

Two Pages from the Autograph

All.^o *Symphonie in B.* *Sept. 1816 Schuberth*

Viol. I
Viol. II
Flaut.
Oboi.
Fagotti
Clari.
Piano

The first page of the autograph shows the beginning of the symphony. It features a series of staves for the various instruments. The top staff is for Violin I, followed by Violin II, Flute, Oboe, Bassoon, Clarinet, and Piano. The tempo is marked 'All.' and the dynamics include 'pp'. The score is handwritten and shows some corrections and markings.

8

The second page of the autograph continues the musical score. It features a series of staves for the various instruments. The tempo is marked 'All.' and the dynamics include 'pp'. The score is handwritten and shows some corrections and markings.

1 Schubert in 1816

If acknowledging that I am older than Beethoven was when he wrote the Seventh Symphony is a bit humbling, this symphony is *your* opportunity at being humbled. He wrote it in 1816—which means that he was all of nineteen years old. And yet it's a perfect gem of a work, devoid of some of the structural or pacing flaws that mark some of the early symphonies such as the second or the first movement of the fourth. Like Mendelssohn, Schubert wrote a perfect composition at a time when most composers are still figuring out their craft.

This is in direct contradiction with the frequently-encountered opinion that he wasn't much of a craftsman. Just about every writer of any worth tries to chip away at this misunderstanding, but the myth persists. At the age of 19 he was every bit as solid as Mendelssohn was at the same age and he had a melodic and harmonic imagination that Mendelssohn never matched. The 5th symphony is as marked by fine technique—structural, harmonic, melodic, orchestral—as it is by inspiration and warmth. Thus he is revealed as a master craftsman at a very young age—which is in keeping with Salieri's remarks about him, which would seem to indicate that Salieri thought the world of him. (It was Salieri who sought Schubert out as a pupil.)



This picture on the left is Schubert, age 30, in 1827—the year before he died. I like this portrait the best of all the ones I've seen because we see him without those little wire-rimmed glasses that seem to take over his entire face and also our thoughts about him. Schubert becomes a round little man with a receding hairline, fat cheeks, and those little wire-rimmed glasses. In too many portraits he looks like he has puffy little pig eyes squinting through those glasses. In this portrait we get a much better sense of him as what he must have been—a vibrant young man who was living life to the fullest. Beautiful eyes, sensual mouth. He lived at breakneck speed. From 1822 onwards there was a self-destructive streak to him caused I'm sure by the syphilis, which was often a fatal disease in those days—in fact, he

probably did die from it, although there are other claims. The point of the portrait is to see him in a less-idealized (and comic-book) fashion than the little cherubic melody-machine of *Lilac Time*.

1816 is a full eleven years earlier than the portrait—a third of his lifetime, in fact. He probably looked much the same except skinnier. Let's take a look as to where he was at age 19. To do this I think I want to back up a few years to 1813 and start from there.

1.1 1813 – 1814

Schubert left the Vienna *Stadtkovikt*—public arts high school—this year and entered a 10-month teacher’s training program. It seems that he gave in to family pressure and agreed to learn to be a teacher in his father’s school. So he moved back in with his family, where he was to live until mid 1816, at his father’s school on the Säulengasse. He began studying with Salieri at this time, taking two lessons a week. He sang in a choir at the Lichtenthal church. He was also bumming around with friends from the *Stadtkovikt*, including some who were to be with him throughout his life.

Consider that he would have been present at the premiere of the Beethoven Seventh—that benefit concert in which *Wellington’s Victory* was premiered as well. He would have heard the February 1814 concert in which the Seventh and Eighth were performed together. He would have heard the big 1814 revival of the final version of *Fidelio*. He was going to opera was much as possible, to the many concerts that sprinkled the Viennese landscape.

During 1814 he wrote a considerable amount of music—the second symphony is from this year, as is the Mass in F. He discovered Goethe and *Faust* during this year and wrote *Gretchen am Spinnrade*, the first of his many lieder to texts by Goethe.

1.2 1815

This is often called Schubert’s *annus mirabilis*, given that during this year he wrote no less than 21,850 measures of music—of which 11,072 are for orchestra. That’s astonishing just in terms of notating music as a copyist, much less composing it. It would be impressive enough if he were a full-time composer, but he wasn’t. He was teaching at his father’s school, still studying with Salieri, going to concerts, and doing some private teaching. Also bumming around with his many friends—Schubert was definitely a social animal.

Of course the output is uneven—his output throughout his life was uneven. But consider that among the works of that year are the third symphony (of which the finale is quite masterful), and amongst the 140 lieder of this year are *Heidenröslein* and *Erlkönig*. Nine solo piano works—including several of the sonatas. The Mass in G, probably his most often-performed Mass. It’s an amazing accomplishment, to say the least.

1.3 1816

After the single year of teaching in his father’s school Schubert had had enough and called it quits. It appears that he was also becoming increasingly at odds with Salieri, who was primarily interested in training him to write Italian opera seria—that being Salieri’s almost exclusive medium. So by the end of the year he was no longer studying with Salieri. However, the lessons were not wasted, clearly: he didn’t pick up the superb craft he displays in the symphony all on his own. (Although apparently he did acquire a lot of it just that way.)

It was during this year that he became acquainted with Franz Schober, a dashing, attractive, rather mesmerizing type who was full of confidence and big talk, from a wealthy family, something of a fraud in some ways. One can imagine the impact he had on little Franz Schubert, with his bad vision, short stature, and easily-bamboozled personality. In fact Schober is very much like Steerforth to Schubert's David Copperfield. He was one of the people who encouraged Schubert to stop teaching and to work as a composer. So mid-year he wound up living in Shober's house. For a while he lived with his friend Spaun at the home of a professor named Wallroth, but then he moved back to Schober's. Thus 1816 marks the beginning of Schubert's constant perambulations about, always looking for a place to live.

2 The Fifth Symphony

I'm going to quote Brian Newbould from *Schubert and the Symphony: A New Perspective* for this section because I think he introduces the work about as well as it can be introduced:

Schubert waited only five months before beginning his Fifth Symphony, in September 1816. Is this quick renewal of appetite a sign that he was bursting to say something radically different from what he had so recently said in his Fourth? To be sure, among the first six symphonies there is no sharper contrast between immediate successors than between these two. Schubert follows his first minor-key symphony with an irrepressible celebration of the major. Shedding the two extra horns required for the *Tragic*, he dismisses also the trumpets and drums, the clarinets and the second flute, leaving a trim early-Classical ensemble. For this ensemble he writes music so eighteenth-century in scale and design that one could believe that it would not have been much different if Beethoven, who had already published eight nineteenth-century symphonies, had never lived.

Yet, for all Schubert's wholehearted acceptance of a concept of symphony-writing rendered outmoded by his fellow-resident in Vienna, his Symphony No. 5 in B flat has a genuine vitality of utterance that has made it the most popular of all his earlier symphonies with twentieth-century audiences. The reason is that he speaks his adopted language with absolute naturalness and conviction; and he enriches it with idioms of his own, by which for the time being require no fundamental transformation of the language itself. In one sense, the Fifth Symphony could have been composed a good quarter of a century earlier. In another, it could not have been, because an essential part of its appeal is a warm affection for the parlance of musical works he grew up with—an affection emanating from Schubert himself and coloured by his personality. What one cannot say is that it is a wholly typical Schubert symphony. It is his only 'chamber symphony', if that is the term to denote the normal produce of the years 1750–90. To know the Fifth alone is to know a work of spontaneous charm, characterised by a near-Mozartian formal clarity and melodic purity and by a special compactness and consistency. To know Schubert's symphonies, or even his early symphonies, is another matter. Conclusions drawn from the Fifth are not necessarily applicable to the entire *oeuvre*.¹

¹ Newbould, *Schubert and the Symphony: A New Perspective*, pages 110 – 111

3 Mozartean Influences

Was Schubert moving into a back-to-Mozart phase in 1816? This symphony certainly owes a tremendous debt to Mozart and is in fact a kind of tribute to Mozart and the G-minor symphony in particular. Schubert had grown up with Mozart's music, which was very much part of his upbringing and his schooling. At the *Stadtkovikt* it was the norm to perform Mozart and Haydn symphonies—they were instant classics, as it were. He knew Mozart and Haydn inside out. The G Minor and the Beethoven Second were among his favorite works.

And of course he was growing up in Beethoven's Vienna. So he was fully aware of Beethoven—who wouldn't be? The Beethoven influence is profound—very much so up to about 1816, in fact. (We'll see some of those influences later.) But in 1816 he appears to have gone through a temporary anti-Beethoven phase in preference to Mozart. We find a diary entry of June 13, 1816 which reads:

As from afar the magic notes of Mozart's music still gently haunt me...Thus does our soul retain these fair impressions, which no time, no circumstances can efface, and they lighten our existence. They show us in the darkness of this life a bright, clear, lovely distance, for which we hope with confidence. O Mozart, immortal Mozart, how many, oh how endlessly many such comforting perceptions of a brighter and better life hast thou brought to our souls!²

He also let fly with some anti-Beethoven rhetoric in another entry of June 16:

Eccentricity...which is due almost wholly to one of our greatest German artists; that eccentricity which joins and confuses the tragic with the comic, the agreeable with the repulsive, heroism with howlings and the holiest with harlequinades...³

Here's Brian Newbould on the subject of Schubert, Mozart, and Haydn:

...those works by Haydn and Mozart were his inheritance too—a precious legacy indeed since the challenge to write symphonic music himself was one of the first to fire him as a composer. It is true that, by the time he first recognized and met the challenge—just fourteen years into his life as far as we know—the immigrant from Bonn had already composed six symphonies. Imposing as these six were, they did not upstage the great works of Haydn and Mozart which were the staple repertory of young Schubert's school orchestra and which were to become the most influential models for his own early symphonies. As the Beethoven symphonies became known, they too had a powerful effect on Schubert, although for the most part he beat a path of his own forwards from the Haydn-Mozart legacy.⁴

² Quoted in Newbould, *Schubert: The Music and the Man*, page 60

³ *ibid.*, page 61

⁴ *ibid.*, page 73

4 Scoring

The symphony is really a ‘chamber symphony’ in the sense that there are no clarinets, no trumpets, no timpani. There is only a single flute, with the usual paired oboes and bassoons and a pair of horns. So the instrumentation is more reminiscent of an early-to-middle period Mozart symphony, or also for the kind of ensemble Haydn ordinarily had at Esterháza.

It’s not a typical instrumentation for early Schubert. The previous symphony, No. 4 (Tragic) is written for the full panoply of a large Beethovenian orchestra—two flutes, oboes, clarinets, bassoons, horns, trumpet, timpani, and strings. (Only the trombones are not used—but Schubert had attempted those in his very first symphony.)

In choosing this instrumentation it seems that Schubert is also making a statement about the style of the symphony—that this is a lighter, clearly Classically-oriented work, staying within the clearest and simplest instrumentation possible.

Less exalted but just as likely is that Schubert was writing this for the available instrumentation at the musicales in the home of a friend, for which this was written. It doesn’t sound like much of a reason to write a symphony, but at least this one got performed during his lifetime—that’s more than you can say of either the C-Major or the Unfinished.

5 First Movement

The first movement is in a standard first-movement sonata form (although with one particularly Schubertian practice which we'll discuss at the proper time), together with a very short in-tempo four-measure introduction.

5.1 Introduction

This little four-measure introduction is quite intriguing in and of itself. Schubert is dealing with the same problem faced by many Classical composers: the primary theme of many sonata forms is triadic and generally simple, and lacks sufficient weight with which to begin a large work.

Haydn's answer to this was the slow introduction—he was followed by both Mozart and Beethoven in this—which helped to set the stage, as it were. As Haydn developed his introductions became more and more integral with the main body of the movement, but still they always retained the Adagio quality.

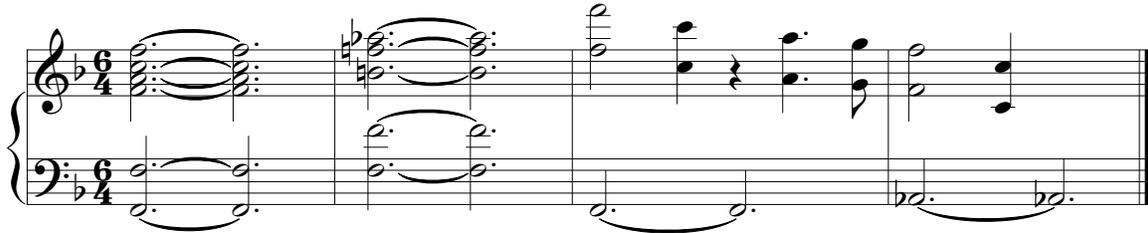
Mozart dealt with the problem in a number of ways; he certainly writes his share of slow introductions, most notably the beauty that opens the E-flat Symphony, No. 39. Beethoven writes slow introductions to about half of his symphonies.

It is virtually impossible to make much sense out of the Schubert Fifth without bringing in the Mozart G Minor, which is Schubert's model, and his inspiration. In the G Minor Symphony, Mozart dispenses with the adagio introduction, substituting instead just the accompaniment for $\frac{3}{4}$ of a measure. It is enough to get the ball rolling. (Imagine the work without that opening $\frac{3}{4}$ of a measure and you'll realize that it's very important, despite its seemingly innocuous nature.)

Schubert experimented with an in-tempo short introduction in the previous symphony, in the Finale to the 4th (Tragic) Symphony:

This is a step in the direction that he would take with the opening of the Fifth, but this short introduction here in the Fourth is not used in any other concrete way (except to introduce the recapitulation). In the Fifth, the introduction actually becomes melodic material that he uses later on in the work, particularly in the development. Given that he began the Fifth a scant five months after having completed the Fourth, it stands to reason that he would want to use the same technique again, this time in a more developed manner.

I detect Brahms's response to the same challenge—that is, opening a symphonic movement whose theme didn't seem to stand alone all that well. (Brahms was the first editor of the Schubert symphonies!) This is the Brahms Third, and while I'm not claiming there is any direct connection, I do think that we see him using what is essentially Schubert's technique in opening his work as well, in using an in-tempo short introduction:



Maurice J.E Brown, in *Schubert Symphonies*, actually calls the introduction here the ‘first theme’ and refers to the main theme (as most of us would identify it) the ‘subsidiary’ theme. This strikes me as being eye-analysis rather than ear-analysis; the thing really sounds like an introduction and not a main theme. It also ignores the rather glaring fact that the recapitulation lacks this introduction, and it certainly ignores the precedent set in the fourth symphony. I wonder if Brian Newbould's having talked about certain aspects of Schubert's melodies that Brown doesn't like had something to do with this—there appears to be something in the nature of an unpleasant rivalry.

5.2 Exposition

5.2.1 Primary Group (5 – 40)

5.2.1.1 Main Theme (5 – 24)

Here we need to start talking about Schubert as a young composer—one still developing, stretching his wings—and the works which have influenced him. At an early stage in his career there's no question but that he was using other composers's works as models, and was sometimes using their melodies as well. This is not to accuse him of plagiarizing Haydn, Mozart, or Beethoven: he most assuredly does not. But he definitely models some of his melodies after theirs, in a number of interesting ways.

In his student days, there were two works which fascinated Schubert more than any others: the Beethoven Second and the Mozart G Minor. His fascination with Beethoven 2 made itself felt in his very first attempt at writing a symphony. This happened in 1811 (he was all of 14); he never went very far with it. The fragments of this early attempt point to a clear derivation from the Beethoven second—not only the key (D major) but also in the nature of the opening theme.

Schubert: Symphonic Fragment in D major 1811, Main Theme



Beethoven Symphony No. 2, Main Theme



The ‘real’ First Symphony contains for its second theme a melody which is strikingly similar to the *Prometheus* theme from Beethoven’s *Eroica*. To see the connection, the Beethoven is transposed into the same key and given a similar rhythmic notation. Beethoven is on top, Schubert on bottom:

PROMETHEUS THEME--TRANPOSED AND NOTATED IN 4/4 TIME



Schubert: Second Theme from First Symphony



Interestingly enough, Maurice Brown isn’t particularly happy with Brian Newbould’s observation about the connection between the Beethoven and Schubert themes:

Too much has been made of the chance resemblance between [this]...and those of Beethoven’s *Prometheus* tunes.⁵

I believe I detect some bad blood between Maurice Brown and Brian Newbould—it is Newbould who completely rejects Brown’s assertion that the introduction of the Fifth is the actual ‘main theme’. (Although I think Newbould is on *very* firm footing in his rejection.)

Well. Having discussed somewhat that Schubert is going to be paying homage to his great models, and allow his melodies to be somewhat derivative, now it’s time to find the connection with our main theme and its progenitor.

This is pretty clearly the Mozart G Minor symphony—the after-phrase of the main theme in the first movement. Here’s the Schubert:

⁵ Brown, *Schubert Symphonies*, page 7

The Mozart:

Plantinga also notes a similarity with the second theme of the last movement of the Mozart G Minor:

Critical to this understanding is the typically Mozartean descending bass line, harmonized with either a chain of descending 63 triads or perhaps as a descending-thirds sequence:

B \flat : I V $_3$ vi iii $_3$ IV I $_3$ ii 7 V 7 I

This particular voicing might be familiar from Act One of *The Magic Flute*, in which the three women sing to Tamino and Papageno of their coming quest:

Andante.
Clarineti in B.

p dolce
Fag. a 2.
Cor.
pizz.
p

Andante.
sotto voce
Drei Knäbchen, jung, schön, hold und wei-se, um-schwe-ben euch auf
sotto voce
Drei Knäbchen, jung, schön, hold und wei-se, um-schwe-ben euch auf

f
p
p
pizz.
p

eu - rer Rei-se; sie wer - den eu - re Füh - rer sein, folg't ih'm Ra - the ganz al - lein.
eu - rer Rei-se; sie wer - den eu - re Füh - rer sein, folg't ih'm Ra - the ganz al - lein.

Drei Knäbchen, jung, schön, hold und wei-se, um-
Drei Knäbchen, jung, schön, hold und wei-se, um-
Vcello
pizz.

This isn't to say that I think the connection is coincidental: far from it. It is clear enough to me that there are plenty of connections here and that Schubert had Mozart very, very much in mind.

Let's compare measures 14 – 20 of the Mozart G Minor with Measures 17 – 24 of the Schubert. Here's the Mozart:

The image shows a musical score for Mozart's G Minor, measures 14-20. The score is for a full orchestra and includes parts for Flute, Oboe, Bassoon, Horn (two parts), Violin I, Violin II, Viola, and Violoncello. The key signature is G minor (two flats) and the time signature is common time (C). The score shows a half-cadence on the dominant (D) at measure 15, followed by a repeat of the theme starting at measure 16. Dynamics include piano (p) and forte (f).

Look at the way they arrive at the dominant—prefatory to the repetition of the theme. Note that the scale motion 6 – 5 is featured in both passages; Schubert even goes so far as to flatten the sixth scale degree in order to make it more akin to minor mode. True, Mozart's is in an inner voice while Schubert's is in the soprano, but nonetheless there is a distinct similarity.

Another strong similarity has to do with the scoring: the entrance of the winds (right where the Mozart excerpt begins) is the same as in the Schubert—both works begin with strings alone (not counting the intro in the Schubert) and the winds to not make their appearance until this half-cadence on the dominant. Afterwards, both works then use the winds for the repeat of the theme.

Now, let's look at harmonic rhythm. In the Schubert we begin with measures 5 – 12 having a harmonic rhythm of $\circ + \circ$ (chord changes at two-measure intervals.) At measure 13 – 16 the rhythm becomes \circ (one chord change per measure.) Then at 17 – 18 it becomes \downarrow (two chord changes per measure). At 18 – 24 it returns to \circ though perhaps the passing harmony at measure 23 can be thought of as half note motion.

Now, look at the Mozart. At measures 14 – 15 it's \circ then followed by \downarrow in measure 16 – 18, and then \downarrow at measure 19. At measure 20, the motion slows back down again. The Mozart does everything twice as fast as the Schubert, but still the same sense of proportion (speeding up by halves and then slowing back down again) is there.

harmony is parallel 63 chords over a dominant pedal. This creates a V9 on the second half of measure 45. It's a very striking sonority, immediately recognizable despite its fleeting appearance. Many other composers would have changed this just a bit—giving the first oboe and second violins an a-natural instead, in order to write a normal, every V7. But the V9 is a Schubertian favorite; it's one of the chords by which we recognize Schubert. Marvelous to see it in full flower this early in his career—and we ain't seen nothing yet. We're going to get a vintage Schubert V9 during the coda.

47 – 53: repeats 40 – 46 with movement to vi, a clear sign that there is a modulation to V forthcoming. The V9 discussed above gets repeated in the process, but due to the move to vi (minor) the V9 is now a *flat* 9th—i.e., the 9th is a minor 9th above the bass rather than a major 9th, which adds to the interest of the chord all the more.

53 – 64: I believe this should be abundantly familiar as a classic Mozartean modulation. The bass descending chromatically; the soprano ascends chromatically. The two meet at an augmented sixth chord (measure 58) which then resolves to the dominant. At this point (59) we begin an oscillation back and forth from augmented sixth chord to dominant. This is highly reminiscent of the Mozart G Minor symphony (the same passage I quoted above), even more so than is measures 19 – 24. Here the soprano takes on the same scale degrees (raised 4-5) as does the Mozart, with almost identical harmonic motion.

I promise not to keep coughing up Mozart similarities. But there is a *very* strong one to consider: the way that Mozart gets into his second theme is almost identical to measures 19 – 24 in the Schubert. It's even the more striking given that they are at that point in the same key (the Mozart modulates to B-flat major for the second theme, where as the Schubert starts out in that key.) Compare Schubert 19 – 24 to Mozart 38 – 42:

5.2.3 Secondary Group (65 – 117)

65 – 72: this is a Classic 8-measure balanced binary phrase. Note the harmonic motion: I – ii | ii – V – I. This is a terrific way to cement the two 4-measure units together, given that I-ii-V-I is a complete cadential figure in its own right.

73 – 80: verbatim repeat, rescored with the winds—this is echoes of *both* Haydn and Mozart. However, rescoring adds some harmonic juice. Measures 65 – 66 are I-vii63-I63. But the rescoring changes measures 73 – 74 to I-vii65-I63, a bit more meaty.

80 – 85: a sudden deceptive cadence, to flat VI! This is one of Schubert's more typical harmonic practices, the 'surprise' modulation, as one of his more Romantic practices as well. Note that he even establishes the key center—V65/bVI is heard almost immediately.

At 83 bVI is allowed to become an augmented sixth chord and leads us back into F Major.

A reminder: the Phrygian II of V and the augmented sixth chords live in a kind of symbiotic relationship—the augmented sixth chords start on the same bass as does Phrygian II/V, and thus the one can become the other rather easily.

Thematically this passage is a further developing of the second theme, in particular its tail. This is, as you'll recall, a Mozartean practice. Schubert is not only borrowing Mozartean themes and harmonies, but he's also borrowing Mozartean methods for developing themes as well.

86 – 91: verbatim repeat, not even rescored.

92 – 99: a transitory passage which flirts around with major/minor qualities. This is another of those typical Schubertian signatures, right up there with V9 chords, eastern-European folk idioms (how often does Schubert sound like Dvorak?), and unexpected modulations.

100 – 109: a repeat, with rhythmic variants—how adroitly he brings back the characteristic dotted rhythm!—and a two-bar repeat of the cadence into the closing theme.

110 – 117: closing. What an utterly magical use of a common-tone diminished seventh chord at 114 – 115, here over a tonic pedal point, no less.

5.3 *Development*

One essentially Schubertian characteristic is a relatively free hand with development sections, at least in comparison with his predecessors Mozart, Haydn, and Beethoven. It isn't at all unusual for Schubert to bring in really new material into a development. Here he isn't precisely bringing in new material, but on the same token this 'development' is less developmental thematically than it is harmonically, moving as it does into a wide set of remotely-related keys.

118 – 134: the Introduction now comes into its own; it has been Schubert's plan to use the material of that four-measure introduction here in the development. We work through a series of modulations: Db Major (there's that Phrygian II/V again!) to Bb minor, to Gb Major, then to Eb Minor. Thus the motion is downwards by thirds. The overall effect of this passage is rather charming in that it seems like a bunch of introductions that never get to introduce anything—one introduction is kicked out of the way by the next one, and

so forth. Sort of like a bunch of gentlemen vying to be the first to kiss the lady's hand and elbowing each other out of the way—Marx brothers, as I recall.

134 – 169: much modulation ado about nothing. We start and end in Eb Minor, but along the way we manage to touch on F minor, Ab Major, Db Major, and Gb Major. Lots of fun moving about by thirds. This entire passage flits about from key to key, rather like a little butterfly. It makes abundant use of a triadic figured outlined in eighth notes, undoubtedly a gloss on the dotted rhythm so characteristic of the main theme. Then at measure 141 there appears to be a slowed-down version of the basic melodic material that was introduced at 118; it sounds like a new theme, but it really isn't.

Sometimes people say that Schubert doesn't develop his materials very well, but I find this entire development to be beautifully done—just the right length, the right amount of modulation, and the whole with a marvelous sweet character entirely of its own. It isn't a Haydnesque or Beethovenian development by any means; the model is more clearly Mozart (who tends to be fairly slight in his developments). But really more to the point this is a vintage *Schubertian* development—surprising, tuneful, sweet. You might be confused into thinking of the first movement as being a hitherto-unknown Mozart symphony if it weren't for this development, which in harmonic structure and thematic originality really belongs to Schubert and Schubert alone.

Finally at 169 the 'connective' idea of measures 23 – 24 reappears and pulls us into the recapitulation.

5.4 Recapitulation

So, the recap. To anyone familiar with sonata form the first response should be: *eh, what?* This is beginning in the *subdominant*, and not the tonic.

It's a fairly common Schubertian practice, actually. Unfortunately it is also the practice for any number of *kleinmeister* as well, because it offers a ludicrously easy way out of dealing with the problems of a recapitulation.

Think about it for a minute. In the exposition we move from the tonic key to the dominant key: there is a statement of themes in the tonic, a transitory passage, and then a clear cadence into the dominant. If you write your recapitulation starting in the tonic, then you have to rewrite that transitional passage in order to make it stay in the same key but *sound* like it is making a modulation anyway.

But if you start your recapitulation in the *subdominant*, then you simply transpose your exposition up to the point of the secondary group into the key of the subdominant, and it will work fine. Since the transitional passage makes a modulation to the key a fifth higher, starting on IV will mean that you modulate right into I:

Exposition: modulate from Bflat major to F Major (up a fifth)

Recap: modulation from Eflat major to Bflat major (up a fifth)

This way the arrival of the secondary group sounds nice and fresh (because the key is in fact fresh) and you haven't had to do anything other than transpose your entire primary group and transition of your exposition to the subdominant. The essential harmonic function of the recapitulation—which is to recap the secondary group, remember—is kept intact.

And a lot of second- or third-rate composers do just that because it's quick and easy. I suppose if you have an hour to come up with an entire sonata form movement you had better take the easy way out. Schubert has been accused of taking just precisely that lazy-boy way out of writing recaps.

And sometimes he deserves the brickbat, but not here. It's easy enough to see that Schubert is not, in fact, giving into laziness and sloth. All you have to do is work up another one of those handy-dandy expo-recap tables and the light dawns.

Section	Exposition	Recapitulation
Primary Theme	5 – 24	171 – 186 (Eb Major)
Primary Theme Repeat	25 – 40	187 – 202 (Eb Major)
Transition 1	41 – 46	203 – 208 (Eb -> Bb Major)
Transition 2	47 – 53	209 – 215 (Eb -> Bb Major)
Transition 3	53 – 64	-----
	-----	215 – 230 (!!!)

Right there, at the end of the transition *Schubert rewrites the thing almost completely*. There is absolutely no harmonic reason to do this—if he just copies out measure 53 – 64 into the key a fifth higher it will work just fine. But he doesn't; he creates something more interesting, something different.

In a rare instance of putting his foot in his mouth, Donald Francis Tovey takes Schubert to task for stooping to the *kleinmeister* approach to recapitulation writing—not having noticed the substantial rewrite at the end of the transition. It's easy enough conclusion to reach when you see the recap beginning in the subdominant like this and continuing onwards for so long, completely unchanged except for the transposition. But he berates Schubert unjustly.

After the rewrite of measure 215 – 230, the recap proceeds in textbook manner, giving us the secondary group in its transposed form. However, there is a bit of a surprise in store since it doesn't move directly to the closing theme at 276 as expected. Instead, it leaps into the Coda.

5.5 Coda (276 – 299)

This is another Mozartean way of dealing with recaps: the Coda comes before the closing theme! The closing theme proper is found at 292 – 299, and is a transposition of the closing theme of the exposition. But in measures 276 – 291, Schubert indulges in some marvelous instrumental free-for-all writing, including glittering upward-swoosh string

passages such as at 276 and 284. Glorious—a kind of interruption, a bit of *joie de vivre* before returning to the proper closing theme.

I said I wouldn't do it, but I will anyway: this is the same way Mozart ends the first movement of the G Minor symphony.

Also to be noted in the coda is the Schubertian love for the V9, here in full Schubertian flower (measures 280 – 281, and again at 288-289). *In hoc signo* you shall know Schubert, when you hear those big, happy V9 chords.

6 Second Movement: Andante con moto

6.1 Form

One of the aspects of Mozart that Schubert did *not* adopt in his early works was Mozart's tendency to use sonata form for his slow movements—especially in the last three symphonies. Schubert writes simple part forms (ABA as a rule) for his slow movements up through this symphony. Beginning with the Sixth he begins to adopt sonata form, although the Sixth is not a particularly successful work (he was on a Rossini kick for that one.) So with all of the abandoned symphonies and such, the only other two with good slow movements in sonata form are the Unfinished and the C Major.

The form here is a simple ternary that has been expanded by repeating each section with some variants, then adding a coda. Thus instead of ABA we have ABAB'A Coda.

6.2 A (1 – 23)

This exquisite melody is very much in keeping with Classical idiom, the slow movement in either triple meter or slow compound duple. One is inclined to take a quick peek at the Mozart G Minor and one finds out—surprise!—that it has a second movement in slow compound duple, and in E-flat major to boot.

The slow compound duple is, however, really more a Haydnesque practice than a Mozartean although you see enough of it in both. Just looking through the Opus 20 and Opus 33 quartets of Haydn, I picked up three quartets with slow compound duple movements (Opus 20 #s 1 & 5, Opus 33 #1.)

Tovey referred to this as “Schubertized Mozart” and I think the statement is apt. There is one Mozart work which this reminds me of more than any other, and that's the Act II opening of *The Magic Flute*. Yes, it's in a different key and meter, but the melodic contour and harmony are quite similar—so much in fact that the Mozart was the first thing that came to my mind upon approaching this movement. Here it is:

The image displays two systems of musical notation. The first system contains measures 1 through 4. The second system, starting with a measure number '5' above the first staff, contains measures 5 through 8. The notation is in G major (one sharp) and 3/4 time. The upper staff (treble clef) carries the main melody, while the lower staff (bass clef) provides harmonic support with chords and moving lines. The first phrase ends with a deceptive cadence in measure 4, and the second phrase shows a clear upward melodic surge from measure 5 to 8.

I suppose the similarities are notably the use of the deceptive cadence right at the beginning, supporting 3-5-1 in the melody, followed by a surge upwards to 5 in the next phrase. The Mozart continues along very differently from the Schubert (and is, in fact, a much more complex melody), but I find the resemblance quite noticeable.

Schubert's structuring of this melody is quite simple: it's in standard rounded binary form, *aba'*. I have noted that it is very rare for a conductor to take the repeat of *ba'*, although it's clearly enough marked in the score. It's a fairly long movement all things considered and one gets the impression that most conductors don't think it can stand up to a lot of repetitions. I haven't had a chance to check an 'authentic' recording like Brueggen's or the Hanover Band, but I bet they take the *ba'* repeat.

The instrumentation is generally low and tightly voiced, which gives a strongly feeling of depth and richness. (Again this is a similarity to the Mozart excerpt quoted above.) This is especially true when the wind instruments enter at measure 5; the horns and bassoons provide some harmonic filling-out that is in a cool, low range, while the other winds double the melody. This provides us therefore with a handy bit of orchestration study—an excellent method of setting a melody in a chorale style, extracting the maximum warmth and richness from the instruments.

It's my impression that Schubert tends to think in pairs of instruments—i.e., flutes/oboes, bassoons/horns, violin 1/violin2, viola/cello. At least that seems borne out fully in this passage—each pair is almost self-contained and yet contributes solidly to the whole. While the pairings change later in the section or throughout the movement, the sense of writing in pairs is palpable throughout. For what it's worth I note this tendency in Mozart as well.

In the '*b*' section there is a touch of counterpoint between the main melody (flute, oboe 1, violin 1) and the subsidiary melody created by bassoon 2, violin 2, and viola. It is still primarily a harmonic addition in nature, but there's enough melodic motion there to give the ear a solid feel for the canonic treatment.

Schubert writes the B section in one of his favorite manners—the upper strings alternating phrase fragments with the winds, over a simple piano-like accompaniment.

Am I weird in hearing a slight premonition of the *idée fixe* theme of Berlioz's *Symphonie fantastique*? I think it's that little upward flick of the melody (violin 1, measure 28) that reminds me so much of that melody. Not that this means anything. For what it's worth, it also reminds me of "The Heather on the Hill" from *Brigadoon*. In honor to yet another distinguished Viennese composer (Frederick Loewe) I shall hence forth refer to this as the *Brigadoon* melody.

At measure 34 Schubert moves to B minor—the enharmonic equivalent of C-flat minor, a non-existent key. These motions from major to minor are typically Schubertian; we've already seen them in the first movement, remember. The dialog continues in the new key, this time with the winds stating and the string answering.

B minor gives way to G major (measure 39) and then cadences into G minor (41). At this point the horns can re-enter safely.

From G minor to E-flat major is a simple move, but Schubert is going to take his leisure at getting back to the home tonic. He gives himself a nice 25 measures in a passage which is fairly reminiscent of both the A and B sections, sort of a hybrid of both. There is a nice sense of repose here, of patience, of time and balance. I suppose impatient types might start drumming their fingers, wondering *when the hell is he going to get on with it*. But even in this tightly-constructed symphony there is some room for characteristic Schubertian expansion.

6.4 A (67 – 89)

This is a fairly clear restatement, although there is some interesting and mild ornamentation of the main theme.

6.5 B' (90 – 117)

This is a transposed version of B: it begins a fifth higher than B did (B began in Cb Major and this begins in Gb Major), and then follows pretty much along the same lines as B, although the perambulation back to the tonic key is shorter in comparison to the original.

6.6 A (118 – 127)

The repeat of A is only of the first (a) section this time.

6.7 Coda (128 – 141)

A feint upwards to Cb Major—reminiscent of the move to B at the end of the first A section—is then followed by a passage which is derived somewhat from B (the

Brigadoon theme), but also reminds one of the 'b' phrase of A. Like the return from B to A, it is expansive, rather quiet, patient.

The horns are given the final word—both of them in unison, down an E-flat major triad. These being all strong harmonic notes, it's perfect safe intonation-wise. (Although heaven help us if one of them has bubbles.)

7 Minuet

The general similarities between this minuet and that of the Mozart G Minor have been noted by many—and are fairly obvious, I think. This is becoming a dead horse by this point so I believe I shall refrain from flogging it.

Given the tempo, this has a scherzo-ish feel to it, more than a minuet feel. Personally I find it strongly akin in spirit to a Haydn minuet—complete with repeated notes—even more so than a Beethovenian scherzo, although both Brown and Newbould keep yapping away at *scherzo scherzo scherzo yap yap yap*.

7.1 Minuet (1 – 88)

7.1.1 A (1 – 26)

The first section does not pull any punches harmonically: it modulates from G Minor to B-flat Major, definitely in keeping with standard Classical operating practice.

1 – 8: The triadic melody is typically Classical, as is the balanced phrase structure of 4+4 with an underlying harmony of i-V-i. The melody recalls *both* the first and second movements in its triadic nature.

9 – 26: The second phrase is an extended modulation. There is an abrupt shift to E-flat—in effect a deceptive cadence although there are no actual chords stated. E-flat being the subdominant of B-flat Major, we simply treat it as a subdominant from this point onwards. That's probably more Beethovenian, this kind of 'make it so' harmonizing.

The sequence at 19 – 21 is technically a descending thirds variety. It's easier to figure this one out by just listening to the 3rd beat passing to the 1st beat, in which case you clearly hear the falling thirds. Given that there are strong V-I relationships in the individual articulations of the sequence, it would be easy to confuse it with a descending fifths sequence. (Heck, it's always easy to confuse a descending thirds sequence with a descending fifths one.) The sequence is highly Mozartean, including a culmination in an augmented sixth chord at the end of measure 22.

7.1.2 B (27 – 56)

Of special interest here is the softening of the mood. At measure 1 the theme is strong, aggressive. Here it is sinuous, flexible. There are a number of factors at play here which help this to happen, including:

- Changing mode from minor to major
- Changing dynamic to piano
- Adding slurs to the melody
- Avoiding the repeated notes (measures 3 and 4 of the original are skipped)

- Harmonizing with gentle chordal underpinnings
- Using gentle answers in the winds—oboe at measures 33 and 41
- Setting up a dialog between the violins and cellos (violins 27 – 30, cellos 31 – 34, etc.)

Newbould refers to this as “a *locus classicus* of early Schubertian dialog.”⁶

Now, the modulations employed here might sound a bit offbeat—from B-flat Major to G Major to C Minor and hence back to G minor, but in fact the progression is absolutely classical. The trick here is to think of B-flat major in two ways—first as the relative major (the mediant), but secondly as the natural VII of the subdominant. If we think in those terms, then we can harmonizing in C Minor (the subdominant of G Minor) and make our way back to the original key rather easily. Here’s the overall plan:

cm: \flat VII $ii^{\circ}4/3$ V⁷ i

In this section, each of the chords with the exception of the $ii^{\circ}4/3$ represents a key center—so the shift from B-flat major to G major (measure 35) is not necessarily a Beethovenian abrupt modulation, but is in fact properly prepared and treated just as it should be. This doesn’t lessen the effect of the passage, which is utterly magical.

7.1.3 A’ (57 – 88)

Since the original A section modulated to B-flat major, this will require a significant rewrite in order to stay in G Minor. The rewriting begins quite early, at measure 63—a scant seven bars into the repeat.

Marvelously enough he returns to the gentle world of the B section rather than the more rough-and-tumble world of A, at least for a while. At measure 75 the aggressive stance is resumed. From 81 – 88 he rewrites measures 19 – 26 in minor, using that same descending thirds sequence as above.

7.2 Trio (89 – 128)

The Trio shifts into the parallel major. This is one of those effortlessly Austrian works that are so much a part of not only Schubert, but also Haydn, Mozart, Beethoven, and Brahms as well.

⁶ Newbould, *Schubert and the Symphony*, page 120

7.2.1 C (89 – 104)

Keeping with the usual practice of Trios being relatively simple in structure, this is a classical period phrase. In fact it makes a nice demonstration of one when you need as basic textbook period:

4	4	4	4
a	b	a	b'
I	V	I	I

In the consequent, the horns enter with that ‘hunting’ figure again, keeping with the beautifully rustic, Austrian mood.

To be noted also is the serene mood of the orchestration of the antecedent—violin 1 and bassoon 1 together playing the melody in a low octave, supported by a very simple dance accompaniment in the lower strings. With the consequent, the higher winds (flute and oboe 1) play the melody at an upper octave, while the bassoons join the horns in a sustained harmonization.

7.2.2 D (105 – 120)

Instead of the expect major dominant we get the minor dominant—which acts as ii/IV, preparing us for the return to the tonic at measure 121.

The dialog of section B here returns with the low melody in violin 1 and bassoon being answered by a high melody in the flute and oboe 1—sort of a compression of the instrumentation of the C section.

The rustic simplicity is maintained by reaching full cadences in D minor and C major, without any stretching or artifice, just stating them plainly and then moving on. A very simple motion to the dominant (120) suffices to move back to the tonic.

7.2.3 C' (121 – 128)

Given the general unruffled mood of simplicity here, we get a verbatim repeat of the consequent of the C section—more or less precisely what one would expect.

8 Fourth Movement: Allegro vivace

While it's true that this movement is in standard sonata-allegro form, the movement nonetheless displays just how close first-movement sonata form and the sonata-rondo forms are to each other. The main theme of this movement is really a rondo theme: it has the foursquare simplicity of a rondo together with the rounded binary structure. The first transition opens with a sudden key and mood change which is characteristic of the rondo (at least as practiced by Haydn.) In fact, if there were a return to the main theme at the end of the secondary group, this would become a sonata-rondo.

So, if the first three movements are an homage to Mozart, this one is an homage to Haydn. In fact the resemblance is so strong that sometimes I found myself humming the finale of Haydn #102 when I meant to hum this.

8.1 Exposition

8.1.1 Primary Group 1 – 46

The main theme is a standard rounded binary a b a', fairly expansive but nonetheless staying firmly within the Classical sphere.

8.1.1.1 a

1 – 15: A solid Classical period opens the movement, with the standard [4+4][4+4], abab' structure. Of note is an effective use of vii7 at both measures 5 & 6; first as a vii7/ii in measure 5 and then as a vii7/I in measure 6. This little flush of chromaticism is followed by a nice chromatic dive downwards at measure 8 as the connection into the consequent.

Note that Schubert avoids a root-position tonic at the opening. This helps keep the material from becoming too overly foursquare, which is always a danger in setting these kind of simply-phrased melodies.

In the consequent, Schubert takes full advantage of the falling thirds figure of measures 4 & 5, and expands them into his closing material. It's worth noting that most of the mild chromaticism of the preceding passage disappears in the consequent—the conclusion is quite matter-of-fact and diatonic.

8.1.1.2 b

17 – 34: the Mozartean influence is quite strong here: Schubert writes a 'tailed' continuation here in which the closing figure of section 'a' becomes the opening figure of section 'b'.

At 21 – 24 we have four measures of gentle rocking canon between the upper winds and the upper strings, all over a V7/V, which is then repeated (after a fashion) on a V7. However, the repeat is not canonic—all of the instruments work together. However, the

Schubert repeats the same thing at the key of F Minor—which reaches V of F Major (C Major) and extends out this dominant by four measures.

8.1.3 Secondary Group 81 –154

8.1.3.1 Secondary Theme 81 – 111

This is a two part phrase of a deceptively simple nature. The structure is A (aa) B (bb'), which seems simple enough on the surface. Each individual articulation is four measures long.

However, this kind of two-part phrase isn't as easy to write as it looks. Consider how banal the second theme would be had Schubert written it this way:



It becomes very clear that some changes are needed in order to render this less horribly sing-song. Schubert makes a lot of interesting changes:

- In the fourth measure, he adds a sixteenth-note connective into the next phrase.
- In the seventh measure he changes the basic rhythm, adding little triplet figure.
- In the third section, he moves down to the tonic key, and also adds an appoggiatura into the conclusion.
- In the final section he returns to the subdominant and uses that to close the thing out nicely on the tonic.

It just isn't very easy to write an AB phrase without taking some real pains to make sure it doesn't wind up boring. The trick—as Schubert knows only too well—is to accessorize it with some nice touches here and there. Charming becomes boring at the drop of a hat.

At this point I must quote Jean Kerr, author of *Please Don't Eat the Daisies* and wife of theater critic Walter Kerr. Here she is discussing the difficulty of buying and wearing your basic beige dress:

Another reason I have so many dreary dresses is that I *know* I am a difficult size, which means that whenever a saleslady produces a dress that actually fits me I feel a sporting obligation to buy it. (I consider a dress fits me when it reaches to my knees and can be zipped up by only one person.) I seem unable to make plain statements like "I can't wear beige because I *am* beige." I may venture a feeble question, "Don't you think it's a little on the beige side?", but if I do the saleslady instantly counters with "Madam must imagine it dressed up with spanking white accessories." So naturally I buy the dress. I'm

certainly not going to confess to that girl that I don't own one single spanking white accessory.

By contrast, my mother has great authority in these situations. I once went shopping with her when she was looking for a dress to wear to my brother's wedding. The saleslady brought out a somber mauve lace with that ubiquitous rhinestone pin on the hip. Mother waved it away. The saleslady turned frosty on the instant and asked, "Would you care to tell me what you don't like about it?" Mother smiled cheerily and said, "My dear, all my friends are being *buried* in that dress." She got results, and a very becoming grey chiffon, in ten minutes.⁷

97 – 111: the phrase is repeated with instrumental changes.

8.1.3.2 Transition 112 – 126

Schubert's love for major/minor duality is here in full force. Note that the use of Bb Minor (mixed subdominant of F Major) and F Minor (mixed tonic) help to give this passage harmonic interest—and makes the 'arrival' in F Major at measure 127 sound fresh and interesting.

8.1.3.3 Closing Theme 127 – 154

I must at admit that the closing materials strike me as being rather perfunctory, *deedle deedle deedle* in F Major. However, the triplet rhythms are quite delightful, bubbly even. And in a way we don't want anything too heavy here for our conclusions; this movement is very deliberately light, even frothy. He is invoking the spirit of both Haydn and Mozart at their most entertaining, their most *gemütlich*. No point in getting all stern or flowery about the closing theme.

8.2 Development (155 – 238)

Of special note in the development is the treatment of the basic  rhythm, which in the exposition is a straightforward 1-2-3-4 affair. Here, he begins to think of it more as an anacrusis:  , followed by a return to the foursquare pattern  |  (159-160) in order to screw in the beats correctly once again. Much of the development shares this rhythmic characteristic.

A few special signposts along the way:

- 185: Schubert reaches a solid V of Ab Major but doesn't state the key with much certainty—the closest he gets is at measure 191, which states the tonic almost in passing.

⁷ Jean Kerr, *Penny Candy*, page 29

- 189 – 197: this is a great example of an extended descending thirds sequence with some of the chords implied rather than stated. For example, measures 191 – 192 are clearly V – I in F minor, but there aren't actual chords present.
- 199 – 206: this is another example of the same kind of sequence.
- 208 – 210: this is an extended IV63 that becomes an augmented sixth chord; good example of a typically Mozartean (and Schubertian) usage.
- 211 – 238: the retransition takes place over a long dominant pedal, by now a practice honored by long tradition.

8.3 *Recapitulation (239 – 396)*

Should you need to teach a lesson on the craftsman-ly way to construct a textbook recapitulation, you might want to consider this movement in general and this recapitulation in particular. It's a textbook recap all the way, and a very, very good one.

The recapitulation states the primary group verbatim; no changes. At 285 we enter the transition; it is here that Schubert needs to do some rewriting in order to mask the non-modulation that's about to happen.

A big part of the secret to writing a good recapitulation lies in setting up the possibility of doing so in the exposition. The success of the non-modulating transition in the recap often depends on how many possibilities remain to be mined out of the material in the modulating transition of the exposition. Schubert has given himself plenty of room here to work—the transition of the exposition is, as you'll recall, absolutely stellar in terms of harmonic motion, and leads us into all kinds of interesting possibilities with the use of the Phrygian II and key relationships. Schubert, one of the most subtle and imaginative harmonists in musical history, was acutely aware of the possibilities allowed by the chromatic harmonies—in particular the Phrygian and augmented sixth variety—and knows how many different turns and twists you can take when you use such chords intelligently.

So the non-modulation contains a similar process to the exposition's transition: marvelous use of Phrygian II and combines that with an excellent example of a beautifully-made descending fifths sequence:

