

Formal Relationships in Clara Wieck's Piano Concerto Op. 7

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Abstract

Clara Wieck Schumann's 1836 Piano Concerto Op. 7 represents an era of radical formal experimentation in the early nineteenth century. As such, critics including Robert Schumann questioned its unity, thus prompting late twentieth-century scholars to reassess both its departures from tradition and its cohesive mechanisms. I propose that the concerto's formal innovations are a result of Wieck's decision to construct a tripartite work from her autonomous *Concertsatz*, which became the Finale after the addition of a first and second movement. This study uses William Caplin's theory of formal functions and Steven Vande Moortele's theory of two-dimensional sonata form to examine how Wieck complemented the independent Finale with a formally divergent first movement, which facilitates the projection of an overarching sonata form spanning the entire work. In doing so, this study produces a model to assess the concerto's internal logic.

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Introduction

Clara Wieck Schumann's 1836 Piano Concerto Op. 7 in A Minor constitutes one of the most formally innovative and chromatically colourful concertos of the early nineteenth century. Several scholars have even suggested that composers such as Robert Schumann, Johannes Brahms, and Franz Liszt borrowed ideas from the concerto for their own compositions.¹ Indeed, analytical studies from the 1990s offer enthusiastic accolades that blatantly contrast with the dismissive and often derogatory reviews by Wieck's contemporaries. In particular, Robert Schumann's criticism that the concerto lacks formal unity has prompted Janina Klassen, Helen Walker-Hill, Claudia MacDonald, and Stephan D. Lindeman to reassess whether or not its nonconformities succeed in creating a cohesive whole.² Their work has principally focused on the abbreviated first movement, on Wieck's novel practice of linking movements to create a large-scale single-movement composition, and on cyclic elements produced by progressive thematic variation. These and other scholars have constructed a sound body of literature that both challenges Schumann's claim and provides a solid foundation for continued study.

In doing so, however, analysts have not consolidated the concerto's unifying elements into an overall formal concept that justifies its nonconformities. In other words, it remains unclear how the concerto's distinctive features interrelate to produce a logical

¹ Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (New York: Pendragon Press, 1999), 139 and Nancy B. Reich, *Clara Schumann: The Artist and the Woman* (New York: Cornell University Press, 2001), 228. See also Claudia MacDonald, Review of *Konzert für Klavier und Orchester*, by Clara Schumann, ed. Janina Klassen, *Music Library Association* 48 no. 2 (1991): 676 and Helen Walker-Hill, "Neglected Treasure: The Piano Concerto of Clara Wieck Schumann," *Women of Note Quarterly: The Magazine of Historical and Contemporary Women Composers* 1 no. 2 (1993): 28.

² In addition to the sources above, see Janina Klassen, *Clara Wieck-Schumann, die Virtuosin als Komponistin: Studien zu ihrem Werk* (Kassel: Bärenreiter, 1990), 112-188 and Claudia MacDonald, "Critical Perception and the Woman Composer: The Early Reception of Piano Concertos by Clara Wieck Schumann and Amy Beach," *Current Musicology* 55 (1993): 24-55.

entity, or why Wieck chose to employ them when there is no exact precedent for the formal layout. Furthermore, we cannot accurately gage the extent of the concerto's influence on subsequent works without a clearer understanding of its idiosyncratic formal mechanisms. A comprehensive analysis is necessary to fill these gaps, but the innovative formal design requires a flexible set of analytical tools to elucidate its unconventional layout. My thesis aims to deliver a more inclusive analysis by using two contemporary theories, and to examine how the concerto's formal make-up enables a certain degree of cohesion at both the level of the movement and the work as a whole.

Clara Wieck and the Conception of the Piano Concerto Op. 7

The compositional history of the Piano Concerto Op. 7 provides some clues as to the origin of its formally progressive nature, but also leaves many questions unanswered. Klassen traces its conception to 1832, when Clara Wieck was a 13-year-old piano prodigy under the guidance of her father, Friedrich Wieck.³ The young virtuoso was an active participant in the extravagant concert culture of the 1830s, and performed in musical centers including Paris and Leipzig.⁴ Wieck made contact with the leading musical figures during her frequent tours, many of whom had a clear influence on her compositional output.⁵ Indeed, her concerto exhibits the virtuosic passagework common in the works of Friedrich Kalkbrenner, Johann Peter Pixis, and Henri Herz,⁶ as well as the formal innovations of Felix Mendelssohn and Ignaz Moscheles.⁷ Friedrich Wieck and

³ Clara Schumann, *Konzert für Klavier und Orchester*, ed. Janina Klassen (Hamburg: Breitkopf & Härtel, 1990), VII and Reich, *Clara Schumann: The Artist and the Woman*, 21.

⁴ Reich, *Clara Schumann: The Artist and the Woman*, 28 and 33.

⁵ *Ibid.*, 31.

⁶ *Ibid.*, 212 and Walker-Hill, "Neglected Treasure," 22. Walker-Hill classifies works by these composers as "perfunctory display pieces," but they nevertheless had a clear stylistic influence on Wieck's concerto and can be found in her repertoire. For an additional repertoire list, see Pamela Susskind Pettler, "Clara Schumann's Recitals, 1832-1850," *19th-Century Music* 4 no. 1 (1980): 70-76.

⁷ MacDonald, "Critical Perception and the Woman Composer," 34.

Robert Schumann, however, were the most influential contributors to the early conception of the work.

As Wieck ascended into the ranks of virtuosos such as Franz Liszt and Sigismond Thalberg, the expectation for her to perform her own compositions increased.⁸ As a result, Friedrich Wieck encouraged Wieck to compose and perform her own works,⁹ and both father and future husband played key roles in the initial compositional stages of the Op. 7. The earliest mention of the concerto appears in a letter dated January 10, 1833, in which Schumann, then student of Friedrich Wieck, wrote to his teacher, “I feel that the concerto should be in C major or A minor.”¹⁰ The work instead became a single-movement showpiece, which Wieck called a “concerto-rondo” or *Concertsatz*.¹¹

This change in conception is somewhat puzzling because Wieck also referred to the single-movement showpiece as a concerto. Indeed, Wieck wrote in her diary on November 22, 1833, “I finished my Concerto and Schumann will orchestrate it now...”¹² The work did not actually become a concerto, however, until Wieck adapted the *Concertsatz* to become the Finale in a large-scale composition. Wieck wrote the first and second movements to accommodate the previously composed Finale, and both preceding movements contain her own orchestration.¹³ As Lindeman explains, the inconsistency in conceptualization makes it uncertain as to whether Wieck intended to construct a

⁸ Reich, *Clara Schumann: The Artist and the Woman*, 199 and 219.

⁹ *Ibid.*, 212.

¹⁰ Klassen, ed., *Konzert für Klavier und Orchester*, VII.

¹¹ Reich, *Clara Schumann: The Artist and the Woman*, 296.

¹² *Ibid.*

¹³ Clara Schumann and Robert Schumann, *The Complete Correspondence of Clara and Robert Schumann: Critical Edition*, vol. 1, ed. Eva Weissweiler, trans. Hildegard Fritsch and Ronald L. Crawford (New York: Peter Lang, 1994), 16.

complete concerto from the *Concertsatz*, or if her compositional intentions simply vacillated.¹⁴

The third movement can still function as an independent showpiece despite the addition of a first and second movement. Wieck in fact performed the second movement and Finale without the open-ended first movement, even after completion of the entire concerto.¹⁵ The Finale also displays a high degree of formal autonomy, thus complicating its new role as a third movement in a larger composition. Nevertheless, audiences greeted the work “with great approval” according to Wieck, but she suggests that “[it] was liked but probably applauded out of respect. It was the first time [they heard it] and they did not understand it.”¹⁶ Wieck premiered the complete work at the Leipzig Gewandhaus on November 9, 1835 with herself as the soloist and Mendelssohn as the conductor, and the performance sparked an outpouring of praise and controversy.¹⁷

Review of Literature

Early Critical Reception and the Question of Unity

Early reviews commented mainly on aesthetic characteristics and paid little attention to formal organization. For example, a *Komet* critic noted the “poetic unity which governed the whole” without formal justification for his observation.¹⁸ Other critics’ commentaries were somewhat favorable, but expressed misgivings stemming from both the gender of the composer and the work’s departures from common practice.

¹⁴ Lindeman, *Structural Novelty and Tradition*, 132.

¹⁵ Ibid., 138.

¹⁶ Reich, *Clara Schumann: The Artist and the Woman*, 298.

¹⁷ Ibid. and Walker-Hill, “Neglected Treasure,” 23.

¹⁸ Joan Chissell, *Clara Schumann: A Dedicated Spirit, A Study of her Life and Work* (New York: Taplinger Publishing Company, 1983), 38.

For example, an anonymous critic wrote in 1838 for the *Allgemeiner musikalische Anzeiger* that the odd key of A-flat major in the second movement was a result of the female temperament, thus demonstrating a dismissive and derogatory reaction to the work shortly after its publication.¹⁹

The arguments of *Neue Zeitschrift für Musik* contributor Carl Ferdinand Becker in his 1837 review of the work's first publication by *Hofmeister* better represent the primary formal criticisms of the concerto in the nineteenth century. His review is one of the most frequently cited writings in twentieth-century analytical studies of the concerto because, despite its brevity, it provides a starting point for further investigation. Becker referenced gender, however, and stated that true criticism was impossible "since we have to do with the work of a lady."²⁰ This opinion explains the limited scope of his review, but Becker did observe the abundant use of diminished seventh chords and the unexpected key of A-flat major in the second movement, and remarked disapprovingly on the excessively long Finale.²¹ Wieck was unhappy with his assessment and proclaimed that Becker had failed to provide a critical analysis.²²

The most cited feedback in twentieth-century analytical studies, however, came from Schumann in a *Neue Zeitschrift für Musik* review subsequent to the 1835 premiere.²³ He initially spoke of the work in flatteringly poetic terms, but his lack of satisfaction with the formal design is evident early on. He states in reference to the first movement:

¹⁹ MacDonald, "Critical Perception and the Woman Composer," 31.

²⁰ Berthold Litzmann, *Clara Schumann: An Artist's Life Based on Material Found in Diaries and Letters*, vol. 1, trans. Grace E. Hadow (New York: Vienna House, 1972), 96.

²¹ MacDonald, "Critical Perception and the Woman Composer," 30.

²² *Ibid.*, 34.

²³ *Ibid.*, 27-28.

Often I saw skiffs floating boldly over the waves, and only a master hand at the tiller – a tautened sail was lacking that they might cut across the waves as quickly and victoriously as they did safely. Thus I heard here ideas that often had not chosen the proper interpreter so as to shine in their complete splendor, but the fiery spirit that drove them on, and the longing that directed them, finally carried them securely towards their goal.²⁴

MacDonald interprets this passage to be a formal criticism in her 1993 article, “Critical Perception and the Woman Composer.” According to her reading, Schumann suggests that Wieck constructed vibrant musical ideas, but did not arrange them to progress logically towards a goal.²⁵ Indeed, Schumann wrote to Wieck in 1837, “Are you playing your concerto of your own accord? There are brilliant ideas in the first movement – it didn’t make a strong impression on me, however.”²⁶

According to Walker-Hill’s “Neglected Treasure: The Piano Concerto of Clara Wieck Schumann,” Schumann’s criticism had a potentially negative impact on critical reception in the early twentieth century.²⁷ Walker-Hill reports that a 1905 *Die Musik* article by Richard Hohenemser dedicated much time to discovering the weaknesses that Schumann detected,²⁸ and that Berthold Litzmann stated in his 1913 biography, *Clara Schumann: An Artist’s Life*, that the work “perhaps fell somewhat below expectation.”²⁹ In general, criticisms dating from 1835-1913 exhibit a common trend. Reviewers expressed reservations about the unity of the concerto, but presented limited formal commentary to clarify their perspectives. As a result, late twentieth-century scholars endeavored to deliver the formal insight absent in the initial critical reception.

²⁴ MacDonald, “Critical Perception and the Woman Composer,” 28.

²⁵ Ibid.

²⁶ Weissweiler, ed., *The Complete Correspondence of Clara and Robert Schumann*, 52.

²⁷ Walker-Hill, “Neglected Treasure,” 23.

²⁸ Ibid.

²⁹ Ibid. and Litzmann, *Clara Schumann: An Artist’s Life*, 77.

Recent Analyses of the Piano Concerto Op. 7

Janina Klassen, 1990

Various scholars in the 1990s have suggested that the mixed critical reception was the result of a hesitation to commend progressive forms. Even Joan Chissell and Nancy B. Reich, who completed the first editions of their Clara Schumann biographies in 1983 and 1985 respectively, were reticent about the work's formal design. Chissell praised its "attempted unity" (thus implying that the attempt was unsuccessful) and Reich stated that "the concerto in A minor is a remarkable achievement for an adolescent" (thus reducing the work to a juvenile endeavor).³⁰ Indeed, Klassen was the first to abandon cautious compliments and to provide an in-depth analysis. In her 1990 book *Clara Wieck-Schumann, die Virtuosin als Komponistin*, Klassen writes that the concerto does not conform to any specific genre, and is therefore an autonomous work with self-contained logic.³¹ She proceeds to provide the first genuine critical analysis of the work, and lays the groundwork for a renaissance of interest in the concerto.

In particular, Klassen observes how the principal themes from each movement are similar in melodic contour and rhythm, and suggests that Wieck incorporated virtuosic content into the form of the Finale.³² Bravura passagework and fantasy-like qualities also challenge traditional theoretical models in the concerto as a whole.³³ Klassen proposes that although the work does not fully conform to thematic and harmonic terminology at the time of her research in the late 1980s, an examination of genre and form in other early nineteenth-century compositions can combine to produce an integrated theory, which one

³⁰ Walker-Hill, "Neglected Treasure," 22. See also Chissell, *Clara Schumann: A Dedicated Spirit*, 38 and Reich, *Clara Schumann: The Artist and the Woman*, 227. I have cited Reich's 2001 edition.

³¹ Klassen, *Die Virtuosin als Komponistin*, 115.

³² Ibid., 188 and 117.

³³ Ibid., 114-116.

can apply to the concerto.³⁴ This new angle in turn helped to revitalize interest in Wieck's instrumental works. Schumann's criticism, however, also became a primary motivation for further investigation in the 1990s, and compelled analysts to advocate for the overall unity of the concerto.

Helen Walker-Hill, 1993

Both Walker-Hill and MacDonald published their complementary articles in 1993, and like Klassen, both place emphasis on the music itself rather than Wieck's role as a pianist, wife, and mother. Unlike Klassen, however, the authors cite the struggles faced by women composers as the framework for their arguments, whereas Klassen suggests that musicologists overuse feminist perspectives and neglect critical analysis of Wieck's compositions.³⁵ In this way, Walker-Hill and MacDonald strike a balance. Both studies provide an overview of the early critical reception, and mitigate the relative absence of musical analysis with their own observations.

Walker-Hill was the first to publish a study on the Piano Concerto Op. 7 after Klassen, and she immediately refutes the idea that the concerto lacks unity. Walker-Hill admonishes the "empty passage-work, trite melodies, abrupt modulations, and mechanical melodramatic effects" of Wieck's contemporaries (Kalkbrenner, Pixis, and Herz for example),³⁶ and like Klassen, recognizes that Wieck erased the traditional demarcations between the three movements – a practice adopted from Felix Mendelssohn's 1831 Piano Concerto Op. 25 in G Minor.³⁷ Walker-Hill counters Becker's claim that the concerto is lopsided, and suggests that the Finale is not disproportionate in

³⁴ Klassen, *Die Virtuosin als Komponistin*, 116-117.

³⁵ Nancy B. Reich, Review of *Clara Wieck-Schumann, die Virtuosin als Komponistin: Studien zu ihrem Werk*, by Janina Klassen, *Music Library Association* 49 no. 3 (1993): 1008.

³⁶ Walker-Hill, "Neglected Treasure," 24.

³⁷ Ibid.

relation to the preceding movements, but comprises the second half of a two-part concerto.³⁸ Furthermore, she suggests that the first movement functions as an “introductory gesture” to the second movement, and that the Finale is also a two-part construction with the tutti beginning at m. 154 as the division. Most pertinent to the question of formal cohesion, however, is her suggestion that the key of A-flat major from the second movement is a “unifying harmonic motive” that appears in the outer movements, rather than a disruptive element.³⁹

Claudia MacDonald, 1993

Unlike Walker-Hill, MacDonald speculates on why Schumann perceived the concerto to lack formal direction. She highlights the improvisatory nature of the work, and notes how Wieck does not prepare modulations, thus infusing the first movement with harmonic ambiguity.⁴⁰ She also pinpoints unifying features such as the exact moments when the first movement and Finale reference the second movement’s key of A-flat major, and suggests that this strange tonal region serves to highlight instances of thematic variation across the span of the three movements. Furthermore, MacDonald suggests that a lack of tonal movement in the Finale prior to the midpoint at m. 154 balances the first movement (which itself lacks a recapitulation in the tonic key) and solidifies A minor after the second movement’s venture into A-flat major.⁴¹ In this way, the Finale does not make the concerto top-heavy as Becker indicated. In sum, MacDonald suggests that Wieck contributed to the formal experimentation of the 1830s, and

³⁸ Walker-Hill, “Neglected Treasure,” 25.

³⁹ Ibid.

⁴⁰ MacDonald, “Critical Perception and the Woman Composer,” 28.

⁴¹ Ibid., 31.

attempted to obscure the divisions between the individual movements in order to consolidate the work as a whole.⁴²

Stephan D. Lindeman, 1999

In his book, *Structural Novelty and Tradition in the Early Romantic Piano Concerto*, Lindeman names the Piano Concerto Op. 7 as one of the seven most radical interpretations of the genre in the early nineteenth century. He does not argue as fervently in favour of its unity as his predecessors, but still recognizes several cohesive elements. Indeed, Lindeman shares Becker's belief that the Finale's length is disproportionate in relation to the rest of the concerto, and suggests that its origin as an autonomous composition is the source of the problem.⁴³ Lindeman identifies the most avant-garde features in his analysis, and proposes that the first movement is not in sonata form, but loosely encompasses several of its components.⁴⁴ In addition, he considers the concerto to be a patchwork of techniques used by other composers. He highlights the combined tutti/solo exposition as an innovative practice, which like linked movements, appears in Mendelssohn's Piano Concerto Op. 25 in G Minor. He also suggests that the entire work derives thematic material from a single motivic cell.⁴⁵ As a result, the composition establishes a high degree of thematic unity among movements.

These four studies by Klassen, Walker-Hill, MacDonald, and Lindeman make analytical headway on Wieck's concerto in three ways. Firstly, they expose an underlying gender bias in the nineteenth-century critical reception, which prompted critics to praise the aesthetic qualities of the themes, but abstain from an in-depth formal analysis.

⁴² MacDonald, "Critical Perception and the Woman Composer," 34.

⁴³ Lindeman, *Structural Novelty and Tradition*, 138.

⁴⁴ Ibid., 134-135.

⁴⁵ Ibid., 133-134.

Secondly, they bring the work out of relative obscurity in the twentieth century, and establish its status as a concerto that advanced the formal boundaries of its time. Finally, they make significant analytical progress in terms of thematic, harmonic, and formal content, which bolsters the concerto's newfound reputation as a formally progressive work, and reveals a tangible influence on future composers.⁴⁶

Research Questions

To what degree does the concerto exhibit internal logic?

The analytical studies of Klassen, Walker-Hill, MacDonald, and Lindeman are essential to my analysis because their findings indicate that Wieck's concerto contributes to a central development in formal conception during the mid Romantic period. The combined use of linked movements, thematic variation, an abbreviated first movement, and tonal signposts of A-flat major in the outer movements suggests an early attempt to shift from the self-sufficient and separate movements of the Classical period to the large-scale single-movement compositions epitomized by Franz Liszt's 1853 Sonata in B Minor. Wieck was not the first to employ this practice, but the idiosyncratic unifiers in her work provide valuable insight into formal experimentation and evolution in the mid nineteenth century. For this reason, my analysis illuminates how linked movements and cohesive mechanisms enable the concerto to function as a large-scale single-movement composition, even if it does not encompass the formal refinement to come some twenty

⁴⁶ There is a vast literature on Clara Schumann as a wife, mother, virtuoso, editor, consultant, and promoter. These resources are too numerous to cover, but Janina Klassen provides an extensive bibliography in *Clara Schumann: Musik und Öffentlichkeit* (Köln: Böhlau, 2009). My thesis primarily engages with the limited number of analytical writings pertaining to the Piano Concerto Op. 7.

years later. The analytical results of previous studies thus prompt the primary research question of my own analysis: to what degree does the concerto exhibit internal logic?

How did the concerto formally evolve from the single-movement Concertsatz?

Lindeman poses a question that provides a secondary goal for this study: “How did Wieck arrive at this radical design?”⁴⁷ Whereas we cannot know exactly how Wieck approached the intricate compositional process, I believe that the formal design of the concerto as a work in itself can provide insight into some compositional decisions. I propose that the inventive form is not first and foremost an assortment of novel practices adopted from contemporaries, but rather a direct consequence of Wieck’s decision to construct a tripartite concerto from her autonomous *Concertsatz*. This means that the internal devices of the Finale influence compositional decisions in the preceding movements, and ultimately impact the formal identity of the complete work. To be sure, Wieck did adopt practices from her colleagues, but the question of how the same practices function differently in the unique context of her concerto remains unanswered.

This thesis attempts to offer a fresh perspective by analyzing the concerto’s movements in their order of composition rather than their order of performance. In other words, analyzing the Finale, first movement, and second movement respectively enables me to identify some of the potential challenges that Wieck encountered when she constructed the first and second movements to accommodate the formal organization of her autonomous *Concertsatz*.⁴⁸ In this way, my thesis produces a novel means to

⁴⁷ Lindeman, *Structural Novelty and Tradition*, 137.

⁴⁸ For more information on the order of composition, see Reich, *Clara Schumann: The Artist and the Woman*, 296-298. Wieck recorded the beginning of the first movement in her diary on June 17, 1834 and performed the second movement and Finale on June 22, 1835. She indicated in her diary on November 9, 1835 that she did not complete the first movement until just prior to the first performance. The first movement was therefore finished last, but since there is no mention of the second movement prior to the

understand how Wieck fashioned such an innovative design, and provides a new approach to the question of formal unity. We already know that the concerto somewhat conforms to early Romantic formal practices because the linked movements and combined tutti/solo exposition are traceable to Wieck's contemporaries. A better understanding of the specific challenges inherent in integrating an independent work into a new larger-scale form, however, sheds light on its internal logic.

Methodology and Chapter Outline

This study requires two sets of analytical tools in order to begin addressing the question of unity posed by critics in the 1830s and left unanswered in the 1990s: a means to evaluate the concerto's formal functions at various hierarchal levels (i.e. intrathematic and interthematic relationships) and a method to consolidate these functions into an overall formal scheme that spans the entire composition and exposes strengths as well as potential weaknesses in the form. Unfortunately, there is no unified theory of Romantic form that fully accommodates the countless idiosyncratic formal layouts in nineteenth-century works.⁴⁹ We can, however, adapt existing methodologies to discuss the unique formal functions of specific compositions. With this in mind, my thesis relies on two theories to address the formal functions and comprehensive unifying devices of the Piano Concerto Op. 7 respectively: William E. Caplin's theory of formal functions and Steven Vande Moortele's theory of two-dimensional sonata form.

commencement of the first movement, this study speculates that she conceptualized and initiated the first movement before the second movement.

⁴⁹ On this topic, see Steven Vande Moortele, "In Search of Romantic Form," Review of *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*, by Janet Schmalfeldt, *Music Analysis* 32 no. 3 (2013): 408.

Caplin's theory enables analysts to determine whether musical units convey an initiating, medial, or concluding function based on their inherent traits.⁵⁰ These functions take on different guises depending on their hierarchical level. For example, intrathematic functions encompass the formal functions within themes such as presentations in sentences, antecedents in periods, etc. The initiating, medial, and concluding functions in a sentence would therefore exist in the form of a presentation, continuation, and cadential idea respectively.⁵¹ Interthematic functions, on the other hand, comprise formal paradigms at a higher level within the movement, such as main themes, transitions, subordinate themes, etc.⁵² These formal functions may additionally be described as "tight-knit" (i.e. exhibiting tonal consistency, closure via perfect authentic cadences, clear-cut harmonic progressions, symmetrical groupings, and motivic uniformity) or "loose-knit." (i.e. exhibiting loosening techniques including, but not limited to, distant tonicizations, harmonic ambiguity, extensions, and expansions).⁵³ Wieck's use of loosening techniques will play a fundamental role in this analysis.

Caplin's theory provides a diverse set of models and exceptions to describe Classical form(s). It has, of course, limitations when applied to an early Romantic concerto because the theory pertains solely to the instrumental works of Haydn, Mozart, and Beethoven ca. 1780-1810.⁵⁴ Caplin does not examine trends outside the Viennese School, such as the stylistic innovations, which were already underway in the concertos

⁵⁰ William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998), 43.

⁵¹ Ibid., 9-12 and 17.

⁵² Ibid., 17.

⁵³ Ibid., 84-85 and 101-111.

⁵⁴ Ibid., 3.

of Jan Ladislav Dussek and John Field by the end of this era.⁵⁵ Early Romantic works challenge the boundaries of this toolset through the loosening of traditionally tight-knit structures and vice versa, and a trend towards hierarchal complexity emerges, which increases the range of formal functions.⁵⁶ In other words, we begin to see a pattern towards the construction of larger forms out of smaller forms, as well as more diverse combinations and layering of formal functions.

In the particular case of Wieck's Op. 7, thematic variation is a primary source of continuity across the span of the concerto, but analysts have not examined the distinct formal make-up of the cyclical themes. An analysis of melodic-motivic content alone does not clarify formal syntax, and therefore neglects a fundamental compositional constituent. Furthermore, an analysis of formal functions in the Finale is necessary to provide context for the nonconformities present in the prior movements. For example, Wieck had to craft thematic structures in the first movement that appropriately contrast with their counterparts in the Finale, but also function to integrate both movements into the concerto as a whole. This proves complicated, however, because formally stable or "tight-knit" features of the Finale bolster its independence as an autonomous work, but a third movement is traditionally "loose-knit" in comparison to a first movement.⁵⁷ Formal functions in the first movement will drastically differ from those in the Finale because they must accommodate pre-existing self-contained functions.

My thesis provides an interthematic analysis of the whole concerto, as well as an intrathematic analysis of its most salient themes. In doing so, I identify the loosening

⁵⁵ Lindeman, *Structural Novelty and Tradition*, 27-29.

⁵⁶ Vande Moortele, "In Search of Romantic Form," 412-413.

⁵⁷ Charles Rosen, *Sonata Forms* (New York: W. W. Norton & Company, 1998), 98. For "tight-knit" and "loose-knit" themes, see Caplin, *Classical Form*, 84-86.

techniques and formal processes Wieck applies to the thematically similar content in order to accommodate the unique role of each movement in the overall work.

Approaching this concerto in order of composition, that is, beginning with the autonomous Finale, will clarify how formal functions in the first and second movements facilitate Wieck's adaptation of an autonomous concert piece into the third movement of a tripartite concerto.

Steven Vande Moortele's Two-Dimensional Sonata Form, 2009

After a comprehensive form-functional analysis of the three movements in order of composition, I will discuss how the concerto's formal idiosyncrasies may be integrated into a broader formal design using Vande Moortele's theory of two-dimensional sonata form. Vande Moortele observes how several large-scale single-movement works from the late nineteenth and early twentieth century combine elements of both a multi-movement sonata cycle and an "overarching sonata form" that resembles its single-movement counterpart, but spans the entire multi-movement composition. These two "dimensions" reside on the same hierarchal level and engage in complex interactions.⁵⁸ The Piano Concerto Op. 7 does not constitute a complete two-dimensional sonata form, but I propose that it is an important part of that genre's prehistory. Vande Moortele suggests that "many large-scale single-movement compositions of the first half of the nineteenth century [allude] to multi-movement patterns," and lists the piano concertos of Ignaz Moscheles as participants in this prehistory.⁵⁹ In doing so, he provides a strong

⁵⁸ Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 23.

⁵⁹ Vande Moortele, *Two-Dimensional Sonata Form*, 7.

connection to Wieck's concerto because Wieck borrowed compositional practices from Moscheles.⁶⁰

Vande Moortele does not analyze such works or provide guidelines on how to address the challenges encountered when applied to early nineteenth-century forms. This means that there is no theoretical framework perfectly adapted to compositions that only partially display a two-dimensional sonata form. I will not attempt to force the Piano Concerto Op. 7 into an incompatible mold, but I will treat two-dimensional sonata form as a flexible set of concepts that can accommodate diverse formal constructions and account, at least in part, for the otherwise elusive cohesion of large-scale single-movement compositions. In other words, this analysis assumes that a two-dimensional sonata form can exist in varying degrees that range from a vague projection via an open-ended first movement and subsequent thematic recalls, to a fully developed work like Liszt's B-Minor Sonata, in which a complete overarching sonata form is present and elegantly interwoven with the cycle.⁶¹ Vande Moortele's key concepts (identification, interpolation, exocyclic units, as well as direct and indirect thematic integration) will be discussed in Chapter 3.

The Formal Implications of Virtuosity

The aforesaid theories provide diverse analytical tools to examine musical form. A supplementary theoretical framework, however, is necessary to discuss a fundamental

⁶⁰ MacDonald, "Critical Perception and the Woman Composer," 34-36. MacDonald suggests that Wieck adopted innovations from Moscheles' 1833 Piano Concerto Op. 90 No. 6 in B-flat Major (*Fantastique*), as well as his 1835-1836 Piano Concerto Op. 96 No. 7 in C Major (*Pathétique*). Furthermore, she reveals that Robert Schumann wrote a review of the Piano Concerto Op. 90 that contained the same criticism of unity directed towards Wieck. He cautioned that linked movements prevent the formation of a "satisfying whole," and while one might strike a balance, "the aesthetic hazards are too great compared to what might be gained." In this way, MacDonald places the Piano Concerto Op. 7 directly within the prehistory indicated by Vande Moortele.

⁶¹ See Vande Moortele, *Two Dimensional Sonata Form*, 35-58 for a complete analysis of Liszt's B-Minor Sonata.

component of European concert culture in the 1830s, namely, the incorporation of bravura and its formal consequences. There is no such methodology, so I propose an approach that combines previous analytical studies with Caplin's theory of formal functions in order to elucidate the formal role of virtuosity. As previously indicated, Klassen suggests that Wieck integrated virtuosic passagework into the form of the Finale.⁶² Furthermore, Walker-Hill states that the bravura of Kalkbrenner, Pixis, and Herz is empty passagework,⁶³ but she does not indicate what differentiates this material from similar gestures in the Piano Concerto Op. 7. The theoretical framework must therefore take the formal functions of virtuosic content into account, and produce a method to differentiate between bravura for its own sake, and virtuosity that accomplishes a particular formal objective.

MacDonald hints at a possible theoretical framework in her 2005 book, *Robert Schumann and the Piano Concerto*. She echoes the sentiments of Robert Schumann, and she praises concertos that “[build] connections rather than [play] up disruptions,” as well as virtuosic passages where “the clear divisions of the old form [are not] obscured.”⁶⁴ For the purpose of this study, I propose that well-integrated virtuosity permits the incorporation of passagework without detriment to the necessary formal functions. If the bravura disrupts formal functions (i.e. modulatory passagework expands the transition in a recapitulation to the point where it negates the required tonic resolution), then the composer must make accommodations and clarify syntax by altering additional formal functions elsewhere in the layout.

⁶² Klassen, *Die Virtuosin als Komponistin*, 117.

⁶³ Walker-Hill, “Neglected Treasure,” 24.

⁶⁴ Claudia MacDonald, *Robert Schumann and the Piano Concerto* (New York: Routledge, 2005), 93 and 96.

Chapter Outline

The components of my thesis are organized as follows. Chapter 1 addresses the unique formal and tonal layout of the Finale as an autonomous composition, and clarifies the movement's interthematic and intrathematic paradigms from which Wieck bases the concerto as a whole. This analysis also treats the Finale as a formally progressive work despite its apparent tonal stasis early on. Chapter 2 examines the subsequently composed first and second movements, compares their formal functions to those of the Finale, and speculates on the motivations for their innovative practices. Finally, Chapter 3 consolidates the findings in the previous chapters, and constructs a graphic model of the Piano Concerto Op. 7 as a “proto”-two-dimensional sonata form. This overall model exposes a higher degree of formal unity within the work.

Chapter 1

Chapter 1 provides a comprehensive guide to the Finale's formal processes, and will serve as a point of reference for examination of the subsequently composed first and second movements. This analytical approach contrasts with studies by Klassen, Walker-Hill, MacDonald, and Lindeman, which assess the concerto's first movement (*Allegro Maestoso*), second movement (*Romanze*), and Finale respectively and relate the Finale to the preceding content. Such studies have the advantage of exposing multiple innovative features in the concerto, including a high degree of thematic continuity, unconventional key choices, and inclusion of contemporary formal practices, which shed some light on how Wieck conceptualized her radical work. I believe, however, that the idiosyncratic form of the third movement is the best place to search for clues that elucidate the formal layout of the concerto as a whole. The Finale is the foundation of the concerto, and therefore constitutes an excellent starting point for this study.

A fundamental nonconformity of the Finale concerns what I call its “deceptive stability.” MacDonald observes an atypical lack of tonal activity in the first half of the third movement, and suggests that its tonal stasis and disproportionate length compensate for the first movement's harmonic ambiguity and lack of recapitulation.¹ The Finale's tonal stability, however, falsely implies a lack of noteworthy formal design, which perhaps explains why analytical studies observe the Finale almost exclusively in relation to the previous movements. An analysis of the Finale as an autonomous work, however, reveals more about its own internal mechanisms. It may appear to be stable and

¹ Claudia MacDonald, “Critical Perception and the Woman Composer: The Early Reception of Piano Concertos by Clara Wieck Schumann and Amy Beach,” *Current Musicology* 55 (1993): 31.

potentially insipid in comparison to the first movement, but this stability is in fact a byproduct of intricate and innovative formal processes within the movement as a self-sufficient entity. In this case, tonal stability must not be misinterpreted as formal traditionalism.

My proposal that Wieck constructed the innovative design of the complete concerto to accommodate several self-contained features in the Finale allows me to critique, recontextualize, and expand on previous studies. If some of Wieck's compositional choices in the first and second movements are direct consequences of her decision to construct a large-scale single-movement composition from her already autonomous *Concertsatz*, then tonal stability in the Finale can still be understood to balance harmonic ambiguity in the first movement as MacDonald suggests. The perspective developed in this chapter, however, also considers why Wieck breaks from tradition in the first movement by employing abrupt modulations and ambiguous harmony such as successive diminished seventh chords, thus contributing another dimension of understanding to the current literature. Previous studies expose the innovative design of the concerto, but examining the work in order of composition illuminates how she came up with its innovative formal and tonal design.

My study begins with an analysis of the Finale's general layout, and works inward to address its more intricate formal functions. The first part of this four-part chapter therefore examines interthematic functions, or the thematic and tonal organization of sections at the level of the complete movement.² These include all statements of the main theme (refrains) and contrasting sections (couplets) in a rondo form. Wieck constructs a

² On interthematic and intrathematic functions, see William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998), 17.

relatively complex sonata-rondo form, however, which can be divided into the principal units of a sonata: exposition, development, and recapitulation.³ Parts II, III, and IV look at the intrathematic functions of these units.

Part I – Finale: Overview

The Finale comprises the conventional thematic organization of a sonata-rondo: ABACABA. As illustrated in Figure 1.1, the first three sections (refrain, couplet, and refrain 2, or “ABA¹”) constitute the exposition. The orchestral development (labeled “C” on the table) serves as the sonata development, and the concluding three sections (refrain 3, couplet 2, and coda, which are identified as “A²B¹A³”) provide the recapitulation. The Finale contains the traditional formal units in a sonata-rondo, but two principal features complicate the movement as a whole.

Figure 1.1 – Finale: Sonata-Rondo (Thematic Scheme)

<i>Exposition</i>					<i>Development</i>	<i>Recapitulation</i>			
<i>Section</i>	Refrain	Couplet	Refrain 2	Virtuosic Interpolation	Orchestral Development	Refrain 3	Solo Development	Couplet 2	Coda
	A	B	A ¹	<i>Spielepisode</i>	C	A ²	<i>Spielepisode</i>	B ¹	A ³
<i>Key</i>	i	i	I	I	I→VI→iii →VI	i→ ^b I →i→I	Modulatory	v→V	i
<i>Measure</i>	5-24	35-57	95-112	112-154	154-200	201-218	218-254	254-274	290-356

First Feature: Spielepisoden

The reader may have noticed that two sections in Figure 1.1 are shaded. These sections represent the first large-scale feature that we will examine. The *Spielepisoden*,

³ See Caplin, *Classical Form*, 231-241 for an overview of five-part rondo form and sonata-rondo form.

which will be discussed in more detail below, comprise non-thematic passagework that showcases the technical skill and virtuosity typical of the nineteenth-century European concert setting.⁴ These optional “display episodes” or “digressions” appear in the works of early Romantic composers including John Field and Frédéric Chopin, and often demonstrate developmental characteristics such as a high level of tonal flux.⁵ Their formal function, however, depends on the context of the individual compositions. In the Finale, both shaded sections serve a virtuosic purpose, but their internal characteristics are quite different from one another. I have labeled the first *Spielepisode* as a “virtuosic interpolation” and the second as a “solo development” to better describe their different content and formal functions.⁶

The virtuosic interpolation from mm. 112-154 remains in the key of its bordering interthematic functions (namely, A major) and employs extensive virtuosic gestures. This additional passagework appears to lack any formal purpose and sits innocuously between the exposition and development, allowing Wieck to exhibit her technical skills. The formal role of the second *Spielepisode*, however, is clear (if disruptive) despite this section’s irregular position in the recapitulation. The recapitulation of a sonata-rondo

⁴ Carl Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, trans. Mary Whittall (New York: Oxford University Press, 1991), 101. Dahlhaus writes, “The second subject is usually followed by quite a long, non-thematic section, the self-sufficiency of which is denied in sonata form theory by means of a terminological feint: the expression ‘second group’ – in place of ‘second subject’ – is justified in so far as it acknowledges the separation of the tonal and the thematic elements, but it also serves to play down the non-thematic continuation of the second subject, as a mere prolongation of little or no functional significance. Only in descriptions of solo concertos did it acquire a name of its own, where the difference between the lyrical second subject and the virtuoso ‘display episode’ was impossible to overlook.”

⁵ Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 42. See also Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (New York: Pendragon Press, 1999), 23-31 and John Rink, *Chopin: The Piano Concertos* (Cambridge: Cambridge University Press, 1997), 4-5. Rink suggests that the *Spielepisoden* can also occur after the main theme in an exposition or recapitulation.

⁶ Caplin defines an “interpolation” as “musical material that is inserted between two logically succeeding formal functions, yet seeming not to belong to either function,” *Classical Form*, 55.

form traditionally states the refrains and couplets in the tonic key, but the *Spielepisode* develops the refrain and contains the highest level of tonal instability in the movement. In fact, this tonal and formal unrest compensates for a lack of substantial tonal activity in the orchestral development, which offers relatively little key variety to juxtapose the stasis of the exposition. Wieck thus allows two developments to take place in the movement. The orchestral development from mm. 154-200 presents the movement's highest level of formal looseness whereas the solo development diversifies the key areas at precisely the point where one expects the highest degree of tonal stability in a sonata-rondo. Wieck therefore fractures the traditional tasks of a development into two formal areas and uses the second developmental section to showcase her technical skill through virtuosic content. As we are about to see, however, the inclusion of a solo development in the recapitulation introduces complications related to the movement's tonal layout.

Second Feature: Irregular Tonal Areas

The movement's second principal deviation results from Wieck's irregular choice of keys. As noted above, MacDonald suggests that tonal stasis in the first half of the Finale balances harmonic ambiguity in the first movement.⁷ Figure 1.1 illustrates how the exposition and the pseudo-core of the orchestral development emphasize either the tonic key of A minor or its parallel major. By Classical standards, the first couplet should arrive in the subordinate key and refrain 2 should reiterate the tonic key.⁸ Wieck does not follow this custom, however, and presents the first couplet in the tonic key and refrain 2 in A major. Moreover, the orchestral development opens with thematic material from that A-major refrain and the movement does not depart from A as a tonal base until mid-way

⁷ MacDonald, "Critical Perception and the Woman Composer," 31.

⁸ Caplin, *Classical Form*, 235.

through the orchestral development. The lack of tonal diversity, in addition to thematic continuity between the refrains, couplet, and development, generates the aforesaid stasis.

This lack of tonal variety leads to considerable tonal movement in the recapitulation. Refrain 3 arrives in A minor, but abruptly modulates to the distant key of A-flat major. This nonconformity is significant not only because Wieck uses A-flat major as the key of the second movement, but also because the Finale inserts this unexpected key during what should be the most tonally stable reiteration of the refrain. Refrain 3 cadences in A major, and the solo development continues to journey through multiple keys. Couplet 2 should also take place in A minor, but Wieck employs E minor and E major instead – the subordinate keys that should have appeared in the first couplet. In other words, Wieck reverses the appropriate tonal areas in the exposition and recapitulation.⁹ The coda delivers the required tonal resolution, but it bears only minimal melodic-motivic resemblance to the refrain. This means that the thematic and tonal recapitulations only correspond for five measures in refrain 3 before they splinter.

⁹ The inspiration behind this unique tactic is traceable to Frédéric Chopin. In his 1830 Piano Concerto Op. 11 in E Minor, Chopin uses the tonic major in unorthodox sections and switches the tonal roles of the exposition and recapitulation in the first movement. According to Lindeman, Chopin places the secondary theme in the tonic major in the exposition, but uses the major mediant, which is the most common subordinate key area of a minor-key concerto, in the recapitulation. See Lindeman, *Structural Novelty and Tradition*, 24. Janina Klassen also highlights the Piano Concerto Op. 11 in E Minor as one of five works that form an integrated theory for the Piano Concerto Op. 7 in *Clara Wieck-Schumann, die Virtuosin als Komponistin: Studien zu ihrem Werk* (Kassel: Bärenreiter, 1990), 122 and 131-132. She mentions the unusual keys, and although she does not specify that Wieck used a similar reversal of tonal roles in her Finale, Klassen suggests that Wieck drew harmonic influence from Chopin. Claudia MacDonald also states that Wieck attended an 1832 performance of Chopin's concerto in Paris, and subsequently added the work to her repertoire in *Robert Schumann and the Piano Concerto* (New York: Routledge, 2005), 105.

Explanation: Fracturing of Thematic and Tonal Roles

We can gain a better understanding of the motivation behind the Finale’s principal deviations by taking the fracturing of thematic and tonal schemes into account.¹⁰ As stated earlier, Wieck inserts a virtuosic interpolation and a second development into the form to highlight the technical skills and showmanship of the soloist. She also uses unconventional key areas, which do not line up with their corresponding sections in a traditional sonata-rondo. The tonic coincides with the refrains at three points in the form, which are separated by two escapades into diverse key areas. The tonal organization therefore resembles that of a five-part rondo form (ABACA) instead of a sonata-rondo form (ABACABA).¹¹ The three sections where the refrain and tonic key coincide under “A” frame the two development sections, which reside under “B” and “C” in the tonal scheme. The overall form of the Finale can therefore be understood as a thematic sonata-rondo form superimposed onto a five-part rondo tonal layout. Figure 1.2 shades the areas where tonic and refrain coincide to emphasize the five-part tonal layout in comparison to the seven-part sonata-rondo thematic scheme.

Figure 1.2 – Finale: Five-Part Rondo (Tonal Scheme)

	A		B			A	C		A
Section	Refrain	Couplet	Refrain 2	Virtuosic Interpolation	Orchestral Development	Refrain 3	Solo Development	Couplet 2	Coda
	A	B	A ¹	<i>Spielepisode</i>	C	A ²	<i>Spielepisode</i>	B ¹	A ³
Key	i	i	I	I	I→VI→iii →VI	i→bI →i→I	Modulatory	v-V	i
Measure	5-24	35-57	96-112	112-154	154-200	201- 218	218-254	254- 274	290- 356

¹⁰ Pál Richter discusses Robert Schumann’s fracturing of thematic and tonal roles in “The Schumannian déjà vu: Special Strategies in Schumann’s Construction of Large-Scale Forms and Cycles,” *Studia Musicologica Academiae Scientiarum Hungaricae* 44 (2003): 310.

¹¹ Caplin, *Classical Form*, 231-235.

The movement's thematic and tonal fracturing is a direct result of the nineteenth-century concert culture's requirement for virtuosity. A development serves to destabilize thematic and tonal content, and this could be achieved in one single section. Wieck, however, uses a second development to present bravura material. In order to do so without redundancy, she allocates thematic and tonal developmental roles to the music between the two unstable sections. The orchestral development, on the one hand, loosens and elaborates the thematic content to the greatest degree in the Finale and presents the robust textural highpoint of the overall concerto. The solo development, on the other hand, is the most active modulatory section in the movement and presents the most impressive virtuosic gestures. Wieck therefore thematically and tonally splits the developmental space to accommodate virtuosic passagework in the second *Spielepisode*.

Unlike the solo development, the first *Spielepisode* functions as a virtuosic interpolation in both the thematic and tonal schemes and does not create formal deviations. It sits between the exposition and development in the seven-part sonata-rondo scheme, and between refrain 2 and the orchestral development in the first B section of the five-part tonal layout. The virtuosic interpolation therefore serves no particular formal role in either the five- or the seven-part rondo schemes, but acts as an interpolation in both superimposed orders. In this way, Wieck successfully integrates the first *Spielepisode* without needing additional thematic or tonal adjustments.

Simple modifications to the layout enable a hypothetical reconstruction of the Classical sonata-rondo form, thus revealing the significance of the solo development in the entire movement. The exposition resides predominantly in the tonic key because the recapitulation contains an additional development that thwarts the reacquisition of tonal

stability in its traditional location. Unconventional tonal stability in the first half of the movement therefore balances out the solo development, and the role reversal of the exposition and recapitulation would have no apparent motivation without the virtuosic passagework. Figure 1.3 shows a hypothetical layout in which the virtuosic interpolation and solo development are absent and the keys of the exposition and recapitulation are reversed. Note how we can eliminate the five-part rondo tonal scheme and produce a much stronger resemblance to the Classical sonata-rondo by switching the exposition and recapitulation keys. Indeed, minimal adjustment of tonality in the outer sections completely reconstructs the form (see parentheses in Figure 1.3). If a hypothetical removal of virtuosity can “fix” formal anomalies in this concerto, then the actual presence of that virtuosic content has conversely helped clarify formal innovations in Wieck’s *Concertsatz*, and could perhaps do so in other Romantic works.

Figure 1.3 – Finale: Hypothetical Sonata-Rondo Form

	<i>Exposition</i>		<i>Development</i>		<i>Recapitulation</i>		
<i>Section</i>	Refrain	Couplet	Refrain 2	Orchestral Development	Refrain 3	Couplet 2	Coda
	A	B	A ¹	C	A ²	B ¹	A ³
<i>Key</i>	i→ ^b I→i→I (i)	v-V	i	I→VI→iii →VI	i	i	I (i)
<i>Measure</i>	5-24	35-57	96-112	154-200	201-218	254-274	290-356

- a) Virtuosic interpolation and solo development removed
- b) Exposition and recapitulation keys reversed
- c) Tonal adjustments (in parentheses)

Conclusion

This formal overview of the Finale makes headway on the question of how Wieck crafted the radical design of the complete concerto. She was, foremost, a piano virtuoso. The thematic and tonal fracturing featured in the Finale facilitates the incorporation of virtuosic passagework that would otherwise disrupt the flow of the movement and complete concerto. In other words, this deviation generates ramifications that Wieck addressed in unconventional ways. Virtuosity is therefore the catalyst for several idiosyncrasies in the Finale, and the unique layout of this autonomous movement will pose challenges in the integration of a first and second movement.

Part II – Finale: Exposition

A thorough grasp of the exposition is vital to this analysis because the entire concerto derives melodic-motivic material from a principal thematic unit introduced by the solo piano in mm. 5-8. An orchestral link with timpani and trumpet connects the second movement to the third movement from mm. 1-4 and heralds the piano entry like a bold proclamation. For this reason, I call the principal thematic unit and its variations in all three movements the fanfare melody. (See Example 1.1)

Example 1.1 – The Fanfare Melody (mm. 5-8)



I will use the term “variation” in exclusive reference to instances where Wieck derives melodic-motivic content from the fanfare melody, and refer to changes in intrathematic function as “functional adjustments” to avoid confusion. Wieck presents the fanfare melody in different formal guises, such as a compound basic idea or an antecedent phrase, for example, and adjusts its intrathematic functions to suit the unique concepts of the three movements. A distinction between changes in melodic-motivic content and intrathematic function is therefore imperative.

Wieck employs a thematic variation of the fanfare melody in the Finale’s first couplet, which unifies the exposition (A-B-A¹) in terms of melodic-motivic content. The formal overview above suggests that the exposition contains unusual tonal stability because Wieck switched key areas with the recapitulation, whereas the exposition was left without the customary juxtaposition of tonic and subordinate keys or thematic material. Wieck instead begins with maximum formal stability in the refrain and uses functional adjustments to gradually craft that refrain’s formal unraveling in the first couplet and refrain 2. (See Figure 1.4) The unifying concept of the exposition, as we will see, is therefore a process of progressive formal loosening.

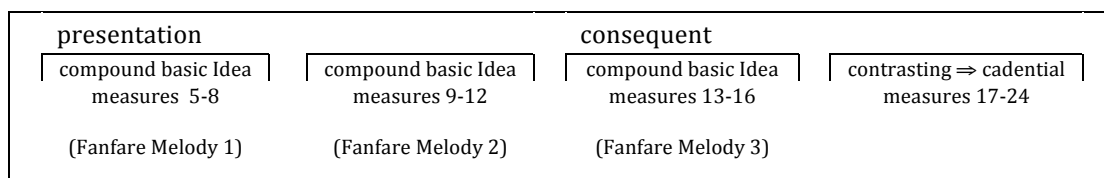
Figure 1.4 – Finale: Exposition

<i>Exposition</i>							
<i>Section</i>	<i>Link</i>	<i>Refrain</i>	<i>Closing Section</i>	<i>Couplet</i>	<i>Closing Section</i>	<i>Transition</i>	<i>Refrain 2</i>
		A	(A)	B	(B)	(B)	A ¹
Key	V of i	i	i	i	i	i → III →	I
Form		“Compound Hybrid”		Compound Sentence			Compound Sentence
Measure	1-4	5-24	24-34	35-57	57-68	70-95	96-112

Refrain: Maximum Formal Stability

Measures 5-24 encompass the refrain of the Finale and provide the highest level of formal stability in the movement. After the orchestral link from mm. 1-4, the refrain begins with two statements of the fanfare melody as a four-measure compound basic idea (an antecedent phrase without cadence), which will hereafter be called a cbi. The two cbi phrases resemble a large-scale presentation. This compound theme, however, does not fulfill the criteria of a compound sentence outlined by Caplin because Wieck follows the presentation with a large-scale consequent phrase instead of a continuation, thus producing a compound hybrid theme-type that Caplin does not describe in *Classical Form*. Caplin does, however, identify a rare hybrid at the 8-mm level of the sentence and period, which can be adapted to encompass the compound refrain. Caplin's "uncommon hybrid type" features a presentation (basic idea + basic idea) and consequent phrase (basic idea + contrasting idea). This combination rarely occurs in the works of Haydn, Mozart, and Beethoven because it contains three statements of the basic idea, causing disproportionate tonic prolongation and thematic repetition.¹² Figure 1.5 and Example 1.2 demonstrate how the Finale's refrain reproduces this rare hybrid on a larger scale, with a triple iteration of the cbi. As a compound theme, this markedly repetitive hybrid opens the Finale with extreme formal stability.

Figure 1.5 – Refrain: "Compound Hybrid"



¹² Caplin, *Classical Form*, 61-63.

¹³ I will use the 1837 *Hofmeister* first edition piano score with orchestral cues for my analysis, which I have cross-referenced with Klassen's 1990 edited full score to ensure consistency. No autograph exists for the first or second movements, but Klassen based her version on the *Hofmeister* edition and the third movement autograph score located in the Deutsche Staatsbibliothek (Mus. ms. 20 427). See Clara Schumann, *Konzert für Klavier und Orchester* (Leipzig: Hofmeister, 1837) and Clara Schumann, *Konzert für Klavier und Orchester*, ed. Janina Klassen (Hamburg: Breitkopf & Härtel, 1990). Klassen lists her sources in the preface to the score.

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After the refrain's three statements of the fanfare melody as a cbi, a contrasting idea begins at m. 17 and the listener anticipates closure at m. 20. However, Wieck twice abandons the cadence by resolving cadential V6/4 chords to V4/2 chords, instead of the root position dominant, thus postponing the A-minor perfect authentic cadence (PAC) until m. 24. (See Example 1.2) This appeal to what Janet Schmalfeldt has called the "One More Time technique" (OMT) allows Wieck to bring a degree of looseness to the unconventionally tight-knit formal area and to elaborate the otherwise succinct repetitions of the fanfare melody.¹⁴ As we will see, Wieck increasingly loosens tight-knit themes throughout the Finale, using various loosening procedures including expansion via the OMT technique.

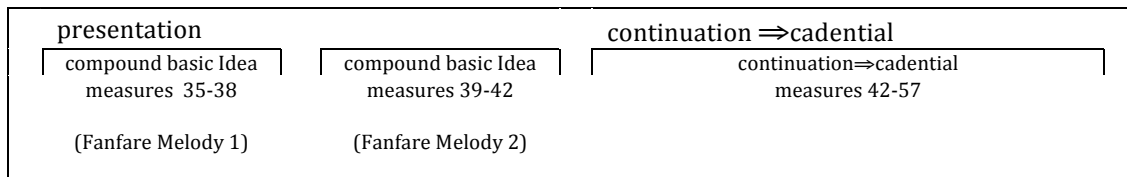
Couplet: Formal Loosening via Removal of Repetitions

The couplet uses a variation of the fanfare melody and remains in the tonic key, thus fostering a strong resemblance to the previous section. Wieck converts the original ascending scalar gesture into rising blocked chords, and delicate falling arpeggiations comprise a new large-scale continuation⇒cadential function in place of a consequent phrase. Like the refrain, the couplet achieves loosening through expansion, but also through removal of repetitions. For example, the refrain employed the compound version of a rare hybrid resulting in three statements of the fanfare melody. The third statement, however, is absent in the couplet, thus removing one fundamental element of stability present in the refrain. In this way, the couplet presents the first signs of gradual formal loosening in the exposition through a functional adjustment.

¹⁴ Janet Schmalfeldt, "Cadential Processes: The Evaded Cadence and the 'One More Time' Technique," *Journal of Musicological Research* 12 no. 1 (1992): 1-52.

Measures 35-42 include a twofold statement of the modified fanfare melody as a cbi and also create a large-scale presentation. The continuation begins at m. 42, making the overall form of the couplet a compound sentence.¹⁵ (See Figure 1.6) In a method similar to the main theme, however, Wieck expands the theme by abandoning, then evading the cadence. The expected cadential dominant materializes instead as a V6/5 chord in m. 49, motivating a second cadential attempt that also fails when V7 deceptively progresses to VI in m. 55. A PAC finally arrives in A minor at m. 57.

Figure 1.6 – Couplet: Compound Sentence



There is a vital difference, however, between the processes of expansion that occur in the couplet and refrain. The latter uses the OMT technique to evade cadences, creating a chain of melodic-motivic repetitions. Like the third statement of the fanfare melody, these repetitions are absent in the couplet. (See Example 1.3) The compound sentence of the couplet therefore follows a similar model as the refrain in that both employ expanded structures, but the couplet is significantly less stable as a result of absent repetitions.

¹⁵ For more information on the compound sentence, see Caplin, *Classical Form*, 69.

Handwritten musical score for "The Swan" by Camille Saint-Saëns. The score is written for piano and voice, with various annotations and markings.

Annotations and Markings:

- Top System:**
 - Presentation* (handwritten above the staff)
 - Solo.* (handwritten above the staff)
 - ff Ped.* (handwritten below the staff)
 - viio²/V* (handwritten below the staff)
- Second System:**
 - lead-in* (handwritten above the staff)
 - Continuation Cadential* (handwritten above the staff)
 - sf* (handwritten below the staff)
 - ff Ped.* (handwritten below the staff)
 - Ped.* (handwritten below the staff)
 - p* (handwritten below the staff)
 - Ped.* (handwritten below the staff)
 - Fr⁶ V* (handwritten below the staff)
 - V* (handwritten below the staff)
- Third System:**
 - sf* (handwritten below the staff)
 - mf* (handwritten below the staff)
 - (N^o) Pedal I exp.* (handwritten below the staff)
- Fourth System:**
 - sf* (handwritten below the staff)
 - dimin.* (handwritten below the staff)
 - con anima.* (handwritten below the staff)
 - cres.* (handwritten below the staff)
 - cadence OMT* (handwritten below the staff)
 - (viio²)* (handwritten below the staff)
 - (viio²)* (handwritten below the staff)
- Fifth System:**
 - sf* (handwritten below the staff)
 - Ped. p* (handwritten below the staff)
 - Vecllo.* (handwritten below the staff)
 - Deceptive Codence* (handwritten below the staff)
 - PAC* (handwritten below the staff)

At this point, Wieck has not strayed from the tonic key of A minor and this lack of modulation is a primary factor in the abnormal stability of the exposition. Indeed, the arrival of the first couplet in the tonic rather than the subordinate key is a bold deviation.

The closing section continues to prolong the tonic with delicate arpeggiations reminiscent of the couplet, this time ascending, until the arrival of the transition at m. 70. The transition is also based on the descending arpeggiations of the couplet, creating a strong sense of thematic continuity and blurring the distinction between couplet and transition. Here the exposition finally begins to modulate, but to the “wrong” key. Wieck, of course, cannot move to the tonic key in refrain 2 since the exposition has not yet modulated; rather, she moves to the parallel major.

Refrain 2: Formal Loosening via Fragmentation and Chromaticism

The fanfare melody from the first refrain reappears in refrain 2 from mm. 96-112, but the form is a compound sentence – like the couplet – instead of a compound hybrid. Expansion and removal of repetitions again play a role in loosening this overall stable structure, but Wieck also uses fragmentation and chromaticism to enhance the unraveling. The presentation contains two statements of the fanfare melody as a cbi and follows a similar harmonic scheme to the first refrain, albeit in the key of A major instead of A minor. In addition, the second statement contains a brief tonicization of C-sharp minor instead of C major. Wieck follows the large-scale presentation with a continuation, but chromaticism, fragmentation, and melodic variation of the fanfare melody distinguish this section from the original refrain and couplet. Wieck also expands the structure with a deceptive cadence and the OMT technique, but only once before ending the section with a PAC in A major. Refrain 2 therefore uses a combination of expansion, removal of repetitions, fragmentation, and chromaticism to create the loosest form in the exposition.

Conclusion

To sum up this discussion of the exposition, Wieck begins with the maximum level of stability (a rare hybrid with a three-fold repetition of the fanfare melody) and carefully destabilizes the subsequent iterations. The couplet removes both a repetition of the fanfare melody in the presentation and motivic repetitions in the expanded cadential progression, but it follows the basic organization and remains in the tonic key. Refrain 2 removes most repetitions, uses the parallel mode, fragments and varies the fanfare melody, and colours the passage with chromaticism. The exposition of the sonata-rondo form can therefore be explained as a three-part unit (refrain-couplet-refrain 2) designed to strategically loosen a tight-knit model united by thematic continuity.

Part III – Finale: Development

The virtuosic interpolation from mm. 112-154 establishes the boundary between the exposition and the orchestral development, the pseudo-core of which opens with the same melodic-motivic material in the same key as refrain 2. Lindeman labels mm. 112-120 as a “virtuosic episode” and mm. 120-154 as a “new episode” in his analysis,¹⁶ whereas Walker-Hill classifies mm. 112-154 as a single new episode.¹⁷ Wieck undoubtedly composed this nonmodulating bravura material to showcase her skills as a piano virtuoso in a concerto setting, but its absence would have led to formal redundancy. In this way, the passagework is required in the context of the Finale’s unique layout, but not necessarily in the typical structure of a sonata-rondo.

¹⁶ Lindeman, *Structural Novelty and Tradition*, 137.

¹⁷ Helen Walker-Hill, “Neglected Treasure: The Piano Concerto of Clara Wieck Schumann,” *Women of Note Quarterly: The Magazine of Historical and Contemporary Women Composers* 1 no. 2 (1993): 25.

Orchestral Development: Area of Greatest Formal Instability

The development section is the loosest formal area in a traditional sonata-rondo, and Wieck fulfills this role through reharmonization and fragmentation of the original fanfare melody, which she segments into irregular grouping structures. Indeed, this development presents an even higher degree of formal looseness because it lacks a proper core and contains a “false retransition,” that is to say, a retransition that does not lead back to the home key and thus obscures the development’s destination.¹⁸ Measures 154-159 present a three-fold repetition of the fragmented fanfare melody with very loose sequential harmonies, making the unit too brief and fleeting to qualify as a core. For this reason, it is best described as the first unit of a pseudo-core. Figure 1.7 summarizes the layout of the orchestral development.

Figure 1.7 – Orchestral Development

<i>Orchestral Development</i>							
<i>Section</i>	Pseudo-core	Lead-in	Pseudo-core (2nd Unit)	False Retransition	Standing on V	Retransition	Standing on V
	A		A	Fragmentation of A		B	
<i>Key</i>	I	I →	VI	iii →	V of iii	VI →	V of i
<i>Grouping</i>	3x2mm (6)		5x2mm (10)			2x8mm (16)	
<i>Measure</i>	154-159	160	161-170	171-174	174-181	182-197	197-200

Wieck abruptly modulates to F major in m. 160 and the second unit of the pseudo-core begins at m. 161. Unlike a genuine core, this region lacks a large-scale model with sequential repetitions. Furthermore, a dominant pedal subverts any sequence-like quality

¹⁸ James A. Hepokoski and Warren Darcy cite Elaine Sisman’s use of the term “false re-transition” in *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century* (New York: Oxford University Press, 2006), 227-228.

resulting from the successive repetition of units, and there is no fragmentation prior to the false retransition. It does, however, reharmonize the two-measure fanfare melody five times in succession and exhibit the improvisatory style typical of a pseudo-core.¹⁹

The subsequent portions of the development are equally loose-knit. Wieck liquidates the pseudo-core motives through a dynamically recessive four-measure false retransition, which prepares the dominant of C minor instead of A minor and exhibits the fragmentation that customarily follows a core or pseudo-core.²⁰ Wieck then stands on this dominant for four measures. A false retransition typically prepares the wrong key, but this instance is particularly misleading because it both prepares the wrong key of C minor and rapidly modulates back to the development key of F major via diminished seventh chords from mm. 178-181. The “true” retransition that follows in mm. 182-197 heightens this formal ambiguity by employing the continuation from the first couplet, which comprises delicately descending arpeggiations by the piano.

Wieck begins the retransition with an eight-measure phrase without cadence from mm. 182-189, followed by another eight-measure phrase of ascending arpeggiations from mm. 190-197. In this way, the retransition originated as a continuation in the previous couplet, but becomes a periodic theme-like unit in the development – one without a terminal PAC, however, since a retransition does not authentically confirm the tonic key. The phrase from mm. 190-197 therefore modulates back to A minor and ends with a half cadence before the standing on the dominant, which is performed by full orchestra, boldly announces the recapitulation.

¹⁹ For more information on the pseudo-core, see Caplin, *Classical Form*, 155.

²⁰ Caplin, *Classical Form*, 16. Caplin describes a “recessive dynamic” as a phenomenon where “the energy accumulated in the motion toward the cadential goal is dissipated.”

Conclusion

My analysis thus far argues that the Finale can be understood to comprise three distinct formal areas with specific purposes. Firstly, the exposition represents the gradual loosening of an unconventionally tight-knit model presented in the refrain. Secondly, the virtuosic interpolation produces bravura passagework between the exposition and development; and thirdly, the orchestral development provides the highest degree of formal ambiguity. The brief orchestral development in F major (forty-seven measures in total), however, does not appear to sufficiently compensate for the irregular tonal stasis of the exposition, virtuosic interpolation, and first unit of the pseudo-core. This leaves the recapitulation – the most traditionally stable section in a sonata-rondo – to provide the tonal stability absent in the first 160 measures of the movement.

Part IV – Finale: Recapitulation

As stated in Part I of this chapter, Wieck reverses the tonal roles of the exposition and recapitulation to accommodate the insertion of a solo development into the latter. This abnormally located developmental section introduces the highest level of tonal flux in the movement and negates the anticipated reacquisition of stability after the orchestral development. Furthermore, refrain 3 (that is, the onset of the recapitulation) features an unexpected modulation to the distant key of A-flat major, which undermines the recapitulatory nature of that theme. I will refer to mm. 201-356 as the recapitulation for the purpose of this study, but Wieck's construction is extremely atypical. Indeed, she pushes its limits to the point of retrospective reconsideration. The insertion of a solo development does not simply interrupt a work in progress, but forces listeners to reconsider whether or not a true recapitulation is taking place at all. This recapitulation

primarily delivers the tonic-subordinate key juxtaposition between refrain and couplet that should have occurred in the exposition, and provides a more substantial development to compensate for the insufficiencies of its orchestral counterpart. These functions are antithetical to its customary purposes.

Refrain 3: Tonal Allusion to the Second Movement

The recapitulation begins at m. 201 with refrain 3 in the tonic key of A minor. The fanfare melody returns as a *cbi*, which falsely implies that the tight-knit form of the first refrain will prevail. Instead, Wieck interrupts the beginning of the second *cbi* with an abrupt modulation to A-flat major, sudden *ritenuto*, and dynamic change from *forte* to *pianissimo*. The unit is in fact a direct tonal quotation of the *Romanze* superimposed onto the motivic content of refrain 3. This sudden excursion into the realm of the sentimental second movement is strikingly expressive, but it also weakens the recapitulatory function of refrain 3 in order to herald in the solo development. The twofold statement of the fanfare melody as a *cbi* is consistent with the first refrain, but the alternative key, tempo, and dynamics unsettle the structural integrity of the section. In order to return to the key of A minor, Wieck uses the OMT technique to repeat and “correct” the previous unit. Measures 209-210 reinstate the original tempo, dynamics, and key of A minor with a sequential repetition of the conflicting phrase.

The abrupt change in character and restoration through the OMT technique expand the large-scale presentation of the compound sentence, and Wieck makes changes in the following phrases to compensate for the extra measure. The orchestral lead-in from previous iterations of the fanfare melody is absent in refrain 3 and a third repetition of the fanfare melody as a *cbi* would be redundant here. Wieck instead brings back the original

contrasting idea from the first refrain, this time with a continuational⇒cadential function.

A deceptive cadence and abandoned cadence prompt two instances of the OMT

technique, and the section ends with a PAC, albeit in the parallel mode of A major.

Example 1.4 - Refrain 3: Compound Sentence with Tonal Quotation

The musical score is handwritten and spans measures 201 to 217. It features a piano part (left hand) and a solo part (right hand). The key signature is one flat (B-flat major or D minor). The score includes various musical notations and annotations:

- Measure 201:** Labeled "Presentation" and "Solo.". The piano part has a bass line with notes G2, F2, E2, D2, C2, B1, A1, G1. The solo part has a treble line with notes G4, F4, E4, D4, C4, B3, A3, G3. The piano part has a chord of F major (F2, A2, C3) and the solo part has a chord of F major (F4, A4, C5).
- Measure 206:** Labeled "riten.". The piano part has a bass line with notes G2, F2, E2, D2, C2, B1, A1, G1. The solo part has a treble line with notes G4, F4, E4, D4, C4, B3, A3, G3. The piano part has a chord of F major (F2, A2, C3) and the solo part has a chord of F major (F4, A4, C5).
- Measure 210:** Labeled "riten.". The piano part has a bass line with notes G2, F2, E2, D2, C2, B1, A1, G1. The solo part has a treble line with notes G4, F4, E4, D4, C4, B3, A3, G3. The piano part has a chord of F major (F2, A2, C3) and the solo part has a chord of F major (F4, A4, C5).
- Measure 213:** Labeled "f a Tempo.". The piano part has a bass line with notes G2, F2, E2, D2, C2, B1, A1, G1. The solo part has a treble line with notes G4, F4, E4, D4, C4, B3, A3, G3. The piano part has a chord of F major (F2, A2, C3) and the solo part has a chord of F major (F4, A4, C5).
- Measure 217:** Labeled "ritard.". The piano part has a bass line with notes G2, F2, E2, D2, C2, B1, A1, G1. The solo part has a treble line with notes G4, F4, E4, D4, C4, B3, A3, G3. The piano part has a chord of F major (F2, A2, C3) and the solo part has a chord of F major (F4, A4, C5).

Handwritten annotations include:

- "Presentation" above measure 201.
- "Solo." above measure 201.
- "riten." above measure 206.
- "f a Tempo." above measure 213.
- "Continuation ⇒ Cadential" below measure 206.
- "Cadential idea OMT" below measure 210.
- "Deceptive cadence" below measure 213.
- "Abandoned cadence" below measure 213.
- "PAC." below measure 217.

In this case, loosening the refrain through allusion to the second movement drastically alters the function of the OMT technique. Wieck uses the OMT technique to correct the incongruous statement of the fanfare melody and to mitigate rather than exacerbate formal loosening. The tonal quotation, however, still disrupts the sense of recapitulation prior to the solo development, which causes the listener to retroactively reevaluate the function of refrain 3. Wieck provides a single statement of the fanfare melody in the tonic key of A minor from mm. 201-204, but there is no PAC in the tonic key between the orchestral development and solo development. This lack of tonic confirmation brings into question whether or not the development has actually ended. Refrain 3 clearly begins like a recapitulation, but as we will see, the solo development retrospectively reinterprets the section.

Solo Development: Area of Greatest Tonal Instability

Like the virtuosic interpolation between the Finale's exposition and orchestral development, the solo development from mm. 218-250 provides an opportunity for Wieck to showcase her technical skills with rapid passagework. Despite its similarity to mm. 112-154 in gesture and affect, this section functions much differently than its nonmodulating predecessor as a result of both its internal make-up and its position within the movement. Indeed, its clear modulatory organization and arrival at a new tonal goal contrasts with the tonal stasis of the virtuosic interpolation. The solo development begins in A major, undergoes a circle of fifths sequence, tonicizes C-sharp minor and C major, and arrives in E minor for couplet 2. Moreover, the grouping structure becomes less symmetrical as the fanfare melody undergoes fragmentation and variation. In this way, both tutti and solo piano have an opportunity to develop the fanfare melody.

The solo development begins at m. 218 with an eight-measure core consisting of two four-measure variations of the fanfare melody. Unlike in the orchestral development, there is a clear sequential repetition of the model. The second core begins at m. 226 and moves from tonicization of C-sharp minor to C major. Wieck fragments the fanfare melody into five two-measure units played against scalar passages and presents an irregular grouping structure to further loosen the section. Further fragmentation in mm. 236-240 reduces the fanfare melody into four one-measure units, which Wieck metrically displaces by an eighth note, thus loosening the fanfare melody through metric dissonance. Figure 1.8 illustrates the formal layout of the solo development in the recapitulation.

Figure 1.8 – Recapitulation

<i>(False) Recapitulation</i>		<i>Solo Development</i>					
Section	Refrain 3 ⇒ Pre-core A	Core 1	Core 2	Fragmentation	Retransition	Standing on V	Lead-in
Key	i → b I → i → I	Circle of 5ths	C# minor → C major	C major	C major →	V of v	v
Form/ Grouping	Compound Sentence	2x4mm (8)	5x2mm (10)	4x1mm + 4mm (8)	4mm	6mm	4mm
Measure	201-218	218-225	226-236	236-240	240-243	244-250	250-253

<i>(True) Recapitulation</i>				
Section	Couplet 2 B	Closing Section B	Retransition B	Coda A
Key	v → V	V	V → i	i
Form/ Grouping	Compound Sentence	8mm	8mm	Symmetrical Groupings
Measure	254-274	274-282	282-289	290-356

The following retransition is momentous because it emphasizes the arrival of the dominant in the “wrong” key. The retransition encompasses mm. 240-243 and presents a progressive dynamic (an increase in tension or excitement)²¹ prior to standing on the dominant. Rather than standing on the dominant of A minor, however, Wieck builds up the dramatic tension and spontaneously arrives on the cadential 6/4 of E minor at m. 244. Wieck stands on this V6/4 chord for six measures before a bold PAC in E minor sounds in m. 250. The subsequent four-measure tutti lead-in signals the arrival of couplet 2.

The solo development notably contains two cores, fragmentation, a retransition, and a standing on the dominant – but no pre-core. Also, the structure of refrain 3, which begins like a normal recapitulation, tonally reinvents itself to reflect on the *Romanze* and transition into the solo development. Refrain 3 therefore becomes a pre-core in retrospect, which means that the orchestral development and solo development are connected by a false recapitulation. To describe this phenomenon, I have used Schmalfeldt’s symbol for “becoming” in Figure 1.8: refrain 3⇒pre-core, therefore recapitulation⇒false recapitulation.²² This means that the true recapitulation retrospectively begins with Couplet 2 at m. 254. There is no return of the original refrain in the tonic key before the end of the movement, but refrain 3 initiates thematic recapitulation, and the coda provides tonal recapitulation. Thus, the Finale fractures the thematic and tonal resolutions to accommodate the integration of virtuosity into the form.

Couplet 2: Arrival of the Dominant Key

Couplet 2 from mm. 254-274 provides the long-awaited arrival of the dominant key, E major, after tonal stability in the exposition, formal elaboration in the orchestral

²¹ Caplin, *Classical Form*, 15.

²² Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 9.

development, and tonal flux in refrain 3 and the solo development. The Finale, however, does not reacquire formal stability in the recapitulation as a whole because its intrathematic functions do not regain the stability they exhibited in the exposition – particularly in the original hybrid theme. In addition, there is no fully-fledged, uninterrupted return of the refrain in the tonic key before the end of the movement. Couplet 2, which is the recapitulation of the subordinate theme, begins in E minor and modulates to E major instead of reinforcing A minor. Thus, the tonal role reversal between the exposition and recapitulation relies on the coda to secure the resolution of the tonic key.

The presentation in the compound sentence of couplet 2 is very similar to that of the original couplet. The continuation also resembles its counterpart in the exposition, but delivers an IAC instead of a PAC. A five-measure extension elaborates and concludes the melody, but also leads to a PAC in E major before eliding to a closing section from mm. 274-282. In this way, the closing section emphasizes the dominant of A minor, E major, prior to the tonal resolution in the coda. Furthermore, the movement is almost over, but this is the first true appearance of the subordinate key in the Finale. Couplet 2 reveals E major to be the subordinate key that should have appeared in the exposition.

Coda: Reacquisition of Tonal Stability

After an eight-measure retransition modulates back to the tonic key of A minor, the coda presents bursts of virtuosic passagework over tonic harmony in one final display of bravura. Scalar passages, alternating octaves, and syncopations contribute to the vibrant concluding section, as well as bold dynamics, accents, and sforzandos. The climax occurs at m. 340 with a rolled V9 chord marked *fff* and descends into the final

PAC in A minor via blocked chords reminiscent of the couplet theme. The movement ends with 15 measures of post-cadential tonic prolongation.

Conclusion

The integration of virtuosic content into a sonata-rondo form generates various complications that Wieck resourcefully addresses through unconventional means. The use of a virtuosic interpolation facilitates the integration of bravura material without significant formal disruption, but the solo development initiates a succession of repercussions, the most extreme of which culminate in the fracturing of thematic and tonal resolution and the recapitulation taking on the tonal conflict of an exposition. The recapitulation begins in a traditional fashion with refrain 3 in the tonic key, but thwarts the stability through a sudden tonal quotation of the second movement. As a result, refrain 3 retroactively becomes the pre-core of the solo development and the true recapitulation begins at the arrival of the subordinate theme, albeit in the dominant instead of the tonic. Thematic resolution has already taken place, which leaves the coda to provide the final tonal resolution of A minor.

Chapter 2

Wieck needed to construct the first movement (*Allegro Maestoso*) and the second movement (*Romanze*) in ways that counteract the initial function of the *Concertsatz* as an autonomous work, and highlight its new identity as the Finale in a tripartite concerto. The *Allegro Maestoso* and *Romanze* produce two primary methods to accomplish these goals. Firstly, the *Allegro Maestoso* differs from the Finale in that it was not conceptualized, and does not function, as an autonomous composition. Indeed, its formal identity is dependent on the tripartite concerto as a whole. The *Romanze*, in contrast, is both formally and tonally closed, but Wieck enhances continuity across the span of the sonata cycle by integrating various representative elements into the outer movements.

The *Allegro Maestoso* has generated more scholarly interest than the subsequent movements as a result of its departures from Classical convention. These innovations include hierarchal complexity, harmonic ambiguity, and an open-ended formal layout. The *Romanze*, however, has also received attention for its use of the unconventional key of A-flat major (the lowered tonic in A minor) and unprecedented instrumentation of piano and cello (the orchestra is entirely absent).¹ These characteristics are frequent points of discussion, but analysts have not speculated on the motivation behind these idiosyncratic features nor examined the relationships of the first and second movements to the overall concerto beyond general observations.

In order to begin addressing these topics, Chapter 2 presents a comprehensive form-functional analysis of the *Allegro Maestoso* and *Romanze*. I will place particular

¹ Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (New York: Pendragon Press, 1999), 136.

emphasis on the creation of large-scale structures from smaller forms in the first movement, which contrasts with the linearly expanded and extended forms of the Finale. Parts I-III focus on the *Allegro Maestoso* and provide an overview of its formal layout, including a discussion of hierarchal complexity in the slow introduction and exposition, and an analysis of the development and closing tutti respectively. Part IV comprises an examination of the *Romanze* as a slow movement exhibiting a high degree of formal and tonal autonomy. Before beginning these studies, however, I will provide a brief summary of observations by Stephan D. Lindeman and Helen Walker-Hill about the abbreviated form of the first movement, and introduce several concepts that help to elucidate its unique formal design and the analytical challenges it poses.

Formal Condensing and Abbreviation

Lindeman and Walker-Hill both make specific claims about the abridged form of the *Allegro Maestoso*. Lindeman suggests that the first movement is a combination of multiple innovative practices. “The movement,” he writes, “could therefore be considered a combination of the most radical features of the two designs of Wieck’s predecessors: the combined tutti and solo exposition of Mendelssohn and Weber and the ‘short-circuited’ design of Cramer and Alkan, which contains no formal development, recapitulation, or third ritornello sections.”² Like Mendelssohn and Weber in their Piano Concerto in G Minor Op. 25 (1831) and *Konzertstück* for Piano and Orchestra Op. 79 (1823), Wieck abandons the traditional double exposition in favour of a succinct integration of the orchestral and solo forces.³ This merger condenses two archetypal sections of the concerto form into a single unit that performs both functions, but that

² Lindeman, *Structural Novelty and Tradition*, 134.

³ Ibid., 65-66 and 89.

consequently emphasizes the soloist and reduces the orchestra to an accompanimental part. Nineteenth-century music theorist Adolph Bernhard Marx suggested in his *Die Lehre von der musikalischen Komposition, praktisch-theoretisch* of 1847 that concerto form had become indistinguishable from sonata form because the instrumentation no longer played a functional role. The combined tutti/solo exposition in works by Weber, Mendelssohn, and Wieck appears to be a contributor to this conversion.⁴

Walker-Hill, on the other hand, views the *Allegro Maestoso* as a “sweeping introductory gesture” to the second movement.⁵ The anacrusis-like quality of the first movement could therefore be seen as a byproduct of its formal abbreviation, which Lindeman suggests resembles that of Cramer’s Piano Concerto Op. 70 No. 8 in D Minor and Alkan’s *Concerto da camera* Op. 10 No. 1 in A Minor and No. 2 in C-sharp Minor. The designs of these works eliminate concluding sections in the first movements, most notably the recapitulations, and unite the linked movements through thematic evocation.⁶ In a similar way, Wieck both condenses and curtails the *Allegro Maestoso*. This means that there is no recapitulatory return of the main theme in the tonic key during the first movement. As we have noted, Walker-Hill identifies the build-up and premature cessation of the first movement as an introduction to the second movement, which is a compelling hypothesis of how Wieck achieves cyclic closure. I propose, however, an alternative hypothesis regarding cyclic resolution. In my analysis, the first movement reaches its tonal and thematic resolution in the Finale.

⁴ Lindeman, *Structural Novelty and Tradition*, 25.

⁵ Helen Walker-Hill, “Neglected Treasure: The Piano Concerto of Clara Wieck Schumann,” *Women of Note Quarterly: The Magazine of Historical and Contemporary Women Composers* 1 no. 2 (1993): 25.

⁶ Lindeman, *Structural Novelty and Tradition*, 137.

Hierarchal Complexity: Double-Functionality

The overall concerto requires a compositional concept that complements the predetermined formal make-up of the original *Concertsatz*. As noted above, the open-ended first movement offsets the autonomous Finale, but the former depends on the latter for resolution – thus enabling some level of cohesion in the dimension of the multi-movement cycle. Unlike in the third movement, however, which expands and extends themes in a linear manner by repeatedly delaying authentic cadential resolution and thus produces formal loosening, Wieck amalgamates sentences and periods into larger compound themes that display a high degree of hierarchal complexity in the *Allegro Maestoso*. In other words, the Finale contains elongated themes, whereas the first movement contains themes comprised of various levels of smaller formal units.

The process of amalgamation described above resonates with what William Newman has called “double-functionality.” This term depicts units that have more than one function at different formal levels. Vande Moortele recently refined this concept for his theory of two-dimensional sonata form, and proposed two categories of double-functionality: vertical and horizontal.⁷ To clarify vertical double-functionality, Vande Moortele describes Newman’s analysis of Liszt’s B-Minor Sonata, in which the first movement in the sonata cycle also functions in part as the exposition in an overarching design spanning the multi-movement work.⁸ Vertical double-functionality therefore pertains to hierarchal complexity at the level of the sonata cycle and sonata form in two-

⁷ Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 30.

⁸ *Ibid.*, 44.

dimensional sonata forms, but does not necessarily apply to multifaceted intrathematic or interthematic functions.

The recognition of smaller forms within larger forms is still an essential concept that can be adjusted to encompass different structural levels. For example, Vande Moortele describes another type of vertical formal layering when he classifies one particular formal scheme as a “large-scale sentence with periodic presentation” and notes its growing prevalence in nineteenth-century themes.⁹ This formal archetype appears in the *Allegro Maestoso*, but the first movement also contains a large-scale period with hybrid-based antecedent and consequent phrases. In order to better describe this functional layering, I will refer to the formal models established above – “large-scale sentence with periodic presentation” and “large-scale period with hybrid-based antecedent and consequent phrases” – as well as to similarly multilayered intrathematic and interthematic functions, as instances of *amalgamation*. These structures are absent in the expanded and extended forms of the Finale, but serve as central paradigms in the *Allegro Maestoso*. The formal organization of the *Allegro Maestoso* and Finale can therefore be summarized as open-ended versus closed, and as featuring vertical amalgamation versus linear loosening techniques.

The linear loosening techniques found in the Finale should not be confused with horizontal double-functionality. Both occur on the same sideways plane, but they are opposite concepts: the former enlarges, while the latter condenses. Unlike vertical double-functionality, horizontal double-functionality does not always result in hierarchal

⁹ Steven Vande Moortele, “In Search of Romantic Form,” Review of *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*, by Janet Schmalfeldt, *Music Analysis* 32 no. 3 (2013): 412-413.

complexity, but it combines two or more functions into a single unit.¹⁰ An example is the transition/subordinate-theme fusion described by Caplin, which performs the transition's modulatory function, but also exhibits theme-like elements such as a PAC.¹¹ Horizontal double-functionality therefore "shrinks" the form. This formal process is also absent in the Finale, but transition/subordinate-theme fusion occurs in the first movement.

The reader may have also noticed that the first movement's combined tutti/solo exposition discussed earlier demonstrates a fusion of instrumental forces that appears consistent with horizontal double-functionality. Wieck combines the tutti and solo expositions into a single unit, thus removing an entire section from the *Allegro Maestoso* exposition. In this way, horizontal double-functionality contributes to the interchangeability of concerto form and sonata form identified by A. B. Marx. The overall concept of the first movement is therefore the creation of vertical forms through amalgamation, and the compression of horizontal forms via horizontal double-functionality. Amalgamation contrasts with the loosening techniques found in the Finale, while horizontal double-functionality integrates the first movement into the cycle by abbreviating the form, and thus making the open-ended *Allegro Maestoso* dependent on the third movement for resolution. Vertical double-functionality at the level of the sonata cycle and overarching sonata form is also present, but I will discuss this particular topic in Chapter 3.

¹⁰ Vande Moortele, *Two-Dimensional Sonata Form*, 31.

¹¹ Ibid. and William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998), 203.

Part I – First Movement: Overview

Formal Layout: Abbreviated Sonata Form

Lindeman suggests that the first movement is not in sonata form, but instead contains four sections: “a primary theme in the tonic, a secondary theme in the mediant, a development-like passage in A-flat major, and a concluding tutti in the dominant.”¹² The form also lacks a cadenza. I have shaded these four sections in my own analysis, which is illustrated in Figure 2.1.

Figure 2.1 – First Movement: Abbreviated Sonata Form

Exposition					
Section	Slow Introduction	Main Theme Group	Transition	Transition/Subordinate Theme Fusion	
Key	i	i→v→i	i→III	III→VI	
Tutti or Solo	T (S)	S/T	S/T	S/T	
Form/ Grouping	Amalgamated Compound Sentence	Amalgamated Compound Sentence	Modulatory 4mmx2	Sentence	
Measure	1-37	37-57	57-65	65-74	
Development					
Section	Spielepisode	Development	Spielepisode	Closing Tutti	Link
Key	Modulatory	bI→iii→V	V	V	V-bI
Tutti or Solo	S (T)	S (T)	S (T)	T (S)	T/S
Form/ Grouping	Asymmetrical Groupings	Core, Frag., Core 2, Frag., HC	“Virtuosic Interpolation”	9mm+4mm	6mm
Measure	74-91	92-111	111-129	129-141	141-146

¹² Lindeman, *Structural Novelty and Tradition*, 134-135.

The first movement, however, exhibits a relatively normative sonata form until the end of the development: the work begins with a slow introduction, a main theme group follows in mm. 37-57, a transition/subordinate theme fusion and *Spielepisode* deliver the subordinate key of F major and subsequent modulation to the development key, and the development contains two cores and fragmentation of the fanfare melody. This analysis therefore assumes that the *Allegro Maestoso* retains its identity as a sonata form, but with multiple nonconformities.

Progressive Harmony: Chromaticism and Distant Tonality

Wieck employs extreme chromaticism at several points throughout the *Allegro Maestoso*, but she does not deviate from the traditional key areas of a Romantic minor-key sonata form until approximately m. 90, at the end of the first *Spielepisode*. The distant key of A-flat major in the development is radical. Likewise, the virtuosic passagework traditionally found prior to the standing on the dominant that marks the end of the development usually does not constitute a fully-fledged *Spielepisode*.¹³ Wieck, however, modulates to E major at the end of the development, arrives at the dominant of that key at m. 111, and initiates a *Spielepisode* that resides entirely in E major.

A *Spielepisode* typically occurs in the tonic key after the first theme group of the recapitulation in a Romantic concerto.¹⁴ Instead, Wieck inserts the *Spielepisode* in E major after the development and before the closing tutti, the latter of which also occurs in E major. This means that the first movement remains in the dominant key from m. 111 until the end of the closing tutti at m. 141. The first movement therefore does not function as an introduction to the *Romanze* in this analysis because the deliberately prolonged

¹³ John Rink, *Chopin: The Piano Concertos* (Cambridge: Cambridge University Press, 1997), 4.

¹⁴ Ibid.

emphasis on the dominant key does not resolve to the tonic key of A-flat major. The dominant requires resolution to A minor, which does not reappear until the Finale.

Additional Observation: Spielepisoden

One more point pertaining to the *Spielepisoden* should be taken into account before moving on to Part II. The first *Spielepisode* from mm. 74-91 does not warrant further categorization as a “virtuosic interpolation” or “solo development” because it does not fulfill the criteria for either definition. This *Spielepisode* arrives after the second theme and modulates to the development key, as is typical of such passages. The second *Spielepisode*, however, fulfills the criteria for a “virtuosic interpolation” presented in Chapter 1 because it serves a purely virtuosic purpose and sounds between two logically successive units. Like the “virtuosic interpolation” in the Finale, it maintains the key area of its bordering sections, in this case the dominant. The second *Spielepisode* could therefore also be considered a prolonged standing on the dominant.

Conclusion

Wieck constructs a highly unorthodox sonata form, which creates an atmosphere of uncertainty early on in the work. As mentioned in the introduction to this thesis, the deviations described above prompted Robert Schumann to perceive a lack of formal direction.¹⁵ These destabilizing nonconformities, however, appear to exist for the primary purpose of fostering vertical double-functionality at the expense of linear progress. The *Allegro Maestoso* is an abbreviated sonata form permeated with hierarchal complexity and horizontal compression, as well as with tonal ambiguity. Wieck builds a multilayered design, condenses themes, and removes the drive towards tonal and thematic resolution.

¹⁵ Claudia MacDonald, “Critical Perception and the Woman Composer: The Early Reception of Piano Concertos by Clara Wieck Schumann and Amy Beach,” *Current Musicology* 55 (1993): 28.

These practices suggest that resolution must be postponed until later on in the cycle rather than in the first movement, and evince an impulse to balance the linearly derived formal processes of the Finale.

Part II – First Movement: Slow Introduction and Exposition

Wieck opens the first movement with a slow introduction from mm. 1-37 followed by the tutti/solo exposition from mm. 37-91. These sections contain the traditional qualities and components of a slow introduction and exposition, namely, a slow tempo, solemn character, dotted rhythms, and loose-knit organization in the former, and a main theme group, transition, and transition/subordinate theme fusion in the latter.¹⁶ These sections, however, exhibit noteworthy formal features despite their traditional appearance. The slow introduction and main theme group, for example, both demonstrate the formal process of amalgamation. Smaller forms such as hybrids, sentences, and periods, which constitute complete themes in the Classical tradition, combine to produce large-scale themes that resemble periods or sentences.

Slow Introduction: Amalgamated Compound Sentence

The slow introduction begins with a compound period from mm. 1-16. The first solo entry occurs in mm. 17-22, and the full orchestra stands on the dominant from mm. 23-31. A second solo entry prolongs the dominant in mm. 31-37 and precedes the opening of the first theme group in A minor. A slow introduction is typically loose-knit and harmonically unstable in comparison to the main theme and subordinate theme, but this open-ended form is especially chromatic. Wieck presents the fanfare melody as a compound basic idea (cbi) from mm. 1-4 with colourful harmonies and *ff* dynamics. This

¹⁶ Caplin, *Classical Form*, 197-205.

variation is slower and less ornate than its subsequent counterparts and makes use of blocked chords. A continuation⇒cadential function marked **P** follows and fragments the fanfare melody before tapering off with a half cadence, which Wieck metrically weakens by arriving at the dominant on the third beat of m. 8. The cbi and continuation ⇒cadential function combine to form a theme that Caplin calls a “hybrid 3.”¹⁷ This hybrid also serves as the antecedent phrase in a large-scale period at a higher formal level, and the theme thus exhibits the formal process of amalgamation. Figure 2.2 illustrates this formal layering.

Figure 2.2 – Slow Introduction: First Unit (Compound Period)

antecedent hybrid 3		consequent hybrid 3	
compound basic idea measures 1-4	continuation ⇒ cadential measures 5-8	compound basic idea measures 9-12	continuation + cadential measures 13-16
(Fanfare Melody 1)	HC in A minor	(Fanfare Melody 2)	IAC in A minor

Wieck repeats the fanfare melody as a cbi a second time in mm. 9-12, albeit tonicizing E minor, in the consequent of the large-scale period. The subsequent continuation returns to the tonic key of A minor from mm. 13-16, turning the fragmentation into an explicit cadential gesture. Wieck thwarts this sense of impending cadential closure, however, with a brief tonicization of D minor and an IAC instead of a PAC. (See Example 2.1) This IAC is particularly weak because the root is fleeting and does not arrive on the downbeat. The harmonic ambiguity and lack of a PAC undermines

¹⁷ See Caplin, *Classical Form*, 45 and 61 for a description of the continuation⇒cadential function and hybrid 3.

the theme's stability, but the hybrid clearly functions as the consequent phrase in the compound period. The following solo entry, half cadence at m. 23 and standing on the dominant from mm. 23-37 complete the slow introduction.

Example 2.1– Slow Introduction: First Unit (Compound Period)

Antecedent (Hybrid 3)
 cbi
 bi

Allegro maestoso. (M.M. ♩=116.)
 Tutti.
 ff Viol.

CLARA WIECK, OP. 7.

continuation ⇒

CONCERTO.

cadential frag. frag. frag. Consequent (Hybrid 3)

Viol.

Clar. Fag.

ff

em:i

Continuation

Cadence

Viol.

Clar.

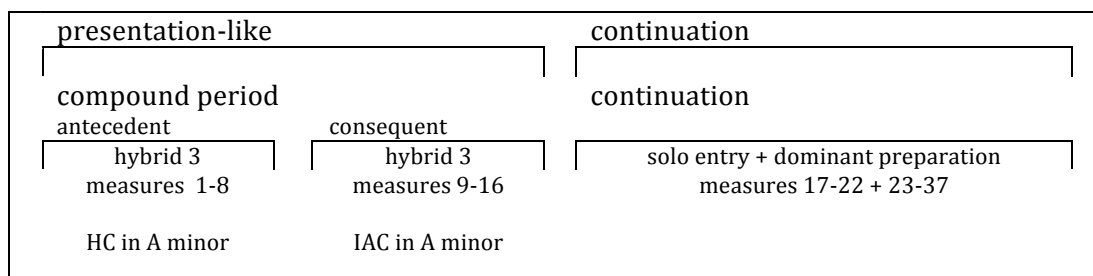
IV VI III iv vii^{o7} vii^{o4}/iv am:i⁶ iv bII⁶ vii^{o2}/iv iv⁶ vii^{o7} i Y⁷ VI vii^{o7} iv

Y⁷

IAC

On the whole, the formal layout of mm. 1-37 is a binary construction, in which the compound period (mm. 1-16) represents the first unit and the solo entry (mm. 17-22) with dominant preparation (mm. 23-37) represents the second unit. These two units can be understood to articulate an even larger-scale formal level, since the former features presentational attributes and the latter features continuational attributes – thus amalgamating to resemble a “mega” sentence-like unit. The compound period in mm. 1-16 resides entirely in the tonic key and functions like a presentation, and its antecedent and consequent phrases form the repeated iterations that typically encompass presentation phrases. The solo entry displays clearly continuational harmony, acceleration of the surface activity, and fragmentation.¹⁸ The overall form of the slow introduction therefore replicates a sentential structure at a higher formal level. Amalgamation in the slow introduction can be summarized as follows: two “hybrid 3” phrases (mm. 1-8 and 9-16) also function as antecedent and consequent phrases in a compound period; and the compound period functions itself as a presentation (mm. 1-16) in the large-scale sentence-like structure. (See Figure 2.3) In this way, a pattern of hierarchal complexity via amalgamation begins early on in the work.

Figure 2.3 – Slow Introduction: Compound Period + Continuation



¹⁸ Caplin, *Classical Form*, 11.

Main Theme Group: Amalgamated Compound Sentence

Amalgamation also occurs in the main theme group of the first movement. Wieck presents the fanfare melody as the antecedent and consequent phrases in a concise eight-measure period in mm. 37-45, which ends with a PAC in E minor. Although the theme is closed from a formal and a cadential point of view, the main key, A minor, still lacks confirmation. Wieck therefore continues the main theme group with a second theme – an extended sentence from mm. 45-57. The presentation contains the standard two-measure basic ideas, and the continuation returns to A minor with virtuosic flourishes over four measures. The subsequent extension culminates in a half cadence and leaves the entire main theme group without authentic cadential confirmation. Main theme groups, especially those in a minor key, can end with an HC instead of a PAC or IAC, but this lack of definite cadential closure is significant because Wieck does not include a recapitulation to reaffirm the tonic key.¹⁹ This means that the first movement will never produce the authentic cadential confirmation in A minor, and the incentive for the Finale to consequently accomplish the recapitulatory function that the *Allegro Maestoso* does not fulfill becomes all the more pressing.

This amalgamation of eight-measure period and extended sentence resembles one large, loose, sentence-like unit at a higher structural level. The period's antecedent and consequent phrases form the repeated units of the large-scale presentation, and the sentence beginning at mm. 45 provides elements of large-scale continuation. Examples 2.2a and 2.2b illustrate this formal layering. Indeed, the smaller-scale sentence opens in m. 45 with continuational harmony, and its basic ideas resemble fragmentation in relation to the larger units that precede them. A pattern becomes evident at this point in the

¹⁹ Caplin, *Classical Form*, 196-197.

analysis. The overall first movement contains no recapitulation and moves straight into the second movement, and the first theme group contains no PAC and moves into the transition. Thus, Wieck fosters a similar lack of closure at two structural levels.

Example 2.2a – Main Theme Group: First Theme (Period) and Second Theme (Sentence)

The musical score is divided into four systems, each with handwritten annotations above the staff:

- System 1 (Measures 36-40):** Labeled "Presentation" and "Antecedent". It begins with "Tutti." and "a Tempo." in the treble clef, and "Ped. Tutti." in the bass clef. The melody is marked "f" and "risoluto.".
- System 2 (Measures 40-44):** Labeled "Consequent". It continues the melody with a "cres." (crescendo) marking. The bass clef shows a sequence of chords: V_4^6 , IV_4^6 , IV , $V_4^6 - 5$, V_4^6 (labeled "HC"), III , V_4^6 , and III .
- System 3 (Measures 44-48):** Labeled "Continuation" and "Presentation". It features a "f" (forte) marking in the treble clef and a "p" (piano) marking in the bass clef. The bass clef shows a sequence of chords: $em: V_4^6$, $5/3$ (labeled "PAC"), i , IV , and i .
- System 4 (Measures 48-52):** Labeled "Continuation". It includes multiple "Ped." (pedal) markings in the bass clef. The bass clef shows a sequence of chords: $am: V_3^4$, III , V_4^6 , V_5^6 , vii_3^4 , IV , and vii_3^4 .

Example 2.2b – Main Theme Group, Continued

Figure 2.4 – Main Theme Group: Amalgamated Compound Sentence

presentation		continuation
antecedent measures 37-41	consequent measures 41-45	Sentence (2x2mm bi + continuation) measures 45-57
(Fanfare Melody 1) HC in A minor	(Fanfare Melody 2) PAC in E minor	(2nd Theme) HC in A minor

Transition/Subordinate Theme Fusion: Horizontal Double-Functionality

The subordinate theme in mm. 65-74 is the only non-compound form in the *Allegro Maestoso*, but horizontal double-functionality obscures its boundaries. The lack of a modulatory function in the transition from mm. 57-65 is the first sign of an

impending instance of formal fusion. The transition does not yield the subordinate key of F major, but instead stands on the dominant of A minor until a sudden articulation of V-I in C major in mm. 64-65. The subordinate theme begins in C major – the dominant of F major – as a result, and must take on the responsibility of modulation. This modulation to F major occurs at some point during the subordinate theme, but the exact moment is uncertain. There is, however, a clear cadential function in F major from mm. 72-74 that concludes the section with a definitive PAC. (See Example 2.3)

Example 2.3– Transition/Subordinate Theme Fusion: Sentence

The image shows a handwritten musical score for a section of a piece, likely from a sonata. The score is in C major and consists of several systems of music. The first system is labeled 'Presentation' and includes the instruction 'la melodia ben marcato e ten.' and 'il Basso sempre legato.' The second system is labeled 'Continuation' and includes the instruction 'risoluto.' and 'ff'. The third system is labeled 'Cadential' and includes the instruction 'dimin.' and 'frag.'. The fourth system is labeled 'PAC' and includes the instruction 'p'. The score includes various musical notations such as notes, rests, and dynamic markings. Handwritten annotations in red ink are present throughout the score, including 'Presentation', 'Continuation', 'Cadential', and 'PAC'. The score is written in a clear, legible hand.

The lack of a modulation in the transition subverts the initiating function of the subordinate theme, which subsequently performs the role of a transition. The traditionally separate sections therefore merge to produce the transition/subordinate theme fusion described by Caplin.²⁰

Despite the harmonic complications of the fusion, the subordinate theme from mm. 65-74 is a clear-cut eight-measure sentence with a short expansion. It begins with two two-measure basic ideas, which bear a strong resemblance to the second theme of the main theme group. The modulating continuation follows at m. 70 with a string of secondary dominants that usher in F major and a series of fragments, which lasts one measure too long, thus expanding the sentence. The cadential function arrives by m. 72 in the key of F major and resolves succinctly on beat one of m. 74. Overall, the second theme is a formally straightforward unit compromised by horizontal double-functionality.

Spielepisode: Modulatory

Claudia MacDonald classifies mm. 75-91 as a closing group with scalar passagework,²¹ but a closing group typically yields a recessive dynamic and prolongs the tonic after a PAC. This section fulfills neither piece of criteria, although a recessive dynamic is not essential. The passagework does, however, contain the codetta-like gestures consistent with a closing section, but in a modulatory fashion.²² Wieck appears to employ the most common type of *Spielepisode*, which occurs after the subordinate theme and exhibits a high degree of tonal instability prior to the development.²³ Wieck

²⁰ Caplin, *Classical Form*, 203.

²¹ MacDonald, "Critical Perception and the Woman Composer," 29.

²² Caplin, *Classical Form*, 122 and 253.

²³ Carl Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, trans. Mary Whittall (New York: Oxford University Press, 1991), 101.

moves through the keys of F major, A minor, A major, E minor, G major, and finally stands of the dominant of A-flat major, which is the development key.

Conclusion

The *Allegro Maestoso*, in sum, functions as an antithesis to the Finale. In addition to its lack of closure at the level of the first theme group and movement, the horizontal double-functionality of the tutti/solo exposition and transition/subordinate theme fusion further condense the movement and blur its formal boundaries. This abridged conception contrasts starkly with the overall closed nature of the Finale. The formal process of amalgamation also juxtaposes the linear loosening techniques of the third movement through construction of higher-level formal layers. This complex arrangement of condensed units and themes within themes is a response to the autonomous *Concertsatz*, and fosters a remarkably innovative formal design for the first movement. This design will go on to impact cohesion at the level of the cycle.

Part III – First Movement: Development

The development from mm. 92-111 is in the atypical key of the lowered tonic, which is A-flat major in an A-minor concerto. This distant key is significant, however, because it foreshadows the tonality of the *Romanze*, thus establishing a tonal connection between the first and second movements. The development begins with two cores followed by the expected fragmentation, but the dominant preparation occurs in the “wrong” key. (See Examples 2.4a and 2.4b) Wieck stands on the dominant of E major instead of A minor because the lack of a recapitulation negates the requirement to stand on the dominant of the tonic key.

Example 2.4a – Development

Core model

a Tempo, ma un poco tenuto e grandioso.

92 *f Ped.* *Ped.* *Ped.* *PM:* I I⁶ II⁷ II⁴₃

94 *Ped.* V V⁵/VI

Sequence

96 *f* *Ped.* VI VI⁶ *Ped.* VII⁷ IV

98 *Ped.* V⁷/vi V⁷/ii

Frag.

100 *ff* *Ped.* *ff* V⁵/IV V⁵ V⁵_S

Core 2 model

102 *p dolce.* I V⁵/III cm: V⁵_S V⁷

Example 2.4b – Development, Continued

The image shows a handwritten musical score for piano, measures 104-110. The score is written on four systems of staves. The first system (measures 104-105) is labeled "Sequence" and shows a melodic line in the right hand and a bass line in the left hand. The second system (measures 106-107) is labeled "Sequence (cut short)" and shows a melodic line in the right hand and a bass line in the left hand. The third system (measures 108-109) is labeled "Frag." and shows a melodic line in the right hand and a bass line in the left hand. The fourth system (measures 110-111) is labeled "Cadence" and shows a melodic line in the right hand and a bass line in the left hand. The score includes various musical notations such as notes, rests, and dynamic markings. Handwritten annotations in blue ink are present throughout the score, including "Sequence", "Sequence (cut short)", "Frag.", "Cadence", and various chord symbols like "cm: i", "V", "i6", "V6/III", "V7/III", "III", "f", "cres.", "ff", "vii°4/V", "vii°3", "I6", "i6", "vii°3/bVII", "bVII6", "EM: IV6", "vii°6/V", "iv6", "V4/3/V", "ff", "Ped.", "Timp.", and "HC".

The development therefore prepares the key of the subsequent *Spielepisode* and closing tutti, which ends the first movement in the dominant key of E major.

Development: Tonal Allusion to the Second Movement

The development opens with an eight-measure core from mm. 92-99 where the sequential repetition of the four-measure model occurs down a minor third. The model is briefly fragmented in mm. 100-101, whereas fortissimo dynamics create a dramatic effect. A second core appears in mm. 102-106. The model is now two measures long and

the two sequences create the pattern: A-flat major – C minor – E-flat major. The final sequence is cut short at m. 106 as the melody fragments into four one-measure units. The third fragment abruptly modulates to E major and the development section produces an HC in E major at the usual point of closure. The listener anticipates an HC at this moment, but in the tonic key of A minor instead. The movement as a whole therefore arrives at and prepares the dominant of E major instead of the dominant of A minor.

Spielepisode: Virtuoso Interpolation on the Dominant

The *Spielepisode* in m. 111-129 surpasses the length and scope of the usual virtuosity included at the end of a development section. A *Spielepisode* often occurs in the recapitulation in the tonic key, but Wieck relocates the extensive virtuosic content into the development. In this way, the *Spielepisode* functions as a prolonged standing on the dominant – one, however, which prepares the wrong key. Its asymmetrical grouping structures destabilize the bravura gestures, which become more chromatic and forceful as the passage progresses towards its goal of the closing tutti at m. 129.

Measures 124 onward feature an abundance of diminished seventh chords that correspond with the dramatic build-up. In his 1837 review of the concerto, music critic Carl Ferdinand Becker noted the atypical use of diminished seventh chords,²⁴ but I would add that while Wieck employs diminished seventh chords to produce colourful harmony, she frequently uses them in succession to abruptly modulate (mm. 178-181 of the Finale, for example), or in conjunction with a progressive dynamic. In the *Spielepisode*, Wieck writes *pomposo ed energico*, *crescendo* and *ritenuto*. Combined with the diminished seventh chords, this section reaches the point of highest tension in the first movement.

²⁴ MacDonald, “Critical Perception and the Woman Composer,” 30.

There is no cadence prior to the closing tutti and the tension never fully dissipates before the end of the first movement.

Closing Tutti: Brief Statement of Fanfare Melody

The standing on the dominant ceases with the arrival of the E-major tonic at m. 129. The tutti enters with material derived from the dominant preparation in the slow introduction, but this time in the key of E major. The same material at mm. 23-31 previously announced the arrival of the tutti/solo exposition. In this way, the closing tutti could also give the impression of a genuine standing on the dominant in the tonic key of A minor prior to a recapitulation. Caplin calls this type of false recapitulation a retransition towards the real recapitulation.²⁵ Wieck, however, quickly thwarts this expectation with a passage in E major from mm. 135-137, which elides with a four-measure statement of the fanfare melody that ends the section with a PAC in E major. This final statement reinforces the incorrect key. An orchestral transition into the key of A-flat major begins at m. 141, followed by a one-measure *Adagio* link on the dominant by solo piano. Wieck's expressive markings *a piacere senza Tempo* and *segue Romanze* indicate a fluid shift into the second movement, and this shift leads to the final confirmation that the first movement has completely excluded a recapitulation – a fundamental component of sonata form.

Conclusion

If the development begins at m. 92 and continues until we are certain that a recapitulation will not occur, then the lack of recapitulation forces the *Spieleepisode* and closing tutti into developmental roles that taper off without clear closure. Wieck presents a single statement of the fanfare melody at m. 137 as a cadential progression to reinforce

²⁵ Caplin, *Classical Form*, 159.

the incorrect key and remind the listener that the movement is incomplete. This is the only time the fanfare melody takes the guise of a purely cadential function, which suspends the development so the transition can link to the second movement.

Part IV – Second Movement: Large Ternary Form

The *Romanze: Andante non troppo con grazia* is formally straightforward in comparison to the outer movements, which is typical of a slow movement.²⁶ The unusual key choice of A-flat major, instrumental combination of piano and solo cello, and extreme harmonic deviation within the movement are radical, however, and will have greater implications when I examine the complete concerto as a large-scale single-movement work in Chapter 3. Part IV of this chapter examines the formal functions of the *Romanze*, shaped as a large ternary form with main theme, interior theme, and reprise.²⁷ Unlike the *Allegro Maestoso* and Finale, the *Romanze* does not require an extensive formal overview prior to more in-depth analysis, but I will provide a brief note on its programmatic content, instrumentation, and influence on composers of the time.

The *Romanze* is notable for its harmonic and instrumental idiosyncrasies, but Clara Schumann biographer Joan Chissell also distinguishes the lyrical movement as programmatic, thus differentiating it further from the *Allegro Maestoso* and Finale. She calls the *Romanze* “an idyllic song-without-words,” and suggests that “the arrival of a solo cello [transforms] the recapitulation into a love-duet.”²⁸ Chissell implies that the piano and cello represent the budding romantic relationship between Wieck and

²⁶ Caplin, *Classical Form*, 209.

²⁷ For a description of large ternary form, see Caplin, *Classical Form*, 211-215.

²⁸ Joan Chissell, *Clara Schumann: A Dedicated Spirit, A Study of her Life and Work* (New York, Taplinger Publishing Company, 1983), 38. The “recapitulation” to which Chissell refers is labeled as the “reprise” in this analysis.

Schumann, thus personifying the unique instrumental combination. This instrumentation is also one aspect of the concerto that exerted the most influence on subsequent works by other composers. Schumann adopted both the solo cello and key of A-flat major in his 1845 Piano Concerto Op. 54 in A Minor, and Johannes Brahms employed the solo cello in his 1882 Piano Concerto Op. 83 in B-flat Major.²⁹

Main Theme: Compression via Horizontal Double-Functionality

The *Romanze* is a straightforward large ternary form. Figure 2.5 illustrates the layout of the movement, in which the solo piano performs the main theme and interior theme, and the cello joins the piano at the reprise to produce a duet. Similarly, the main theme and reprise are small ternary forms, and the interior theme is a sentence. The limits of the contrasting middle and recapitulation in the main theme, however, are ambiguous until Wieck clarifies their formal boundaries at the reprise. Indeed, the reprise appears to “decompress” the ideas of the main theme. The overall concept of the *Romanze* can therefore be viewed as the mediation of conflicting formal boundaries.

The exposition of the main theme is a standard eight-measure period with a two-measure introduction. The fanfare melody appears in the antecedent phrase and maintains its arched contour, but it is much more lyrical than its counterparts in the first and third movements, and the underlying diminished seventh chords in the left hand provide some harmonic colour. The antecedent phrase ends with a distinct IAC in A-flat major, and the consequent phrase brings the exposition to its end with a PAC in A-flat major, which creates a concise and formally closed opening section.

²⁹ Reich, *Clara Schumann: The Artist and the Woman*, 228. See also Walker-Hill, “Neglected Treasure,” 28 and Lindeman, *Structural Novelty and Tradition*, 136.

Figure 2.5 – Second Movement: Large Ternary Form

Section	Main Theme (Small Ternary)			Interior Theme (Sentence)		
	Exposition A	Contrasting Middle B	Recapitulation A'	Sentence	Continuation /Retransition	Standing on V
Key	A $\flat$ major	F minor	A $\flat$ major	E major → A major	A major → (Ambiguous)	A $\flat$ major
Form/ Grouping	Period	Continuation	Period	Sentence		
Measure	1-10	10-14	14-22	23-30	30-36	37

Reprise (Small Ternary)				Link
Section	Exposition A	Contrasting Middle B	Recapitulation A'	
Key	A $\flat$ major	F minor	A $\flat$ major	A minor
Form/ Grouping	Period	Continuation	Hybrid 4	4mm
Measure	38-45	46-49	50-62	63-66

The formal boundaries of the contrasting middle and recapitulation are much less clear. According to Caplin, a Classical contrasting middle usually emphasizes dominant harmony and ends with the dominant of the tonic key.³⁰ The contrasting middle beginning at m. 10 in this Romantic main theme, however, tonicizes F minor and ends with a weaker dominant in first inversion at m. 14. Furthermore, the contrasting middle, rather than introducing new materials, mimics the ascending gesture from the basic ideas of the exposition. The original basic idea from the upbeat to m. 3 returns verbatim at the upbeat to m. 14 prior to the recapitulation, and two similar iterations also occur at a different pitch level from mm. 14-15. As a result, the contrasting middle does not offer

³⁰ Caplin, *Classical Form*, 211.

Example 2.5 – Main Theme: Small Ternary

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One could initially interpret the contrasting middle as a complete sentence from mm. 10-18 with two two-measure basic ideas as a presentation, and the subsequent four measures as a continuation=>cadential function that exhibit fragmentation of the original basic idea from the exposition. This leaves the consequent phrase isolated as an abbreviated return of the exposition in a small ternary structure. As the main theme progresses, however, it becomes apparent that the contrasting middle functions as a continuation to the exposition, and the true recapitulation begins halfway through m. 14. Measures 14-18 therefore function as an antecedent phrase that create a complete period in the recapitulation, in which case the contrasting middle is left incomplete and reduced to two basic ideas.

Several points support the delineation of formal boundaries shown in Figure 2.5 and Example 2.5. Contrasting middles are usually loose-knit, so a lone continuation gesture is not irregular.³¹ In addition, this formal division succinctly reintegrates the original period structure of the exposition in the recapitulation of a small ternary form. The fanfare melody and its consequent phrase maintain their general contours and contain the same cadences as the exposition: the antecedent phrase ends with an IAC and the consequent phrase ends with a PAC. Furthermore, the dominant of A-flat major briefly appears in first inversion at m. 14, thus moving away from the key of F minor in time for the recapitulation.

Nevertheless, the division between the contrasting middle and recapitulation retains a degree of haziness. As stated earlier, the dominant chord in first inversion does not provide as clear of an articulation of the formal boundaries as a root position dominant chord. In addition, unlike the antecedent phrase in the exposition, the potential

³¹ Caplin, *Classical Form*, 75.

antecedent phrase in the recapitulation begins with the dominant seventh of A-flat major and is harmonically less stable. If we view the recapitulation as a complete period during the listening process, we might have to do so retroactively if the semi-continual harmony from mm. 14-18 continues the implied sentence in the contrasting middle before we refocus our attention. This formal ambiguity resonates with the concept of horizontal double-functionality because the same unit exhibits characteristics of two functions.

Interior Theme: Sentence

Unlike the majority of interior themes in Classical major key-movements, mm. 23-37 are not in a minor key. Wieck instead uses a favorite Romantic key, namely $\flat$ VI (enharmonically reinterpreted as E major).³² This loose-knit sentence begins with a four-measure presentation that prolongs the key of E major. A continuation begins at m. 26, but Wieck suddenly moves to the applied dominant of the subdominant (V7/IV) and resolves it to the subdominant at m. 30, thus producing an IAC in A major to complete the sentence. Further continuational activity ensues as mm. 31-36 bring back a fragmented version of the fanfare melody that becomes increasingly chromatic to the point where harmonic function is unclear. Measures 35-36 are riddled with dissonances as the key modulates back to the dominant of A-flat major at m. 37, setting up the return of the tonic for the reprise.

Reprise: Mediation of Conflicting Formal Boundaries

As indicated earlier, the second movement presents a conundrum in the main theme of its large ternary form, which is solved when Wieck clarifies formal boundaries between the contrasting middle and recapitulation at the reprise. In other words, the

³² Caplin, *Classical Form*, 141. According to Caplin, this usage of $\flat$ VI occasionally occurred in the Classical tradition, and became increasingly common in the works of Ludwig van Beethoven.

reprise of the main theme from mm. 38-62 elucidates the formal ambiguity of the exposition. The cello joins in to produce a duet with the piano, and Wieck decompresses the original main theme to enable a fully independent contrasting middle and recapitulation to take place.

First, the reprise alters the main theme's exposition by modifying its original consequent phrase so that it now sounds a sequential repetition of the antecedent phrase. Measures 38-45 therefore encompass an even more stable eight-measure period as a result of melodic-motivic consistency. Next, a weighted half cadence establishes unambiguous sectional autonomy between the contrasting middle and recapitulation in the reprise, whereas its absence had blurred the boundaries of the main theme. The root-position dominant in m. 49 bears a seventh, a rare type of half cadence in the Classical style, but one that appears more frequently in Romantic works. For this reason, Janet Schmalfeldt calls it a "nineteenth-century half cadence."³³ As seen in Example 2.6a, Wieck effectively uses the nineteenth-century half-cadence to remove the formal uncertainty from the main theme.

Furthermore, Wieck highlights the formal division at m. 49 rather than bolstering continuity via articulation like in the main theme. The cellos drop in register, the texture thins as the left-hand piano part drops out, and there is a decrescendo instead of a crescendo. Measures 46-49 now clearly belong to the contrasting middle. The subsequent measures belong to the recapitulation, confirming that the contrasting middle of the main theme was a continuation and the recapitulation was a complete period, but this division

³³ Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 202-203.

is not absolutely apparent until the reprise. Formal ambiguity is therefore an essential musical component in the formal conflict and resolution.

Example 2.6a – Reprise: Small Ternary

A
Antecedent

Violoncello.
38 Solo.

p legato.
Ped.

consequent

p
Ped.

g-trim
riten.

B

mf
f

riten.

fm: i
V⁷ i
V

A^bM: V⁷/vi vi
V⁷ i
HC

TAC
PAC

Example 2.6b -Reprise, Continued

Handwritten musical score for Example 2.6b -Reprise, Continued. The score is divided into four systems, each with a grand staff (treble and bass clef) and various annotations.

System 1 (Measures 50-53): Starts with a key signature change to B-flat major (two flats). Measure 50 is marked "a Tempo." and includes a handwritten "cbi" above the staff. The bass line features a "cadential idea" with a "cres." marking. The treble line has a "ci" marking. The system ends with a "Fr6" chord.

System 2 (Measures 54-56): Continues the "cadential idea" in the bass line. The treble line has a "cres." marking. The system ends with a "cadential idea OMT" marking.

System 3 (Measures 57-60): Features a "Consequent OMT" marking. The bass line has a "Deceptive Cadence" marking. The treble line has a "p" marking. The system ends with a "II sus 4" chord.

System 4 (Measures 61-64): Starts with a "ritard." marking. The bass line has a "PAC" marking. The treble line has a "marc." marking. The system ends with a "poco a poco riten." marking.

Handwritten Annotations:

- cadential idea** (under measures 50-53)
- cadential idea OMT** (under measures 54-56)
- Consequent OMT** (under measures 57-60)
- Deceptive Cadence** (under measures 57-60)
- Orchestral Link** (under measures 61-64)
- PAC** (under measure 61)
- am:II** (under measure 62)
- A:I** (under measure 63)
- am:II** (under measure 64)
- A:I** (under measure 65)

Other Markings: "a Tempo.", "cres.", "p", "mf", "pp", "marc.", "a piacere.", "poco a poco riten.", "Timp.", "Vcllo.", "Ped.", "II", "VI", "Fr6", "II sus 4", "PAC", "am:II", "A:I".

With the limits of the contrasting middle and recapitulation firmly established, Wieck expands the reprise's recapitulation to support a flowing cello melody, using the One More Time technique to interpolate melodic content between the compound basic idea and consequent phrase of its theme (a type-4 hybrid).³⁴ After the fanfare melody appears in the cello part as a compound basic idea, the melody begins to wander at m. 54. Wieck produces an IAC at m. 55, but displaces the top voice with a 2-1 suspension and continues with another cadential gesture without pause after the resolution, therefore abandoning the cadence altogether. Wieck then prepares another cadence at m. 56, which ends deceptively at m. 57. The fanfare melody returns at m. 58 as a complete consequent phrase that successfully ends with a PAC in A-flat major before abruptly modulating to A minor and linking to the Finale. Thus, the arrival of the cello in the reprise signals mediation of conflicting formal boundaries established in the main theme.

Conclusion

The *Romanze* is an elegant and concise movement in which the main theme compresses the contrasting middle and recapitulation to produce formal ambiguity via horizontal double-functionality. The interior theme reaches the highest level of harmonic instability and the reprise decompresses the main theme to resolve the formal and harmonic dissonance at the arrival of the cello solo. The unusual tonic key of A-flat major distinguishes the movement from the rest of the concerto and enables vivid foreshadowing and recollection in the first movement and Finale. In doing so, Wieck devises a unique method to enhance cyclic unity across the movements.

³⁴ For a description of the hybrid 4 theme, see Caplin, *Classical Form*, 61.

Chapter 3

Thus far in this thesis, I have examined the Finale, *Allegro Maestoso*, and *Romanze* as individual movements. I have also discussed how formal features in the first movement simultaneously balance those of the Finale and facilitate integration of the former into the concerto as a whole. I have not, however, consolidated the findings in Chapters 1 and 2 to determine to what degree, or in what ways, the Piano Concerto Op. 7 functions as a large-scale single-movement composition. In order to fulfill this goal, this chapter analyzes Wieck's work by drawing on Vande Moortele's theory of two-dimensional sonata form. As mentioned in the introduction to this study, Vande Moortele examines how two formal "dimensions," namely, those of the sonata cycle and "overarching sonata form," interact on the same hierarchical level in selected late Romantic and early twentieth-century works.¹ Examining these dimensions in the Piano Concerto Op. 7 will underscore cohesive elements in the composition, as well as elucidate Wieck's contribution to the pre-history of two-dimensional sonata form.

The Piano Concerto Op. 7 does not constitute a fully-fledged two-dimensional sonata form for reasons that will be discussed presently, but Vande Moortele's theory adapts well to formally experimental works from the 1830s. Indeed, his critique and expansion of William Newman's "double-function form" has already proven very useful in Chapter 2. As we have seen, horizontal double-functionality refers to units that conflate two formal functions (such as Caplin's transition/subordinate theme fusion).²

¹ Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 23.

² *Ibid.*, 31.

These multi-functional units occur in both the *Allegro Maestoso* and *Romanze*. Vertical double-functionality, on the other hand, is a phenomenon in two-dimensional sonata form that Vande Moortele calls “identification,” which describes an instance where a movement in the sonata cycle has a functional role in the overarching sonata form.³ Vande Moortele defines the three primary interactions between the sonata cycle and sonata form, the first two of which occur in Wieck’s concerto, as follows:

Figure 3.1: Two-Dimensional Sonata Form Interactions

“Identification”	A movement in the cycle corresponds with one or more units in the overarching sonata form. For example, a first movement in the sonata cycle coincides with the exposition in the overarching sonata form ⁴
“Interpolation”	A movement in the cycle does not have a functional role in the overarching sonata form. It interrupts or temporarily suspends the overarching sonata form while the cycle continues ⁵
“Exocyclic Unit”	A unit in the overarching sonata form does not have a functional role in the sonata cycle. It sits outside the sonata cycle while the overarching sonata form continues ⁶

Using the concepts listed above, I will examine how Wieck’s idiosyncratic work participates in the nineteenth-century shift from separate movements to large-scale single-movement compositions. Several challenges are apparent early on. Firstly, Wieck uses progressive thematic variation to provide continuity among the three movements, but there is no verbatim quotation of the first movement fanfare melody in the Finale. This impedes a sense of recapitulation in the overarching sonata form, but as we will see, does not prevent recapitulation-like resolution across the span of the entire concerto.⁷

³ Vande Moortele, *Two-Dimensional Sonata Form*, 25 and 30-31.

⁴ Ibid., 25 and 44.

⁵ Ibid., 25-26.

⁶ Ibid., 26.

⁷ Vande Moortele addresses this problem, as well as his concept of “cyclic completion” in *Two-Dimensional Sonata Form*, 41 and 53-55.

Thematically similar material can provide a specific type of resolution, which I have labeled a “pseudo-recapitulation” in this analysis to avoid conflation with a verbatim thematic recurrence.

Secondly, the disproportionate length and autonomy of the Finale is detrimental to its potential resolving function in the overarching design. The first refrain from mm. 5-24 of the Finale could technically fulfill the role of a pseudo-recapitulation because it contains a version of the fanfare melody in the tonic key of A minor, but the extensive length of the third movement in comparison to the preceding movements is problematic because the pseudo-recapitulation in the overarching form would start approximately at the midpoint of the concerto. Thirdly, unlike Liszt’s B-Minor Sonata – a work that Vande Moortele identifies as a fully-fledged two-dimensional sonata form – Wieck’s concerto has three distinct movements connected by links. The links are extremely pronounced, which compromises the projection of an overarching sonata form because it accentuates the dimension of the sonata cycle at the expense of the overarching design.

In order to address these challenges, I will analyze Wieck’s concerto as a “proto”-two-dimensional sonata form and develop a tentative set of guidelines for this concept. 1) A proto-two-dimensional sonata form fulfills the requirements of the two-dimensional sonata form prehistory as described by Vande Moortele, the broad definition of which encompasses any single-movement work form the early nineteenth century that also exhibits formal characteristics of a sonata cycle.⁸ 2) A proto-two-dimensional sonata form suspends the dimension of the overarching sonata form or sonata cycle for an extended period of time via interpolations or exocyclic units, thus temporarily reverting

⁸ For a description of the prehistory of two-dimensional sonata form, see Vande Moortele, *Two-Dimensional Sonata Form*, 7.

the work to one dimension and forging a conspicuous interruption in the design. 3) A proto-two-dimensional sonata form, like its fully-fledged counterpart, does not require a verbatim recapitulation in the overarching sonata form. A thematic variation can function as a pseudo-recapitulation when syntactically justified.⁹ 4) Much like one-dimensional Romantic works, the tonal and thematic recapitulations in the overarching sonata form do not need to coincide.¹⁰ Two recapitulations or pseudo-recapitulations can therefore provide the appropriate tonal and thematic resolution.

I will also consider how alternative musical parameters including thematic integration (a primary component of Vande Moortele's theory), orchestration, and background harmony may smooth out possible "problems" arising from these aspects of the two-dimensional sonata form that are not fully-fledged. Such "dimensional bonds" can appear in a number of guises and can either compensate for a lack of dual dimensionality or highlight the reinstatement of a two-dimensional sonata form. The examples in this chapter thus adapt Vande Moortele's illustrative methods to demonstrate how Wieck took such measures to integrate the first and second movements into the overall concerto, and to show the partial projection of an overarching sonata form.

I have divided this chapter into three parts in order to clarify the various elements of two-dimensional sonata form in Wieck's concerto. Part I examines the role of the abbreviated *Allegro Maestoso* and autonomous Finale in the projection of an overarching sonata form, Part II examines thematic integration of materials from the *Romanze* into the *Allegro Maestoso* and Finale, and Part III examines the layout of the concerto as a whole. The resulting analysis will inevitably lack the concision of a matured two-dimensional

⁹ Vande Moortele, *Two Dimensional Sonata Form*, 54-55.

¹⁰ Pál Richter, "The Schumannian déjà vu: Special Strategies in Schumann's Construction of Large-Scale Forms and Cycles," *Studia Musicologica Academiae Scientiarum Hungaricae* 44 (2003): 310.

sonata form from the late nineteenth or early twentieth century, but I will nevertheless detect in Wieck's concerto initial signs of the emerging practice, and provide an exploratory framework to gauge the multifaceted methods employed to establish unity among other linked movements in early Romantic works.

Part I – The Outer Movements: Projection of an Overarching Design

Hierarchal Complexity and Omission of the Recapitulation

As demonstrated in Chapter 2, the first movement has recourse to the formal process of amalgamation to balance the linearly expanded themes of the autonomous Finale. In other words, Wieck constructs larger themes out of smaller themes, a process which infuses the *Allegro Maestoso* with hierarchal complexity. Measures 1-16 in the slow introduction, for example, have three hierarchical formal levels as a result of amalgamation (two type-3 hybrid phrases form the antecedent and consequent phrases in a compound period, and the compound period functions in turn as the presentation in an even larger sentence structure). This multi-layered formal scheme resonates with Vande Moortele's concept of vertical double-functionality, or "identification of a formal unit of the sonata form with one of the sonata cycle,"¹¹ albeit at the lower formal level of the interthematic and intrathematic functions. This chapter builds from the analysis of amalgamation in the *Allegro Maestoso* in order to examine hierarchal complexity via vertical double-functionality at the highest formal level – that of the complete work.

By omitting the recapitulation in the *Allegro Maestoso*, Wieck shifts the requirement for thematic and tonal resolution from the "local sonata form" isolated to the

¹¹ Vande Moortele, *Two-Dimensional Sonata Form*, 31. As noted in Chapter 2, Vande Moortele expands William Newman's concept of "double-function form" to encompass his own two categories: horizontal and vertical double-functionality.

first movement of the sonata cycle to the overarching sonata form.¹² That very omission marks the moment where the presence of two dimensions becomes evident. Vande Moortele calls such a moment, namely the point where the sonata cycle and overarching sonata form no longer identify, the point of “dimensional disconnection.”¹³ The requirement of resolution is therefore a catalyst for the overarching sonata form since, as a result, the subsequent movements must provide, at some point in the overarching sonata form, the closure that the local sonata form failed to achieve. The first movement, moreover, takes on additional functional roles in this new level: the *Allegro Maestoso* identifies with the exposition, *Spielepisode*, and development in an overarching sonata form, and thus exhibits the vertical double-functionality described by Vande Moortele.

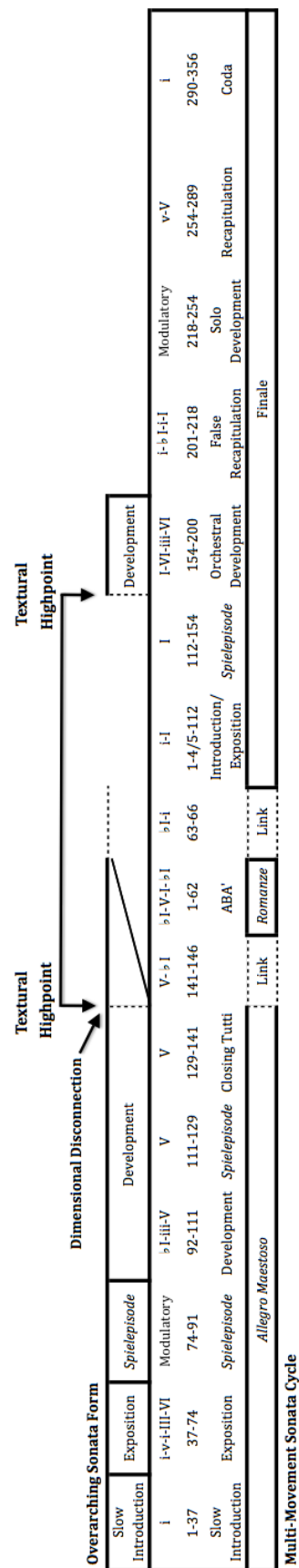
Several additional factors contribute to the need for large-scale resolution. The prolonged usage of E major in the development, second *Spielepisode*, and closing tutti in the *Allegro Maestoso* heighten its sense of incompleteness by emphasizing the dominant of A minor, which also causes the three sections to resemble a single development with extended dominant preparation in the overarching design. In addition, the closing tutti reaches a textural highpoint that dissipates without warning, and we do not experience another textural highpoint until the Finale. Indeed, Walker-Hill suggests that the tutti at the mid-point of the Finale, which is the orchestral development in my analysis, balances the closing tutti in the first movement.¹⁴ If the orchestral development in the Finale picks up where the development left off in the overarching sonata form, then Walker-Hill has located a potential indicator of impending resolution. (See Example 3.1)

¹² Vande Moortele, *Two-Dimensional Sonata Form*, 23 and 36-37.

¹³ Ibid., 27.

¹⁴ Helen Walker-Hill, “Neglected Treasure: The Piano Concerto of Clara Wieck Schumann,” *Women of Note Quarterly: The Magazine of Historical and Contemporary Women Composers* 1 no. 2 (1993): 25.

Example 3.1 – Dimensional Disconnection and Textural Highpoints



Relationship Between the Outer Movements

The internal make-up of the Finale as an autonomous composition is fundamental to the search for a pseudo-recapitulation in the overarching sonata form. As shown in Chapter 1, the requirement for virtuosity in the *Concertsatz* led to various formal nonconformities that culminated in the insertion of a virtuosic interpolation and solo development in mm. 112-154 and mm. 218-254, which consequently prompted a reversal of tonal roles between the exposition and recapitulation (the exposition presents the tonal stasis of a recapitulation, and the recapitulation delivers the tonal juxtaposition of an exposition). The tonal conflict of the recapitulation, however, has additional ramifications because the thematic and tonal resolutions do not coincide when the fanfare melody fails to recapitulate in the tonic key of A minor. The thematic recapitulation occurs as expected in refrain 3 and couplet 2 of the Finale at mm. 201-218 and 254-289, but the tonal recapitulation is delayed until the coda. This arrangement is significant to the way we will understand the pseudo-recapitulation in this overarching sonata form. If the thematic and tonal resolutions do not coincide in the Finale, then the thematic and tonal pseudo-recapitulations in the overarching sonata form cannot coincide either.

The thematic and tonal recapitulations of the Finale indeed identify with their pseudo-counterparts in the overarching sonata form. In addition, the development of the first movement and the orchestral development of the Finale are both part of the same development in the overarching design. The textural highpoint of the closing tutti in the *Allegro Maestoso* and the textural highpoint of the orchestral development in the Finale are separated by interpolations (to be discussed below), but the latter picks up where the former left off. The Finale's orchestral development therefore marks the thematic pseudo-

recapitulation in the overarching design beginning at refrain 3 in m. 201 of the Finale. The tonal pseudo-recapitulation, however, does not appear until the coda. The reversal of tonal roles in the exposition and recapitulation of the Finale means that the recapitulation's couplet 2 occurs in the subordinate key of E major instead of the tonic key of A minor. The coda must therefore secure both the tonic resolution of the third movement and the tonal pseudo-recapitulation in the overarching sonata form. The use of E major in the recapitulation prior to the arrival of A minor in the coda is notable, however, because it functions as a large-scale dominant-tonic cadential gesture at a higher formal level: it secures the tonal pseudo-recapitulation in the overarching design.

This interpretation, however, reveals several problems. The brief introduction, exposition, and virtuosic interpolation in the Finale do not identify with any sections in the overarching sonata form, and therefore must constitute interpolations. These sections tremendously weaken the projection of an overarching design because the *Romanze*, as we will see, also functions as an interpolation. As a result, the overarching sonata form, which becomes vividly perceptible with the dimensional disconnection at the end of the first movement, then dissipates as the chain of interpolations forge an even wider gap. Example 3.2 expresses this interruption in the overarching sonata form. The links from mm. 141-146 in the *Allegro Maestoso* and mm. 63-66 in the *Romanze* further weaken its projection by highlighting the individual concerto movements rather than the integral whole. The links fulfill transitional and anacrusic functions in the sonata cycle, but serve no role in the overarching design. They are technically interpolations for these reasons, but they reside between the movements rather than inside them, thus creating clear delineations in the cycle.

Example 3.2 – Pseudo-Recapitulations

Overarching Sonata Form										Thematic Integration							
				Dimensional Disconnection				Textual Highpoint									
Slow Introduction		Exposition		Spielgesode		Development				Textual Highpoint		Thematic Pseudo-Recapitulation		Thematic Pseudo-Recapitulation		Thematic Pseudo-Recapitulation/Coda	
i	1-37	i-v-I-III-VI	37-74	Modulatory	b I-III-V	V	V	V-b I	b I-V-I-b I	b I-I	I	I-VI-III-VI	i-b I-I-I	Modulatory	v-V	i	
	</																

The solo development from mm. 218-254 of the Finale places more weight on the already sizable third movement, but has no role in the overarching sonata form because the thematic pseudo-recapitulation has already begun, thus making the solo development an interpolation. Furthermore, the *Spielepisode* in mm. 111-129 of the *Allegro Maestoso* also contains virtuosic and developmental content, which makes the solo development somewhat excessive. Couplet 2, or the genuine recapitulation from mm. 254-289, plays a more prominent role in the overarching sonata form. This section resembles an interpolation at first glance because its counterpart in the exposition (the first couplet from mm. 35-57) was part of an interpolation, but as I have mentioned, the key of E major provides the first element of a large-scale dominant-tonic gesture, which heralds the tonal pseudo-recapitulation in the overarching design. As a result, mm. 254-289 of the Finale are in fact an instance of thematic integration – the recapitulation identifies with the thematic pseudo-recapitulation in the overarching sonata form, but its thematic content resembles that of the interpolated exposition of the Finale.¹⁵

Conclusion

The abbreviated *Allegro Maestoso* indicates that an overarching sonata form is at work across the span of the entire concerto by shifting the responsibility for thematic and tonal resolution to the subsequent movements. The exposition, virtuosic interpolation, and solo development of the Finale, however, weaken the overarching design with excessive interpolations that interrupt the structure and place the third movement out of proportion with the *Allegro Maestoso* and *Romanze*. Indeed, this lack of proportion is consistent with the observations of music critic Carl Ferdinand Becker and analyst

¹⁵ Vande Moortele, *Two Dimensional Sonata Form*, 26. Refrain 3 is also an instance of thematic integration in this respect, but its allusion to the second movement creates a two-fold recollection of both the *Romanze* and the Finale exposition.

Stephan D. Lindeman, which were discussed in the introduction to this thesis.¹⁶ As we will see in Part II of this chapter, however, Wieck devises ingenious methods to bridge the gap in the overarching sonata form, but these procedures will not entirely counteract the lack of proportion induced by the interpolations.

Part II – The *Romanze*: Slow Movement Interpolation and Thematic Integration

The formally and tonally autonomous *Romanze* differs from the outer movements in several ways. As illustrated in Chapter 2, the second movement employs the strange key of the lowered tonic and uses the unprecedented combination of piano and solo cello. In addition, the abundant virtuosic content in the *Allegro Maestoso* and Finale is absent in the *Romanze*, and Clara Schumann biographer Joan Chissell distinguishes the sentimental movement as a programmatic “love-duet.”¹⁷ In this way, the slow interior movement contrasts with the vibrantly virtuosic qualities of the outer movements. According to Vande Moortele, this formal and tonal autonomy, as well as differing content, is characteristic of an interpolation in a two-dimensional sonata form.¹⁸ Furthermore, the sentimental program of the second movement resonates with what I believe to be the literary equivalent of interpolation: namely, Friedrich Schlegel’s notion of the arabesque.

Friedrich Schlegel’s Literary Arabesque as Interpolation

John Daverio describes Friedrich Schlegel’s concept of the literary arabesque as “humorous, witty or sentimental digressions that intentionally disturb the chronological

¹⁶ Claudia MacDonald, “Critical Perception and the Woman Composer: The Early Reception of Piano Concertos by Clara Wieck Schumann and Amy Beach,” *Current Musicology* 55 (1993): 30 and Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (New York: Pendragon Press), 138.

¹⁷ Joan Chissell, *Clara Schumann: A Dedicated Spirit, A Study of her Life and Work* (New York: Taplinger Publishing Company, 1983), 38.

¹⁸ Vande Moortele, *Two-Dimensional Sonata Form*, 48-49.

flow of a narrative.”¹⁹ Furthermore, Daverio applies this concept to Robert Schumann’s 1836 Fantasy in C Major, the first movement of which Schumann completed in the same year as Wieck’s concerto. The Fantasy contains a quotation of “*Im Legendenton*” from Ludwig van Beethoven’s *An der ferne Geliebte* in the first movement, but this insertion is formally problematic because it interrupts the recapitulation. Daverio instead classifies the interjection as an arabesque.²⁰ There is no definitive evidence that Schumann had the literary arabesque in mind when he included the “*Im Legendenton*” quotation in the composition, but he used an excerpt from Schlegel’s poem, *Die Gebüsche*, as the motto of the first movement.²¹ In addition, Schumann wrote to Clara Wieck in 1839 that she was his inspiration for the passionate composition, thus confirming the sentimental origin of the work.²² The Fantasy in C Major is noteworthy for this analysis because the transition into the “*Im Legendenton*” quotation, which interrupts the chronology of the sonata form with a romantic interjection, is very similar to the link at m. 146 in the *Allegro Maestoso*, which ushers in the programmatic *Romanze*.

In the Fantasy, Schumann pulls back the tempo and dynamics, and uses a single line on the piano to forge a recessive dynamic and modulate from C major to C minor.²³ In Wieck’s concerto, the link to the second movement gives the clearest signal that an arabesque is about to take place. Like Schumann, Wieck pulls back the tempo and softens the dynamics. Furthermore, she enharmonically modulates to A-flat major, and segues

¹⁹ John Daverio, “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s ‘Arabesque,’” *19th-Century Music* 11 no. 2 (1987): 151.

²⁰ *Ibid.*, 158.

²¹ *Ibid.*, 151.

²² Clara Schumann and Robert Schumann, *The Complete Correspondence of Clara and Robert Schumann: Critical Edition*, vol. 2, ed. Eva Weissweiler, trans. Hildegard Fritsch and Ronald L. Crawford (New York: Peter Lang, 1994), 237.

²³ Caplin, *Classical Form*, 16. Caplin describes a “recessive dynamic” as a phenomenon where “the energy accumulated in the motion toward the cadential goal is dissipated.”

into the second movement with a dominant arpeggiation by solo piano. The *Romanze* therefore gracefully interrupts the expected resolution, and provides a sentimental version of the fanfare melody. Examples 3.3a and 3.3b compare the digressional transitions in the Fantasy in C major and Piano Concerto Op.7.

Example 3.3a – Fantasy in C Major: First Movement (mm. 125-128)²⁴



Example 3.3b – Piano Concerto Op. 7: First Movement (mm. 143-146)

The formal autonomy and contrasting elements of the second movement as an arabesque simultaneously facilitate that movement's classification as an interpolation within a two-dimensional sonata form. It is therefore both a literary arabesque and a formal "pause" that interrupts the overarching sonata form with a sentimental digression.

²⁴ Robert Schumann, *Phantasie für das Pianoforte, Op. 17*, ed. Clara Schumann (Leipzig: Breitkopf & Härtel, 1879), 6.

Thematic Integration of Tonal Quotations

Sentimentally divergent elements such as the slow tempo, soft dynamics, lyrical variation of the fanfare melody, and distant key of A-flat major reinforce rather than undermine a sense of unity when incorporated into the outer movements via tonal quotations and allusions. MacDonald suggests that throughout the concerto, tonal areas work in tandem with thematic variation to create a stronger sense of thematic unity when elements of the second movement appear in the *Allegro Maestoso* and Finale.²⁵ Indeed, Walker-Hill goes so far as to call Wieck's unusual key choices "harmonic motives" that function like thematic recollections across the movements.²⁶

These observations take on greater meaning in this analysis because MacDonald and Walker-Hill describe a phenomenon consistent with thematic integration in the context of a two-dimensional sonata form, albeit bolstered by additional musical parameters such as tempo, dynamics, phrasing, orchestration and tonality. Figure 3.2 outlines Vande Moortele's concepts of "direct" and "indirect" integration.

Figure 3.2: Types of Integration in a Two-Dimensional Sonata Form

"Direct Integration"	Thematic relationships connect an interpolation to an exocyclic unit, thus directly uniting the sonata cycle and overarching sonata form. ²⁷
"Indirect Integration"	Thematic relationships connect an interpolation to an identified unit, thus indirectly uniting the sonata cycle and overarching sonata form ²⁸

²⁵ MacDonald, "Critical Perception and the Woman Composer," 31.

²⁶ Walker-Hill, "Neglected Treasure," 27.

²⁷ Vande Moortele, *Two-Dimensional Sonata Form*, 26-27.

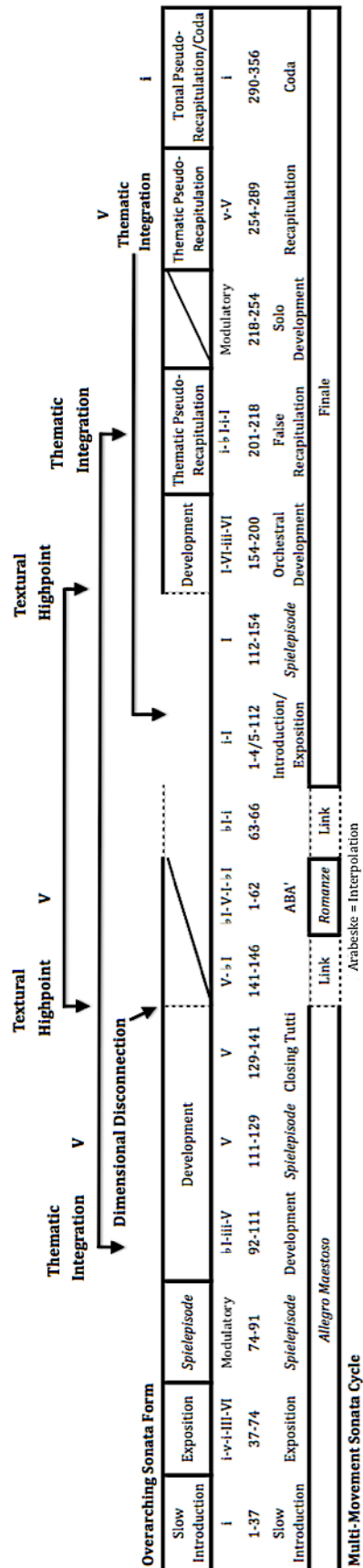
²⁸ Ibid., 26.

Thematic variations of the fanfare melody permeate the entire concerto, making the *Romanze* the main source of materials for thematic integration in the work. The unexpected implementation of A-flat major into the A-minor outer movements is very noticeable, and works in conjunction with the sentimental quality of the *Romanze* to clearly foreshadow or recollect the second movement.

The sudden appearance of A-flat major and of additional characteristics from the *Romanze* in the outer movements occurs at two strategic points in the concerto's overall layout – namely, as we have seen in Chapters 1 and 2, in the development of the *Allegro Maestoso* (mm. 92-99), and in the recapitulation of the Finale (mm. 206-208), where it postpones the tonal resolution of A minor until the coda. These allusions to the second movement strengthen the projection of an overarching sonata form, which would otherwise deteriorate during the exposition and virtuosic interpolation of the Finale.

The tonal quotation from mm. 92-99 of the *Allegro Maestoso* functions as the first core in that movement's development. The modulation to A-flat major that occurs in the preceding bars (mm. 89-91) thus ushers in a much more fluid and grandiose character. Wieck moves away from A-flat major to the more conventional development key of the mediant during the subsequent fragmentation in mm. 100-101. This allusion to the second movement, as indicated in Example 3.4, is an example of indirect thematic integration. It integrates elements of an interpolation (the *Romanze*) into a unit that is identified with the overarching sonata form (the development in the *Allegro Maestoso* is also part of the development in the overarching design).

Example 3.4 – The Complete Proto-Two-Dimensional Sonata Form



The tonality and character of the interpolated second movement, which is restricted to the dimension of the cycle, therefore indirectly appears in the overarching design by means of thematic integration in the first movement.

The allusion to the *Romanze* in mm. 206-208 early on in the Finale's recapitulation is much more vivid despite its short length of three measures. The A-flat major tonal quotation abruptly appears after the first iteration of the fanfare melody in the tonic key of A minor in refrain 3, thus thwarting the expected tonal resolution. Not only is the distant key out of place in what should be the most tonally stable area of the sonata-rondo form, but Wieck also begins refrain 3 with *f* dynamics. She then crescendos and suddenly shifts to *pp* upon the arrival of A-flat major. Furthermore, Wieck specifies a *ritenuto* during these four measures, followed by *f* and a **Tempo** when the brief tonal quotation is complete.

These three measures therefore unexpectedly yet forcefully recollect the key and character of the second movement. This instance of thematic integration is also indirect because the false recapitulation of the Finale, which initiates the thematic pseudo-recapitulation in the overarching sonata form, exhibits identification. An interpolation (the *Romanze*) has common thematic content with an identified unit (mm. 201-218). Unlike the previous indirect thematic integration, however, Wieck recalls rather than foreshadows the second movement.

Conclusion

Seven key points summarize the organization of the Piano Concerto Op. 7 as a proto-two-dimensional sonata form:

1. The abbreviated first movement projects an overarching design by shifting the need for thematic and tonal resolution to the level of the whole concerto, thus causing the *Allegro Maestoso* to take on characteristics of an exposition and development in the overarching design.
2. The *Romanze* is a literary arabesque similar to the “*Im Legendenton*” quotation in Schumann’s Fantasy in C Major, as well as an interpolation in the overarching sonata form of the concerto.
3. The exposition and virtuosic interpolation of the Finale weaken the projection of an overarching sonata form with successive interpolations that forge a wider gap and cause dissipation of the additional dimension.
4. The recapitulation of the Finale fractures thematic and tonal resolution in the third movement, as well as the identified pseudo-recapitulation in the overarching sonata form.
5. The solo development of the Finale serves no role in the overarching sonata form, but the genuine recapitulation from mm. 254-289 reemphasizes the dominant prior to the tonal pseudo-recapitulation. The subordinate-theme material in the genuine recapitulation was part of an interpolation in the exposition, so this section displays indirect thematic integration.
6. The textural highpoint in the orchestral development of the Finale reinstates the overarching sonata form after its dissipation during the exposition and first *Spielepisode* of the Finale.
7. Instances of indirect thematic integration from the *Romanze* appear in the outer movements to counteract this weakness in the overarching sonata form.

Part III – Proto-Two-Dimensional Sonata Form

The Piano Concerto Op. 7 does not constitute a fully-fledged two-dimensional sonata form because several features of the disproportionately long Finale – its linearly extended themes, closed forms, and autonomous design – betray its origins as an independent work, and thus interfere to some degree with the projection of an overarching design. Furthermore, the Finale's exposition, first *Spielepisode*, and solo development do not amply participate in a two-dimensional sonata form. As such, the layout of the concerto features both identification and interpolation, but no exocyclic units. This means that no units belong exclusively to the overarching sonata form, thus limiting its scope. The dimension of the sonata cycle further subverts the overarching sonata form with its clear delineations between movements.

Palindromic Organization of the Proto-Two-Dimensional Sonata Form

Wieck produces an additional cohesive mechanism in order to mitigate a major gap in the overarching design. As shown in Example 3.4, Wieck constructs a palindromic scheme using the two textural highpoints and the two instances of thematic integration discussed above in order to reinforce the unity of the concerto as a large-scale single-movement work. Indeed, this stabilizing palindrome encloses the greatest point of formal weakness in the overarching sonata form, and binds the *Allegro Maestoso* and *Romanze* to the Finale. Firstly, the two tonal allusions to the *Romanze* form the outer limits of the palindrome and frame the beginning of the first-movement development and the ending of the third-movement orchestral development. Secondly, the two textural highpoints occur at the closing tutti of the *Allegro Maestoso* and the beginning of the orchestral development in the third movement, thus bridging the gap in the overarching sonata form

produced by the three successive interpolations of the *Romanze*, exposition, and first *Spielepisode*.

The tonal organization of the second movement creates the pinnacle of the palindrome. The interior theme begins in the dominant key of E major, and the main theme and reprise frame the interior theme with the lowered tonic key of A-flat major. In this way, Wieck organizes the dominant of A minor as the tonal midpoint, which is encased by the distant key of A-flat major in the *Romanze*. Finally, Wieck's recourse to thematic integration via tonal allusions means that the key of A-flat major appears at the outskirts of the palindrome, thus strengthening the unifying function of the tonal and orchestral signposts.

This palindromic organization has major implications in the analysis of the Piano Concerto Op. 7 as a proto-two-dimensional sonata form. The resulting "bridge" of cohesive procedures unites the unresolved development of the *Allegro Maestoso* with the orchestral development of the Finale, which the chain of interpolations separate. The two developments are therefore components of one large development in the overarching sonata form, the latter of which picks up where the former left off. The tonal organization supports this interpretation. Although the exposition and first *Spielepisode* of the Finale produce two perfect authentic cadences in the tonic key of A minor, they are not part of the extended development in the overarching sonata form, which sustains the dominant until the tonal pseudo-recapitulation at m. 290 of the Finale.

Conclusion

The Piano Concerto Op. 7 is a proto-two-dimensional sonata form because it does project an overarching design, albeit an unstable one, and employs a sophisticated

combination of devices to address the imperfections resulting from the disproportionate length of the Finale. Wieck creates an intricate palindromic network of thematic integration, orchestral highpoints, and tonal areas to bolster the cohesion of the concerto and prolong the dominant in the dimension of the overarching sonata form, while the tonic unfolds in the dimension of the cycle during the interpolations from mm. 1-154 of the Finale. Wieck does not use a similar method to bridge the gap in the solo development from mm. 218-254, which also keeps the Finale somewhat out of proportion with the preceding movements. Regardless of the residual lack of proportion, Wieck constructs an original solution to the challenges presented when adapting her autonomous *Concertsatz* into a large-scale single-movement work, and creates an innovative predecessor to a two-dimensional sonata form as a result.

Conclusion

In my thesis, I attempted to answer two research questions: how did Clara Wieck's Piano Concerto Op. 7 formally evolve from the single-movement *Concertsatz*, and to what degree does the work exhibit internal logic? To begin answering these questions, I provided an overview of its most salient intrathematic and interthematic functions using William E. Caplin's theory of formal functions in Chapters 1 and 2. By analyzing the movements in order of composition, that is, the Finale, first movement, and second movement respectively, I identified how formal functions in the first and second movements complement the closed, yet linearly expanded themes of the *Concertsatz*, and bolster its new role as the third movement in a large-scale, tripartite concerto. Differences in formal functions between the Finale and the preceding movements therefore enabled me to speculate on how the original role of the third movement as an independent concert showpiece prompted formal deviations in the work as a whole.

After a complete formal analysis of the three movements, I consolidated my findings in Chapter 3 and adapted Steven Vande Moortele's theory of two-dimensional sonata form to examine to what degree the linked movements of the concerto exhibit the cohesive characteristics of a large-scale single-movement composition. I provided an exploratory framework for a proto-two-dimensional sonata form to accommodate aspects in Wieck's concerto that are not fully-fledged, and drew on the formal functions identified in Chapters 1 and 2 to produce a graphic representation of the concerto using the modified version of Vande Moortele's theory. In doing so, I speculated on the cause of an alleged lack of proportion between the Finale and the preceding movements, which music critic Carl Ferdinand Becker and analyst Stephan D. Lindeman both identified in

their studies.¹ More importantly, however, I was able to observe Wieck's contribution to the prehistory of two-dimensional sonata form, as well as her participation in the compositional shift from separate movements to large-scale single movement works in the Romantic period.

Chapter 1 yielded several essential comments on the Finale that contribute to a better understanding of form in the concerto as a whole. Firstly, the requirement for virtuosity in nineteenth-century concert culture culminated in the addition of two *Spielepisoden*, the latter of which derails the recapitulation in the sonata-rondo form. Secondly, the exposition and recapitulation switch tonal roles to accommodate this insertion of developmental bravura passagework, thus reallocating the tonal stasis of a recapitulation to the exposition, and postponing the tonic to subordinate key conflict of an exposition until the recapitulation. Finally, the reversal of tonal roles means that neither the formal and tonal developments, nor the thematic and tonal recapitulations, coincide. The orchestral development provides the highest level of formal instability, but the second *Spielepisode* or "solo development" provides the highest level of tonal instability. Similarly, the thematic recapitulation occurs as expected, but the Finale does not reaffirm the tonic key of A minor until the coda.

The Finale also exhibits a clear pattern of formal functions. Wieck constructs straightforward compound themes and lengthens them using loosening methods such as Janet Schmalfeldt's One More Time technique. Indeed, Wieck begins with the maximum level of formal stability in the opening refrain, and gradually loosens the subsequent

¹ Claudia MacDonald, "Critical Perception and the Woman Composer: The Early Reception of Piano Concertos by Clara Wieck Schumann and Amy Beach," *Current Musicology* 55 (1993): 30 and Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (New York: Pendragon Press, 1999), 138.

themes in the exposition. Despite this formal loosening, the Finale themes produce authentic cadential closure, which reinforces its identity as an individual showpiece apart from its role in the overall concerto. To downplay this formal autonomy, Wieck constructed open formal paradigms in the first movement that rely on the Finale for closure across the span of the entire concerto.

The first movement complements the linearly expanded, yet closed forms of the Finale with hierarchal complexity, harmonic ambiguity, and open forms. Wieck emphasizes the vertical formal evolution of the movement at the expense of horizontal progress by creating multiple layers of smaller forms within larger forms (thus highlighting the vertical), and condensing two formal functions into single units, such as the combined orchestral and solo exposition or the transition/subordinate theme fusion (thus downplaying the horizontal). Furthermore, Wieck ends the main theme group with a half cadence, but omits the recapitulation. This means that the first movement never achieves authentic cadential closure in the tonic key, and the subsequent movements must take on this responsibility for thematic and tonal resolution. As a result, the first movement takes on characteristics of an exposition and a development at a higher formal level that encompasses the entire sonata cycle. This additional formal level or the “overarching sonata form” and sonata cycle therefore represent the two dimensions in a two-dimensional sonata form.

The programmatic *Romanze* exhibits the relatively straightforward layout and closed forms typical of a slow movement, but the distant key of A-flat major (the lowered tonic of A minor) and the unprecedented instrumental combination of solo piano and cello distinguish the second movement as unorthodox. Wieck blurs the formal boundaries

of the intrathematic functions within the main theme, thus presenting a “problem” that undergoes clarification at the reprise. Despite the formal autonomy of the *Romanze*, the key of A-flat major and the distinct sentimental character contrast with the A-minor tonality and showmanship of the outer movements, and have greater implications in the analysis of this work as a proto-two-dimensional sonata form.

Chapter 3 reveals how the palindromic organization of musical parameters including orchestration, thematic integration, and background harmony help to reinforce dual dimensionality when a succession of interpolations dispels the overarching sonata form from the point of dimensional disconnection at the end of the first movement to the orchestral development beginning at m. 154 of the Finale. As observed by Helen Walker-Hill, the textural highpoint of the orchestral development balances the closing tutti of the first movement,² and this point signals the impending thematic pseudo-recapitulation across the span of the entire concerto in my analysis. Furthermore, the unexpected use of A-flat major and other characteristics of the *Romanze* such as softer dynamics and fluid articulation in the outer movements function as a type of thematic integration, thus stabilizing the overarching dimension. Finally, the late arrival of the subordinate key in the Finale, in this case the dominant key of E major, functions as a large-scale dominant in the overarching sonata form, and signals the return of A minor in the coda, or the tonal pseudo-recapitulation. These cohesive measures combine to produce an inventive solution to formal challenges encountered in the construction of a large-scale concerto from the autonomous *Concertsatz*.

² Helen Walker-Hill, “Neglected Treasure: The Piano Concerto of Clara Wieck Schumann,” *Women of Note Quarterly: The Magazine of Historical and Contemporary Women Composers* 1 no. 2 (1993): 25.

These findings suggest that the historical significance of the Piano Concerto Op. 7 has been understated in the literature. As noted in Chapter 2, several scholars observe that the key of A-flat major and the solo cello from the *Romanze* appear in the 1845 Piano Concerto Op. 54 in A Minor by Robert Schumann, and the solo cello appears in the 1882 Piano Concerto Op. 83 in B-flat Major by Johannes Brahms.³ My own analysis in Chapter 3, however, proposes that the transition into the “*Im Legendenton*” quotation in Schumann’s 1836 Fantasy in C Major is similar to the transition from the first movement into the programmatic second movement in Wieck’s concerto, thus drawing a connection between the two compositions.⁴

Additional works share common characteristics with Wieck’s concerto. For example, Vande Moortele highlights Schumann’s Fourth Symphony (1841/1851) as an ideal paradigm for the prehistory of two-dimensional sonata form, and notes its lack of breaks between movements, its thematic variation and integration, its lack of recapitulation in the first movement, and its cyclic resolution in the Finale. These elements facilitate the partial projection of an overarching sonata form.⁵ Wieck used all of these features in her own concerto just a few years prior, so the Piano Concerto Op. 7 is a missing link between earlier examples of these practices in Franz Schubert’s 1822 *Wanderer* Fantasy and the Fourth Symphony of Robert Schumann.⁶

³ Nancy B. Reich, *Clara Schumann: The Artist and the Woman* (New York: Cornell University Press, 2001), 228. See also Walker-Hill, “Neglected Treasure,” 28 and Lindeman, *Structural Novelty and Tradition*, 136.

⁴ For a description of the arabesque in Schumann’s Fantasy in C Major, see John Daverio, “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s ‘Arabesque,’” *19th-Century Music* 11 no. 2 (1987): 151-158.

⁵ Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 35-37.

⁶ Vande Moortele notes that Franz Schubert’s 1822 *Wanderer* Fantasy is a key predecessor to the fully-fledged two-dimensional sonata form of Franz Liszt’s B-Minor Sonata; *ibid.*, 37.

The Piano Concerto Op. 54 by Robert Schumann also warrants further analysis based on the findings of this study. Its conception is similar to that of the Piano Concerto Op. 7 because the first movement, like the Finale of Wieck's concerto, originated as a single-movement work for solo piano and orchestra.⁷ Schumann subsequently wrote a Finale and Intermezzo, and adjusted his *Phantasie* to become the first movement.⁸ Indeed, Bernhard R. Appel states in his introduction to the facsimile score, "the expansion and recasting of the single-movement *Phantasie* into a three-movement piano concerto might thus be said to have proceeded in 'retrograde' from the third movement,"⁹ which strikingly parallels the conception of the Piano Concerto Op. 7. Other consistencies include a fanfare theme, a high level of thematic continuity, and no breaks between the three movements.¹⁰ There are manifold differences between the two works (i.e. the orchestra is not subordinate to the soloist, the first movement is autonomous rather than open-ended, etc.),¹¹ but a comparable analysis of how he adapted the first movement into a large-scale single-movement composition could yield exciting results.

Joan Chissell most accurately described the concerto's contribution to formal innovation in the early nineteenth century with her comment, "nothing in Clara's work is in fact more interesting than its attempted unity."¹² As cited at the beginning of this study, Walker-Hill views these words as a dismissal of a significant achievement.¹³ The results of this analysis, however, cast the comment in a more positive light. The

⁷ Lindeman, *Structural Novelty and Tradition*, 136.

⁸ Claudia MacDonald, *Robert Schumann and the Piano Concerto* (New York: Routledge, 2005), 264.

⁹ Ibid. Claudia MacDonald cites Bernhard R. Appel's introduction from Robert Schumann, *Klavierkonzert a-moll Opus 54: Faksimile der Autographen Partitur*, ed. Heinrich Heine Institute, trans. Bradford Robinson (Kassel: Bärenreiter, 1996), XVIII.

¹⁰ MacDonald, *Robert Schumann and the Piano Concerto*, 233 and 265-266.

¹¹ Ibid., 239 and 263.

¹² Joan Chissell, *Clara Schumann: A Dedicated Spirit, A Study of her Life and Work* (New York: Taplinger Publishing Company, 1983), 38.

¹³ Walker-Hill, "Neglected Treasure," 22.

“attempted unity” in Wieck’s concerto reveals more about the compositional shift from separate movements to large-scale single-movement works than its more fully developed counterparts, and provides invaluable insights into the early stages of two-dimensional sonata form. The Piano Concerto Op. 7 in A Minor is therefore a milestone in radical experimentation, and when examined in this context, it is indeed a remarkable accomplishment in formal ingenuity.

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