by concepts such as the relationality between genres, idiosyncrasies and malleability of genre,

responses and traditions. The latter two relate to the strong emphasis now placed on reception history in understanding the formation and identity of generic groups. Kallberg's approach differs somewhat from Citron where he views works that may be labelled as non-generic or autonomous as still relating to a genre. His view in such an instance is that the composer is deliberately blurring the boundaries of genre. Therefore, a work may present some expected traits of its class but may deviate in one or more ways to deliberately destabilise generic stability. In a similar vein, Samson encourages us to explore the relationship between title and content as this is where generic meaning can be uncovered. This relationship reveals the composer's ability to both conform and deviate from expectations and also incorporates the role of the listener in establishing meaning.

Chapter three will explore previously uncharted territory by contesting the piano duet as a distinct category and the implications of this. Indeed, the issue of scoring and form raise key classification issues in relation to four-hand music. The arguments raised in this chapter regarding the constituent elements of genre will be challenged on a deeper level in chapter 3; this represents a pivotal turning point in the reception of Schubert's four-hand music.

CHAPTER 3

(RE)DEFINING GENRE: THE PIANO DUET AS A 'CATEGORY'?

3.1 Introduction: Issues of Genre and the Piano Duet Category

The process of uncovering the operative functions of any given generic group provokes several layers of questioning: How does a category become established? Indeed, does a category establish itself or do we impose classification distinctions upon certain groups of works? The theoretical concepts which relate to these questions were explored in the previous chapter but will now be applied directly to the piano duet. This chapter will therefore commence with a fundamental question: do the piano duets of Schubert comprise a distinct category? Implicit in answering this question is the influential role reception history has played in the construction of generic identities (something largely addressed in this thesis up to this point). Although genre is essentially a term used to classify and assess similarity, we can recall how such scholars as Jeffrey Kallberg argue that assembling constituent elements of a body of works merely categorize but do not create meaning in themselves. Prior to exploring the communicative elements of genre however, as proposed by Kallberg, a certain degree of classification does need to occur with the title usually being the first point of reference. The importance of identifying the response to a genre's title has thus played a central role in Kallberg's recent work and in this chapter. Kallberg and Samson have explored Chopin's genres within the solo piano oeuvre where the issue of medium as the central determining force of genre has not been applicable. We are reminded of Schubert's unique merging of the four-hand medium with a traditionally solo piano genre – the fantasia. That Schubert also composed

fantasias for solo piano brings a new layer of questioning as to whether Schubert perceived any generic disparities between the solo and duet fantasias. It is also interesting to consider whether there is an identifiable point in musicology when the title 'piano duet' transferred from merely identifying an instrumental medium to the more persuasive role as the chief indicator of a genre? When one reads through the limited secondary literature on Schubert's duets – and the piano duet in general – it is evident that a blurring of medium title and genre title has occurred throughout the reception history of these works. If we are to examine the interplay between title and content as instigated by Samson and Kallberg, then the establishment of the title 'piano duet' as a genre requires clarification. It is at this stage that a vital point needs to be articulated; the category in which we choose to place selected piano duets will dictate with which works it will be compared and/or grouped. Our understanding and interpretation of any given work (or group of works) is therefore reliant on placing these works in their 'correct' home genre. What is being argued here is that it makes more musical and generic sense to observe the compositional approach to a march in the context of other marches for solo piano and/or duet piano and, furthermore, marches by contemporary composers, in order to gain an understanding of current established conventions and practices. The notion that the piano duet fantasias, polonaises, sonatas, marches, and overtures, for example, were part of the one family, genre or group is highly contentious and will be challenged in the course of this chapter.

The questioning of the piano duet as a genre is significant and the consideration of the contributions to this medium prior to Schubert and during his lifetime may shed some light on the complexity of deciphering this phenomenon.

It may be arguable that historically speaking the piano duet did act or was presented in terms of a genre. This occurred within established discourses regarding function, performance venue, and style so it is therefore necessary to clarify this aspect of generic activity. The example of Mozart's four-hand contributions closely relate to such questioning. A crucial example in reception history worth reciting is Eric Blom's labelling of Mozart's F major sonata K.497 'as an almost uncomfortably great piece of domestic music'.²³³ Tovey, who also believed Schubert's 'Grand Duo' to have been conceived as a symphony, admitted his desire to orchestrate Mozart's sonata as a string quintet.²³⁴

This leads to broader questions of music and identity, however, and necessitates reflection on how four-hand keyboard works 'fit' into 'serious' genre categories and others into 'popular/light' genre categories. So perhaps it would be more accurate to say that much four-hand music prior to and during Schubert's time resulted in works in various genres but that these work 'types' predominantly exemplified the popular/light or pedagogical categories. Therefore, what this chapter argues is that Schubert (and here we can include Mozart to a lesser degree) was exceptional in producing four-hand works belonging to the typically defined 'serious' categories such as the sonata and fantasia as well as four-hand works for the popular genres such as dances and marches. It should be immediately noted however, that Schubert composed piano duet works in apparently 'lighter' genres, such as the Grande march funèbre, C minor, D.859 (composed 1825; published 1826) which communicates a melancholy and depth which challenges the dance-like joviality associated with this genre. The

²³³ Blom, *Mozart*, p. 273.

²³⁴ Tovey, *Essays*, Vol. 1. p. 199.

placement of the duets within a serious or popular category is also further complicated by the prevalence of four-hand sonatas by such composers as Clementi and Mozart and this is where issues of style are especially important. Schubert did produce two duo sonatas and the second, the 'Grand Duo', has been described as 'elevated in style' in relation to Schubert's other four-hand works. Indeed it was the style of this work compared to Schubert's other duets which led Notley to view this work as not part of the generic group, and consequently compared it to Schubert's late *solo* sonatas. This adds to the problem previously articulated, regarding the hierarchy which exists within the piano duet oeuvre when an attempt is made to compare a four-hand sonata, for example, with four-hand marches or divertissements.

If the terms genre and style have been used interchangeably, then this 'tradition' of understanding genre (via style) requires further probing when referring to a group of works as taxonomically bound. Because the topic in question is the examination of music, is it possible to sideline such musical elements as form and style and just focus on function, social context, and culture for example? The evidence seems to dismiss this possibility given the reasons outlined in the previous chapter that the music *must* be considered in establishing any generic category.

The flexibility of genres in the early nineteenth century relates, in part, to Dahlhaus's assertion that genres were irrelevant at that time. That genre ceased entirely as a determining force in the music of Schubert's nineteenth-century Vienna, however, disregards any obvious generic groups (and 'other' generic referencing), which occurred at that time. In addition to the interpretation of this

as outlined by Citron and Kallberg, this early nineteenth-century trend in music-making has also been addressed by Jonathan D. Bellman in a very recent study (2010) of Chopin's op.38 ballade:

[...] by the 1830s the entire idea of governing protocols in musical genres was giving way to the individual utterance of compositional genius, at least to some extent, it is also possible to see the genres themselves as gaining a flexibility that would still allow for a kind of contract without the restrictive formal template.²³⁵

Although Bellman's argument is placed post-Schubert (and beyond Vienna), modifications to generic activity in the early nineteenth century generally defies a clear linear progression; genre generally operates in a more interactive fashion, as already argued. As a consequence, the involvement of early nineteenth-century Viennese culture and musical practices, as a contributor to genre, aims to clarify the nature of genres at that time and, based on that evidence, to provide a (new) platform on which to explore Schubert's four-hand repertoire.

What is central to this chapter however, is the identification of a concept of genre, with careful consideration of the way that concept is defined. The questioning as to whether the Schubert's piano duets comprise a category has not been addressed in scholarship, with the exception of one brief instance by Notley, which will be fully critiqued. Therefore, the aim of constructing a paradigm regarding how Schubert's duets relate to concepts of genre, ventures into new theoretical territory. In line with this, a critical assessment of key scholarly texts which loosely refer to these works as a genre with no theoretical backdrop or clear classification criteria will occur. In summary, this chapter will critically assess the following areas in relation to Schubert's four-hand piano music with regard to the

²³⁵ Jonathan D. Bellman, *Chopin's Polish Ballade, Op. 38 as Narrative of National Martyrdom* (Oxford, New York: Oxford University Press, 2010), pp. 95-6. Hereafter referred to as Bellman, *Chopin's Polish Ballade*.

issue of scoring; how and when a compositional title establishes a genre; and the orientation of form, style and genre within genre studies. The main proposal of this chapter is that the duets comprise a medium which contains multiple genres. Therefore, a genre study should examine each generic group separately. This does not mean that similarities can not be acknowledged between the fantasia genre or sonata genre, for example, but that initially, the selected genre be explored within its own group in order to establish meaning and identity.

3.2 Establishing Genre

3.2.1 Schubert's four-hand works and the issue of scoring

In an effort to establish a definition of genre, the role of scoring in this process leads to an imperative question: do Schubert's piano duets actually comprise a complete generic group? This questioning of the piano duet as constituting a taxonomical group does not attempt to negate contributions of recent scholarship, which acknowledges that Schubert's works for piano four-hands transformed our understanding of salon music. Indeed, the bourgeois associations of salon music positioned the duets on the periphery of scholarship which then resulted in them often being classified collectively. The changing status of Schubert's piano duets can be observed from a glance at readings such as Ernest G. Porter who typically defines these works in the following way:

With a few exceptions the works are gay and lighthearted, evidently written for pleasure in order to give pleasure.²³⁶

A clear distinction between popular and serious is being communicated here and in addition to the intimated entertainment function, the branding of the duets in such a way additionally reveals a hierarchy within the duets. The

²³⁶ Porter, *Schubert's Piano Works*, p. 138.

consequence of this is that only a small number of works have received analytical, historical or theoretical attention with many compositions being overlooked or ignored. Ultimately though, this chapter maintains that this hierarchy has largely been created due to the practice of grouping the duets together. The production of many works for teaching, utilitarian and sociable uses has most likely persuaded the listener and reader that the scoring of four-hands at the keyboard or piano automatically indicates a genre. There is another side to this argument however, in that, as Schubert transformed the genres he produced in the four-hand medium, that this automatically places these works in the same class. Dawes' discussion of the Piano Duet acknowledges how Schubert 'exploit[ed] the medium to the full' and that his 'body of duet music [was] unparalleled by any other [contributions]'.²³⁷ Dawes is one of the recent scholars who acknowledged how Schubert transformed the tradition of this 'genre' by his 'exploitation' of this medium: although such scholarship invites further investigation and analysis of these works, it simultaneously, if unconsciously, categorises these works together.

The classification of the duets as perfunctory or sociable has also been addressed in the seminal work of such scholars as Brian Newbould and Margaret Notley. The status of the piano duet has been addressed by Brian Newbould, who differentiates between the utilitarian character of so much duet music in the nineteenth century and Schubert's realisation of the 'intrinsic virtues of the four-hand ensemble'.²³⁸ Margaret Notley's article indeed responds to the earlier image of the piano duet as presented by such scholars as Porter when she argues how the sociable and the serious co-exist in these works. Therefore, in a similar discourse

²³⁷ Dawes, 'Piano Duet', p. 654.

²³⁸ Newbould, *Schubert*, p. 234. This is also referred to in Chapter 1, see footnote no. 98.

to Newbould, Notley's article challenges the notion that the duets embodied a singular aesthetic or function.

The necessary and insightful scholarship by the aforementioned scholars has provided a crucial step in contesting the historical positioning of the duets within popular realms and ideologies: it is such contributions that have been the impetus for this chapter. Notley's article occupies a unique role in its questioning of whether Schubert's duets comprise a generic group. Although this chapter draws alternative conclusions, the engagement with definitions of genre, in this instance, stimulates many questions regarding how genre is established. It is worth quoting part of this article which relates to Notley's definition of genre:

Carl Dahlhaus observed that most musical genres are defined by a number of separate attributes: thus, the string quartet of the late eighteenth and early nineteenth centuries is distinguished by its formal layout and sophisticated tone as well as by the groups of players that give it its name; while a fugue, characterized only by a compositional procedure, is "underdetermined" as a genre [...] *Patterns of manner and affect, if not of form, do seem to mark Schubert's four-hand music as a genre.* The works that do not fit are the sonatas composed in the summers at Zseliz, the B flat Sonata (D617) from 1818 and the "Grand Duo" (D812) from 1824, along with the Fugue in E Minor (D952) from 1828. In its form, naturally, but also its almost consistently elevated style, the "Grand Duo" in particular resembles the later solo sonatas rather than the other duets...²³⁹

The approach to classification here follows from Dahlhaus's lead where genre is understood via strict classification techniques and the works that do not 'fit' are otherwise classified or dismissed altogether. (Here we can recall Citron's observation that stricter classification techniques such as these do tend to exclude works from a genre where they may have been misplaced due to the chosen taxonomical criteria.) Indeed, inherent in Notley's method of classification is a striking value judgement of 'elevated' as given to the 'Grand Duo'. As Notley compares this sonata to Schubert's solo sonatas, she is implying that the

²³⁹ Notley, 'Schubert's Social Music', p. 145.

remaining duets are inferior in quality and status. It should be noted that Schubert's piano duet fantasias are *not* included in Notley's article leaving a question as to how these works relate to the piano duet 'group'.²⁴⁰ It is imperative, however, to highlight one point as expressed here and that is the idea that the string quartet is defined via form, tone and especially 'by the group of players'. It is generally accepted that genres such as the string quartet, piano trio or the symphony are, also, determined by their performance groupings (in addition to other similarities) and one could question whether this has contributed to the piano duet being categorized in a very loose and ineffectual way.

Although Notley's article valuably begins to address the complex function of Schubert's four-hand piano works, due to her chosen classification criteria (without acknowledging this apparent 'genre's' connection to other piano music 'genres') the article fails to realize other potential functions of these works. Although not directly referred to, it seems plausible that the presence of two performers and the associations that come with that has disallowed the author to perceive that these works may not 'belong' together. It is the decision to group the four-hand works exclusively together (minus the three exceptions mentioned), which denies the possibility of their (functional, stylistic and formal) relationship and possible similarity to other works, of differing instrumentation.

Notley's article, however, does indirectly refer to the fundamental argument of this chapter when it states: 'In its form, naturally, but also in its almost consistently elevated style, the "Grand Duo" in particular resembles the

²⁴⁰ Although it would have been insightful to hear how the duet fantasias relate to Notley's argument, their absence from her chapter could be due to Kinderman's detailed discussion of the F minor fantasia in his chapter on piano music.

later solo sonatas rather than the other duets [...].²⁴¹ Although this point is not elaborated or explored in the article, it is at this point that the author fleetingly recognises that this wealth of four-hand music was, in some instances, related to piano works outside its own apparent class and the likelihood that comparisons to solo piano works could add to one's appreciation of how genre operated during that era. The 'Grand Duo' is a work that does, naturally, refer to other sonatas by the composer (and most likely to his contemporaries) and it is (arguably) more accurate to state that Schubert realised what the duet medium could add or contribute to the sonata genre overall. That many four-hand piano works were influenced by the workings of genres, also explored by the solo pianist, such as the sonata, the fantasia, the overture, and dance music which permeated nineteenth-century Vienna, provides an alternative hermeneutical platform in which to place and experience these works.

Indeed, if we accept Notley's criteria there are many unanswered questions which realise the weakness in the argument presented: surely the popularity of sonatas as a musical genre for such composers as Clementi and Mozart in their piano duets would have almost guaranteed that Schubert would also produce duo sonatas? This approach does, admittedly, include the sonata tradition in order to establish how Schubert engaged with this genre, and therefore looks beyond the composer – an activity supported by the approach of this thesis. Furthermore, by insinuating that the 'Grand Duo' could be categorized as a serious work alongside the later solo sonatas, Notley immediately, by implication, and perhaps unintentionally, devalues other duets from being considered as serious works: for

²⁴¹ Notley, 'Schubert's Social Music', p. 145.

example the Allegro in A minor, D.947 and the Fantasia in F minor, D.940, both composed in 1828.

Schubert's 'Grand Duo' duet has long been considered as outside of its apparent class: such eminent critics across the centuries beginning with Robert Schumann to Donald Tovey to Margaret Notley, struggled to consider this work a duet – on the grounds that it was outside the norms of the domestic duet style.²⁴² The mixing of genres was a common modification of style in the early nineteenth century, as acknowledged by Kallberg. Therefore, the orchestral style in which Schubert composed the Sonata in C may have been unorthodox for the piano duet (not proposed category) or even the sonata genre (proposed category), but this was common for its time and furthermore, does not mean that it did not relate to other piano sonatas with respect to other features. Brian Newbould, also points out that when it comes to style in a work, often piano, quartet and orchestral styles overlap: an orchestral style is also found in other piano duets by Schubert, an example of which is the Allegro in A minor written in the final year of his life.²⁴³ Thirty years after approaches to examining genres have been radically overturned, Notley's placement of the two duo sonatas and the fugue outside the duet genre is representative of the complexity of defining genre and the tendency for the evasion of this. Furthermore, the concentration of this focus of study on Chopin's solo piano genres by Samson and Kallberg has kept the focus firstly, on *solo* piano music but also with the same composer – Chopin. This thesis, therefore, aims to bridge the gap that currently lies between recent seminal genre studies and Schubert's piano genres.

²⁴² Porter, *Schubert's Piano Works*, p. 153; Tovey, *Essays, Vol. 1.*, pp. 215-18; Notley, 'Schubert's Social Music'.

²⁴³ Newbould, *Schubert*, p. 241.

Discourses concerning the terms genre and medium within recent Schubert scholarship frequently elude definitional status. This argument can be considered by the representation of the piano duet in Schubert’s article in the *New Grove Dictionary*: In the *New Grove Dictionary*’s entry on ‘Schubert’ under the heading ‘Piano Music’, Schubert’s piano works are classified in the following way.²⁴⁴

Table 3.1 The Classification of Schubert’s solo and duet piano works (*The New Grove Dictionary*)

Solo Piano Works		Four-Hand Piano Works	
Paragraph 1	Piano Sonatas	Paragraph 1	3 Fantasias, Rondo (D608), 4 Polonaises (D599), Sonata (D617), 3 Marches Militaires (D733)
Paragraph 2	Dances	Paragraph 2	‘Grand Duo’ Sonata (D812), Variations A flat (D813), Divertissements (D818 and D823)
Paragraph 3	Short self-contained piano piece	Paragraph 3	Fantasia in F minor (D940), Allegro in A minor (D947), Rondo in A major (D951)
Paragraph 4	Impromptus (D899 & D935), Drei Klavierstücke		

In this article, when Robert Winter discusses the solo piano works he divides them into genres such as the sonata or impromptu. *He does not, however identify the genres within the piano-duet medium in the same way*, but lists the various works in chronological order as can be observed in table 3.1 above. The examples above identify some of the genres within the duet output. Therefore, what is being contested here is the author’s classification methodology. If we are to categorize the piano duet works as comprising a genre, as presented in the *New Grove* article, then the classification criteria need to be identified. If a group of works are

²⁴⁴ Winter, ‘Schubert’, pp. 682-85.

categorized as a homogenous group, this always means that fundamental similarities occur within the works. Although a work may certainly deviate from a genre's expectations, as Kallberg discusses, the variety of works explored by the four-hand medium do not indicate a homogenous group. The counter-argument being presented here is that the piano duet 'genre' is essentially a *medium* which contains multiple genres.

In Winter's reading of Schubert's piano duets in the *New Grove Dictionary*, the term genre and medium are used interchangeably to describe this body of works and it is worth quoting these to substantiate this argument:

Although familiar from the 18th century, keyboard music for four hands was largely restricted to ephemeral pieces or utilitarian arrangements of orchestral works. Mozart invested *the genre* with more ambition but, as with the lied, it was Schubert who took a *marginal genre* and made it central. [...] The Grand Duo (D812) of June 1824 marked a watershed in Schubert's development, instantly raising the piano duet to a *medium* worthy of comparison with the *string quartet* or the *symphony*.²⁴⁵

Winter's entry acknowledges the originality of Schubert's duets in historic terms so the questioning does not lie in this aspect, but rather the lack of clarification between the use of the terms genre and medium. Furthermore, it is the way in which such terms are being *interpreted* that is being challenged here; the piano duets are assessed chronologically as opposed to the assessment of the solo works within their 'genres' as outlined above. Therefore, although genre and medium are both used to classify these works, the structure of the article communicates an understanding that the piano duets are understood as comprising a generic group. A further enquiry could be whether, in this instance, the string quartet is considered as a medium – as is implied – or a genre? Genre, in itself, alludes to

²⁴⁵ Winter, 'Schubert', p. 684.

works of a similar type, and the difficulty here is that the author's vernacular eludes this vital defining aspect of genre.

The role of scoring in establishing genre is indeed variable and may operate in conjunction with other aspects such as form in order to identify a genre – this aspect has already been explored in earlier discussions regarding Dahlhaus.²⁴⁶ Indeed, in some recent studies of early nineteenth-century genres, scoring does not surface in the debate as an overriding determinant of their chosen genre, presumably because it is a 'given'. It is worth rearticulating that Jeffrey Kallberg, for example, has explored Chopin's Nocturne in G minor; here the instrumentation – solo piano – was by no means a seminal force in the establishment of the nocturne genre. However, the solo piano is essential in bringing the genre 'to life' in terms of the possibilities of timbre, texture and tone so intrinsic to the many characteristics of these works. What surfaces here is that the instrumentation (piano) is integral to the nocturne genre but not a chief determinant of it – again the title 'nocturne' and its unequivocal association with the piano immediately clarifies this. What also dictates the tone or texture etc. however is the type of genre (nocturne, fantasia, march, sonata) being explored. Therefore, the (solo) piano allows for certain techniques to characterise (and allow the listener to recognise) a genre but these too vary depending on the genre in question. Another scholar, Patrick McCreless, discusses Schubert's three fantasias for piano solo, piano duet and violin and piano in his article but doesn't theoretically tackle this aspect of scoring.²⁴⁷ McCreless's article instinctively

²⁴⁶ See Chapter 2 of thesis.

²⁴⁷ Patrick McCreless, 'A Candidate for the Canon? A New Look at Schubert's Fantasie in C Major for Violin and Piano', *19th-Century Music*, 20/3 (1997), 205-30. Hereafter referred to as McCreless, 'A Candidate for the Canon?'.

realises the cross-scoring within the fantasia genre, something on which this thesis shall elaborate in order to establish why the duets are not a one-off, closed category of works.

Implicit in Notley's arguments, as previously presented, is not only that the instrumentation or scoring is a commonality but that it is a chief determinant of genre. A further question allows us to assess the notion as to whether Schubert's works for piano duet constitute a genre: Do all solo piano works constitute a genre? The (expected) decline of such a proposition then leads us to ask why the piano duet is commonly represented as a homogenous generic group.²⁴⁸ One potential opposing argument as to why the duets should be considered a complete genre is the proposition that these works are uniformly 'light' in style or character, yet this too is variable and doesn't account for the other 'light' works explored via solo piano. The branding of the duet medium in this fashion is an oversimplification of the works within their own contemporaneous generic practices. The main contention in this chapter is the lack of theoretical scholarship regarding the duets within genre studies – something which overlooks their interplay with other 'genres' and instrumental mediums.²⁴⁹

3.2.2 Role of Compositional Titles in Determining Genre

The blurring of medium title (in relation to Schubert's piano duets) with a genre title (for example, fantasia, march) has also partly occurred due to the unfixed role scoring has historically had in determining a genre. In support of this argument,

²⁴⁸ Readings who adopt this view include, Porter, *Schubert's Piano Works*, who by suggestion, considers the duets as pertaining to the same type, with a few exceptions. Winter's article 'Schubert' is discussed in the next paragraph.

²⁴⁹ I acknowledge Brian Newbould's comparison of Schubert's four-hand music to such composers as Beethoven and Mozart and that he recognised these works as moving beyond the utilitarian.

consider how in certain instances the scoring equates the generic title: String Quartet, String Quintet, (Orchestral) Overture,²⁵⁰ Symphony, and Piano Trio – all genres explored by Schubert. In such examples, scoring (usually alongside formal expectations) functions as a chief determinant of genre in these instances. The table below (table 3.2) verifies that several genres within the piano duet output were also composed for solo piano. (Such a theory does not negate the unique timbre, sonorities, techniques and textures instrumentation can bring to a genre.) This table outlines the entire list of genres explored in Schubert’s piano duets, and their relationship to similar works from the piano solo repertoire. The purpose of such a table is to decipher the extent to which the genres within Schubert’s piano duet oeuvre also occurred in his works for the solo piano medium.

Table 3.2 Assessment of scoring variability in Schubert’s piano works (duets and their relationship to solo works)

Genre	Piano Duet	Piano Solo
Fantasia	4 (complete)	3 (complete)
Sonata	2	19
Divertissement	2	0
Overture	6	1 (& 1 lost sketch)
Theme & Variations (form or genre?)	4	3
Polonaises	3	0
Marches ²⁵¹	7	0
Deutscher & Ländler	1	15 (Deutscher)
Ländler	1	9
(Single Movement Genres/Forms)		
Rondo	2	1
Allegro/Allegro moderato & Andante	2	10 (incl single movements e.g. Allegretto)
Fugue	1	4

²⁵⁰ Overture is a little more complex as although it started as an instrumental genre, it became popular when piano arrangements of orchestral works also became a sub-genre of this ‘group’. Schubert himself arranged four piano duet overtures from his own orchestral works but also wrote original overtures for piano duet. Arrangements of orchestral works also extended to other genres, for example, operas and symphonies, for dissemination of these genres to the performing public.

²⁵¹ Please note that the quantity of 7 refers to single and groups of marches published as one opus.

The findings produced in this table reveal that over two-thirds of the ‘genres’ were produced in both piano solo and piano duets. The placement of the piano duets in their own category would deny the obvious links that exist between these two mediums and how they operate in a variety of genres. Furthermore, there are copious dance genres explored *only* via piano solo: minuet and trio, ecossaise and waltzes being the most common.²⁵² Such a fact negates any assumptions that the ‘light’ genres were particular only to piano duet music. Indeed, the fundamental question, and what the later analysis will aim to decipher, is whether instrumentation (that is, solo piano and duet piano) had a bearing on chief aspects such as style and form of the fantasia in question or whether the generic traits transcended the medium through which it operated?

With regards to the workings of titles in establishing genre, it should be observed that Samson identified (in Chopin’s *solo* piano genres) various titles and their status during that period:

Table 3.3 Jim Samson: Genre Titles in Chopin’s Solo Piano Music²⁵³

Type 1	Conventional Titles, Conventionally Defined	Sonata
Type 2	Conventional Titles, Conventionally Defined, New Status	Étude
Type 3	Conventional Titles, Newly Defined	Scherzo, Prelude, & 3 Principal Dance Pieces
Type 4	Conventional Titles, Defined Clearly for the first time	Nocturne, Impromptu
Type 5	New Titles	Ballade

²⁵² Examples of dance genres for piano solo include, 12 single or groups of waltzes. Examples include: 20 Waltzes (Letzte Walzer), D.146, 1815 & 1823 (published 1830); 34 Valses sentimentales, D.779, 1823 (published 1825), 12 Grazer Walzer, D.924, 1827 (published 1828); 9 single or groups of Minuet and Trios (none were published during Schubert’s lifetime); 14 single or groups of Ecossaises, occasionally published with other dances. Examples include: Ecossaise, d/F, D.158, 1815 (published 1889), 16 Ländler and 2 Ecossaises, D.734, c1822 (published 1826), 12 Ecossaises, D.781, 1823 (published nos.4, 7: 1824, no.1: 1825, nos. 2-3, 5-6, 8-12:1889). For further details regarding these, please consult Winter, ‘Schubert’.

²⁵³ This information is taken from Samson’s article, ‘Chopin and Genre’, pp. 216-17.

It is of interest to note that Samson conveys how these titles have certain recognisable associations in music of that period:

Improvisation in the Prelude, Impromptu and Fantasy; vocal transcription and imitation in the Nocturne; literary inspiration in the Ballade.²⁵⁴

A substantial gap exists in Schubert scholarship regarding the significance of theories of genre and their persuasive role in the reception of the composer's piano duets; the information in the table above (table 3.2 relating to Schubert's genres) invites two things: that these four-hand works receive more scholarly attention but also that these works are examined within their appropriate genres. This, of course, does not denote that the comparison or cross-referencing with other piano duet genres (consider Kallberg's model) will not occur or feature in such an investigational procedure.

With the beginning point in defining genre as the title, the Fantasia, Sonata, March, Nocturne and Mazurka, for example, all label their own generic group. Kallberg acknowledges that 'two pathways' led to a generic interpretation of the G minor nocturne: firstly, that the composer intended the work 'to be heard in the tradition of earlier nocturnes' yet also acknowledges the possibility that 'Chopin intended the piece to be taken as opposed, in some way, to its apparent class'.²⁵⁵ What can be deciphered from these two (presented) interpretations is the associational aspect of a title and the way in which it sets up an expectation – something which the composer then chooses whether to conform to or not. Interpretations of the title 'fantasia' is particularly interesting in such a discussion, as during the early nineteenth century, the term was often paired with other genres such as sonata or rondo, where a clear indication of a free style or alternative form

²⁵⁴ Samson, 'Chopin and Genre', pp. 216-17.

²⁵⁵ Kallberg, 'The Rhetoric of Genre', p. 246.

was suggested. Consequently, in a study of the fantasia, the way in which the use of the fantasia title in such circumstances has a role to play in contemporary understandings of the fantasia genre requires probing. In his book on Chopin's second Ballade, Jonathan Bellman argues he cannot trace a 'generic pattern between [Chopin's Ballade, op.38; Clara Wieck's ballade from her *Soirées musicales*, op. 6, no. 2 and Schumann's "Balladenmäßig" from Davidsbündlertänze, op. 6,] yet a certain thread does connect them'.²⁵⁶ The commonality being referred to here is the association of each work with 'storytelling'.²⁵⁷ The fact that Wieck's and Schumann's 'ballades' were composed as part of a larger group of works – with their own title – the title 'ballade' rightfully may only partially conform to a characteristic of the genre proper, that is, the Ballade.

The importance of the title in establishing generic meaning is explored in Jim Samson's article on Chopin and genre and his argument is worth quoting:²⁵⁸

The title is integral to the piece and partly conditions our response to its stylistic and formal content, but it does not create a genre. Equally a taxonomy of formal and stylistic devices will not of itself establish a consistent basis for generic differentiation. It is enough to consider the substantial overlaps between Chopin's genres in this respect. Without the title we might have difficulty classifying even some of the nocturnes. It is the interaction of title and content which is important.²⁵⁹

The central argument here is to establish the title as the starting point (but not the end point or destination) of a genre, acknowledging that the title is not necessarily conclusive in what the genre is communicating. It is merely a starting point from

²⁵⁶ Bellman, *Chopin's Polish Ballade*, p. 95.

²⁵⁷ *Ibid.*

²⁵⁸ Samson, 'Chopin and Genre'.

²⁵⁹ *Ibid.*, p. 217.

which the composer (and listener) may have expectations which may or may not be fulfilled. Ultimately, a title essentially is a point of departure.

3.2.3 Orientation of Style, Form and Genre

3.2.3.1 Style

The (broad) association of style with identity is realised via the various terms of reference surrounding this concept: musical works (individual and group), composers, and (historical) eras.²⁶⁰ The objective, in this instance, is twofold: to acknowledge the multiple associations of this term and secondly, its conceptual relationship with form and genre. Style is a term which may articulate difference and/or similarity – both can establish status/hierarchy – but ultimately it is the exhibition of various compositional fundamentals which are outlined by Robert Pascall: ‘form, texture, harmony, melody, rhythm and ethos’, determined chiefly by cultural and geographical environment, (available) instrumentation and practices of that era in question.²⁶¹ The argument that style operates as an independent force, as promoted by Guido Adler,²⁶² has been overturned by such theorists as Leonard Meyer (1989) who acknowledges that a composer makes decisions regarding style – these decisions being dictated by ‘social, cultural and technical knowledge’.²⁶³

The multiple facets of style realises a multifold concept as the given composer (Schubert) responds to cultural norms of style within that particular period. There is an acknowledgement here that ‘response’ can both conform to

²⁶⁰ Beard/Gloag, *Musicology*, pp. 170-73. The article: Robert Pascall, ‘Style’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 20 July 2011], outlines the various applications of the term style as also described in this opening sentence. Hereafter referred to as Pascall, ‘Style’.

²⁶¹ Pascall, ‘Style’.

²⁶² Guido Adler, cited in Beard/Gloag, *Musicology*, p. 171.

²⁶³ *Ibid.*

and challenge stylistic conventions at that time. The assessment of style of a composer's works may embody a certain group of works (for example, sonatas or fantasias) or a certain period of his works (for example, late style). In the case of the fantasia tradition, the works appear at all stages in Schubert's compositional career and therefore any assessment of style must consider the implications of this. As a consequence, when looking for a recurring generic trait such as style, for example the notion of development must take a central role in such an investigation. Style does, however, play a role in establishing generic meaning and the expectation of a certain style can dictate whether a group of works belong, taxonomically, to each other. If style however, is inconsistent, this does not necessarily conclude that generic activity is entirely absent. In such an instance, the notion of development (over a composer's career) and (deliberate) deviation necessitate enquiry.

The suggestion of an early or late style, for example, realises further aspects to assessing this phenomenon – that style itself can be used as a classification tool. We are then brought to the question of the way in which western art music has been categorized and of any instances where style overtakes genre when assessing a composer, period of musical history or a group of works.

3.2.3.2 Which constituent elements?

Although Jeffrey Kallberg's model (responses – past and present – signals, traditions, neighbouring and contrasting genres, mixture and mutability)²⁶⁴ moves away from placing the entire emphasis on constitutional aspects of genre, the matter of how a generic group is understood or validated still requires elucidation.

²⁶⁴ Kallberg, 'The Rhetoric of Genre', p. 246.

Indeed Kallberg acknowledges how ‘interpretation as well as the cataloguing of shared characteristics’ should feature in a genre study.²⁶⁵ In a similar process to assessing form and style, various musical features (which are within the parameters of form and style) reveal their importance in understanding a genre: tonality, texture, melody, rhythm, phrasing, harmonic gestures, recurring motifs, dynamics and tempo.

The intricacies of how constituent elements both combine (to conform to a norm) and differentiate (to defy a norm), abounds in scholarship regarding Chopin and genre. Jeffrey Kallberg, for example, reveals how Chopin’s nocturne in G minor is atypical (that is, expected elements usually associated with the nocturne are absent) of its genre in the following ways: style, melody, accompaniment, different rhythmic stresses, tonal plan and the absence of the opening theme at the close of the work.²⁶⁶ Jim Samson argues how Chopin did not have a ‘clear view of the impromptu as a genre’ when he first engaged with it,²⁶⁷ yet later reveals that the presence of any deviations from generic norms in these four impromptus did not negate the presence of a generic group. Samson outlines some of the similarities between the first and second impromptu: ‘precise parallels of formal design, proportion, detailed phrase structure, texture and contour [as well as] motivic parallels’.²⁶⁸ The third impromptu, Op.36, deviates in its stylistic and formal approach while simultaneously draws from the earlier impromptus, thematically, formally (except for the variation sequence in the ternary structure)

²⁶⁵ Kallberg, ‘The Rhetoric of Genre’, p. 246.

²⁶⁶ *Ibid.*, p. 238.

²⁶⁷ Samson, ‘Chopin and Genre’, p. 218.

²⁶⁸ *Ibid.*

and in its figuration.²⁶⁹ The ultimate objective will be to delineate where the fantasia tradition was ‘at’ on Schubert’s first engagement with it and his perception of the genre at his final engagement with this tradition. The question of whether, and if, these works comprise a generic group shall involve a preoccupation with both recurring and (the expected) absent musical constituents in order to uncover the workings of the genre.

3.2.3.3 Form (and Stylistic Expectations)

Western Literature has a long history of genre classification based on formal features alone [...] For Classical music we have formal genres such as string quartet, symphony, and piano sonata (or looser families of forms such as the divertimenti); and formal schemes such as sonata form, theme and variations and rondo.²⁷⁰

In Robert Hatten’s book (quoted above), which explores musical meaning in Beethoven, he immediately refers to an associated aspect of this thesis whereby certain genres are governed by form – something which could be otherwise defined as a recurring or dominant genre marker. Genres referred to by Hatten all survived well into the nineteenth century and such definitions, as recounted by the author, are unquestionably relevant to how the fantasia genre is classified and the role form played in its meaning.

The association of a certain style (for example, improvisatory and virtuosic) with a certain (expected) form (for example, ‘free’ form) of a genre (for example, fantasia) reveals the prevalence of expectation in assessing these concepts and especially their interrelationship. Indeed, a genre title generally sets up expectations regarding form and style; this is something closely tied to the composer’s own oeuvre and standard practices of that time. Although, a certain

²⁶⁹ Samson, ‘Chopin and Genre’, pp. 220-21.

²⁷⁰ Hatten, *Musical Meaning*, p. 68.

stylistic attribute (for example, lyrical or virtuosic) may also characterise other genres, it is the distinctive interplay between style and form which provides a unique identifiable characteristic within a group of works. The (historic) association of ‘freedom’ with the fantasia – something which is realised in both stylistic and formal terms – has implications for Schubert’s own exploration of this tradition. Not only does an enquiry into this demand a review of contemporary fantasias but also necessitates a backward glance to the middle to late eighteenth century where this tradition was being explored and defined: Kallberg’s model, which provides the foundation of chapters four and five, invites the assessment of traditions of the genre.

Recent work done in the area of genre studies reveal how individual scholars have approached this ‘problem’ of differentiating and defining style, form and genre. Moore thoroughly engages with this argument resulting in many ‘realms of reference’ between establishing a definition of both style and genre.²⁷¹ Moore distinguishes between these two concepts (within his first potential frame of reference) by arguing that style is related more to ‘the articulation of musical gestures’ and genre concerns the ‘identity and context of those gestures’.²⁷² The interrelationship between genre, form and style, as argued by Samson and discussed in the previous chapter, also acknowledges the differences and overlaps between these elements of the compositional process.²⁷³

The real objective should be to establish formal and stylistic similarities and deviations in order to realise how a generic group operates. Furthermore, it is

²⁷¹ Allan F. Moore, ‘Categorical Conventions in Music Discourse: Style and Genre’, *Music and Letters*, 82/3 (2001), 432-42, (p. 441).

²⁷² *Ibid.*

²⁷³ Samson, ‘Chopin and Genre’.

likely that one of either form or style might prove to be a more dominant genre marker – this is something that shall be unfolded in the course of the analysis. During the nineteenth century, (as per Kallberg’s model and also Samson’s work) a consideration of the influences of outside genres as well as (the expected) developments of style and formal procedures in a composer’s lifetime are crucial in exploring the workings of genres.²⁷⁴ The production of Schubert’s fantasias at the two extremes of his compositional life are, undoubtedly, going to reveal interesting findings in terms of style, form and tonal procedures.

3.3 Conclusion

3.3.1 Categorising Schubert’s Four-Hand Duets

The opening of this chapter poised some fundamental queries pertaining to two separate, but related, aspects of genre: firstly, the means of establishing a genre; and secondly, whether Schubert’s piano duets encompass a single category. The role of medium has not been a contentious issue for Kallberg and Samson in their work on Chopin’s solo piano genres. The argument of whether the piano duets comprise a genre, and why this is unequivocally relevant to their reception history, therefore aims to fill a vacant space in Schubert scholarship. The lack of questioning as to whether the piano duets comprise a genre has resulted in either the blurring of medium and genre (and the effects this brings) and/or conveniently cataloguing all these works as being of a similar type – salon music. Such labelling has allowed only a few works, and even these are very limited, to attract attention, whilst the majority of Schubert’s four-hand repertoire has been forgotten in serious analytical or musicological enquiries.

²⁷⁴ Kallberg, ‘The Rhetoric of Genre’. Samson, ‘Chopin and Genre’.

A genre is usually defined by its title and how this title relates to the content. The questions posed in this chapter request the reader to consider an earlier step in the process of exploring genre: the measures taken to create a genre title and the role of medium in this. Perhaps, in the historical imagination, the four-hand medium lay between solo piano music genres (where the medium is an aspect but not defining feature of genres) and larger instrumental genres comprising two or more instruments (where medium defines the genre) without a clearly defined role. The proposal here is that via the four-hand medium, Schubert produced works in multiple types of genres. Such an approach encourages works of a similar type to be explored in relation to each other, to solo works of that type, and, finally, to similar works by contemporaries. Schubert achieved two things in relation to four-hand music: he took existing genres, already popular with the four-hand medium, sonatas, marches and polonaises being standard examples, and elevated them, but he also explored the fantasia, previously created for solo piano, via the duet medium.

3.3.2 Foundation for the Fantasia Tradition

The fantasia of the early nineteenth century largely relates to the central tenets of genre formations, as explored in this chapter: form and style, their relationship to each other, and to genre itself. In addition, the fantasia is synonymous with freedom and self-expression and this allows us to question the role of the formal, stylistic and technical elements in relation to this aesthetic of the fantasia. Indeed, how does the fantasia aesthetic compare with the salon aesthetic as has been represented in historical reception? Establishing and interpreting the generic codes of the fantasia tradition shall comprise Part II of this thesis as the criteria

established in the proposed generic paradigm of Jeffrey Kallberg shall be realised. A further question which arises from the findings of this chapter, is how did the use of a ‘new’ medium in an already established solo genre – the fantasia – modify or expand this class of musical works? A further aspect of medium is the relationship between the music’s structure and the intended performer. Indeed, the role of the solo performer of the free fantasia versus the two performers in Schubert’s fantasias, along with the musical and technical details, pertaining to this, require probing. The role of the audience in creating meaning, also raises interesting issues as to the relationship between the solo and duet performer(s) and the (intended) audience. These copious theoretical aspects of genre in relation to Schubert’s (four-hand) piano music are distinctively absent from current debate and this lacuna is consequently the driving force of this thesis.

—PART 2—

DECODING TRADITION:
SCHUBERT'S ENGAGEMENT WITH THE
(FOUR-HAND) FANTASIA

CHAPTERS 4-5

CHAPTER 4

THE FANTASIA TRADITION

4.1 Introduction

The musical intricacies of the fantasia as well as broader aesthetic issues underlie many facets of this widely practiced nineteenth-century genre. The complexities in deciphering a genre, as discussed in Part 1 of this thesis, relay the necessity for two enquiries: firstly, to establish how a group of works form a category but, secondly, to assess how compositional choices often subverted norms or expectations. The objective is not simply to classify but to uncover meaning and to consider how musical practices in Vienna infiltrated the fantasia genre. The labelling of the fantasia as ‘free’ from the middle of the eighteenth century, followed by the development towards more ‘formal’ fantasias early in the nineteenth century, conveys a changing tradition, yet, the subjective aesthetic associated with the fantasia has functioned as a chief genre marker across both centuries. The nature of free improvisation versus more formal works is pertinent to Schubert’s dealings with the genre and the execution of this style naturally modified, as his fantasia works became increasingly structured and cohesive.

In addition to exploring the musical characteristics of the fantasia, the connection these had with various phenomena – such as the subjective aesthetic – is also worthy of our attention. So too the relationship of musical structure and style with the designated performer and the role of the listener in creating meaning are all intrinsically linked to the personal, private and public aspects of the genre. Furthermore, the notion of public display and the nineteenth-century virtuoso both feature here. Patrick McCreless argues that Schubert struggled with

two opposing fantasia styles: the public virtuoso style versus the private.²⁷⁵ This remark from McCreless certainly acknowledges the dichotomy that lies at the core of the fantasia genre – ironically (when we consider Dahlhaus’s emphasis on classification), a genre difficult to define. In relation to this, Schubert’s choice of tonality for his later fantasias reveal a correlation between major tonality and virtuosity and minor tonality with a more intimate approach. Alongside the improvisation and exhibitionism which typically characterise the genre, another side to the genre is esoteric and Schleuning and Parker both discuss the expression of individual sorrow in the free fantasia.²⁷⁶ Finally, during the early nineteenth century, it was common for genre titles to be used informally and interchangeably where generic crossovers were common. This of course went beyond mere titles and as genres absorbed the styles and characteristics of ‘outside’ genres, new meaning and identity was being communicated. Even though Schubert himself purposefully labelled his works with carefully chosen titles, his fantasia compositions absorbed outside genres and forms.

Framing Schubert’s entire compositional life, the composer’s fantasias acknowledge both types of fantasia with the early works exemplifying a sectional structure, as found in earlier fantasias by such composers as Mozart and C.P.E. Bach. Schubert’s later works are more typical of the formal fantasia where he borrowed aspects of sonata form, revealing an engagement with contemporary musical practices. As the fantasia progressed from exhibiting a freedom of

²⁷⁵ McCreless, ‘A Candidate for the Canon?’, p. 217.

²⁷⁶ Peter, Schleuning, ‘The Fantasia II, 18th to 20th Centuries’, in *Anthology of Music*, no. 43, ed. by K. G. Gellerer, trans. by A. C. Howie (Cologne: Arno Volk Verlag, 1972), p. 11. Hereafter referred to as Schleuning, ‘The Fantasia’. Jesse Parker, ‘The Clavier Fantasy from Mozart to Liszt: A study in Style and Content’ (unpublished Doctoral Dissertation, Stanford University, 1974), Chapter 2. Hereafter referred to as Parker, ‘The Clavier Fantasy’.

expression where the composer-performer appeared free from the ties of formal conventions (in the second half of eighteenth century), the adoption of conventional formal archetypes in the early nineteenth-century fantasia resulted in a much more structured and unified work. This raises the question of whether the nineteenth-century fantasia relates more to the expressive genre or the formal genre.

Of particular note is that the tradition of the piano fantasia was in solo performance, and Schubert was unique in composing four – out of his eight complete fantasias – for piano four-hands.

Table 4.1 Schubert’s Complete Fantasia Output²⁷⁷

Deutsche No.	Work Title	Instrumentation /Medium	Year Composed	Year Published
1	Fantasia, G	Piano Duet	1810	1888
1b	Fantasia, G frag.	Piano Duet	1810/1811	-----
2e (formerly D.993)	Fantasia, C minor	Piano Solo	1811	-----
9	Fantasia, G minor	Piano Duet	1811	1888
48	Fantasia, C minor (Grande Sonate)	Piano Duet	1813	1871 (without finale) & 1888 (complete)
605a	Grazer Fantasia, C	Piano Solo	?1818	1969
605	Fantasia, C (frag)	Piano Solo	1821-1823	1897
760	Fantasia, C ‘Wandererfantasie’	Piano Solo	1822	1823
934	Fantasia, C	Violin, Piano	1827	1850
940	Fantasia, F minor	Piano Duet	1828	1829

Consequently, Schubert’s contribution to the fantasia by composing works for two performers added a new dimension to the genre which invites investigation as to the impact this had on the genre’s musical conventions and identity. The solo piano tradition strongly emphasized a link between the composer-performer

²⁷⁷ The information for this table was derived from: Winter, ‘Schubert’.

where, subjectivity, one of the central genre markers, manifested in formal, stylistic and psychological modes. Remembering Samson's acknowledgement of the role of the listener in creating meaning in genre, the association of the solo fantasia with a solo virtuoso and their communication with the audience, is an intricate aspect of the genre's identity. Schubert's four piano duet fantasias however, did not pertain to the typically extrovert, public qualities of the genre. The question then arises, as to how these works related to the fantasia genre and what it was aiming to communicate by deviating from certain expected norms? Indeed, the relationship between the intended performer and a fantasia's structure and style is of paramount importance here and will be uncovered in the course of this chapter.

Using Kallberg's model on genre, the main proposal is to assess the focal aspects of the fantasia tradition which influenced and inspired Schubert.²⁷⁸ The latter part of this chapter will reveal the reception history of Schubert's fantasias and the frameworks in which these works have been considered to date. By uncovering the approach to Schubert's fantasias, two key aims will be achieved: firstly, the identity attached to these works can be established, and secondly, the limited research on the Schubert's four-hand fantasias will be exposed.

²⁷⁸ Responses – past and present – signals, traditions, neighbouring and contrasting genres, mixture and mutability. See Chapter 2, Section 2.5.1.

4.1.1 The Fantasia Tradition: Kallberg's Paradigm in Practice

Kallberg's model, which recognizes the flexible nature of genre, shall provide the framework in which to explore the following two key areas: the reception history of the fantasia and the musical contributions from prominent contemporary composers. The notion of response and identity of a musical genre may therefore be garnered from two sources: firstly, pertinent scholarly accounts and secondly, contemporary musical activity. That the formation of meaning of a musical genre via secondary literature can be responsible for both the construction and obstruction of its object of scrutiny is something to be considered in this revelatory process. As with any reception study, the forging of generic identity, via various 'authoritative' texts, shall occupy central stage in an evaluation of treatises, theses and scholarly writings regarding the Fantasia. It will also explore whether these readings emphasize formal, stylistic, social, performance, cultural and/or aesthetical aspects of the fantasias. Such enquiries shall form the basis of a comparative text-based analysis thereby presenting projected 'images' of this genre present in these seminal sources: *Essay on the true art of playing Keyboard Instruments*;²⁷⁹ *The Fantasia II, 18th to 20th Centuries*;²⁸⁰ and a pivotal article, 'A Candidate for the Canon? A New Look at Schubert's Fantasia in C Major for Violin and Piano'.²⁸¹ Given that the revisionist work on genre has not attracted

²⁷⁹ Carl Philipp Emanuel Bach, *Essay on the true art of playing Keyboard Instruments*, ed. and trans. by William J. Mitchell, 2nd edn (London: Cassell, 1951). Hereafter referred to as C.P.E. Bach, *Essay*.

²⁸⁰ Schleuning, 'The Fantasia'.

²⁸¹ McCreless, 'A Candidate for the Canon?'. Further examples include: Christopher D. S. Field, et al., 'Fantasia', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 25 September 2010]. Hereafter referred to as Field, 'Fantasia'; Kenneth DeLong, 'J. V. Voříšek and the Fantasy', *Janáček and Czech Music, Proceedings of The International Conference* (Saint Louis, 1988), *Studies in Czech Music No.1*, ed. by Michael Beckerman and Glen Bauer (Stuyvesant, NY: Pendragon Press, c1995), pp. 191-214. Hereafter referred to as DeLong, 'J. V. Voříšek'; and Parker, 'The Clavier Fantasy'.

attention in Schubert scholarship, McCreless's article featuring Schubert's Violin and Piano fantasia D.934, merits special mention. The focus in genre studies, according to McCreless, is to understand the 'intertext' inherent within a genre's title – this intertext being both social ('will fulfil a particular expressive or social function') and musical ('behave according to particular formal conventions').²⁸² McCreless's approach clearly draws on Kallberg's revisionist work on genre. Both Kallberg and Dahlhaus feature in McCreless's article, however, their difference in defining genre is overlooked which is something this thesis addresses directly.

There is a striking dichotomy between Schubert's contribution to the fantasia and that of his contemporaries; Schubert's addition of the four-hand medium to a genre which was solely composed for piano solo is a noteworthy modification to this genre. Schubert's earliest fantasia composition in 1810 therefore marks a historical stepping-stone in including four-hand music in the fantasia genre. Prior to Schubert, duo sonatas were in fact very common in the history of four-hand piano music. It is therefore expected that Schubert would have composed duo sonatas – the B flat Sonata, D.617, 1818 (published 1823) and the C major Sonata, D.812, 1824 (published 1838) comprise his two contributions – but not that he would have held such a clear vision for the four-hand fantasia, especially so early in his career. A comparable example is found in Mozart's compositional oeuvre: out of his 8 piano duets, 4 were sonatas. Mozart's duet fantasia for the mechanical organ (discussed in Part 1 of this thesis) is the exception.²⁸³ Given that the tradition of the fantasia before Schubert was via the

²⁸² McCreless, 'A Candidate for the Canon?'

²⁸³ Humphreys, 'Something Borrowed'.

solo piano medium – Beethoven only produced one fantasia for solo piano – the fantasias to be discussed in the forthcoming pages are uniformly for piano solo. Seminal composers to be critiqued include the following: Mozart, Beethoven, Hummel, Voříšek, Dussek, Ries, Moscheles, and Kalkbrenner, where their engagement with formal structures, representations of style (for example, virtuosic, improvisatory) and the role of the performer in the fantasia will be highlighted.

The reinforcement of Kallberg’s model for examining genre provides a strong basis for the approach taken here; therefore in line with this paradigm the following aspects feature here: ‘past and present response’, ‘traditions’, signals, ‘neighbouring and contrasting genres’, ‘mixture and mutability’, and ‘contemporary/context’. ‘Response’ is represented by the presentation of the historiography of the fantasia and ‘tradition’ by an examination of contemporary fantasias. An adaptation of Kallberg’s paradigm for examining genre is represented below in the following diagram (see Figure 4.1). This paradigm operates to some degree as a hierarchical structure purely because the issue of response and tradition encompass broader territory. These two criteria naturally overlap, thereby shaping the methodological approach for the scholarly reception of the fantasia tradition explored in this chapter. The final criteria of Kallberg’s (adapted) paradigm assume a secondary role – ‘signals’, ‘neighbouring and contrasting genres’, ‘contemporary/context’, and mixture and mutability’ – these signifiers will be dealt with in their own right but underneath the umbrella of tradition and response.

Figure 4.1 Proposed Paradigm for Examining the Fantasia Genre (Adapted – Kallberg)



4.2 Tradition and Response

4.2.1 The Fantasia Tradition: Form, Style and “Subjective Licence”²⁸⁴

Fragmentary, subjective, open-ended, [the fantasy] simultaneously resists interpretation and offers itself promiscuously to multiple readings; ambiguously placed between improvisation and composition, the fantasia pushes away from the constraints of musical notation, evading an obvious conformity to musical form [...]²⁸⁵

Annette Richards’s description of the free fantasia identifies the dominant aesthetic of this genre in the eighteenth century – formal freedom. In contrast to such formal genres as the sonata or string quartet, this genre is typified by its antithesis to a defined formal structure. The usual reliance on form as a means of ascertaining a genre’s identity – for example, sonata form – is therefore replaced by a looser approach to form, which helped to incorporate a freer style and a more subjective aesthetic. Although the manifestation of subjectivity is typically represented in musical terms (that is, via an improvisatory style and formal idiosyncrasies), the possibility of alternative or additional modes of subjectivity should also be considered; areas to be explored here comprise: significance of the intended performer, the (intended) audience, and tonality. Indeed, it is interesting in terms of definition how subjectivity is viewed and whether it operates separately or alongside an actual narrative or if it could be deemed as exemplifying something more tangible and personal. This hypothesis has special significance for Schubert given that the reception history of the man and his music has often been inseparable. Considering the many ‘labels’ that have been attached to Schubert, there is a noteworthy overlap in the reception of the two enquiries under scrutiny: the general fantasia tradition and Schubert’s own fantasias.

²⁸⁴ The term “Subjective Licence” is from: Field, ‘Fantasia’.

²⁸⁵ Annette Richards, *The Free Fantasia and The Musical Picturesque* (Cambridge: Cambridge University Press, 2001), p. 15.

The minor role of form in the fantasia tradition is repeatedly enforced in general definitions of the fantasia:

Generally a comp[osition] in which form is of secondary importance ...²⁸⁶

The free formal and stylistic licence is further emphasised in the opening of *The New Grove Dictionary's* comprehensive article. Additionally, however, the role of the composer-performer as the instigator of the genre's subjectivity is highlighted:

A term adopted in the Renaissance for an instrumental composition whose form and invention spring "solely from the fantasy and skill of the author who created it" (Luis de Milán, 1535-6). From the 16th century to the 19th century the fantasia tended to retain this subjective licence, and its formal and stylistic characteristics may consequently vary widely from free, improvisatory types to strictly contrapuntal and more or less standard sectional forms.²⁸⁷

DeLong identifies that the term fantasia referred to two things in the middle of the eighteenth century: 'the act of public improvisation' and secondly, fantasias where the "flight of the imagination" had dominion over form resulting in free formal organization, whereby a loose connection between themes was customary.²⁸⁸ The role of public improvisation will be dealt with in this chapter but our immediate concern is with the latter type of fantasia as outlined by DeLong. Although form is presented within the above readings as being unfixed and variable (that is, *not* a recurring genre marker), in the early nineteenth century, the recurring formal 'types' simultaneously signal generic ambiguity but also a level of consistency regarding formal conventions for the fantasia. As the nineteenth-century fantasia became more attached to formal types, the question must be considered if these works were less subjective? What methods or means

²⁸⁶ 'Fantasia', *The Oxford Dictionary of Music*, *Oxford Music Online*, <www.oxfordmusiconline.com>, [accessed 15 September 2011]. Hereafter referred to as 'Fantasia', *Oxford Dictionary*.

²⁸⁷ Field, 'Fantasia'.

²⁸⁸ DeLong, 'J. V. Voříšek', p. 192.

were utilised in the nineteenth-century fantasia to express the prevailing subjective aesthetic so closely associated with this genre?

A certain negotiation between form and style occurred in the free fantasia, in that the stylistic freedom was, in a way, supported by the form which occupied a marginal role. An obvious example of this is in the improvisatory nature of the fantasia which characterized the genre from the mid-eighteenth right through to the nineteenth century. The ‘stylistic world’ of the fantasia owes homage to the *Stylus Phantasticus* – this term, which originated in the middle of the seventeenth century, is defined as ‘the freest and loosest method of composition, restricted in no way, neither by words nor by harmonic subject [...]’.²⁸⁹ During the seventeenth century, the other genres which comprised this stylistic category included ‘prelude, toccata, and the capriccio to a certain extent’.²⁹⁰ Here Schleuning reveals how the Free Fantasia, which developed c1750:

[...] included elements from the freest genres of instrumental music in the previous epoch – the prelude, toccata, capriccio, tombeau, cadenza, and instrumental recitative.²⁹¹

It is at this point, Schleuning argues, that the free fantasia established itself alongside the other genres from the *Stylus Phantasticus*. Indeed, Jesse Parker’s thesis argues that ‘freedom and looseness’ is a prescriptive aspect of the *Stylus Phantasticus* and although different to the ‘free fantasy of C.P.E. Bach [this style] set[s] the tone for the entire fantasy literature of all periods’.²⁹² Indeed, in the second part of the eighteenth century, the antithesis between the ‘free’ fantasia

²⁸⁹ Athanasius Kircher, *Musurgia Universalis* [facsimile of the Rome, 1650, edition] (Hildesheim, New York: G. Olms, 1970), 1:585, cited in Parker, ‘The Clavier Fantasy’, p. 2.

²⁹⁰ Schleuning, ‘The Fantasia’, p. 6.

²⁹¹ *Ibid.*

²⁹² Parker, ‘The Clavier Fantasy’, p. 2.

and other established formal genres was distinguished by both stylistic and formal means. In his acknowledgement of this divide Schleuning argues that:

In the second half of the eighteenth century *the free fantasia and the “other pieces”* had been *diametrically opposed as embodiments of complete freedom and strict adherence to the norm respectively* ... the boundaries of each type determined the existence of a clear gap between the two stylistic worlds.²⁹³ (my emphasis)

Schleuning here acknowledges the divide between formally orientated pieces and the fantasia – these distinctions however became increasingly blurred at the end of the century and into the next. As the fantasia genre adopted contemporary formal strategies, it thus created a generic partition. Daniel Gottlieb Türk remarks on this generic development which occurred at the end of the eighteenth century:

A fantasy is called *free* when it does not rely on rhythm...when it freely modulates, and when it thoroughly gives way to capriciousness *without following a definite plan*. Those fantasies which do follow a definite plan, and where more homogeneity is observed, are called bound.²⁹⁴ (my emphasis)

It is clear that the *absence* of a defined structure distinguished the fantasia as a genre in the argument as posed by Türk above, so as the genre modified in its adoption of contemporary conventional formal outlays, this created a generic ambiguity in a number of ways: it separated the nineteenth century from the free fantasia but also as several forms could be chosen from, that is, the sonata, rondo or theme and variations, then this too created a further divide within the more ‘bound’ fantasias as Türk describes.

The pairing of the terms *improvisatory* and *free* in association with the fantasia are outlined in detail in Carl Philipp Emanuel Bach’s infamous ‘Essay on the true art of playing Keyboard Instruments’: the table below provides a

²⁹³ Schleuning, ‘The Fantasia’, p. 15.

²⁹⁴ Daniel Gottlieb Türk, cited in DeLong, ‘J. V. Voříšek’, p. 193.

summary of C.P.E. Bach's improvisatory methods in the Free Fantasia as outlined in his essay.²⁹⁵

Table 4.2 Summary of C. P. E. Bach's 14 Criteria for Improvisation (The Free Fantasia)

Criteria for Improvisation in the Free Fantasia	
1.	(i) Unbarred (ii) Modulates frequently
2.	[Points (i) and (ii) above] require 'natural talent' and asserts that the ability to improvise has a promising future as a composer ²⁹⁶
3.	(i) Varied harmonic progressions ('A key in which to begin and end must be established') ²⁹⁷ (ii) Usually in 4-4 time where tempo is indicated at the beginning of the piece
4.	Clavichord and pianoforte = most suitable instruments
5.	Differentiates between the Prelude, ²⁹⁸ which is connected to the piece it precedes and the Fantasia which has 'no attendant restrictions'. ²⁹⁹
6.	Shorter fantasias should modulate less
7.	Guidelines for improvising: scales (bass line); sudden semitonal shifts; scale in or out of its sequence; play progressions broken or sustained; tonic organ point at beginning and end; dominant organ point before end.
8.	Modulation to remote keys may occur and 'formal closing cadences are not always required ... at the end and once in the middle'. ³⁰⁰
9.	Modulation in a free fantasia may occur to 'closely related, remote, and all other keys'. ³⁰¹
10.	'The ear ... must be prepared for the new key by means of intermediate harmonic progressions ... the progressions which introduce remote modulations from an established key must be played more broadly than those of other modulations'. ³⁰²
11.	The seventh chord ('with a diminished seventh and fifth') is the most effective method of modulating to distant keys. ³⁰³
12.	The author stipulates 'a diversified figuration' must occur to achieve variety. ³⁰⁴
13.	Indicates methods of performing chords, runs, (chromatic chords are 'best fitted to slow figuration and the expression of profound feeling') ³⁰⁵
14.	(i) Chromaticism (ii) 'Natural and usual relationships'. ³⁰⁶

²⁹⁵ C.P.E. Bach, *Essay*.

²⁹⁶ *Ibid.*, p. 430.

²⁹⁷ *Ibid.*

²⁹⁸ *Ibid.*, Here Bach stipulates that 'there are occasions when an accompanist must extemporize before the beginning of a piece [... this] is to be regarded as a Prelude', p. 431.

²⁹⁹ *Ibid.*, p. 431.

³⁰⁰ *Ibid.*, p. 434.

³⁰¹ *Ibid.*

³⁰² *Ibid.*, pp. 436 and 438.

³⁰³ *Ibid.*, p. 438.

³⁰⁴ *Ibid.*

³⁰⁵ *Ibid.*, pp. 439-40.

³⁰⁶ *Ibid.*, p. 441.

Music Example 4.1 C.P.E. Bach, Fantasia in G minor (1770)³⁰⁷

Allegro moderato

The image displays three systems of musical notation for C.P.E. Bach's Fantasia in G minor. Each system consists of a treble clef staff and a bass clef staff. The first system begins with a treble clef staff containing a series of sixteenth-note runs and a bass clef staff with a similar rhythmic pattern. The second system features a treble clef staff with a melodic line and a bass clef staff with a sustained bass line. The third system includes dynamic markings 'p' and 'f' in the treble clef staff and a long slur over the bass clef staff.

Another central tenet is the musical means by which freedom is achieved in the free fantasia according to C.P.E. Bach: free modulation and guidelines for improvisatory techniques govern here. It is here that the idea of subjectivity is reinforced as the performer is given a freedom to improvise as he/she chooses and to ‘modulate freely.’

Drawing on the scholarship of leading eighteenth-century theorists, Kenneth DeLong has identified some general features of the fantasia during this period (derived from improvised and notated fantasias) – all of which represent many characteristics associated with a distinctly expressive aesthetic.

³⁰⁷ Schleuning, ‘The Fantasia’, p. 7.

Table 4.3 Features of the Late Eighteenth-Century Fantasia

Characteristics of the late eighteenth-century Fantasia³⁰⁸
Variety of Textures
Variety of Figurations and Musical Topics
Tempo alterations
Passages in “strict” or “learned” style
‘The direct power of the musical imagination should also inspire passages that will <i>amaze and delight the listener</i> with their harmonic boldness and ingenuity, often the result of remote modulations and chromaticism’ ³⁰⁹ (my emphasis)
‘To effect a direct, <i>empathetic contact with audience</i> ’: (my emphasis)
(i) Declamatory passages
(ii) Recitative style ³¹⁰
Technical virtuosity
An overall unity

DeLong gives the examples of Mozart’s early fantasias in C minor and D minor and C.P.E. Bach’s fantasias as embodiments of the above descriptive criteria.³¹¹ Mozart’s fantasia No. 3 in D minor, K.397 provides a fitting example of the late eighteenth century fantasia as described here by DeLong. Here Mozart’s work adheres closely to the characteristics as outlined in the table above.

4.2.2 Case Study: Mozart’s Fantasia in D minor, K.397

Table 4.4 Mozart’s Fantasia no.3 in D minor, K.397: Structural Outline and Tempo Markings

Section	Time Signature	Bars
Andante (Introduction)	Common Time	1-11
Adagio	Common Time	12-33
Presto	Free Time	34
Tempo 1	Common Time	35-43
Presto	Free Time	44
Tempo 1	Common Time	45-54
Allegretto	2-4	55-108

³⁰⁸ DeLong, ‘J. V. Voříšek’.

³⁰⁹ *Ibid.*, p. 193.

³¹⁰ *Ibid.*

³¹¹ I acknowledge that Kenneth DeLong does also argue this in his article: ‘J. V. Voříšek’, although these works are well known for exhibiting such generic traits.

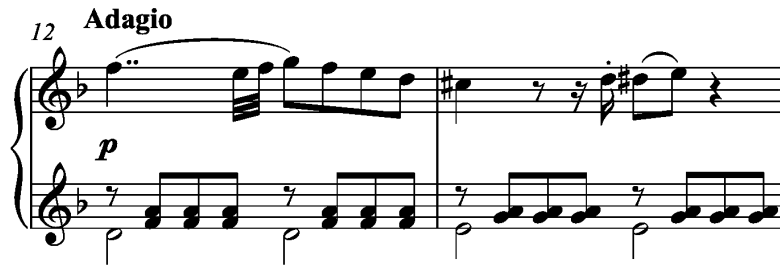
Mozart's fantasia K.397 incorporates a variety of textures, figurations, styles and topics: rising and falling triplets; the 'lament' style with melody and chordal accompaniment; and cadenza passages. The rising arpeggio triplets of the opening *Andante* most certainly pays homage to C.P.E. Bach's G minor fantasia which commences in a similar fashion, although at a faster tempo. (See previous Music Example 4.1.) The cadenza style in the *Presto* sections, which are written without a time signature, indeed embody the free aesthetic associated with the eighteenth-century fantasia. The diversity of the fantasia is subsequently evident in the alternation of declamatory passages (*Presto* sections) with the lyrical passages in the 'lament' style (*Adagio* and *Allegretto* sections). The presence of the French overture topic – double-dotted rhythm – is a recurring feature in the lyrical sections. The tempo alterations, as outlined in table 4.4 above, are inherently connected to the sectional structure typical of the fantasia. Indeed, the purpose of diverse textures, styles and tempo is to create a stark sense of contrast as stipulated by the fantasia aesthetic.

Music Example 4.2a Stylistic and Textural Variation, Mozart, Fantasia no. 3 in D minor, K.397, *Andante*, bars 1-2

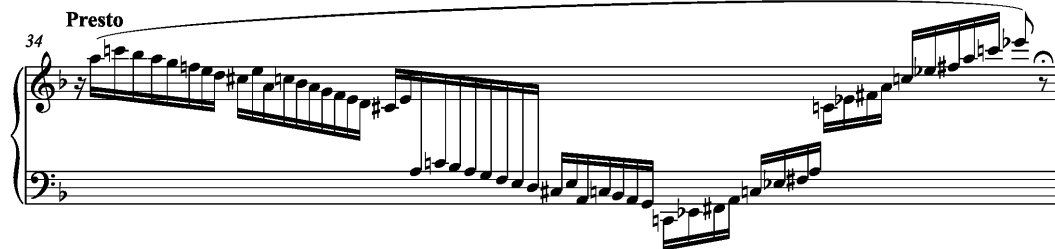
Andante

The musical score shows two bars of music. The right hand (treble clef) plays a rising arpeggio triplet (F4, G4, A4) in the first bar and a falling arpeggio triplet (A4, G4, F4) in the second bar. The left hand (bass clef) plays a falling arpeggio triplet (F4, G4, A4) in the first bar and a rising arpeggio triplet (A4, G4, F4) in the second bar. The tempo marking 'Andante' is positioned above the first staff.

Music Example 4.2b Stylistic and Textural Variation, Mozart, Fantasia no. 3 in D minor, K.397, *Adagio*, bars 12-13



Music Example 4.2c Stylistic and Textural Variation, Mozart, Fantasia no. 3 in D minor, K.397, *Presto*, bar 34



4.2.2.1 The Learned Listener

If we recall Wolfgang Marx's suggestion to consider the relationship between the intended performer and the music's structure and style, the way in which this relates to the 'intended' audience is a third factor to consider here. In DeLong's summary of the features of the late eighteenth-century fantasia, the connection between the structure and style of the music and its desired effect on the audience is central in defining the genre. The use of the word 'empathetic' in table 4.3 signals a direct engagement between the performer and a musically discerning audience. Immediately the relationship between Schubert and his audience re-emerges. Indeed, the level of music engagement in the Schubertiade very much related to the calibre of the audience members which included active musicians, performers and artistic figures: Ignaz Lachner, organist and theatre conductor;

Josef Kenner, magistrery official in Linz, draftsman/poet and singer Michael Vogel and his wife Kunigunde (see Appendix 3). It is of interest to note that a similar discussion of the role of the listener in creating meaning is explored in Mary Hunter's article regarding the early nineteenth-century string quartet.³¹² Hunter reviews criticism of string quartets in Vienna, Berlin and Paris in the early nineteenth century, where the role of the audience in this genre's identity is considered. What surfaces, in this research, is the importance of the audience, as well as the performer, in ascertaining the serious aesthetic of the string quartet:

One consequence of [...] a small, dedicated and educated audience was that [...] listening and performing could count as part of the same overall activity.³¹³

Hunter later intimates that these elite performances of the string quartet were most likely a development 'towards engaged listening in larger venues.' DeLong strongly suggests that in the fantasia performance, an attentive listener was required to appreciate the striking musical elements – unusual modulations, harmonies and chromaticism. It is evident that during such a recital, an intimate communication between performer and listener occurs. This raises key questions in relation to the listening practices of the fantasia both before and during Schubert's time. Indeed, the attentive listener of the fantasia, as described by DeLong, seems to clash with the listening scenario of the Schubertiade as presented in scholarship. This apparent dichotomy of the listening experience requires attention given that theorists have commonly treated the fantasia within the following frameworks:

[...] manner of performance and *intended effect upon the audience*.³¹⁴

³¹² Mary Hunter, 'The Most Interesting Genre of Music': Performance, Sociability and Meaning in the Classical String Quartet, 1800-1830', *Nineteenth-Century Music Review*, 9 (2012), 53-74. Hereafter referred to as Hunter, 'The Most Interesting Genre'.

³¹³ *Ibid.*, p. 57.

What is most relevant in relation to Mozart's fantasia are not just the musical techniques employed to create an element of surprise or tension, but how the composer or performer played with the sense of expectation of the listener. This is certainly apparent in Mozart's K.397 and something which, once again – if we follow the characteristics as expounded by DeLong – indicates that the listener was already musically knowledgeable.

The friction between disorder and unity in the fantasia, which signified a truly gifted improviser, has played an interesting role in the development of the genre:

... sometimes disunity seems to be one of the artistic goals of a particular work. This is nowhere more so than in the late 18th and early 19th century genre known as the Fantasy. Here, disruption and disconnectedness may be stressed over continuity and flow.³¹⁵

Mozart's K.397 adheres to both given aspects of the fantasia aesthetic, where deliberate attempts at structural, thematic, dynamic and tonal dichotomies play with the sense of expectation of the erudite listener. Simultaneously, cross-thematic referencing, motivic manipulation and harmonic fingerprints create an overall cohesion in the work. Furthermore, the Presto sections are strategically placed to surprise and subvert the expectation of the audience throughout the work.

4.2.2.2 “Intended Effect Upon the Audience”: Dichotomy and Uniformity in Mozart's K.397

The disruptive element arising from the sectional diversity of Mozart's D minor fantasia also occurs within these sections. The opening *Adagio*, for example, communicates three distinctive thematic ideas, each articulating varying

³¹⁴ DeLong, 'J. V. Voříšek', p. 192.

³¹⁵ *Ibid.*, p. 191.

figurations. The opening theme (bars 12-19) commences with a sedate *piano* lament style which becomes progressively more chromatic (bars 12-19). The double-dotted French overture rhythm in the first phrase is an example of the topical aspect of the late eighteenth century fantasia as outlined earlier in table 4.3. Following this 8 bar phrase (4 plus 4 bars), there is an expectation of a repeat with the dominant chord played in bar 19, however, a sudden shift from the melodic style (from bar 20) into a *forte* repeated e in the right hand underscored by a chromatic descent in the left hand now features (bars 20-22). Indeed, the second theme is only three bars long – a deliberately irregular phrase length. Further disparity is achieved via the third phrase which now introduces a fragmented three-note movitic idea (bars /23ff.) – see Music Example 4.3 which features all three phrases.

Music Example 4.3 *Adagio*, Mozart's K.397, bars 12-24

The musical score for Mozart's *Adagio*, K.397, bars 12-24, is presented in three systems. The first system (bars 12-19) begins with a piano (*p*) dynamic. The right hand features a melodic line with a double-dotted rhythm, while the left hand has a chromatic descent. The second system (bars 20-22) starts with a forte (*f*) dynamic, showing a repeated note in the right hand and a chromatic descent in the left hand. The third system (bars 23-24) begins with a piano (*p*) dynamic and introduces a fragmented three-note motif in the right hand.

The *Adagio* sections prove to be typical of the fantasia aesthetic given the variety of figurations outlined; the presence of motivic connections in order to achieve a cohesive work reveal the work's adherence to this other central characteristic of the fantasia genre. One prime example of an underlying unity is the restatement of a descending chromatic fourth motif – a lament bass – in each phrase of the *Adagio*: A-G sharp-G natural-F sharp-F natural-E. This is first heard in bars 18-19 (right hand), then bars 20-22 in augmentation, left hand and finally, although now slightly modified with the absence of F sharp, in bars 26 and 27, in diminution, where it is played twice – emphasising its motivic importance (see Music Examples 4.4 a-c). In addition to the lament bass in K.397, the presence of A minor (v minor of i of work) stresses the tragic in this fantasia; this tragic tone is in fact retaining this quality as established by the tonic of the work.³¹⁶

Music Example 4.4a Descending Chromatic Motif, Mozart, K.397, bars /18-19



Music Example 4.4b Descending Chromatic Motif, Mozart, K.397, bars 20-22



³¹⁶ The association and significance of the minor dominant as exuding a tragic affect is supported by Robert Hatten's two publications: Robert Hatten, *Interpreting musical gestures, topics and tropes: Mozart, Beethoven, Schubert* (Bloomington and Indianapolis: Indiana University Press, 2004), p. 192 and Hatten, *Musical Meaning*, p. 85.

Music Example 4.4c Descending Chromatic Motif, Mozart, K.397, bars 26-27

26

cresc. f p cresc. f

This lament bass is derived from the earlier three-note rhythmic motif – originally rising in bar 13 but in bar /18 it is descending – is continually alluded to and developed throughout this section:

Music Example 4.5a Three-Note Rhythmic Motif, *Adagio*, Mozart, Fantasia no. 3 in D minor, K.397, bar 13

13

Music Example 4.5b Three-Note Rhythmic Motif, *Adagio*, Mozart, Fantasia no. 3 in D minor, K.397, bars 17-18

17

p

Music Example 4.5c Three-Note Rhythmic Motif, *Adagio*, Mozart, Fantasia no. 3 in D minor, K.397, bars 22-23

22

p

Music Example 4.5d Three-Note Rhythmic Motif, *Adagio*, Mozart, Fantasia no. 3 in D minor, K.397, bars 32-33

Music Example 4.5e Three-Note Rhythmic Motif, *Tempo I*, Mozart, Fantasia no. 3 in D minor, K.397, bar 43

Further motivic links – a rising arpeggio figure on the dominant – connects the end of the opening introductory *Andante* (bar 9) with the end of theme one in the *Adagio* (bar 19):

Music Example 4.6 Rising Arpeggio Figure on Dominant, Mozart, K.397, *Andante*, bar 9, *Adagio*, bar 19

These arpeggio figures (bars 9 and 19) are supported by identical harmonies. This rising arpeggio figure, in the dominant in the key of D minor, is approached, on

both occasions by a diminished 7th on G sharp. These harmonic patterns also signal a larger harmonic feature of this work: the avoidance of (the expected) authentic perfect cadence at phrase endings. In fact, this avoidance of cadential confirmation of the tonic is prevalent throughout the fantasia where the perfect cadence is only achieved in the final ‘Allegretto’ section of the piece. The end of sections alternatively feature imperfect cadences and the use of diminished seventh chords which heightens the musical drama of the fantasia:

Table 4.5 Closing Chord of each section of K.397

Section	Closing Chord
Andante	Dominant
Adagio	Dim 7 th on C sharp
Presto	Dim 7 th on F sharp
Tempo 1	Dim 7 th on C sharp
Presto	V implied with A as a Dominant Pedal below Ascending Chromatic Scale
Tempo 1	Dominant
Allegretto	Perfect Cadence

Within each of the sections as outlined in table 4.5 above, a repeated evasion of the tonic aims to create a sense of recurring unresolved tension.

Mozart’s occasional use of the Neapolitan Sixth chord provides subtle yet deliberate chromaticism in this fantasia. The first appearance of this is in the opening *Andante* (bar 8) where the delayed resolution to the expected V through a diminished 7th on G sharp chord, renders the following harmonic pattern: Neapolitan 6 – diminished 7th on G sharp – V. Additionally, the diminished 7th chord here, which functions as pre-dominant chord, also has close associations with the fantasia and tragic genres. A second, significant appearance of the Neapolitan 6 occurs in the final statement of theme 1 (from the Adagio) now entitled ‘Tempo I’ (bar 45). Here the Neapolitan 6 interruption commences seven

bars into this theme at bar 51 again deliberately diverting the listener from the original path.

Music Example 4.7 Mozart, Fantasia in D minor, K.397, *Andante*, bars 4-8

The final *Allegretto* section communicates more reserved harmonic patterns and phrase structures, with the major tonality allowing the piece to depart from the sombre mood of the *Adagio*. The jovial opening, in the tonic major, D major presents two neat 8 bar phrases (4 + 4) which manifests a demure elegance which creates a stark contrast to the previous sections of the fantasia. The balance of these sixteen bars is also apparent in the closing cadences where the first 8-bar phrase modulates to the conventional nearly-related key – the dominant A major – and the second 8-bar phrase concludes with a perfect cadence in the original D major. This final section, however, is not completely without its fantasia elements and two features heard earlier in the work reappear: firstly, a diminished 7th on G sharp (bar 85 and 96, marked *forte*) – remembering the close affinity this chord has with fantasia and tragic genres – and secondly, a cadenza-like passage (bar 86) which incorporates a dramatic trill. This trill is evidence of a cadenza again but in the harmonic context associated with the concerto genre: Ic-V7-I. Although

there are several moments where cadences are subverted, the finishing with a V-I provides a much long awaited sense of closure to the work.

4.2.2.3 A Formal Anomaly: The Strategic Placement of the *Presto* Sections in K.397

The *Presto* sections in K.397 fulfil the expected stylistic variation of a fantasia work, while also revealing a deliberately nebulous formal structure. Two sections of K.397 are marked *Presto*, which are characterised by scales, chromaticism, and some arpeggio figurations. The *Presto* indeed functions as an interruption throughout the *Adagio* section which illustrates three thematic ideas:

Table 4.6 *Presto* and *Adagio* Thematic Statements in Mozart’s K.397

Theme / Section	Phrase Length
Theme 1 (Adagio)	8 bars
Theme 2 (Adagio)	3 bars
Theme 3 (Adagio)	6 bars
Theme 1 (Adagio)	5 bars
Presto 1	1 bar (free time)
Theme 2 (Tempo 1)	3 bars
Theme 3 (Tempo 1)	6 bars
Presto 2	1 bar (free time)
Theme 1 (Tempo 1)	10 bars (bar 9 contains a temporary interruption with a rising hemi-demi-semiquaver arpeggio figure.)

Such positioning of the *Presto* sections relate to the performer-listener interaction, pertinent to the fantasia aesthetic. Mozart’s fantasia certainly adheres to this aesthetic by exploring vital genre markers: ‘harmonic boldness, remote modulations, chromaticism, declamatory passages and recitative style’.³¹⁷ There is a certain technique however – on which Schubert was to expand – which adds to the surprise element of this fantasia: the strategic placement of the *Presto* sections. If the *Presto* sections were removed, what remains is actually one

³¹⁷ DeLong, ‘J. V. Voříšek’.

complete tri-partite *Adagio*. Consequently, the *Presto* bars disrupt the *Adagio* producing an early example of a procedure which concurs with Kallberg's theory of genre, which highlights the early nineteenth-century practice of the interplay between the host and the visiting genre. In this case of Mozart's fantasia, the *Presto* is more of a fleeting stylistic alteration, than a visiting genre. The practice of interrupting a section with a passage in an opposing style, is further developed by Schubert in his second duet fantasia in G minor, 1811 (D.9). In this instance a section entitled *Tempo di Marcia* appears *within* the *Allegro* movement, the latter containing all the fantasia-type characteristics. As the *Marcia* section concludes, the *Allegro* immediately resumes, reiterating a passage from earlier in the *Allegro* and continues on for a further 38 bars. Although Schubert's G minor fantasia does not feature a *Presto*-like section, he clearly demonstrates his own method of presenting alternate styles at unexpected moments in this early fantasia.

The first appearance of the *Presto* passage in Mozart's K.397 is after the second statement of the first theme of the *Adagio*, originally in D minor, but now in A minor (bar 29). This A minor thematic statement is truncated (bar 33) by the unexpected downward chasing semiquavers (*Presto* Section, bar 34).

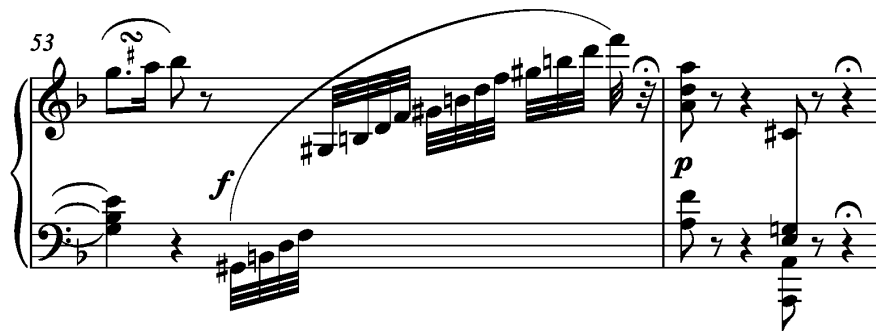
Music Example 4.8 *Presto*, Mozart, K.397, bars 29-34

The musical score for Mozart's K.397, bars 29-34, is presented in two systems. The first system, starting at bar 29, shows a piano (*p*) dynamic. The right hand plays a melodic line with eighth notes and rests, while the left hand provides a rhythmic accompaniment of eighth notes. The second system, starting at bar 34, is marked *Presto* and features a rapid, descending semiquaver passage in the right hand, with a crescendo (*cresc.*) and forte (*f*) dynamic.

The second appearance of the *Presto* passage occurs after the statement of the third theme which also concludes on a diminished seventh chord on C sharp. By the use of the same harmony preceding both *Presto* bars, a harmonic congruency is achieved alongside the stylistic diversity present.

Although not marked in the score, the presto ‘idea’ interrupts twice more: at the return of *Tempo I* (bar 53) and also in the *Allegretto* section (bar 87). Its reappearance in *Tempo I* once again interjects at an inopportune moment after the 8 bar phrase is played. A diminished seventh chord on G sharp is outlined on each arpeggio figure in bar 53:

Music Example 4.9 Mozart, *Tempo I*, Mozart, Fantasia no. 3 in D minor, K.397, bars 53-54



The final appearance of the *Presto* in the *Allegretto* section is clearly another opportunity to create a dramatic effect. Indeed, this final exuberant flourish, in free time, sounds almost like a cadenza with a long trill on the dominant indicating a sense of closure and anticipating the chord of I. This final *Presto* section, which precedes the return of the D major theme, creates the desired impact: a dramatic contrast.

4.2.2.4 Influence and Transition: From Mozart to the Early Nineteenth Century

The influence of Mozart's early fantasias on Schubert can be observed from an examination of Schubert's early fantasias. Mozart's impact is evident in the clearly defined disparate sections of Schubert's D.9 (see Table 4.7 below) and in the correlations regarding phrase structure, tonality and tempo between K.397 and D.9 (see Table 4.8 below). Schubert, however deviated from certain features of his predecessor, the cadenza-type passages being one prime example. Indeed, remembering Kallberg's acknowledgement of guest genres, Schubert's *Tempo di Marcia* represents such a compositional technique. Schubert's fantasia in G minor for piano duet composed 30 March 1811 (D.9) comprises four marked sections: an opening *Largo*, an *Allegro*, *Tempo di Marcia* and another *Largo* section with both outer *Largo* sections quoting from his first published song 'Hagars Klage', (Hagar's Lament).³¹⁸ (See Music Examples 4.10a and 4.10b.) The *Tempo di Marcia* section however ends at the double bar lines at bar 168 leading to a cadence in F minor in bar 169-170 with material from the preceding *Allegro* section.

Table 4.7 Structure of Schubert's Fantasia in G minor for Piano Duet (D.9)

Section	Tonality/Key	Time Signature	Bars
Largo (Lied quote)	G minor	3-4	1-15
Allegro	C minor	2-2	16-135
Tempo di Marcia	D major	2-2	136-168
Allegro (unmarked)	F minor	2-2	169-206
Largo (Lied quote)	D minor	3-4	207-217

³¹⁸ Song title translated by Brian Newbould, in Newbould, *Schubert*, p. 30.

Music Example 4.10a Schubert, *Largo*, ‘Hagars Klage’, D.5, bars 1-5

Largo

Music Example 4.10b Schubert, *Largo* (song quote), Fantasia in G minor, D.9, bars 1-15

Largo

The first Mozartian influence is evident from the contrasting sections of D.9 as indicated in table 4.7 above. The tempo, time signature and tonal alterations on the table are all reminiscent of the sectional structure which comprise Mozart’s fantasias. Despite being an early work by Schubert, there is a distinct move away from the free fantasia with no passages in ‘free time’ as are

found in Mozart's fantasia. It is of interest to note that Beethoven's G minor/B flat major fantasia (1809), composed two years prior to Schubert's second duet fantasia (1811), *did* include free sections without bar lines.

In the G minor fantasia, Schubert remains tonally close to the original lied, 'Hagars Klage', in C minor (see Music Examples above: 4.10a and 4.10b). The work commences with a call to attention: a dotted minim octave G with a fermata. One could speculate that the chosen G minor tonality allows for an easier modulation to C minor for the middle section and acknowledges the song's key in this inadvertent way. Although Schubert's choice of D major for the march section is closely related to the opening G minor tonality, the context and associations of this major tonality prove to deliberately distinguish this section from the rest of the work.

The statement of the march theme in Schubert's fantasia is stylistically, texturally and harmonically different to the rest of the piece. Indeed, during the two statements of the march theme, it is as if the musical interaction between the two performers is temporarily ignored. A consideration of the texture employed here proves this point (see Music Example 4.12). Both the opening *Largo* and the *Allegro* fully utilize the *Primo* and *Secondo*: the melody of the *Largo* commences in the upper *secondo* (Music Example 4.10b) and also in the following *Allegro*, an engaging dialogue between the voices is achieved via the contrapuntal texture with the use of four hands available in this medium (Music Example 4.11).

Music Example 4.11 Schubert, *Allegro*, Fantasia in G minor, D.9, bars 16-28

16 *Allegro*

f

f

23

Music Example 4.12 Schubert, *Tempo di Marcia*, Fantasia in G minor, D.9, bars 136-150

The image displays three systems of musical notation for Schubert's *Tempo di Marcia*. The first system, starting at bar 136, features a treble clef staff with a melody marked *p* (piano) and a bass clef staff with accompaniment. The second system, starting at bar 142, shows a treble clef staff with rests and a bass clef staff with a more active accompaniment. The third system, starting at bar 148, consists of two systems of staves, with the top one showing rests and the bottom one showing a treble clef staff with a melody and a bass clef staff with accompaniment. The tempo marking 'Tempo di marcia' is positioned above the first system.

The featuring of solo passages in the *Tempo di Marcia* is another technique used by Schubert to create a sense of dichotomy in this fantasia. An additional device to create a sense of contrast between this and the surrounding *Allegro* sections are demonstrated by the harmonic choices, which are deliberately simple with a constant oscillation between the tonic and dominant. Similarities

between Schubert's and Mozart's march sections are present with the symmetrical phrasing, matching tonality and tempi.

Table 4.8 Correlations between Schubert's and Mozart's 'March' sections, K.397 and D.9

	Mozart, Fantasia in D Minor K.397	Schubert, Fantasia in G minor, D.9
Opening Phrases	Phrase 1: 4 + 4 Phrase 2: 4 + 4	Phrase 1: 4 + 4 Phrase 2: 4 + 4
Key	D Major. Modulates to A Major and concludes in D major.	D Major
Time	Simple Duple (2-4)	Simple Duple (2-2)

The equality of the two performers is revealed by the placement of each performer in their own solo stratosphere, each playing the exact same material thereby denying any hierarchical preference. This aspect of chamber performance has been addressed by Mary Hunter in relation to the string quartet in the early nineteenth century. In this instance the struggle between the frequently assigned dominant role of the first violinist and the equality of performance also evident between the four chamber players is explored.³¹⁹ Hunter's article explores how the 'genius of performance' and the allocation of power can be found in the music itself.³²⁰ Schubert's response to the role of performers in his G minor fantasia reveals a most interesting attitude, as in this case, the soloists receive the least interesting and adventurous material. Two questions arise from this: is Schubert perhaps making a commentary on the elevated role the duettists could play in the fantasia genre? Is Schubert also communicating an opinion regarding the march genre verses the fantasia genre?

³¹⁹ Hunter, 'The Most Interesting Genre'.

³²⁰ *Ibid.*, p. 53.

Jesse Parker’s doctoral thesis, ‘The Clavier Fantasy from Mozart to Liszt: A Study in Style and Content’³²¹ explores the fantasia genre for *solo piano*: a comparison of ‘techniques’ used in the *duet repertoire* of Schubert’s works of this type being the underlying impetus for a cross comparison. Parker identifies that ‘formal modifications [...] with the interplay between sonata, rondo, fantasia, and variation techniques, continue to dominate the fantasia literature of the first half of the nineteenth century’.³²² Parker refines the following (musical) characteristics of the nineteenth-century fantasia:

Table 4.9 Features of the Nineteenth-Century Fantasia (Jesse Parker)

Characteristics of the Nineteenth-Century Fantasia (Jesse Parker)
Improvisatory
Unique harmonic orientation – focus on looseness of tonality through change of mode
Enharmonic relationships
Surprising tritone relationships
Phrygian Cadential expressions
The Multiplicity of Tonal directions, in diminished seventh chords, for example
Dramatic interruptions
Changes of Tempo
Changes of Style
Use of the Recitative
Virtuosity is ‘greatly expanded in this period: new coloristic and figurative possibilities by composers such as Humme[1], Thalberg, Schumann, Chopin, and Liszt’.

When considering all the musical techniques and approaches in table 4.9 above the methods in which the performer and/or composer could effect subjectivity is apparent. The virtuosity referred to in Jesse Parker’s characteristics has direct implications for Schubert’s own engagement with the genre, something which invites further exploration between the composer and the intended

³²¹ Parker, ‘The Clavier Fantasy’, p. 55.

³²² *Ibid.*

performer and the issue of subjectivity. When discussing the improvisatory element of Beethoven's sonatas, Malcolm Bilson makes the following point:

[...] the definition of the improvisatory, rhapsodic, free, etc., relevant for our type of exploration of the Beethoven sonatas is based on the supposition that what occurs is done for its *psychological rightness and expressive meaning*, as distinct from what may be considered as formally or procedurally coherent, derivatory, or balanced.³²³

Beethoven himself contributed to the fantasia genre in two mediums: firstly, piano solo and secondly, piano, chorus and orchestra. McCreless identifies the prevalence of the theme and variation structures within the fantasia genre providing Beethoven's Fantasy in G minor/B flat Major, op.77 for piano (1809) and the Choral Fantasy, op.88 (1811) as examples. The public destination of Beethoven's only fantasia for piano solo is evident in its dedication to Count Franz von Brunsvik.

4.2.3 Soloist and Spectator in the Fantasia Tradition

One aspect of the free fantasia which emanates from C.P.E. Bach's detailed criteria is the role and status of the performer within this genre. We are reminded of his belief that a 'natural talent' is required and the ability to improvise indicates 'a promising future as a composer.'³²⁴ Alongside this, there is an interesting interplay between the personal and public aspects of this genre. Although personal in the sense that the improvisatory element allowed individual freedom and interpretation, the virtuosic display was intended for an audience, a listener and an admirer. This idea is again reinforced in Bach's essay where he states that it is via

³²³ Malcolm Bilson, 'The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas of the Early and Middle Periods' (unpublished Doctoral Dissertation, Urbana, University of Illinois, 1968), p. 5. Hereafter referred to as Bilson, 'The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas'.

³²⁴ C.P.E. Bach, *Essay*, p. 430.

the ‘improvisation or fantasias that the keyboardist can best master the feelings of his audience’.³²⁵ Given Bach’s description and also Peter Schleuning’s information about the many un-scored fantasias, the fantasia germinated as a type of reciprocally-communicative genre: a genre to show the composer/pianist’s skill and to impress the audience. The ‘fantasy and skill’ of the fantasia, referred to by D. S. Field in the *New Grove* article (quoted earlier), which was communicated by the composer-performer intimates a significant personal input but also places him on a pedestal in accordance with his talent, while simultaneously placing the composer-performer at the top of an ideological hierarchy. That improvisation was expected to impress the listener, as articulated by Jesse Parker’s thesis on the clavier fantasia, further positions this interactive genre as simultaneously pertaining to both personal and public.³²⁶

The exchange between performer and audience naturally modified over time as the public concert became more prevalent in early nineteenth-century Vienna: the categorisation of the fantasia as private or public in this sense is addressed by McCreless:

[...] the Fantasie itself gradually metamorphosed from an intensely private genre for connoisseurs to one that reached out to a larger public. The gift of *phantasierien*, previously reserved for the musically sophisticated few, became an item for public spectacle.³²⁷

This quote highlights two central tenets of the fantasia: the glorification of the gifted soloist as part of the emerging nineteenth-century virtuoso – this was reflected in the structure of these pieces which became longer and were predominantly virtuosic; it was also reflected in the employment of popular themes

³²⁵ C.P.E. Bach, *Essay*, p. 152.

³²⁶ Parker, ‘The Clavier Fantasy’, p. 6.

³²⁷ McCreless, ‘A Candidate for the Canon?’, p. 216.

(for example, well known operatic melodies) in fantasias, which would have been embedded in the frequent concert-goer's musical consciousness. Ferdinand Ries and Ignaz Moscheles were both exponents of works of this type. When we consider the popularity of the borrowed core themes in Ries' works – *Le Nozze di Figaro*, *Der Freischütz*, *Les Huguenots* – their destination for the performing and listening public is obvious. Included in Moscheles' works which paid tribute to Weber, where he borrowed opera themes, was the *Fantaisie sur l'Oberon de Weber*.³²⁸ In addition, the adoption of more formal structures in the nineteenth-century fantasia could have been fulfilling an expectation or desire of the greater public for a more unified work.

Indeed, many of Schubert's Viennese contemporaries – Ferdinand Ries (1784 bap. – 1838), Johann Nepomuk Hummel (1778-1837), Ignaz Moscheles (1794-1870)³²⁹ and Jan Václav Voříšek (1791-1825) – were renowned public performers and improvisers within the fantasia tradition. Patrick McCreless acknowledges this stating that there were 'new trends in musical taste [...] in Vienna [...] in the late 1820s [with the] advent of the virtuoso, especially in the sphere of the public concert'.³³⁰

³²⁸ Other important works of this type were the Piano Duo – Hommage à Weber in E-flat, Op. 102, based on themes from Oberon and Euryanthe; and Variations on the Bohemian March from the Melodrama, *Preciosa*, by Weber, Op.87b, for two pianofortes (composed by Mendelssohn and Moscheles), cited in Gresham, Carolyn Denton, 'Ignaz Moscheles: An Illustrious Musician in the Nineteenth Century' (unpublished Doctoral Dissertation, University of Rochester, 1980), pp. 117-18. Hereafter referred to as Gresham, 'Moscheles'.

³²⁹ Moscheles Complete Works catalogue: C. Moscheles, ed.: *Aus Moscheles' Leben: nach Briefen und Tagebüchern* (Leipzig, 1872-3; Eng. Trans., 1873) [based on Moscheles's diaries; incl. list of works]. This information is from: Charlotte Moscheles, *Life of Moscheles, with selections from his diaries and correspondence / by his wife* (London: Hurst & Blackett, 1873).

³³⁰ McCreless, 'A Candidate for the Canon?', p. 207.

Table 4.10a Composers of the Fantasia Tradition (Summary)³³¹

Composer	Medium	Number of Fantasias
Mozart, W. A. (1756-1791)³³²	Piano Solo	3
	Mechanical Organ. Arranged for piano duet by Johann Traeg in 1798.	1
Beethoven, Ludwig van (1770-1827)	Piano Solo	1
	Piano, Chorus, Orchestra	1
	Piano Solo	2 (Sonata quasi una fantasia)
Hummel, Johann Nepomuk (1778-1837)	Piano Solo	7
Voříšek, Jan Václav (1791-1825)	Piano Solo	1
Dussek [Dusík], Jan Ladislav (1760-1812)	Piano Solo	1 (Fantasia & Fugue)
	Piano Solo	1
Ries, Ferdinand (1784 bap.- 1838)	Piano Solo	15
	Piano, Flute	2
Moscheles, Ignaz (1794-1870)	Piano, Orchestra	2
Kalkbrenner, Frédéric (1785-1849)	Orchestral	2
	Pf solo	1 ³³³

³³¹ All information in these tables was accessed from: *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 28 April 2011].

³³² A fragment of a Mozart piano solo fantasy in F minor survives, KV 383 C (Anh.32).

³³³ See Table 4.10b for additional information on piano solo works.

Table 4.10b Composers of the Fantasia Tradition (Extended)³³⁴

Composer	Medium	Fantasia Title and Catalogue Number
Mozart, Wolfgang Amadeus	Piano solo	Fantasia, C minor, K.396, Vienna, early 1782
	Piano solo	Fantasia, D minor, K.397, Vienna, early 1782 or 1786-7 ³³⁵
	Piano solo	Fantasia, C minor, K.475, Vienna, 20 May 1785. Published with Sonata K.457 (Vienna, 1785) as op.11
	Mechanical Organ ³³⁶ (Arr. As piano duet by Johann Traeg, Vienna, 1798) ³³⁷	Fantasia, F minor, K.608, Vienna, 3 March 1791.
Beethoven, Ludwig van	Piano, Chorus, Orchestra	Fantasia, C minor, pf, chorus, orch ('Choral Fantasy'), Op.80, 1808, rev. 1809; first performance: 22 Dec 1808. Published: London, 1810; Leipzig, 1811
	Piano solo	Sonata no. 13 'quasi una fantasia', E flat, Op.27/1, 1801. Published: Vienna, 1802
	Piano solo	Sonata no. 14, 'quasi una fantasia' (Moonlight'), C sharp minor, Op.27/2, 1801. Published: Vienna, 1802.
	Piano solo	Fantasia, G minor/B flat, Op.77, 1809. Published: Leipzig and London, 1810
Hummel, Johann Nepomuk	Piano solo	Fantasia E flat, Op.18 (Vienna, c1805) ³³⁸
	Piano solo	Rondo quasi una fantasia, E, Op.19 (Vienna, c1806)
	Piano solo	Recollections of Paganini, fantasia, C, s190/woo8, ?1831 (London, Paris and ?Vienna, 1831)
	Piano solo	Fantasia, G minor on themes of Neukomm and Hummel, Op.123, (Vienna, Paris and ?London, 1833)
	Piano solo	Fantasia, C, on themes from Mozart: <i>Le nozze di Figaro</i> , Op.124, 1833 (Vienna, Paris and London, 1833)
	Piano solo	Fantasia, C minor, on themes by Haydn, Mozart, s20, (Unpublished), April 1799
	Piano solo	Fantasia A flat, s27, Unpublished, c1799

³³⁴ All information in these tables was accessed from: *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 28 April 2011].

³³⁵ Cliff Eisen, et al., 'Mozart: (3) Wolfgang Amadeus Mozart', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 28 April 2011]. Eisen states the following in relation to this fantasy: 'Last 10 bars (not in 1st edn) probably spurious [...]'.
³³⁶ Although Mozart's K.594 (1790) for mechanical organ, F minor, is entitled 'Adagio and Allegro', Humphreys describes the work as a fantasy in his article 'Something Borrowed', p. 19.

³³⁷ This information is derived from: Humphreys, 'Something borrowed', p. 19.
³³⁸ Kinga Tarka, 'The Fantasy Genre in the Style Brilliant – A Source of Inspiration for the Young Chopin', in *The Sources of Chopin's Style Inspirations and Contexts*, ed. by Artur Szklener, John Comber, Magdalena Chylińska (Warszawa: Narodowy Instytut Fryderyka Chopina, 2010), pp. 155-74, (p. 158). See description of Hummel's Op.18: "This juxtaposition of the different themes arranged in successive sections brings the construction of this fantasy close in form to the pot-pourri – a genre that was typical of this period", p. 159.

Voříšek, Jan Václav	Piano solo	Fantasia, C, op.12, 1817/c1821 (1822) ³³⁹ Published in Vienna
Dussek [Dusík], Jan Ladislav [Johann Ladislaus (Ludwig)]	Piano solo	Fantasia and Fuge, F minor (1804), C199 (no opus number), also as opp.50 and 55
	Piano solo	Fantasia, F, C248, Op.76 (1811)
Ries, Ferdinand	Piano solo	2 fantasias on themes from <i>Le Nozze di Figaro</i> , Op.77
	Piano solo /Harp	Fantasia, op.85 no.1 on 2 Irish airs
	Piano solo	Fantasia, op.92 no.1 on Bishop's 'And has she then failed', no.2, on Bishop's 'Come live with me',
	Piano solo	Fantasia, op.97 'à la mode',
	Piano solo	Fantasia, op.109, After Schiller's Resignation,
	Piano solo	Fantasia, op.121 on themes from Rossini's <i>Zelmira</i> ,
	Piano solo	Fantasia, op.131 on themes from <i>Der Freischütz</i> ,
	Piano solo	Fantasia, op.134 no.1, on themes from Rossini's <i>Semiramide</i> , no.2, on 'The wealth of the cottage',
	Piano solo	Fantasia, op.163 on <i>La Parisienne</i> ,
	Piano solo	Fantasia, op.185 no.2, on themes from <i>Les Huguenots</i>
	Piano solo	Fantasia, Woo87, ? for pf ³⁴⁰
	Piano, Flute	Fantasia, op. 134 no.1 on themes from Armida
		Fantasia, op. 134 no. 2 on themes from Mosè in Egitto
Moscheles, Ignaz	Piano solo, Orchestra	Fantaisie et variations sur Au Clair de la Lune
	Piano solo, Orchestra	Fantaisie sur des airs des bardes ecossaise
Kalkbrenner, Frédéric [Friedrich, Wilhelm Michael]³⁴¹	Orchestral	Fantasia and Grand Variations on 'My lodging is on the cold ground', op.70 [72] (1824)
	Orchestral	Fantasia 'Le Rêve', op.113 (1833)
	Piano solo	Grande fantaisie 'Effusio musica', op.68 (1823)
	Piano solo	c80 fantasias, variation sets and rondeaux on popular songs, romances, opera themes etc.
	Piano solo	Airs variés, romances, pensées fugitives, rondeaux, waltzes, other fantasias etc.

³³⁹ Kenneth DeLong, 'Voříšek, Jan Václav (Hugo), [Worzischeck, Johann Hugo]', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 1 December 2012]. Hereafter referred to as DeLong, 'Voříšek', *Grove Online*. DeLong states: 'The two single-movement works with programmatic titles, *Le plaisir* and *Le désir* (both c1819) bravura pieces such as the *Fantasia* in C (op.12) are stylistically post-Classical and similar to Hummel's music of the same period'.

³⁴⁰ Cecil Hill, 'Ries: (4) Ferdinand Ries, Works', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 17 February 2012]. Woo numbers from Hill (1977). Hereafter referred to as Hill, 'Ries, Works'.

³⁴¹ Paul Dekeyser, 'Kalkbrenner, Frédéric', *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 25 February 2012]. Dekeyser states that Kalkbrenner was born 'en route from Kassel to Berlin'. Information regarding piano solo works by Kalkbrenner in: Dekeyser, 'Kalkbrenner, Frédéric, Works'.

4.2.3.1 ‘Exhibitionism’ and Public Display: The Viennese Virtuoso

Schleuning argues that during the time of W. F. Bach (1710-1784) and C. P. E. Bach (1714-1788), ‘the output of fantasias which has survived is able to provide us with only a fragmentary knowledge of their improvisatory style’.³⁴² The early nineteenth-century fantasia can also be considered as one facet of a contemporary prevalent musical style or aesthetic: improvisation, where the ‘advent of the virtuoso’ recently referred to by McCreless and the notion of public display clearly occupy a central part of this phenomenon. John Rink confirms this (purported) connection between composer, performer and the improvisatory genres:

The Romantic mind revelled in the spontaneous creativity of improvisation and its unique incarnation of *musical genius*.³⁴³

Once again we read of the associations of greatness and genius with the composer-performer of improvisatory works in the early nineteenth century. The association of such works with ‘genius’ provides access to the highest of pedestals – something inadvertently suggested in C.P.E. Bach’s criteria for improvisation in the free fantasia (table 4.2) whereby he states his belief that successful improvisers will have a ‘promising future as a composer’.³⁴⁴

Among the several prominent composers who comprise this virtuoso group, Beethoven occupied a leading role in this regard:

It may not be at all exaggerated to say [...] that a very large percentage of Beethoven’s pianistic appearances in public were as an improviser.³⁴⁵

³⁴² Schleuning, ‘The Fantasia’, p. 9.

³⁴³ John Rink, ‘Improvisation, II: Western Art Music, 5. The 19th Century, (i) Instrumental Music’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 17 July 2012].

³⁴⁴ C.P.E. Bach, *Essay*, p. 430.

³⁴⁵ Bilson, ‘The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas’, p. 2. (Missing word in paranthesis is therefore).

Beethoven's role as an improviser in early nineteenth-century Vienna is well documented and he made few but seminal contributions to the fantasia genre.³⁴⁶ Furthermore, he incorporated an improvisatory or fantasia style into conventional genres with his two sonatas, op.27/1 and op.27/2 entitled 'quasi una fantasia' being the most frequently cited examples. Beethoven's implementation of fantasia techniques in 'written-out compositions', that is, the sonatas, is explored in great depth in Malcolm Bilson's thesis: 'The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas of the Early and Middle Periods' (1968) where the mounting importation of fantasia techniques played a key role in the establishment of the fantasia-sonata.³⁴⁷

Following his arrival in Vienna in October 1801, Ferdinand Ries worked closely with Beethoven. Ries composed extensively for conventional piano genres including the sonata (14), variations (49) and fantasias (15). Beethoven taught him piano and Ries worked as a copyist and secretary for the composer.³⁴⁸ Ries indeed comments on Beethoven's skill as an improviser which also acknowledged the former composer's performance activities:

³⁴⁶ Bilson, 'The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas', quotes an earlier publication: Paul Bekker, *Beethoven*, trans. and adapted by Mildred Mary Bozman, (London: J. M. Dent & Sons Ltd, E. P. Dutton & Co., 1925): 'The free fantasy of earlier times was a carefully cultivated, highly regarded artistic discipline. Even more, it was the original form of virtuosity. Composer and performer were one and the same, and the attraction of their performance was precisely the combination of their creative and performing arts. The later notation was but an imperfect imitation of the original idea, mainly for weaker, less inventive talents. Of the true master one expected free improvisations as the highest test of his art.... This province, today a lost art, is the actual domain of Beethoven the piano virtuoso. Here he reigns as uncontested master.... As early as during his first visit to Vienna, Mozart, after having expressed himself rather coolly on hearing Beethoven perform a "show-off" piece, makes a far sighted prophecy when Beethoven improvises for him.... There are a great number of apparently substantiated anecdotes in circulation as to Beethoven's unbelievable improvisatory artistry, which was evinced on the most diverse occasions and which never failed to create an effect. Beethoven is conscious of the effect of his playing. As plans for a concert tour are considered, he wants only to conduct and improvise. His pupil Ries should "play the piano"', pp. 87-8. Hereafter referred to as Bekker, *Beethoven*.

³⁴⁷ Bekker, *Beethoven*, p. 119 (cf. English Edition pp. 92-3), cited in Bilson, 'The Emergence of the Fantasy-Style in the Beethoven Piano Sonatas', p. 2.

³⁴⁸ Hill, 'Ries, Works'.

Once he seriously planned a grand tour with me, where I was to arrange all the concerts and play his piano concerti and other compositions. He himself wanted only to conduct and improvise. *His improvising was, of course, the most extraordinary thing one could ever hear*, especially when he was in a good mood or was irritated. All the artists I ever heard improvise did not come anywhere near the heights reached by Beethoven in this discipline. The wealth of ideas which poured forth, the moods to which he surrendered himself, the variety of interpretation, the complicated challenges which evolved or which he introduced were inexhaustible.³⁴⁹ (my emphasis)

Ignaz Moscheles moved to Vienna in 1808, following his early training at the Prague Conservatory and this move has been described as an attempt to ‘come closer personally and musically to Beethoven’.³⁵⁰ Moscheles can be classed as one of the great virtuoso improvisator-performers of early nineteenth-century Vienna, a talent for which he was famous in Vienna but which also took him touring in Europe (1815-1825).³⁵¹ For this reason, he was considered ‘Hummel’s pianistic rival during the 1820s’.³⁵²

By 1825 Moscheles’ popularity was due to his stunning pyrotechnics, his appealing compositions, and his amazing piano improvisations. His variations on simple, well-known melodies such as the “Emperor Alexander’s March,” Op. 32, “Au Clair de la Lune,” Op. 50, and Handel’s “Harmonious Blacksmith,” Op. 29, became favorites of the audience because of their immediate direct appeal: The audience loved hearing familiar tunes cleverly transformed into brilliant variations replete with difficult passagework and intricate accompaniments.³⁵³

Such a musical aesthetic no doubt indicates the prevalence of two things: the virtuoso trends of early nineteenth-century Vienna and also the popularity of variations as a formal type within the fantasia genre. These both provide a context

³⁴⁹ Franz Wegeler and Ferdinand Ries, *Remembering Beethoven*, Foreword by Christopher Hogwood; Introduction by Eva Badura-Skoda, trans. by Frederick Noonan (London: André Deutsch Limited, 1988; VA: Great Ocean Publishers, 1987), pp. 87-8.

³⁵⁰ Jerome Roche and Henry Roche, ‘Moscheles, Ignaz’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 21 February 2012]. Hereafter referred to as Roche, ‘Moscheles, Ignaz’. Indeed, the publishers, Artaria, commissioned him to compose a piano arrangement of Beethoven’s opera *Fidelio* in 1814. Gresham, ‘Moscheles’, p. 8.

³⁵¹ Roche, ‘Moscheles, Ignaz’. On Moscheles July 14 [1821] benefit concert [in London], his Concerto in E-flat Major, Op.56, and his “Fantasia and Variations on the Favourite Air: Au Clair de la Lune,” Op.50, were the highlights of the program, cited in Gresham, ‘Moscheles’, p. 21.

³⁵² DeLong, ‘J. V. Voříšek’, p. 191. It is of immediate interest to note that Moscheles has been praised for his serious contribution to the piano sonata; this includes solo and duet piano works. Roche, ‘Moscheles, Ignaz’.

³⁵³ Gresham, ‘Moscheles’, p. 21.

for Schubert's 'Wandererfantasie' (1822) and Violin and Piano fantasia (1827), where both works embody virtuosic qualities and theme and variation structures. Schubert was certainly responding to these new trends of the performing virtuoso and his 'Wandererfantasie' and his Violin and Piano fantasia, were both composed for virtuosos living in Vienna at that time: the latter was premiered by the Czech violinist Josef Slavek and pianist Carl Maria von Bocklet on 20 January 1828.³⁵⁴ Indeed, in his discussion of Schubert's fantasia for Violin and Piano (D.934), Patrick McCreless discusses how this piece was a response to the 'growing public adulation of the virtuoso, the increasing prominence and market success of composers and composer-performers who hitched themselves to the new aesthetic – all were signs of a significant shift in taste'.³⁵⁵

4.2.4 Neighbouring and Contrasting Genres and Cross Generic References

The practice of cross-generic referencing – as promoted by Jeffrey Kallberg – relates to the wider practice of pairing genres in the early nineteenth century. This has been noted by Jim Samson in his discussion on Chopin and genre:

... the generic permissiveness of much early nineteenth-century piano music, [is] evident in the remarkable profusion of genre titles, often used casually and even interchangeably ...³⁵⁶

Such activity has special significance for the fantasia genre and McCreless articulates the varying formal types from which the fantasia borrowed or was paired with (see Table 4.11 below). This practice consequently sub-divided the fantasia into various classes of their own depending on which form was borrowed or paired with it, something which also created generic ambiguity. The prevalence

³⁵⁴ McCreless, 'A Candidate for the Canon?', p. 206.

³⁵⁵ *Ibid.*, p. 205.

³⁵⁶ Samson, 'Chopin and Genre', p. 215.

of formal genres in the early nineteenth century has interesting implications here. Although the sonata structure was sometimes ‘borrowed’ for the fantasia, rondo and theme and variation formal schemes were also common. Fantasias produced by early nineteenth-century composers were explored in varying structures and the formal ‘types’ within the fantasia are outlined in the table below. McCreless also provides examples of composers whose fantasias are representative of the formal types he outlines:

Table 4.11 Forms of the Early Nineteenth-Century Fantasia (McCreless)³⁵⁷

Formal Type	Associated Composer	Fantasia Works
Theme and Variation (improvisatory intro & variations)	Beethoven	Op.77 (piano); Op.80 (choral)
	Salon variations on opera themes in 1830s & onward	
Combination of generic categories (precursors of the <i>potpourri</i> fantasia)	Fantasias in the 1810s and 1820s	
	Dussek	F-major Fantasia, Op.76 (1812)
Centrifugal forces		Movements unrelated to each other
Centripetal forces, for example, taking on features of the sonata and merging with it		
Sonata-like Movements/Sonata Cycles	Czerny & Kalkbrenner (late 1820s and 30s), Schubert	(Schubert) ‘Wandererfantasie’ and Fantasia in F minor. [These are the only examples he provides]
Sonata tradition & combination of different generic categories	Schumann	Fantasia in C Major, op.17 (like a 3-movement sonata cycle, no break between movements.)

³⁵⁷ McCreless, ‘A Candidate for the Canon?’, p. 214.

That the borrowing of titles was often ‘used casually’ is admittedly correct but it should be articulated that the borrowing of other forms or genres in the instance of the fantasia sought to achieve unity and structure – a compositional strategy which is especially accurate in the case of Schubert. In relation to this, Schubert borrowed certain facets of the sonata genre in his ‘Wandererfantasie’ and F minor fantasia, which are in fact sonata cycles: these outlined the four-movement form of a sonata but were performed with no break between the movements and also abandoned the formal convention of first-movement sonata form. The decision to deviate from a conventional sonata structure emphasises the subjectivity which marked the early nineteenth-century fantasia. This subjective aspect further relates to Hatten’s idea of an expressive genre.³⁵⁸

Early nineteenth-century scholarship has widely argued how the contemporary Fantasia infiltrated all other genres.³⁵⁹ This genre exchange has often been remarked upon in response to the titles of two of Beethoven’s piano sonatas: Op. 27 no.1: Sonata no. 13 ‘quasi una fantasia’, E flat (1801) [Vienna 1802] and Op. 27 no.2: Sonata no. 14 ‘quasi una fantasia’ (‘Moonlight’) C sharp (1801) [Vienna 1802].³⁶⁰ Voříšek also composed a piano sonata in B flat minor, Op.20 (1824), which the autograph copy states: “Sonata quasi una Fantasia”.³⁶¹ Such titles allude to what Jim Samson describes as the ‘dual role’ genre can play in musical works. The example Samson provides are Chopin’s waltzes, which can

³⁵⁸ Hatten, *Musical Meaning*.

³⁵⁹ McCreless, ‘A Candidate for the Canon?’, p. 215.

³⁶⁰ Douglas Johnson and Scott G., Burnham, ‘Beethoven, Ludwig van, §19: Posthumous influence and reception, Works’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 18 October 2011].

³⁶¹ Kenneth DeLong discusses the fantasia elements to be found in this piece. See DeLong ‘J. V. Voříšek’, pp. 210ff.

be analysed as a group portraying their own unique characteristics but that ‘waltz *elements*’ could be considered as:

[...] constituents of a referential code which cuts across generic boundaries, prising open the closed meanings of the host or controlling genres to forge links with other moments in Chopin and beyond.³⁶²

By borrowing aspects of other genres (and musical forms), the fantasia genre operated in a similar manner to Samson’s reading of Chopin’s waltzes into which a formal structure – theme and variations being a prominent example – was incorporated. The sonata however was borrowed both as a formal type, that is a sonata-form movement, and also the sonata as an overall genre. McCreless argues that there is not a clear aesthetic divide between the fantasias and sonatas of Beethoven and Schubert given the presence of ‘intimate and personal qualities’ in their sonata works.³⁶³ One overt way Schubert’s late F minor fantasia establishes its ‘divide’ from his sonatas is in the organization of the work where the movements are linked together, creating a seamless structure in that sense.

4.2.4.1 Schubert’s Master Genre: Sonata-Fantasia

The idea of ‘hybrid works’ where ‘no one type predominates’ as asserted by Kallberg were in abundance in the early nineteenth century and the types he provides are: Sonata quasi una fantasia; Polonaise-Fantasy; and Ode-Symphony.³⁶⁴ Indeed, a work by Hummel provides a fitting example here: Rondo-Fantasy in E Major, Op.19. (Vienna c.1806).³⁶⁵ Although Schubert’s fantasias are not considered hybrid works, the impact the neighbouring genre – the sonata –

³⁶² Samson, ‘Chopin and Genre’, p. 224.

³⁶³ McCreless, ‘A Candidate for the Canon?’, pp. 215-16.

³⁶⁴ Kallberg, ‘The Rhetoric of Genre’, p. 245.

³⁶⁵ Joel Sachs and Mark Kroll, ‘Hummel, Johann Nepomuk, Works’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 4 December 2011]. Johann Nepomuk Hummel, *Sonatas, Rondos, Fantasies and Other Works for Solo Piano*, ed. by Charles de Bériot (New York: Dover Publications, Inc., c1996).

had on them is insightful. Although Schubert's 'Wandererfantasie' and F minor fantasia differ stylistically to each other, on formal grounds they are indubitably related. Both of these works borrow from aspects of the sonata thereby standing apart from it while simultaneously stretching the boundaries of what a fantasia could communicate and express. Such borrowed formal traits in Schubert's two piano fantasias realise a "double-function" sonata cycle structure.³⁶⁶ In this framework, both works outline a four-movement sonata cycle while simultaneously imitating the exposition (movement 1), development (movements 2 and 3) and recapitulation (movement 4) of a sonata movement.³⁶⁷

Wanderer Fantasia, D.760³⁶⁸

F minor Fantasia, D.940

Allegro:	C major	Allegro molto moderato:	F minor
Adagio:	C sharp minor	Largo:	F sharp minor
Presto:	A flat major	Allegro Vivace:	F sharp minor
Allegro:	C major	Tempo I:	F minor

Although general definitions of the fantasia relay that form played a *secondary* role in this tradition,³⁶⁹ it is the tight formal structure which has garnered the most comment and attention in the reception history of the F minor fantasia by such scholars as Maurice Brown, Brian Newbould and Christopher Gibbs. In a typical approach to other fantasias of its time, this work adopted formal traits of outside genres in an aim to achieve a more defined structure. As the F minor fantasia has been explored in terms of its relationship to the sonata genre, one question swiftly arises here: in what way was the D.940 a fantasia? The

³⁶⁶ McCreless, 'A Candidate for the Canon?', p. 211.

³⁶⁷ *Ibid.*

³⁶⁸ In addition to my own research findings, I acknowledge here McCreless, 'A candidate for the Canon?', p. 211 in outlining the tonal centres of both works.

³⁶⁹ 'Fantasia', *Oxford Dictionary*.

sudden fermatas, the juxtaposition of themes and key relationships, the unexpected semitone shifts characteristic of Schubert's late works and modulations – his overall key scheme where a semitone shift shapes the entire work which opens in the tonic F minor to F sharp minor in the middle movements and concluding in the home key – and the deviation from the 'expected' sonata form exposition in his first movement all mark this as a fantasia.³⁷⁰ The subtle relationship between sonata and fantasia form therefore arises given that the overall four-movement structure of D.940 exemplifies a sonata form (first) movement yet the first movement of D.940 foregoes a sonata form structure.

Although Schubert's F minor fantasia was formally relating to fantasias of its era – by borrowing aspects of an outside genre, the sonata – one could question the blunt difference of style and the underlying impetus behind it. It could be argued that, following the very extrovert 1827 Violin and Piano fantasia which was conventional in its virtuosic display, Schubert composed a piece which, in line with Samson's argument, may be resisting 'finalisation of meaning'. In short, Schubert was challenging the fantasia genre as a public, virtuosic work-type and aiming to stretch generic meanings with this work.

The F minor fantasia explores its right for personal expression in a new way to its two predecessors – with an undeniably introverted, lyrical opening theme which recurs constantly and in fact frames the entire work. The C major tonality and accompanying virtuosic and extrovert style of the 'Wandererfantasie' and the Violin and Piano fantasia occupy a separate expressive sphere to the duet. Such differences elicit crucial questions regarding the intimate nature of

³⁷⁰ This is discussed in relation to the 'Wandererfantasie' and the F minor fantasy in McCreless, 'A Candidate for the Canon?', pp. 213-14. The full extent of how D.940 exhibited fantasia characteristics and its cyclical organization and features will be fully explored in the final chapter.

Schubert's duet fantasia and whether his 1828 duo fantasia represents an alternative subjectivity within the early nineteenth-century fantasia. Indeed, his earlier duo fantasias from 1811 onwards also exude a similar lamenting quality in their opening themes. The differences outlined between Schubert's solo and duet fantasias also reveal a generic division, which characterize the early nineteenth-century fantasia.

4.2.5 The Expressive Function and Subjectivity in the early Nineteenth-Century Fantasia

The expressive element of the fantasia which is articulated via many avenues – compositional freedom, borrowing from formal structures and personal expression of the composer/performer – have all been articulated; this however, forms a part of a much broader and contentious issue surrounding Schubert and his reception history: the connection between the music and the man. McCreless claims that Schubert's fantasias revealed a 'desire to signify a personal utterance, as well as the desire to acknowledge the structural similarity of these works to Fantasias he knew'.³⁷¹ The idea of Schubert's music as manifestations of his troubled personality and/or illness towards the end of his life represents two schools of thought regarding Schubert's late music in particular.³⁷² In his early article on Schubert's 'Wandererfantasie', Maurice J. E. Brown presents an acrimonious response to the idea that a programmatic or personal catalyst shaped the 'Wanderer' fantasia:

Having come to the conclusion that the *music* of the song inspired the whole Fantasy, those German practitioners in musico-psychological fields whose passion it is to find programmatic significance in the large-scale works of the

³⁷¹ McCreless, 'A Candidate for the Canon?', p. 215.

³⁷² There was an international conference on this topic: *Thanatos as Muse? Schubert and Concepts of Late Style*, 21-23 October 2011, Music Department, NUI Maynooth, Co. Kildare, Ireland.

masters lead us on to further absurdities. The *words* that give meaning to the song are taken, by this so illogical process of logic, to be the *motto* of Schubert's piano piece.

It is the same misguided impulse which has attributed to Schubert's temperament a kind of *Todessehnsucht* (death-longing) because so large a number of songs deal with death or kindred topics.³⁷³

Although Brown's discussion quoted above is dated 1951, the view that the importation of a song into an instrumental work signified subjectivity on the part of 'those German practitioners' is part of McCreless's much more recent argument (1997). Arguing that 'romantic subjectivity' is present in the Wanderer and the Violin and Piano fantasia via the employment of Schubert's own lieder, McCreless extends this to incorporate the work of Lawrence Kramer who states the following:

[...] the Romantic Lied presents subjectivity in action, that action can be heard in all sorts of musical and textual-musical aspects of Schubert's songs, and it can indeed be heard equally well in the instrumental music.³⁷⁴

Brian Newbould makes an interesting observation in how Schubert's first/early song 'Hagars Klage' is quoted in several instrumental works which followed: Overture in C minor for string quintet (composed three months after the song); the same overture was arranged for string quartet (arranged a month later, July 1811); Fantasia for piano duet in G minor, D.9 (composed two months later).³⁷⁵ Newbould highlights that the song was used extensively in the fantasia: '[in the] Fantasy for piano duet (in G minor, D.9), [Schubert uses] not only the 'Hagars Klage' opening for its slow introduction, but also [bases] the following *Allegro* on

³⁷³ Maurice J. E. Brown, 'Schubert's 'Wanderer' Fantasy', *The Musical Times*, 92/1306 (1951), 540-42, (p. 541).

³⁷⁴ Lawrence Kramer, 'The Schubert Lied: Romantic Form and Romantic Consciousness', in *Schubert: Critical and Analytical Studies*, ed. by Walter Frisch (University of Nebraska Press, 1986), p. 201, cited in McCreless, 'A Candidate for the Canon?', p. 216.

³⁷⁵ Newbould, *Schubert*, pp. 30-1.

the fourth section (Geschwind) of the song'.³⁷⁶ The use of a song quotation in the later piano solo Wanderer fantasia (which indeed its title constantly reinforces) and the quote of a song *Sei mir gegrüsst* in the Violin and Piano fantasia is therefore not an exclusive practice for the fantasia genre. Indeed, several examples exist such as the B flat major Impromptu, the third of Op.142, which shares the same opening theme as his String Quartet in A minor, D.804 and in the Entracte following Act III of the incidental music to *Rosamunde*, D.797.³⁷⁷ Newbould indeed argues that there is no programmatic indication by the repeated use of the song material in later instrumental works.³⁷⁸

Although the quotation of songs in Schubert's fantasias reveal a subjective element through the composer's decision to cite his own works (rather than someone else's), this activity does not *initially* serve as a distinct genre marker due to the practice of this in Schubert's other instrumental genres. It was however, common to use *outside* material in the early nineteenth-century Viennese fantasia so this, arguably, could be seen as a generically appropriate device for the (expected) inclusion of subjectivity in a work of this title. It needs to be clarified at this point, that the presence of Schubert's own songs in the fantasias D.9, D.760 and D.934 reveal a distinctly personal choice; however, the degree to which these signified a narrative that related to those lieder is debatable. The use of thematic material from the lied 'Hagar's Klage' (Hagar's Lament) in D.9 does, however, suggest the expressive intention of the work: mournful and lamenting. The issue of intended performer adds a further dimension to this argument. Schubert

³⁷⁶ Newbould, *Schubert*, p. 31.

³⁷⁷ Schubert, *Impromptus*, D.935, ed. and annotated by Howard Ferguson (The Associated Board of the Royal Schools of Music, 1983), p. 27.

³⁷⁸ Newbould, *Schubert*, p. 31. Newbould: 'In some of these early works, including 'Hagars Klage' and the Fantasy in G, Schubert began and ended in different keys', p. 30.

performed D.9 himself but D.760 and D.934 were composed for the Viennese virtuosos and the public. The generic compatibility of D.934 to contemporary works due to the use of a song with variations does seem to bring credibility to McCreless's arguments:

[...] taxonomically speaking, Schubert's D.934 is the perfect exemplar of the *Fantasia* of its time [...] The linking of its generically disparate types – lyrical introduction, the *all'ongarese* style, *variations brillantes* on a preexisting song, marchlike finale, reprises of earlier material – with a virtuoso stretto at the end: all this reminds us of the Dussek *Fantasia* and others like it, just as its set of variations reminds us of the Beethoven fantasies and looks forward to Liszt.³⁷⁹

This aspect of Schubert's reception is replicated in the representation of the fantasia within its own historical reception.

A common thread throughout the fantasia's history is the relationship of a text or narrative to the fantasia; this relationship has also been explored in Kinderman's study of D.940. The earliest associations of the *Fantasia* were works of a capricious nature and one early 17th century theorist claimed: 'An essential of the fantasia is its freedom from words. The musician was free "to employ whatever inspiration comes to him, without expressing the passion of any text"'.³⁸⁰ This sense of freedom still characterised works of this type well into the 18th century and E. Eugene Helm tells us how C.P.E Bach's fantasias – many of which were unbarred – '[...] approach the boundary between word and note without having to recourse to words'.³⁸¹ What surfaces in such commentaries – especially the word 'recourse' – is the (ideological) divide which precludes any connection between instrumental and vocal music. Inherent in the chosen vernacular is that instrumental music is placed in a higher strata than vocal music,

³⁷⁹ McCreless, 'A Candidate for the Canon?', pp. 214-15.

³⁸⁰ Field, 'Fantasia'.

³⁸¹ E. Eugene Helm, 'Fantasia: 18th Century', in *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 18 February 2011].

creating a (hierarchical) generic divide between instrumental and vocal music. Despite these early commentaries however, the notion that instrumental and vocal music existed independently has been challenged in Kinderman’s study of Schubert’s D.940. Indeed, Schubert’s two solo piano fantasias directly quote from his own lieder and Kinderman’s study of D.940 was interpreted as having a narrative quality which both relates and responds to the psychological depths of *Winterreise* (1827). It is interesting to note that Kinderman’s response is not in relation to the fantasia genre, but in relation to Schubert’s other instrumental and vocal genres and in the subjective aspect he perceives in this work.³⁸² The death-like associations of Kinderman’s second theme with its ‘funereal rhythm’ in D.940 (see Table 4.12 below) further adds to the author’s direct interpretation of this work as withholding a narrative link to Schubert himself, something very common in discussions of Schubert’s late works – of all genres.

Table 4.12 Kinderman’s tonal plan for 1st movement of D.940³⁸³

Theme	Tonality
Lyrical theme	F minor
Melody in bass	A flat major, ends on V/F
Lyrical theme restated	F major
2 nd theme, funereal rhythm	F minor
Lyrical theme	D flat minor
2 nd theme, funereal rhythm	A minor
Lyrical theme	F minor
2 nd theme, funereal rhythm	F major (leads to 2 nd movement)

³⁸² The works Kinderman refers to are the ‘processional themes’ in the “Great” C Major Symphony, ‘Gute Nacht’ and ‘Wegweiser’ from *Winterreise* and the associations of death in the song ‘Der Tod und das Mädchen’, pp. 170-71.

³⁸³ Kinderman, ‘Schubert’s piano music’, p. 171.

4.3 Reception History of Schubert’s Fantasias: an Introduction

With eight complete and two incomplete fantasias, Schubert’s engagement with this tradition was explored via various mediums: piano solo, piano duet and one chamber work (see Table 4.13 below). As articulated in the introduction of this chapter, prior to Schubert, *piano* fantasias were composed for a solo performer³⁸⁴ but a glance at the composer’s earliest contributions reveals the prevalence of four-hand works. The piano duet arrangement (in Vienna in 1798) of Mozart’s F minor fantasia, K.608, originally composed for the mechanical organ, no doubt inspired the young Schubert to explore the fantasia genre via a new medium – the piano duet. Schubert’s duet fantasias therefore, represent a distinct place in the history of the fantasia genre. Schubert’s three early duet fantasias (D.1, D.9 and D.48) and the final F minor fantasia for piano duet (D.940), provide a framework for his lifelong engagement with this genre.

Table 4.13: Schubert’s Complete Fantasia Output³⁸⁵

Deutsche No.	Work Title	Instrumentation /Medium	Year Composed	Year Published
1	Fantasia, G	Piano Duet	1810	1888
1b	Fantasia, G frag.	Piano Duet	1810/1811	-----
2e	Fantasia, C minor [formerly 993]	Piano Solo	1811	-----
9	Fantasia, G minor	Piano Duet	1811	1888
48	Fantasia, C minor (Grande Sonate)	Piano Duet	1813	1871 (without finale) & 1888 (complete)
605a	Grazer Fantasia, C	Piano Solo	?1818	1969
605	Fantasia, C (frag)	Piano Solo	1821-1823	1897
760	Fantasia, C ‘Wandererfantasie’	Piano Solo	1822	1823
934	Fantasia, C	Violin, Piano	1827	1850
940	Fantasia, F minor	Piano Duet	1828	1829

³⁸⁴ Composers of exclusively *solo* piano fantasias include: Mozart, Hummel, Vorišek, Beethoven and Dussek. Note that Mozart’s fantasia for mechanical organ K.608 was arranged for piano duet in 1798 by Johann Traeg (Vienna).

³⁸⁵ The information for this table was derived from Winter, ‘Schubert’.

The production of these works across Schubert's entire compositional spectrum raises crucial questions as to how a genre operates. What also needs to be considered is that, as already articulated, the fantasia was undergoing modifications during the time Schubert engaged with it, something which perhaps indicates how flexible genres were at the beginning of the nineteenth century. Newbould has outlined two types of fantasia 'principle' in Schubert's engagement with the genre: firstly, the fantasia-sonata and secondly, multi-sectional works.³⁸⁶ Newbould makes an interesting observation regarding Schubert's first fantasia for piano duet in G major – No. 1 in the Deutsche catalogue – describing it as 'prophetic' as it 'inaugurates a whole chain of experiments with multipartite one-movement form which include [...] further keyboard fantasias for two or four hands'.³⁸⁷ Despite Newbould's comments, Schubert's early fantasias, haven't instigated much scholarly enquiry.

4.3.1 Schubert's Early Attempts at the Fantasia Genre

Although Schubert had already begun composing small piano pieces, his fantasia for four-hand piano in G major (D.1), is acknowledged by his brother Ferdinand, his friend Spaun and in Otto Erich Deutsch's cataloguing, as his first important piano composition.³⁸⁸ This work was composed between 8 April and 1 May 1810 while Schubert was attending the Stadtkonvikt in Vienna.³⁸⁹ Indeed, Schubert's

³⁸⁶ Newbould, *Schubert*, p. 365

³⁸⁷ *Ibid.*, p. 27.

³⁸⁸ Gibbs, *The Life of Schubert*, p. 28.

³⁸⁹ *Ibid.*

three early fantasias for piano duet and piano solo all date from his student years.³⁹⁰

That Schubert's first attempt at the fantasia genre exists in several versions immediately discloses the young composer's *initial* approach to this genre. The *Neue Schubert Ausgabe* discusses the significance of these versions of Schubert's Fantasia in G (D.1):

Von besonderem Interesse ist die erste Fassung des Finales, die in dem vorliegenden Band erstmals veröffentlicht wird (Anhang Nr. 1). Leider ist davon nur die erste Seite des *Secondo* überliefert, doch lassen die insgesamt 93 Takte Schuberts erste Konzeption dieses Satzes deutlich erkennen: Während die ersten 28 Takte mit der endgültigen Fassung übereinstimmen, war ab Takt 29 ursprünglich eine Fuge geplant, die – wie Fritz Racek schreibt – “auf vorausgegangene Teile der Phantasie zurückgreift und diese dergestalt zu einem geschlossenen Ganzen zu runden bemüht ist”; wo Racek hier “deutliche Anklänge an das ähnlich eintretende Finale der großen Wanderer-Phantasie” zu sehen vermag, kann ich nicht nachvollziehen. Aus der von Schubert für sein erstes Werk ursprünglich geplanten Schlußfuge läßt sich ableiten, daß er mit dieser Kompositionsgattung nicht erst durch seine Rezeption von “alter” Musik in Hause Kiesewetter, sondern spätestens in seinem Musikunterricht im Stadtkonvikt konfrontiert wurde (*Schubert-Handbuch*, S. 394).³⁹¹

The original version of the finale, published for the first time in the present volume (Appendix No.1), is of particular interest. Unfortunately only the first page of the *Secondo* survives, but these 93 bars clearly demonstrate Schubert's original conception of this movement. While the first 28 bars are consistent with the final version, at bar 29 a fugue was planned, which, as Fritz Racek writes, “alludes to earlier sections of the Fantasy, thus seeking to round off the work as an integrated whole”. I cannot discover where in this Racek manages to see “distinct suggestions of the finale of the great ‘Wanderer’ Fantasy”. From Schubert's original intention to close his first work with a fugue it may be deduced that he first confronted this musical form not during his exposure to early music in Kiesewetter's house, but at the latest during his music lessons at the Stadtkonvikt (*Schubert Handbook*, p. 394).³⁹²

³⁹⁰ Brown, *Essays on Schubert*, p. 85. Elizabeth Norman McKay's biography on Schubert devotes a chapter regarding the composer's school years, where the context of the three early fantasias is discussed: *Franz Schubert, A Biography* (Oxford: Clarendon, 1996, reprinted 2001), pp. 14-34.

³⁹¹ *Neue Schubert Ausgabe, Werke für Klavier zu vier Händen – Band 1*, Vorgelegt von Walburga Litschauer (Basel; London; New York; Prag: Bärenreiter-Verlag Kassel, 2007), xi. Hereafter referred to as *NSA, Werke für Klavier zu vier Händen*.

³⁹² *NSA, Werke für Klavier zu vier Händen*, translated by Mary Adams, Dublin.

Schubert's original idea to conclude his first fantasia with a fugue, re-surfaces as a key structural device in his third and fourth piano duo fantasias: D.48 (1813) and D.940 (1828) as well as his 1822 piano solo 'Wandererfantasie'. Therefore, it appears the seeds were planted very early on, despite Schubert opting for an alternative finale in D.1. Furthermore, in addition to utilising the fugal structure at the close of D.48, the first section of this duet (following the brief introduction), commences in a fugal style although it does deviate from a fugue proper.

Although this early work (D.1) has attracted no scholarly attention, aside from some preliminary observations by Newbould, his comments are of note:

One last point about the Fantasy in G: it is of interest that Schubert chose to write for four hands at one piano in this, his first listed work. True, it was a medium he was to make his own, but its choice at this stage requires further explanation. It was, of course, something of a catch-all combination, in that, having acquired credentials as a serious medium at the hands of Mozart, it became a favourite domestic pastime, and already by Schubert's time the beneficiary of numerous arrangements of works first conceived for other media. It was not only the popularity of duets that might have prompted this early show of compositional interest. It was in some way a less demanding and more promising keyboard medium, to the inexperienced composer, than the two-hand alternative, for it offered something like an orchestral compass and density and lacked the restrictive demand for economy with notes which the two-hand format imposed. Certainly the fantasy shows signs of Schubert's exploiting the utilitarian advantages of having twenty fingers to deploy over the then five- to six-octave range of the piano, but it is also sensitive to the idiomatic needs of the duet specification. The primo player does not steal all the tunes while the secondo merely accompanies. The secondo sustains the first Adagio, and some of the following Andante, unaided, and there are numerous obligato contributions from the secondo as well as alternations between the two players.³⁹³

Newbould raises several crucial issues which relate to Schubert's early ambition in both the four-hand medium and the fantasia genre. The importance of this work is that it is taking the first step towards a lifelong journey with the four-hand fantasia. D.1 displays that even at a young age – still a student in the Seminary – a

³⁹³ Newbould, *Schubert*, p. 29.

musical instinct was present as well as a close engagement with contemporary musical activity.

Schubert's second duet fantasia, composed only one year later, is a more succinct work, which incorporated many formal and generic modifications. Newbould makes a few initial observations:

The Fantasy in G minor (D.9) is a less ambitious affair than its rambling forerunner. In two sections, it begins with a slow introduction based on Schubert's own first song, *Hagars Klage*, and an Allegro which is affected by the Kyrie of Mozart's *Requiem* but also contains an experimental passage of sliding diminished sevenths, the sort of thing one finds much later in works such as *Die Zauberharfe*.³⁹⁴

Aside from Newbould's observations in this quote, there has been no in-depth research into this early work. Although Newbould labels this as a 'less ambitious' work than D.1 – it seems due to its shorter length – initial observations of this work reveal noteworthy generic choices: the use of a song quotation which framed the work, an overall minor tonality, a well-defined cyclical structure, and the use of diverse sections which adhered to the fantasia aesthetic of that time.

In a similar way to his approach to D.1, it has been suggested that Schubert's third fantasia for piano duet in C minor, D.48, underwent several revisions, where it was originally conceived as only a four-section work:

Die Komposition sollte ursprünglich wohl nur aus folgenden Teilen bestehen: einer kurzen Einleitung (*Adagio*), einem *Allegro agitato*, einem *Andante amoroso* und einer Fuge, die unmittelbar daran anschloß. Schubert strich diese Fuge, von der nur der Beginn erhalten ist, komplett aus [...] und erweiterte seine Komposition um ein *Allegro*, ein weiteres *Adagio* und um eine neue Schlußfuge (*Allegro maestoso*).

Originally the composition was probably to comprise only the following movements: a short introduction (*Adagio*), and *Allegro agitato* and an *Andante amoroso*, followed immediately by a Fugue. Schubert crossed out this fugue entirely – only the opening has survived [...] – and completed his composition with an *Allegro*, a further *Adagio* and a new closing fugue (*Allegro maestoso*).³⁹⁵

³⁹⁴ *Ibid.*, pp. 234-35.

³⁹⁵ NSA, *Werke für Klavier zu vier Händen*, xi-xii, trans. by Mary Adams.

Schubert's third duet fantasia in C minor, D.48, composed in 1813 (he also composed a fantasia for solo piano in 1811), is described by Ernest G. Porter as a 'fine work full of romantic originality despite its Mozartian similarities'.³⁹⁶ Porter highlights that the main theme or subject, 'a falling chromatic phrase' of the work is introduced in the four bar introduction which is prevalent throughout the work.³⁹⁷ This once again refers to a unifying structure of the work. It is of interest to note that Albert Stadler described this work as a 'four-handed Sonata' and despite Schubert naming the work a fantasia, the first publication of the work was entitled: "Grand Sonata".³⁹⁸ All the fantasias up to this point were composed during Schubert's time as a student at the Stadtkonvikt and Maurice Brown argues that it wasn't until 1818 that these works were to be considered 'worthwhile'.³⁹⁹

4.3.2 Categorical Frameworks for Schubert's F minor Fantasia D.940 (Overview of approaches to the F minor Fantasia)

In our efforts to elucidate meaning from a work, the contextual framework from which we choose to examine that work clearly informs the interpretative findings. Schubert's F minor fantasia for piano duet could be considered in relation to the following 'categories': Schubert's piano duets; Schubert's late music; Schubert's piano duet fantasias, Schubert's fantasias for solo and duet piano and his Violin and Piano fantasia; the early nineteenth-century fantasia; neighbouring genres or formal categories. How does our 'choice' of 'category' influence our findings? In relation to the absence of any scholarship regarding the three early duo-fantasias – with the exception of the initial observations by Newbould and Gibbs –

³⁹⁶ Porter, *Schubert's Piano Works*, p. 149.

³⁹⁷ *Ibid.*

³⁹⁸ NSA, *Werke für Klavier zu vier Händen*, xii, translated by Mary Adams.

³⁹⁹ Brown, *Essays*, p. 85.

Schubert's F minor fantasia has received considerable musicological attention with contributions from scholars such as Maurice J.E. Brown, Christopher Gibbs, Brian Newbould, William Kinderman and Patrick McCreless. Indeed, the relationship of D.940 to sonata form features predominantly in the reception history of this work. The additional categories outlined above have been explored to some extent by these scholars: Schubert's Late Music – Kinderman; Schubert's piano and instrumental fantasias – McCreless, Brown and Gibbs, all of which are detailed in the findings below. Furthermore, the issue of form will continue to be examined in the original analysis of Schubert's piano duet fantasias in Chapter 5.

In his chapter on Schubert's F minor fantasia, Maurice J. E. Brown continually refers to Schubert's piano duet works as a medium (as opposed to a genre). What is most interesting however, and pertains to the argument in the earlier chapter, is how he refers to the piano duet works:

The music of *the Schubert duets was cast in forms* that are varied but conventional. These are marches, polonaises, divertissements, fantasias, variations, rondos, and sonatas.⁴⁰⁰

Again, we can see how the terms form and genre seem to be interchangeable concepts. What this signifies is the categorical emphasis on formal genres referred to already in this thesis. This idea of form being the primary genre marker is something that will continue to be probed in relation to the fantasia genre. In Brown's reading, Schubert's late fantasia piano duet is explored within the realms of form where the author relays how the composer is challenging the formal conventions of the sonata. What Brown does highlight however is that 'formal unity' is still achieved but via different means than in conventional sonata works. Here the author compares the F minor fantasia with the other late fantasia for

⁴⁰⁰ Brown, *Essays*, pp. 85-6.

Violin and Piano stating that both works' themes or episodes (in the case of D.934) reappear in other parts of the work where unity is achieved.⁴⁰¹

More recently, Christopher Gibbs argues that the compositional choice to create a fantasia with a clear formal structure appears to negate the tradition of the fantasia in the eighteenth century which generally exhibited an 'improvisatory style and structural freedom'.⁴⁰² Here once again the issue of form plays a central role in our understanding of this work. What is evident is how a genre can modify not just in relation to its genre group but also in relation to contemporary influences and 'outside' genres. In Gibbs' opinion it was Beethoven's expansion of 'traditional formal designs' which influenced the younger composer in this work and he refers to the F minor fantasia as a 'refinement of the "Wanderer" fantasia given the former's more intimate and lyrical qualities.'⁴⁰³

In a similar manner, to M. J. E. Brown, Gibbs also addresses unity in the work identifying the following features:

All sections are subtly related through the recurring appearance of dotted rhythms, the prevalence of the interval of the rising fourth, the characteristic Schubertian shifts between major and minor, and the prominence of ornamental trills. The coherence of Schubert's progressive structure is unmistakable when the haunting theme that opens the work reappears at the opening of the fourth "movement" [...]⁴⁰⁴

Like Gibbs, formal aspects of Schubert's F minor fantasia have also been explored by Newbould. In this instance Newbould discusses how D.940 relates to sonata form:

[In D.940] Schubert ventures as much diversity as in a four-movement sonata. Indeed, the Largo second section is a compressed sonata slow movement, on an ABA plan in which B represents a vein of pure Schubertian lyricism to offset the

⁴⁰¹ Brown, *Essays*, p. 90.

⁴⁰² Gibbs, *The Life of Schubert*, p. 161.

⁴⁰³ *Ibid.* Please note that Gibbs does not provide a specific example by Beethoven here. Field's article, 'Fantasia' also acknowledges Beethoven's influence on Schubert's piano fantasias.

⁴⁰⁴ Gibbs, *The Life of Schubert*, p. 162.

echoes of Baroque grandeur in A's trills and double-dotted rhythms: and the following Allegro vivace is a scherzo complete with Trio.⁴⁰⁵

Newbould continues by considering the work in the context of a sonata:

Only one 'movement' of the fantasy is allowed to spread to dimensions normal for its genre, and that is the scherzo. The first movement dispenses with a second subject, but retains something of the tonal and thematic contrast it would normally bring. The thematic contrast comes with a second theme in the home key of F minor which returns at the end of the movement and is the basis of most of the finale.⁴⁰⁶

Such analytical observations regarding the formal structure of D.940 have acknowledged the undeniable connection it has to sonata form. In his description above, Newbould not only acknowledges the influence of the sonata in D.940 but refers to the fantasia as a sonata when he states: 'its genre', which again reinforces the propensity of framing this work as a sonata.

The practice of exploring D.940 via its formal structures is continued by Patrick McCreless who makes the following observations in relation to the sonata-cycle and modifications of sonata form:

[...] although the first movement [of D.940] is a simple ternary form rather than a sonata exposition, [it] resembles the *Wandererfantasie* in that it is in effect a "double-function" sonata cycle. The sequence of movements, Allegro molto moderato – Largo – Scherzo – Tempo 1, simultaneously fulfils the functions of the single-movement sonata form and the sonata cycle, such that the first movement, in F minor, works as an exposition, the two middle movements, both in F sharp minor, function as a development, and the final movement, back in F minor, functions as a reprise.⁴⁰⁷

McCreless's response to Schubert's final fantasia invites a more comprehensive investigation as to the degree of cyclical elements present in the work. Aside from Kinderman's reading of the opening movement, the remaining three movements remain mostly unexplored in current Schubert scholarship.

⁴⁰⁵ Newbould, *Schubert*, p. 245.

⁴⁰⁶ Newbould continues: 'To provide tonal contrast, there is an early sidestep to A flat major, and a later tonal journey from tonic down to tonic by three jumps of a major third (F minor, D flat minor, A minor, F minor) which replicates an excursion within the exposition of the Fourth Symphony (first movement)'. Newbould, *Schubert*, p. 246.

⁴⁰⁷ McCreless, 'A Candidate for the Canon?', pp. 210-11.

Additionally, the categorising of Schubert's D.940 as a "double-function" sonata-cycle relates this fantasia to wider formal practices of nineteenth-century piano music. William Newman explores this unique form although discussing Liszt's Sonata in B minor.⁴⁰⁸ The very essence of cyclic form is the way in which 'thematic links bind more than one movement'; Macdonald acknowledges how composers following Schubert – Mendelssohn, Schumann and Liszt – 'elevated cyclic principles to great importance, associated with the widespread application of thematic transformation and the desire for greater continuity between separate movements, all methods of establishing a tighter cohesion in multi-movement forms'.⁴⁰⁹ In his dissertation (1969), Dallas Weekley clarifies the disparity in Schubert's use of cyclical form: 'The difference between Schubert's use of cyclic form and that of Liszt is that Schubert retained the theme in its original form throughout, while Liszt transformed the theme continually.'⁴¹⁰ Although Macdonald refers to Schubert's Fantasia in C for Violin and Piano as being an important work which 'laid the foundations' for cyclical devices and thematic transformation in later works, the influential role of D.940 has yet to be explored within such frameworks in Schubert scholarship.⁴¹¹

⁴⁰⁸ In his discussion on double structural function, Newman explores the innovations made by this composer in this context: firstly, 'the nearly total dependence in all movements on the same basic set of contrasted ideas', secondly, 'the construction of the sectional development in the "sonata form" out of the slow and scherzando movements of the "cycle"', and thirdly, 'the finale of the "cycle" [is made] out of the recapitulation of the exposition in the "sonata form"'. William S. Newman, *The Sonata since Beethoven*, 3rd edn (New York, London: W.W. Norton & Co., 1983), p. 376.

⁴⁰⁹ Hugh Macdonald, 'Cyclic Form', in *The New Grove Dictionary of Music and Musicians*, ed. by Stanley Sadie and John Tyrrell, 2nd edn (London: Macmillan, 2001), vi, pp. 797-98, (p. 798). Hereafter referred to as Macdonald, 'Cyclic Form'.

⁴¹⁰ Weekley, 'The one-piano, four-hand compositions of Franz Schubert', p. 87.

⁴¹¹ Macdonald, 'Cyclic Form', p. 798.

4.3.3 Tonality in the Fantasia Genre: Subjectivity at Play?

Immediately striking in table 4.13 (Schubert's complete fantasia output) is the prevalence of C major tonality in the fantasias preceding D.940 with the final contribution being in F minor. Schubert was not isolated in his association of C major with virtuosity: Voříšek's Fantasia in C major, Op.12 (composed 1817/c1821 and was published in approximately 1822), also exhibits an exuberant virtuosic style.⁴¹² (We can also recall Schubert's 'Grand Duo' Sonata in C major (1824), a work which is well known for its virtuosic style.) Considering the extrovert character of the C major works, the immediate intimacy expressed in the final fantasia suggests the association of tonality or key with a specific expressive intent. With the chief underlying aesthetic of the C major works as virtuosic (especially D.760 and D.934), the choice of a four-flat minor tonality in the last fantasia instantly places it – at least tonally speaking – in a separate sphere.

Works by Schubert's contemporaries can provide possible influences as to any possible associations the composer may have had with the F minor tonality. Dussek's Fantasia and Fugue in F minor, for example, is worth exploring and given the F sharp minor tonality of the two middle movements of D.940, Thomas Schmidt-Beste provides a useful commentary:

Another notable feature of Hummel's sonata (three-movement Piano Sonata in F sharp minor, Op. 81, published in 1819) is its tonality. In the early nineteenth century, F sharp minor was still a rare and unusual key; Christian Friedrich Daniel Schubart, in his description of key characteristics, calls it 'a sombre key [...].' [Ferdinand Ries composed a] 'Sonata Fantasie' in F sharp minor also; in the tradition of Ries and Hummel, many sonatas conveying particularly profound and dark emotions were written in F sharp minor [...].⁴¹³

⁴¹² DeLong, 'Voříšek', *Grove Online*.

⁴¹³ Thomas Schmidt-Beste, *Cambridge Introductions to Music: The Sonata* (Cambridge: Cambridge University Press, 2011), p. 138.

In his article ‘Death and the composer’, Clive McClelland discusses the presence of the *ombra* style in relation to Schubert and the significance of specific tonalities with specific temperaments and moods.⁴¹⁴ The *ombra* style is rooted in early opera, which exhibits ‘certain characteristics associated with darkness, fear or at least a sense of unease’.⁴¹⁵ Here McClelland discusses the 68 different settings (mostly voice and piano) to a short text by Carpani, entitled: *In questa tomba oscura*⁴¹⁶ (published in 1808). Salieri (Schubert’s teacher) Mozart and Beethoven were among the many composers who set this work and the predominant tonality for all settings was F minor (18 in total). Bearing in mind the text was associated with the theme of death, it is very likely that Schubert was aware of the associations of death with this key. In more general terms, McClelland’s article outlines general characteristics of keys in the *ombra* style. The characteristics ascribed to the F minor tonality (between 1692-1796) included the following: gloomy and plaintive moods; tenderness and plaints, mournful songs; deep depression, funereal lament, groans of misery and longing for the grave; weeping, grief, sorrow, anguish, violent torments, and agitation.⁴¹⁷ What is striking about the tonality in the opening movement of D.940, is Schubert’s gravitation towards the F minor tonality with both themes originally stated in that key. These two main themes of D.940 contrast in alternative ways however, something which links well with the potential expressive interpretation that acknowledges the difference of the fantasia from sonata forms (where the first two

⁴¹⁴ Clive McClelland, ‘Death and the Composer: The Context of Schubert’s Supernatural Lieder’, in *Schubert the Progressive, History, Performance Practice, Analysis*, ed. by Brian Newbould (Aldershot: Ashgate, c2003), pp. 21-35. Hereafter referred to as McClelland, ‘Death and the composer’.

⁴¹⁵ *Ibid.*, p. 22.

⁴¹⁶ *Ibid.*, p. 25.

⁴¹⁷ *Ibid.*, p. 24.

themes in the latter form are in different keys) and prompts a reading that is more akin to the tragic and lamenting character associated with the fantasia. Returning to McClelland's death-related characteristics of the F minor tonality, 'tenderness and plaints, mournful songs' could be represented by the opening lyrical theme of D.940, whereas 'anguish, violent torments and agitation' could be represented by the second theme (funereal rhythm). Therefore, although sonata form elements are present in D.940, there are sufficient fantasia characteristics present in this work to categorize it as one.

4.4 Conclusion: Expanding the Fantasia Tradition

The nomenclature of a group of works generally aims to find analogous patterns in an attempt to construct a hermeneutical border. This observation highlights the presence and effect of categories in our interpretation of music as previously argued: absolute music, salon music, and four-hand music as closed, distinct categories. Schubert's engagement with the fantasia challenges all of the above categories as being mutually exclusive and realises the potential for the development of the fantasia.

Within reception history, the solo piano fantasia is closely associated with the public virtuosic improviser; this, however, only represents one strand of the fantasia tradition, which occurred in various performance contexts. Furthermore, the act of improvisation spanned all performance contexts: public, semi-private and private. Although the discussion regarding nineteenth-century improvisation has evolved around the public concert, the act of improvising was also commonplace in the semi-public salon in which Schubert premiered most of his chamber works. Although Schubert may seem to stand apart from such 'public'

improvisers as Beethoven, Ries and Moscheles, he frequently improvised at Schubertiades. His improvisation of a dance tune, later written out in score form, is one example. The tradition of written-out fantasias, however, was in itself its own genre and one in which Schubert was an important participator. Schubert began composing the F minor fantasia in January 1828 with the final revisions made in April; he later sent it to the publisher Schott along with works such as the Violin fantasia and his set of 4 Impromptus (D.935). Schubert premiered the F minor fantasia duet with his friend Franz Lachner in a private salon, for Edward von Bauernfeld, which he noted in his diary, as 9 May 1828.

In one sense, the tradition of the fantasia genre prior to Schubert certainly communicated an ambiguous category given its freedom from one defined formal structure. The repeated use of sonata form, rondo form and theme and variations however create three distinct formal types, which creates certain formal norms (or genre markers) in works of this type in the nineteenth century. Schubert adapted sonata form in his later fantasias, acknowledging his insight into contemporary practices. Further evidence of the fantasia as representing an ambiguous genre is the presence of multiple aesthetic strands. This aesthetic ambiguity also pertains to Schubert who (according to McCreless) struggled with the public virtuoso versus private styles of the fantasia. The question then arises as to whether the four-hand medium versus the solo medium created a generic divide in Schubert's fantasias? This relates to the role of medium in the piano fantasia where a dichotomy is revealed when considering performance practice; the tradition of a *solo* pianist discloses a recurring pattern, which relates to the performer, the audience, the musical style and tonal palette of such works. Schubert's

introduction of the four-hand medium into the fantasia ‘group’ defies any attempts at a singular generic meaning, and supports Kallberg’s model of genre in the early nineteenth century, which advocates expansive and malleable practices. This emphasis on multiplicity of meanings, which permeate current genre studies, leads us to a central point: the influential role of reception history in how we view genre and the necessity to dis-assemble some of these constructs – something which can be transferred to how we view genre and the questioning of the theoretical tools we use to classify works. Ultimately, Schubert’s early ambition of introducing the four-hands into the fantasia tradition raises questions surrounding the identity of the fantasia and the relationship of scoring to the genre’s aesthetic.

This addition of the piano duet medium to the typically solo fantasia, merged together two (apparently) different performance ideologies. The relationship between performer, medium and the fantasia genre, has been addressed throughout this chapter and the question has been raised as to how the four-hand medium fared. Indeed, as the reception history of the fantasias has been so limited – virtually non-existent in relation to the early fantasias and a singular focus on the formal aspects on D.940 – the significance and achievements of Schubert’s merging of the four-hand medium with the fantasia genre, reveal a large lacuna both in Schubert scholarship and in the reception history of the piano fantasia. This thesis aims to fill that gap by exploring Schubert’s response and engagement with the four-hand fantasia.

CHAPTER 5

NEW SIGNALS, NEW TRADITION: SCHUBERT'S FOUR-HAND FANTASIAS

5.1 Introduction: New Signals, New Tradition

Samson's analytical approach regarding Chopin's impromptus clearly addresses both sides of the genre coin, so to speak: generic classification and generic codes. The process of generic classification aims to assess the recurring and non-recurring musical traits of Chopin's impromptus, where Samson concludes that the composer:

[...] valued genre as a force for conformity, stability and closure, a channel through which the work might seek a fixed and final meaning.⁴¹⁸

Samson's analysis of the generic codes in the impromptus, on the other hand, emphasizes the interpretive aspect, where ambiguity, idiosyncrasies and the role of listener in creating meaning and identity in a work are gauged:

At the same time the work in its uniqueness will resist any such finalisation of meaning and the unity which that implies. The listener is naturally free to import any number of alternative codes to the work [...] the composer may collude in this pluralism, deflecting the listener from the principal generic code in the interests of an enriching ambiguity of interpretation.⁴¹⁹

Following Samson's approach, an essential preliminary question regarding Schubert's four-hand fantasias must be asked: are any recurring genre markers present among this group of works? What would simultaneously manifest with such questioning are the idiosyncrasies and generic deviations in one or more of these works. The second approach, however, where the generic codes are explored incorporates both Samson's and Kallberg's focus on the communicative aesthetic

⁴¹⁸ Samson, 'Chopin and Genre', p. 223.

⁴¹⁹ *Ibid.*, p. 224.

of genre, especially in piano genres of the early nineteenth century. Therefore, in analysing Schubert's four-hand fantasias, a more relational study takes place. In this instance, it is vital to look at why compositional choices were made and potential meanings of such decisions. Looking beyond the four-hand fantasias is therefore crucial to such an investigation.

The convention of the piano fantasia as a *solo* tradition, necessitates an examination of the recurring genre markers of Schubert's four-hand fantasias. Given that these duets range from the earliest to the latest works of Schubert, the relationship between genre and style arises most pertinently here. Indeed, stylistic, formal and aesthetical developments occur in these works, which range from 1810-1828 in Schubert's compositional career. Although scholarship has focussed on the final duet fantasia in F minor, D.940, an inclusion of the early works in a genre study adds a more profound understanding of Schubert's interpretation of the fantasia aesthetic. Simultaneously, the issue of the salon aesthetic and the many negative associations of four-hand piano music in reception history are conspicuously contested by the early four-hand contributions by the young Schubert. The long-term neglect of both the four-hand fantasias and the piano duets suggests that the most useful approach is to observe the duo fantasia works within their own 'category' and to assess if any deliberate differences are present in the solo versus duet fantasias. Therefore, the initial analytical framework will be of a comparative nature between the solo and duet fantasias outlining recurring genre markers in both 'groups'.

Following the establishment of key genre markers in the four-hand fantasias, the next step in the analysis will be to interpret these findings.

Kallberg's emphasis on cross-generic references plays a key role in such an investigation; these references expectedly include allusions to genres 'outside' the fantasia but will also extend to the highly influential role Mozart played from as early as 1811. An engagement with the following topics indicate a multifaceted genre: medium, performer and audience, formal structures, fantasia techniques, tonality and harmonic patterns, where the issue of subjectivity constantly reinforces itself. Indeed, generic classification is embedded in this approach. A survey of these elements aims to arouse awareness of previously unexplored areas in Schubert studies as well as answer several questions, which are central to current debates in Schubert theory: To what extent does Schubert's reception history and theories of analysis persuade and influence our interpretation of these fantasias? What is the role of form in our understanding of Schubert's music? Indeed, how does the fantasia genre, which distinguishes itself via improvisation and free form, fare against the emphasis musicology places on the formal aspect of genres?

5.2 Generic Classification: Form and Tonality in Schubert's Fantasias

What becomes apparent when considering the overall tonality of the fantasias is that as early as 1811 the duet fantasias reveal a lamenting disposition, which is closely associated with the chosen key of the work. Aside from Schubert's two earliest contributions to both the solo and duet fantasia oeuvre, a clear tonal preference occurs within each medium. Schubert's earliest fantasia for piano duet, D.1, is in the major tonality, G major, and commences with a light-hearted domestic style. It is of interest to note that Schubert's earliest complete solo piano

fantasia is in C minor, whereas the later fantasias, are in the tonic major, C major.

The Violin and Piano fantasia from 1827 is also in the C major tonality.

Table 5.1 Comparison of Tonality of Schubert’s Piano Fantasias (complete works only)

Solo Piano Fantasias	Duo Piano Fantasias
Fantasia, C minor , D.2e, 1811	Fantasia, G major , D.1, 1810
Grazer Fantasia, C major , D.605a 1818 ?	Fantasia, G minor , D.9, 1811
Fantasia, C Major , ‘Wandererfantasie’ D.760, 1822	Fantasia, C minor , D.48, 1813
	Fantasia, F minor , D.940, 1828

Schubert’s fantasias traverse two typical formal types: free/sectional versus the sonata-fantasia. Table 5.2 reveals that up to the Grazer fantasia in 1818, these works embodied a sectional structure, whereas, the piano solo Wanderer fantasia and the F minor duet fantasia are in the structure of a sonata-cycle.

Table 5.2 Formal Structure of Schubert’s Piano Fantasias (complete works only)

CYCLICAL STRUCTURE	
Sectional Structure	Sonata-Cycle Structure
Fantasia, G major , D.1, 1810	Fantasia, C Major , ‘Wandererfantasie’ D.760, 1822
Fantasia, C minor , D.2e, 1811	Fantasia, F minor , D.940, 1828
Fantasia, G minor , D.9, 1811	
Fantasia, C minor , D.48, 1813	
Grazer Fantasia, C major , D.605a, 1818 ?	

These structures are certainly conventional in that they embody popular forms of the time, while also revealing formal modifications and developments of the early nineteenth-century fantasia. However, an overarching cyclical structure unifies these works, especially the fantasias from 1811 onwards and culminating in the final 1828 fantasia. The cyclical aspect can therefore be considered a recurring genre marker in both the solo and duet fantasias.

The formal approach in the early fantasias (D.2e, D.9, and D.48) of both mediums reveals a similar approach, something which connects these works.

Similarly, the tonality of the early fantasias further connects these works. The switch to the major mode in the solo fantasias from 1818 however, creates a generic partition between the solo and duet piano fantasias, a compositional choice that requires one to look beyond the mere classification elements towards a hermeneutical consideration.

Recent seminal analytical research on Schubert has ardently focussed on his approach to form and tonality, predominantly within the realms of sonata form.⁴²⁰ Schubert's propensity for repetition has long come under scrutiny and criticism; it is in this context that the notion of memory or remembrance has been repeatedly addressed. Schubert's overtly cyclical structure in his fantasias, which involves the continual re-statement of themes, raises interesting questions regarding the issue and role of memory in Schubert's works of this type. Furthermore, although Schubert's later sonata-fantasias were modelled on the sonata-cycle, they simultaneously distinguished themselves from the sonata with the absence of sonata form. The issues of subjectivity, long associated with both the fantasia and Schubert scholarship, also surface in this argument.

The representation of the 1828 F minor duo-fantasia in Schubert scholarship has been considered in relation to sonata form and also in the context of Schubert's late music. The melancholy mood of the main theme of the 1828 duo-fantasia as being representative of Schubert's illness and personal tragedy, as argued by Kinderman, is typical of how late Schubert works are frequently understood. As a response to such readings of Schubert's compositions, Suzannah Clark has explored the relationship between the images of Schubert and how this

⁴²⁰ Beach, 'Schubert's Experiments with Sonata Form'; Clark, 'Review: Schubert, Theory and Analysis'; Clark, *Analyzing Schubert*; Cohn, 'As Wonderful as Star Clusters'; Fisk, *Returning Cycles*; Damschroder, *Harmony in Schubert*.

influenced how his music has been analysed and subsequently decoded (she does not refer to Schubert's duets). Clark's fundamental argument is that in Schubert reception history, 'music theory guides the musicological imagination'.⁴²¹

Despite Gibbs's labelling of Schubert's earliest works as 'apprentice exercises',⁴²² Newbould highlights how Schubert's D.1 reveals the composer's close engagement with contemporary musical activity. This early fantasia represents an innovative fusion of medium and genre which Schubert was to continue throughout his lifetime. As noted by Newbould, Mozart's four-hand sonatas were most likely the impetus for Schubert's interest in the four-hand medium.⁴²³ Mozart however was also a noteworthy impetus for Schubert's early interest in the four-hand fantasia specifically. The arrangement of Mozart's fantasia for mechanical organ for four hands by Johann Traeg (arranged for piano duet in 1798) has been acknowledged as a significant influence. A further, and most crucial Mozart inspiration however, is absent from Newbould's arguments: Schubert's solo fantasia, D.2e in C minor, from 1811, is based on the themes of Mozart's C minor fantasia K.475. It is worth emphasising that Schubert's solo fantasia D.2e (based on Mozart's K.475) was composed in the same year as his duet fantasia D.9, indicating a possible influence of Mozart's solo fantasia on D.9 and later duet fantasias; it was Schubert's duet fantasias, and *not* his solo works, that continued the tradition of having a minor tonality and exhibiting a more lamenting and mournful character which is found in Mozart's fantasias. Additionally, the cyclic structure of Mozart's solo fantasias is also present in Schubert's duet fantasias. By merging the four-hand medium with the fantasia

⁴²¹ Clark, *Analyzing Schubert*, p. 148.

⁴²² Gibbs, *The Life of Schubert*, p. 28.

⁴²³ Newbould, *Schubert*, p. 29.

genre, Schubert additionally explored both the role of the performer(s) and the chamber dynamic. This chapter will commence by exploring these preliminary observations by Newbould but will also contribute an additional hermeneutical stratum by considering the effect of the four-hand medium on the fantasia category. Such an approach supports Kallberg's concept of expanding genres; the effect of Schubert's expansion of the fantasia within this context has yet to be explored both in and beyond Schubert scholarship.

5.3 Acknowledging Tradition: Schubert's Earliest Four-Hand Fantasia, D.1

In addition to being Schubert's earliest four-hand fantasia, D.1 from 1810, is also Schubert's first ever published work. Exhibiting a multi-sectional structure, the structural outline of this early, yet ambitious G major fantasia, is presented in the table below (Table 5.3). Table 5.3 adheres to the *Neue Schubert Ausgabe* score where the three parts are indicated by the recommencing of bar numbers from 1 at the beginning of each part: an *Adagio* commences Part 1; a *Presto* commences Part 2; and Part 3 comprises a Finale entitled *Allegro maestoso*. The sectional structure clearly recognises and replicates the divergent sections in Mozart's own early fantasias. Although these sections establish difference and are typical of the disparity so central to the fantasia genre, the way in which the movements are connected provides insight as to the beginning of cyclical form which was to become a dominant feature in Schubert's fantasias, culminating in his F minor fantasia of 1828. This work exhibits characteristics from both the late eighteenth- and early nineteenth-century fantasia: variety of textures, musical topics, tempo alterations, passages in the lament style, harmonic boldness, chromaticism, tonal ambiguity, declamatory passages, diminished seventh chords, dramatic

interruptions, changes of style, improvisation and an overall unity. The incorporation of outside ‘genres’ and influences present in D.1, allow for many of the fantasia ‘traits’ to be realised in the course of this work. Composed during his time at the Stadtkonvikt, it is likely that Schubert would have played this piece with and for his fellow student-musicians.⁴²⁴

Table 5.3 Schubert, Fantasia G Major, D.1., Formal Structure

Section	Time Signature	Bars
Part 1		
Adagio (Introduction)	2-4	1-8
Andante	2-4	9-22
Allegro (Sections within this)	2-4	23-124
Più mosso	2-4	125-178
Presto	6-8	179-243
Adagio	2-4	244-247
Allegretto	2-4	248-283
Presto	2-4	284-314
Marche & Trio	2-4	315-348/9
Part 2		
Presto	2-4	1-3
Adagio	2-4	4-5
Allegro – Trompete for secondo	2-4	6-13
Allegretto	2-4	14-84
Tempo Primo – Allegretto	2-4	85-174
Adagio	2-4	/175-177
Presto	6-8	178-223
Adagio	2-4	224-226
Andante	2-4	227-264
Vivace	2-4	265-404
Comodo	2-4	405-438
Allegro	2-4	439-524
Adagio	2-2	525-604
Allegro	2-2	605-615
Part 3		
Finale: Allegro maestoso	2-4	1-232

5.4 The March as a ‘Guest’ Genre: Cross-Generic Referencing in D.1

This first-ever published work by Schubert relays a youthful ambition, if rather lengthy first attempt, at the fantasia genre. This duet commences with one clear allusion to a ‘contrasting’ genre – the march; the way the march theme is

⁴²⁴ NSA, *Werke für Klavier zu vier Händen*, xi.

introduced provides an insight as to the partly popular aspect – and therefore identity – of this fantasia. In line with Samson’s acknowledgement of the mixing of popular and serious genres, the host genre in this case – the fantasia – significantly incorporates the ‘visiting’ popular genre – the march. Indeed, Schubert utilised the march genre in his second duet piano fantasia (D.9, composed just a year later in 1811) in a more sophisticated manner which conveys a clear development of his treatment of outside genres within the fantasia. In the case of D.1, the G major march theme, in simple duple time, of the introductory *Adagio*, instantly conveys an easy-going manner where the theme is re-stated in a later section marked *Marche*. In the latter *Marche* section, it is now played in F major; furthermore, a dotted-rhythmic motif from the opening of the work (as seen in bars 1-8) reappears at various points throughout the work. This therefore adds to Newbould’s observations regarding the chief cyclical links, which prove to be a signifier of more intricate and subtle thematic and rhythmic cyclical moments. Schubert allocates the march idiom a central role in establishing a cyclical cohesion in this work as he both concludes part one with this theme and also refers to the march idiom throughout the entire work.

Music Example 5.1a Schubert, Fantasia in G, D.1, Part 1, *Adagio*, bars /1-8

Music Example 5.1b Fantasia in G, D.1, Part 1, *Marche*, bars /315-318

The musical score for 'Marche' from Schubert's Fantasia in G, D.1, Part 1, bars 315-318, is presented in a two-staff format. The top staff is in treble clef and the bottom staff is in bass clef. The key signature is one flat (F major/G minor) and the time signature is 2/4. The piece is marked 'Marche' and 'Primo'. The first two measures are marked *p* (piano) and the last two measures are marked *f* (forte). The music consists of staccato chords in both hands, with a dotted rhythmic motif in the right hand. The number '315' is written above the first measure of the right hand.

By referring to a popular genre such as the march, Schubert achieved a few things: firstly, this material was re-used throughout the work and therefore functioned as a cyclical device to create unity; secondly, the *Andante*, which follows the opening *Adagio*, develops the opening material with its increased tempo, staccato repeated chords and is even more dance-like than the opening, aiming to entertain the listener with its ‘popular’ idiom. Additionally, the repeated staccato chords feature regularly throughout the work. Although Newbould highlighted the obvious cyclical link between sections 1 and 9, a closer examination reveals more intricate cyclical connections where the dotted rhythmic motif functions as a further cyclical device. Finally, and a third function of the march in D.1, Schubert’s use of a popular genre created a contrast for the more ‘serious’ sections. However, the serious versus popular are not always mutually exclusive and D.1 demonstrates this stylistic feature, something which was further developed in Schubert’s next duet fantasia, D.9. The juxtaposition of the serious and sociable are evident in a later section – *più mosso* – of Part 1: this section commences with a Mozartian-type melody and rotary accompaniment but later alludes to the rhythmic motif from the opening march section. The march motif occurs between bars 162 and 170 but alternates with a faster version of the descending semiquaver idea found at the beginning of this *più mosso* (bars 125ff.)

– now written as demi-semiquavers (see Music Example 5.2a and 5.2b below).
What has occurred here is a merging of two separate idioms and influences:
Mozart and a reference to the popular public genre, the march.

Music Example 5.2a Schubert, Fantasia in G, D.1, *più mosso*, bars 125-128

125 *più mosso*
Secondo
p

Music Example 5.2b Schubert, Fantasia in G, D.1, *più mosso*, bars 162-167

162
ff

Schubert also incorporates the march motif in a later section in Part 1, entitled *Adagio* (bars 244-47), where he transforms the motif to create a brief four-bar dramatic episode, typical of the fantasia aesthetic. This *Adagio* commences with a fermata V7 chord in C minor to be performed *fortissimo*. Having concluded the preceding *Presto* with a perfect cadence in G minor where the final rests in bar 243 create a moment of space and anticipation, the jump to V7 in C minor creates an effective change (as per the fantasia aesthetic). This

sustained dominant chord of the *Adagio* commands attention before the recurring rhythmic march idiom is once again alluded to:

Music Example 5.3 Schubert, Fantasia in G, D.1, Part 1, *Presto* and *Adagio*, bars 241-247

The musical score for Music Example 5.3 is for Schubert's Fantasia in G, D.1, Part 1, Adagio section, bars 241-247. It is written for piano in G major, 2/4 time. The score begins at bar 241 with a forte (*ff*) dynamic. The right hand features a sustained dominant chord (G major) in the first few bars, while the left hand plays a rhythmic march idiom consisting of eighth notes. The tempo is marked *Adagio*.

The cyclical nature of D.1 is again revealed in the following *Allegretto* section (bars 248-283), which remembers and refers to both the opening introductory *Adagio* and the *Andante* that immediately follows. A deliberate reference to the rhythmic march idiom occurs across four bars (bars 268-271). Furthermore, the repeated chords (bars 260-267) which featured in the opening *Andante* (bars 9ff.) precede this as does a rising demi-semiquaver idea:

Music Example 5.4 Schubert, Fantasia in G, D.1, Part 1, *Allegretto*, bars 266-271

The musical score for Music Example 5.4 is for Schubert's Fantasia in G, D.1, Part 1, Allegretto section, bars 266-271. It is written for piano in G major, 2/4 time. The score begins at bar 266 with a forte (*ff*) dynamic. The right hand features a rising demi-semiquaver idea, while the left hand plays a rhythmic march idiom consisting of eighth notes. The tempo is marked *Allegretto*.

Indeed, in the *Marche* and *Trio* section, material from another section is again interspersed with the march material. This ‘other’ material features a downward arpeggiated motif which is also found throughout Part 1 of this fantasia.

Music Example 5.5a Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 96-99 and 122-124

96

ff

122

p

Music Example 5.5b Schubert, Fantasia in G, D.1, Part 1, *Presto 1*, bars 185-186

185

ff

A rhythmic fragment of the march motif also appears twice in *Tempo Primo* (marked *Allegretto*) of Part 2 in bars 125-129 and also bars 147-151 where they are utilised for dramatic effect.

Music Example 5.6 Schubert, Fantasia in G, D.1, Part 2, *Tempo Primo* (*Allegretto*), bars 125 (2nd beat)-129

There is a very deliberate final reference to the march motif in the *Finale*. This final reference to the motif at the final bars of the entire work is further evidence of the composer's intent to create a distinct cyclical structure. It occurs in both bars 217-220 and bars 224-225, just nine bars before the end of this work. Indeed bars 227-28 features this rhythmic motif in augmentation.

Music Example 5.7a Schubert, Fantasia in G, D.1, *Finale*, bars 217-220

Music Example 5.7b Schubert, Fantasia in G, D.1, *Finale*, bars 224-225

224

Music Example 5.7c Schubert, Fantasia in G, D.1, *Finale*, bars 227-229

227

It is not simply the use of the march which is significant in D.1 but what the march represented in the context of this early fantasia. On a functional level, the march rhythm and motif reappeared throughout the work to create a sense of unity. The overt restatement of the opening theme, which frames Part 1 of this work and is alluded to in the concluding bars of the entire work, was an early indication of Schubert's penchant for this cyclical feature, which appeared in all of Schubert's future four-hand fantasias; these works consistently and deliberately restated the opening theme at the beginning and end of these compositions. A further interpretation of the march in D.1, however, is the distinctly popular and jovial atmosphere which commences this work. Schubert's treatment of the march however at the end of Part 1, introduces a more dramatic fantasia-like element, with a modulation to the relative minor – D minor – and the introduction of

Augmented 6 chords. From one perspective, the opening of D.1 separates this first attempt at the duo fantasia from Schubert's later four-hand fantasias which commence with a distinctly lamenting and tragic persona. The modified treatment of the march at the end of Part 1, provides an interesting springboard from which to consider Schubert's much later transformation of the march genre with four-hand works such as the Grande Marche Funèbre in C minor, D.859 (1825) and the Grande Marche Héroïque in A minor, D.885 (1826).

5.5 The Performance Aesthetic: Performer(s), Medium and Genre

5.5.1 Taking the Spotlight: The Solo Performer(s) and Issues of Medium in D.1

The performance aesthetic of the piano fantasia prior to Schubert relayed a highly communicative genre, where the soloist-audience relationship proved a central tenet of the performing affair. This brings us to question the young composer's response to such an aesthetic and to what degree this was interpreted (if at all) in this novice four-hand work. At this point it is worth recalling Newbould's remarks regarding Mozart's transformation of the piano duet into a 'serious medium',⁴²⁵ a development which influenced the young Schubert. In addition to Mozart's contribution, Schubert's decision to compose a fantasia in the four-hand medium, according to Newbould, was inspired by the popularity of the duets within the domestic sphere due to the many arrangements of orchestral works. Newbould also alludes to the 'orchestral compass' available with four-hands.⁴²⁶ One recurring characteristic – the presence of *obbligato* passages – prominently features in Schubert's D.1. In addition to the *obbligato* technique, there are many

⁴²⁵ Newbould, *Schubert*, p. 29.

⁴²⁶ *Ibid.*

instances where each soloist takes its turn to repeat the material of the first soloist or preference is given for a considerable time to one performer.

It is worth noting that the *primo* and *secondo* performers are both given ample (and equal) opportunity to enjoy the solo space. The *secondo* opens the work in both the introductory *Adagio* and the *Andante* section which immediately follows; it is not until bar 16 that the *primo* is heard. Given that this is Schubert's first four-hand composition, the assignment of the main thematic idea to the *secondo* is a deliberate and significant one. Indeed, when the *secondo* opens in bar 1, the register of a treble and bass clef (not two bass clefs) communicates a self-contained solo melody rather than half of one part.

Music Example 5.8 Schubert, Fantasia in G, D.1, Part 1, Adagio, bars 1-8



Schubert's distribution of diverse thematic ideas solely to one 'part' provides a new method or approach of creating sectional diversity in the fantasia genre. Indeed, the addition of the four-hand medium to the fantasia genre, allows for such variation with considerable scope for rich textures and a broad musical range. Such thematic and textural diversity and depth is present in the first *Allegretto* section (bars 14-84) of Part 2: in this instance, two contrasting solo sections reveal two very different characters and textures, illustrating this central quality of the fantasia genre. The opening reveals an extensive Mozartian-style melody with rotary accompaniment, played by the *primo* (bars 14-30). The

secondo simply plays single harmony bass notes as can be seen from example 5.9a below.

Music Example 5.9a Schubert, Fantasia in G, D.1, Part 2, *Allegretto*, bars 14-17

The fantasia aesthetic asserts itself later in this section when an unexpected, almost violent, *fortissimo* bar – notably performed by all four hands – links this melodic section to the much more fragmented theme which follows (bars /31-35). The new melodic material, which is sparse in texture, is now given to the *secondo*, (as the *primo* accompanies) and the grating mood offers a clear contrast to what preceded it.

Music Example 5.9b Schubert, Fantasia in G, D.1, Part 2, *Allegretto*, bars /31-35

An extensive example where the soloist is highlighted occurs in the *Comodo* section of Part 2 of this work. In this instance, the *primo* dominates the

entire section of 33 bars, which is repeated (bars 405-438). Between bars 405 and 430, the *secondo* only supports the perfect cadence (V7-I) in E flat major in bars 415-16, 427-28 and 431-32.

Music Example 5.10 Schubert, Fantasia in G, D.1, Part 2, *Comodo*, bars 405-416

The image shows a musical score for Schubert's Fantasia in G, D.1, Part 2, Comodo, bars 405-416. The score is in E-flat major and 3/4 time. It features a piano (p) dynamic. The upper part (secondo) has a 'Comodo' marking and a 'solo' marking. The lower part (primo) plays repeated chords. The score shows a perfect cadence (V7-I) in E-flat major.

It is of special interest to note that Schubert marked ‘solo’ for the upper *secondo* in part of the *Adagio* section in Part 2 of this fantasia, commencing in bar 579. Given that the *primo* is playing accompanying repeated chords, this marking is an issue of practicality but simultaneously highlights this feature of a solo player who takes prominence at key points. Bar 586 sees the merging of both players as the *primo* then smoothly takes on a solo line which has the effect of imitation which is prevalent throughout the work. The *obbligato* which features in D.1 relays a fundamental difference between solo and duet fantasias. The potential to incorporate orchestral effects in the duet medium clearly appealed to the young composer; this is the *only* duet fantasia however which highlights the soloist so extensively and features *obbligato* indications.

Music Example 5.11 Schubert, Fantasia in G, D.1, Part 2, Adagio, bars 579-589

579

p

Solo
dolce

583

587

In the *Finale*, Schubert's assignment of solo material incorporates one key aspect of the fantasia aesthetic: dramatic interruptions and unexpected modulations. After outlining the chord of I in C major (bars /30-35) played

pianissimo, a sudden change of dynamic and tonality occurs in bar 36. Following a sustained fermata to conclude the C major section (bar 35), a sudden jump to the tonic minor, played *fortissimo*, occurs as the *secondo* takes on a dominant role with a vibrant galloping tune as the *primo* punctuates chords.

Music Example 5.12 Schubert, Fantasia in G, D.1, *Finale*, bars 36-49

The musical score for Schubert's Fantasia in G, D.1, Finale, bars 36-49, is presented in two systems. The first system (bars 36-42) shows the *primo* part (upper staves) with chords and rests, and the *secondo* part (lower staves) with a rhythmic, galloping melody. The second system (bars 43-49) continues this pattern, with the *primo* part playing chords and the *secondo* part playing a similar rhythmic melody. The score is in G minor (one flat) and 3/4 time. Dynamics include fortissimo (ff) and piano (p).

5.5.2 An Equal Exchange: Further Chamber Characteristics in D.1

The examples of *obligato* passages convey Schubert's absorption of the contemporary trend of transcribing orchestral pieces for piano. The frequent dialogue between the two performers in D.1 is also a prevalent characteristic of this duet, something which marks this fantasia as a chamber work. The following definition of chamber music emphasises that in such ensembles, there is a single instrument to each part:

[Chamber music] excludes, on the one side, solo vocal music and music for a single instrument (or for a solo instrument accompanied by another), and, on the other, orchestral and choral music., etc., including merely instrumental music for 2, 3, 4, or more instruments, *played with a single instrument to a part, all the parts being on equal terms.*⁴²⁷ (my emphasis)

Clearly, the sharing of the instrument in the piano duet medium provides a distinct challenge in such a definition. Schubert's early fantasias reveal an ambition for exploring the full potential of two players at the one keyboard; the typical practice of the *secondo* embodying a more perfunctory, accompanying role is immediately reversed, by assigning the *secondo* as sole performer of the main opening theme in the opening *Adagio* (bars 1-8) and the first eight bars of the *Andante* (bars 9-16). In line with this, Schubert's experience in performing chamber music from an early age, gave him an insight as to the nature of exchange between the players. Commencing violin studies at the age of eight with his father who taught him duets, Schubert also regularly performed in the family string quartet and underwent performance training at the Stadtkonvikt; all these early experiences cultivated a knowledge and appreciation of the chamber aesthetic.

Schubert was clearly informed of the practice of exchange and sharing between instrumentalists in a chamber work where contrapuntal and imitative techniques abound in D.1, where a regular dialogue occurs between the performers. The frequent instances of imitation are an obvious device through which to explore the communicative possibilities – a type of call and response – between the two players. In relation to the *solo* piano fantasia before Schubert, where the exchange between the soloist and audience was emphasised, the second performer creates a further communicative layer: the interaction between the two

⁴²⁷ 'Chamber Music', *The Oxford Dictionary of Music, Oxford Music Online*, <www.oxfordmusiconline.com>, [accessed 15 February 2012].

performers. Musically speaking, the sharing of material between the two parts creates a deliberate sense of egalitarianism. This equal exchange of course is a shared experience between both players but also an entertaining performance-feature for the audience or listener. What will be shown in the music examples below is that the *same* thematic material was frequently repeated in a different octave signifying further equality between the two players. Although the material is often (and expectedly) uncomplicated, as one of Schubert's earliest compositions, it also is essential in revealing the perception the young composer had of the piano duets 'place' between solo and chamber music and how this related to the fantasia aesthetic.

The solo spots are interspersed with an unambiguous joining of forces which share both musical material and character. The first instance of prolonged imitation occurs in the *Allegro* of Part 1 which is itself divided into 2 sections: section 1 commences in G major but quickly moves to D major and section 2 is in D minor. The imitative texture commences in the *Primo* 1 (bars 31-32) which is echoed back, note for note but two octaves lower, by *Secondo* 1 and 2 (bars 33-34). At this point, now in D major, augmented sixth chords are outlined by each 'part', resolving (expectedly) to the dominant.

Music Example 5.13a Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 31-34

The following extended passage articulates repeated dominant seventh chords for almost twenty bars (bars 43-61) where further tension is created by continually repeating a chromatic inflection via imitation: a B flat auxiliary note falling to A (bars 43-57). The final bar of this passage (bar 62) outlines a chromatic descent into the next part of this section with a tonal shift to the tonic minor (D minor). This reminds us of Mozart's D minor fantasia which frequently evaded a perfect cadence, often closing sections on the dominant.

Music Example 5.13b Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 46-53

This method of imitation continues to characterise this *Allegro* movement at the start of the D minor section (second section). Schubert also creates a further motivic connection between the first and second section of the *Allegro* by re-introducing the B flat-A chromatic move into the new (second) theme although now diatonic and therefore in an altered context. The chromatic inflection demonstrated by the presence of B flat continues between statements of the final thematic idea (bars 105-106 and 111-112), which simply outlines a broken chord supported by tonic and dominant harmonies, performed by the upper and lower *secondo*. It is worth noting that this section concludes on an imperfect cadence

again reminding us, once again, of Mozart's similar cadential endings in his D minor fantasia.

Music Example 5.14 Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 63-70



A further example of imitation between performers/parts is discovered in the following movement entitled, *più mosso* (bar 125ff.). In this instance, Schubert's approach to imitation allows the other performer to 'rest' completely. Indeed, the recital of the opening theme occurs across thirty-seven bars (bars 125-161) where the *Primo 2* rests entirely. The *secondo* recites the four-bar theme at the start of this movement, this time with a Mozartian-style melody accompanied by a rotary bass. When the *primo* enters in bar 129, it merely plays the melody an octave higher as the upper *secondo* rests. In essence, from bars 125-147, one soloist could play the material as only two hands ever play at the one time. Clearly, in a performance setting, 23 bars is a lengthy period for one player to be musically 'omitted', and the effect of call and response is achieved by the visual display of the two performers sharing the melody, as well as on aural receptivity where the textural interplay can be heard by the audience.

Music Example 5.15 Schubert, Fantasia in G, D.1, Part 1, *Più Mosso*, bars 125-132

125 *più mosso*

p

130

This practice of temporarily highlighting one soloist of the duo, continues throughout the fantasia and provides evidence that Schubert considered the two performers to be equal participators in this duet. If we return to the definition of chamber music which stated that each part must be ‘on equal terms’, this early composition by Schubert reveals that his four-hand music conforms to such a definition. Further examples of imitation, which is often built upon the exchange of brief material between the two performers, are presented below:

Music Example 5.16a Schubert, Fantasia in G, D.1, Part 1, *Presto*, bars 284-289

284 *Presto*

Music Example 5.16b Schubert, Fantasia in G, D.1, Part 2, *Vivace*, bars 265-268

Vivace 265 *ff*

Music Example 5.16c Schubert, Fantasia in G, D.1, Part 2, *Vivace*, bars 389-392

389 *pp*

Music Example 5.16d Schubert, Fantasia in G, D.1, Part 2, *Adagio*, bars 529-537

529 *p* *tr*

536

Music Example 5.16e Schubert, Fantasia in G, D.1, Part 2, *Finale*, bars 1-10

Finale
Allegro maestoso
ff

5.6 The Schubert Idiom in the Fantasia Style: Aspects of the Fantasia Characteristics in D.1

In terms of D.1's structure, this fantasia exemplifies contemporary practices of combining together several disparate movements in order to create an

improvisatory style and loose form. Despite this work being less cyclical and cohesive than the fantasias that followed, Newbould considered this earliest fantasia as forward-looking due to its multipartite one-movement form. Additionally, however, the sheer amount of contrasting sections in this work, also reveal the composer's knowledge (and influence) of the sectional fantasias of C.P.E. Bach and Mozart. The fantasias which follow pertain more to Newbould's theory as they exhibit a more cohesive and cyclical framework as part of their multipartite construction. The copious sections of D.1 differ in texture, temperament and style and some of these, the march versus the Mozartian sections, the *obbligato* sections, and the brief interludes – Part 1: *Adagio*, bars 244-247; Part 2: *Presto*, bars 1-3 and *Allegro/Trompete*, bars 6-13 providing good examples – have been addressed in the previous sections (see Music Examples 5.17 and 5.18 below). The *Presto* which opens Part 2 of this work and both 'trompete' sections have a multi-functional role in this fantasia: firstly, they have a declamatory stance where a certain authoritarian quality is communicated by the 'trompete' and a clear command for attention with the *fortissimo* drum-roll effect of the lower broken octaves and also the chromatic discord which features here also.

Music Example 5.17 Schubert, Fantasia in G, D.1, Part 2, *Presto*, bars 1-3

Music Example 5.18 Schubert, Fantasia in G, D.1, Part 2, *Allegro*, bars 6-9



The second instance of the ‘trompete’ also separates two fast sections – an *Allegretto* (bars 85-166) and a *Presto* (bars 178-223). This dividing passage is clearly present to create a sense of contrast between different sections of the work.

The features of chromaticism, harmonic boldness and tonal ambiguity begin to be explored in D.1; Schubert, however, had yet to refine his tonal ‘technique’ of his fantasia oeuvre. The *Allegro* (bars 23-124) is the first time Schubert’s harmonic palette indulges in some ‘boldness’ with the presence of chromatic chords (augmented sixth chords) where imitation between the parts – a clear attempt at utilising the four-hand medium to accentuate the chromatic harmonies – overtly emphasises the augmented sixth chords along with a *fortissimo* dynamic:

Music Example 5.19 Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 31-40

Comprising two sections, this *Allegro* slides, via a descending chromatic line, from D major to the tonic minor, D minor, in the latter section. Indeed, both sections conclude on the dominant creating a sense of the unfinished or incomplete. Chromaticism continues to feature in this movement creating a sense of tension from bar 43 where a semitone shift between B flat and A is repeated continuously until bar 57.

Music Example 5.20 Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 46-53

The second section of the *Allegro* (bars 63-124), in D minor, plays a new four-bar melody in thirds, the upper notes of the final two chords, feature the chromatic descending move from B flat to A, something which recurs throughout this section:

Music Example 5.21 Schubert, Fantasia in G, D.1, Part 1, *Allegro*, bars 63-70

It is noteworthy that this *Allegro* concludes on the dominant chord where A, C sharp and E are repeatedly stated for the final four bars with no resolution to the tonic. The following section is in F major so for the listener, a sense of the unfinished and unknown is most likely to be experienced.

In the *Più Mosso* section, in F major, (Part 1, bars 125-178) the occurrence of harmonic deviation commencing at bar 162 is further emphasised by a sudden alteration in texture and dynamic. Bars 125-161 recite a straightforward melody

and accompaniment with diatonic harmonies. Following the perfect cadence in F major in bars 160-161, an unprepared perfect cadence in D minor occurs which is followed by a perfect cadence in C major (3 times) and further cadences in A minor, D minor and C major respectively (see Table 5.4 below). The emphasis on C major (dominant of the opening key) aims to create a tonal stability amidst the surrounding alterations in harmony, dynamic, and texture (chordal). A diminished seventh chord does occur briefly in bars 174-175:

Table 5.4 Tonal Allusions: Schubert, *Fantasia G major, Part 1, Più Mosso*, bars 162-178

Bars	Harmonic Progressions
162-163	A-D minor
164-165	G-C major
166-167	G7-C major
168-169	G7-A minor
170-171	E-F
172-173	Dim7-D minor
174-175	Dim7-C major
176-178	Alternating V and V6/4 or Ic of C, though resolves to G at beginning of Presto, b. 179

The G major tonality of the following 3-part *Presto* ‘movement’ (bar 179) is quickly destabilised after only two bars with the return of B flat in the accompanying triplets played by the upper *secondo* instantly indicating the tonic minor. Indeed Schubert’s penchant for chromatic shifts is demonstrated in his choice of keys for the next section of this *Presto*: Section 1: opens G major; Section 2, A flat major. The final section is in G minor (the tonic minor of the original opening key of this *Presto*). Concluding on the tonic chord of G minor, the sudden *fortissimo* of the following *Adagio* (bars 244-247) which commences on the dominant of C minor, creates a significant effect as the B flat now shifts to B natural.

Music Example 5.22 Schubert, Fantasia in G, D.1, Part 1, *Presto* and *Adagio*, bars 241-247

The opening of Part 2 of this work features a short 8-bar section with a tempo marking *Allegro* where the *secondo* is indicated to play in the style of a ‘Trompette’ (bars 6-13). These exact bars are repeated much later in this part of the fantasia (bars 167-174). In the key of C major, the dominant is emphasised here with the repeating G in the upper *secondo* and rapid, broken semiquaver G octaves in the lower *secondo*; two bars later (bar 8) a Vflat9 chord, in concurrence with the *fortissimo* ‘Trompette’, produces a striking effect. Bars 6-9 in the music example below are repeated exactly in bars 10-13.

Music Example 5.23 Schubert, Fantasia in G, D.1, Part 2, *Allegro*, bars 6-9

Two passages in the *Vivace* section (bars /265-405) of Part 2 feature *fortissimo* tremolando chords; such a technique exploits the four-hand medium to create an effectively striking passage. The first rendering of this standard progression (I – II7 – V7 – I) in B flat minor (bars 308-327), endeavours to surprise the listener with the loud dynamic accompanying the chordal tremolos. In the tonality of B flat minor, the second passage (bars 376-388) withholds a striking harmonic passage as outlined in the table below. The tragic associations of the diminished 7th chords, as typical of the fantasia, feature here also:

Table 5.5 Schubert, D.1, Part 2, *Vivace*, bars 376-388

Bars	Key	Harmony
376-378	B flat minor	I – Ib
379		Augmented French 6
380-381		Dim 7 th on F sharp
382		Passing VII dim 7
383		V7
384-385		I
386-388		D flat 7

Music Example 5.24 Schubert, Fantasia in G, D.1, Part 2, *Vivace*, bars 375-388

5.7 Cyclical Form and Generic Connections: Introduction to Schubert's Fantasia in G minor, D.9

Schubert's second four-hand contribution to this genre was his Fantasia in G minor, D.9, composed 30 March 1811. This fantasia was composed in the same year as Schubert's C minor solo piano fantasia D.2e, which is thematically based on Mozart's own C minor fantasia, K.475. The cyclical structure, minor tonality and funereal opening theme of Schubert's 1811 solo fantasia also characterises his duet fantasia D.9, composed in the same year. Given the direct influence Mozart's K.475 had on D.2e, the proposal that Mozart's solo fantasia influenced Schubert's D.9 in terms of form and temperament is plausible.⁴²⁸ Schubert's G minor fantasia adheres to Mozart's fantasias in its idiosyncratic sectional structure and cyclical form, yet draws inspiration from his own oeuvre by using the theme of his first composed lied for the opening and concluding section: 'Hagars Klage' (Hagar's Lament), D.5 (composed 30 March 1811). The recycling of previously composed material indeed was a central characteristic of the nineteenth-century fantasia. The *Allegro* of D.9 could be described as an allegro-fantasia given that this section is the most 'fantasia-like' in its musical features. Although Newbould considered this work as adhering to a two-sectional structure – the introduction where 'Hagar's Klage' is outlined and the *Allegro* – the following analysis unveils a more detailed five-structure work:⁴²⁹

⁴²⁸ Charles Rosen, 'Schubert and the Example of Mozart', in *Schubert the Progressive, History, Performance Practice, Analysis*, ed. by Brian Newbould (Aldershot: Ashgate, c2003), pp. 1-20.

⁴²⁹ Newbould, *Schubert*, p. 235.

Table 5.6 Structure of Schubert’s Fantasia in G minor for piano duet (D.9)

Section	Tonality/Key	Time Signature	Bars
Largo (Lied quote)	G minor	3-4	1-15
Allegro	C minor	2-2	16-135
<i>Tempo di Marcia</i>	D major	2-2	136-168
Allegro (unmarked)	F minor	2-2	169-206
Largo (Lied quote)	D minor	3-4	207-217

If we remember the definition of cyclic form as stated earlier: ‘In its strict meaning such music returns at its end to the point whence it set out at the beginning [...]’.⁴³⁰ D.9 is more blatantly cyclic than its predecessor as the song quotation frames the composition by appearing at the beginning (G minor) and at the end of the work (now in D minor). In fact, the thematic outlay of this fantasia reveals Schubert’s early vision of the significance cyclical form would have in this genre; the practice of framing a fantasia with the same thematic material became a dominant genre marker of the rest of Schubert’s fantasias, right up to his final duet fantasia of 1828. Motivic links *within* D.9 are prevalent yet there is also a reminiscence of the earlier four-hand fantasia. Prior to considering this connection, there is one striking difference between D.1 and D.9: the contrasting length of both works:

Table 5.7 Duration of Fantasias, D.1 and D.9

Fantasia Title	Bars	Performance Time ⁴³¹
Fantasia in G Major, D.1 (1810)	1,195	21:58
Fantasia in G minor, D.9 (1811)	217	6:01

D.9, by comparison to D.1, demonstrates a very taut construction. One clear similarity between both works is the presence of a march section where the opening march of D.1 and the *Tempo di Marcia* in D.9 reveal a similar structure.

⁴³⁰ Macdonald, ‘Cyclic Form’, p. 797.

⁴³¹ Performance information from the four-hand duo: Yaara Tal and Andreas Groethuysen, Recorded at Schloß Grafenegg, Reitschule, Austria, June and October, 1995.

The positioning of both march sections however reveals two differing approaches in how they relate to Schubert's understanding of the fantasia aesthetic. The similarities and disparities of the march sections in D.1 and D.9 will be explored in detail in sections 5.8 and 5.9 below.

5.8 *Tempo di Marcia*: Multi-Functions of the 'Popular' Guest

Given the minor tonality of the other sections of D.9, the introduction of a contrasting section in a major tonality – D major – affords tonal and generic variation. Indeed, notable resemblances emerge from a comparison of the march section in D.1 and the *Tempo di Marcia* of D.9. Three immediate observations are that both sections are in a major tonality, observe a simple duple time signature, and also feature a solo performer (as the second soloist rests); in the later work, this is the *only* occasion where the soloist is highlighted.

Music Example 5.25a Schubert, Fantasia in G, D.1, Part 1, *Adagio*, bars /1-8

Music Example 5.25b Schubert, Fantasia in G, D.1, Part 1, *Marche*, bars /315-318

Music Example 5.25c Schubert, Fantasia in G minor, D.9, *Tempo di Marcia*, bars 136-150

Tempo di marcia

136

p

142

[p]

148

Table 5.8 Cross-Generic Comparison: The March Sections of D.1 and D.9 - Summary

Feature	Marche, Fantasia, G Major, D.1	Tempo di Marcia, Fantasia, G Minor, D.9
Tonality	F Major	D Major
Time Signature	Simple Duple: 2-4	Simple Duple: 2-2
Performer	Soloist highlighted	Soloist Highlighted
Melodic Motifs	Ascending 3-note step motif (do, re, mi)	Descending 3-note step motif (mi, re, do)
Cross Motivic References	3-note motif taken from the Introductory <i>Adagio</i>	3-note motif taken from the Introductory <i>Largo</i>
Harmonic Progressions	Main Theme: Tonic-Dominant Harmony	Main Theme: Tonic-Dominant Harmony
Rhythmic Referencing (D.9 alludes to D.1)	(i) Dotted Quaver-Semi-quaver (ii) Descending dotted quaver-semiquaver broken chord	(i) Dotted Crotchet-Quaver (ii) Descending dotted quaver-semiquaver broken chord

The above table reveals a congruency between the construction of the marches in both early fantasias but most importantly that neither of these sections contain typical fantasia features – harmonic adventure or tragic elements – compared to the other sections. Schubert’s handling of these sections in both fantasias reveals an analogous approach where step-wise motifs and tonic-dominant oscillations predominate. The similarity therefore lies in their intended effect to act as a contrast to the rest of the fantasia. Furthermore, the borrowing (D.9) or restating (D.1) of the opening motif later in the work, signals a further cyclical device.

In the case of D.1, the style of the opening march needs to be addressed with the objective of establishing the underlying function. The statement of the march theme, at the opening of the work, communicates a distinctly domestic, ‘light’ character: rising dotted rhythms and a conservative harmonic outline in the major tonality. This connects smoothly – with no fermata – to the following *Andante* which also exudes a domestic style and manner. Although there are

passages later in D.1 which exhibit fantasia-like characteristics, all the fantasia duets which follow D.1 commence in the minor tonality with a darker, more sombre quality in the opening sections. Recalling the labelling of four-hand music in reception history as singularly exemplifying domesticity, commercialism, or entertainment, the aesthetic developments between D.1 and D.9 reveal that from early in his career, there is evidence of Schubert's ambition to transcend the domestic aesthetic in his four-hand music.

The *Tempo di Marcia* from D.9 highlights both soloists as each performer cites the theme in its entirety. Indeed, for nineteen bars, there is no deviation from the tonic-dominant oscillations already mentioned (Table 5.8 above). Following these bars remaining resolutely in tonic harmony, bars 155-156 reveals a brief tonal escape. In this instance there is a certain tonal ambiguity and tragic element, as expected in the fantasia genre with the use of diminished 7th chords, created by two possible readings of the chord: firstly, D major: sharpVdim7-VI, or secondly B minor: VII7-I. Following the statement of the main theme again (bars /159-166), the *Allegro* resumes (bar 166) with a direct quote from earlier in the *Allegro*, bars 72-74. Indeed, the harmony from bar 167-168 deliberately destabilizes the D major tonality featuring I with a flattened 7th and IV with a flattened 7th in D major.

Music Example 5.26a Schubert, Fantasia in G minor, D.9, *Allegro*, bars 72-74

72

Music Example 5.26b Schubert, Fantasia in G minor, D.9, *Tempo di Marcia*, bars 163-168

163

168

5.9 *Tempo di Marcia* and the Formation of the Fantasia in D.9

It is both in the formal make-up as well as presentation of specific musical features which establish a work as 'belonging' to its genre. The way in which the march relates to its neighbouring sections differs in both fantasias, revealing clear

indications regarding notions of identity. Indeed, notably, in D.1, the march and trio conclude the first part of the fantasia and function as a self-contained section of the work. In D.9 however, the *Tempo di Marcia* occurs during the *Allegro* giving the former section less generic control, confirming its status as a ‘guest’ genre. It initially appears self-contained but it is how it concludes that is most revealing, where features from earlier in the *Allegro* enter the space of the *Tempo di Marcia*. There is a sense of returning to the *Allegro* rather than recommencing a new section. Consequently, the structural decision to place the march *within* the *Allegro*, confirms the *Tempo di Marcia*’s ancillary generic role. The return to the *Allegro* occurs in bars 166-168 as presented in the above music example 5.26b.

The musical and stylistic effects of the *Tempo di Marcia* in D.9 communicates a disparity between itself and the rest of the work. It functions almost as a steadying force in relation to the preceding section which contains all the fantasia effects: tremolos in the *secondo*, dramatic chords (diminished sevenths), and the more adventurous modulations. The difference in style, tonality and techniques is glaring.

5.10 Issues surrounding Medium: Performance Spaces and Musical Techniques

A development in Schubert’s approach to the performance spaces within the four-hand medium is evident between his first and second four-hand fantasia. Clearly identifiable solo parts were assigned at designated points in D.1. Furthermore, during the ‘imitation’ phrases in D.1, the same material was always restated but in a higher or lower octave, and also, the other performer frequently ‘rested’ at these places in the music. From the outset, D.9 reveals a new approach: a richer texture,

an acutely sombre tone, a slow-moving tempo and in the harmonic language: accented passing notes, chromatic chords, and tonal ambiguity generate a solemn ambience in the opening *Largo*:

Music Example 5.27 Schubert, Fantasia in G minor, D.9, *Largo*, bars 1-15 (entire section)

The musical score for Schubert's Fantasia in G minor, D.9, *Largo*, bars 1-15, is presented in two systems. The first system (bars 1-7) begins with a piano (*pp*) dynamic in the right hand, followed by a fortissimo (*fz*) dynamic. The second system (bars 8-15) starts with a sforzando (*sf*) dynamic, followed by a fortissimo (*f*) dynamic, and then returns to piano (*pp*) dynamics. The score includes various musical notations such as accents, slurs, and dynamic markings.

The opening of D.9 shares the tone of lamentation as expressed in the original song, ‘Hagars Klage’. Given that Schubert’s solo piano fantasia from the same year was thematically based on Mozart’s C minor fantasia, K.475, which featured a solemn, minor-keyed opening, the notion this work also influenced D.9 is very plausible. Tonal ambiguity is achieved in the opening section of D.9 where there is a move towards C major – initially a tonicization and then a perfect cadence (bars 14-15). A diminished 7th chord on F sharp appears twice (bars 10 and 13) as a secondary dominant to the dominant. The prominence of diminished 7th chords

(in bar 10 with a fermata) and the Neapolitan 6 (bar 13), both features of the fantasia, also immediately positions this work as belonging to a tragic genre.

Both the *Largo* and the *Allegro* of D.9, feature close and intimate overlaps between the two performers. It is striking, when considering D.1, that the *Tempo di Marcia* ‘movement’ of D.9 is the only time the second performer completely rests as the melody and accompaniment is performed by the other pianist. What occurs in the G minor fantasia is that the composer is utilising the role of performer to create a change in the performing and listening experience. The physical aspect of performance is most prevalent here as in D.9 there has been a shift in the allocation of performance roles. Therefore, the sense of disparity – central to the early nineteenth-century fantasia – is not only achieved via clearly defined sections, changes in tonality, tempo, textures and style but in the role of the performer.

The sense of dialogue expressed through imitation, is certainly present in the *Allegro* of D.9, but, with exception of the March section, there are no moments where the other ‘half’ is silent. Schubert utilised his performers fully in D.9. The overlaps which occur throughout the *Allegro* almost create a struggle between the two voices attempting to be heard. Indeed, the reiteration of the same minor 6th leap (the significance of this is examined in cyclic features 5.11 below), an upward leap from C to A flat, results in a competitive interaction between the parts (voices) in this fugal style section.

5.11 Form and Cyclical Features of D.9

It is worth reconsidering an observation regarding form and structure, in relation to Schubert’s fantasias, as argued by Newbould, who formally divided Schubert’s

fantasias into the following: multi-sectional works and the fantasia-sonata.⁴³² Newbould argued that D.1 was forward-looking due to its ‘multipartite one-movement form’; D.9 also looks forward given the highly cyclical devices utilised (devices that were to be continually repeated in the four-hand fantasias which followed), but also in its suggestion of sonata form and the sonata cycle. The four/five movements (see Tables 5.9a and 5.9b below) certainly encourage the question if the composer was moving closer to a sonata model. What results however is a type of displaced sonata form. Furthermore, Newbould claims that this second work is less ambitious than D.1, yet the taut construction, Mozartian influence and thoughtful construction of D.9 surely proves this as, at least, an equally ambitious work. Perhaps the shorter length was one reason to label the work as less ambitious but when the other factors, as outlined, are considered, this work is a significant, if early, contribution to the four-hand fantasia.

Table 5.9a Displaced Sonata Form? In D.9

‘Movement’ of D.9		Sonata-Form Structure
Largo	A	Exposition
Allegro	B	Development
March	C	Development
Allegro (2)	B	Development
Largo (2)	A	Recapitulation

Although a five ‘movement’ structure is outlined in the table 5.9a above, the two *Allegro* ‘movements’ are essentially the same movement, containing the same material. As already acknowledged, C (*Tempo di Marcia*) in a sense disturbs B (*Allegro*) and as C concludes, B is reintroduced. However, rather than compose a new section with new material, a section from *Allegro* 1 is restated; it commences with the same material from bar twenty-six of *Allegro* 1. The

⁴³² Newbould, *Schubert*, p. 365.

argument being highlighted here is that essentially four ‘movements’ exist but in an unconventional and displaced structure. One wonders whether Schubert was experimenting with or deliberately challenging sonata-form at this early stage in the fantasia tradition. This strategic placing of the March indeed confirms this as a fantasia, given the free formal licence Schubert clearly utilised in this work. Table 5.9b below reveals that a simple repositioning of the ‘movements’ anticipates the double-function sonata cycle with which the later F minor fantasia D.940 has been associated. This repositioning of the movements in D.9 alludes to first-movement sonata form where the *Largo* sections represent the Exposition and Recapitulation and the *Allegro* and *March* sections represent the Development. Indeed the F minor fantasia commences and concludes with the same thematic material as does the G minor fantasia. The prevailing haunting lyrical melody of D.940, where the interval of a fourth acts as a cyclical device for the entire work, and the lamenting opening and closing *Largo* of D.9, which contains a minor 6th and the 3-note motif, reveals a strong similarity between both works.

Table 5.9b Alternative Ordering of ‘Movements’ of D.9

‘Movement’ of D.9		Sonata-Form Structure
Largo	A	Exposition
Allegro	B	Development
<i>Tempo di Marcia</i>	C	Development
Largo	A	Recapitulation

Even if Schubert, at this early stage, did not intentionally create a displaced sonata structure, the work anticipates the 1828 F minor fantasia in the ways outlined.

A further interpretation of this ‘division’ of the *Allegro* movement, is that the ordering of the movements – *Allegro* - *Tempo di Marcia* - *Allegro* – adheres to a cyclic structure. As stated earlier, the placement of the same material at the

beginning and end of the fantasia realises an overtly cyclical structure (a formal feature which anticipates D.940). What is noteworthy however, is that by restating part of the thematic material of *Allegro* 1 later in the work, the composer aims to provide a second, inner cyclical aspect to a work which defies a strict formal type.

Several observations emerge from an examination and consideration of the tonal structure and what the young composer was possibly communicating by his choice of keys in the various sections:

Table 5.10 Tonal Structure of D.9

Section	Key
Largo (Lied quote)	G minor
Allegro	C minor
<i>Tempo di Marcia</i>	D major
Allegro (unmarked)	F minor
Largo (Lied quote)	D minor

Indeed, the G minor tonality of the opening *Largo* delays going to the dominant by going to the subdominant – C minor – for the *Allegro*. Indeed, James Webster’s comment that Schubert ‘had an “aversion to the dominant”’⁴³³ bears consideration for this fantasia. If a modulation to the dominant could be deemed as the most conventional modulation, it is interesting that it is the march section which ‘conforms’ to a more classical tradition. The tonality of D.9 stands apart from tonality in conventional sonata forms in two ways: firstly, when the tonic does not return for the second *Largo*, and secondly, the use of F minor for the *Allegro* return, which is remote from the original G minor of the work.

The predominant cyclic feature – the quotation of ‘Hagar’s Klage’ at both ends of the work – has already been acknowledged. Additionally, the descending

⁴³³ James Webster, cited in Clark, *Analyzing Schubert*, p. 162.

three-note melodic motif (mi, re, do) from the *Tempo di Marcia* is borrowed from the opening of D.9: the song quotation:

Music Example 5.28a 3-Note Motif, Schubert, Fantasia in G minor, D.9, bar 2

2

Secondo (upper)

pp

Music Example 5.28b 3-Note Motif, Schubert, Fantasia in G minor, D.9, bars 136-139

Tempo di marcia

136

Primo

A further strategic motif, shared between ‘movements’ also stems from the opening *Largo*, which outlines a minor sixth and is marked *pianissimo* from bar 2. This interval occurs in bar four: F sharp jumping up to D where the D is marked *forzando*. This minor sixth opens the allegro ‘movement’ which is fugal in style; this movement continues to be dominated by the upward minor sixth leap:

Music Example 5.29 Minor Sixth, Schubert, Fantasia in G minor, D.9, bar 16

16

Allegro

f

f

5.12 Fantasia in C minor, D.48: Introduction

Composed when Schubert was sixteen years old, Schubert's third four-hand fantasia reveals a maturing both in his compositional approach and his dissemination of musical ideas between the four hands. This is evident in the sophistication of his writing for the four-hand medium and also in his clear vision of creating a highly cyclical work through his repeated manipulation of the opening motif. As will be revealed, this work is an important stepping stone towards Schubert's mature vision of the fantasia genre as exemplified by the F minor fantasia. As highlighted in Chapter 4, this work was first published – mistakenly – as a 'Grand Sonata' and it is this point which reminds us of one requisite fantasia characteristic: formal anomalies. In a period where formal genres were prevalent, Schubert's third fantasia distinguishes itself as outside the sonata category presenting a free(r) formal structure. Indeed, Newbould considers the structure of this work more akin to the Mozartian model than D.9 due to the various sections.⁴³⁴ As presented in the table (5.11) below, this work comprises five movements and a four-bar introductory *Adagio*, obliterating any claims that the work was composed as a sonata.

Table 5.11 Structure of Schubert's Fantasia in C minor, D.48

Section	Tonality/Key	Time Signature	Bars
Adagio (Introduction)	C minor	2-2	1-4
Allegro agitato	C minor	2-2	5-213
Andante amoroso	B flat major	3-4	214-288
Allegro	(i) B flat major (ii) C sharp minor (iii) B flat major	Common Time, 4-4	(i) 289-328 (ii) 329-357 (iii) 358-489
Adagio	D flat major	Common Time, 4-4	490-504
Fugue, Allegro maestoso	B flat major	Common Time, 4-4	505-584

⁴³⁴ Newbould considers D.9 as having only two sections: the opening statement of 'Hagars Klage' and the *Allegro*, something which has been addressed in the formal analysis of D.9.

5.12.1 Cross-Generic Links: Convergences in Approach in Schubert's Duo Fantasias

In a similar approach to the previous fantasia, Schubert's C minor fantasia presents the central motif in the introduction: in this instance, an eight-note descending chromatic scale-figure from middle C down to F.⁴³⁵ It is noteworthy that this chromatic descent is built mostly on a chromatic fourth or lament bass (see Music Example 5.30a below). Newbould acknowledges a further Mozartian influence with reference to the chromatic element of this work.⁴³⁶ There is a parallel in the overt approach to cyclical devices between Schubert's Fantasia in G minor, D.9, his Fantasia in C minor, D.48 and his much later Fantasia in F minor, D.940 as the opening theme both begins and concludes the work. Indeed, both in D.48 and D.940 the thematic material of the final fugue movement features the opening motif. (The fugue of D.940 features the two main themes from the opening *Allegro molto moderato*).

⁴³⁵ This was also outlined in Chapter 4 regarding the reception history of this work where Porter also acknowledges that the central theme is presented in the introduction: Porter, *Schubert's Piano Works*, p. 149.

⁴³⁶ Newbould, *Schubert*, p. 235.

Music Example 5.30a Schubert, Fantasia in C minor, D.48, *Adagio* and *Allegro Agitato*, bars 1-10

The musical score is presented in two systems. The first system contains bars 1 through 6. The tempo is marked *Adagio* for the first three bars and *Allegro agitato* for the last three bars. The first system includes piano (*ff*) and pianissimo (*pp*) markings, dynamic hairpins, and articulation marks. The second system contains bars 7 through 10. The score is written for piano with treble and bass staves. The key signature is C minor (three flats) and the time signature is common time (C). The first system ends with a double bar line and a repeat sign. The second system begins with a fermata over the first note of the treble staff.

Music Example 5.30b Schubert, Fantasia in C minor, D.48, *Fugue (Allegro Maestoso)*, bars 505-521 (first beat)

505

Fuge
Allegro maestoso

512

518

The conception of a continuous flow between movements – which defines the 1828 F minor fantasia – is evident as early as the G minor fantasia from 1811. The tables below reveal the origination of this compositional approach as an

aesthetical aspect of Schubert's fantasias. As tables 5.12a and b reveal, D.9 and D.48 look forward to the final fantasia of 1828 where early evidence of linking movements occurs. In the earlier work (D.9) this occurs at an unusual place: the end of the *Tempo di Marcia*, something which links up with the earlier argument of this being a guest genre. As previously alluded to, the *Allegro* movement in D.9 steps into the space of the march and the final three bars of the march (bars 166-168) are a direct quote from earlier in the *Allegro*, which, despite having double bar lines after bar 168, flow smoothly into the recommencement of the *Allegro* section. Several layers of meaning surface here: firstly, the earlier argument which places the march as a guest within the *Allegro* section, the latter overtaking and reasserting its dominance; and secondly, the juxtaposition of thematic material and mood so closely associated with the fantasia genre.

Table 5.12a Linking Movements: D.9

Movement	Movement	Linked
1: Largo	2: Allegro	(i) Fermata (ii) Double Bar Line
2: Allegro	3: Tempo di Marcia	(i) Rests (ii) Double Bar Line
3: Tempo di Marcia	4: Allegro 2 (Unmarked)	(i) Double Bar Line but performed with no stop ⁴³⁷
4: Allegro 2 (Unmarked)	5: Largo	(i) Fermata and rests (ii) Double Bar Line

⁴³⁷ Please note that the three bars previous to the double bar line are a quotation from the *Allegro*.

Table 5.12b Linking Movements: D.48

Movement	Movement	Linked
1: Adagio	2: Allegro Agitato	(i) Fermata (ii) Double Bar Line
2: Allegro Agitato	3: Andante Amoroso	(i) Double Bar Line but performed with no stop (ii) Motivic Link
3: Andante Amoroso	4: Allegro	(i) Fermata (ii) Double Bar Line
4: Allegro	5: Adagio	(i) Fermata (and minim rest) (ii) Double Bar Line
5: Adagio	6: Fugue	(i) Fermata (ii) Double Bar Line

The way in which Schubert connects the first two movements of D.48 – the *Allegro agitato* and the *Andante amoroso* – is especially elucidatory and sophisticated. The first movement concludes with a chromatic four-note motif: F-E natural-E flat-D which links smoothly to the following movement with no break (bar 213). This motif featured previously in the *Allegro agitato*, first appearing in bar 16 as part of the second subject in the first thematic complex and in a similar context in bar 30. This motif however is actually a fragment of the *first* (chromatic) subject as stated by *Primo 2* between bars 13 and 15. While stating the second subject, *Primo 1* begins this in diminution in bar 16 commencing on F and descending chromatically to D in bar 17. This diminution process highlights a bigger chromatic line: bars 11-18, in *Primo 2* and in fragmented and sequential form in bars 15-18 in *Primo 1*. A crucial feature of Schubert’s fantasies – the lament bass – occurs within this line; just beyond the four-note connecting fragment is a chromatic fourth or lament bass.

Music Example 5.31 Schubert, Fantasia in C minor, D.48, *Allegro Agitato*, Subject 1 and 2, bars 11-18

The use of this adjoining motif also serves as a cyclical device – as it is frequently restated in diminution throughout the *Andante Amorososo* movement. This linking motif therefore functions beyond a perfunctory role, but serves to motivically connect the two movements.

Music Example 5.32 3-Note Motif, Schubert, Fantasia in C minor, D.48, *Allegro maestoso*, bars 213 and *Andante amoroso*, bars 214-216

5.13 First Movement Form: Tonality, Texture and Thematic Connections of the Opening Movements of D.48 and D.940

The *Allegro agitato* conveys a novel structure within the realms of form, medium and texture. (See Table 5.13 below for formal outline.) The contrapuntal texture of this section commences as a fugal-type structure. Schubert utilises several fundamental features of this formal archetype: a subject (a chromatic descending melody based on the opening introductory four-bar *Adagio*), a countersubject, fragmentation, diminution and augmentation. The opening of the *Allegro agitato* clearly articulates four distinct voices, as if in a fugue, which individually state the main theme:

Table 5.13 Statements of the opening theme in *Allegro Agitato*, D.48

Voice / Part	Bars	Subject / Theme
P 1	5-10	1 (Tonic)
P 2	11-18	1 (Dominant)
S 1	19-24	1 (Tonic)
S 2	25-32	1 (Dominant)

Indeed, Schubert introduces the countersubject in bar 11, performed by *Primo 1* above the second entry of the first subject (now played by *Primo 2*). This countersubject features an energetic rising arpeggiated figure. Indeed, considering this piece concludes with a fugue, a further cyclical device is articulated by the framing of D.48 with two fugal-type movements.

Schubert's development of his four-hand technique is striking in this third fantasia (D.48) in comparison to his two previous duo fantasias. The highlighting of a solo player, which held significant generic interest in D.1 and D.9, has now developed towards an increased sharing of material, thereby producing a richer and thicker texture. The contrapuntal technique used in the *Allegro agitato* is most effective as it gradually brings in each 'voice', each stating the subject (as the

counter-subject plays above it). Bars 33-39 present both subjects in unison where the *primos* play the subject and the *secondos* play the countersubject with a *fortissimo* dynamic.

This *Allegro agitato* section however, reveals a deliberate thematic juxtaposition where the subject and countersubject are juxtaposed with a new lyrical theme (*Primo* 1, bars 48-63), accompanied by a rotary bass in the upper *secondo* and the tonic pedal in the lower *secondo* until bar 59. At this point, the fugal texture is abandoned, perhaps Schubert utilising the subjective licence closely associated with the fantasia. This lyrical theme appears for a second time (bars 100-119) – both times in the major tonality. This tonal and thematic approach is also present in the first movement of D.940, which has garnered attention from Kinderman who highlights two opposing themes: the agitato-style ‘funereal rhythm’ theme versus the lyrical theme in that work. Indeed, it is uncanny how in the earlier C minor duet, a similar juxtaposition occurs between the ‘agitato’ character and the lyrical theme which provides a sense of release and contrast. Furthermore, in the case of D.48 the association of minor with ‘agitato’ and major as an escape from the darker mood, offers a hermeneutical space as to the composer’s association of specific emotions with specific tonalities. The practice of using thematic juxtapositions in D.940 is clearly rooted in Schubert’s early works such as D.48; in Gibbs’ discussion of the cyclical aspects of the 1828 F minor fantasia, he highlights ‘the characteristic Schubertian shifts between major and minor’ as a central technique.⁴³⁸ The influence of D.48 is also prevalent in the second movement – *Largo* – of D.940 which also reveals a parallel

⁴³⁸ Gibbs, *The Life of Schubert*, p. 162.

approach to this type of thematic and tonal juxtaposition; here, we are again confronted with the assignment of minor with agitation or torment and major with a gentle lyrical release. Tables 5.14a and 5.14b below outline the similarity in thematic and tonal juxtaposition in D.48 and D.940 where the major tonality characterises the lyrical theme.

Table 5.14a Tonal and Thematic Juxtaposition, Schubert, Fantasia C minor, D.48, *Allegro Agitato*

Theme / Subject	Bars	Tonality
(i) Subject (Chromatic Theme from <i>Adagio</i>)	(i) 5-32	C minor
(ii) Countersubject (Rising Arpeggio Figure)	(ii) 11-32	
Subject and Countersubject	33-47	C minor
Lyrical Theme (new theme)	48-63	E flat Major
Subject (Chromatic Theme)	64-99	E flat Minor
Lyrical Theme (Interrupted in Bar 112)	100-119	B flat Major
Subject (Chromatic Theme)	120-136	
Subject (Chromatic Theme)	138-159	
(i) Subject (Chromatic Theme from <i>Adagio</i>)	160-187	C minor
(i) Countersubject (Rising Arpeggio Figure)		
Subject and Countersubject	188-213	C minor

Table 5.14b Tonal and Thematic Juxtaposition, Schubert, Fantasia in F Minor, D.940, *Largo*

Theme	Tonality
Marcato Theme (A)	F sharp minor
Lyrical Theme (B) (→louder dynamic, more intense mood) ⁴³⁹	F sharp major (→ D maj →A min→E min→B min→F sharp minor)
Marcato Theme (A1)	F sharp minor (→C sharp min →D min→C maj→B min→F sharp min) (again character is different at beginning – much more lyrical but returns to ff, marcato, etc as in the start of the movement).

⁴³⁹ Theme B changes character becoming more similar to the previous marcato theme in character.

5.14 F minor Duo Fantasia D.940: Analytical Findings

5.14.1 Introduction

The observations of Schubert's first three duet fantasias have highlighted several generic attributes which relate to Kallberg's paradigm of genre. Although the categories entitled 'tradition' and 'response' of the fantasia genre, in the broader sense, were outlined in the previous chapter, they are more specifically explored in the current chapter in relation to Schubert's *own* duet fantasias. Furthermore, cross-generic referencing, contextual issues such as the relationship between the intended performer and the musical texture and structure have been explored in relation to the composer's first three contributions to the piano duet fantasia. Within reception history, the F minor fantasia has been compared and cross-referenced to Schubert's two other mature fantasias, Mozart's F minor fantasia for organ and Hummel's A flat major piano duo sonata (Op.92), as well as to sonata form in general.⁴⁴⁰ What is striking about the early fantasias is that firstly, they assume a type of generic responsibility by responding to the structural fantasias of Mozart but, secondly, exhibit the beginnings of cyclical form which culminated in the much later final fantasia of Schubert's last year. These early works therefore also bear a significant influence on the 1828 fantasia for piano duet, and require a prominent position regarding their impact on Schubert's final conception of the fantasia genre.

It is worthwhile restating that, in a broad sense, the characteristic features of the fantasia submerge works of this genre into the *expressive* genre category, yet the scholarship regarding D.940 is predominantly concerned with *formal*

⁴⁴⁰ Humphreys, 'Something Borrowed'; McKay, 'Schubert and Hummel'.

issues. The following exploration will further explore some of the issues raised, especially the ‘borrowing’ of aspects of the sonata only to set the fantasia apart from it. Additionally, as raised in Chapter 4, issues of the significance of tonality and possible expressive interpretations will be considered. Indeed, the fundamental question can again be raised: did Schubert have one definitive interpretation of the fantasia genre? Was Schubert resisting and challenging ‘finalisation of meaning’ by producing the F minor fantasia as the polar opposite to the public, virtuosic ‘Wandererfantasie’? There is a certain contradiction in the answer to this question however as D.940 certainly was not virtuosic or public in the way his earlier piano solo ‘Wandererfantasie’ was (and also remembering the highly virtuosic Violin and Piano fantasia from 1827, also in C Major), but his repeated revisions of the work and the precision of structure and sentiment intimate a work composed for not just the Viennese salon but for posterity.

5.14.2 “Music Theory and the Musicological Imagination”: Reception History Revisited⁴⁴¹

Remembering the correlation between the many images of Schubert the man and his music as explored in the first part of the thesis, the issue of reception history within analytical realms has provoked numerous scholarly responses, responses which relate most pertinently to Schubert’s four-hand fantasias (these responses have largely excluded four-hand piano music). Suzannah Clark has recently contributed a seminal study on the relationship between music theory and musicological response in Schubert’s vocal, piano and instrumental music. Clark highlights the correlation between musicological response and the theoretical

⁴⁴¹ Clark, *Analyzing Schubert*, p. 202.

tools which have instigated such responses. That Schubert deviated from the classical tonic-dominant axis is long established, but the fundamental argument from Clark is in the language or narratives used to describe deviations from the 'norm': therefore when an unrelated or distant key is visited it is often described as alien, foreign or distant, even when that deviation is deliberate. We are again brought back to issues of how we categorise music where the issue of taxonomy, argued previously in this thesis, resurfaces. What Clark highlights is that some of the commonly acknowledged beautiful moments in Schubert's sonata-form movements, often described as true Schubertian lyricism, are defined theoretically as alien or outside harmonic and tonal 'norms.' In short, the theory persuades and shapes musicological response. In relation to Clark's arguments, Kinderman's analysis and interpretation of the first movement of D.940 will fall under scrutiny as a prime example of where analysis and musicological response 'are at' in current reception history.

A second, and related, issue addressed by Clark is that of musical repetition in Schubert's works which is often perceived as the music remembering, reminiscing or producing a static moment – something which defies Beethoven's forward-driving teleology. Indeed, as will be demonstrated, Schubert's final duet fantasia from 1828 relates to the issues raised by Clark both in relation to tonal practices and in the thematic repetition and cyclical form of the work. Clark argues that sometimes a single common tone in a phrase takes precedence over the harmonic structure. Within this proposed framework, the 'anchor' does not necessarily lie in the harmony but on a recurring tone on the surface of the music. This tone is then explored and (re)experienced in varying

ways by the harmonic sonorities that are sounded beneath it. The issue of time is of course related to this argument and is addressed to some degree by Clark, when she refers to Su Yin Mak's research which investigates the central characteristics of Romantic lyric poetry and how these relate to Schubert's music.⁴⁴² Clark provides the following definition of lyric poetry:

Lyric poetry often contains intensely personal accounts of a particular moment; it often explores such moments from different perspectives, and spotlights extreme emotions associated with them. It voices contemplation, reflection, introspection, musing, meditation, reverie, et cetera, which gives an air of stopping the flow of time or even timelessness or looking back. This is why lyricism and memory are so closely aligned. Structurally and syntactically, lyricism favours juxtaposition, repetition, chiasmus, and parataxis over development, narrative, and hypotaxis.⁴⁴³

Many of these words resonate with the language we have become accustomed to hearing in relation to Schubert: 'reflection, introspection, juxtaposition and repetition.' Although Clark is focussing on sonata form, her probings raise some vital issues relating to the fantasia aesthetic. It should be noted, and reiterated, that the fantasia differentiated itself from the sonata, by rejecting a sonata-form structure in its opening movement. Furthermore, the overall tonal structure of Schubert's D.940 features a semitone shift which also relates to the subjectivity long associated with the fantasia. The highly cyclical structure of all of Schubert's duet fantasias from D.9 onwards, which are chiefly characterized by this form, have their own special resonance with notions of 'looking back', 'memory', and 'repetition.' Indeed, the reiteration, development and transformation of themes function as a strategic (and deliberate) compositional device in Schubert's fantasias.

⁴⁴² Clark, *Analyzing Schubert*, p. 174.

⁴⁴³ *Ibid.*, pp. 174-75.

The referral made in the previous paragraph to the issue of time could be more precisely defined as experience in time. Indeed, it can be logically argued that all works in one sense travel in a linear fashion – from the opening to the closing bars of a musical work. There is an expectation (this is of course conditioned through standardized concepts and rules regarding music theory) that the music must travel to a clear destination, and that there is a definable structure, which ideally should conform to a standardized norm. Schubert's fantasias indeed adhere to two types of time – linear and cyclical – where both co-exist in the same space. Schubert's preoccupation with the cyclical as well as the linear in the F minor fantasia acknowledges this aspect of time and experience and even the transformation of experience. Indeed, one of Schubert's achievements in his fantasias was to overturn one of the central fantasia features – a disjointed structure – and replace it with a highly cohesive cyclical form.

Recent scholarship has alluded to an underlying structural cohesion in D.940; Newbould, for example, refers to the two middle movements as 'a related pair', given that they are both in F sharp minor and that both movements share the same opening harmonic progression.⁴⁴⁴ The analysis here will expand on and develop Newbould's findings, so as to explore the extent to which these two middle movements are related in terms of harmony and themes.

The ensuing analysis of D.940 highlights how Schubert's compositional choices reject the inherent hierarchy of classical form, where the tonic-dominant relationship comfortably sits at the top of this standardized theoretical paradigm. Charles Rosen indeed addresses this very issue in relation to Schubert's piano

⁴⁴⁴ Newbould, *Schubert*, p. 246.

duets from 1824 arguing that in these works, ‘the standard articulated tensions of tonic-dominant relationships’ no longer dominate the large-scale harmonic structure.⁴⁴⁵ Furthermore, Rosen outlines the structural importance of the semitone shift in these works, something which Schubert elevated to new heights in his final fantasia.⁴⁴⁶ Within such a context, Schubert’s harmonic proclivities result in an alternative aural effect, where emphasis and precedent is frequently given to harmonic and tonal relationships, that are, typically, further down this prevailing theoretical hierarchy. In his discussion of Schubert’s E flat major Impromptu Op.90, Taruskin’s response to an ‘atypical’ Schubertian modulation, evokes the following response:

...its remote key, B minor, “can be traced logically, and is therefore intelligible, but its distance, not the logic of its description, is what registers. The logic, while demonstrable, is beside the point. To insist on demonstrating it works against the intended effect”.⁴⁴⁷

Clark observes that Taruskin encourages the music theorist not to analyse Schubert’s music as analysing it ‘won’t do anything to enhance the listening experience’.⁴⁴⁸ The analysis of the F minor fantasia will reveal how Schubert often deliberately dismissed the long-standing hierarchy of tonal relationships – an approach which refutes Taruskin’s dismissal of the relevance of understanding Schubert’s ‘logic’ – and also that this alternative aural effect requires comprehensive theoretical probing.

⁴⁴⁵ Rosen, ‘Schubert’s inflections of Classical form’, p. 83.

⁴⁴⁶ *Ibid.* The piano duets discussed by Rosen are: Six Grandes Marches, D.819; Two Characteristic Marches, D.968b; ‘Grand Duo’ piano sonata, D.812.

⁴⁴⁷ Richard Taruskin, *The Oxford History of Western Music: The Nineteenth Century*, vol. III (New York: Oxford University Press, 2005), cited in Clark, *Analyzing Schubert*, p. 200.

⁴⁴⁸ Clark, *Analyzing Schubert*, p. 200.

5.15 Formal Categories? The Fantasia as a Sonata and Cyclic Form

As acknowledged in the previous chapter regarding the reception of Schubert's F minor fantasia, McCreless's formal types of the early nineteenth-century fantasia placed Schubert's late fantasias in the 'sonata-like' category.⁴⁴⁹ Certainly, the sonata is, overwhelmingly, the yardstick against which leading Schubert scholars – Newbould, M.J.E. Brown and McCreless – have interpreted D.940. Newbould's response to the work in this way is worth restating:

[In D.940] Schubert ventures as much diversity as in a four-movement sonata.⁴⁵⁰

Newbould continues by considering the work in the context of a sonata:

Only one 'movement' of the fantasy is allowed to spread to dimensions normal for its genre, and that is the scherzo.⁴⁵¹

The recurring placement of this work in the sonata category (or genre as Newbould states in the above quote) certainly warranted exploration but Newbould essentially defines this fantasia as a sonata. Although meaning can be gleaned from such a comparison, an obvious lacuna emerges regarding the *fantasia* characteristics of this work. As McCreless argues, Schubert created his fantasias in a structure which deliberately separated them from the sonata genre. Therefore, it is these divergences which categorise such works as, related to, but *distinct from* the sonata genre. Samson's arguments find their place in this instance where the interaction between title and content necessitate deciphering in relation to D.940. McCreless's observation of D.940 as exhibiting a double-

⁴⁴⁹ McCreless, 'A Candidate for the Canon?', p. 214.

⁴⁵⁰ Newbould, *Schubert*, p. 245.

⁴⁵¹ Newbould continues: 'To provide tonal contrast, there is an early sidestep to A flat major, and a later tonal journey from tonic down to tonic by three jumps of a major third (F minor, D flat minor, A minor, F minor) which replicates an excursion within the exposition of the Fourth Symphony (first movement)'. Newbould, *Schubert*, p. 246.

function sonata cycle structure is indeed useful as he incorporates the overtly cyclical aspect of this work:

[D.940] ... resembles the *Wandererfantasie* in that it is in effect a “double-function” sonata cycle. The sequence of movements, Allegro molto moderato – Largo – Scherzo – Tempo 1, simultaneously fulfils the functions of the single-movement sonata form and the sonata cycle, such that the first movement, in F minor, works as an exposition, the two middle movements, both in F sharp minor, function as a development, and the final movement, back in F minor, functions as a reprise.⁴⁵²

In his discussion on double structural function, Newman explores the innovations made by Franz Liszt:

Firstly, the nearly total dependence in all movements on the same basic set of contrasted ideas’, secondly, ‘the construction of the sectional development in the “sonata form” out of the slow and scherzando movements of the “cycle”’, and thirdly, ‘the finale of the “cycle” [is made] out of the recapitulation of the exposition in the “sonata form”’.⁴⁵³

Although this quote refers to Liszt, the fundamental principles outlined coincide with McCreless’s observations, something which invites further study regarding the thematic, tonal and rhythmic cyclical elements of D.940. The article on the fantasia in *The New Grove Dictionary* however considers the 1827 Fantasia in C for Violin and Piano as the most influential of Schubert’s fantasias as it ‘anticipates the cyclical and single-movement aspects of much of the music of Schumann and Liszt’.⁴⁵⁴ Additionally, the *New Grove Dictionary* article, ‘Cyclic form’, also mentions the C major Violin and Piano fantasia as laying the foundations for cyclic form later in the nineteenth century for Mendelssohn,

⁴⁵² McCreless, ‘A Candidate for the Canon?’, pp. 210-11.

⁴⁵³ William S. Newman, *The Sonata since Beethoven*, 3rd edn (New York, London,: W. W. Norton & Co., 1983), p. 376.

⁴⁵⁴ William Drabkin, ‘Fantasia: 19th and 20th centuries’, *Grove Music Online*, <www.oxfordmusiconline.com>, [accessed 18 February 2011]. Hereafter referred to as Drabkin, ‘Fantasia’.

Schumann, Liszt and Franck.⁴⁵⁵ Surely, however, D.940 should be acknowledged as an important influence of cyclical form?

Crucial cyclical procedures have been outlined by Weekley and Gibbs with the interval of a rising fourth recognised as the main compositional tool used to achieve unity in D.940.⁴⁵⁶ Gibbs states how all the movements of the work ‘are subtly related through the recurring appearance of dotted rhythms, the prevalence of the interval of the rising fourth, the characteristic Schubertian shifts between major and minor, and the prominence of ornamental trills’.⁴⁵⁷ The beginnings of these characteristics emanate clearly from the early fantasias: the C minor fantasia, D.48, for example, continually reuses the opening motif to create a highly cyclical structure. Gibbs acknowledges the structural cohesiveness of D.940 as the opening theme introduces and concludes the final movement stating: ‘the wondrous theme appears once more, as a coda, a final gesture of intimacy and longing before the extraordinary dissonances of the closing measures’.⁴⁵⁸ Gibbs reference to the ‘extraordinary dissonances’ realises the discordant musical features which also characterise this work. Secondly, and a highly pertinent point, is the reference to ‘intimacy and longing’ which serves to reinforce the popular belief that Schubert’s later works were in some way a personal reflection or statement. Indeed, within the history of the fantasia, there are examples from the eighteenth century of fantasias in F minor and F sharp minor tonalities instructed to be performed with an associated emotion: *Sehr traurig u. ganz langsam* – F

⁴⁵⁵ Macdonald, ‘Cyclic form’, p. 798.

⁴⁵⁶ ‘The unifying factor of the entire Fantasy in F minor is the interval of an ascending fourth. Not only does the interval appear in the opening theme, but also in the B theme, the transitional theme, the opening theme of section II, the opening theme of section III, and most insistently in both the principal and secondary subjects of the fugal section IV’: Weekley, ‘The one-piano, four-hand compositions of Franz Schubert’, p. 87. Gibbs, *The Life of Schubert*, p. 162.

⁴⁵⁷ Gibbs, *The Life of Schubert*, p. 162.

⁴⁵⁸ *Ibid.*

sharp minor (C.P.E Bach, 1787) and *Grave* – F minor (Christian Gottlob Neefe 1797). The intimacy referred to by Gibbs further indicates the chamber aesthetic which certainly conveys a sense of the private and close familiarity between both the performers and the audience.

With reference to the category of ‘response’ in the proposed paradigm for Schubert’s fantasias, the borrowing from neighbouring genres and mixture and mutability (sonata and cyclic form) have been acknowledged. The ensuing analysis will provide more detailed evidence of the cyclical elements of D.940 as well as how Schubert’s thematic and tonal decisions distinguish this work as a fantasia as distinct from a sonata. Issues relating to the second main category of the proposed model ‘tradition’ will also be explored in the following analysis where Schubert both acknowledged the tradition of the fantasia as well as expanding it in terms of scoring, structure, aesthetics and performance.

5.16 Schubert’s D.940 *Allegro Molto Moderato* (first movement) Analysis

Kinderman’s interpretation of the opening movement of D.940 directly relates to Clark’s argument regarding theory and musicological response. Kinderman’s analysis assumes a very clear narrative where the scholar identifies ‘the theme of mortality’ as the pivotal feature of the duet:⁴⁵⁹

In this remarkable composition, the expressive content of the wanderer’s tragic journey is transformed, as it were, into a purely musical structure, absorbed into the sphere of instrumental music.⁴⁶⁰

Kinderman’s identification of Schubert with the Romantic wanderer relates to a pivotal study on Schubert’s late piano works by Charles Fisk (2001). Fisk’s work interprets Schubert’s late instrumental work as a response to the *Winterreise* song

⁴⁵⁹ Kinderman, ‘Schubert’s Piano Music’, p. 173.

⁴⁶⁰ *Ibid.*

cycle which, according to many leading scholars including Susan Youens is a work which refuses cyclic structure.⁴⁶¹ Fisk connects the cyclical aspect of *Winterreise* and Schubert's late instrumental works in the following way:

Winterreise is a cycle without a center, spinning slowly out into a frozen wasteland; but many of the instrumental pieces that follow *Winterreise* are returning cycles. Their beginnings often suggest searching or wandering, but ultimately these compositions fulfill their quest and restore to their wanderer a sense of self-possession and belonging.⁴⁶²

As Kinderman labels the thematic juxtapositions of the opening movement of D.940 as referring to such a narrative, an approach which is rooted in how Schubert's late music after *Winterreise* is regularly perceived, it is also worth considering this musical technique in relation to Schubert's earlier fantasias; the opening movement of D.48 for example, displays an *agitato* minor theme which is twice alternated with a major, lyrical theme. Although the lyrical theme of the opening movement of D.48 is introduced with more ease than in the later fantasia, the beginnings of this technique are clearly evident as early as 1813. Furthermore, D.48 is explicitly cyclical given that the opening theme provides the thematic material for the final fugue. Including this earlier work into the hermeneutical debate, challenges the argument that *Winterreise* provides the only narrative backdrop for the thematic juxtapositions which are present in this work. Kinderman explores the psychological symbolism of Schubert's thematic and tonal displays, in relation to his main themes, in the first movement.⁴⁶³ According to Kinderman, in this movement two main *conflicting* themes reveal a constantly fluctuating temperament:

⁴⁶¹ Susan Youens, *Retracing a Winter's Journey: Schubert's Winterreise* (Ithaca & London: Cornell University Press, 1991), p. 74. Hereafter referred to as Youens, *Retracing a Winter's Journey*.

⁴⁶² Fisk, *Returning Cycles*, p. 6.

⁴⁶³ Kinderman, 'Schubert's piano music', p. 171.

Table 5.15 Kinderman’s tonal plan for 1st movement, D.940: *Allegro Molto Moderato*⁴⁶⁴

Theme	Tonality
Lyrical theme	F minor
Melody in bass	A flat major, ends on V/F
Lyrical theme restated	F major
2 nd theme, funereal rhythm	F minor
Lyrical theme	D flat minor
2 nd theme, funereal rhythm	A minor
Lyrical theme	F minor
2 nd theme, funereal rhythm	F major (leads to 2 nd movement)

As can be observed from Kinderman’s tonal plan above, two opposing themes provide the structure for this ‘movement’ in his analysis. Both themes, first heard in F minor, remind us of the associations of this tonality with death as outlined in Chapter 4 (4.3.3); again the subjectivity associated with the nineteenth-century fantasia asserts itself. In his chapter, Kinderman immediately refers to the narrative quality of the poignant opening theme in F minor:

Music Example 5.33 Lyrical theme in F minor, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 1-5

The musical score for the opening of Schubert's Fantasia in F minor, D.940, is shown. It is in F minor, 3/4 time, and marked 'Allegro molto moderato'. The right hand (treble clef) plays a lyrical theme starting with a piano (*p*) dynamic. The left hand (bass clef) plays a bass line with a piano (*p*) dynamic and a 'simile' marking. The bass line consists of a series of chords: F minor (1), F major (2), D flat minor (3), and A minor (4).

In Kinderman’s analytical interpretation of the opening movement of D.940, he highlights the significance of the presence of the F major mode in two

⁴⁶⁴ *Ibid.*

ways: firstly, he interprets the *F major* statement of the lyrical theme (bars /37-45) as assuming ‘an air of unreality, of illusion’ (see Music Example 5.34)⁴⁶⁵ highlighting the contrast caused by the ‘plunge into minor and the threatening second theme’,⁴⁶⁶ and secondly Kinderman argues how the final statement of the second ‘funereal rhythm’ theme (bars 102-120), also in F major, has a resolving effect.

Music Example 5.34 Lyrical theme in F major, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 37-45

Kinderman himself emphasises one of the chief characteristics of the second/funereal rhythm theme: threatening. It is important to emphasise that Kinderman associates the rhythm as funereal or encompassing death: dotted crotched, quaver, crotchet, crotchet as articulated by the *secondos*. This, however,

⁴⁶⁵ Kinderman, ‘Schubert’s piano music’, p. 171.

⁴⁶⁶ *Ibid.*

must be distinguished from a funereal mood which tends to be more subdued; the ‘funereal rhythm’ theme in D.940 is aggressive, assertive and immediate and will be described as the *agitato* theme from this point onwards. The *final* statement of the *agitato* theme in the opening movement however invites further contemplation in relation to the previously mentioned thematic perspectives (or transformation). In fact, this theme bears a close resemblance to the first lyrical theme both in terms of the interval of a fourth which is outlined in bars 102-103 (and occurs at the beginning of this thematic phrase) in the *secondo* and in bar 103 in the *Primo* 2, and the descending step-motif which is first played in bar 9 and two bars later in bar 11 as part of the opening lyrical theme. Furthermore, the legato phrasing and *pianissimo* indication reveals a more gentle, lyrical quality than previously communicated by the threatening *agitato* theme. The minor tonality and *fortissimo* dynamic of the two previous statements of this second theme present an alternative sound world. Kinderman acknowledges the transformation of this *agitato*-style theme which is now: ‘*pianissimo, legato, and in major*’.⁴⁶⁷ The modification of the *agitato* theme, which absorbs elements from the lyrical theme, evokes the ‘tenderness’ and ‘mournful’ characteristics of the lyrical theme.⁴⁶⁸ The tormented character of the *agitato* theme is temporarily removed so this first movement concludes with a feeling of calm resolution.

The proposal of an illusionary quality with regards to major tonalities reveals a parallel with other writings on *Winterreise*. Susan Youens, for example, argues how one function of the major mode in this song cycle is the expression of

⁴⁶⁷ Kinderman, ‘Schubert’s Piano Music’, p. 171.

⁴⁶⁸ Please see the McClelland section in Chapter 4, Section 4.3.3, which outlines the death-like characteristics associated with the F minor tonality.

the following: ‘realms of dream, imagination, illusion, and memory [...]’.⁴⁶⁹ Fisk, for example also argues how: ‘in the *Winterreise* songs, which are predominantly in the minor, the major mode is associated with texts about fading memories, dreams, and illusions’.⁴⁷⁰ Fisk’s analysis supports that Schubert’s choice of tonalities at specific points in works may have strong frames of reference and therefore key choices were arguably, intentional. There is a further layer however to be considered in relation to the assignment of specific qualities such as dreams and illusions to the major tonality, where the overlap and consequent impact, of theme and tonality must be recognised. The final statement of the *agitato* theme in this movement (as per Kinderman), is transformed via the tonality and dynamic; the tonality therefore has a more strategic role in establishing certain emotions and sentiments. As evident in the table 5.16 below, idiosyncratic fantasia markers are present where the predominance of v minor rather than V major for dominant harmony/tonicisation, and Neapolitan chords are striking; both of these are markers of the tragic genre. Notably, v minor, instead of V major, seldom appears in Schubert’s sonata forms in minor keys, which distinguishes this fantasia genre from the sonata genre.

⁴⁶⁹ Youens, *Retracing a Winter’s Journey*, p. 102. For a more in-depth discussion regarding the understanding and use of major tonalities in *Winterreise*, please consult chapter 3, ‘The Music of *Winterreise*’, pp. 73-116.

⁴⁷⁰ Fisk, *Returning Cycles*, p. 42.

Table 5.16 An Alternative Aural Effect: Probing the Harmonic and Thematic Details of *Allegro Molto Moderato* of D.940⁴⁷¹

Bars	Harmonies	Theme / Other
1-21	F minor	Lyrical
22/23-28	A flat major	Theme in Bass ↓ begins in bar 24
29-30	C minor	Ic – V7 – I
31-37	Neapolitan 6 alternates with V of F	Theme in Bass ↑
38-47	F major	Lyrical
48-52 (1 st beat)	F minor	<i>Agitato</i> Theme
52-56 (1 st beat)	C minor (C major end of bar 56)	Agitato Theme
57-64	F minor	Agitato Theme continued
65-71	D flat minor	Lyrical
72-73	A minor	Link between the Lyrical and <i>Agitato</i> themes
74-78 (1 st beat)	A minor	<i>Agitato</i> Theme
78-82 (1 st beat)	E minor	Agitato Theme
82-90	A minor	Agitato Theme
91-101	F minor	Lyrical
102-116	F major	Lyrical and <i>Agitato</i> elements
117-120	F major-F sharp minor: the last bar is a tonal anticipation of the key of <i>Largo</i>	Bridging Bar leading to Largo

If one is to consider the aural effect of the piece, the most sublime passage in this opening movement is, arguably, the D flat minor statement of the lyrical theme which is approximately halfway through the movement (bars 65-71). At this point in the work, we have heard the lyrical theme twice previously (in F minor and F major respectively), yet the repetition of the theme, now modified, realises a further transformation:

⁴⁷¹ The Tonal Centres marked bold are from Kinderman's analysis.

Music Example 5.35 Lyrical Theme: D flat Major, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 65-71

Indeed, it is worth recalling the qualities of lyric poetry as accounted earlier: ‘Lyric poetry often contains intensely personal accounts of a particular moment; it often explores such moments from different perspectives’.⁴⁷² Clark’s definition of lyric poetry however, needs to be refined in order to highlight that art itself is something that transcends and transforms everyday experience. This single brief visitation to the submediant minor (D flat minor) produces a more rarefied moment. Furthermore, the accompaniment is now also modified: rising and falling triplets played by the *secondo* contribute to a sense of movement and alternate experience as the *secondo* in the previous two statements of the theme both exhibited a broken chord accompaniment. The effect of the chosen key with all notes, except C, of the diatonic scale flattened (including the B double flat) is a

⁴⁷² Clark, *Analyzing Schubert*, p. 174.

profound and deliberate choice of this movement. Indeed, McClelland's article which explores the relationship between tonality and temperament refers to Rita Steblin's studies on music in the eighteenth and early nineteenth centuries which argues: 'the psychological association of increasing sombreness [is achieved] by adding more flats to the key signature'.⁴⁷³ If one is to consider the *aural effects* of this movement, it is reasonable to argue that Schubert places this D flat minor key as a pivotal and key moment in the work.

The table (5.17) below considers the tonal and textural modifications made to the opening lyrical theme of the F minor fantasia. For purposes of clarification, bars 2-12 of the opening theme refers to the first statement of the lyrical theme (and not the repeat). Please note that any textural and melodic changes are highlighted in bold which occur with the D flat minor statement of the theme and the next statement of the lyrical theme in F minor. What can be observed from this table is how the D flat minor thematic statement occupies the shortest time in the linear sense (only seven bars) yet its effect transcends such strictures of time as a significant and poignant moment of this first movement. Notably, the preceding agitato-style section in F minor which travels through C minor and back to F minor (sixteen bars in total), contributes to the emotional impact of this move to the submediant; the practice of moving from the tonic to the submediant being a signature Schubertian progression. The conventional tonal regions (F minor-C minor-F minor) cast the submediant minor into something more precious and esoteric.

⁴⁷³ Rita Steblin, cited in McClelland, 'Death and the composer', pp. 23-24.

Table 5.17 Thematic Perspectives: Schubert’s Lyrical Theme of the *Allegro Molto Moderato* (D.940)

Key & Bars	Texture
F minor (2-12)	<ul style="list-style-type: none"> • Melody: P1 • P2 (Resting) • Broken Chord (S1) • Tonic Pedal features (S2) • Octave Crotchets (S2)
F major (37-47)	<ul style="list-style-type: none"> • Melody: P1 • P2 (Resting until bar 43) • Broken Chords (S1) • Octave Crotchets (S2)
D flat minor (65-71)	<ul style="list-style-type: none"> • Melody: P1 • P2: Now punctuates chords on 2nd and 4th beats • S1: Rising and falling triplets • S2: Octave crotchets
F minor (91-101)	<ul style="list-style-type: none"> • Melody: P1 & 1 octave higher • P2: Now punctuates chords on 2nd and 4th beats • S1: Rising and falling triplets • S2: Octave crotchets

5.17 Further Cyclical Links in D.940

The following analysis will explore: firstly the presence of disparate thematic and tonal contrasts in other movements throughout the work; and secondly, (the sharing of) tonalities, transference of rhythmical, thematic and melodic fragments from one theme to another and also how simultaneously such fragments sometimes articulate an opposing perspective from which it was originally derived. Furthermore, via exploration of Schubert’s interplay of themes and tonalities between movements, for example, the two middle movements, a riveting parallel emerges between the movements.

5.17.1 Cyclical Components: Melodic, Rhythmical and Thematic Cross-References in *Allegro molto moderato* (1st movement), D.940

The use of a strategic motif to create unity in D.940 results in a refinement of this cyclical device as discernible in his earlier duet fantasias: D.9 and D.48. The main

motif (motif a) of D.940 – an ascending perfect fourth – occurs in the opening bars of this work:

Music Example 5.36 Motif a: Interval of a 4th, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 2-5, *Primo*



A second recurring motif in D.940 – a *descending step-wise motif* – creates an additional underlying unity in this movement (motif b). Occurring within the opening phrase (bars 9-10), Schubert develops this motif with a sequence in bars 11-12:

Music Example 5.37 Motif b: Descending step-wise motif, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 9-12, *Primo* 1



The second theme (in A flat major) in the *Allegro molto moderato* movement references both motifs. A hierarchical shift occurs as the descending motif, now exhibiting a conspicuous dotted rhythm, is now the main theme – if only fleetingly. This motif is now continually juxtaposed with the opening motif of a rising fourth:

Music Example 5.38 Motif b, Descending step-wise motif, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 24-27

The musical score for Music Example 5.38 consists of three systems of staves. The top system is the right hand, starting at bar 24, featuring a descending step-wise motif with a 'legato' marking and a '8va' marking. The middle system is the piano accompaniment, also starting at bar 24, with a 'legato' marking. The bottom system is the left hand, starting at bar 24, featuring a descending step-wise motif with 'tr' (trills) and a '7' marking. The score concludes at bar 27.

Motif a is also repeatedly outlined in *Primo* 1 of the A flat major phrase (bars 24-36). The rhythmic modifications of motif b introduce a conversational quality, which also provides a sense of duet with the *secondo* to offer a different kind of lyricism from that presented in a homophonic texture in the opening section.

This type of remembrance and cross-referral however is not confined to statements of the lyrical theme. The first appearance of the *agitato* theme, (commencing in bar 48), although drastically contrasting in character and texture, includes this *signature descent* introduced in the earlier F minor and A flat major phrases (*Secondo*: bars 51, 59 and 61; *Primo*: bars 60 and 62). However, it should be noted that the rhythm of the *agitato*-style phrase is important and distinct from motif b, as this second main theme of D.940 displays a funereal rhythm, which appears throughout the remainder of the work, including the final phrase.

Music Example 5.39 First Statement of *Agitato* Theme, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 48-51

The musical score for Music Example 5.39 consists of two staves. The upper staff is in treble clef and the lower staff is in bass clef. The key signature is F minor (three flats) and the time signature is 3/4. The score begins at bar 48. The right hand plays a descending melodic motif: G4 (quarter), F4 (quarter), E4 (quarter), D4 (quarter), C4 (quarter), B3 (quarter), A3 (quarter), G3 (quarter). This motif is repeated in bars 48-51. The left hand provides a supporting bass line with chords and moving lines. Dynamics include *f* and *sf*.

Also, at the second statement of the *agitato* theme in A minor (bars 72-78), this melodic descent appears in the *primo* (bars 86 and 88) and in the *secondo* (bars 77, 85 and 87) – and here we can observe how between bars 59-62 and 85-88 this melodic fragment alternates in a conversational fashion between the two hands.

(Music Example 5.40c)

Music Example 5.40a Motif b: Descending step-wise motif, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 59-61, lower *Secondo*

The musical score for Music Example 5.40a is a single staff in bass clef. The key signature is F minor (three flats) and the time signature is 3/4. The motif consists of a descending step-wise melodic line: G3 (quarter), F3 (quarter), E3 (quarter), D3 (quarter), C3 (quarter), B2 (quarter), A2 (quarter), G2 (quarter). The motif is repeated in bars 59-61.

Music Example 5.40b Motif b: Descending step-wise motif, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 60-62, *Primo 2*

The musical score for Music Example 5.40b is a single staff in treble clef. The key signature is F minor (three flats) and the time signature is 3/4. The motif consists of a descending step-wise melodic line: G4 (quarter), F4 (quarter), E4 (quarter), D4 (quarter), C4 (quarter), B3 (quarter), A3 (quarter), G3 (quarter). The motif is repeated in bars 60-62. Dynamics include *sf*.

Music Example 5.40c Motif b: Descending step-wise motif, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 85-88, *Primo 2* and *Secondo 2*

Such thematic connections – both melodically and rhythmically – are a compositional feature that continues in the duet. The marcato, chordal section from the *Largo* movement is a later instance where Schubert uses a rhythmic fragment from the lyrical section to alter the character. The dichotomy between the lyrical and *agitato* themes is central to the fantasia aesthetic; this idea of thematic-tonal dichotomy was present in a similar fashion in the opening movement of D.48. The function of the descending motif in D.940 is an underlying cyclical device which subtly relates these two opposing thematic centres.

A further example of thematic reassignment can be found in the D flat minor statement of the lyrical theme (bars 65-71), where a melodic fragment is extracted and re-contextualized as a bridge passage leading to the *agitato* theme. After seven bars of the D flat minor statement of the lyrical theme, the full original phrase is truncated. At this point a melodic fragment (dotted quaver-semiquaver-quaver) in bar 71 is re-stated in its enharmonic equivalent, in A

minor, (bar 72 and again in 73) creating a bridge or link to the *agitato* theme which is also in A minor:

Music Example 5.41 Transformation of lyrical melodic fragment, Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars /70-74



5.17.2 ‘A related pair’: Connections between *Largo* and *Allegro Vivace*

Newbould has outlined that the use of F sharp minor in the two middle ‘movements’ of D.940, suggests that these two sections operate as ‘a related pair’.⁴⁷⁴ As a way of supporting this, Newbould highlights how the opening of both inner ‘movements’ present the same harmonic progression: I – Vminor – VI – III. Notably, the presence of V minor in this opening progression marks this work as a fantasia due to its tragic associations and also that it is untypical of a sonata. Such obvious connections denote the (possible) presence of more intricate compositional links between these two movements. In fact both middle movements of D.940 conclude on an imperfect cadence. With the aim of exploring how intricately cyclical this work is constructed, the ensuing analysis will further explore how Schubert connected the *Largo* and *Allegro Vivace*: firstly, to what extent Schubert perceived these two movements as being related – this shall include thematic, harmonic and rhythmic readings – and, secondly, how such findings relate to the tradition of the genre.

⁴⁷⁴ Newbould, *Schubert*, p. 246.

Table 5.18 *Largo* of D.940: Form (Ternary) and Tonality

Section	Tonality
Theme A, marcato	F sharp minor
Theme B, lyrical (→louder dynamic, more intense mood)⁴⁷⁵	F sharp major – D major (Concludes on V7/F sharp minor and this resolves to F sharp minor at the beginning of A1)
Theme A1, marcato Begins pp this time	F sharp minor (again character is different at beginning – much more lyrical but returns to ff, marcato, etc as in the start of the movement).

Table 5.19 *Allegro Vivace* of D.940: Form and Tonality

Section	Tonality
Scherzo	F sharp minor (Concludes F sharp major)
Trio	D major
Scherzo	F sharp minor (Concludes V/F minor)

Immediately evident from the tonal plan are two elements: the similarity of structure which outlines an A, B, A ternary structure in both ‘movements’ and also close parallels regarding the tonal regions visited. The Scherzo and Trio outlines acutely similar tonal centres yet its increased length allows for an extension of (and a response to) what preceded it in the *Largo*.

5.17.2.1 *Largo* (Movement 2)

The juxtaposition of a lyrical versus *agitato* theme, as found in the opening movement, also characterises the *Largo*. In this instance the *agitato* theme commences the movement. The double and triple-dotted rhythms and thick chordal textures are characteristics of the rhythm and texture of the French Overture of the Baroque era:

⁴⁷⁵ Theme B changes character becoming more similar to the previous marcato theme in character.

Music Example 5.42 Schubert, Fantasia in F minor, D.940, *Allegro molto moderato*, bars 119-120 and *Largo*, bars 121-124

The musical score is presented in two systems. The first system, labeled 'Allegro molto moderato', covers bars 119 and 120. It features a piano accompaniment with a steady dotted rhythm in the right hand and a melody in the left hand with accents and sforzandos. The second system, labeled 'Largo', covers bars 121 and 124. It features a piano accompaniment with a dotted rhythm in the right hand and a melody in the left hand with trills and accents. Dynamics include 'cresc.', 'f', and 'ff ben marcato'.

What is significant in the A section is the consistency of two elements: the tonality and the thematic character: the constant *fortissimo* dynamic, deliberate accents and *sforzandos*, the minor tonality and the fiercely dotted rhythms recalling the French overture. The dotted rhythm in this theme is reminiscent of the *agitato* theme of the opening movement but displays an increasingly authoritarian character where the sense of regal grandeur emanating from A insinuates a controlling figure.

What initially occurs thematically, tonally and dynamically in the next B section (bars /133-148) reveals an escape from and a struggle with this controlling force that asserted itself in the opening of the *Largo*. This ties in with the notion

of freedom and escape in the Fantasia tradition, yet in this instance the music achieves freedom via a new procedure. Here, the lyrical theme could not be more contrasting in its mood and character to what preceded it. With lyricism embedded in major tonalities, Schubert's choice of keys in the B section reveals a clear interpretation of major versus minor tonalities: the initial statement of the lyrical theme in F sharp major (4-bar phrase, bars 133-137) with a characteristic Schubertian mediant shift to D major (4-bar phrase, 138-141), instantly elevates and transforms the mood of the *Largo*:

Music Example 5.43 Schubert, Fantasia in F minor, D.940, *Largo*, F sharp major phrase, bars /134-137 and D major phrase, bars 138-139

The image displays two systems of musical notation for Schubert's Fantasia in F minor, D.940. The first system covers bars 134 to 137, and the second system covers bars 138 to 139. The music is written for piano in F sharp major. The first system begins with a piano (*pp*) dynamic and features a melodic line in the right hand with a slur over the first four bars. The left hand accompaniment consists of triplet chords and eighth-note patterns. A *simile* marking is present in the right hand. The second system continues the melodic line, which includes trills (*tr.*) in the final bars. The left hand continues with triplet accompaniment. The key signature is F sharp major, indicated by three sharps (F#, C#, G#).

The lack of dominant preparation for D major assists in creating a sense of illusion and escapism; this feature stresses a tonicisation rather than a modulation as such. Mediant relations are characteristic Schubertian moves and if one

considers the constant use of this, for example, the jump from F minor (bars 56-64) to D flat minor (bars 65-71) in the 1st movement, and F sharp minor (bars 164-179) to D major (bars 180-187) in the opening of the 3rd movement, Schubert highlights this as a trademark tonal transition.

An analogous harmonic structure connects the two major phrases at the start of the B in the *Largo*, as both contain the same underlying harmonic progressions: I – II7b – V7(9) – V – I – Vb – I minor. The distortion of the perfect cadence at the end of each section/phrase however, is deliberate and serves to unnerve the sense of security the major key has provided at this point. Following the D major section, minor tonalities take control, reinforcing their domineering status where each harmony is supported by its dominant. Here a circle of fifths (in A minor, E minor, B minor and F sharp minor – bars 141-148) forge an unbreakable link between the statement of each minor harmony crushing any possibility of the return of the major tonality as at the beginning of this B section. The harmonic and tonal trajectory outlined between the major versus minor phrases, aligns with Kinderman's view of the juxtaposition between the two main themes of the opening movement. The circle of fifths outlined here therefore serve to intensify the escapism created by the contrasting lyrical major section preceding it.

The escapism present in B of the *Largo* is provided by the two 4-bar phrases, each stating the same melody. The D major statement however is more decorative with trills and ornaments creating a more ethereal atmosphere on the theme's second hearing (see Music Example 5.43 above). Following this phrase

however, a rhythmic fragment is taken from this theme starting in bar /141-142, where it takes on a new character:

Music Example 5.44 Schubert, Fantasia in F minor, D.940, Rhythmic fragment, *Largo*, bars /142-144



It is at this point, that the minor keys appear, as an agitated tone replaces the soaring lyricism from which the music just came. Taken from the lyrical theme, this fragment is stated a tone higher each time (beginning of bars 142 and 144) – a characteristic Schubertian gesture used to generate dramatic tension in the music.⁴⁷⁶ Finally, at bar 145ff. the double and triple dotted rhythm has *seemingly* conquered and quashed the now fleeting memory of the lyrical escape just heard. A sudden shift in dynamic to *pianissimo* (bar 147), as typical of the fantasia genre, recalls the aura of the major phrases (bars 133-141). The effect of this *pianissimo* dynamic in combination with the minor key, which continues into the beginning of A1, now produces a more chilling mood – in contrast to the ethereal effect of *pianissimo* in B.

In addition to the initial *pianissimo* restatement in A1, the texture of the *primo* is lighter for the first four bars: the return of *fortissimo* is imminent however and the section here quickly remembers its origins, leaving behind the gentle dynamic in which it began. A1 is also slightly extended (an extra two bars) where the dotted marcato rhythms mark their territory as they close this

⁴⁷⁶ This is a common Schubertian trait which is also present in his lieder: the boy's cries to his father in 'Erlkönig' and the rising climaxes (G and A) in 'Gretchen am Spinnrade'.

movement. Given that A is predominantly in the tonic (visits B minor for two bars, featuring a Neapolitan 6), A1 is more exploratory, visiting the dominant, a semitone shift to D minor and then a descent from C major to B minor before concluding on F sharp minor.

Table 5.20 *Largo* of D.940: Tonal Plan

Theme	Tonal Plan	Bars
Theme A, marcato	F sharp minor	121-132
Theme B, lyrical (→louder dynamic, more intense mood) ⁴⁷⁷	F sharp major – D major – A minor – E minor – B minor – F sharp minor	133-148
Theme A1, marcato Begins pp this time	F sharp minor – C sharp minor – D minor – C major – B minor – F sharp minor	149-163

5.17.2.2 *Allegro Vivace* (Movement 3)⁴⁷⁸

Newbould's argument that the unusual progression in F sharp minor in the opening phrases of the two middle movements: I - V minor - VI - III 'suggests taut construction',⁴⁷⁹ simultaneously signals that harmonic patterns, as well as overall tonality, play a central structural role in D.940. Indeed, the emphasis on mediant relations is a further aspect of the cyclical form of this work. The sudden shifts between major and minor modes that pervade this movement are not only typical of the entire fantasia's character, but also, are an echo and response to what has preceded it in the *Largo* movement. Here a close examination of the tonal scheme reveals sophisticated musical connections between the two middle movements, in particular. The expansiveness of this movement allows for the playing out – and perhaps an understanding of – of the unconventional tonal relationships presented in the *Largo*. Considering this movement (and overall

⁴⁷⁷ Theme B changes character becoming more similar to the previous marcato theme in character.

⁴⁷⁸ Please note that an alternative reading of the tonality of this movement – A major – was proposed by Porter, p. 149 and Brown, *Essays*, p. 94: VI – III – IV – I

⁴⁷⁹ Newbould, *Schubert*, p. 247.

fantasia) in the context of Schubert’s late solo works, Charles Fisk’s remarks on the three late piano sonatas create a striking parallel with this duet:

The emphases of the “Wanderer” keys of C sharp minor and C major in the A Major Sonata not only recollect the fantasy’s conflicting keys, they also manifest a similar, although more subtle and elaborate, tonal organization. This kind of tonal organization, which systematically sets mutually remote keys in conflict with each other and then gradually resolves that conflict, is characteristic of each of the last three sonatas.⁴⁸⁰

On reading this observation, one cannot help but recall the overall tonal scheme of the F minor fantasia duet: F minor – F sharp minor – F sharp minor – F minor. Furthermore, the ‘mutually remote keys in conflict’ also play a central role in the duet: that these tonalities were part of a sophisticated tonal plan providing an undeniable coherence and unity to the work.

On a broad level, the *Allegro Vivace*, again emphasises the importance of mediant relations between the Scherzo-Trio-Scherzo sections: F sharp minor (ends in tonic major) – D major – F sharp minor (ends F minor) – this signature harmonic transition also being present in the two earlier movements. This clearly recalls however the *Largo* movement, which outlines a significant move from F sharp major to D major in the B section.

Table 5.21a Mediant Relations, ‘Lyrical’ B Section, *Largo*, D.940

Theme	Tonality
Theme B, ‘Lyrical’	F sharp major → D major

Table 5.21b Mediant Relations, *Allegro Vivace* (Scherzo and Trio), D.940

Section	Tonality
Scherzo	F sharp minor
Trio	D major
Scherzo	F sharp minor

⁴⁸⁰ Fisk, *Returning Cycles*, p. 7.

Music Example 5.45a Schubert, Fantasia in F minor, D.940, *Allegro Vivace*, 'Scherzo', bars 164-171

Music Example 5.45b Schubert, Fantasia in F minor, D.940, *Allegro Vivace*, 'Trio', bars /273-279

What is perhaps even more revealing is how this mediant shift functions *within* this third movement. The mediant transition is outlined at the beginning of the Scherzo: F sharp minor (*forte*) – D major (*piano*); these two tonal centres are also distinguished by their dynamic. In contrast to the B section of the *Largo*, where the D major phrase is instantly followed by A minor (which is part of a circle of fifths, a passing harmony), this time the D major phrase (bars 179-187) of the Scherzo progresses to the dominant – A major – and concludes with a perfect cadence. The opening phrase in F sharp minor of the Scherzo also concludes with a perfect cadence. This reveals a modification to the phrase endings of the *Largo*

which evade the perfect cadence at the close of A1 (F sharp minor) and at the end of the major phrases in B. It is worth reiterating that in the *Largo* A minor is part of a circle of fifths, a passing harmony. The presence of the A major phrase in the Scherzo allows for a more prolonged release and escape from the tension of the extended F sharp minor phrase, previously denied in the *Largo*.

Similar harmonic patterns provide a further link between these two sister movements of D.940, where the cyclical structure is further revealed. Such a technique remembers John Rink's assertion that the tonality of Schubert's fantasias functions as a viable cyclical device. The B Section of the Scherzo refers to the entire B section in the earlier *Largo*. The table below (5.22) outlines convergences in tonal centres and the use of the same circle of fifths in the *Largo* and Scherzo movements:

Table 5.22 Replication of Tonal Centres in *Largo* and Scherzo movements, D.940

Movement & Section	Tonal Centres
<i>Largo</i>: A Section	F sharp minor
<i>Largo</i>: B Section	F sharp major – D major - A minor - E minor – B minor – F sharp minor
<i>Largo</i>: A1 Section	F sharp minor – C sharp minor – D minor – C major – B minor – F sharp minor
Scherzo: A Section	F sharp minor – D major – A major
Scherzo: B Section	F sharp minor – B minor - D major – D minor - A minor - E minor - B minor - F sharp minor – C sharp major – F sharp minor - F sharp major
Scherzo: A + B Section repeated plus additional transitional passages to 'Finale'	F sharp minor – D major – A major – F sharp minor – B minor – D major – D minor – A minor – E minor – B minor – F sharp minor – C sharp major – F sharp minor – A major – F sharp minor – F sharp major – V/F minor

The preference for a tonic-subdominant relation is evident in the B Section of the Scherzo. Although harmonic congruencies link the two middle movements, the

introduction of a new tonality – F minor – at the end of the third movement serves two purposes: a dramatic impact with a German 6 chord (bars 426-427), but also connects to the final movement by concluding on the dominant of F leading to I in F minor in the *Finale*.

5.17.3 Thematic Cross-References in D.940

The presence of an *ascending-descending stepwise melodic motif*, outlining a fourth, in the *Allegro Vivace* (movement 3) connects this to the opening and closing movements. It is important to recall that this fourth interval characterises the lyrical and *agitato* theme of the opening and final movements. This further supports Gibbs’ claim that this interval functions as a central cyclical method. Indeed, the opening interval in the third movement also outlines a fourth, which is a subtle reference to the recurring motif to be explored below. An allusion to the *ascending-descending stepwise melodic motif* is present in both the *primo* and *secondo* in the Scherzo, at the return of D major:

Music Example 5.46 Schubert, Fantasia in F minor, D.940, *Allegro Vivace*, Scherzo 1, Ascending-Descending Motif, Scherzo 1, bars 180-181, (D major)

The musical score shows two systems of staves. The top system consists of a single treble clef staff with a melodic line: D4 (quarter), E4 (quarter), F#4 (quarter), G4 (quarter), A4 (quarter), B4 (quarter), A4-G4-F#4-E4-D4 (quarter notes), C#4 (quarter), B4 (quarter), A4 (quarter), G4 (quarter), F#4 (quarter), E4 (quarter), D4 (quarter). A slur covers the entire line. The bottom system consists of two staves (treble and bass clefs) with chords: D4 (quarter), E4 (quarter), F#4 (quarter), G4 (quarter), A4 (quarter), B4 (quarter), A4-G4-F#4-E4-D4 (quarter notes), C#4 (quarter), B4 (quarter), A4 (quarter), G4 (quarter), F#4 (quarter), E4 (quarter), D4 (quarter). A slur covers the entire line. The piece is marked 'p' (piano).

5.17.4 Thematic and Tonal Synthesis in the *Finale*: ‘Tempo 1 & Fugue’

Table 5.23 Overall Tonal Scheme of *Finale*

Themes	Tonality
Tempo 1	F minor
Fugue	F minor

The opening of the *Finale* ‘Tempo 1’ is a repeat of the opening forty seven measures – bars 13-23 are now omitted.

Table 5.24 Tonal scheme of ‘Tempo 1’ of *Finale*

Tempo 1 (<i>Finale</i>)	
Theme	Tonality
Lyrical theme	F minor
Lyrical theme – in bass	A flat major (ends with V/F major)
Lyrical theme	F major

These themes are unaltered revealing a deliberate tonal pattern in this final movement with the relationship of a third outlined between the statements of the lyrical theme. The feeling of illusion and escape, which concludes this opening section before the fugue, is achieved via the F major statement of the lyrical theme – the last time we hear the F major tonality. The representation of the major mode as exemplifying the potential for salvation is once again denied; this final attempt to avert a tragic outcome is unattained.

The ensuing fugue stands apart from both the fugue in the final movement of the ‘Wandererfantasie’ and also Schubert’s Fugue in E minor for piano duet D.952, which was composed in June 1828. Both works referred to here commence in a typical fugal fashion where one voice introduces the subject. The fugue from the final movement of Schubert’s earlier C minor fantasia, D.48 likewise commences with the subject introduced by each part in the following order: *Primo* 1, *Primo* 2, *Secondo* 1, *Secondo* 2. The fugue of D.940 on the other hand

encompasses an unorthodox approach, something which relates to the fantasia aesthetic: the subject and countersubject commence simultaneously. The *agitato* theme, played by the *secondo*, appears in place of the *agitato* theme as presented in bar 48 of the first movement. The interval of a fourth appears in the second lyrical theme played by the *primo*: this signature interval of the lyrical theme, is now transformed in character to be performed with the original *agitato* theme. The compositional technique of both themes commencing concurrently relates to the fact that this fugue is part of a nineteenth-century fantasia, something which creates a certain ambiguity as to which functions as the subject and countersubject. However, as the *agitato* theme is more clearly recognizable and the scalar movement around a fourth is presented differently from anything that has come before and has a more tentative relationship to the opening theme, the former takes precedence as the subject. Newbould acknowledges the presence of the second theme from the first movement (now the subject) with an added countersubject, and further acknowledges that ‘the way in which fugal texture is leavened is worth close study’.⁴⁸¹ This uncharacteristic compositional technique of stating the subject and countersubject together also raises interesting issues regarding performance equality; although each part is assigned one distinct theme, the assignment of the subject to the *secondo*, which dominates the fugue, favours the argument that the *secondo* is given prominence here.

⁴⁸¹ Newbould, *Schubert*, p. 246.

Music Example 5.48 Subject and Countersubject, Schubert, Fantasia in F minor, D.940, *Finale*, ‘Fugue’, bars 474-477

The strongest accent of the subject falls on the first beat with a dotted crotchet whereas an accent is marked on the second beat of the countersubject so both themes can be independently heard despite being initially performed at the same time. The fugue culminates in a chordal section, reminiscent of the chordal textures in the *agitato* themes in movement 1 and also the A sections in the *Largo*.

It is worth restating that the *Finale* begins with the same tonal-thematic structure (Lyrical Theme: F minor – A flat Theme – Lyrical Theme: F major) as in the opening movement. (See Table 5.25 below.) The commencement of the fugue continues with this opening movement pattern in two ways: firstly, by stating the *agitato* theme and secondly, by choosing the same F minor tonality (which was the next theme to be played in the opening *Allegro molto moderato*). Furthermore, the *secondo* plays the *agitato* theme in both movements. With the purpose of establishing tonality as a central cyclical element, the tonal centres of both movements are worthy of comparison: (Tables 5.25 and 5.26)

Table 5.25 Harmonic and Thematic Details of *Allegro Molto Moderato* of D.940 (Bars 1-64)

Bars	Tonal Regions	Themes
1-21	F minor (I)	Lyrical
22/23-28	A flat major	Theme in Bass ↓
29-30	C minor	Ic – V7 – I
31-37	F minor	Theme in Bass ↑
38-47	F major	Lyrical
48-52 (1 st beat)	F minor	<i>Agitato</i> theme
52-56 (1 st beat)	C minor	<i>Agitato</i> theme (I is emphasised)
56-64	F minor	<i>Agitato</i> theme continued

Table 5.26 Harmonic and Thematic Details of the Fugue, D.940 (Bars 474-489)

Bars	Tonality	Themes
474-477	F minor	Subject (<i>agitato</i> theme) Countersubject (Interval of a 4 th outlined)
478-481	C minor	Subject Countersubject
481 (beat 4) - 485(6)	F minor	Subject Countersubject
486-489	C minor	Subject Countersubject (2 bars only)

The fugue features a final transformation of the lyrical theme as the countersubject outlines the interval of a fourth. Furthermore, the inclusion of the descending motif realises two functions: firstly, to provide a cyclical connection, and secondly, as a thematic juxtaposition with the interval of a fourth. The overpowering agitated character of the fugue is executed via, cross-thematic, melodic and rhythmic fragments and/or phrases, and accompanimental parts. The table below (5.27) outlines the statements of and development of the Subject and the Countersubject.

Table 5.27 Tonal Scheme and Thematic Outline of Fugue and Lyrical Theme

Bars	Themes⁴⁸²	Tonal Regions	Texture/Pf figuration, fragments, melody, accompaniment
474-477	Subject (funereal theme): S 1 Countersubject: (Interval of a 4 th outlined) P 2	F minor	Contrapuntal
478-481	Subject: P 1 Countersubject: S 2	C minor (v minor of tonic)	S 1 plays melody
481 (beat 4)/482-485(6)	Subject: S 2 Countersubject: P 1	F minor	P 2 plays melody
486-489	Subject: P 2	C minor	P 1: Subject rhythm (2 bars) & melody derived from Countersubject (2 bars) S 1: Refers to Countersubject S 2: Melody
490-494	Subject: S 1 Countersubject: P 2	A flat major	S 2: Rests P 1: Triplets P 2: Triplets
495-501	Subject: S 2 Countersubject: S 1	E flat major	S 1: Triplets P 1: Rests (except 502-503 has descending motif from Subject) P 2: Rising quavers, triplets, rhythmic reference to Subject
502-508	Subject: S 1 and Countersubject: P 2 appear together in bars 506-508	C minor	P 1: 2 bars of descending motif from Subject, triplets S 2: 2 bars of descending motif from Subject, triplets
509 -510	Subject: S 1 Suggestion of stretto technique (Subject) between P 2 and S 1	F minor from Bar 509, beat 3	P 1: Triplets S 2: Triplets
510 (bts 3 & 4)-511	Subject: S 1 Suggestion of stretto technique (Subject) between P 2 and S 1	A flat major	P 1: Triplets S 2: Triplets
511 (bt 3)-513 (bt 1 & 2)	Subject: S 1 Suggestion of stretto technique (Subject) between P 2 and S 1	V	P 1: Triplets S 2: Triplets

⁴⁸² Please note that *Primo 1* (P 1) refers to the upper primo, *Primo 2* (P 2) refers to the lower primo; *Secondo 1* (S 1) refers to the upper secondo and *Secondo 2* (S 2) refers to the lower secondo.

Table 5.27 continued:

513-525 (bts 1 & 2)	Subject: S 2 (bar 513 ff.) Suggestion of stretto technique (Subject) between S 2 and P 2 (bar 514 ff.) Subject: P 1, bar 518ff. Suggestion of stretto technique (Subject) between P 1 and S 1, (bar 519 ff.)	Circle of fifths: C – F – B flat – E flat – A flat – D flat – G – C, prolonging C (V of F minor) – F minor	P 1: Dominant pedal triplets, bar 513-517 S 2: Dominant pedal triplets, bar 518ff S 1 and P 2: Triplets feature
525-531	Subject: P2 and P1 – Stretto	F minor - A flat major	S 1: Triplets S 2: Triplets
532-533	Derivative of Subject in P1, P2 and S2	Dim 7 th chord on A. From bar 532 a clearly defined phrase structure for the climactic passage emerges: Compound Period, where a sentence phrase beginning with a dim 7 th chord is repeated (6+6), ending the first time on V (bar 537), the second on I (bar 544).	S 1: Triplets
534-537	Derivative of Subject in P1, P2 and S2 (bars 534-5)	Dim 7 th chord on G - A flat major - F minor	P 1 & P 2: Chordal (bars 536-7) S 1: Triplets S 2: Triplets (bars 536-7)
538-539	Derivative of Subject in P1, P2 and S2	B flat minor (dim 7 th chord on A)	S 1: Triplets
540-541	Derivative of Subject in P1, P2 and S2	Dim 7 th chord on G - A flat major	S 1: Triplets
542-544 (beats 1 & 2)	Derivative of Subject in P1 & P2	B flat major & F minor. Cadential preparation (bar 543) for tonic F minor (bar 544)	P 1 & P 2: Chordal S 1 & S 2: Triplets
544-546	Derivative of Subject in P 2, S 1 & S2	F minor - A flat major - C minor (harmonies)	P 1: Triplets S 2: Octaves
547-554	Derivative of Subject in P 1 & P 2.	Repeated harmonic/cadential progression: Vii - dim 7 th on A natural - iv, IC, V (the last two alternate in the repeat)	All feature: Triplets P 1, P2 & S 1: Chordal S 2: Octaves
555-559	Lyrical Theme returns	F minor	
559-561 (bts 1 & 2)	Melodic/rhythmic fragment of lyrical theme	Prolongation of G flat major harmony and preparation for cadence	
561 (bts 3 & 4) -570	Derivative of Subject occurs in all parts.	Neapolitan harmony (bar 561) F minor	P 1 & P 2: Chordal (final 3 bars all chordal) S 1 & S 2: Triplets

The predominant minor tonality of the fugue confirms that this section functions as an extended replacement of the *agitato* theme of the opening movement. On the first statement of the major tonalities: A flat major and E flat major from bars 490-501 inclusive, a *piano* dynamic is indicated as if remembering the illusory, dream-like associations of the major tonalities from the opening and the *Largo* movements. Following the E flat major phrase (bars 495-501) a juxtaposition between major and minor is clearly present as well as a complex referral to the material already heard but stated in a more fragmentary fashion – the Subject however remains a continual dominant force.

The argument that the *agitato* theme is the subject is supported by its continual restatement in the fugue, even when only a derivative of the theme is stated from 532ff. At this point, there is a change to a more clearly defined phrase structure for the climactic passage which commences with the diminished 7th chord; here a sentence phrase is repeated (6+6) which builds towards the ultimate climax in bar 553 (before the final statement of the lyrical theme). Another notable feature is the repeated cadential progression in the last seven bars of the fugue, from bar 547, which also features a diminished 7th chord: Vii⁻-diminished 7th - iv, IC, V (the last two alternate in the repeat).

Schubert uses specific chords to create a dramatic impact in the fugue – diminished seventh chords – and after the return of the lyrical theme – Neapolitan harmony (which features throughout the fantasia). Furthermore, when the lyrical theme re-appears for the seventh and final time following the fugue, the distinctly cyclical structure of the work is confirmed. Indeed, in the *Allegro molto moderato*, the opening F minor section concludes with the following progression

heard three times: Neapolitan harmony alternates with V of F. Additionally, Neapolitan harmony features at the opening of both middle movements. The prolongation of G flat major harmony in the *Finale* – 5 bars into the theme in bar 559 – has a structural significance; the flattened G curtails the continuation of the harmony/melody as expected. At this point, the repeated G flat in the bass almost functions as a pedal note (bars 559-561: beats 1 and 2) confirming its static and authoritarian position as the piece draws to its close. Simultaneously, the repetition of the same rhythmic fragment in the *primo* restrains development of the theme as expected: this also occurs in the D flat minor statement of the lyrical theme in the first movement where fragments of melody are extracted from the theme. However, the ascending *primo* succeeds in breaking free from the harmony and finally in bar 562 tonic harmony is achieved with a perfect cadence in the bars that follow (bars 562-563). The use of such harmonic progressions reveals Schubert's dramatic interpretation of the fantasia, something which significantly contributes to the unsettled aura that pervades the work. Bars 565 and 566 are a final recall of the fugal section with the triplets appearing in a continuous downward step motion followed by the subject rhythm, which makes its final statement in F minor in tonic harmony (and its inversions). It is at this point that we may recall the conclusion of the first movement where the *agitato* theme was altered to exude a calm, gentle atmosphere. Now, however, the presence of the *agitato* theme powerfully communicates a tormented character, ensuring a tragic conclusion to this work. Following the statement of the subject in bar 566, the tonic chord in F minor appears on the first beat in bar 567; the music could easily cease at this point as the tonic had been approached by the

dominant providing a sense of completion and settlement; but as is revealed below, the final moments of the piece reveal that the torment, identified by Kinderman in the opening movement, still has a piercing presence in the music. This sense of tragedy, as also outlined by Kinderman,⁴⁸³ is present in the marked chromatic descent from F to C in the final six chords. Furthermore, the flattened sixth-fifth in the final two chords refers to the lament topic, present throughout D.940 and ultimately at its closing.⁴⁸⁴

Music Example 5.49 Schubert, Fantasia in F minor, D.940, *Finale*, bars 565-570

Although the piece concludes on I in the tonic F minor, the approach cadence is II7b (very similar to IV), and the denial of a final perfect authentic cadence marks an idiosyncratic final cadence in this fantasia. As already acknowledged, a few bars previously, the perfect cadence *is* achieved and the piece sounds complete yet the tonal dissonances in bar 567 unnerve this stability communicating a profound melancholy, concluding the work with a similar temperament in which it began.

⁴⁸³ Kinderman, 'Schubert's Piano Music', p. 173.

⁴⁸⁴ Janet Schmalfeldt, *In the process of becoming, analytic and philosophical perspectives on form in early nineteenth-century music* (New York; Oxford: Oxford University Press, 2011), p. 121.

5.18 Conclusion

Schubert's exploration of the piano fantasia occupies a pivotal role in the history of this genre. The addition of the four-hand medium to this tradition achieved in firstly, expanding the identity of the fantasia and secondly, in transforming the artistic merits of the piano duet medium in the early nineteenth century. Although Mozart's influence on Schubert was overtly explored in the piano *solo* medium with the re-use of themes from K.475 in Schubert's D.2e (1811), the tragic symbolism, preference for the minor tonality and cyclical device of thematic restatement, most likely transferred to Schubert's four-hand fantasies from 1811 and onwards; the connection however seems to be one of general inspiration (sonatas and fantasias) with possibly a few specific links. Schubert's interest in this genre was clearly ignited by Mozart who, arguably, was a key impetus both in Schubert's elevation of four-hand music and specifically, the four-hand fantasia. It is both Mozart's piano solo fantasias as well as his achievements in transcending the salon aesthetic with his four-hand sonatas that caught Schubert's artistic imagination at a very early stage in his compositional career. One significant ambition in Schubert's fantasias is that he aimed to elevate the four-hand fantasia to the same artistic heights as the solo fantasia. Indeed, Schubert's adaptation of sonata form in his later fantasias reveals a compositional development and move away from Mozart's sectional structures, revealing Schubert's engagement with contemporary compositional practices.

Returning to the opening question of the chapter regarding the establishment and interpretation of recurring genre markers, the recollection of McCreeless's words are most germane:

The Fantasia is one of the most volatile and unstable, yet simultaneously perhaps one of the most characteristic and vital genres of the early nineteenth century.⁴⁸⁵

This instability clearly refers to the many formal types of the fantasias which existed in the early nineteenth century. At the very heart of the fantasia was the notion of subjectivity, of free will almost. Despite being considered an unpredictable genre, Schubert's fantasias for four-hands conform to a certain formal type where he achieves a clear cyclical design through various techniques: thematic, motivic and tonal links. Indeed Schubert's overtly cyclical structure of commencing and concluding his fantasias with the same musical material also featured in Mozart's fantasias, indicating a possible influence in this regard. Following Mozart's influence from as early as 1811, a marked shift in compositional approach is evident between the D.1 and D.9 duo fantasias. Indeed, this recurring genre marker – cyclical form – present as early as 1811 in D.9 prevailed as a chief characteristic in the later solo and duet fantasias. The analysis of Schubert's F minor fantasia revealed the composer's ultimate achievement in cyclical form with the repeated re-statement and development of the opening themes, recurring motifs and deliberate tonal connections both within and between movements. Indeed, Schubert's tonal and thematic choices relate to a second recurring genre marker in his four-hand fantasias – the element of tragedy – where idiosyncratic features such as the lament bass, use of V minor, diminished seventh chords, and Neapolitan harmony invite a subjective reading of Schubert's four-hand fantasias; such features also appear in Mozart's D minor fantasia K.397. Furthermore, the structural semi-tonal shifts as well as the

⁴⁸⁵ McCreless, 'A Candidate for the Canon?', p. 214.

thematic juxtapositions throughout the work, with the ultimate dominion of the *agitato* theme, also lends itself to a subjective interpretation.

The originality of this thesis lies in its focus on Schubert's early fantasias as formative works, as well as suggesting Mozart's possible influence, especially on Schubert's early fantasias; scholarship which has focussed on the cyclical aspects of Schubert's compositions has yet to look back as early as 1811. Martin Chusid, for example, wrote that the prevalence of one cyclical device – motivic links – in Schubert's 1824 instrumental compositions, including the piano duet, *Divertissement à la Hongroise* in G minor, D.818, was highly influenced by Beethoven, especially his 5th Symphony which contained 'prominent cyclic elements'.⁴⁸⁶ Chusid argues that between the period of 1823-1824, Schubert began socialising with Beethoven's circle; Schuppanzigh is mentioned as the most prominent figure in this instance. Scholarship on Schubert's late piano works has also focussed on the cyclical element of Schubert's piano works with the extensive work by Fisk being a seminal example. The question of influence is most relevant considering the reception history of Schubert, whose music is long associated with tragic events from his personal life, especially after his diagnosis with syphilis in 1822, yet Mozartian influences and an indubitable cyclical design reveals a composer closely cognisant of his contemporary musical culture. Such findings coincide with Kallberg's realisation of the malleable nature of genres, genres which absorbed influence from multiple contexts. The aim here is not to dismiss influences already established in scholarship, but to acknowledge the complexity of genre as relating to many musical and personal influences beyond

⁴⁸⁶ Martin Chusid, 'Schubert's Cyclic Compositions of 1824', *Acta Musicologica*, 36 (1964), 37-45, (p. 41).

itself. The proposition that Schubert had a much earlier conception of the fantasia, aspires to contribute an additional hermeneutical layer to these works. The early fantasia works have been neglected by both historical and analytical musicology to date. By examining these works in this thesis, a new impetus for the origin of Schubert's fascination with cyclical form arises. Although Mozart's influence is likely, Schubert achieved in developing his own conception of cyclical form in his duo fantasias. Indeed, in a genre which was characterized by formal freedom, Schubert completely overturned this tradition by creating some of his most cyclical works of his piano genres.

CONCLUSION

6.1 Answering the secondary research questions

6.1.1 Why have the piano duets been placed on the sidelines of musicological investigation, both historically and analytically?

The dearth of scholarship in relation to Schubert's four-hand music relates most pertinently to the nature of his reception history. Indeed, Jim Samson's work on reception studies emphasises the link between the identity of a musical work and its status in musicology. Schubert's piano duets have occupied a low position within the hierarchy of genres, where the labelling of these works as mostly trivial salon music, has resulted in their absence from historical musicology and music theory research. With the exception of the F minor fantasia, D.940 and the 'Grand Duo' Sonata, D.812, the labelling of these works as essentially domestic music, has resulted in the omission of these works from the recent surge of investigation into Schubert's (solo) piano music.⁴⁸⁷ The exceptions referred to here however still lack the extensive critical engagement that solo piano works have received. This thesis has exposed the complexity of the salon experience in early nineteenth-century Vienna, where the practice of middle-class domestic music making must be differentiated from the *Schubertiade* experience where Schubert performed and premiered works from his extensive vocal, piano and chamber repertoire. Additionally, given the broad spectrum of genres explored by the piano duet medium as performed in the Schubert salon, establishing identity

⁴⁸⁷ Suzannah Clark outlines recent seminal analysis contributions to piano genres in her article: Clark, 'Review: Schubert, Theory and Analysis'. She refers to such scholars as David Beach, James Webster, Xavier Hascher and Richard Cohn. It is interesting that this surge of interest in instrumental music (as Clark specifies) has excluded four-hand music. Indeed, Clark argues that an investigation into the 'harmonic logic' of Schubert's songs also require probing, in addition to the instrumental music.

necessitated a multi-faceted exploration within reception aesthetics. Although frequently a derogatory identity has been attached to Schubert's four-hand oeuvre, Samson reminds us that reception studies involve unstable meanings of musical works: this functioned as the impetus to firstly, uncover the negative effects of the identity of four-hand music, and secondly, to forge fresh perspectives on this significant body of piano duets. Although these fresh perspectives are partly a reaction to notions of identity with a deliberate move away from the negative reception of the duets, these perspectives led to the application of recent genre studies to Schubert's four-hand works and also the comprehensive analysis of Schubert's duet fantasias that have seldom received analytical attention. Broadly speaking, the central theoretical approach of addressing issues of genre in Schubert aims to provide a viable critical methodology in Schubert scholarship.

The welcome revisionist scholarship done in recent years regarding Schubert's reception history, especially by Christopher Gibbs and Scott Messing, has aimed to overturn misconceptions regarding myths surrounding the composer's life, personality and his music. This thesis represents a further addition to such revisionist work, by addressing the various 'guises' of the piano duet throughout reception history. Indeed, the examination of the effects of the derogatory associations of the nineteenth-century salon and enduring comparisons with Beethoven on Schubert's four-hand repertoire have aimed to expand and develop on recent Schubert reception studies.

6.1.2 How can genre theory uncover the taxonomical distinctions of Schubert's piano duets?

The placement of Schubert's piano duets within the one genre instigated a comprehensive exploration regarding two periods of genre theory: firstly, Carl Dahlhaus's long-established theory of genre, and, secondly, revisionist theories of genre as explored by Jim Samson, Marcia Citron and Jeffrey Kallberg. This thesis has continually challenged Dahlhaus's emphasis on merely constituent elements in establishing genre and focussed on the interpretation and meaning of these constituent elements. Furthermore, the revisionist work completed by the aforementioned scholars, contest aspects of genre theory highly pertinent to the discriminatory classification of the piano duet: firstly, the persuasiveness of hierarchies of genre; secondly, the defining characteristics of genre; thirdly, the role of the listener in creating meaning; and finally, the importance of assessing the communicative aesthetic as opposed to imposing judgements and values on generic groups.

6.1.3 Can we distinguish between genre and medium and how have such distinctions effected the reception of these works?

The blurring of the terms medium and genre has continually resurfaced in key musicological texts regarding Schubert's four-hand piano repertoire. This thesis has argued that the categorisation of the piano duets within a single taxonomy *oversimplifies* the various genres that were explored by Schubert. The proposal of this thesis, that the piano duet is a medium which contains multiple genres, much more accurately describes the diverse range of duet works explored by Schubert: marches, polonaises, divertissements, overtures, sonatas, fantasias, theme and variations, Deutscher, Ländler, and, single-movement works. Aside from the

limited attention the duets have received, the practice of cataloguing these works collectively creates an instant hierarchy within such a category.⁴⁸⁸ The notion of undertaking a genre study, which aims to establish similarity as well as the multiple interpretations of a group of works between the fantasias and polonaises, for example, makes little ‘generic sense’. Medium, therefore, is one constituent element of a genre but in the case of the duets, not a singularly defining attribute. Here the issue of form and style must be included as well as considering contributions from the solo piano medium. Furthermore, Schubert carefully chose his genre titles with specific meanings in mind, so the interaction between the genre title, for example, the fantasia, march or sonata, must be assessed in accordance with its content. Also, this opens up the possibility of cross-referencing four-hand piano genres with established solo piano genres of the same title.

It has been both the collective grouping of the duets along with the label attached to this group, which has resulted in these works remaining largely absent from Schubert scholarship. Furthermore, this thesis has argued for the inclusion of genre theory within Schubert studies as a critical methodology in which to explore two aspects of the duets: firstly, how identity and meaning are established, and, secondly, to move away from merely categorising or evaluating these works. The former aspect required a comprehensive reception study, whereas the latter embraced (contemporary) cultural, social, compositional choices, performance/performer, and aesthetical issues, all of which relate to Kallberg’s

⁴⁸⁸ In this context, I am referring to the F minor fantasia, D.940 (Newbould, Kinderman, Brown), and also Margaret Notley’s article on the co-existence of the sociable and serious in Schubert’s piano duets: Notley, ‘Schubert’s Social Music’. General articles on the duets include those by Ernest G. Porter and Newbould.

paradigm of genre which aims to acknowledge the communicative aesthetic of genre.

6.1.4 How does the solo piano fantasia genre relate to long-accepted ideologies and musical taxonomies relating to four-hand music?

A tradition largely associated with flamboyance, virtuosity and an attentive audience, the solo piano fantasia initially represents a dichotomy between itself and the four-hand music category. This thesis has revealed, however, the complexity of musical categories, which on the one hand establish homogeneity with the recurrence of specific elements, but on the other hand, frequently absorb characteristics and traits from neighbouring genres, signalling a malleable and flexible aspect of genre. The many distinctions made in scholarship regarding domestic music versus ‘serious’ music, as two divided musical categories, have been continually challenged in this thesis. Indeed, such hierarchical presentations of musical genres, has resulted in the sidelining of worthwhile musical achievements – Schubert’s piano duets have clearly been victim to such discriminatory practices. Although significant work has been done in Lieder, solo piano and instrumental genres, the piano duets still lay largely outside musicological enquiry, something which has been addressed in this scholarly research. This thesis has aimed to highlight two of Schubert’s biggest achievements: his transformation of four-hand music and his introduction of four-hand music to the long-established solo piano fantasia genre. Schubert’s early and late explorations of the fantasia, via the piano duet, reveal a foresight and ambition of the potential of the four-hand medium in exploring a prevalent and much-practiced early nineteenth-century genre.

6.1.5 What recurring genre markers mark Schubert's four-hand fantasias and (how) did these impact future musical works of the nineteenth century?

Distinct approaches to tonality, structure and subjectivity, clearly denote a generic pattern in Schubert's four-hand fantasias from 1811. The subjectivity associated with the fantasia most likely appealed to Schubert who explored the outlined genre markers most pertinently within the four-hand medium, a medium which allowed for rich textures and the potential for dramatic tonal and thematic juxtapositions. This thesis has revealed that the F minor fantasia was not intended for specific performers, as the 'Wandererfantasie' and Violin and Piano fantasia were. Although, the style and intended performers of D.940 – first performed by Schubert and Franz Lachner – intimates the private fantasia type, which is further suggested by the particular choice of a minor tonality and sombre qualities of the work, the formal structure signifies that this work was ambitious and forward looking in relation to single-movement cyclical form. This type of structural organicism, which characterized works later in the nineteenth century, places D.940 as an important contribution in this context. Scholarly articles regarding cyclic form and the fantasia both argue that it was Schubert's Violin and Piano fantasia which influenced single-movement structures in later nineteenth-century composers such as Mendelssohn, Schumann, Liszt and Franck.⁴⁸⁹ Indeed, the absence of scholarship exploring the achievements of D.940 as an influential single-movement work, despite the revisionist scholarship on Schubert's solo piano works, inspired the analytical probings of this thesis. Furthermore, Liszt's double arrangement of the virtuosic 'Wandererfantasie', adds a further angle to this argument: his two arrangements of Schubert's virtuosic 'Wandererfantasie' –

⁴⁸⁹ Macdonald, 'Cyclic Form', p. 798; Drabkin, 'Fantasia'.

firstly for piano and orchestra, composed in 1851 and published in Vienna in 1857; secondly, for two pianos, composed after 1851 and published in Vienna in 1862 – has most likely positioned the less virtuosic D.940 in the background.⁴⁹⁰

6.2 Answering the main research question: How did Schubert transform and elevate four-hand piano music?

Schubert's extensive four-hand oeuvre represents a significant quantitative and qualitative achievement, positioning him in his own unique category, within early nineteenth-century four-hand piano music. Schubert's accomplishments have not been surpassed either before or after his lifetime. Mozart's four-hand piano sonatas clearly inspired Schubert who developed and expanded the genres explored by four-hands. Indeed, the diversity of his collection including, marches, divertissements, theme and variations, sonatas and fantasias all represent a transformation of each genre mentioned. The Grande March Funèbre in C minor, D.859 (1825), for example, incorporates a new expressiveness, whereas the 2 Marches Caractéristiques in C major, D.968b represent a lively, humorous and virtuosic contribution. A further example is his 8 Variations on an original theme in A flat major, D.813 (1824), which represents a highly expressive work. Although Schubert only produced two duo sonatas, his second highly virtuosic 'Grand Duo' has been acknowledged as representing a stylistic turning point in his four-hand repertoire. The fantasias, as explored in this thesis, are a significant example of Schubert's ambitions and realisation of the potential of merging medium with genre.

⁴⁹⁰ Eckhardt/Mueller, 'Liszt'.

Many factors following Schubert's death have contributed to the lack of acknowledgment of his achievements in the piano duet medium. The social and musical changes where the public concert and emphasis on the solo performer occupied a central place in music performance, and consequently reception history, are a significant factor here. Furthermore, the discovery of larger instrumental works later in the nineteenth century overshadowed Schubert's accomplishments and lifelong engagement with four-hand piano genres.

6.3 Pathways for future research

This thesis has purposefully aimed to underline the merits of utilising the proposed critical methodology – genre theory – in exploring and understanding Schubert's piano duet repertoire. There is immense scope to explore Schubert's many other four-hand genres within such paradigms. The trend to interpret rather than categorise works acknowledges the value in exploring these works in one or more of the many strands of musicology: genre theory, historical frameworks, reception studies, sociological contexts, and music theory. The primary aim of this dissertation was to probe long-established ideologies and taxonomies regarding the hermeneutics of four-hand music and to encourage further critical investigation into these long-neglected music treasures.

Appendix 1: Four-Hand Piano Duets by selected 18th & 19th Century Composers⁴⁹¹

Composer	Title of Work
Clementi, Muzio (1752-1832)	17 works in total including seven sonatas
Hummel, Johann Nepomuk (1778-1837)	Original 4H Works: 1. Sonate: Eb op.51 (Pub. Vienna 1811-1815) 2. Grande sonate: Ab op.92, (1820) (Pub. Leipzig, c1821) 3. Nocturne: F, with two horns ad lib, op.99 (1822) (Pub. Leipzig, c1824) Four-Hand Arrangements of his own works: 1. Six waltzes with trios op.91 (Pub c1821) 2. Overture, D minor to Johann von Finnland, op.43, c.1812, arr. pf 4H, Vienna, c1812 3. Vars on a Tyrolean Air op.118/2 [this work orig voice & orch accomp] 4. Rondo agréable (Pub c1831) A 4H arr of 'La Galante, rondeau agréable pour le piano seul, op.120
Weber, Carl Maria von (1786-1826)	- Composed 20 piano duets - Appear in 3 sets, op.3 (6 pieces); op.10 (6 pieces) and op.60 (8 pieces)
Czerny, Carl (1791-1857)	Over 26 4H works. 6 sonatas, op.10, C, op.119, G, op.120, F, op.121 F minor, op.178, Bflat, op.331. 8 sonatinas, 2 as op.50, 3 as op.156, 3 as op.158. ⁴⁹²
Mozart, Wolfgang Amadeus (1756-1791)	1. Andante & Vars: G, K.501 (1786) 2. Adagio and Allegro: F minor, K.594 (1790) 3. Fantasia: F minor K.608 (1791) 4. Fugue: G minor, K.401 (1782) 5. Sonata Bb K.358 (1774) 6. Sonata C K.521 (1787) 7. Sonata D K.381 (1772) 8. Sonata F K.497 (1786)
Beethoven, Ludwig van (1770-1827)	1. Grosse Fuge Bb (1826) – transcription of str qrt op.30 2. Six vars on the song "Ich denke dein" D (1800) 3. Sonata: D (1797) 4. Three Marches: C, Eb, D (1804) 5. March: C; Gavotte: F 5. Vars on theme by Count Waldstein: C (1794)

⁴⁹¹ Further information regarding these works is available from the following sources: McGraw, *Piano Duet Repertoire*; Howard, Ferguson, *Keyboard Duets from the 16th to the 20th Century for One and Two Pianos, An Introduction* (Oxford: Oxford University Press, 1995); *Grove Music Online*, <www.oxfordmusiconline.com>.

⁴⁹² This is a selective work list.

Appendix 2: Schubert's Piano Duet Repertoire (complete)

D	Title of Work	Year Composed	Year Published
1	Fantasia, G	1810 (8 April – 1 May)	1888
1b	Fantasia, G, frag.	1810 or 1811	
C	Sonata, F, frag., 1 st movt only	1810 or 1811	
9	Fantasia, g	1811 (20 Sept. 1811)	1888
48	Fantasia, c (Grande Sonate)	1813 (April – 10 June 1813)	1 st vers. [without finale] pub. 1871 2 nd vers. [complete] pub. 1888
592	Overture, D 'im italienischen Stile' (arr. of orch. Overture, D.590)	1817 (Dec)	1872
597	Overture, C 'im italienischen Stile' (arr. of orch. Overture, D.591)	1818 (Nov or Dec)	1872
599	4 Polonaises d, Bb, E, F	1818 (July)	1827, op.75
602	3 Marches Héroïques b, C, D	1818 / 1824	1824, op.27
603	Introduction, 4 vars on an original theme and finale (see D.968a)		
608	Rondo, D	vers a. 1818 (Jan) vers b [Notre amitié est invariable] c1818	vers b.1835, op. 138
617	Sonata, B flat	1818 (sum – aut)	1823, op.30
618	Deutscher, G, with 2 trios and 2 Ländler, E	1818 (sum – aut)	1909
618a	Polonaise and trio, sketches [trio used in 599]	1818 (July)	1972
624	8 vars on a French song, e	1818 (Sept)	1822, op.10
668	Overture, g	1819 (Oct)	1897
675	Overture, F	1819 (Nov)?	1825, op.34
733	3 Marches Militaires, D, G, E flat	1818 (sum-aut.?)	1826, op.51
773	Overture to Alfonso und Estrella (arr. of D.732)	1823	1826; 1830 as op.69
798	Overture to Fierabras (arr. of D.796)	1823 (late)	1897
812	Sonata, C 'Grand Duo'	1824 (June)	1838, op.140
813	8 vars on an original theme, A flat	1824 (sum)	1825, op.35
814	4 Ländler, E flat, A flat, c, C	1824 (July)	1869
818	Divertissement à l'hongroise, g	1824 (aut?)	1826, op.54
819	6 Grandes Marches, E flat, g, b, D, e flat, E	1824 (aut?)	1825, op.40
823	Divertissement sur des motifs originaux français, e	c1825	Marche brillante:1826, op.63/1 Andantino varié:1827, op.84/1 Rondeau brilliant: 1827, op.84/2
824	6 Polonaises, d, F, B flat, D, A, E	1826	1826, op.61
859	Grande marche funèbre, c, on the death of Aleksander 1 of Russia	1825 (Dec)	1826, op.55
885	Grande marche héroïque, a, for the coronation of Nicholas 1 of Russia	1826	1826, op.66
886	2 Marches Caractéristiques (See 968b)		

Appendix 2: Schubert's Piano Duet Repertoire (complete) continued

908	8 variations on a theme from Hérold's opera 'Marie', C	1827 (Feb)	1827, op.82/1
928	March, G, 'Kindermarsch'	1827 (Oct)	1870
940	Fantasia, f	1828 (Jan -Apr.)	1829, op.103
947	Allegro, a, 'Lebensstürme'	1828 (May)	1840, op.144
951	Rondo, A	1828 (June)	1828, op.107
952	Fugue, e (piano/organ)	1828 (June)	1848, op.152
968	Allegro moderato, C and Andante, a	1818?	1888
968a	Introduction, 4 vars on an original theme and finale, B flat (formerly 603)	1824?	1860, op.82/2
968b	2 marches caractéristiques, C (formerly 886)	1826?	1830, op.121

Appendix 3: Schubertiade Guests at Josef Spaun's Home (A. Hanson)⁴⁹³

Profession	Name and Employment Details
Government Officials	Bauernfeld, Eduard – official in the Lottery Administration; writer
	Castelli, Ignaz – librarian and secretary to the Lower Austrian County Council; writer/dramatist
	Doblhoff, Anton – statesman; Austrian minister
	Enderes, Karl – conveyancer for Ministry of Finance
	Gahy, Josef – secretary of Court Chamber; pianist
	Grillparzer, Franz – director of Court Chamber archives; dramatist/poet
	Gross, Josef – secretary to Court Exchequer
	Kenner, Josef – magistracy official in Linz; draftsman/poet
	Ottenwalt, Anton – assistant to Chamber procurator
	Mayerhofer, Johann – Austrian censor; poet
	Perfetta, Martin – official in Court War Accountancy
	Schönstein, Karl – counsellor in Ministry of Finance
	Rueskäfer, Michael – examiner of excise affairs (custom official)
	Spaun, Josef – official in Lottery Administration
	Witticzek, Josef (and wife) – conveyancer to Privy State Chancellory
Army	Mayerhofer, Ferdinand – lieutenant fieldmarshal; military surveyor
	Senn, Johann – teacher in military academy (not present in 1824)
Professional/self-employed	Enk, Karl – private tutor
	Feuchtersleben, Ernst – physician; poet/philosopher
	Pinterics, Karl – private secretary to Prince Josef Palffy
	Schober, Franz – actor; poet, later, secretary to Franz Liszt
	Seligmann, Romeo F. – physician; professor of medical history
	Steiger von Amstein, Johann – mining expert in Gmunden
	Walcher, Ferdinand – timber dealer
Musicians	Lachner, Franz – conductor at Kärntnerthor Theatre (beginning 1829)
	Lachner, Ignaz – organist; theatre conductor
	Randhartinger, Benedict – Kapellmeister at Court Chapel
	Schubert, Franz – composer; school teacher's assistant
	Vogel, Michael (and wife, Kunigunde) – retired opera singer

⁴⁹³ This table and its information is taken from: Hanson: *Musical Life*, pp. 205-06.

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