

FORM, STYLE, AND INFLUENCE IN THE CHAMBER MUSIC OF ANTONIN  
DVOŘÁK

by

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A DISSERTATION

Presented to the School of Music and Dance  
and the Graduate School of the University of Oregon  
in partial fulfillment of the requirements  
for the degree of  
Doctor of Philosophy

June 2017

DISSERTATION APPROVAL PAGE

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Title: Form, Style, and Influence in the Chamber Music of Antonin Dvořák

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Degree awarded June 2017

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## DISSERTATION ABSTRACT

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June 2017

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The last thirty years have seen a resurgence in the research of sonata form. One groundbreaking treatise in this renaissance is James Hepokoski and Warren Darcy's 2006 monograph *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. Hepokoski and Darcy devise a set of norms in order to characterize typical happenings in a late 18<sup>th</sup>-century sonata. Subsequently, many theorists have taken these norms (and their deformations) and extrapolate them to 19<sup>th</sup>-century sonata forms. My work aims to characterize Antonin Dvořák's chamber music in the context of Sonata Theory, using the treatise as a jumping off point in order to analyze his music.

This dissertation contains three main chapters. The first chapter deals with two of the themes of this dissertation: form and influence. Schubert's influence on Dvořák's music was notable, so after comparing some of Dvořák's writing about Schubert's music, I examine specific musical elements (sonic, formal, and structural) from Schubert's String Quintet in C Major, D. 956 that Dvořák emulates in his string quartet in the same key. Chapters 3 and 4 put Dvořák's sonata form practices into a 19<sup>th</sup>-century context, and I examine how he treats the MC and EEC sections of an exposition. In Chapter 3, I contend that Dvořák's use of energy loss before and after the medial caesura is just as rhetorically successful as 18<sup>th</sup>-century composer's use of energy gain in the transition section of a sonata. Additionally, many of Dvořák's sonata forms feature expositions with vastly elongated S themes, thereby

pushing rhetorical closure of the exposition back. This is unlike 18<sup>th</sup>-century sonatas, whose expositions routinely wrap up with a cadence in the second key after the first phrase. Thus, Chapter 4 displays several sonatas where Dvořák extends S-rhetoric in order to delay the close of the exposition.

Even though not originally intended for this music, Hepokoski and Darcy's treatise provides a fruitful set of norms that can be related to works from the 19<sup>th</sup> century.

Additionally, Dvořák's music is especially appropriate for this treatment, as his compositional style owes many allegiances to 18<sup>th</sup>-century techniques.

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## ACKNOWLEDGMENTS

I would like to thank all the people who helped make this dissertation possible. First, I would like to thank my advisor, Dr. Stephen Rodgers for his constant ideas, unwavering patience and endless editorial support. This dissertation would not be what it is today without his expertise and encouragement. I would also like to thank my other committee members Dr. Drew Nobile, Dr. David Riley, and Dr. Forest Pyle for their positive and helpful support.

This dissertation was made possible by a fellowship from the School of Music and Dance and the Graduate School at the University of Oregon. To that end, I would like to thank the Graduate Committee of the School of Music and Dance for nominating me and Dr. Leslie Straka for writing a letter of recommendation on my behalf in support of my work. Thanks are also due to Dr. Scott Pratt, Dean of the Graduate School.

I would also like to thank my colleagues at the University of Oregon for providing a great forum for discussing all things music theory, and for allowing me to endlessly talk about sonata form and deformation, probably for longer than they cared to listen.

Finally, I express sincere gratitude to my family; especially to my parents for being supportive of every decision that I made, both personally and professionally. And last but not least, Whitney, for constantly pushing me to be my best.

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# CHAPTER I

## INTRODUCTION

### **Dvořák's Reception as a Czech in Vienna**

For as much music as Dvořák has written, his music garners rather little analytical attention. The majority of scholarship on the composer focuses on biographical aspects of his life, rather than analytical and theoretical issues. One of the reasons why his music has been neglected analytically is his constant reputation as an “outsider” or the notion of being “othered.” At the beginning of his career, the political climate of the German-speaking countries and their relationship with the Czech culture in the late 19<sup>th</sup> century was at best, contentious. However, his emergence onto the social scene in Vienna was aided by music critics such as Eduard Hanslick, an influential writer who wrote concert reviews of the city’s biggest performances. In fact, many of Vienna’s most passionate art lovers would make their decisions about how they enjoyed a performance only after they had seen Hanslick’s reviews.<sup>1</sup>

Before continuing to discuss Dvořák’s career, it is helpful to understand the political climate in 1870s Vienna, a cultural milieu into which Dvořák was trying to emerge. In the thirty years preceding Dvořák’s arrival, German liberals and Czech nationals had been feuding. There was a movement for “Germans” to gain cultural superiority over what Peter M. Judson describes as “the backward and particularistic attitudes held by uneducated

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<sup>1</sup> David Broadbeck, “Dvořák’s Reception in Liberal Vienna: Language Ordinances, National Property, and the Rhetoric of *Deutschtum*,” *Journal of the American Musicological Society* 60/1 (2007): 71–132.

peasants and Slavs.”<sup>2</sup> Instead of it lifting up the educated German and Austrian bourgeoisie while simultaneously suppressing Czech culture, the Czech bourgeoisie gained traction and began working on dethroning this nationalist movement. To be sure, the ideals of German supremacy were part of life in Vienna. Being Czech, Dvořák had a lot of work to do in order to establish himself as a legitimate composer of art music in the cultural capital.

Eventually, in 1879, the movement eroded, but by this time, Dvořák had established himself as a prominent composer. During his emergence, Dvořák was able to fall into Hanslick’s good graces by participating in composition competitions in order to gain notoriety. He applied for funding through the Austrian State Commission, with his first submission to the competition in 1874. Dvořák would be successful in winning the prize for five consecutive years. The Prague-born Hanslick was on the committee, and after the first year, Brahms joined as well. After hearing Dvořák’s first submissions, they were both impressed. The pieces submitted were mostly of a Germanic style, with the most famous piece being his *Serenade for Strings* in E Major, and an early Piano Trio, op. 26. However, he also submitted his Moravian Duets (*Moravské dvojzpěvy*) written for soprano, alto, and piano accompaniment. After hearing these duets, Brahms was instantly smitten by these pieces, not only for the artistic talent therein, but also because he saw that there would be commercial appeal for this music. At once, Brahms felt the urge to recommend his music be published by his own publisher, Simrock.<sup>3</sup>

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<sup>2</sup> Peter M. Judson, “Frontiers, Islands, Forests, Stones: Mapping the Geography of a German Identity in the Habsburg Monarchy, 1848–1900,” in *The Geography of Identity*, ed. Patricia Yeager (Ann Arbor: University of Michigan Press, 1996), 385.

<sup>3</sup> Klaus Döge, “Dvořák, Antonin (Leopold),” *New Grove Dictionary of Music and Musicians*, 2<sup>nd</sup> Edition ed. Stanley Sadie and John Tyrell, vol. 7 (New York: MacMillan, 2001), 786.

One of the reasons why he was successful is the basis of this dissertation: Dvořák was able to cultivate a style that matched the expected conventions of Germanic music, but also dabbled in the Czech style for which he is most known in his later works. This was his strategy in cultivating his style as a chamber music composer as well. In his early years, Dvořák composed music that was expected to be heard in Vienna, rather than the “folk-like” music for which he became more well-known in his later years. What we see in the development of his chamber music is a constant emulation of older composers.

Not only does Dvořák meld both Germanic and Czech musical traditions, his sonata-form practices take many cues from 18<sup>th</sup>-century works. He also combines these 18<sup>th</sup>-century cues with features that are found in 19<sup>th</sup>-century pieces. While most analysts could say that this happens with almost every 19<sup>th</sup>-century composer, Dvořák’s method is different. His use of 18<sup>th</sup>-century formal convention is not self-conscious, not overtly nostalgic or ironic, but instead sincere and honest. His imitation is often obvious, without being an homage or a parody. In other words, Dvořák clearly has thought out his own music, but the model of a past master is always in mind.

One distinctive feature of Dvořák’s emulation, and in turn, his thematic development in his sonata forms is his tendency to stick with normal phrase lengths at the beginnings of themes. Frequently, Dvořák will begin a theme with a strict, tight-knit four- or eight-measure phrase, only to further complicate the phrase lengths later in the theme. After these tight-knit themes, Dvořák often uses various techniques in order to expand his theme, most commonly using cadential evasion for thematic prolongation. To me, this shows that he reveres older forms, but at the same time, he wants to put his own stamp on the form by implanting his own formal language. Particularly, this happens in his later works, such as the G-major quartet, op. 106.



While never alienating all 19<sup>th</sup>-century conventions, Dvořák seamlessly blends his unique training with the norms of the late 18<sup>th</sup> and early 19<sup>th</sup> centuries. He imitates formal structures that Mozart, Beethoven, and Schubert pioneered, and also acknowledges his contemporaries by implementing adventurous key schemes, and expansive phrases. Later in his career, Dvořák was able to combine his late 18<sup>th</sup>- and early 19<sup>th</sup>-century style with more personal interests in the Czech folk tradition.<sup>4</sup>

In this dissertation, I will explore chamber music repertoire written after his emergence onto the Viennese stage in 1875, some written directly after his emergence, and some which was written much later, in the 1890s. The 1890s was a point in Dvořák's life where he already ascertained a grasp on the chamber music idiom. The first piece I examine is the string quintet in G Major, op. 77, written in the early 1870s. I feature this piece in Chapter 4, where I argue that Dvořák thwarts typical sonata practices in the exposition. I also argue in this piece that Dvořák was still trying to understand sonata form, rather than attempting to frustrate expected norms.

Specifically, I examine his specific use of sonata form in his chamber music in order to track the way in which he developed his compositional style. I show that he started by emulating normative 18<sup>th</sup>-century practices in order to teach himself how to write successfully in the chamber music idiom. But as he became more facile in writing for chamber music, he jettisoned common 18<sup>th</sup>-century techniques in favor of more popular 19<sup>th</sup>-century ones. In order to understand which 18<sup>th</sup>-century techniques he was using, it is important to talk about some theories that explain sonata form in those contexts. Later in this introduction, I will summarize two books that are central to understanding 18<sup>th</sup>-century

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<sup>4</sup> A more detailed discussion of this point comes in Chapter 4, when I discuss his reception history in 1870s Vienna.

sonatas, William Caplin's 1998 book *Classical Form*, and James Hepokoski and Warren Darcy's groundbreaking book *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*.

Current trends in 19<sup>th</sup>-century sonata form research focus largely on thematic development in recapitulations, and how they relate to their corresponding expositional trajectories. In my dissertation, I have chosen to focus primarily on expositions because they highlight Dvořák's interaction with aspects of both 18<sup>th</sup>-century and 19<sup>th</sup>-century sonata form practices. In my analyses of Dvořák's recapitulations, he is much more in line with 19<sup>th</sup>-century practices, especially with regards to proportioning and extended coda material. To that end, I feel like the analysis of his recapitulations could sustain a separate project, one too big to incorporate into this dissertation.

### **Dvořák's Reception Among Music Theorists**

At the turn of the 20<sup>th</sup> century, Heinrich Schenker and Hugo Riemann began publishing analyses of works by the German-speaking world's foremost composers. As much as music theory was thriving, however, its focus remained rather narrow: composers outside of German-speaking lands tended to be slighted by the German analysts. This was the case with Dvořák. Not only was he not German, but many felt that his symphonic music adhered too closely to what Leon Botstein has called the "established syntax" that modernism was actively critiquing in the early 20<sup>th</sup> century. In an essay describing modernism and Dvořák's reputation, Botstein notes that "Dvořák's accessibility and popularity have remained linked to the critical estimation of his music. His music seemed

*merely* beautiful.” Many of his critics, both for and against his music, dubbed his writing as “naïve, simple, and spontaneous.”<sup>5</sup>

Schenker and Riemann, among others, lambasted Dvořák’s music. Schenker reviewed Dvořák’s music unfavorably in the 1890s, and reacted to it once again in the 1920s with “withering contempt.”<sup>6</sup> Conductor and pianist Hans von Bülow and violinist Joseph Joachim were “never free of doubt” when it came to Dvořák’s music.<sup>7</sup> Composer Max Bruch, while likely envious of Dvořák’s success, did not give his music any credence.<sup>8</sup> In two obituaries published in New York and Vienna, Dvořák was described as a naïve composer, with musical tendencies that emanated directly from the earlier music of Haydn, Mozart, Beethoven, and Schubert, rather than from the music of his contemporaries.<sup>9</sup> Critics accused him of writing music with no profundity: the ideas seemed to come too easily; he did not delve deeply enough; his music was not sufficiently Romantic. In 1904, one American biographer wrote that although Dvořák did have a stroke of genius, he could not be “numbered among the immortals.”<sup>10</sup> Dvořák’s admirers, he said, “would have preferred to

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<sup>5</sup> Leon Botstein, “Reversing the Critical Tradition: Innovation, Modernity, and Ideology in the Work and Career of Antonin Dvořák,” in *Dvořák and his World*, ed. Michael Beckerman (Princeton, NJ: Princeton University Press, 2008), 12.

<sup>6</sup> Hellmut Federhofer, ed., *Heinrich Schenker: Nach Tagebüchern und Briefen in der Oswald Jonas Memorial Collection* (Hildesheim, 1985), 228–229.

<sup>7</sup> Joseph Joachim, *Briefe*, vol. 3 (Berlin, 1913), 305.

<sup>8</sup> Christopher Fifield, *Max Bruch: His Life and Works* (New York: Boydell Press, 1998), 198.

<sup>9</sup> Richard Aldrich, “Antonin Dvořák and His Music” *The New York Times*, 8 May 1904, Accessed 9 March 2016.

<sup>10</sup> *Ibid.*

hear less of the obvious, less of the first impulse, and more of the reflection that shapes and finishes to perfection.”<sup>11</sup>

This analytical marginalization has continued through to today. In articles published in *Music Theory Spectrum*, *Music Analysis*, and the *Journal of Music Theory* since 1985, Dvořák’s name only appears ten times in abstracts. Article topics that include Dvořák’s name range from modal pitch collections in his music, to sequential patterns in classical and popular music, to metric moments in late 19<sup>th</sup>-century music, to formal processes, such as the three-key exposition. The majority of these articles only use his music as a passing example of various musical issues, and not as a case study of Dvořák’s music in its own right. Compare the ten appearances to Mozart, who appears 425 times, and Beethoven, who appears 623 times.

Written in 1881, Dvořák’s C-major String Quartet, op. 61 is one of his characteristically emulative pieces. In Chapter 2, I contend that he uses Schubert’s String Quintet, D. 956, as a point of reference for this string quartet. I claim that Dvořák is able to further develop his sonata form abilities in this piece because he has such a stable foundation on which to build. Not only does he copy Schubert’s tonal plan, he also imitates sonically some of Schubert’s motives in the quintet. Dvořák was a fervent admirer of the older composer, and thus, many scholars have compared Dvořák’s music to that of Schubert. Other scholars such as Hartmut Schick, have mentioned some sonic similarities between these two pieces, but no work has been done to compare structural and formal similarities. I also use this piece in Chapter 3 to show how Dvořák develops the concept of the de-energizing transition, and for a discussion of formal ambiguity as it relates to the EEC in Chapter 4.

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<sup>11</sup> Ibid.

Finally, the last two pieces that I explore feature more of Dvořák's personal style. By the 1890s, Dvořák had acquired more or less of a mastery of sonata-form concepts, and began to develop his own voice, rather than relying on an emulation of others. Coincidentally, these are pieces that have been well-known since they were written. The first, and arguably most famous, is his *American* quartet. In this piece, I explore two things: first, how sonata norms are altered in order to introduce a unique second theme key, that of the major mediant. Secondly, I use this piece to describe how Dvořák executes a de-energizing transition, a term that Hepokoski and Darcy introduce in their theory to explain some 19<sup>th</sup>-century sonata forms. Finally, I discuss extended second themes and another technique that Dvořák uses in order to de-energize the transition in his final string quartet, in G Major op. 106.

Broadly, my work is situated firmly in Dvořák scholarship, and, more generally, in scholarship on the formal characteristics of 19<sup>th</sup>-century music. While both of these topics have been explored in detail, my dissertation will be one of the first scholarly studies to focus explicitly on the formal characteristics of Dvořák's music.<sup>12</sup> The main question my dissertation aims to explore is how Dvořák is able to contextualize typical 18<sup>th</sup>-century sonata norms into his 19<sup>th</sup>-century compositional idiom. In essence, this dissertation contextualizes Dvořák's legitimacy as a canonical composer. While many people know his music and it is beloved, it is rarely studied to the depth that enjoyed by his peers. For example, Dvořák's work has only appeared a few times in music theory's top journals; the majority of articles highlight a specific musical concept, rather than highlighting Dvořák's

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<sup>12</sup> Daniel Partridge wrote a dissertation exploring Dvořák's mature works, but focused more on the second theme group of the exposition; his dissertation was also decidedly more Schenkerian than mine will be. Daniel Partridge, "Harmony, Form, and Voice Leading in the Mature Works of Antonin Dvořák" (PhD diss., City University of New York, 2012).

music for its own merits. Deciding to write about Dvořák's chamber music works came naturally to me. As a budding violinist and chamber musician, I admired Dvořák's chamber music for its sonic accessibility, and that reverence became a genuine curiosity as to how Dvořák developed his voice in the chamber music idiom.

Dvořák was never formally trained in chamber music composition; his musical training came from the Prague Organ School, rather than more conventional conservatory training. He had to teach himself everything he knew about the chamber music genre. He did have, however, experience as principal violist in the Provisional Theatre orchestra in Prague, among other appointments. Therefore, it makes sense that emulation was his key to success. In all likelihood, his experience in orchestral environments helped his writing as well, as his time behind the music stand gave him a fresh new perspective to the orchestral works he was playing.

### **Unpacking Sonata Theory for the 19<sup>th</sup> century**

The study of sonata form has enjoyed a healthy resurgence in the last twenty years. With seminal texts such as William Caplin's *Classical Form* and James Hepokoski and Warren Darcy's *Elements of Sonata Theory* gracing many music theorists' shelves, it is one of the most ardently studied topics at the moment. These two texts alone have paved the way for a multitude of different analytical forays. The two approaches to describing sonata form have been the most prevalent in the last twenty years, thereby establishing the term the *New Formenlehre* to describe recent form studies. Even though studying sonata form has been so popular, pinning down an accurate definition is difficult as everyone takes a slightly different approach to defining it. For example, William Caplin, in his theory of formal functions, purposely avoids providing a definition of form, saying that instead, it is more fruitful to talk

about the kinds of aspects of the music we focus on when describing a musical work. That, in turn, defines how a piece of music is laid out. James Hepokoski and Warren Darcy take a different approach. In their treatise, they strive to “...understand the backdrop of normative procedures within the different zones or action-spaces of the late-eighteenth-century sonata.”<sup>13</sup> In other words, they use their textbook to explore myriad of different pieces in order to pin down a set of “norms” and, conversely, a set of “deformations” in order to explain what is common in a typical 18<sup>th</sup>-century sonata. My work will use Sonata Theory terminology, although will occasionally reference Caplin’s terms for ease of understanding.

In addition to the advent of the *New Formenlehre*, a growing number of scholars have shown interest in bringing this kind of analytical heft to sonata forms written in the 19<sup>th</sup> century. While many of the same musical events are presented in 19<sup>th</sup>-century sonata forms, not everything works as well analytically when employing techniques meant for 18<sup>th</sup>-century sonatas.<sup>14</sup> After Hepokoski and Darcy’s 2006 treatise, analysts began using the terms and ideas set out by Caplin and Hepokoski and Darcy, while still taking into account the development of music in the 19<sup>th</sup> century. One of the most important texts adapting the *new formenlehre* for 19<sup>th</sup>-century music is Janet Schmalfeldt’s *In the Process of Becoming: Analytic and*

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<sup>13</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 9.

<sup>14</sup> Caplin and Hepokoski and Darcy covered 18<sup>th</sup>-century in their respective treatises, but each of the theorists also published about sonata structures in late-19<sup>th</sup>-century music. There is, as Steven Vande Moortele points out, less written about sonatas written between, say, 1815 and 1850. Steven Vande Moortele, “In Search of Romantic Form,” *Music Analysis* 32/3 (2013): 404–431.

*Philosophical Perspectives on Form in Nineteenth-Century Music*, published in 2011.<sup>15</sup> One of the central premises of Schmalfeldt's book is the notion of form as process, meaning there are many instances of formal overlap and opportunities for formal re-interpretation in 19<sup>th</sup>-century music. She adds: "the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context."<sup>16</sup> This concept is a notable deviation from how a typical 18<sup>th</sup>-century sonata form would be analyzed; in fact, it puts the onus on the listener to participate in the music in a more engaged state. As a performer herself, Schmalfeldt implores performers to take a stand when making interpretive choices while performing a piece of music.

Schmalfeldt is hardly the only person studying form as process, or even form in 19<sup>th</sup>-century music in general. Carissa Reddick's dissertation entitled "Formal Fusion and Rotational Overlap in Sonata Forms from the Chamber Music of Brahms, Dvořák, Franck, and Grieg" gives case studies of pieces by each of the aforementioned composers. Reddick's work expands on features that Schmalfeldt addresses: formal fusion, blurring sectional boundaries, and alternative key schemes, features that occur in Dvořák's music. Additional articles and a book on Mahler written by Seth Monahan, James Hepokoski's writing on Strauss, Warren Darcy's writing on Bruckner, and Steven Vande Moortele's contributions discussing several late-nineteenth and early-twentieth century composers scratch the surface

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<sup>15</sup> Hepokoski and Darcy's approach was not unknown to the theory world. One important article and precursor to the treatise's release is James Hepokoski and Warren Darcy's 1997 article, "The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition" published in *Music Theory Spectrum*. James Hepokoski and Warren Darcy, "The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition," *Music Theory Spectrum* 19/2 (1997): 70–123.

<sup>16</sup> Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Nineteenth-Century Music* (Oxford: Oxford University Press, 2011), 9.



of the research that has been done on aspects of *Formenlehre* in the 19th century and beyond, much of which I draw upon in my dissertation.<sup>17</sup> Still, none of these publications focus exclusively on Dvořák. Reddick's dissertation just touches on the composer, and the other articles focus entirely on other composers. This is emblematic of the overall research climate on the analysis of Dvořák's music. In short, I would like to make this climate friendlier towards Dvořák's chamber music.

### Scholarship on Dvořák Specifically

By and large, writers have focused on Dvořák's folk style and how it relates to his most famous pieces such as his Cello Concerto and his famous symphony *From the New World*. I take a different and less explored approach, as my work contextualizes Dvořák in the larger body of work written largely for the string quartet in the 19th century. My dissertation shows Dvořák's process in a number of ways. First, I discuss the way in which he developed as a chamber music composer, from his early works, such as the G-major string quintet, op. 77, to his last string quartet, op. 106 in the same key. I also show that he develops a dialogue with Sonata Theory norms, following them more closely than many other 19th-century composers.

As mentioned at the beginning of the chapter, scholarship on Dvořák's music tends to fall into two general categories: analytical and biographical. David Beveridge's 1980

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<sup>17</sup> Seth Monahan, "Success and Failure in Mahler's Sonata Recapitulations," *Music Theory Spectrum* 33 (2011): 37–58; James Hepokoski, "Fiery-Pulsed Libertine or Domestic Hero? Strauss's *Don Juan* Reinvestigated," in *Richard Strauss: New Perspectives on the Composer and His Work*, ed. Brian Gilliam, (Durham and London: Duke University Press, 1992), 135–175. Warren Darcy, "Bruckner's Sonata Deformations" in *Bruckner Studies*, ed. Timothy Jackson and Paul Hawkshaw (New York: Cambridge University Press, 1997), 256–77; Steven Vande Moortele, "Beyond Sonata Deformation: Liszt's Symphonic Poem *Tasso* and the Concept of Two-Dimensional Sonata Form," *Current Musicology* 86 (2008): 41–62.

dissertation, “Romantic Ideas in a Classical Frame,” offers a comprehensive analysis of sonata form throughout all of Dvořák’s chamber music. While Beveridge takes care to chronicle Dvořák’s compositional strategies throughout his career, the analytical techniques used throughout the dissertation largely focus on key areas and formal markers, rather than specific points in a piece’s form. For example, Beveridge talks about large swaths of music, rather than specific measure numbers. Since this dissertation predates both treatises by Caplin and Hepokoski and Darcy, he is unable to be in dialogue with these treatises, but he does, however, entertain Charles Rosen’s thoughts on sonata form. Generally speaking, Beveridge’s dissertation lacks the analytical heft that many dissertations contemporaneous to mine possess. Likely, this is the result of William Caplin and Hepokoski and Darcy’s contributions to the New *Formenlehre*. Nevertheless, Beveridge leaves much to be unpacked; his dissertation provides a springboard from which I can jump into the intricacies of Hepokoski and Darcy’s approach, bringing aspects of both documents together.<sup>18</sup>

Two recent dissertations by Daniel Partridge and Kyle Jenkins explore Dvořák’s treatment of Sonata Theory in specific ways. Partridge is interested in tracing form through a Schenkerian perspective, while Jenkins’s work discusses deformation at the moment of what Hepokoski and Darcy call the Essential Expositional Closure (EEC).<sup>19</sup> Partridge’s dissertation primarily chronicles Dvořák’s contribution to the late 19<sup>th</sup>-century musical landscape. However, Partridge is concerned with describing how “his music participated in the development of a late nineteenth century musical style.” Instead of chronicling how Dvořák participated in the late-19<sup>th</sup>-century musical scene, I show how he created his own

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<sup>18</sup> David Beveridge, “Romantic Ideas in a Classical Frame” (PhD diss., University of California, Berkeley, 1980).

<sup>19</sup> Partridge, “Harmony, Form, and Voice-Leading,” 1; Kyle Jenkins, “S-C Complications in Nineteenth-Century Sonata Movements” (PhD diss., University of Arizona, 2012).

personal style as described above: taking some 18<sup>th</sup>-century norms and combining those norms with his own 19<sup>th</sup>-century tendencies.

Other, less crucial sources should also be mentioned here. Of particular importance are two papers from a conference commemorating the 150<sup>th</sup> anniversary of Dvořák's birth. John K. Novak's "Schubertian Tonal Plans Reinterpreted: Dvořák's 'Shadow Key' Sonata Forms" and Jarmila Gabrielová's "Dvořák's Early Symphonies in the Context of European Symphonic Writing of the Mid-Nineteenth Century."<sup>20</sup> These papers illuminate Dvořák's compositional style and its relation to Dvořák's predecessors. Since this conference, scholarship on the composer has been scant. In 2010, Benedict Taylor wrote an article about four-note extended triadic harmonies, which Dvořák used in particular during his time in America.<sup>21</sup>

Older scholarship is also helpful in gaining a critical estimation of Dvořák's music. Czech musicologist and Dvořák's biographer Otakar Sourek wrote at length about Dvořák's music, specifically his chamber works.<sup>22</sup> Sourek breaks down the chamber music in chapters

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<sup>20</sup> John K. Novak, "Schubertian Tonal Plans Reinterpreted: Dvořák's 'Shadow Key' Sonata Forms," in *Rethinking Dvořák: Views from Five Countries*, ed. David R. Beveridge (New York: Clarendon Press, 1996), 193–201; Jarmila Gabrielová, "Dvořák's Early Symphonies in the Context of European Symphonic Writing of the Mid-Nineteenth Century," in *Rethinking Dvořák: Views from Five Countries*, ed. David R. Beveridge (New York: Clarendon Press, 1996), 178–192.

<sup>21</sup> Benedict Taylor, "Modal Four-Note Pitch Collections in the Music of Dvořák's American Period," *Music Theory Spectrum* 32/1 (2010): 44–59. Other scholarship on Dvořák's music has been more musicological, focusing on reception history and his influences both in America and in Bohemia. Other works include: Jan Smaczny, *Dvořák: Cello Concerto* (Cambridge: Cambridge University Press, 1999); and Michael Beckerman, *New Worlds of Dvořák: Searching America for the Composer's Inner Life* (New York and London: W.W. Norton, 2003).

<sup>22</sup> Otakar Sourek, *The Chamber Music of Antonin Dvořák*, trans. Roberta Finlayson Samsour (Prague: Artia, 1952).

dedicated to the works' number of players. Czech conductor, composer, and musicologist Jarmil Burghauser was responsible for cataloging Dvořák's works. John Clapham, the biggest non-Czech advocate of Dvořák's music, published prolifically on all genres of Dvořák's compositions. Notable books include *Antonin Dvořák: Musician and Craftsman*,<sup>23</sup> *Dvořák*,<sup>24</sup> and a 1980 entry in the *New Grove Dictionary of Music and Musicians*.<sup>25</sup>

### Summary of Body Chapters

My work starts with what Hepokoski and Darcy call “a set of options” available to 18<sup>th</sup>-century composers using sonata form.<sup>26</sup> Hepokoski and Darcy go on to mention that these options “existed conceptually within the knowledgeable musical community as something on the order of tasteful generic advice...given by a shared knowledge of precedents.”<sup>27</sup> I will explain these norms in more detail at the beginning of Chapter 1, as Dvořák allows himself to imitate and also deviate from many of these norms in his C-major string quartet. My dissertation then goes uses Sonata Theory to explore how Dvořák, through his idiosyncratic style, builds upon these norms. While his music has a decidedly 19<sup>th</sup>-century affect, his music is a product of his unique training as an organ musician and a self-taught chamber music composer. He employs the norms of the late 18<sup>th</sup> and early 19<sup>th</sup>

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<sup>23</sup> John Clapham, *Antonin Dvořák: Musician and Craftsman* (New York: St. Martin's Press, 1966).

<sup>24</sup> John Clapham, *Dvořák* (New York and London: W.W. Norton and Co., 1979).

<sup>25</sup> John Clapham, “Antonin Dvořák,” in *The New Grove: Late Romantic Masters* ed. Stanley Sadie (New York: W.W. Norton and Co., 1980).

<sup>26</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 608.

<sup>27</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 9.

centuries, coupled with the expansive forms being explored by composers of his day. Chapter 2 focuses on Dvořák's process of emulation, in comparing his own C-major string quartet, op. 61 to Schubert's String Quintet, D. 956. Whereas other scholars have pointed out surface-level similarities between the two pieces—for example, Hartmut Schick describes the pieces as having the same sound—I dive deeper in order to describe formal and structural similarities, and specific instances where Dvořák had Schubert's quintet in mind.<sup>28</sup>

Chapters 3 and 4 begin to focus on how 19<sup>th</sup>-century composers, but particularly Dvořák, begin to manipulate certain 18<sup>th</sup>-century sonata norms to work for a 19<sup>th</sup>-century aesthetic. In Chapter 3, I dive into the medial caesura and its preparation, focusing on energy loss and the attainment of the second theme. As described earlier, most 18<sup>th</sup>-century expositions use a host of parameters which gain energy in order to articulate the medial caesura. I show, through several musical examples in Dvořák's music, how he turns that concept on its head and show that thematic articulation can exist without the energy gain. Chapter 4 deals with expansion of sonata form "action spaces" by showing that through the evasion of cadences, he spins out much more musical material, and basically makes any material beyond the EEC truly supplementary.

### **Final Thoughts**

Hepokoski and Darcy set up a considerable number of normative sonata options in order to describe a typical 18<sup>th</sup>-century sonata form. What is important in looking at a 19<sup>th</sup>-century sonata form through an 18<sup>th</sup>-century lens is to understand what became normative in 19<sup>th</sup>-century sonata form, and what became "deformational," to borrow Hepokoski and Darcy's term. Bridging that gap with Dvořák's music is especially fruitful as he uses many

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<sup>28</sup> Hartmut Schick, *Studien zu Dvořáks Streichquartetten* (Laaber: Laaber Verlag, 1990).

18<sup>th</sup>-century conventions to build his sonata forms. At the same time, he creates his own dialogue within his sonata form movements in order to establish his compositional voice. As Seth Monahan mentions in his book *Mahler's Symphonic Sonatas*, Monahan asserts that Mahler was working from some kind of sonata idea, even if he did not learn that idea from a textbook. In fact, Monahan asserts that 19<sup>th</sup>-century composers didn't learn sonata form from a textbook.<sup>29</sup> This was probably the case with Dvořák as well, since he emulated older composers in order to compose his first six string quartets. As shown in this introduction, Dvořák's music and his life have enjoyed much conversation. However, the ways in which he presented his musical style is less explored. I hope I can make clear the path that his music took in order for him to establish his voice in the chamber music genre.

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<sup>29</sup> Seth Monahan, *Mahler's Symphonic Sonatas* (Oxford: Oxford University Press, 2015), 4.

## CHAPTER II

# DVOŘÁK AS SCHUBERT: INTERTEXTUAL SIMILARITIES IN SCHUBERT D. 956 AND DVOŘÁK OP. 61

### Introduction

Dvořák's music does not just draw upon 18<sup>th</sup>- and 19<sup>th</sup>-century style in general, but sometimes, even on Schubert in particular. Dvořák wrote specifically about Schubert's music in the July 1894 issue of *The Century Illustrated Monthly Magazine*. According to Dvořák, "Schubert does not try to give his chamber music an orchestral character, yet he attains a marvelous variety of beautiful tonal effects. Here, as elsewhere, his flow of melody is spontaneous, incessant, and irrepressible, leading often to excessive diffuseness."<sup>30</sup>

Many scholars have mentioned a link between Schubert and Dvořák, but the comparison is typically made in passing. Only a few scholars have provided specific musical examples to show the similarities between the two composers. One such scholar is Hartmut Schick. In his monograph *Studien zu Dvořáks Streichquartetten*, Schick systematically analyzes each of Dvořák's string quartets, something that had not been done since David Beveridge's 1980 dissertation, "Romantic Ideas in a Classical Frame."<sup>31</sup> Dvořák, however, owes a debt not just to the general "Schubertian" style but to specific Schubert works. Regarding Dvořák's C-major quartet, Schick highlights specific points where it and Schubert's C-major

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<sup>30</sup> Susan Wollenberg, "Celebrating Dvořák: Affinities Between Schubert and Dvořák." *The Musical Times* 132 no. 1783 (1991): 434–437.

<sup>31</sup> David Beveridge, "Romantic Ideas"; See also Hartmut Schick, *Studien zu Dvořáks Streichquartetten*, (Laaber: Laaber Verlag, 1990).

quintet, D. 956 sound the same, referring to texture, tempo, and harmonic rhythm, among other parameters. Moreover, these two works are bound together by similar formal features and key schemes.

In fact, these formal and tonal similarities are so striking as to suggest that Dvořák modeled his C-major string quartet on Schubert's quintet in the same key. In this chapter, I offer musical evidence in support of this claim. I show that three three main categories of similarities can be traced through the first movements of both the quartet and the quintet: key scheme similarities, harmonic similarities, and thematic similarities. Far more than having a similar "sound" (having to do with the parameters discussed by Schick), they also have a similar structure (having to do with key schemes, formal designs, and melodic ideas.) The connections between the two works, in other words, run far deeper than has been previously recognized; attending to these connections shows precisely how Dvořák developed his compositional style in the string quartet genre, working from earlier models of successful and beloved chamber music.

### Key Schemes

**Table 2.1** shows the key areas and sectional divisions with measure number delineations of the two expositions. Each piece features a three-key exposition (I-fIII-V) exploring C Major, Ef Major, and G Major.<sup>32</sup> Furthermore, each proto-introduction (henceforth referred to as PI) mostly stays in the tonic key, although there is a short mention

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<sup>32</sup> Beveridge explains the three-key exposition in less technical terms. "Rather than beginning with a decisive tonal arrival and then digressing, it steps gingerly across a remote tonal region (Ef) then settles firmly in the normal second key (G); the tonicization of G is both more decisive and more prolonged than that of Ef." He goes on to refer to the formal plot as a three-key exposition, citing James Webster's 1978 article. James Webster, "Schubert's Sonata Forms and Brahms's First Maturity," *19<sup>th</sup>-Century Music* 2 (1978): 18–35.



of a B Major chord in Schubert’s m. 24.<sup>33</sup> Others, including Steven Vande Moortele and Nathan Martin argue that this chord is an important seed for harmonic motion later in the quintet.<sup>34</sup> To wrap up each PI, both expositions move to a phrase that locks on the dominant to prepare for the P-theme proper in each piece.

**Table 2.1.** Formal Diagram with Measure Numbers Schubert D. 956 and Dvořák Op. 61.

	Proto-Intro (PI)	P-Theme Proper	Transition	MC+Fill	S-Theme	EEC	C-Theme
Dvořák	I	I, (vi)	I-fIII	fIII: HC MC	fIII-V	V	V
	1–24	25–47	48–61	62–68	69–92	93	93–112
Schubert	I, (V/iii)	I	I-V	I: HC MC-fIII	fIII-V	V	V
	1–32	33–48	49–57	58–59	60–137	138	138–154

In m. 33, Schubert doubles down and restarts the PI music, this time with more textural variety in the three upper strings. The melody initially heard in the first measures of the piece now travels down to the cellos for variation. Schubert’s melody in the initial measures is vulnerable, personal, and quiet, accomplished by slow harmonic rhythm and gentle articulations. However, the vulnerability is shrouded in the subsequent section, and the addition of the fast-moving notes express his emotions more publically. In addition to feeling like the exposition has gotten started by m. 33, rather than in an introductory “holding pattern” as mm. 1–32 suggest, Schubert allows the dominant lock in the P-theme proper passage (mm. 49–57) to function as classic 18<sup>th</sup>-century energy-gaining rhetoric. The

<sup>33</sup>Hepokoski and Darcy would refer to what I call the proto-introduction as P<sup>0</sup>.

<sup>34</sup> Steven Vande Moortele and Nathan Martin, “Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert’s String Quintet,” *Music Analysis* 33/2 (2014): 131.

eight-measure phrase has constant G triplets in the lower voices, relentlessly reminding the listener of the tonality.

Contrary to the Schubert, I analyze Dvořák's P theme proper as a diversion. He explores other thematic material in these measures (mm. 25–47), before returning to the music first heard in the opening measures at TR, which begins in m. 48. Dvořák is almost lost in his P-theme proper. Formally, it does not have any purpose except to extend the length of the piece. He includes sequential material in this section, and I contend that it is the first time that he is attempting to imitate Schubert in the way that he carries out excessive diffuseness. Unfortunately, Dvořák is not as successful as Schubert is in the endeavor, and since the music returns to opening material beginning in m. 48, it could be excised.<sup>35</sup>

Despite the similarities at the outset of each piece, both works find their way to the medial caesura (MC) in a different way. After a healthy energy gain with triplet figures in three voices, Schubert achieves a I: HC MC in m. 58. Caesura-fill is immediately ushered in with a chorus of unison Gs in the cellos, with one cello eventually defecting down chromatically to the E<sub>f</sub> (see **Example 2.1** for the music at this point).

**Example 2.1.** Caesura-Fill Material in the Schubert.



<sup>35</sup> More discussion of excessive diffuseness will follow in my discussion of thematic elements surrounding each piece's S theme.

Conversely, Dvořák moves to prepare the second theme key in TR, as he articulates a fIII: HC MC in m. 62. This is then followed by seven measures of caesura-fill, thus zapping all energy from the energetic articulation of the MC. After the MC, the two pieces have the same key scheme for the duration of the exposition. Dvořák's MC comes quickly; the sequential TR motive in mm. 56–62 gains energy swiftly, from a quiet start in m. 56 to a quick two-measure crescendo to *forte* in m. 62. However, the energy dies just as quickly, all the way down to a *pianissimo* beginning of the S theme in m. 69. **Example 2.2** shows this music. The sequential TR material begins in the first measure of the example (m. 58) and continues to the MC in m. 62.

**Example 2.2.** TR and MC articulation in Dvořák's quartet.

Schubert's second theme moves for forty measures through E $\flat$  Major before reaching G Major. After two full repetitions of the second theme in E $\flat$  (mm. 60–79 and 80–99), he moves on to a varied version in G Major in m. 100. This is where Schubert unleashes

his excessive diffuseness. His motoric bass line allows the first violin melody to fly over the texture, giving the music a feeling of soaring. This is where the listener is reminded of the B-major chord in m. 23. The music in mm. 100–115 feature the excessive diffuseness, where the music is firmly in G Major, but takes a jaunt away to B Major. Still not situated in a B-major harmony, rather just a move to G: III, the chord is simply used to continue the diffuseness. In other words, the non-normative harmony simply prolongs the theme, allowing Schubert to let the listener fall into an aural trance.

Dvořák's music is similar, but the move from E $\flat$  to G does not mark a change in thematic material. Essentially, he uses the medial key of the three-key exposition to sequentially move up to G Major, rather than create a thematic area as Schubert does. It could be the case that Dvořák tried to construct a diffuse passage, but the attempt falls short. What comes to the fore is a sequential move from E $\flat$  to G, thereby leaving him a chance to create a separate, more developed closing theme than what Schubert provides.

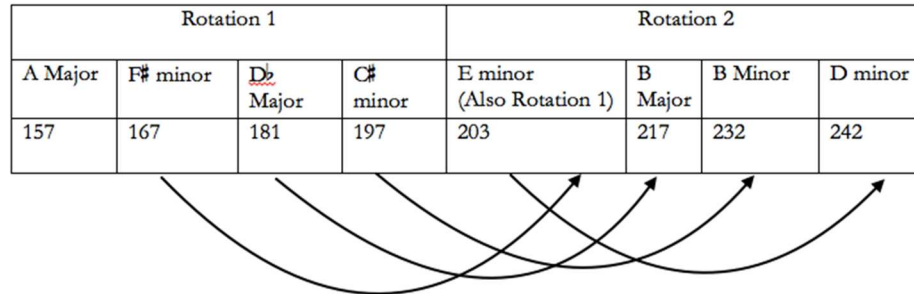
Schubert finds it hard to cadence before the EEC; he tries for eighteen measures (mm. 120–138), using a slew of evasions and thematic repetition. Ultimately, he reaches an EEC in m. 138, where he leaves only sixteen measures of closing material after spending almost eighty in S-space. Dvořák's second theme, on the other hand, is more truncated than Schubert's, but he makes up for it in closing material. He still reaches the EEC late in the exposition, and does not spend much time in C-space, but his closing theme is more thematic than that of Schubert.<sup>36</sup>

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<sup>36</sup> A much more detailed account of Dvořák's EEC and Closing Theme practices can be found in chapter 4.

## Developments

**Figure 2.1.** Rotational Map of the Development Section in Schubert's quintet.



Schubert requires remarkably little musical material to spin out a well-executed development. What is seen as a just a few measures of C-space at the end of the exposition turns into a discursive development with two complete rotations. **Figure 2.2** above shows the rotations and their keys. Schubert's development explores A Major, F# minor, D~~b~~ Major, which moves to its parallel minor, C# (enharmonically spelled for clarity), and finally moving to E minor. Once in E Minor, Schubert introduces second developmental rotation, moving everything heard in the first rotation down a whole step, except for the material that should be in G Major in Rotation 2. He reaches the re-transition which moves back to the recapitulation in m. 256 and lands on the PI material in C Major in m. 267. This time, the melody is embellished with ascending arpeggios in the first violin while the cello sings the initial melody. The responsibilities switch in the consequent phrase as the cello plays ascending arpeggios as the first violin sings the melody. Schubert uses a Phrygian half cadence initially used in m. 24 of the PI in order to modulate to IV for the subdominant recapitulation. From there, all material matches the exposition, save for its transposition down a perfect fifth.

In comparison to Schubert’s C-based development, Dvořák’s material comes almost exclusively from P-material. Keys explored include A Minor, B Minor, E Major, and F# Minor. Dvořák’s rotations are not as clear as Schubert’s; instead, Dvořák looks for ways to explore the initial measures of P in various keys. Dvořák’s recapitulation works differently from Schubert’s. First, he excises the entire PI from the recapitulation, choosing instead to start at the beginning of the P-theme proper in C Major in m. 178. From there, the correspondence measures match the exposition until 199, where Dvořák takes a detour in order to start the recapitulatory TR in A Major in m. 216. At that point, everything matches the exposition through the ESC (EEC in expo.) and the closing theme, until the coda.

**Table 2.2** shows how the exposition interacts with the recapitulation, and their marked differences.<sup>37</sup>

**Table 2.2.** Measure Number Delineations for Exposition and Recapitulation of op. 61.

	Proto -Intro	P-theme proper	Divergent material	TR	MC/Fi II	S-space	EEC/ES C	Closing Theme
Expo	1–24	25–47		48–61	62–68	69–92	93	95–112
Recap		178–198	199–215	216–230	231– 237	238– 261	262	262– 276

In a typical sonata form, both the P-theme and the S theme occur in the tonic. However, both Schubert and Dvořák deviate from that key scheme in their recapitulations, but in different ways. In Schubert’s quintet, he truncates the PI material in the recapitulation in order to move to the subdominant, achieving that move by leaving out the dominant-lock

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<sup>37</sup> P-theme proper’s correspondence measures do not match because there is no cadential material to get back to TR in the recap, it just goes straight to the divergent material. The recapitulation contains one extra measure in TR which happens to be the first measure of the piece.

found in the exposition. Moving to the subdominant is a common recapitulatory strategy for him, as he often completes the recapitulatory rotation without having to make any modifications from what happened in the exposition. In contrast, Dvořák truncates the recapitulation by excising the PI and moving straight to the P-theme proper. While the beginning of his recapitulation is in C Major, his divergent material (mm. 199-215) allows him to meander to start TR in A Major, thereby allowing Dvořák to reach a C: V MC in m. 231. Then, just like Schubert, Dvořák is able to compose his S theme in the tonic. Since he holds true to the three-key exposition model and does not make any modifications in his recapitulation, he ends the Closing theme in E Major.

Each piece features a coda, which reference opening measures. Schubert's is more modest; he simply references opening measures of the PI and gives a small nod to the P-theme. Dvořák, on the other hand, uses his coda to return to C Major. Beginning the PI motive in D Major, he stretches out the opening measures through a sequential pattern in order to gain energy. This leads to a sequencing of the  $iv^{add6}$  chord initially presented in m. 5 beginning in m 283. Subsequently, Dvořák composes a falling-fifths sequence which eventually reaches V in m. 290. He then cadences to a C-major version of the initial S theme music presented in m. 69. Arguably, this is Dvořák's penance for not maintaining the recapitulatory S theme in the tonic. Quickly, Dvořák begins a *stringendo* in mm. 297-304 to another cadence in the tonic at m. 305 to wrap up the movement. This music eventually loses energy all the way to the end of the movement.

The discursiveness of Dvořák's coda restarts the discussion of his emulation of Schubert. Firstly, it is one of the longest sections of the piece at fifty measures. Its constant rehearsing of the seed motive initially presented in mm. 2-3 is Dvořák's way of taking a small bit of music and developing it.

Example 2.3. Coda Section of Dvořák's Quartet

270 *pp*

V1 *ppp*

V2 *ppp*

Vla *ppp non legato*

Vc *ppp*

274 *cresc.*

V1

V2

Vla

Vc *cresc.*

279

V1

V2

Vla

Vc

283 *ff* *pp* *cresc.*

V1

V2

Vla

Vc *ff* *pp*

288 *cresc.* *ff*

V1

V2

Vla

Vc *cresc.*

Detailed description: This image shows a musical score for the Coda section of Dvořák's Quartet, spanning measures 270 to 288. The score is arranged in four systems, each with four staves: Violin I (V1), Violin II (V2), Viola (Vla), and Violoncello (Vc). The key signature is one flat (B-flat major or D minor). The time signature is 3/4. The first system (measures 270-273) begins with a dynamic marking of *pp* above the V1 staff and *ppp* below the V2, Vla, and Vc staves. The Vc part is marked *ppp non legato*. The second system (measures 274-278) features a *cresc.* marking above the V2 staff and below the Vc staff. The third system (measures 279-282) shows a *ff* dynamic for V1, V2, and Vc, and a *pp* dynamic for Vla. The fourth system (measures 283-288) includes *ff* and *pp* markings for V1, V2, and Vc, and a *cresc.* marking for Vla. The score concludes with a *ff* dynamic for V1 and V2, and a *cresc.* marking for Vc.



Example 2.3 (continued).

292

V1  
V2  
Vla  
Vc

*rit.* *in tempo*  
*p* *pp*  
*rit.* *pp* *in tempo*  
*rit.* *pp* *in tempo*  
*dim.* *p* *pp* *pp*

297

V1  
V2  
Vla  
Vc

*poco a poco string.*  
*p*  
*poco a poco string.*  
*cresc.*  
*poco a poco string.*  
*cresc.*  
*poco a poco string.*  
*cresc.*

301

V1  
V2  
Vla  
Vc

*Vivace.* *Tempo I.*  
*f* *fz* *ff*  
*f* *fz* *ff*  
*f* *fz* *ff*  
*f* *fz* *ff*

306

V1  
V2  
Vla  
Vc

*ffz* *ffz* *ffz*  
*ffz* *ffz* *ffz*  
*ffz* *ffz* *ffz*  
*ffz* *ffz* *ffz*

310

V1  
V2  
Vla  
Vc

*fp* *dim.* *pp* *morendo*  
*fp* *dim.* *pp* *morendo*  
*fp* *dim.* *pp* *morendo*  
*fp* *dim.* *pp* *morendo*

### Example 2.3 (continued).

316

V1

V2

Vla

Vc

ritardando

ppp

ritardando

ppp

ritardando

ppp

ritardando

ppp

### Harmonic Similarities

Aside from the formal similarities discussed above, the harmonic similarities between these two pieces are also underexplored. For example, the accented CT<sup>o7</sup> in the third measure of Schubert's quintet is Dvořák's first imitation of the older composer. Although Schubert does not use the same chord as Dvořák in that same place, the i<sup>add6</sup> in the quartet gives the same arresting sound. The difference between the two chords is only one half step (G vs. F♯). In Hartmut Schick's analysis of the quartet, he describes this event in the as an *akzentuierten Spannungsklang*, or, an accented tension sound or voltage sound, which is an appropriate description of the sound.<sup>38</sup> Schubert's first harmony is timeless; it appears from nothing, and crescendos to this CT<sup>o7</sup>, which more closely resembles Beveridge's characterization of the opening measures of Dvořák.<sup>39</sup> The resolution retreats to a tonic harmony, which gives the listener immediate repose. Similarly, Dvořák treats his first harmony the same way. As he begins the movement, the immediate crescendo to the i<sup>add6</sup>

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<sup>38</sup> Schick, *Studien*, 241.

<sup>39</sup> Beveridge says about the two piece's opening motive: "Note in both cases the use of a sustained tonic triad at the outset, beginning softly but undergoing a crescendo as it passes to a *coloristic, non-functional* sonority over a tonic pedal."—Italics mine. Beveridge explains the gesture more generally, instead of analyzing the exact chords of each piece, simply referring to them as "coloristic" and "non-functional" allows him to talk about the gesture rather than the key scheme.

harmony offers less repose in its resolution because the melody does not immediately return to the tonic. Instead, Dvořák moves to a  $iv^{add6}$  harmony. The initial  $i^{add6}$  harmony is the basis for the key areas of the movement, which I will discuss more later in the chapter.

The second themes of both pieces have a harmonically static quality. Beginning in m. 60 in the Schubert, and m. 69 in the Dvořák, the initial key of the second theme reminds the listener of the second harmony of each piece, the  $Ef$  found in both the  $CT^{o7}$  in the Schubert and the  $i^{add6}$  in the Dvořák.  $Ef$  is important in both pieces; the the themes circle around the pitch, while never getting very far away from it. Each theme possesses a local T-PD-D-T in order to anchor the pitch. This happens in the first measure of the Dvořák S theme, and in the first two measures of Schubert's S theme.

The last important harmonic signature in the Dvořák is the modally-inflected cadence which marks the EEC. Dvořák introduces the closing theme with a C-minor chord to close S-space. This works particularly well because the energy depletes at the end of S-space to give way to the C-space. Formally speaking, after reaching the G-major section of the second theme; Dvořák's S-section reaches a climax in m. 87, and the voices all change texture, and a tonic pedal prevails. The harmony alternates between I and  $iv$ , finally reaching the EEC in measure 93.

### **Thematic Similarities**

In addition to the key schemes being identical in the expositions of each piece, and similar in each recapitulation, the use of a defining motive in each piece's PI also describes the pieces' comparable sound and structure. This is precisely what older scholars have latched onto, and have not developed further. Schubert's seed motive, first appearing in m.

3–5, and as illustrated in **Example 2.4**, shows up three more times in the PI: mm. 14–16, mm. 23–25, and altered in mm. 32–33, signaling the beginning of the P-theme.

In Schubert’s m. 33, material from the PI is embellished. The static melody initially placed in the first violin part in the opening measures of the quintet is then moved to the two cellos in the P-theme proper. **Example 2.4** shows both of these instances. The first system of music depicts the opening measures, with its sparse texture and stable note values. The second system features the same stable note values in the cello lines as shown in the rectangle on the score, but the upper strings provide a descant to embellish and further fill out the texture. This adds a sense of energy, but also a sense of fullness that is not heard in the opening measures. The opening measures show Schubert’s vulnerable side, and the embellished theme show his orchestral sound in his chamber music.

**Example 2.4.** Proto-introduction and P-theme proper opening measures in D. 956 (mm. 1–6 and mm. 35–38.)

The image displays two systems of musical notation for Schubert's Quintet in D major, Op. 147, D. 956. The first system (mm. 1–6) shows the opening measures with a sparse texture. The second system (mm. 35–38) shows the P-theme proper, where the static melody from the first system is embellished and moved to the two cellos. The score includes five staves: Violin I, Violin II, Viola, Cello I, and Cello II. Dynamics such as *p* (piano) and *f* (forte) are indicated throughout. The second system features a descant in the upper strings, adding energy and fullness to the texture.

In contrast to Schubert’s similarities between proto-introduction and P-theme proper, Dvořák alters the P-theme proper in the quartet and chooses different PI material. What is similar in this piece compared to the Schubert is its opening motive. The long note values and slow harmonic rhythm are the most striking similarities to Schubert’s opening measures. Moving to the submediant early in a sonata-form movement tends to be a convention for Dvořák.<sup>40</sup> The opening measures of his quartet are shown below in **Example 2.5**.

**Example 2.5.** Opening measures of Dvořák’s quartet (mm. 1–6)

The musical score shows the first six measures of the quartet. Violin I starts with a piano (*p*) and *espress.* marking, playing a sequence of notes that includes a triplet. Violin II, Viola, and Cello provide harmonic support with chords and triplets. The Cello part is marked *pp*. The overall texture is dense and rhythmic.

Dvořák’s seed motive also shows up in the initial measures of his quartet, which is shown above. First appearing in mm. 2–3, his use is more Beethovenian in that he makes prevalent use of the motive throughout the introduction. Whereas Schubert uses the motive to show a *cantabile* affect, Dvořák’s motive is used to gain energy throughout the introduction. In other words, Dvořák’s motive is used as much more as a thematic “stamp.” The tension and release points in Dvořák’s introduction are much more varied than Schubert’s. He uses modally-mixed harmonies, such as an F min<sup>add6</sup> chord, along with quick

<sup>40</sup> See, for example, John K. Novak, “Schubertian Tonal Plans Reinterpreted: Dvořák’s ‘Shadow-Key’ Sonata Forms,” in *Rethinking Dvořák: Views from Five Countries*, ed. Michael Beckerman (Oxford: Oxford University Press, 1996), 193–206.

and large dynamic contrasts, ranging from *pianissimo* to *fortissimo*. Schubert uses the same dynamic range; however, it does not have the same affect. Schubert's quintet has a feeling more associated with restraint, and simplicity. While Dvořák was interested in the more melody-oriented first violin part, Schubert favored a polyphonic texture.

After the restrained PIs, both pieces are more lively in the P-theme proper. Schubert abandons restraint and simplicity in favor of the boisterous and raucous. As mentioned earlier, he re-imagines the initial measures of PI with more energetic downward arpeggiations, and fast scalar motions back up. Dvořák's P-theme is also more lively; instead of the first violin part taking the stage in the PI, there is more conversation among the voices. Dvořák also reaches the upper limit of the violin's range, by starting the P-theme on G6 in the first violin. Both pieces have similar P-theme energy; the prevailing dynamic for both pieces is *forte*, with occasional dynamic dips. The P-theme has a sense of "go" whereas the PI has more of a sense of being "ready to go." It really feels like the exposition has gotten started, instead of it getting ready to be started.

### **Second Themes as Centerpieces**

Without question, Schubert's second theme is the cornerstone of the movement, often eclipsing any hermeneutic concentration on the quintet's P-theme. It occupies over half of the exposition, and very little musical material is used. Even though Dvořák's second theme is not as expansive, the theme is still important. Schubert's theme is the epitome of serene, while Dvořák's is more frenetic. Much scholarship has been produced on Schubert's second themes, most notably Janet Schmalfeldt's work on "turning inward"<sup>41</sup> and Suzannah

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<sup>41</sup> Schmalfeldt, *In the Process of Becoming*, 133–157.

Clark's work on the aspect of memory in Schubert's music.<sup>42</sup> All of these facets contribute to Dvořák's term describing Schubert's music: "excessive diffuseness." Excessive diffuseness is analogous to uttering a lot of words without expressing many ideas. In the 1840s, Schumann characterized Schubert's music as having a "heavenly length," which may be what Dvořák had in mind by excessive diffuseness. This idea happens throughout both pieces, but particularly in S-space. Excessive diffuseness is typically portrayed by long periods of harmonic stasis, with occasional departures to unexplored tonal areas. Harmonic wandering, which explores unconfirmed tonal areas throughout a section of music, relates to excessive diffuseness. I categorize harmonic wandering as the harmonic aspect, and excessive diffuseness as the melodic one; they work in tandem. The result is the ability to spin out a large amount of music with a small amount of musical material.

Dvořák's term of excessive diffuseness is an effective way to explain how Schubert designs his S theme, for many scholars have tried to put their own words as to how to describe Schubert's music. What Dvořák is reacting to when he listens to the Schubert is exactly what Scott Burnham, John Gingerich, and Suzannah Clark are all attempting to wrestle with in their analyses of the second theme.<sup>43</sup> Clark's contention is that it is not the remote modulations that gives Schubert his lyrical voice, but how he presents material in a variety of key schemes, and from a variety of angles. Schubert is able to couch the pitch G as chord members of three different triads, which allows Schubert to cast the theme in three different lights. This happens while he articulates the same melody. I see his theme as having

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<sup>42</sup> Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), 184–185.

<sup>43</sup> For more information on excessive diffuseness and Schubert's compositional style, see John Gingerich, "Memory and Consciousness in Schubert's C-major String Quartet, D. 956," *The Musical Quarterly* 84/4 (2000): 619–634; also Scott Burnham, "Music and the Sound of Memory," *The Musical Quarterly* 84/4 (2000): 655–663.

three vantage points: past, present, and future. This is what Dvořák is reacting to; on the surface, it sounds excessively diffuse, but on the other hand, it is beautiful and sheds new light on the melody every time it is repeated.

As Schubert continues to develop S theme material in G Major from mm. 100–138, the third scale degree continues to be important. Just like the G in the first part of the S theme represented three different chords, and three different affects, the B in this section does the same. Obviously, it is the third scale degree of G Major, holding onto the same reminiscence from the beginning of the S theme. It also reminds us of B Major, a tonicized key in the second half of S-space. This B tonality was foreshadowed in the PI, where Schubert inserted a Phrygian half cadence before the dominant lock. The third chord, while not sounded directly, would be the fifth scale degree in E minor, which is implied by the Phrygian half cadence. Many analyses shove this section into closing material, as we have reached the key of the dominant, but to me, the S-material has not finished developing.<sup>44</sup>

Dvořák takes stylistic cues from Schubert in order to construct the S theme of the quartet. Dvořák's E $\flat$ -major theme also has a double-neighbor figure at the beginning, reminiscent of Schubert's initial melody. Dvořák constantly repeats the motive in the first measure, first in E $\flat$  Major, then briefly in F minor before fully moving to G Major, and the second half of S-space. From here, the move to close the exposition is repeatedly thwarted. At first, the listener would expect closure in G Major in m. 83, but S-material continues. Dvořák cadences again, weakly, in m. 87, but there is still no sense of closure, even though the S-material begins to fade. It is only six measure later, in m. 93 do we finally get closure;

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<sup>44</sup> Hepokoski and Darcy agree that the EEC does not come until m. 138, and they categorize S as “extending through many differing modules to the V: PAC EEC.” They remark that even though the beginning of S has the makings of a typical TM<sup>1</sup>, there is no PMC in order to realize a true S, so the MC at m. 58 will have to do.



thereby ushering in a new theme after a modally-mixed plagal cadence. Instead of a breathtaking, contemplative second theme feeling that Schubert cultivates, Dvořák's frenetic and cautiously energetic S theme has to do with the orchestration he uses in this section. All voices are moving every beat, and it is only until the eleventh measure of S where he inserts an ostinato pattern using pizzicato in the viola part which calms the mood of the theme.

Schubert does the same thing as he tries to close S-space. After the eighteen measure S theme material in G Major, it takes Schubert 21 additional measures to find the EEC. Schubert's first cadential attempt starts in m. 118, beginning on a Neapolitan sixth chord, followed by a cadential motion to G Major, although the cadence is weak. Schubert repeats the motive once more, thereby "reopening" the PAC, to borrow a term from Hepokoski and Darcy. However, when trying to cadence this time, the G-major tonic is evaded in favor of a deceptive resolution to a sequential pattern. This results in yet another thematic idea, further prolonging S. Schubert finds the bottom of his bag of tricks as he finally surrenders and gives us the close of S in m. 138. While choosing the exact measure number for the EEC is not my primary goal here, it says a lot about the importance of motive and how long Schubert, and in turn Dvořák can spin out a theme.

Since there is a diversion in both of these pieces to a "middle-man" key before reaching the dominant, it feels like home when each exposition reaches G Major. While the G-major arrival in the Schubert is important, the feeling of reaching G Major and hearing the closing theme in the Dvořák feels more like an arrival. This is because Dvořák has a more fleshed-out closing theme than Schubert gives the listener. The theme also is his first display of overt Czech elements in the piece—syncopation throughout the theme, and a gentle, relaxing four-measure phrase structure.

Schubert's continuing ability to expand the phrase, along with his tendency to evade cadences contributes to a vastly elongated exposition. He keeps the listener's attention by employing excessive melodic diffuseness over a harmonically stable bass line. Dvořák achieves the same goals, but in less musical time. His Eb-major theme moves to G Major after two iterations of the initial phrase, while the musical material used is kept to a minimum.

Although Schubert stretches the exposition to fit over five minutes of music, the musical material used is recycled heavily. Schubert's two-key second theme design allows him to amble easily from Eb to G Major, with much harmonic stasis and a very limited chord vocabulary. Additionally, Schubert's proclivity for expansive phrases along with excessive melodic diffuseness over a harmonically stable bass line contributes to this vastly elongated exposition. Dvořák employs many of the same tactics as Schubert. His motives are short, and are easily fused together to create longer phrases. Additionally, Dvořák often repeats the same motives in unconfirmed tonal areas to create his version of "excessive diffuseness."

### Phrase Expansion

Further zooming into the similarities between the quintet and the quartet, many of the phrases throughout these first movements are expanded.<sup>45</sup> In fact, one could read the PIs for each piece as one gigantic sentence. **Example 2.6** shows this analysis. For the Schubert, the first ten measures are the presentation of the basic idea, and mm. 11–20 repeat that basic

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<sup>45</sup> William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), 64.

idea. The last twelve measures feature the continuation (mm. 21–24) while mm. 25–32 are the cadential portion of the sentence. One could also analyze the first twenty measures as a parallel period. Obviously, this does not take into account the last twelve measures.

Dvořák’s PI is similar. In fact, it is built even more like a sentence, as the first PAC in the piece comes at m. 24. The presentation phrase lasts eight measures, broke up into two four-measure basic ideas. Then, the continuation stretches eight more measures, over the long tonic pedal from mm. 9–16. Finally, the sentence’s cadential motion lasts from mm. 20–23, thereby launching the P-theme proper. While both pieces can be seen as sentential, Dvořák’s is more clear-cut. The continuation is much longer than the basic idea that precedes it, but otherwise, the motives are clear.

### Example 2.6. Schubert’s PI Analyzed as a Sentence

The image displays a musical score for Schubert's PI, analyzed as a sentence. The score is written for five instruments: Violino I, Violino II, Viola, Violoncello I, and Violoncello II. The score is divided into three main sections: 'presentation' (measures 1-8), 'basic idea (b.i.)' (measures 9-16), and 'b.i. repeated' (measures 17-24). The score includes dynamic markings such as *p*, *f*, *pp*, and *cresc.* (crescendo). The notation is in 3/4 time and features a variety of rhythmic patterns and melodic lines across the staves.



Example 2.7. (Continued).

The image shows a musical score for measures 17 through 21. The score is written for four staves: Violin I (V1), Violin II (V2), Viola (Vla), and Violoncello (Vc). Measures 17-20 are marked with a blue line above them, and measure 21 is marked with a green line above it. A bracket labeled 'cadential' spans measures 17-21. The music features various dynamics including *f*, *ff*, and *p*, and includes markings for *cresc.* and *ten.* (tension). The notation includes triplets and rests.

Even though the phrase structures of each PI are constructed differently, the pieces look very similar—a product of orchestration, dynamic shape, and tempo. As mentioned earlier, phrases are expanded in both works. Both pieces have a sense of motionlessness; a sense that compositional ideas have not yet germinated.

This kind of phrase expansion occurs throughout the rest of each movement. Six-measure presentation and continuation phrases continue in the second themes of both pieces. Dvořák alternates between six-measure and four-measure phrases as the development progresses. However, at the end of the development, the six-measure structure returns in order to cadence at the EEC. The same thing happens in the Schubert; six-measure phrases dominate the Ef theme, but this contributes to more harmonic stasis. These phrases still exhibit the same T-PD-D-T structure present in a normal length phrase, but the material is just expanded, further prolonging the chord at the beginning of the prolonged phrase.

## Final Considerations

Dvořák's compositional style in his chamber music comes from many different places. He experimented in his first six quartets by emulating composers of the 18<sup>th</sup> and 19<sup>th</sup> centuries, thereby finding his own voice. Even though his imitation was prominent in those initial quartets, this emulation continued throughout his chamber music career. Through Dvořák's writings, it is clear that he respected Schubert—and this analysis shows specific places where Dvořák pays homage to his predecessor.

Intertextual similarities are rampant in these two pieces. I showed that expanded phrase lengths and harmonic wandering contribute to a feeling of excessive diffuseness. The result of these parameters pushes the rhetorical close of the S theme back to near the end of the exposition, forcing a late EEC. As Janet Schmalfeldt describes “becoming” in her book, we are constantly requested to reinterpret the motives or ideas present in the music. Schubert and Dvořák's pieces allow the analyst to do just that; musical ideas spin out in order to create new musical material, or in this case, expanded sonata material. My analysis requires the use of 18th-century phrase structures and forms in order to explain the phrasal and formal intricacies of both pieces. Even though Hepokoski and Darcy designed their treatise for 18th-century works, they still reap valuable rewards for later music.

For a composer who is as well-regarded as he is, Dvořák's music is vastly underexplored. In the subsequent chapters of this dissertation, I hope to explain what makes his music so popular and lasting. His music has striking similarities to the late 18<sup>th</sup>-century and early 19<sup>th</sup>-century masters, while also inserting folk-like material from both his homeland and America. As shown in this chapter, his music exhibits direct allegiances to Schubert, and

his formal language mimics the language of the late 18th century. I hope this comparison enables us to develop connections that Dvořák made with pieces by other composers.

# CHAPTER III

## DVOŘÁK'S TREATMENT OF THE DE-ENERGIZING TRANSITION

### Introduction

One of the defining features of a Type-3 sonata is the break between the first and the second theme. In Hepokoski and Darcy's treatise this is called the medial caesura (MC), which they define as follows: "A medial caesura is usually built around a strong half cadence (in the major mode either V: HC or I: HC) that has been rhythmically, harmonically, or texturally reinforced. This caesura has two functions: it marks the end of the first part of the exposition (hence our adjective "medial"), and it is simultaneously the decisive gesture that makes available the second part."<sup>46</sup> In 18<sup>th</sup>-century sonatas, this means that there is a half cadence either built on tonic or dominant, and then a break before the entrance of the second theme. This gives the listener a chance to do two things: first, process what they heard in the first part of the exposition, and second, let them know that new material is coming. Themes in 18<sup>th</sup>-century sonata forms often had specific affects as well; Primary themes were often considered boisterous and powerful, while second themes are often more lyrical.<sup>47</sup> However, as sonata form in the 19<sup>th</sup> century evolved, this MC treatment began to change. The delineation between primary and secondary material became increasingly

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<sup>46</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 25.

<sup>47</sup> Hepokoski and Darcy warn that polarity and opposites are unhelpful words to describe the relationship between P and S. Instead, complementary may be a better word to describe the themes' interaction.



blurred, and rhetorical function began to change from a literal gap in the texture, to more of an “easing in” from primary to secondary theme.<sup>48</sup>

As mentioned in the last chapter, Antonin Dvořák’s work builds on norms from late 18<sup>th</sup>-and early 19<sup>th</sup>-century conventions, with a focus on emulating past composers. Because of his reverence to older mentors, it makes sense that he holds true to a lot of late-18<sup>th</sup>-century sonata norms. However, a shift toward a 19<sup>th</sup>-century way of composing sonatas can be traced in the treatment of his MCs. Dvořák begins to shift from composing a gap between TR and S, and eventually begins focusing on the “easing in” that makes sectional divisions so blurry.

### A Case Study Using Dvořák’s Op. 65

Consider Dvořák’s F-minor piano trio, op. 65, a decidedly Brahmsian work full of strife and grief. While the exposition appears to have a fairly straightforward roadmap, there are two possible MC points that warrant consideration, each of which are unqualified in the most normative of terms. **Table 3.1** shows the measure number delineations for the piece’s exposition.

**Table 3.1.** Measure Number Schematic for Dvořák Op. 65 Exposition

P-Theme	Transition	MC <sup>1</sup>	MC <sup>2</sup>	CF	S-theme	EEC	C-Theme
1–17	18–46	47	53	47–56 53–56	57–98	99	99–109

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<sup>48</sup> One article that is helpful in exploring the rhetorical blurring is Mark Richards’ article on Beethoven and the Obscured Medial Caesura. Mark Richards, “Beethoven and the Obscured Medial Caesura: A Study in the Transformation of Style” *Music Theory Spectrum* 35/2 (2013): 166–193.

The movement begins with a slow, brooding F-minor entrance, with all voices in unison. Throughout the primary theme, the two strings work together while the piano envelops them in a dense, chordal texture. The first eighteen measures concern themselves with a harmonic move from tonic to dominant, with a huge dominant lock from mm. 10–17. Once the movement reaches TR in m. 18, the piece really takes off; the first seventeen measures feel more “getting started” but, beginning in m. 18, it feels more “on our way.” Dvořák situates the listener squarely in F minor, but quickly moves to a tonicization of Af Major in m. 22. Then, in m. 26, energy begins to build, through sequential diminished chord arpeggiations in the piano and cello, and dramatic octave leaps in the violin. The energy gain continues all the way until m. 47, where Dvořák articulates a III: HC MC, which seems like it will fulfill the duty of S in Af Major. This would make the most sense, as it is the relative major of the original key of the piece.

However, Dvořák has not finished his energy depletion. In fact, m. 47 is the apex of energy in the exposition’s first half. He composes the loudest dynamic since the tormented opening measures, while the violin plays loudly above the staff. Beginning in m. 47, Dvořák drains TR energy further by inward contrary motion in the piano part, immediately bringing the violin down two octaves, and gradually reducing the dynamics for all ensemble members. At m. 50, the three voices enjoy tiny tonicizations every two beats for two measures until m. 53, where the music settles on a VI: HC MC. At this point, the strings drop out, and the piano continues to drain energy all the way until the beginning of S. It is at m. 53 that Dvořák lets the “real” MC out of the bag after six measures of energy loss. The actual MC chord is in the expected S theme key. **Example 3.1** shows the music for this section.

**Example 3.1** Op. 65 Transition, MC and Caesura-Fill (mm. 44–49, 53–57)

Even though the VI: HC MC is the real MC, it is still not a normative one. First, and most glaringly, it prepares an incorrect S theme key. However, MC function is there, even if it is not typical. Additionally, there is a change in the overall texture of the movement (strings disappear, leaving the piano to continue the caesura fill), and there is a noticeable preparation of the S theme without any of the typical ingredients found in the MC recipe. Daniel Partridge concurs in his analysis of op. 65: “Although the *pianissimo* dynamic in op. 65 undercuts typical MC-rhetoric (that is, forceful gestures such as hammerstrokes), other textural cues indicate that this is the true MC, such as the sudden textural change (namely,

the absence of strings), the immediate augmentation of the rhythm, and the *ritardando* into the S theme.”<sup>49</sup>

What I would like to focus on, though, is the immediate and sudden depletion of energy that happens between TR and S. Even though it goes against just about everything that Hepokoski and Darcy say is appropriate about an MC articulation, MC function works when precisely the opposite parameters are at work. To that end, this chapter aims to carve out a guide to the de-energizing transition. What makes the listener feel like a successful MC has been reached? Is it a HC that the ears can grab onto? Or, are there other criteria that come into play? I will show how various musical parameters contribute to a lessening of musical energy, thereby affecting their rhetorical power. I will use musical parameters such as dynamics, phrasing, contour. Finally, I will introduce Steve Larson’s theory of musical forces, which invoke three such forces (gravity, magnetism, and inertia) to explain melodic actions in a tonal context. Larson’s major contention is that the forces he describes are not just rhetorical, but rather “are fundamental to the way we experience tonal music.”<sup>50</sup>

This chapter will consist of three parts. First, I give a brief overview of energetics, from its origins in the 15<sup>th</sup> and 16<sup>th</sup> centuries through modern-day conceptions of the term. Second, I will compare 18<sup>th</sup>-century expositions that Hepokoski and Darcy describe as energy-losing. The two terms that they coin, the blocked MC and the de-energizing transition, have their origins in 18<sup>th</sup>-century expositions, but present themselves more

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<sup>49</sup> Partridge, “Harmony, Form, and Voice Leading,” 174.

<sup>50</sup> Steve Larson, *Musical Forces: Motion, Metaphor, and Meaning in Music* (Bloomington: Indiana University Press, 2012), 67.

regularly in 19<sup>th</sup>-century ones. Lastly, I will add my own terms to help qualify the types of de-energizing transitions we see in Dvořák’s music.<sup>51</sup>

### **A Brief History of Energetics**

Energetics got its start in the early 20<sup>th</sup> century when a number of German theorists began thinking about the concept in an organized sense. Even though the idea of “music’s dynamic qualities”<sup>52</sup> had been discussed constantly in various forms since the ancient Greeks, the energeticist school did not form until about century ago. Rudolf Schäfke, a historian of aesthetics, described the term for the first time in 1934, which draws on concepts from physics, and uses terms such as power, and force. In other words, pre-energeticist writings considered musical dynamism, but musical motion was not thematized as much as now. Additionally, energeticist writing in before the 19<sup>th</sup> century was associated with the affects; the tones were assigned agents, rather than having the ability to be passive.<sup>53</sup>

While Renaissance music theorists such as Tinctoris and Gaffurio describe cadential programs as desiring to achieve a perfect consonance by resolving out to the octave, 18<sup>th</sup>-century theorists such as Rameau and Mattheson used techniques of rhetoric in order to arouse affections. Mattheson asserted that a composer “must know how without the words to express sincerely all the emotions of the heart through selected sounds and their skillful

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<sup>51</sup> I acknowledge that I am playing fast and loose with the term “transition” since Hepokoski and Darcy do not consider caesura-fill material actually part of the transition. However, all energy loss discussed in this chapter is strictly before the onset of S—that is, it could be part of TR or caesura-fill material, but my discussion of energy loss will not creep into S-material.

<sup>52</sup> Lee Rothfarb, “Energetics,” in *the Cambridge History of Western Music Theory*, ed. Thomas S. Christensen, (Oxford: Oxford University Press, 2002) 927.

<sup>53</sup> Rudolf Schäfke, *Geschichte der Musikästhetik in Umrissen* (Berlin: M. Hesse, 1934), 393–450.

combination...<sup>54</sup> Energeticist ideas continued into the 19<sup>th</sup> century, with Adolf Bernhard Marx writing about energetics as it relates to the composer making music, rather than what a listener feels when he or she listens to a piece of music. Energetics' role in sonata form, according to Marx, should "reflect a composer's spiritual motion."<sup>55</sup> Marx continues by saying that the first theme, or *Hauptsatz* "should convey a sense of growth toward the ensuing section (B)...It is the composer's interior spiritual motion, a residual energy embodied in the music, that makes a period incomplete and require continuation."<sup>56</sup>

Hugo Riemann's work on energetics relates closely to musical dynamics. Curiously, his thoughts on dynamics relate not only to harmony itself, but also to musical parameters, largely dealing with rhythm. Riemann calls this *Lebenskraft*, or a musical life-force. He adds that the use of dynamics is often paired with the way that contour is used in a piece of music. He also states in his writing that the way dynamics are used depends on the contour of a particular phrase or section of music—ascending lines that get louder have more *Lebenskraft*, and descending lines that get softer, and thus possess less *Lebenskraft*. The opposite of each of those is also true. Riemann finishes by saying that rests that occur within the phrase maintain the prevailing life-force.<sup>57</sup>

Many 20<sup>th</sup>-century theorists developed and refined their thoughts on energetics, even more than their predecessors. Halm and Schenker base their writings on Schäfke's thoughts,

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<sup>54</sup> Johann Mattheson, and Ernest Charles Harriss, *Johann Mattheson's Der Vollkommene Capellmeister: A Revised Translation with Critical Commentary*. Studies in Musicology no. 21 (Ann Arbor, MI: UMI Research Press, 1981), 382.

<sup>55</sup> Rothfarb, "Energetics," 933.

<sup>56</sup> Adolf Bernhard Marx, *Lehre von der musikalischen Komposition*, ed. Herman S. Saroni (New York: Mason Brothers, 1856).

<sup>57</sup> Hugo Riemann, *Musikalische Dynamik und Agogik* (Hamburg: D. Rahter, 1884), 11.

focusing their ideas on the processual aspects of music. Halm focuses on the small ebbs and flows of a phrase, and the tension and release of chords. Similarly, Schenker focuses on the “biological urges of tones,” and the “force of the scale-step.” Schenker also described that the *Urfinie* embodies “the seeds of all forces that shape tone-life.”<sup>58</sup> Many of these ideas are explicated in *Der Freie Satz* and *Harmonielehre*. Ernst Kurth believed that melody was “the germinal element in music.”<sup>59</sup> Kurth linked melody to kinetic energy, and believed that kinetic energy was what gave melodic lines their energy. On the other hand, Kurth believed that harmony was charged with potential energy, and briefly stopped the linear flow of a melodic line.<sup>60</sup>

Contemporary research on energetics takes many of these previous notions and casts them into new light. Arguably the most influential modern-day theorist of energetics is Steve Larson, who developed a theory of musical forces concerning musical gravity, magnetism, and inertia.<sup>61</sup> Larson’s main contention is that musical motion is not just rhetorical, but embodied as well. Larson also adds that our experience of these three forces is based on patterning and analogy. The theory of musical forces focuses on passive motion; that is, the forces are the determining agents. On the other hand, Robert Hatten’s work on musical

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<sup>58</sup> August Halm, *Harmonielehre* (Leipzig: Goshen, 1905), 26; also Heinrich Schenker, *Free Composition* trans. and ed. E. Oster (New York: Longman, 1979), 4.

<sup>59</sup> Lee Rothfarb, *Ernst Kurth as Theorist and Analyst* (Philadelphia: University of Pennsylvania Press, 1988), 51.

<sup>60</sup> As Rothfarb states, Kurth used the terms kinetic and potential energy loosely, and did not use them for their strict scientific definitions, but it was the closest analogy to the hard sciences that he could find, and it is a term with which many are familiar (Ibid).

<sup>61</sup> Larson states that musical gravity is “the tendency of notes above a reference platform to descend”; magnetism is “the tendency of unstable notes to move to the closest stable pitch”; and inertia “the tendency of pitches or durations, or both, to continue the pattern perceived.” (*Musical Forces*, 2).

embodiment focuses on active motion. He relies on agents to describe how musical lines move. In other words, he gives the actual lines agency. Matthew BaileyShea, in his 2012 article “Musical Forces and Interpretation: Some Thoughts on a Measure in Mahler” falls into the middleground. While he does use elements from both musical forces and embodiment, his main goal is to find a way to incorporate those elements into analysis. He develops three types of forces (field forces, agential forces, and elemental forces). Field forces being akin to musical forces, while agential forces obviously having agency, and elemental forces being a hybrid of the two. BaileyShea uses both kinds of forces in his analysis to help him understand m. 19 of Mahler’s “Nun will die Sonn’ so hell aufgeh’n,” from *Kindertotenlieder*.<sup>62</sup> Some of BaileyShea’s forces will be important in explaining Dvořák’s compositional strategies regarding energy loss later in the chapter.

Steve Larson not only ascribes musical forces to a tonal context, but also attributes these forces to rhythm. In his treatise, he discusses rhythmic gravity, magnetism and inertia. In fact, Larson’s treatise also includes a section on rhythmic forces, where he relates rhythmic gravity, magnetism, and inertia to their melodic counterparts. Most relevant to my study is his discussion of musical inertia. Larson’s definition of inertia (“the tendency of a pattern to continue in the same fashion”) is his most important aspect of how we feel rhythmic groupings. Furthermore, inertia allows the meter to continue in a coherent fashion, following perceived patterns that have happened before. In my following analyses, Dvořák both corroborates and thwarts these claims, and I will draw attention to both instances in his music.

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<sup>62</sup> Matthew BaileyShea, “Musical Forces and interpretation: Some Thoughts on a Measure in Mahler,” *Music Theory Online* 18/3 (2012): Accessed January 7, 2017, <http://mtosmt.org/issues/mto.12.18.3/mto.12.18.3.baileyshea.html>



While Larson deals with passive forces in his research, other theorists in addition to Hatten and BaileyShea have written about agential forces. Yonatan Malin's 2008 article "Metric Analysis and the Metaphor of Energy: A Way into Selected Songs by Wolf and Schoenberg" introduces energy in metric analysis. Malin begins his article with the opening measures of "Unterm Schutz" from Schoenberg's *Book of the Hanging Gardens*. He asserts that his "metaphor of energy" allows connections to be made between energy, rhythm and meter, contour, and desire. He goes on to say that the concept of the metaphor of energy makes it possible to simultaneously analyze a piece of music's rhythm, meter, and contour, especially since rhythm and meter is so often associated with movement. Malin's ultimate goal is to find more ways to interpret connections between music and text. Moving beyond the scope of text painting and text-music relations allows him to focus on more agential qualities, such as desire in both a musical and a poetic context.<sup>63</sup>

Seth Monahan has also been writing a lot about agency. His 2013 *Journal of Music Theory* article entitled "Action and Agency Revisited" refines two earlier works, one by Edward T. Cone and another by Fred E. Maus. Monahan's article also provides four fictional agents; the individuated element, the work persona, the fictional composer, and the analyst. Monahan shows that any of these fictional agents can be used at any one time, and they can be used in different ways. In other words, Monahan's article is different from the others that he references because his article is meta-theoretical; he is talking about how analysts interpret agency, not how composers use the agents in their music. The main point of his article illuminates that there can be a host of "semantic ambiguities" that will arise

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<sup>63</sup> Yonatan Malin, "Metric Analysis and the Metaphor of Energy: A Way into Selected Songs by Wolf and Schoenberg," *Music Theory Spectrum* 30/1 (2008): 68.

when they are used.<sup>64</sup> In his 2015 article “Voice-Leading Energetics in Wagner’s “Tristan Idiom”” published in *Music Analysis*, Monahan develops a Kinetic Displacement Metric in his article on voice-leading energetics in a few pieces by Wagner. In this article, he strives to “gauge the energetic intensity of the voice leading linking one tertian harmony to another.”<sup>65</sup> In his case, Monahan is more concerned by just motion up and down. In fact, he wants to describe the polarity between downward-creeping chords, and upward sneaking vocal lines. My aim is not as complex. I will simply track overall contours and dynamics to explain energy loss within the sonata exposition.

In the analyses to come, I will be relying on describing sonata theoretical principles largely using musical forces. Additionally, I will make use of Matthew BaileyShea’s terms “halting” and “leaping” that he uses in order to discuss syncopated passages. This brings metrical aspects of energy loss into play, an aspect that I will only focus on briefly in one analysis. While the historical accounts of energetics do not relate explicitly to my analyses, it provides a needed precursor to how the theory of musical forces was born; which is my rationale for including the topic in this chapter.

### **Precursors to Dvořák’s MC Treatment: The Blocked MC**

While many of Hepokoski and Darcy’s analyses feature expositions with MCs that behave normally, they discuss some deformational cases as well. We see composers stretching the boundaries of rhetorical punctuation, even before the turn of the 19<sup>th</sup> century.

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<sup>64</sup> Seth Monahan, “Action and Agency Revisited,” *Journal of Music Theory* 57/2 (2016): 321–371.

<sup>65</sup> Seth Monahan, “Voice-Leading Energetics in Wagner’s “Tristan Idiom”” *Music Analysis* 35/2 (2015): 5

One such 18<sup>th</sup>-century case is the “blocked medial caesura,” a case where the MC at the end of TR is stopped short by (usually) a cadential 6/4, thereby prematurely thwarting the attenuation of the MC mid-phrase.<sup>66</sup> Mozart’s Overture to *Idomeneo* does just this. The movement begins with a six-measure slow introduction, and quickly moves to the P-theme in m. 7 after outlining a D-major tonic chord. During the transition, energy builds with the characteristic, 4–s4–5 bass line, typical of an energy-gaining TR. The whole TR is full of energy: there is constant sixteenth-note motion in the accompanying strings, ascending and descending scalar runs spanning two octaves in the violin lines, and a prolonged trill motive in the move to 5. However, instead of stopping on the V: HC, Mozart stops short at the cadential six-four in m. 41, and only the violins continue past this point in order to finish the caesura fill to get the exposition to the S theme in m. 45. After a blocked MC, there is typically an elided PAC in V, or in whichever key the S theme happens to be. This music is featured in **Example 3.2**.

An important distinction must be made in energy loss before and after the MC. If energy loss happens before the MC, the likely cause is a blocked medial caesura, where there is some kind of wall preventing the MC from happening with all of its energetic glory. In contrast, energy-loss related to the caesura-fill happens after the MC has occurred. Hepokoski and Darcy say the following about caesura-fill: “One function of this link is to articulate with sound the most important expressive obligation of the moment: the representation of the *energy-loss* that bridges the vigorous end of TR (MC) to what is frequently the low-intensity beginning of S (part 2).”<sup>67</sup> Still, there are nuanced ways in which

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<sup>66</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, 47.

<sup>67</sup> *Ibid*, 40.

Dvořák articulates energy loss in his expositions that are not quite either of these two circumstances, and I will discuss them in this chapter.

**Example 3.2** Transition and MC Articulation in Mozart's Overture to *Idomeneo*, K. 366

38

Musical score for measures 38-42 of Mozart's Overture to *Idomeneo*, K. 366. The score is in G major and 2/4 time. It features a woodwind section (flutes, oboes, bassoons) and a string section. The woodwinds play a melodic line with slurs and accents, while the strings provide a rhythmic accompaniment with slurs and accents. The key signature has one sharp (F#) and the time signature is 2/4. The score shows a transition from a previous section, with the woodwinds entering with a new melodic phrase.

43

S-Theme

Musical score for measures 43-47 of Mozart's Overture to *Idomeneo*, K. 366. The score is in G major and 2/4 time. It features a woodwind section (flutes, oboes, bassoons) and a string section. The woodwinds play a melodic line with slurs and accents, while the strings provide a rhythmic accompaniment with slurs and accents. The key signature has one sharp (F#) and the time signature is 2/4. The score shows the continuation of the S-Theme, with the woodwinds playing a melodic line and the strings providing a rhythmic accompaniment.

Am:

Mozart continues the phrase after the unison violin line with the return of the rest of the strings in m. 43. However, the rhetorical break is different: it is almost as if the violin lines were immediately put on display with a spotlight like a rabbit coming out of a hat at a magic show and then gracefully placed on a table at m. 45 in order for the second theme to begin. Typical MCs do not get that gentle treatment. Instead, the MC point is the rabbit coming out of the hat on the half cadence, ideally on *forte* hammer stroke chords, and the second theme is the magician moving onto a new act. In other words, the MC is the climax of the illusion, but a blocked MC is the illusion coming too quickly, and the magician quickly scrambling to move on to his next act.

### **Dvořák's MC Treatments: Op. 61**

While the 18<sup>th</sup>-century blocked medial caesura technique is but one deformation that happens occasionally in the repertoire, instances of the de-energizing transitions begin to appear in 19<sup>th</sup>-century works, with their frequency allowing them to be more normative than deformational. This chapter teases out some of the intricacies of the de-energizing transition, using Dvořák's chamber music oeuvre as a series of case studies. I choose Dvořák because his chamber music repertoire is a blend of 18<sup>th</sup>-and 19<sup>th</sup>-century sonata principles. Throughout his oeuvre, an analyst can trace the development of his compositional techniques. Early in his career, he made sure to emulate successful older composers, while later in life he found his own voice. Nevertheless, many of his decisions regarding formal divisions are informed by choices that his peers were making in their chamber music works.

**Table 3.2.** Measure number delineations in Dvořák op. 61

Proto-Intro	P-Theme	Transition	MC <sup>1</sup>	MC <sup>2</sup>	CF	S-Theme	EEC	C-Theme
1–23	24–47	48–61	62	(68)	62–68	69–92	93	93–107

Dvořák’s String Quartet in C Major was written in 1881, and he was still finding his voice in the string quartet genre as he was writing. As pointed out in the last chapter, this quartet has many intertextual similarities with Schubert’s great C-major cello quintet, a piece that Dvořák undoubtedly used as a model to compose his quartet. One of the departures, though, from the cello quintet is Dvořák’s treatment of the MC and the segue into S-material. **Table 3.2** displays the measure number delineations in Dvořák’s op. 61. Daniel Partridge comments on the MC and caesura-fill in this piece as more straightforward than many others. He says: “The op. 61 quartet presents its unproblematic fIII: HC MC at m. 62; it is a clearly understood, forceful MC-gesture, which is followed by a generally normative CF that dynamically decays to the *piano* launch of S at m. 69.”<sup>68</sup> Partridge also contends that the deformational aspect of this MC + caesura-fill combination is the augmented 6<sup>th</sup> chord in the penultimate bar before the S theme. While it is important to note, it did not change the key of S, so I do not see it as a large issue. What is notable, however, is how Dvořák expends all of the energy built up from mm. 62–68 in order to introduce an S theme that emerges from almost nothing. **Example 3.4**, illustrated below, shows the energy gain up until the MC in m. 62 and then the subsequent de-energizing of the caesura-fill material and into the onset of the S theme.

In this piece, Dvořák uses a lengthier caesura fill that is able to dissipate more energy from TR into S. As TR is chugging along from mm. 48–62, energy ramps up by way of a

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<sup>68</sup> Daniel Partridge, “Harmony, Form, and Voice Leading”, 74.

constant sixteenth-note motor in the 2<sup>nd</sup> violin part accompanied by a chromatically-upward-moving arpeggiating motive in the 1<sup>st</sup> violin line. Once we arrive at m. 62, the rug is pulled out from underneath the ensemble: the MC hits on beat 1, and energy dissipates swiftly by way of a downward-arpeggiating motive in the 1<sup>st</sup> violin to D4. The prevailing dynamic quickly moves from *forte* to *piano* in just two measures, and as the rest of the ensemble comes back in to finish the caesura-fill; the dynamics continue to dwindle. After the two-octave descending arpeggio in the first violin in mm. 62–63, the downward motion continues in the cello. In m. 64, modal mixture comes to the fore. The cello moves from C $\sharp$  in m. 65 stepwise down to an F $\sharp$  in m. 67, where Dvořák articulates an unusual augmented sixth-like chord in m. 68, which acts as a sort of post-articulated MC feint.

This augmented sixth chord has the chance to make E $\sharp$  the dominant and to usher in an A $\sharp$  Major S theme, but this does not happen. Instead of the E $\sharp$ -major theme coming in at m. 69, this chord would act as the MC, with an A $\sharp$ -major theme beginning in a subsequent measure (depending on how long the E $\sharp$ -major MC chord was held). This is a type of what Hepokoski and Darcy would call an MC feint, an instance where the MC was implied, but then have that moment be passed up in favor of a more structural, or simply later MC. This case is different, however, as the feinted MC comes after the real MC.

Whether or not the reader buys the labeling of a feinted MC in the penultimate bar of TR, this section can be explained with musical forces. In fact, one could infer that all three of Larson's forces are working in tandem. Musical gravity is at work because the pitches in the cello part descend from the reference pitch (B $\sharp$ : 5 of E $\sharp$  in m. 62). Musical magnetism is a good interpretation here because the **f2** in m. 68 yearns to move to tonic in the next measure. Finally, musical inertia is most definitely at work because pitches continue to descend, complying with the perceived pattern.

**Example 3.3** End of TR and MC+CF material in Op. 61 (mm. 58–71)

The image displays three systems of musical notation for Example 3.3, covering measures 58-71. The first system (measures 58-61) shows four staves: V1 (Violin I), V2 (Violin II), Vla (Viola), and Vc (Violoncello). The V1 staff features a melodic line with a tritone (TR) and a melodic contour (MC) marked with *pp*. The V2 staff has a sustained chord with *pp*. The Vla staff has a rhythmic accompaniment with *pp*. The Vc staff has a bass line with *pp*. The second system (measures 62-65) shows the continuation of the V1 staff with a melodic line that includes a *dim.* and *p* dynamic. The V2 staff has a sustained chord with *f* and *p* dynamics. The Vla staff has a rhythmic accompaniment with *f* and *p* dynamics. The Vc staff has a bass line with *f* and *dim.* dynamics. The third system (measures 66-71) shows the continuation of the V1 staff with a melodic line that includes a *rit.* and *pp* dynamic, followed by a *in tempo* section with *ppp* and *dolce* dynamics. The V2 staff has a rhythmic accompaniment with *ppp* and *dolce* dynamics. The Vla staff has a rhythmic accompaniment with *ppp* and *in tempo* dynamics. The Vc staff has a bass line with *ppp* and *dolce* dynamics.

At the beginning of the chapter, I introduced Dvořák’s op. 65, which contained a fairly deformational TR with two possible MC candidates (at m. 47 and m. 53). While discussing MC placement was appropriate at the beginning of the chapter, I had not yet introduced my main analytical tool for the chapter: musical forces. Now it is appropriate to discuss this section of music using Larson’s musical forces. As mentioned before, there a downward motion in all of the voices, and also a serious drive in the piano part after the MC to get to tonic, thereby depleting more energy. Since melodic gravity as “the tendency of notes above a reference platform to descend,” we see that m. 53’s Af-major chord keeps descending in the piano part, even after the MC. The Af is struck on the downbeat of m. 53,



and then keeps descending stepwise until the attainment of S in m. 57. Stepwise motion goes down from Af to Gf in beat 3 of m. 54, then Ff in beat 4 of the next measure, to Eff in the following measure. This leads to a half step motion to tonic at m. 57. When looking at the score, one notices that the right hand is also diving down. It ends up being below the cello line when it enters at m. 57. Magnetism is at play in this section as well; the f2 in the penultimate measure of the caesura-fill is a longing for tonic; it is an even more desperate attempt to reach tonic.

### **Dvořák's Best-Known Quartets: Op. 106 and Op. 96**

While op. 61 most closely resembles the blocked medial caesura technique, some of Dvořák's later quartets feature energy loss before the MC occurs. One such piece is Dvořák's string quartet number 13 in G Major, op. 106, composed in 1895. This piece is reminiscent of Dvořák's "American" quartet with its lighthearted mood and bouncy affect, but it is much less pentatonic than its predecessor. The quartet exhibits a broad and gradual energy loss from the end of TR into the beginning of the S theme. There is a kind of "caesura fill" as Hepokoski and Darcy describe, but the energy lessens before this happens. Dvořák begins the movement with a P<sup>0</sup> motive containing two fragments that serve as a signature for the rest of the movement. These introductory measures set the stage for the rest of the exposition, and the rest of the movement.<sup>69</sup> Nevertheless, TR is in full swing at m.

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<sup>69</sup> To put it lightly, the formal divisions of the first half of the exposition are nebulous. There are many different ways to label formal divisions in this movement. One way would be for P to start at the beginning, with TR beginning in m. 26. However, while a PAC happens there, it is in the submediant, rather than the normative tonic. This is at a point of relatively low-energy. However, another analysis could ignore the cadence to vi and push TR all the way until m. 48. This, undoubtedly, makes proportioning of the exposition quite wonky. In this analysis, P<sup>0</sup> would start at the beginning with P<sup>1</sup> happening in E minor—also deformational.

48, using the motive initially presented beginning in m. 26. At this point, energy is high: the prevailing dynamic is *fortissimo* while there are at least eighth notes going on in each of the voices. The cello outlines tonic, while the two violins are in concert playing the same melody; the second violin harmonizing the first. The viola keeps the countermelody figure going with downward-arpeggiating triples. At last the energetic climax comes at measure 60, where Dvořák uses a series of chromatic chords to diffuse some of the TR energy. **Table 3.3** illustrates the measure number delineations for this exposition.

**Table 3.3** Measure Number Delineations for Dvořák Op. 106

P-Theme	Transition	MC+Fill	S-Theme	EEC	C-Theme
1–47	48–73	74–80	81–154	155	156–162

Measure 60 is a curious point in the movement. Tonality is nebulous, as Dvořák sounds an *E**f* augmented triad in the following measure. In his unorthodox method of tonicizing *A**f* with an *E**f* augmented augmented chord through the next several measures, the prevailing registers of each of the instruments is dropping, therefore signaling a perceived drop in energy. Dynamics stay constant until m. 66 when Dvořák enters a cadential loop, eventually signaling an MC in m. 74. At this point dynamics have dropped to *pianissimo*, but there is still more energy to be liquidated. Please refer to **Example 3.5** for TR and MC music in op. 106.

Example 3.4 TR and MC+Fill in op. 106 (mm. 58–83)

58 *ff* *feroce*

65 Energy begins to deplete *dim.* *p espress.* *dim.*

72 MC' + Fill *pp*

78 S-Theme *pp* *semplice* *pp semplice* B-flat Major

It is helpful to look to Matthew BaileyShea’s 2012 response to Steve Larson’s theory of musical forces, and discuss two forces that BaileyShea invents in order to explain rhythmic forces. In the article, he talks about how Larson’s musical forces can be used to

describe forces involving meter, in addition to tonal ones.<sup>70</sup> As the MC is articulated m. 74, the first violin starts a running sixteenth-note figure which continues through the rest of the CF in all of the instruments. However, the tie at the bottom of each of the figures (shown in the fourth measure of the excerpt for the first time) allows Dvořák to deplete even more energy. BaileyShea offers two ways to think about syncopations as it relates to musical forces. First, it could be interpreted as giving a sense of “leaping.” BaileyShea adds:

On the one hand, we might imagine the music as an agent springing upward and eventually being pulled down to the subsequent strong beat. In that case, the syncopation would suggest an agent moving *with* the force of momentum but *resisting* the force of gravity, at least until it eventually succumbs by falling to the subsequent strong beat.<sup>71</sup>

While this is a plausible hermeneutic angle for some pieces, I think his other metaphor proves to be more useful in this piece:

On the other hand, we might imagine an agent marching along with a certain metrical momentum before abruptly halting at the end of the measure. In that case, gravity is no longer part of the equation and instead of an agent moving with the force of momentum, we sense an agent temporarily resisting the force of momentum before ultimately being carried forward by the next stable beat.

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<sup>70</sup> Chapter 6 in Larson’s book yields an extensive discussion on rhythmic forces, where he focuses on musical inertia to describe the intelligibility of musical patterns. He also engages a discussion on musical gravity, whereas stronger beats have a stronger gravitational pull, what Larson describes as “falling into a downbeat.” In this sense, Larson is using the terms “up” and “down” to describe musical motion, in addition to our commonly-held notions of notes that have higher and lower frequencies (*Musical Forces*, 123).

<sup>71</sup> BaileyShea, “Musical Forces and Interpretation,” 18.

My reading in the use of this force is that it is resisting momentum and is halting the energy. Once the sixteenth-note motive begins at the MC, the piece finds new energy. However, the energy is still longing to subside, so something needs to stop that flurry. This halting momentum attempts to do the trick. The constant sixteenths pit themselves against the halting motive as they jump between the voices. In m. 76, the cello begins running eighths, and the viola follows suit in the next measure, also with a halting syncopation. BaileyShea concludes that while leaping is more likely to be perceived as a resistance to gravity, halting has more to do with giving into the force of gravity, but also conjuring images of fear, reluctance, and hesitation.

Interestingly, Dvořák employs a different strategy when reaching the S theme in the recapitulation. In fact, he truncates the MC-fill significantly (a technique not all that uncommon in 19th-century sonata forms) before reaching S. Dvořák begins the recapitulation with material from the beginning of the exposition, and quickly moves onto a falling-fifths progression in m. 281. Through the fifth progression, Dvořák is searching for tonic; he repeats material initially found in mm. 68–69 in various keys, (first in E Major, then A Major, and finally G Major, where he cadences). Refer to **Example 3.6** to note the differences between S theme attenuation in the recapitulation versus the exposition.

**Example 3.5** Energy-dampening TR Material in the Recapitulation of Op. 106

Falling Fifths Progression

**Example 3.5 (Continued).**

More specifically than just truncating the TR material from what was presented in the exposition, Dvořák also omits some parts of the caesura-fill initially found there. For example, mm. 74–80 found in the exposition are replaced with an extended MC figure, shown in the box in the above example. In addition to not needing a version of the exposition’s caesura fill to modulate away from the tonic, the expanded V chord heightens the expectation of tonic in the S theme. What originally was a jarring common-tone modulation in the exposition becomes a tension-relieving continuation in the tonic in the recapitulation.

### Dvořák's Beloved "American" Quartet

Quite possibly the Dvořák's best-known work, the String Quartet No. 12 in F Major, *American* exhibits much energy loss in its exposition. In terms of 18<sup>th</sup>-century sonata norms, there are many deformational aspects of this piece, but it is still widely understood as a sonata form. First, the S theme never goes to the dominant, rather it hangs out around **3**, both in its minor and its major iteration.

**Table 3.4** Measure number delineations and key areas for op. 96, "American"

P-Theme	Transition	MC	S-Theme	EEC	C-Theme
1–16	17–43	43	44–59	60	60–63
I	vi–iii	III: HC	III	III	III

The formal divisions are not as complicated as the last two pieces, but the proportioning is certainly something to note. While TR material occupies 26 of the 63 measures in the exposition, S-space is only fifteen measures, while there is very little closing material to be noted. However, I will focus on energy loss through TR to the MC.

As the table shows above, TR starts at 17 with a repeat of the P material in the submediant. This is a common signature of Dvořák. He quickly moves on to new thematic material, beginning at m. 26 in A minor, all the while still keeping pentatonicism at the fore. Energy through this section is high; the first violin is in charge of the melody, while the lower three voices are busy with sixteenth-note figures. *Sforzandi* and accents are rampant through this section, and the prevailing dynamic is *fortissimo*. However, the energy peaks at m. 36 where the *fortissimo* dynamic appears for the last time in the transition. The cello plays constant sixteenths for six beats, which is the most energy this part has exuded so far.

However, the energy quickly begins to subside as the two inner voices begin to play longer note values, and the first violin part begins to drop in register, focusing more on the middle range of the instrument.

At this point, Dvořák tries to reach an MC, although there is still more energy that needs to dissipate before its articulation. He attempts to cadence twice, but the second cadential attempt has significantly less energy: by this time the prevailing dynamic through the ensemble is *pianissimo* whereas the first time it was still *fortissimo*. Additionally, the first violin is hampered by the B $\flat$ , and therefore not able to jump up as high. In other words, the melody feels more restricted, almost giving into the MC at m. 43.

**Example 3.6** Transition and MC in Op. 96.

The image displays a musical score for Example 3.6, consisting of two systems of four staves each. The first system covers measures 35 to 38, and the second system covers measures 39 to 43. The score is written in 3/4 time and includes dynamics such as *ff*, *f*, *p*, *pp*, *ppp*, and *dim.*. The first system is marked with *ff* dynamics, while the second system shows a transition to *p* and *ppp* dynamics, with markings for *rit.* and *in tempo*.

The analyst is able to track musical forces through this TR as well. Musical gravity is at work because the first violin part systematically moves down from E5 in m. 36 to E4 in m. 43. An even more foreground-level analysis shows that the first violin melody goes down from E5 in m. 36 to A4 in m. 38. When the melody tries to jump up one last time, it is



hampered by the Bf in m. 41. Since the Bf is a chromatic pitch, it is inherently unstable. Therefore, it gives in to musical magnetism to scoot back to the A. Finally, the overarching sense of energy loss given the other musical parameters of dynamics and register show that musical inertia is at work as well. The overall pattern is downward, and the *ritardando* in the last measure of TR solidifies that musical inertia.

### Conclusion

While the articulation of the MC is usually fairly straightforward topic in 18<sup>th</sup>-century sonata literature, the lines become increasingly blurred in 19<sup>th</sup>-century repertoire. However, when trying to bridge the gap between clear and blurred, Antonin Dvořák's sonata forms are a beneficial vehicle as he uses techniques from both traditions. Using Steve Larson's theory of musical forces is a way to understand energy loss before S because the de-energizing transition strategies that Dvořák uses follow his theory quite closely.

This chapter shows that the perceivable point of MC attenuation can start much before the actual MC articulation. Additionally, energy loss can happen either before or after the MC has been reached—even MC feints can be detected by using musical forces to search for the real MC. Hepokoski and Darcy contend in their treatise that “If there is no MC, then there is no S.” This study corroborates that assertion, but with a caveat: the range of analytical tools needs to be expanded to welcome 19<sup>th</sup>-century expositions.

## CHAPTER IV

# PROPORTIONING IN DVOŘÁK'S SONATA SPACE

### INTRODUCTION

Scholars of Sonata Theory are often concerned with formal divisions and how much material occupies each section of a piece of music. One such formal division is the Essential Expositional Closure, or EEC, which Hepokoski and Darcy define as “the first perfect authentic cadence that proceeds onward to differing material.”<sup>72</sup> A complicated definition at best, Hepokoski and Darcy (hereafter referred to as Hepokoski and Darcy) subsequently spend many pages explaining various exceptions to this rule, including instances of multi-modular S themes, the revitalization of S after the EEC, and, more generally, EEC deferrals. All of these deviations from sonata norms thwart the attainment of the EEC. Multi-modular S themes allow the composer to “let S pass through differing and expressive modules, as if seeking the right one to produce the EEC,” while S revitalization is seen where we think we have heard cadential closure, but instead “fall a few measures later into a perhaps slightly varied repetition of the music that had led to the earlier, presumed-EEC cadence.”<sup>73</sup>

Although Hepokoski and Darcy spend a lot of time discussing individual instances when formal sections are longer or shorter than expected, they spend less time exploring the extent to which formal proportioning in general plays a role in our experience of listening to a sonata form. This could be because Hepokoski and Darcy say that “there is no way of predicting what proportion of part 2 of an exposition (S- and C-space) will be occupied by S

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<sup>72</sup> Ibid.

or C.”<sup>74</sup> They then give many specific examples of proportions of S and C in particular pieces, but, again, they do not make generalizations about formal proportioning as a broader phenomenon.

**Figure 4.1** provides a chart that Hepokoski and Darcy present in their book. It reveals four possible EEC placements, each with more and more discursive material in S-space. The first EEC placement shows only one S theme phrase. This is usually an eight-measure phrase, ending quickly with a cadence in the dominant. Typically, an exposition with an EEC this early would have much closing material, which Hepokoski and Darcy would notate as C<sup>1</sup>, C<sup>2</sup>, etc.

**Figure 4.1.** EEC Placements in S (reproduced from Hepokoski and Darcy 2006, Fig. 7.1.)

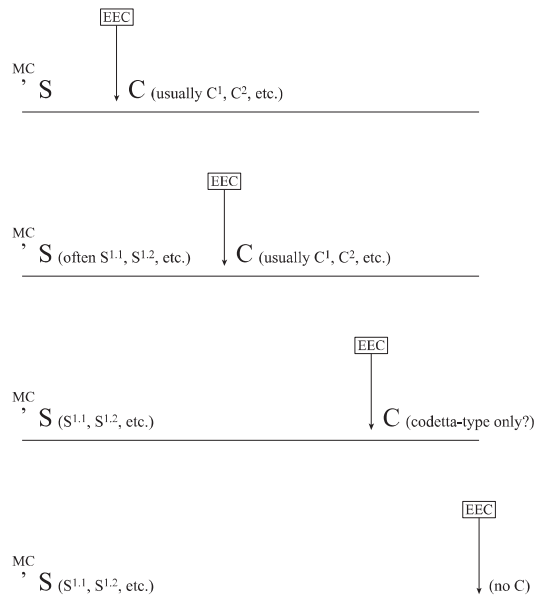


FIGURE 7.1 Varying Placements of the EEC within Part 2 of the Exposition

<sup>74</sup>Ibid., 152.

Despite the “first successful cadence” norm that Hepokoski and Darcy describe, there are usually more iterations of S (Hepokoski and Darcy’s nomenclature would be  $S^{1.1}$ ,  $S^{1.2}$ , etc.), thereby shortening C-material. As S-space becomes more discursive, C-space becomes more condensed, leaving only a small codetta, or no C-material at all.<sup>75</sup>

Of these four types of S themes, the last one is the least common. As Hepokoski and Darcy note, this kind of S theme is found in music by Haydn, Mozart, and Beethoven, but each composer treats the situation differently. Notably, though, Schubert pushes the EEC back with some regularity. One such S theme adventure can be chronicled in the first movement of Beethoven’s Fifth Symphony. Hepokoski and Darcy provide a perfect way to describe the second half of the exposition:

Following the horn signal articulation of the MC in mm. 59–62 (which deformationally combines features of MC and caesura-fill), a *dolce* S sets forth in m. 63, passes through a middle section out of which it pulls itself, in a grand crescendo of growing will, into a decisive module of heroic confidence (mm. 94–101). The moment of the EEC (m. 110) is celebrated with a P-based C (mm. 111–22), here transforming the original fatalistic motive into a victory shout of temporary overcoming.<sup>76</sup>

What is most unique about this analysis is the constant mention of struggle and strife. This S theme takes up almost half of the entire exposition, mostly a result of its expansive middle section that Hepokoski and Darcy describe (mm. 63–94). Beethoven is a master of developing a small theme; he takes the motive initially heard in the first violin part and subsequently passes it through the orchestra. He then varies it, fragments it, and manipulates

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<sup>75</sup> Ibid., 124.

<sup>76</sup> Ibid., 125.

it into other keys in order to prolong the S theme. Then, beginning in m. 83 he takes a fragment of the initial motive found in mm. 63–66 and gets stuck on a stepwise Ef–F–Gf motive for ten measures before breaking the cycle and transitioning to another S theme (S<sup>1,2</sup>) beginning in m. 96 (the anacrusis begins 2 measures earlier). Still we find no PAC even though we have new material in the key of the relative major. Instead, Beethoven waits for even more heroic P-based motive to articulate the EEC at m. 110. While the S theme in this piece is just under 50 measures, the exposition flies by so quickly that we reach the expositional repeat before we can even blink. Typical tempo markings pin the first movement to 108 to the bar, which means that the S theme elapses in just over half a minute.

Although the technique of discursive S themes at the expense of the C-theme happens occasionally in 18<sup>th</sup>-century sonata forms, it becomes more of a feature in Dvořák's sonata forms, and in 19<sup>th</sup>-century sonata forms in general. Deferring the EEC is one of the main ways that Dvořák modifies and updates a typical 18<sup>th</sup>-century sonata form feature. In fact, proportioning in sonata expositions from the 19<sup>th</sup>-century in general take on a different character, as S-zones are typically more expansive. In Chapter 2, I discussed two pieces, Dvořák's op. 61 and Schubert's D. 956, both of which have extensive second themes and almost non-existent closing material. But the discussion was left there, and I simply stated that the EEC comes late in the exposition, therefore not leaving much time for a discursive closing theme.

In this chapter, I show several examples of how Dvořák extends S-rhetoric in order to heighten the dramatic tension leading up to the attainment of expositional closure. I begin with the C-major string quartet, op. 61, discussed in Chapter 2, which features a three-key exposition that delays the attainment of the dominant tonality, and develops the V material

as a “pseudo-closing” theme in order to keep delaying closure. Next, I analyze two pieces in tandem, the piano trio op. 65 and Dvořák’s penultimate quartet, op. 106 in order to show how thematic development in just one key postpones expositional closure. Third, I introduce formal ambiguity as it relates to expositional closure, a case where the delay of the S theme prompts analysts to reconsider its placement to another more deformational key earlier in the exposition. In explaining this concept, I use Dvořák’s *American* quartet as a case-study. Finally, I close with Dvořák’s string quintet, op. 77, a piece whose expositional closure does not come from achieving a late cadence in the dominant, but rather, raises questions about whether we even reach structural closure in the exposition. Before starting my analyses, it is important to situate my argument between the two biggest texts on *Formenlehre*. Hepokoski and Darcy and Caplin have different views on expositional closure, and I will engage both sides of the argument in the next few paragraphs.

### **Hepokoski and Darcy’s Sonata Theory vs. Caplin’s *Classical Form*: Two Viewpoints**

Above all, Hepokoski and Darcy privilege the “first-PAC rule” in determining the close of S. However, William Caplin, in his treatise *Classical Form*, tends to place the structural closure of the exposition much later, and divides the second part of the exposition into a series of “subordinate theme groups” with the closing theme only consisting of one or more codettas. In fact, there has been a feud brewing between Hepokoski and Darcy and Caplin regarding proportioning of what Hepokoski and Darcy call the S theme and what Caplin calls the “subordinate theme.” Although Hepokoski and Darcy present the “first PAC” rule as more or less of an axiom, they mention a myriad of exceptions to the axiom, in

which, to quote Mark Richards, can show up “uncomfortably too early.”<sup>77</sup> In other words, EEC deformations can outweigh their norms in 18<sup>th</sup>-century expositions. Hepokoski and Darcy also argue that the cadence defining the EEC “need not be—and often is not—the strongest cadence within the exposition,” but rather, a strong cadence might occur in the closing theme.

This is where William Caplin’s view proves useful. Caplin’s structural ending of the subordinate theme also ends with a PAC, but Caplin insists that a subordinate theme must have “two or more themes, [thereby] forming a *subordinate theme* group.”<sup>78</sup> More specifically, each of these themes end with a PAC. He asserts that the *last* PAC of the subordinate-theme group marks the end of the exposition, rather the first. There is no such thing as a “closing theme,” but instead, just a “series of codettas.”<sup>79</sup> Caplin thinks of a sonata form—and, more specifically, an exposition—as a series of nested “beginnings, middles, and ends.”<sup>80</sup> A sonata form’s exposition is the beginning, the development serves as a medial function, and the recapitulation serves as the ending function. Zooming into the expositional level, the “main” theme as the beginning, the transition as the medial function, and the “subordinate” theme

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<sup>77</sup> Mark Richards, review of *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, by James Hepokoski and Warren Darcy, *Gamut* 3/1: 2010, Accessed February 7, 2017, <http://trace.tennessee.edu/cgi/viewcontent.cgi?article=1048&context=gamut>

<sup>78</sup> William Caplin, *Classical Form: A Theory of Formal Functions in the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998), 99.

<sup>79</sup> Caplin, “What Are Formal Functions,” 29.

<sup>80</sup> I realize that Caplin is talking exclusively about music written by Haydn, Beethoven, and Mozart, and not Dvořák, but it is important to show the directly oppositional viewpoint to that of Hepokoski and Darcy. As I aim to show, and will become more clear as the chapter progresses, many 19<sup>th</sup>-century expositions render this feud moot as cadential evasion and phrase lengthening come to the fore, rather than phrases ending cleanly with a PAC.

as the ending function. While not essential to the main aspects of an exposition, he refers to slow introduction and codas as framing functions.<sup>81</sup>

In other words, Hepokoski and Darcy’s first PAC and Caplin’s “last PAC” are sometimes at odds. Hypothetically, what if we took the second half of an 18<sup>th</sup>-century exposition and excised everything between where Hepokoski and Darcy label the EEC and Caplin labels the end of the subordinate theme group? Would this material be “essential” to the success of the exposition? Would the exposition still work as planned? Rhetorically, I argue that it would, and the debate between Hepokoski and Darcy’s view and Caplin’s view would be moot. Now, let us look at an exposition where that happens.

**Table 4.1.** Measure Number Delineations for Mozart K. 333 Exposition

P-Theme	Transition	MC	S-Theme	EEC	C	EEC Percentage
1–10	11–22	22	23–37	38	39–63	61.9%

Consider Mozart’s piano sonata in B $\flat$  Major, K. 333. In this piece, the proportioning is even more heavily concentrated on closing material (see **Table 4.1**). The exposition is essentially broken into thirds, with P and TR occupying the first third, S occupying (a little less than) the second third, and C rounding out the exposition. However, if we delete all but the last few measures of what Hepokoski and Darcy call closing material, or mm. 38–58, the definition of expositional closure furnished by both Hepokoski and Darcy and Caplin would be the same. When recomposed, the exposition could functionally work without these twenty measures, although, admittedly, its overall length would sound truncated. The recomposed version would simply include the first two phrases in the subordinate theme

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<sup>81</sup> Caplin, “What Are Formal Functions,” 23.



(mm. 23–37) and the last few measures of codetta. Therefore, in this case, the first PAC would be the end of S, because everything that follows it is clearly cadential, not thematic.

This music is shown in **Example 4.1**.

**Example 4.1.** Mozart K. 333 S and C Themes with mm. 38–58 omitted.

While the recomposed version of Mozart's B $\flat$ -major piano sonata is unlike almost every 19<sup>th</sup>-century sonata form, it reveals a sort of template from which 19<sup>th</sup>-century composers are able to jump. At times, Dvořák prolongs his discursive S-material in order to have a more thematic C, almost as if it was pretending to be S. Incidentally, in the expositions examined in this chapter, Dvořák delays the first PAC in the S theme in order to have it happen at the end of the exposition. What we see is the feud between the sonata theorists and Caplin begin to dissolve. S themes and subordinate theme groups become one in the same, as cadences are evaded and formal boundaries are pushed to the end of the exposition.

### Op. 61: The Three-Key Exposition Revisited

Let us now revisit the discussion of Dvořák's C-major string quartet, op. 61. While Chapter 2 concentrated on the many similarities (both sonic and formal) between the two pieces, this chapter will discuss op. 61 as it relates to sectional proportion in its exposition. As Daniel Partridge notes in his dissertation, this piece does not have clear formal markers like the expositions listed above. Rather, the formal divisions are clarified by Dvořák's voice leading practices.<sup>82</sup> The basis of his argument in his chapter is that linear voice leading processes usually end before a structural change to the form—that is, a particular linear intervallic pattern will play itself out before the end of a formal section. This allows Dvořák to spin out musical material in organic ways. One of Partridge's examples shows two different hypermetrical readings of what I call the P-theme proper, which starts at m. 24 and goes to m. 47. One reading allows the passage to be understood as two triple hypermeasures, while another reading could conceivably be read as three duple hypermeasures. What do triple and duple hypermeter have to do with formal proportioning in Dvořák's music? Dvořák is able to compose ambiguous phrase lengths in order to prolong sections, which ultimately contributes to the exposition's late rhetorical closure.

The hypermetrical ambiguity that Partridge discusses continues past the P-theme. Throughout S-space beginning in m. 69, Dvořák adjusts phrase lengths by lengthening and truncating musical phrases. In fact, sometimes he does not even complete each part of the phrase. Using Caplin's terminology, the first two measures of the S theme (beginning in m. 69) form the basic idea, while the second two mark a continuation, and the last two represent cadential function. Then, in subsequent phrases, Dvořák begins to truncate his

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<sup>82</sup> Partridge chronicles Dvořák's unique voice-leading strategies in the final chapter of his dissertation. Partridge, "Harmony, Form, and Voice Leading," 270–302.

ideas, breaking up the functions and only using parts of the original phrase. For instance, the next four measures (mm. 75–78) only include the basic idea and the continuation, before moving on to the following four measures (mm. 79–82) which do the same thing. So far, the S theme has lasted fourteen measures, with varying phrase lengths, and little phrasal variation. This gives the listener the feeling that the S theme is spinning out, which makes sense, as this portion of the exposition is the medial key of the three-key exposition, thereby not designed to have as much formal significance as the two main keys.

While spinning out little musical material, Dvořák also varies and develops the music found in the initial phrase throughout the S theme. Beginning in m. 79, Dvořák reimagines the S theme melody in F minor, which originally could be conceived as the structural predominant section of the form, if the theme were to stay in E $\flat$  Major. After moving it up one more time to G Major in m. 83, the music is finally able to move onto new material. Once at m. 83, Dvořák further truncates the motive, now only including the two-measure basic idea. He then begins the process of cadencing and achieving an EEC. The two-measure basic idea is morphed from a double-neighbor figure which outlines the minor subdominant. Nevertheless, the motive is still present all the way to a possible EEC, in m. 93. All of this is shown in **Example 4.2**.

**Example 4.2.** MC+Fill and S theme in Dvořák Op. 61



Hepokoski and Darcy's primary axiom regarding S is that the theme must be tonally stable—usually accomplished by a clear, linear descent from **5** to **1**. Ideally, as a first-level default, each scale degree will be harmonically supported; however, this does not always happen. In this quartet, structural **2** is hidden before the EEC in m. 93 since the resolution is articulated by a  $iv^6$  chord. Therefore, the moment of structural closure for the exposition is weakened. The only way to make a case for structural **2** in m. 92 is to take the A in the viola, thereby analyzing m. 92 as a  $iv^{add6}$  in G Major. While this does hold some analytical clout as a reminiscent sonority from the beginning of the movement, **2** is not easily heard in this context.<sup>83</sup> Therefore, I would not analyze an EEC at this point in the music. Even though different thematic material follows beginning in m. 93, the cadence is not strong. One would have to consider the new thematic material to trump the unorthodox harmonic motion in order to label an EEC at this point.

To compensate for the non-thematic first part of S, Dvořák composes an overly thematic closing theme. Ostensibly the most Czech part of the first movement, this theme is more tight-knit and starts with a normal four-measure phrase; a departure from the wandering S theme. The section is short; another potential EEC falls very close to the end of the exposition. These measures do still feel thematic, rather than closing. Furthermore, the theme is much more organized than the Ef-major section. The first four measures consist of a basic idea, with a continuation moving to a cadential pattern in the last seven measures of the theme. Finally, each structural tone can be traced in the *Urlinie* and cadential articulation is very clear. Since this is just a 3-line, **3** is located in m. 87, with **2** coming in the last measure before the closing theme begins. This is circled in **Example 4.2** There is very little

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<sup>83</sup> See Chapter 2 for a discussion of the opening harmonies of the quartet.

material for codetta—simply a tonic prolongation, which at once allows the exposition to repeat, and also allows for a P-based development. The closing theme can be seen in **Example 4.3**. However, the first measure of the closing theme is the last measure depicted in **Example 4.2**.

**Example 4.3.** “Closing” Theme in Op. 61

The image displays three systems of musical notation for the 'Closing' Theme in Op. 61. The first system, starting at measure 94, shows four staves (V1, V2, Vla, Vc) with dynamic markings *p* and *f*. The second system, starting at measure 99, includes dynamic markings *dim.* and *p*. The third system, starting at measure 103, is labeled 'Pseudo-EEC' and 'Pseudo-PAC' and features a first ending bracket over the final measure.

Ultimately, m. 104 would be where Caplin would choose to label a cadence to end the subordinate theme group. Hepokoski and Darcy are more concerned with having closing material after a PAC in the key of the dominant, which would mean that they would label an EEC at m. 104, just nine measures from the end of the exposition. However, the cadence at m. 93, even though not a PAC, seems more appropriate as an EEC for a few reasons. First,

the thematic material changes greatly; the music becomes more thematic. Second, the music is now squarely in G Major, rather than wandering to the key of the dominant. In short, this exposition is an example where Hepokoski and Darcy's feud with Caplin is still relevant even in a 19<sup>th</sup>-century sonata form. The remaining pieces that I analyze show that the two camps' analyses would coalesce.

### **Elongated Expositions and the EEC**

EEC deferrals are incorporated into 19<sup>th</sup>-century expositions, as they are more common in pieces from that era due to the overall lengths of their forms. This is especially true in Dvořák's final string quartet in G Major, op. 106, and his F-minor piano trio, op. 65. In both cases, each exposition is elongated by cadential evasion and motivic development. First, I will examine op. 106, a piece written just after Dvořák's return to Prague from his American sojourn. The overall sonata length is beefed up in comparison to many of Dvořák's other works—it takes 74 measures to reach the MC, and subsequently, has an even longer S theme. But what aspects of its harmonic structure and motivic development allow Dvořák to grab the listener's attention throughout the exposition? I would argue that in this piece, it is the quick diversions to other melodic and harmonic material, thereby thwarting the listener's expectations, but at the same time, keeping them engaged.

Not everything about this S theme is unusual, however. The opening measures of the theme (mm. 81–88) feature a very textbook eight-measure phrase. Dvořák then repeats the first four measures of S (mm. 89–92) an octave lower in the 2<sup>nd</sup> violin part, but the music loses the forward motion to finish the rest of the phrase. Dvořák then begins to fragment the theme in order to create an impression of energy depletion. In doing this, he stretches the antecedent portion of the first phrase to five measures, and when the phrase attempts to

conclude, the music becomes stuck on a dominant lock. This  $V^7$  moves to a  $Bf^7$ , which completely zaps all energy from the S theme. The  $Bf$  dominant harmony eventually becomes a  $V6/5$  chord in B Major, further bringing the S theme off course. Please refer to **Example 4.4** for this section's music and other annotations.

**Example 4.4.** Dvořák Op. 106 S theme Beginning

The image displays four systems of musical notation for the beginning of the S theme in Dvořák's Op. 106. Each system consists of three staves: a treble clef staff, a bass clef staff, and a grand staff (treble and bass clefs). The key signature is one sharp (F#) and the time signature is 3/4. The first system, starting at measure 72, is labeled 'MC + Fill' and 'I: HC'. It features a melody in the treble staff with dynamics *pp* and *fz*. The second system, starting at measure 78, is labeled 'S-Theme' and includes dynamics *ppressivo*, *pp semplice*, and *pp semplice*. The third system, starting at measure 84, includes dynamics *cresc.*, *mf*, and *dim.*. The fourth system, starting at measure 89, includes dynamics *ppressivo* and *mf*.



Example 4.4 (Continued).

The image shows a musical score for Example 4.4 (Continued), spanning measures 94 to 100. The score is written for a string ensemble, with staves for Violin I, Violin II, and Cello/Double Bass. The key signature is B Major. The music features a prominent triplet of sixteenth notes in the second violin part, which is described in the text as keeping the second violinist busy. The first violinist maintains the original S theme melody. The score includes dynamic markings such as *dim.* (diminuendo) and *mp* (mezzo-piano). The measures are numbered 94, 100, and 100 at the beginning of the respective systems.

There is a resurgence of S-material, but now in B Major (mm. 108ff.) Triplet sixteenths keep the second violinist busy while the violist plays sixteenths. This rhythmic density gives the S theme new life, albeit in a completely wrong S theme key, tonicizing the enharmonic Neapolitan of the subordinate key. All of this is happening while the first violinist maintains the original S theme melody. At this point, the listener searches for an EEC, but then the B $\flat$ -major tonality returns quickly (m. 114.) Beginning in m. 116, Dvořák articulates a ii chord. He spins out this harmony as he begins to bring the entire ensemble up to the upper section of their respective registers, all the while repeating the motive found in the first measure of S. This is followed by yet another energy-zapping module, beginning at m. 121.

Dvořák starts again in m. 128 which should now lead to the EEC. The phrases continue to be elongated. Right here, he starts with a two-measure basic idea, and pairs it with a four-measure continuation, and leaves off the cadential part of the phrase. Then, from mm. 133–141 the music meanders through predominant space in order to reach the cadential six-four in m. 141. Essentially this music could be excised—it is extra material that

just makes the section longer and delays the cadence. Finally, the listener is appeased; Dvořák will achieve the EEC, but he has one more trick up his sleeve: a quick diversion to G Major in m. 145 which is quickly squelched by the move towards the EEC.<sup>84</sup> Dvořák is striving to reach structural closure at this point—dynamics are loud, and the instruments are all monorhythmic, working to achieve a PAC in Bf Major.

In this piece, the S theme occupies 75 out of the total 166 measures of the exposition; essentially half, since there is very little closing material. Incidentally, there is no way for the S theme to conclude any earlier. This is for two reasons: first, the characteristic motive from the S theme first presented in the first measure of the theme is rampant throughout, always reminding us of S. Secondly, there are no PACs in the second half of the S theme. There are two PACs in S, both in the first half, but similar S-material clearly follows these cadences. The only way to make the cadence come earlier in the form would be to trim down the extra harmonic diversions that Dvořák includes in the S theme. This includes the bracketed section in **Example 4.5** (mm. 135–140), or the 4-measure diversion beginning at m. 145. But this is chiefly Dvořák's aim—to spin out musical material for the sake of thematic and motivic development. The beginning along with the last half of the S theme is illustrated in **Example 4.5**.

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<sup>84</sup> Brian Black refers to this phenomenon as a “deflected cadence” in his article “Schubert’s ‘Deflected Cadence’ Transitions and the Classical Style,” in *Formal Functions in Perspective: Essays in Musical Form from Haydn to Adorno*, ed. Steven Vande Moortele et al. (Suffolk: Boydell and Brewer, 2015), 165.



Example 4.5 (Continued).

144 Diversion

148 Energy gain to EEC

153 EEC

PAC

When talking about proportioning in Dvořák's expositions, it is important to look at his recapitulations as it can clarify unclear sectional boundaries in his expositions. In the case of both op. 106, he extends the recapitulation for extended amounts of coda material. Specifically, he truncates part of the S theme in order to spend more time in the closing theme. The recapitulation starts in m. 264 with a more energized variation of the exposition's P-theme, but the similarities for the first part of the exposition and recapitulation end there. Dvořák then proceeds to truncate the rest of the first half of the recapitulation by introducing a new, sequential TR melody in order to achieve the S theme in G Major more quickly than in the exposition.

## Expansive Phrases in Dvořák's F-minor Piano Trio, Op. 65

Even though this piece was written about 15 years earlier, Dvořák's piano trio, op. 65 behaves similarly. In contrast to the sudden diversions in the S theme of op. 106, this trio has more of a forward trajectory built into the entire second half of the exposition, where the theme features a continual crescendo throughout. The S theme begins at m. 57, where the cello comes in at a *pianissimo* dynamic and slowly blossoms louder as the theme develops. The cello's melody lasts for fifteen measures, after which the violin enters, which repeats the first twelve measures of the cello's S theme. Already, we are seeing that Dvořák is trying to expand the theme. It could have been good enough for the theme to be played once, but he feels the need to include the other instrumentalist.<sup>85</sup> The first half of the S theme can be seen in **Example 4.6**.

**Example 4.6.** Op. 65 S theme Part 1 (mm. 53–76)

The musical score for Example 4.6, Op. 65 S theme Part 1 (mm. 53–76), is presented in two systems. The first system (measures 53–56) is labeled "MC'+Fill" and "S-Theme in tempo". It features a cello part in the first system and a piano accompaniment. The second system (measures 60–63) is labeled "S-Theme in tempo" and features a violin part in the second system and a piano accompaniment. The score includes dynamics such as *rit.*, *p*, *pp*, *pp espress.*, and *f*. The key signature is F minor and the time signature is 3/4.

<sup>85</sup> Coincidentally, this is something that Schubert does in the second theme of his string quintet, as discussed in Chapter 2.

After the two iterations of the initial S-material, Dvořák attempts to cadence and end the theme in order to proceed to the end of the exposition. However, the music experiences a series of false starts and hiccups. At the downbeat of m. 80, Dvořák gets stuck on a cadential 6/4 motive, repeating it twice, almost as if it is unable to cadence.

**Example 4.6 (Continued).**

The eventual PAC is evaded three measures later in m. 83 when Dvořák sounds an augmented sixth chord built on Bff, which further defers the EEC. This is labeled as Diversion #1 in **Example 4.7**. The violin is stuck in A Major (enharmonically) in m. 83 when the phrase restarts and attempts to cadence again, but the music gets waylaid one more time in m. 86 with an expansion motive. The cadential attempt is thwarted one last time in m. 93, and Dvořák doubles down with the same after motive found in mm. 83–84, even after three measures of cadential six-four motion from mm. 90–92. This time, however, the

piano breaks through the A-major rut started in m. 93 and reaches F# in m. 95 to articulate a D#-major harmony! At last, the music moves on and finishes the phrase, finding the EEC in m. 99.

**Example 4.7.** Op. 65 S theme Part 2 (mm.80-101)

The musical score for Example 4.7, Op. 65 S theme Part 2 (mm.80-101), is presented in four systems. Each system consists of three staves: a vocal line (top), a piano line (middle), and a bass line (bottom). The key signature is B-flat major. The score includes various dynamics such as *mp*, *f*, *p*, *pp*, and *cresc.*, as well as performance instructions like *pizz* and *arco*. The piece concludes with a final chord in E major (EEC) at the end of the last system.

- System 1 (mm. 80-84):** Labeled "Diversion #1". Dynamics include *mp* and *f*.
- System 2 (mm. 85-89):** Labeled "Expansion". Dynamics include *f marc.*, *mp pizz*, *dim*, *mp marc.*, and *dim*.
- System 3 (mm. 90-94):** Unlabeled. Dynamics include *p*, *pp*, *pp arco*, and *pp*.
- System 4 (mm. 95-101):** Labeled "Diversion #2". Dynamics include *cresc.*, *ff molto marc.*, *ff*, and *ff molto marc.*.

Example 4.7. (continued).

The image displays two systems of musical notation for Example 4.7 (continued). The first system, labeled with measure numbers 95, 96, 97, 98, and 99, shows a complex rhythmic texture with various dynamics such as *ff*, *f*, and *ff*. The second system, labeled with measure numbers 100 and 101, continues this texture, featuring a section marked *EEC* (Extended Exposition Coda) and a measure marked 100. The notation includes treble and bass staves with intricate rhythmic patterns and dynamic markings.

**Dvořák's Altered Recapitulation in Op. 65**

In the case of the recapitulation in op. 65, Dvořák largely leaves the first half of the exposition and corresponding measures in the recapitulation unaltered. There are two places where he alters the recapitulation, however. One place, he alters for thematic variety, and the other time he changes things in order to find the correct key for S. The first is from m. 182 through m. 196, where he excises what would have been mm. 7–16 in the exposition. Largely, this does not have an effect on proportion, but it is a notable change because it is completely new material that did not exist in the exposition. The second alteration is more important, as it allows Dvořák to find F Major for the S theme. Beginning in m. 227, he repeats the opening of the exposition and inserts them in the middle of TR in the recapitulation, and then quickly adapts the material found directly before the MC in the exposition to fit as the MC in the recapitulation.

However, Dvořák allows for much more coda material in his trio than in most of his other pieces. He composes fifty-one measures of coda; largely P-based material. In my view,



this is needed in order to make the proportions work, and for the work to be understood conceptually as well. If Dvořák had simply included four measures of C-space as he did in the corresponding section of the exposition, the piece would not feel complete. The movement would end abruptly without any kind of closure. With the addition of these measures, the movement continues to feel stately and majestic.

### **The *American* Quartet—A (Potentially) Hidden S?**

There is no question that Dvořák's most famous work for chamber music is his iconic "American" quartet. Otakar Sourek writes that this composition allowed Dvořák a reprieve from the hustle and bustle of New York, and the quaint nature of Spillville, Iowa enabled this quartet to be more serene and tranquil.<sup>86</sup> Many scholars, including Hartmut Schick, claim this quartet to be the most autobiographical. Not only does the music sound serene, it was an actual reprieve for Dvořák's mental health. Because the P-theme is first presented in the viola, Schick also contends that this quartet has an autobiographical slant; after all, Dvořák had already had a career as a successful violist earlier in life. As to whether this quartet is based on "American" or "Czech" themes, I will leave the debate to other scholars. This piece is a diversion from other pieces in Dvořák's oeuvre. The quartet is very much a bucolic experience, with pentatonic melodies flowing throughout. In a sense, it is the most typically German work written so far. However, I am less concerned with the music's soundscape, but more interested in its formal markers, and how Dvořák proportions the main sections of the piece.

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<sup>86</sup> Otakar Sourek, *The Chamber Music of Antonin Dvořák*, trans. Roberta Finlayson Samsour, (Prague: Artia, 1952), 96.

**Example 4.8.** Dvořák Op. 96 Opening Measures (1–10)

The musical score for Dvořák's Op. 96, measures 1-10, is presented in two systems. The first system (measures 1-4) features Violin I and II playing a rhythmic accompaniment of eighth notes, while the Viola and Cello play a melodic line. The tempo is marked 'Allegro ma non troppo' and the key signature has one flat. The second system (measures 5-8) continues the melodic development in the Viola, with increasing dynamics from *mf* to *fz*. The score includes various musical notations such as slurs, accents, and dynamic markings.

Proportioning is even more striking in this movement compared to the forms discussed so far in the chapter. In his other works, Dvořák favors substantial S themes and little amount of closing material. In the case of the *American*, Dvořák spends most of the exposition in P and TR space. In the 63 total measures in the exposition, P and TR occupy 43 of those measures. The last twenty measures feature an S theme that is even more bucolic than the beginning. While it could be emblematic of the peace that he finally found after the bustle and bustle of New York City, it is more indicative of his Czech roots, and subsequently, his tendency to invoke Czech-like themes towards the end of his sonata

expositions.<sup>87</sup> Benedict Taylor discusses pitch collections in Dvořák’s works written around his time in America.<sup>88</sup>

However, not everyone reads the exposition of this piece with the same proportions. In fact, some people believe that S comes before the quiet, gentle theme beginning in m. 43. Therefore, what I call the S theme would be the closing theme in their view. Hepokoski and Darcy’s discussion on proportioning would certainly make the listener think that there should be some kind of closing material in addition to the four-measure P-based material found at the very end of the exposition. In my view, however, the A-major theme at m. 43 has to be S-material. It has to be an S theme because there is no preparation for S anywhere else in the exposition. One could argue (and others, including Schick have) that there is thematic material beginning at m. 26 in A minor. I call this section “Pre-S”—the theme is not S-like in any way; in fact, it is not even thematic. One would be hard-pressed to label these measures as an S theme on Hepokoski and Darcy’s terms, as there are no MC-like qualities preceding it, except for a rhythmic energy gain. Nevertheless, the more S-like theme occurs much further into the exposition. This section is depicted in **Example 4.9**.

**Example 4.9.** Op. 96 Pre-S and S theme (mm. 24–31, 39–44)

<sup>87</sup> This also happens in Op. 61.

<sup>88</sup> Benedict Taylor, “Modal Four-Note Pitch Collections in the Music of Dvořák’s ‘American’ Period,” *Music Theory Spectrum* 32/1 (2010): 44–59.

Example 4.9 (continued).

The musical score for Example 4.9 (continued) consists of two systems of music. The first system, measures 28-32, is in F major and 3/4 time. It features a piano (p) and forte (f) dynamic range. The second system, measures 33-39, includes a section labeled 'S-Theme' starting at measure 37, marked 'rit. MC' in tempo'. The dynamics range from ppp to sfz.

While there is some evidence that S can come so late in the exposition, the clincher is that the exact theme found at m. 44 returns in the recapitulation in F Major, while the A-minor section in the exposition returns in the recapitulation still in F minor. In other words, recapitulatory closure does not happen until the S theme comes back in the tonic. As we can see in **Example 4.10**, the first phrase of the recapitulation's S theme is only analogous to the exposition; the second phrase moves to the cello voice, which takes off to find structural closure in F Major. In a sense, the recapitulation's S theme is more "S-like," because there exists an entire eight-measure phrase after the initial four-measure one. On the other hand, this theme is in dialogue with what Hepokoski and Darcy would call a closing theme, but in my analysis, the presence and completion of S usurps its C-theme features. What follows in m. 168 is a coda proper; what could be seen as a real closing theme in Hepokoski and Darcy's terms. In spite of Hepokoski and Darcy's analysis, Caplin would deem the final

cadence of the subordinate theme group five measures later, in m. 173, where the only functional harmonies articulated are dominant and tonic.

**Example 4.10.** Op. 96 Recapitulatory S and C Material

**An Argument for Sonata Form in Op. 77**

Proportioning in sonata form comes through in many different, and in the case of Dvořák’s music, uncommon ways. None more evident is his string quintet in G Major, op. 77. While very deformational in a number of ways, the quintet still sounds like a sonata, and makes sense without possessing all of the necessary characteristics of a sonata form.

Composed in 1875, and originally called op. 18, it was written when he was beginning to find his voice in the chamber music genre. Originally five movements, the piece was edited for publication by Simrock in 1890 at which time Dvořák excised the second movement and created a separate opus: Nocturne for Strings, op. 40. The quintet was written for the Prague Artistic Circle, an organization that initiated a composition competition for “impoverished” composers. Dvořák won the prize unanimously, and the committee preferred this composition over the others because it possessed a “noble theme, the technical mastery of the polyphonic composition, the mastery of form, and...the knowledge of the instruments,”<sup>89</sup> thereby starting the upward swing of his success in the chamber music genre.

Since this work was written in 1875, before he had publically displayed his chamber music abilities, Dvořák thwarted some of the key sonata principles that make for a successful sonata form. One of these principles is the lack of an EEC in the exposition. For many analysts, this would prove too deformational (to borrow a word from Hepokoski and Darcy’s treatise) for a sonata to function. However, Dvořák achieves formal closure in the recapitulation by providing a bona fide ESC. In other words, the recapitulation is altered *just* enough to allow the exposition’s lack of closure to make sense in terms of closure in the recapitulation.

**Table 4.2:** Measure number delineations for exposition of Op. 77.

Intro	P-Theme	Transition	MC+Fill	S-Theme	EEC	C-Theme	Retransition
1–14	15–28	29–41	41(41–2)	43–75	NONE!	NONE!	76–81
	G Major		V: V4/2 [!]	F Major!			V: G Major

<sup>89</sup> Frantisek Bartos, “String Quintet in G Major, Op. 77,” program Notes for String Quintet in G Major, op. 77. (Praha: Státní Nakl. Krásné Literatury, Hudby a Umeni, 1958).

The exposition begins with a thematic introduction of the main motive; a seven-note theme that will pervade the entire movement. After this motive sequences through C Major and A Minor, Dvořák moves onto a dominant lock to end the introduction. P-theme material begins swiftly at m. 15, with a jovial P-theme. The triplet from the introduction remains, and instead of appearing on beat 3 in the introduction, it moves to beat 1. Transition material begins in m. 29, where the motive from the introduction returns. The first four-measure phrase remains in G Major, but the second phrase of TR starts to move towards F Major, the eventual key of S. The first B $\flat$  is introduced in m. 34 in the bass part—almost stopping the phrase in its tracks. This B $\flat$  never fades, and moves down chromatically to G, and then to the MC at m. 41.

At this point, an S theme on  $\text{f}^7$  is uncommon, but it seems to work in this context. Dvořák moves the triplet to beat 2 in the measure, and creates an ostinato-like S theme. What is very unusual about this S theme is that the end of the first phrase cadences in G Major, almost as if he does not ever leave the P-theme key. Immediately following, however, are plenty of F $\flat$ s to get back to F Major. Dvořák repeats the S-material again—this time, with a sixteenth-note *ossia*. This time, we get stuck at the pre-dominant area in the phrase. Please refer to **Example 4.11** for the MC and S theme of this piece.

**Example 4.11.** MC+ S theme of Op. 77 (mm. 40–52)

The musical score for Example 4.11 consists of four staves. The top staff is the treble clef, and the bottom two are the bass clef. The key signature is one flat (F major/G minor), and the time signature is 3/4. The score begins with a piano (p) introduction marked 'dim.' and 'pp'. The main theme (S) is marked 'p' and 'dim.', and is followed by a section marked 'pp' and 'ossia'. The score includes dynamics like 'p', 'dim.', 'pp', and 'pp leggiero', and articulation like 'staccato' and 'leggero'.

Example 4.11. (continued).

The image shows two systems of musical notation. The first system consists of four staves: a vocal line (treble clef) and three piano accompaniment staves (treble, alto, and bass clefs). The second system also consists of four staves, with the vocal line and piano accompaniment. The piano accompaniment features a prominent bass line with a 'cresc.' marking. The vocal line has a 'p cresc.' marking. The system concludes with the marking 'G:PAC!'.

The listener expects a cadence in F Major to finish the expositional rotation, but it never comes. All hope is lost once Dvořák introduces B $\flat$ s beginning in m. 65. By m. 70, it is obvious that the exposition has thwarted any kind of EEC, and m. 76 ushers in the re-transition back to the expositional repeat. The return back to G Major for the Retransition is shown in **Example 4.12**.

Example 4.12. Expositional Retransition to the repeat

The image shows a musical score for a retransition section. It consists of four staves: a vocal line (treble clef) and three piano accompaniment staves (treble, alto, and bass clefs). The piano accompaniment features a prominent bass line with a 'cresc.' marking. The vocal line has a 'cresc.' marking. The section is labeled 'Retransition' and concludes with a 'ff' marking.



Example 4.12 (Continued).



Table 4.3. Measure number delineations for the Op. 77 Recapitulation

P-Theme	Transition	MC	Fill+ S-deferral	S-Theme	ESC	C-Theme	Coda
160	172	184	184–208	209	256	256–270	271–287
Gm:	GM:	V: V4/2[!]	FM=> GM	GM: [!] Finally	GM:		

How does Dvořák reconcile these unique compositional choices in the recapitulation? Basically, he elongates the recapitulation in order to settle the exposition's quirks, and the formal delineations are shown in **Table 4.3**. Sneakily, Dvořák begins the recapitulation in the middle of the corresponding section in the exposition. It also starts in G minor. The listener does not realize that the recapitulation has begun until TR material begins in m. 172, which can be seen in **Example 4.13**. From there, everything up to the MC corresponds with the exposition, but instead of moving straight to the S theme two measures after the MC in the exposition, Dvořák reverts back to the initial TR material from the exposition, but this time in F Major. This allows the motive to lose energy after the MC as many of Dvořák's other expositions function this way.

**Example 4.13.** Recapitulation's MC and Subsequent TR Diversion

Musical score for Example 4.13, showing measures 184 to 209. The score is in F Major and features a TR Material section starting at measure 184. Dynamics include *dim.*, *pp*, and *p*. The section is labeled "TR Material in F Major".

Finally, at m. 209, the S theme finally returns in the tonic. The next twenty-five measures correspond to what happens in the exposition, which is shown in **Example 4.14**.

**Example 4.14** Recapitulation TR's Energy Loss and First Measure of S

Musical score for Example 4.14, showing measures 209 to 234. The score is in G Major and features an Energy Loss to S section starting at measure 209. Dynamics include *p*, *dim.*, *pp*, and *pp*. The section is labeled "Energy Loss to S" and "S in Tonic!".

Later on, Dvořák moves the melody down one step in the last two beats of m. 234, in order to cadence in G Major. Dvořák reaches the dominant in m. 235, but the theme is further elongated with a variation of the motive which introduced the recap, beginning in m. 239. This is his way of getting back to the tonic after the S theme cadences in A Major rather than G Major. The last few measures of the altered material in the recapitulation are shown in **Example 4.15**.

**Example 4.15.** Recapitulatory alteration to return to G Major

Slippage from A down to G

The image shows a musical score for a piano piece, specifically a section titled "Slippage from A down to G". The score is written for four staves (two treble and two bass clefs). It begins at measure 234. The key signature is G major (one sharp). The score features various musical notations including slurs, accents, and dynamic markings such as *dim.* (diminuendo) and *p* (piano). The music consists of intricate melodic lines and rhythmic patterns across all staves.

Essentially, this is a riff on the dominant lock found in the introduction in the exposition—a delay to the ESC, in other words. The ESC finally comes in m. 256, where Dvořák reverts back for seven measures of music from the P-theme. He finishes the movement with altered material from the introduction, and ends finally, and boisterously, with an *accelerando* to the end, peppering in both introduction and S material.

In terms of sonata rhetoric, this piece does not behave appropriately; in fact, one may argue that the mere absence of formal closure in the exposition disqualifies it from being a sonata. But does that lack of an EEC in the exposition truly disqualify its sonata-worthiness? Does the move from G Major for the first half of the exposition, to F Major in the S theme weaken its rhetorical power? I would argue not. In fact, I would contest that sonata-attuned listeners recognize the closure in the recapitulation and make sense of the exposition in terms of what they hear later. For the casual listener, I would wonder if they would even notice the unlikely **f7** S theme in the exposition. Surely, they would notice that there is indeed a second theme, but its unique tonality would probably be not as noticeable.

## Conclusion

Formal proportioning is an understudied aspect of sonata form, and can lead to more avenues for analysis if examined closely. In my chapter, I point out that Dvořák's large-scale deferral of rhetorical closure in expositions is realized in a number of ways. In op. 61, it is "corrected" by extended coda material after the main material in the recapitulation ends in E Major, rather than the tonic of C Major. In op. 65, there is extended coda material in order to remedy the abruptness of C material in both the exposition and the recapitulation. Finally, in op. 77, rhetorical closure is not only remedied in the recapitulation, but coda material solidifies that it the piece does indeed end in G Major. The odd tonality in the second theme is thereby overwritten by a delay of S-material in the recapitulation. My analysis also re-contextualizes the EEC vs. subordinate theme group debate that Hepokoski and Darcy along with William Caplin maintain. In fact, this debate renders itself moot in many contexts in Dvořák's music. In other words, rhetorical closure happens so late in the form, that the terms "S theme" and "subordinate theme group" can be one in the same. I hope this study engenders more discussion to proportioning in sonata form movements.

## CHAPTER V

### CONCLUSION

#### **Final Thoughts on Dvořák's Reception**

I opened this dissertation with a discussion on Dvořák's place in Western art music. Being Czech, Dvořák was not afforded many of the privileges his German counterparts received. Since Dvořák came to prominence in a time when there was much strife between the German elite and the Czech populace, Germans claimed him as one of their own when it was convenient for them, which happened rarely, but also were quick to invalidate his positive qualities if warranted. In other words, Dvořák's reputation as a successful composer was highly politicized. Unlike his critics, Dvořák was a fairly uninterested in politics. He was interested solely in dedicating himself to the music he was composing. Still, the criticisms of Dvořák's compositional style were rampant throughout his life. Theodor Helm wrote the following in 1883 following a concert of Dvořák's *Second Violin Concerto*:

Here we see the harsh difference between talent and genius. Dvořák, in his pronounced popular character, is at times decidedly trivial, whereas Beethoven gives us a musical setting of country life in the poetic scene. At the same time even the unpretentious German folk tune is vastly more pleasant to German ears and hearts than the Czech idiom that Dvořák struggles into classical sonata form.<sup>90</sup>

Even a music theorist as celebrated as Donald Francis Tovey considered Dvořák's music as naïve. In fact his words are especially acerbic in describing his First Symphony.<sup>91</sup> Even as

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ění, 1958).

<sup>90</sup> David Broadbeck, "Dvořák's Reception in Liberal Vienna: Language Ordinances, National Property, and the Rhetoric of *Deutschtum*." *Journal of the American Musicological Society* 60 no. 1 (2007), 103

much as these writings paint Dvořák reception and his music in a negative light, I hope that my writing characterizes him more positively. In fact, I hope that I showed that his shrewd decisions were instrumental in developing a successful and robust body of chamber music works. His calculated decision to swiftly learn intimately the chamber music idiom by composing imitative works was chiefly the way that he developed his voice. And his imitation did not stop after the first six exploratory quartets—his voice still imitated Schubert throughout, with his long, expansive phrasing, and constant manipulation of thematic material.

Dvořák was such an ardent modeler on other successful composers, so his music makes for a good case study for implementing the concepts outlined in *Elements of Sonata Theory* into music from the 19<sup>th</sup> century. Much of my dissertation explains how Dvořák thwarts sonata theoretical claims, such as MC attenuation and EEC articulation. At the same time, many of his compositional choices reflect normative procedures in a late-18<sup>th</sup>-century sonata. For example, all of the pieces that I examined achieve rhetorical closure (find an EEC) in the exposition except for one. And in that piece, rhetorical closure is normatively achieved in the recapitulation, almost as if it rewrites what happened in the exposition. Whether this is an amateur decision made for lack of knowledge of sonata form practices (many analysts and theorists before me would be quick to espouse that argument) such as his own biographer or a calculated move to thwart those same sonata norms, it provides a lively discussion of how Dvořák manipulates sonata structures, either purposefully or accidentally.

### **Future Research**

This dissertation simply scratches the surface for the analytical possibilities that can be explored using Dvořák's music. I chose to only cover several of his chamber works in depth,

rather than a cursory examination of his extensive chamber music output. Still, a more comprehensive look at his fourteen string quartets, four piano trios, five quintets (piano, viola, and bass) and other lesser-known works for chamber music provide ample material for analysis. In closing this dissertation, I would like to point out some potential avenues for future research beyond what I explored in this dissertation.

*Concepts for 19<sup>th</sup>-century music in general*

First, the idea of the exploring the de-energizing transition in 19<sup>th</sup>-century sonata forms beyond just Dvořák's implementation. In *Elements of Sonata Theory*, Hepokoski and Darcy remark that these types of transitions are more common in the 19<sup>th</sup> century than in 18<sup>th</sup> century, but no one has specifically explored just how composers achieve an MC while losing steam in TR. Plenty of scholars have also mentioned this phenomenon (including Peter Smith, and Graham Hunt,) but a full-blown analysis of multiple works by multiple composers would allow analysts to understand expositions more effectively.<sup>92</sup> Second, I would like to explore the concept of the delayed EEC in 19<sup>th</sup>-century works beyond the scope of what Dvořák does. Again, this is an aspect of sonata form in the 19<sup>th</sup>-century that is often touched on, but always explored more fully. While Chapter 4 focused on several of Dvořák's works, a study which puts more focus on the music of his contemporaries, or even earlier 19<sup>th</sup>-century composers would be a fruitful endeavor. For both of these topics, the repertoire could be diverse. Maybe it would only examine chamber music, or maybe it would include a small subset of composers that were active in the 19<sup>th</sup>-century, and look at sonata

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<sup>92</sup> Peter Smith, *Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in his Werther Quartet* (Bloomington: Indiana University Press, 2005), 123; also Graham Hunt, "The Three-Key Trimodular Block and its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65–119.

forms in orchestral music as well. There are as many ways to approach this topic as there is repertoire.

### *Sonata Practices in Dvořák's Orchestral Music*

Dvořák is best known for a handful of pieces, especially the Cello Concerto, op. 104, and his Symphony *From the New World*. Both of those pieces have also not been studied from a sonata theoretical perspective, and could be a direction for future research. Not only would it be worthwhile to look at Dvořák's most important contributions to the orchestral canon, but other, lesser-known pieces could be featured as well. Since I focused largely on chamber music, a similar project could be started on his orchestral music, thereby focusing on structural and formal aspects, his use of key areas and how they relate to sectional divisions, or motivic analysis to investigate how his nationalistic tendencies relate to sonata form in general.

Continuing on the nationalistic front, Dvořák is not the only Czech composer to come to prominence in the 19<sup>th</sup> century. Bedřich Smetana, who came a generation before him, rose to prominence in Europe as well. In fact, Dvořák used Smetana's music as a model for his own compositions, which undoubtedly built his nationalistic voice. To that end, I can imagine a project which does a few different things: it could compare the works of the two Czech composers, finding similar elements in each composer's work. This project could also include the music of other Czech composers, such as Smetana, or others. One could look for trends that emerged from their compositions, focusing on formal aspects, or other aspects, such as harmonic, motivic, or even textural elements. Finally, outside of the music theoretical sphere, many musicians have contended that Dvořák's music has important cultural aspects tied to the sound of "American" music. Therefore, situating these two



composers in a cultural context, and bringing their music to non-musicians in a series of lectures would be a worthwhile way to connect Dvořák's music, and the music of the late 19<sup>th</sup> century in general, to a broader audience.

At the very least, this dissertation brings Dvořák's music a little closer to the realm of typically studied composers in the 19<sup>th</sup>-century. After all, his music is very widely played, and typically well-received. It is important for me to point out the dearth of analytical work that has been done on his music, though. Instead of featuring his music in studies that depict a specific musical phenomenon, I feel that it is important to let his music stand on its own so that his compositional processes are featured. It will be then, that his music receives the analytical attention it deserves.

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