

Turning Inward – Turning Outward – Turning Around: Strong Subordinate Themes in Romantic Overtures

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Marx's Themes

When talking about Romantic subordinate themes – subordinate themes, that is, in sonata forms written between roughly 1820 and 1850 – it is almost impossible not to start with a music theorist: Adolf Bernhard Marx. One of the distinguishing features of nineteenth-century theories of musical form – in contrast to eighteenth-century ones – is the emergence and gradual solidification of the very notion of subordinate theme,¹ and a well-known passage from the third volume of Marx's *Die Lehre von der musikalischen Komposition* (Marx 1845: 247–291) has arguably served as the benchmark for most, if not all, subsequent theoretical discussions of subordinate themes. Indeed, Marx's treatise has become nothing short of notorious for the terms in which he casts the relation between the themes in a sonata-form exposition: a “masculine” main theme versus a “feminine” subordinate theme.

Marx's infelicitous word choice has been scrutinized (and often deplored) from a variety of angles.² However, the questionable political correctness of his gendered metaphor – highly uncomfortable from our perspective, but apparently relevant from a mid-nineteenth-century point of view – threatens to conceal that it seeks to clarify a more fundamental point. In Marx's theory, the relationship between main and subordinate themes shifts from a chronological to a hierarchical one, as his substitution of the terms *Hauptsatz* and *Seitensatz* for the older terms *erstes*

and *zweites Thema* reflects.³ True, the term *Seitensatz* can be taken to mean that the second theme literally stands beside and, therefore, at the same level as the first theme. But the term *Hauptsatz* implies subordination: the *Seitensatz* is placed next to something more important, more fundamental than itself.

Marx himself puts it as follows:

The *Hauptsatz* is the first to be determined, [...] the more energetic, concise, and absolute formation, that which leads and determines. The *Seitensatz*, by contrast, is created after the first energetic statement; serving as a counter-statement, it is conditioned and determined by what precedes it.⁴

Scott Burnham has shown how this passage must be understood in light of Marx's general *modus operandi*, which “seeks to justify compositional choices by working through the piece from left to right” (Burnham 1996: 167).⁵ Since the *Hauptsatz* comes first, it is, in the words of Marx's supporter Eduard Krüger, “*causa sui*, das Seiende” (Krüger 1847: 332). Standing to the right of it, the *Seitensatz* comes into being in relation to a *Hauptsatz* that was always already there. It is what it is because of the *Hauptsatz*; it depends on the pre-existing condition of the main theme.⁶

Marx's *Formenlehre* is largely about music of the late eighteenth and early nineteenth centuries; it is not a theory of the music of his own time (even though it was, of course, part of a manual

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¹ See Reicha 1826: 298; Birnbach 1827 and 1829; Czerny 1848[?]: 33–46; and Lobe 1844: 134–55. On all of these, compare Ritzel 1968 and Hinrichsen 1997.

² See, e.g., Citron 1993: 132–143; Hepokoski 1994; and Burnham 1996: 181–184.

³ *Erstes Thema* and *zweites Thema* are the terms used in Birnbach 1827.

⁴ “Der Hauptsatz [ist] das zuerst [...] Bestimmte, mithin das energischer, markiger, absoluter Gebildete, das Herrschende und Bestimmende. Der Seitensatz dagegen ist das nach der ersten Feststellung Nachgeschaffne, zum Gegensatz dienende, von jenem Vorgehenden Bedingte und Bestimmte” (Marx 1845: 273; my translation). For a translation of longer excerpts from volume 3 of Marx's *Lehre*, see Marx 1997.

⁵ See also Uribe 2011: 225.

⁶ “Die Bildung des Hauptsatzes [...] bestimmt alles Weitere” (Marx 1845: 259).

for beginning composers).⁷ In this article, I nonetheless take two central elements from Marx's understanding of subordinate themes – the idea that themes are defined in relation to one another rather than in absolute terms, and the idea that the relation between those themes is hierarchical in nature – as a way into a discussion of the use of subordinate themes in four concert and operatic overtures by Felix Mendelssohn, Hector Berlioz, and Richard Wagner that were written right around the time when Marx was formulating his theory. But I do so in a contrarian way. For whereas Marx's "relational" approach can be applied to these works in a straightforward manner,⁸ the hierarchical relationship between their themes is the exact opposite of what he describes (and, consequently, of received notions about how subordinate themes are expected to behave). Even though the relational nature of Marx's model allows for variation between individual cases, the main theme will always come out as relatively strong and independent, and the subordinate theme as weak and dependent; the main theme always is hierarchically superior. In the overtures I discuss below, this relationship is turned on its head. All four feature what I call a "strong subordinate theme": an unusually striking subordinate theme that, as soon as it appears, eclipses or overrules the preceding main theme. The subordinate theme appears as the more fundamental entity, to which the main theme is subservient.

My article consists of two shorter and two longer analyses as well as a brief set of concluding remarks. I begin with Janet Schmalfeldt's notion of subordinate themes that "turn inward," which I apply to Mendelssohn's overture *Die Hebriden*. Then I discuss a category of subordinate themes that do the opposite, namely turn outward, using the example of Berlioz's *Les Francs-juges*. Finally, I analyze two overtures in which the inverted relationship between main and subordinate themes has more far-reaching consequences: Berlioz's *Le Carnaval romain* and Wagner's *Tannhäuser* overture.

Turning Inward: Mendelssohn, *Die Hebriden*

In her book *In the Process of Becoming*, Schmalfeldt has shown one way in which the hierarchical relationship between main and subordinate themes in nineteenth-century music can be inverted. In a chapter titled "Music That Turns Inward," she writes about

the tendency within [certain] early nineteenth-century instrumental works toward [...] formal techniques that draw new kinds of attention to deeply felt, song-inspired [...] secondary (as opposed to main) themes.

When this happens, the subordinate theme

becomes the focal point of the complete work – the center of gravity toward which what comes before seems to pull, and from which all that follows seems to radiate (Schmalfeldt 2011: 136).

For Schmalfeldt, these moments resonate with broader cultural and philosophical concerns in early nineteenth-century Europe, expressing an idea of inwardness and subjectivity that relies on the opposition between inside and outside – between "a subject with inner depths" and "the objects of this world" (Schmalfeldt 2011: 133). A crucial element in her account of this introversion is the category "song": introversive subordinate themes are "song-inspired," and it is the song that gives voice to the subject.

Analogous to Marx's notion of subordinate theme, Schmalfeldt's "inward" themes do not constitute an absolute category but are instead defined relationally. Even though the subordinate themes she writes about can be construed as "inward-turned," her persistent use of the phrase "turning inward" brings out the processual aspect of the phenomenon (fully in line, of course, with the general subject matter of her book). And the process implies a point of reference outside the introversive theme itself – a point in relation to which the music turns inward as it approaches the

⁷ It has often been pointed out that nineteenth-century theories of sonata form in general are not necessarily the best instruments for the analysis of classical (especially early classical) music. For one of the earliest versions of this argument, see Ratner 1949.

⁸ Marx's relational approach resonates with the distinction modern-day music theory makes between "intrinsic" and "contextual" formal functionality. See, e.g., Vallières et al. 2009: 18, and Vande Moortele 2013b: 420–421.

subordinate theme: the main theme (and, as the case may be, the transition).

Schmalfeldt associates the idea of subordinate themes that turn inward specifically with (late) Schubert, although she never claims that it is an exclusively Schubertian phenomenon. More generally, her idea of inwardness seems inextricably linked to notions of intimacy and privacy; its locus is chamber music in the most literal sense, i.e., as domestic music making (Schmalfeldt 2011: 142–143). Inward-turning subordinate themes are not limited, however, to the genres of the bourgeois drawing room. They also occur in public instrumental genres, and because of the larger apparatus those genres employ, they tend to be more extreme in their effect.

One of the earliest and, at the same time, most explicit manifestations of the turn inward in nineteenth-century orchestral music is Mendelssohn's overture *Die Hebriden* (1830/32). The subordinate theme appears at m. 47 in the exposition (see Example 1). It is first presented by the celli, bassoons, and clarinets (mm. 47–57) and then repeated by the first and second violins in octaves (mm. 57–66) before giving way to a grand expansion that leads to its final cadence (mm. 67–89). Save for the expansion, which quickly gathers momentum and brings about the first fortissimo in the piece, the theme is eminently lyrical; it is a true melody – according to one commentator, even “quite the greatest melody Mendelssohn ever wrote” (Tovey 1937: 92). Thomas Grey describes the theme as an “arching lyrical phrase, [which,] with its expression of hope and intimate confidences, reaches out to us from the musical ‘picture’ with a song” (Grey 2000: 70).

Grey's description brings together what would later become the two central characteristics of Schmalfeldt's introversive subordinate themes – lyricism and expressivity – and makes explicit their joint origin in song. While those characteristics are intrinsic to Mendelssohn's subordinate theme, and thus become evident regardless of contextual factors, they are enhanced by their

relationship to the theme's surroundings. Grey writes that the song “reaches out to us from the musical picture.” The allusion here is, of course, to the familiar characterization of Mendelssohn as a “musical landscape painter.” Although the original form of this epithet, which apparently stems from Wagner, was hardly meant in an unambiguously positive way, it is not easily dismissed in the context of *Die Hebriden*.⁹ The overture's opening theme is generally understood as a musical depiction of a basalt cave on the Isle of Staffa (one of the inner Hebrides to the west of Scotland) that was known in the nineteenth century as “Fingal's Cave.”¹⁰

Many authors have singled out the main theme of *Die Hebriden*, shown in Example 2, for its deliberate musical primitivism: the emphasis on tone color, the implied parallel fifths between the outer voices, the plagal closing motion at mm. 8–9, and the hyper-repetitive motivic structure all exemplify what R. Larry Todd has dubbed “Mendelssohn's Ossianic manner” (Todd 1984). In the present context, the crucial element is that the main theme fails to articulate a melody. Although it is not impossible to hear mm. 1–9 as a loose sentence (a two-measure basic idea, two sequential repetitions, and a brief continuation), the motive that is constantly repeated in the most active voice (violas, celli, and bassoon) has a tendency to merge with the accompaniment; indeed, it is not hard to imagine the first two measures as a prefix that would have receded to the background had a melody entered in m. 3. The accompanimental nature of the leading voice becomes particularly clear in mm. 3–4, where the celli, which were doubling the violas at the octave in the preceding measures, temporarily go their own way and play a rising arpeggio-like motive in counterpoint to the violas. With its weakly profiled flow of eighth notes, this motive is even more accompanimental than the main motive. Only in mm. 7–8 does a modest melodic profile emerge, yet this immediately turns into an undulating backdrop to the repetition of the theme.

⁹ Several of Wagner's comments along these lines are recorded in Cosima's diaries. See, e.g., 6 June 1879, on three of Mendelssohn's concert overtures: “Als Landschaftsmaler vortrefflich, nur aber nicht, wenn er mit dem Herzen wackelt” (Wagner 1977: 361).

¹⁰ On the genesis of *Die Hebriden*, see Todd 1993: 26–33. But compare Grey 2000: 66–67.

Example 1. Die Hebriden, mm. 47–57.

47
basic idea
violins 1-2
sempre *pp*
viola
sempre *pp*
cello, bassoons
mf cantabile
double bass
p
flutes
pp
+ clarinets
sf
p
fragment
fragment ==>

51
basic idea repeated
cello, bassoons
cresc.
- clarinets
+ clarinets
sf
- clarinets
pp
p
fragment
fragment ==>

55
cadential
violin 2
sf
PAC

Example 2. *Die Hebriden*, mm. 1–9.

The musical score for Example 2, *Die Hebriden*, mm. 1–9, is presented in four systems. The first system (mm. 1–4) is labeled "basic idea" and "Allegro moderato". It features a violin 1-2 part with a sustained melody and a piano (*p*) dynamic. The second system (mm. 5–8) is labeled "repetition (sequential)" and includes the addition of clarinets. The third system (mm. 9–12) is also labeled "repetition (sequential)" and includes the addition of oboes. The fourth system (mm. 7–9) is labeled "continuation" and includes the addition of flutes. The fifth system (mm. 10–12) is labeled "(theme rebeginning)" and includes the addition of violin 1-2 and timpani. The score is in common time (C) and the key signature is one sharp (F#). Dynamics are marked *p* (piano).

Like the first statement of the theme, its repetition (with the main motive now in the violins) and its subsequent expansions attain a more distinct melodic contour only towards the ends of phrases, first at mm. 15–16, then again in mm. 23–26 (an intermediary attempt to “sing” in mm. 19–20 is abandoned). Throughout the main theme group, the highest degree of “melodicity” emerges at

those moments where one least expects it: in the lead-up to the cadence, where thematic material typically is “conventional” rather than “characteristic.”¹¹ The first melodic impulse that is sustained for an entire phrase tellingly occurs only in the codetta (mm. 27–30), after the theme itself is over, further highlighting the absence of true melody from what comes before.

¹¹ On conventional and characteristic melodic material, see Caplin 1998: 11 and 37.

The main theme thus comes to act as a foil for the subordinate theme: it creates and sustains a melodic vacuum that is filled only when the subordinate theme enters. The latter establishes itself as the focal point of the form simply because it is, as Grey says, “the first ‘real’ theme, as a melodic entity” (Grey 2000: 80). Put bluntly, the subordinate theme attracts attention because there is no other theme to pay attention to.

In contrast to the main theme, the subordinate theme does appear as a theme in the full sense of the word, i.e., as a complete mid-level syntactic unit (albeit one of unorthodox intrathematic organization) with a distinct melodic profile. But it is a theme not only in an intrinsic sense. It also functions “relationally,” its effect relying largely on the confrontation with the main theme, which distinctly lacks its striking thematic profile. From this perspective, the subordinate theme reacts to the main theme, very much in Marx’s left-to-right sense, but with the hierarchical relationship inverted. The subordinate theme is not there as a necessary complement to the main theme, but instead the main theme exists to enable the subordinate theme to fulfill its powerful effect of introspection and subjectification. It is the main theme that is “subordinate” to the theme entering at m. 47, rather than the other way around.

Turning Outward: Berlioz, *Les Francs-juges*

My second example takes us from Mendelssohn in Scotland to Berlioz in Paris, albeit through the detour of Wagner, who in the early 1840s worked as a musical correspondent in the French capital for the Dresden *Abend-Zeitung*. In May 1841, Wagner decided that the time had come to inform

his readers about Berlioz, who was then known in Germany primarily for his first three concert overtures, *Les Francs-juges*, *Waverley*, and *Le Roi Lear*.¹² Berlioz was hardly any less controversial in Germany than in France, and Wagner himself remained ambivalent about his music.¹³ For Wagner, its idiosyncrasies stemmed from the tension between Berlioz’s German and French influences, personified by Ludwig van Beethoven and Daniel-François-Esprit Auber:

From our Germany the spirit of Beethoven blew across to him, and there certainly have been hours when Berlioz would have wished to be a German. [...] But as soon as he put pen to paper, the natural pulsing of his own French blood set in again, of that same blood that surged in Auber’s veins [...] Then he felt that he could not become like Beethoven, but neither could he write like Auber. He became Berlioz [...].¹⁴

Wagner then goes on to explain the difference between the German and French artistic temperament. Whereas the German artist prefers to withdraw from society to find the “true source of his productive powers within himself,” French art follows the “direction outward,” seeking its source of inspiration “in the outermost points of society.”¹⁵

German music, for Wagner, turns inward, French music turns outward. Interesting paragraphs could be written that deconstruct a deeply problematic ideology lurking behind Wagner’s position. But simply to dismiss Wagner’s discourse, no matter how essentializing and nationalistic it may be, would be to overlook its possible relevance to Berlioz’s music and its reception

¹² The overture to *Les Francs-juges* was originally part of an opera that was never performed and which survives only in fragmentary form. From its first performance in 1828 at the Paris Conservatoire, Berlioz clearly intended to salvage the overture by treating it as a concert piece. *Waverley* and *Le Roi Lear* were intended as concert overtures from the beginning. There are twenty-nine documented performances of works by Berlioz in Germany before 1841, all of them overtures. See the overview in Braam and Jacobshagen 2002: 619–620.

¹³ On Wagner and Berlioz, see Bloom 2000 and Piontek 2003.

¹⁴ “Aus unserem Deutschland herüber hat ihn der Geist Beethoven’s angeweht, und gewiß hat es Stunden gegeben, in denen Berlioz wünschte, Deutscher zu sein. [...] So wie er aber die Feder ergriff, trat die natürliche Wallung seines französischen Blutes wieder ein, desselben Blutes, das in Auber’s Adern braus’te [...] Da fühlte er, er könne nicht wie Beethoven werden, empfand aber auch, er könne nicht wie Auber schreiben. Er ward Berlioz [...]” “Aus Paris,” in: *[Dresdner] Abend-Zeitung*, May 24, 1841 (Wagner 1911: 86).

¹⁵ “Es ist dieß die Richtung nach Außen, das Aufsuchen der gemeinschaftlichen Anklänge in den Extremitäten. Wenn im geselligen Leben sich der Deutsche am liebsten zurückzieht, um den eigentlichen Nahrungsquell seiner produktiven Kraft in seinem Innern nachzuforschen, sehen wir im Gegentheile den Franzosen diesem Quelle in den äußersten Spitzen der Gesellschaft nachstreben” (Wagner 1911: 87).

Example 3. *Les Francs-juges*, mm. 60–70.

among his and Wagner's contemporaries. Indeed, Wagner's aperçu may very well have rung true to a German music lover who first encountered some of Berlioz's pieces. For "turning outward" is exactly what the subordinate theme in the overture to *Les Francs-juges* (1826) – at the time Berlioz's most performed composition in Germany by far – seems to do.

It is almost a cliché in the literature on *Les Francs-juges* to point out that the main theme is overshadowed by the subordinate theme.¹⁶ It would nonetheless be tendentious to pretend that there is anything intrinsically incomplete or unsatisfactory about the main theme itself (see Example 3). In contrast to the main theme in *Die Hebriden*, it has both the profile and the structure of a "theme." More specifically, it takes the form of a sentence. With its eleven measures, however (fourteen if one includes the postcadential extension that functions as a link to the transition), this main theme is rather short, especially after the expansive slow introduction, which lasts more than three minutes. Berlioz, in other words, grants the main theme very little breathing room. Admitted-

ly its motivic content spills over into the next unit: the transition begins at m. 74 with a varied repetition of the main theme, the first violins literally restating the theme's first six measures and the other strings following canonically at the distance of two measures. Yet the transition quickly moves to the mediant A_b major and from m. 93 onward gets bogged down in mere passagework. Even though this passagework has hardly any thematic profile, it lasts twenty-three measures – almost as long as the main theme and its restatement at the opening of the transition combined.

When the subordinate theme enters at m. 116 (see Example 4), the contrast with the main theme could not be greater. It surpasses by far anything that precedes it in melodiousness and memorability. As in *Die Hebriden*, this is because of a combination of contextual and intrinsic factors. First and foremost, the subordinate theme is comparatively light, not so much because of the major mode (which was secured several measures earlier), but because of the texture. Whereas the main theme is labored and, at the beginning of the transition, even quasi-academic, the subordinate theme ap-

¹⁶ See, e.g., Holoman 1989: 88 and Bickley 2000: 73.

Example 4. *Les Francs-juges*, mm. 60–70.

The musical score for Example 4, *Les Francs-juges*, mm. 60–70, is presented in three systems. The first system (mm. 116–121) includes a 'prefix' for viola (mf), cello/double bass (mf), and violin 1 (p) with a 'basic idea' marked 'dolce e legato'. The second system (mm. 122–127) features a 'contrasting idea' for violin 1 (p). The third system (mm. 128–133) features a 'cadential' phrase for violin 1 (p) with Roman numerals I, IV, and V⁷. The key signature changes to B-flat major in the third system.

pears as a melody over an energetically pulsing accompaniment. In contrast to the hectic nature of the main theme, moreover, the subordinate theme has time, so to speak. Not only is the theme itself thirty-one measures long (against eleven for the main theme), it is also repeated almost in its entirety (embellished by a descant voice in the upper woodwinds that is derived from the main theme). As a whole, the subordinate theme group lasts for fifty-eight measures.

The subordinate theme's most striking intrinsic characteristic is that it is perfectly singable without being particularly lyrical. Every pair of measures comprises the same lively anacrusic rhythm followed by either a long sustained note, or a legato gesture of two or three notes. This gestural uniformity goes hand in hand with a hyper-regular metrical grid of thirteen groups of four measures (and one incipient fourteenth group). All that

keeps this succession of four-measure groups from becoming unbearably tedious, so it would seem, is its functional differentiation through harmony: after a four-measure prefix, the theme enters with a four-measure basic idea, a four-measure contrasting idea, and an eight-measure phrase underpinned by an expanded cadential progression. This cadential phrase leads to an IAC and is repeated twice with slight variations. The second iteration ends like the first, but the third leads to a PAC.

In spite of its irresistible energy, the overly regular phrase structure of Berlioz's subordinate theme could be (and has been) heard as an aesthetic defect.¹⁷ It is a stylistic lapse from the main theme – a lapse, perhaps, into the aesthetic realm of Auber, the composer who in Wagner's account of Berlioz's music represented musical Frenchness *tout court*. It is not entirely surprising, then, that

¹⁷ See Bickley 2000: 73.

Example 4. Part 2

cadential (repeated)

134

IAC

E.C.P.

cadential (repeated)

140

146

PAC

in his *Mémoires*, Berlioz concedes that the theme was borrowed from a quartet he had written as a teenager (Berlioz 1870: 14). All the same, the subordinate theme's superiority over the main theme is confirmed – in a sense, acted out – in the final stages of the form: in the recapitulation, the main theme receives even less emphasis than in the exposition because its restatement at the beginning of the transition is now omitted. The opposite happens to the subordinate theme. Its energy now unleashed, it flourishes into a grand apotheosis that lasts close to one hundred measures.

If I apply the same category of “strong subordinate theme” to both Mendelssohn’s and Berlioz’s overtures, I do so with the understanding that they are strong in almost opposite ways. Mendelssohn’s introversive subordinate theme is a subordinate

theme through and through: it is strong in spite of having all the characteristics we normally associate with a Romantic subordinate theme, such as lyricism, expressivity, and melodiousness. Even though the theme’s energy level rises towards the end of its expanded repetition, it is not on this turn outward that its strength relies, but rather on its degree of “thematicity” and phrase-structural stability in comparison to the main theme. Berlioz’s subordinate theme is strong in a different way. It is not lyrical or expressive, but energetic – acquiring, to a certain extent, characteristics we would normally associate with a main theme. To put it differently: the idea of a sonata form in which the subordinate theme from *Die Hebriden* would function as a main theme seems almost absurd. But it is not so hard to imagine how Berlioz’s subordinate theme could function, in a different context, as a main theme.

Turning Around: Berlioz, *Le Carnaval romain* and Wagner, *Tannhäuser* overture

In the previous sections, I introduced the categories of inward- and outward-turned strong subordinate themes, focusing on how they function in their immediate context, that is, in relation to the rest of the exposition. In what follows, I adopt a broader perspective: I will analyze the role of outward-turned strong subordinate themes in Berlioz's concert overture *Le Carnaval romain* (1844) and in the overture to Wagner's *Tannhäuser* (1845) in relation to the form as a whole. In both works, the hierarchical superiority of the subordinate theme over the main theme in the exposition has momentous consequences for the way in which the rest of the form plays out. More specifically, the themes' form-functional roles are reversed over the course of the form, as the strong subordinate theme from the exposition seems to assume main-theme function in the recapitulation. In both overtures, moreover, the unusual formal trajectory can be clarified by bringing into play the programmatic aspect implied by the overture's title in *Le Carnaval romain* and by the opera's dramatic action in *Tannhäuser*.

Stephen Rodgers has recently pointed out that the reliance of *Le Carnaval romain* on some of the conventions of sonata form is as obvious as its departure from others (Rodgers 2009: 63). Figure 1 provides a formal overview; the numbers in the bottom row of the chart refer to the themes whose incipits are shown in Example 5.¹⁸ Once the long multi-tempo introduction (a brief *Allegro assai con fuoco* followed by a luxuriating *Andante sostenuto*) has drawn to an end, the *Allegro vivace* launches what clearly seems to be an exposition: a saltarello main theme in mm. 78–102, a transition in mm. 102–127, and a boisterous subordinate theme in mm. 128–168. Already in this exposition, however, the distribution of cadences is odd. The main theme ends as expected on a PAC in the tonic (the covering $\hat{5}$ in the flute is part of the accompaniment). The transition, however, begins as

a postcadential codetta to the main theme, then appears to modulate to \flat III, only to revert to the tonic in the last instant and conclude not with an HC, but with another PAC. Moreover, the subordinate theme does not achieve cadential closure at all. If one understands it as a ternary design (with mm. 128–143 as an A section, mm. 144–159 as a contrasting middle, and m. 160 as the beginning of a varied A \square section), the A \square section does not lead to a cadence in the dominant, but rather turns into a retransition that modulates back to the home key.¹⁹

Even more unusual is that this retransition leads to a full repeat of the exposition. This is at odds with the genre conventions of the overture, which distinguishes itself from the first movement of a symphony through its systematic omission of the exposition repeat. What is more, the exposition repeat in *Le Carnaval romain* is not indicated by repeat signs, but completely written out, with modifications. This too is exceedingly unusual in the first half of the nineteenth century. The modifications in the second exposition affect both instrumentation and tonal organization; the most important structural change is that the transition is expanded and now firmly establishes the dominant, ending with a V:PAC that is elided with the entry of the subordinate theme. Cadential closure is still absent from the subordinate theme itself, however, in spite of its substantially rewritten A \square section.²⁰

A new sonata-form cue is given at m. 276, where a developmental pre-core seems to begin. This impression is confirmed when a core-like unit starts at m. 300, drawing on the rhythm from the main theme and on the melody from the slow portion of the introduction.²¹ The development leads not to a complete recapitulation, but to a return of the subordinate theme only (now transposed to the tonic). As Rodgers (2009: 65) emphasizes, this brings into play the notion of a “binary” sonata form or, in the terminology of Hepokoski and Darcy, a “Type 2 sonata,” in which there is

¹⁸ My reading of the piece's outlines is largely analogous to Rodgers's, differing on only three accounts: the internal organization of the subordinate theme; the beginning of the development; and the beginning of the coda. Compare the form chart in Rodgers 2009: 66.

¹⁹ In Hepokoski and Darcy's terms, this constitutes a “failed exposition” (2006: 177–178). Note that I do not consider m. 160 (the beginning of the A \square section) to be a cadence. The preceding B section ends in F \sharp minor on the downbeat of m. 158, and the intervening unison passage forms a link between both sections.

²⁰ The situation at m. 257 is analogous to that at m. 160.

²¹ On “core” and “pre-core” functions, see Caplin 1998: 141–155.

Figure 1. *Le Carnaval romain*: overview.

mm.	1–18	19–77
tempo	<i>Allegro assai con fuoco</i>	<i>Andante sostenuto</i>
formal function	INTRODUCTION (multi-tempo) “false start”	
keys	I	A – B – A – B – A – codetta ♭III – V – I
cadences	I:HC	I:HC
thematic material	1	2

mm.	78–102	102–127	128–168
tempo	<i>Allegro vivace</i>		
formal function	EXPOSITION 1		
	Main Theme	Transition (codettas⇒Tr)	Subordinate Theme
keys	I	I – (♭III) – I	A (128–143) B (144–159) A'⇒Retransition (160–168)
cadences	I:PAC	I:PAC (!)	V V – (vi) V no cadence (!)
thematic material	3	4	1

mm.	168–192	192–225	225–275
formal function	EXPOSITION 2 (!)		
	Main Theme	Transition (codettas⇒Tr)	Subordinate Theme
keys	I	I – (iii) – V	A (225–240) B (241–256) A'⇒Link to Dev. (257–276)
cadences	I:PAC	V:PAC (!)	V – (vi) no cadence (!)
thematic material	3	4	1

mm.	276–299	300–343
formal function	DEVELOPMENT	
	Pre-core	Core
keys		♭VI – I
thematic material	X	2 (+3)

mm.	344–355	356–366	367–387	387–412
formal function	RECAPITULATION (?)			
	Subordinate Theme (!)	Fugato	Intro Theme (!)	Closing Section
keys	A only		VII/V – v – I	I
cadences	I		I:PAC	I
thematic material	1		2	4

mm.	413–446
formal function	CODA
keys	I
cadences	I:PAC
thematic material	1

Example 5. *Le Carnaval romain*: thematic incipits.

1 *Allegro assai e con fuoco*
f

2 *Andante sostenuto*
mf espress.

3 *Allegro vivace (Tempo I)*
p

4
ppp

no recapitulation but a “tonal resolution.”²² Main theme material resurfaces only to accompany a final, fragmented statement of the introduction’s slow melody, while the opening of the transition now functions as a closing section. The final return of the subordinate theme marks the beginning of the coda.

Elsewhere, I have voiced reservations about applying the “Type 2” concept to sonata forms from the mid-nineteenth century (Vande Moortele 2013a: 60). Primarily a formal type of the mid-eighteenth century, the “Type 2 sonata” grew increasingly rare after 1770 (as Hepokoski and Darcy themselves concede). While mid-nineteenth-century compositions that appear to be in dialogue with it exist, the “Type 2 sonata” is never discussed in the nineteenth-century theoretical literature.²³

It seems implausible, therefore, that an informed mid-nineteenth-century listener would have heard these works as being in dialogue with the (eighteenth-century) “Type 2 sonata” rather than with the overwhelmingly more common (eighteenth- or nineteenth-century) “Type 3 sonata.”

If we want to steer clear of the anachronistic application of the “Type 2” concept to *Le Carnaval romain*, how can we come to terms with the work’s unusual form? For Rodgers, the answer lies in hearing *Le Carnaval romain* as a mix of vocal and instrumental elements (Rodgers 2009: 71–72). Not only are several of the overture’s themes borrowed from Berlioz’s opera *Benvenuto Cellini* (1838), but its form also combines instrumental and vocal aspects. The sonata form, Rodgers argues, is overlaid with the (typically French)

²² Hepokoski and Darcy are categorical about this distinction. Given the rotational basis of their theory, a recapitulation can by definition begin only with a return of the main theme. See Hepokoski and Darcy 2006: 353–387.

²³ Hepokoski and Darcy mention sixteen nineteenth-century compositions that they consider to be “Type 2 sonatas” (Hepokoski and Darcy 2006: 364). As part of his critique of the “Type 2” concept, Paul Wingfield notes a few other candidates but also questions the inclusion in the list of several of Hepokoski and Darcy’s examples (Wingfield 2008: 155–160). To be clear, I am not denying that mid-nineteenth-century composers may have been aware of eighteenth-century “Type 2 sonatas,” nor that they may even have modeled some of their own compositions on these earlier works. But in a nineteenth-century context, the very decision to revive this older format arguably constitutes a deformational gesture. I discuss the question of the “Type 2 sonata” in Romantic overtures at greater length in my forthcoming book *The Romantic Overture and Large-Scale Musical Form: From Rossini to Wagner*.

strophic song form of the romance or couplet. One common version of this couplet form consists of three strophes, each with a preparatory verse and a culminating refrain. While the refrain by definition remains more or less identical in all three strophes, the preceding verse may be subject to variation, especially in the final strophe. As Rodgers points out, it is not hard to see the analogy between this three-strophe plan and the exposition, its repetition, and the development and recapitulation in *Le Carnaval romain*.

While Rodgers reading of the piece is cogent, I want to advance an alternative explanation that takes the notion of “strong subordinate theme” as its point of departure. It needs little argument that the subordinate theme in *Le Carnaval romain* falls squarely within the category of strong subordinate themes; as Rodgers notes, “this is the tune we hum to ourselves as we leave the concert hall” (Rodgers 2009: 70). Especially in the first exposition, the preparatory character of the main theme and transition is unmistakable and contrasts starkly with the big bang that launches the subordinate theme. Rodgers goes so far as to claim that Berlioz, in his *Mémoires*, refers to the subordinate theme as the work’s “main theme” (Rodgers 2009: 70). This may be reading too much into Berlioz’s words. Berlioz writes that “l’allegro [du *Carnaval romain*] a pour thème ce même saltarello [du milieu du deuxième acte de *Benvenuto Cellini*]” (Berlioz 1870: 212). There is a double problem with Rodgers’s reading of the passage: not only does Berlioz write “thème” rather than “thème principal,” but there is also no reason to understand “saltarello” as referring specifically to the subordinate theme, since the entire double exposition is taken from the second tableau of *Benvenuto Cellini*.²⁴ Nonetheless, I find Rodgers’s suggestion tantalizing: what if the subordinate theme in *Le Carnaval romain* really is the main theme?

At first sight, the question may well appear nonsensical. True, intrinsically the subordinate theme “could” have been a main theme: as was the case with the strong subordinate theme in the overture to *Les Francs-juges*, it is not hard to imagine a sonata form in which it actually would function as the main theme. But that obviously is not how the theme is used in *Le Carnaval romain*. In both expositions, it is presented in the domi-

nant rather than the tonic, and both also contain a theme in the tonic that, while less memorable, nonetheless constitutes a perfectly acceptable main theme.

However, in a piece with the word “carnival” in its title, things are not necessarily what they seem. Quite the contrary: one of the essential elements of carnival is the masquerade, that is, the use of masks to confuse identities. The idea that in *Le Carnaval romain*, the themes are part of a masquerade resonates with the vocal–instrumental exchange that stands at the heart of Rodgers’s interpretation. But one can extend this idea to the form-functional plan: the strong subordinate theme in Berlioz’s overture is not really a subordinate theme, but a main theme that, for considerable stretches of the form, masquerades as the subordinate theme.

Several arguments support this interpretation. A first one is the very beginning of the multi-tempo introduction. A favorite strategy of Berlioz’s was to provide a brief in-tempo preview of a theme that does not emerge fully until later in the form; the more substantial slow portion of the introduction follows only in the second instance. In all other works in which Berlioz adopts this strategy, however, the preview is of the theme that will later function as the main theme; only in *Le Carnaval romain* is it the (supposed) subordinate theme. The implication is that a listener familiar with these other pieces would expect the previewed theme not only to play a role later in the form but specifically to play the role of main theme.

A second argument is the way in which the apparent subordinate theme enters in Exposition 1. There is an element of surprise here: the theme comes in, so to speak, head over heels. This is in part because of the sequence of events in the transition – first a postcadential codetta to the main theme, then a short-lived move to \parallel , and finally a return to, and cadential confirmation of, the tonic. At the tonic PAC in m. 126, there is no reason to assume that the main theme group is over (especially given the proportions of the introduction, which sets the listener up for a very expansive sonata form). Rather, after hearing two PACs in the tonic at the beginning of a sonata-form exposition, an informed listener probably

²⁴ “Thème” is nonetheless rendered as “main theme” in David Cairns’s translation, on which Rodgers relies (2002: 236).

does not expect a subordinate theme, but either a transition (beginning on or off-tonic) or yet another main theme. And given what happened in the introduction, the latter scenario probably would be the more likely: the main theme and transition (Themes 3 and 4 in Example 5) would then be heard as preparation for the entry of the theme that was promised by the preview. The surprise effect at m. 128, in other words, does not come from the fact that we hear this theme; this *is* the tune we have been waiting for. The surprise is that it appears in the dominant rather than the tonic (as at the beginning). One can think of the themes in Berlioz's overture, metaphorically, as characters in a play, or more precisely, as actors who, instead of following their script and playing their dedicated roles, start to improvise and react to each other's moves. In the two linking measures during which the brass gathers momentum (mm. 126–27), the main theme that was slated to enter in the tonic quickly puts on its subordinate theme mask and not only fools the listener, but also takes the two preceding formal units by surprise. (It is not hard to hear how it could and perhaps even should have entered in the tonic, as Example 6 illustrates.) In more technical terms, the entry of the main-theme-turned-subordinate-theme triggers a retrospective reinterpretation of the formal unit in mm. 102–127, as Figure 2 shows. In relation to the unit that precedes it (i.e., the main theme in mm. 78–102), it functions as a second main theme (more specifically, codettas \rightarrow MT2). In relation to the main-theme-turned-subordinate theme that follows it, however, it functions as a transition.

After this unforeseen turn of events, the themes' formal functions – or, to continue the metaphor of a staged masquerade, the actors' roles – are redistributed in the second exposition; in my view, the very *raison d'être* of the second exposition is to make this redistribution possible. Rather than continue to act as two preparatory members of a larger main theme group, Themes 3 and 4 draw the conclusion from the fact that the planned third member of the main theme group has put on a subordinate-theme mask. Theme 3 now gets to carry the full burden of main theme function – hence its transformation at the be-

ginning of the second exposition. Theme 4 also adjusts to its new role and understands that it is supposed to modulate to the dominant (although it does so in a slightly overenthusiastic manner, leading to a PAC rather than an HC in the new key). Theme 1 continues to do what it did before: it pretends to be a subordinate theme. (That it still does not provide the expected cadential closure may be seen as another indication that it is a main theme that is merely posing as a subordinate theme.)

If the "subordinate theme" really is a main theme that pretends to be a subordinate theme, then it must be overwriting another theme that was originally slated to be the subordinate theme. Who is the actor who was supposed to play that role? I venture to suggest that it is the lyrical melody from the slow introduction (Theme 2 in Example 5). It would not be unreasonable to expect that melody to play a role beyond the slow introduction itself: in the same way that in many of Berlioz's overtures, the initial false start of the introduction offers a preview of what will later become the main theme, the melody from the main portion of the introduction in several Romantic overtures returns as the subordinate theme in the exposition.²⁵ In *Le Carnaval romain*, the melody from the introduction is prevented from doing so by the main-theme-turned-subordinate-theme. As a result, its reappearance is pushed back into the development.

Until the end of the development, the themes stay out of sync with their intended formal functions (or at least with the formal function that was suggested by their use in the introduction). When, immediately after the development, it is the apparent subordinate theme, rather than the beginning of the exposition, that launches the recapitulation, the masks come off. The strong subordinate theme finally assumes the role it was supposed to play all along: that of main theme.

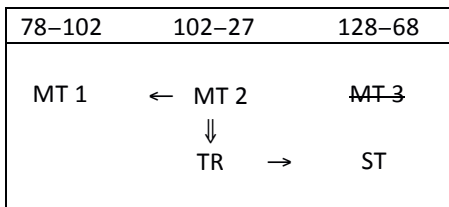
It is not hard to see the similarities between *Le Carnaval romain* and Wagner's *Tannhäuser* overture, which was completed little more than a year later. First, like Berlioz, Wagner begins his

²⁵ Other examples include Beethoven's *Leonore 2* overture, Wagner's *Rienzi* overture, and Mendelssohn's overture to Jean Racine's *Athalie*.

Example 6. *Le Carnaval romain*: hypothetical version of the “main-theme-turned-subordinate theme” entering in A major.

The musical score for Example 6 is presented in two systems. The first system includes woodwinds, horn 1, horns, trumpets, and cornets. The woodwinds and horn 1 part begins with a *mf* dynamic, while the horns, trumpets, and cornets enter with a *f* dynamic. The second system includes upper woodwinds, violin 1, and strings. The upper woodwinds and violin 1 part begins with a *ff* dynamic, and the strings also begin with a *ff* dynamic. The score is in A major and 6/8 time.

Figure 2. *Le Carnaval romain*: retrospective reinterpretation in the first exposition.



overture with a substantial (slow) introduction that almost outweighs the fast sonata form that follows it (all the more so because Wagner brings the introduction back at the end). Second, in the exposition of the overture’s sonata-form portion, the strongest theme is the one that is presented in the subordinate key. Third, it is this subordinate theme that first returns in the tonic after the development, thereby greatly minimizing the role of main theme material in the recapitulation. And fourth, like in *Le Carnaval romain* (as well as in *Die*

Hebriden and *Les Francs-juges*), the strength of the subordinate theme in the *Tannhäuser* overture is established to a large extent relative to the main theme and transition that precede it.

The exposition in its entirety is organized as what Hepokoski has called a “two-block” exposition: the main theme and transition (mm. 81–141) are merged into one large unit that maximally contrasts with the subordinate theme.²⁶ Characterized by an abundance of short motives and unstable harmonies, the first block projects a relatively (although not uniformly) high degree of form-functional looseness that creates a sense of increasing anticipation culminating in the HC that concludes the first block with a pronounced colon effect.²⁷

The entry of the subordinate theme after this HC does not miss the mark. It emphatically presents itself as the first real theme, the moment we have been waiting for since the beginning of the *Allegro*. The harmonic instability and volatile texture of the preceding units give way to a much more continuous – and largely diatonic – melody

²⁶ On the “two-block exposition,” see Hepokoski 1994: 497–498. Also see Hepokoski and Darcy 2006: 147.

²⁷ I hear the harmony at m. 137 as the final dominant of a half-cadential progression in spite of the presence of a seventh and a ninth.

Example 7. *Tannhäuser* overture, mm. 142–161.

A: compound period
 Antecedent (hybrid: ant. + cont.)
 (antecedent [lower-level])
 violins 1-2, flutes

(continuation)

142

f oboes, clarinets
 (horns, bassoon 1: 8va)

viola

f trumpets

cello

f double bass, bassoon 2 (8va a)

(V)

(HC)

Consequent

148

trumpets

(DC)

with chordal accompaniment. For the first time since the slow introduction, there is a sustained melodic line that comes from one voice; it is not insignificant, of course, that in the opera this theme is literally a song: *Tannhäuser's* song in praise of Venus (Act 1, Scene 2).

The harmonic and textural simplification goes hand in hand with a tightening of phrase structure. As Example 7 shows, the subordinate theme begins with a modulating sixteen-measure period, with the antecedent ending on a deceptive cadence and the consequent leading to a V:PAC.²⁸

This period is followed by a contrasting middle in the dominant, suggesting that the theme as a whole will take the form of a small ternary. Yet the A section never returns; at m. 172, the contrasting middle merges with the development – without having provided cadential closure to the subordinate theme.²⁹

The consequences of this constellation reach far beyond the exposition itself. As in *Le Carnaval romain*, the weakly profiled main theme lacks the capacity to launch the recapitulation, a task that instead falls to the subordinate theme. When ma-

²⁸ The fact that the antecedent ends with a deceptive cadence is uncommon, but it makes sense given that the antecedent itself is distinctly periodic: the deceptive cadence is stronger than the lower-level HC midway through the antecedent, yet not so strong that it precludes the following consequent from achieving even stronger closure.

²⁹ Procedures such as these are common in Wagner, including his later works. See Newcomb 1983.

Example 7. Part 2

154

violin 1, flute 1

meno *f*

oboes, clarinets

violin 2, viola

V:PAC

B: contrasting middle

violin 1, flute 1, oboes, clarinets

158

(+ flute 2)

horns

cello, bassoons

double bass

V:PAC

terial from the first block eventually returns at m. 273, it has been relegated to the closing section.³⁰ This “reversed” recapitulation, as several authors have shown, is only one aspect of a larger arch-like plan that underlies the entirety of Wagner’s overture (see Figure 3).³¹ On the one hand, the symmetry established by the exposition and the recapitulation is carried over into the interior of the sonata form, whose developmental space centers around an interpolated G major episode flanked by two more genuinely developmental sections that are based on material from the first

block. On the other, it is projected onto the sonata form’s “exterior,” so to speak, in the return of the slow introduction after the sonata form. Seen from “within” the *Allegro*, the introduction and its return function as a large-scale structural frame;³² viewed from the outside, the form projects a large ternary design, in which the fast sonata-form portion functions as a contrasting middle. The tendency towards symmetry also affects the internal organization of both framing units: the alternation of the two themes in the slow introduction not only follows the pattern A-B-A-B-A (short-

³⁰ Cf. Liszt 1851: 116.

³¹ Strohm 1985: 83–84; Grey 1988: 16–17. Figure 3 differs from the similar overviews provided by Strohm and Grey in its details but not in its substance.

³² On framing functions, see Alegant and McLean 2007. Wagner later changed the overture dramatically by excising the return of material from the slow introduction and leading directly from the overture into the opening scene of Act 1.

Figure 3. *Tannhäuser* overture: formal symmetry.

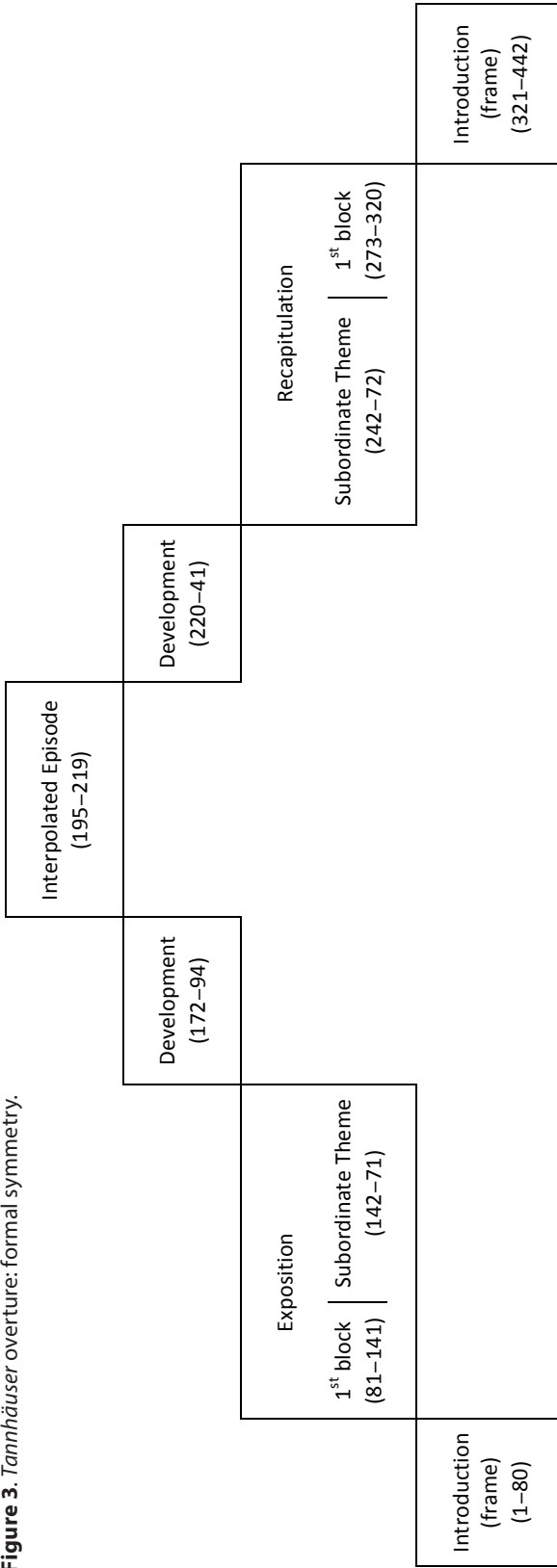
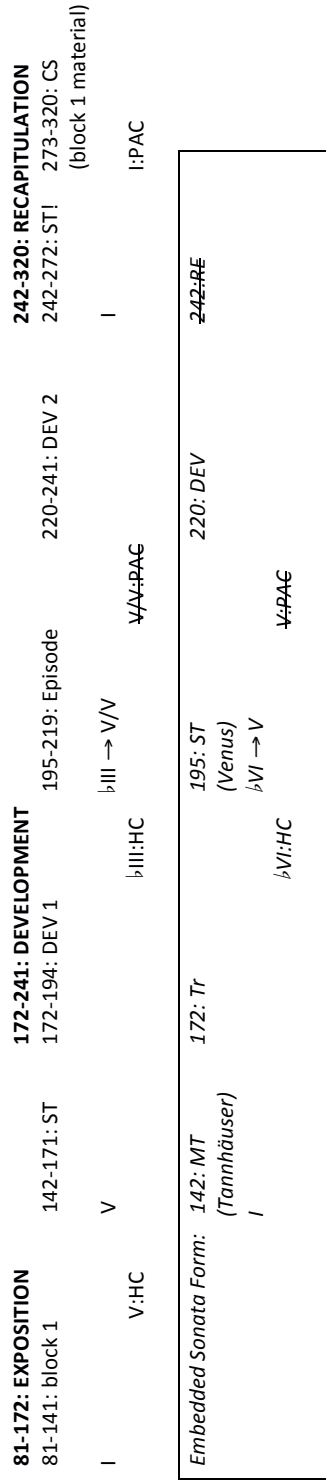


Figure 4. *Tannhäuser* overture: “real” and “embedded” sonata forms.



ened to A-B-A when the introduction returns at the end), but also coincides with a composed-out crescendo and decrescendo; the instrumentation of the last A section is identical to that of the first.

The impression of a schematic architectonic construction is reinforced by the overture's heavy reliance on the opera. Every slot in the scheme is filled by premade musical content lifted from one of the opera's three acts. The two melodies that alternate in mm. 1–80 are associated with the pilgrims. In the opera, they are heard together for the first time only in Act 3, Scene 1, although the second one already makes a brief appearance in Act 1, Scene 3. All themes and motives in the overture's *Allegro* come from Act 1. The largest and most literal borrowing from the opera occurs in mm. 88–137, a rennotated version of mm. 9–107 from Scene 1 with changes that for the most part affect only the orchestration. The subordinate theme, as indicated above, is Tannhäuser's "Dir töne Lob" from Scene 2. The clarinet melody in mm. 196–203 of the interpolated episode in the development, as well as the material that follows it, finally, is based on Venus's "Geliebter, komm" from the same scene.

The symmetrical arrangement of thematic material across the overture as shown in Figure 3 tells only part of the story, however. The other part is shown in Figure 4. Following the form as it unfolds from left to right within the fast sonata form results in a much more dynamic picture, as the functional relationship between formal units changes "en cours de route" and gives rise to various overlapping but sometimes mutually incompatible interpretations. In this process of changing relationships, the strong subordinate theme plays a crucial role.

From the perspective of the overture as a whole, the role of the strong subordinate theme seems unambiguous enough. Even though the first block, comprising the main theme and transition, is thematically underarticulated, the functional sequence (introduction – main theme – transition – subordinate theme) is uncontroversial, not only because of the tempo change at m. 81, but also because of the large-scale tonal organization, which makes it virtually impossible for the orchestral version of Tannhäuser's song to function as anything other than a subordinate theme. The situation changes, however, when the perspective is narrowed: if one brackets out the

first 141 measures and imagines that the strong subordinate theme at m. 142 marks the beginning of the exposition, then it becomes possible to hear that subordinate theme as a main theme.

The suggestion to ignore the overture's first 141 measures may seem preposterous at first. But as the boxed portion of Figure 4 shows, it enables an interesting interpretation of the music from the strong subordinate theme onwards. For if one hears the strong subordinate theme as a main theme, then the first section of the development can be understood as a transition and the interpolated episode as a subordinate theme. This makes sense tonally: the transition leads to an HC (with standing on the dominant) in $\flat VI$ at m. 190. The subordinate theme enters in $\flat VI$ and modulates to V, concluding with a thwarted PAC in that key at m. 220. The theme at m. 142, in other words, while functioning as the subordinate theme in the sonata form that starts at m. 81, simultaneously acts as the pivot into an embedded three-key exposition in which it plays the role of main theme.

This embedded exposition is no abstruse analytical construct. It is made salient by the fact that its cadential plan is much more conventional than that of the "overarching" exposition. What is more, the formal function of both themes in the embedded exposition is highlighted by the themes' contrasting character: a boisterous main theme and a lyrical subordinate theme. This characterization resonates with the incontestable (and stereotypical) gendering of the themes that relies on their origin in the opera. As mentioned before, Tannhäuser sings the melody of the strong subordinate theme (the main theme in the embedded exposition), Venus that of the slow episode (the subordinate theme in the embedded exposition). The thematically amorphous music that is used for the overture's first block and that recurs in the development and in the closing section of the recapitulation stands not for one of the characters, but for a setting: the Venusberg. In the overture, it can analogously be understood as a backdrop, a décor in which two actors, represented by Tannhäuser's and Venus's themes, enter the stage – just as in the opera.

Like the relationship between Tannhäuser and Venus in the opera, the embedded sonata form in the overture was not meant to last. The PAC at the end of the embedded exposition is elided with the onset of a development, whose emphatic

half-cadential close is followed by a recapitulation of the main theme. The glitch is, of course, that this recapitulation is not in B major, the tonic of the embedded sonata form, but in the E major of the real sonata form. The recapitulation of Tannhäuser's theme thus functions as a pivot back into the real sonata form, which is confirmed when that theme leads to a PAC in E major that is followed by material from the first block, now with a postcadential function marking the beginning of the closing section that was missing from the exposition.

Over the course of the sonata-form portion of the *Tannhäuser* overture, we witness a gradual transformation in formal function of the melody from Tannhäuser's "Dir töne Lob." When it first enters, it relates to the preceding first block as a strong subordinate theme. It is "subordinate" in the sense that it is the theme appearing in the subordinate key, but it is "strong" in the sense that it is rhetorically more prominent than the first block. This rhetorical prominence is what allows the strong subordinate theme to function as a main theme: first in its own sonata form (the "embedded" sonata form), but then also in the overarching sonata form. In the latter, the strong subordinate theme takes over the function of launching the recapitulation where the first block lacks the rhetorical strength to do so. Conversely, the first block, which had main-theme function in the exposition, sheds that function in the recapitulation in order to assume post-cadential function. It is important to note, however, that the first block yields its main theme function not only to the strong subordinate theme. Arguably the strongest recapitulatory gesture in the *Tannhäuser* overture is the framing return of the slow introduction at the very end. This moment marks the final form-functional transformation in the overture. To the extent that the return of the opening melody has the effect of a recapitulation, the opening music itself – which from the perspective of the fast sonata form, was an introduction – now becomes an exposition. Only here (and therefore only in retrospect) does the form represented by Figure 3 emerge.

In analyzing the four overtures in this article through Marx's "relational" lens, I have taken a

deliberately piece-specific approach. Indeed, the reader may have been struck by my reluctance to generalize about the notion of "strong subordinate theme." I have remained deliberately vague about anything to do with criteria for strong subordinate themes, and I have opted not to provide a long list of examples. Not that the latter would be impossible: examples of inward- and outward-turned strong subordinate themes that readily come to mind include those from the overtures to Wagner's *Der fliegende Holländer* and Auber's *La Muette de Portici*, respectively. However, the relevance of any specific example of a strong subordinate theme remains limited when adduced without a broader analytical consideration of its larger formal context. Put differently: it is difficult to define what a strong subordinate theme is, except in a piece-specific manner. As I have emphasized, the strength of a subordinate theme relies not only on what it is intrinsically, but also, and especially, on its relation to the main theme.

This piece-specific approach does not mean that I think of the works I analyze as monads. I do interpret them in dialogue with a general model of sonata form that exists beyond the pieces themselves. That model is, however, less a generalized norm derived from late-eighteenth-century sonata practice than a more narrowly defined conception of sonata form that is chronologically, generically, and even composer-specific: not just "sonata form," but rather "sonata-form overtures in the 1830s and 40s" or even "sonata form in Berlioz's overtures." Finally, the four works that I have analyzed alongside each other do not stand in isolation but rather mutually shed light on each other. The dialogue between a work and a more or less abstract norm is thus complemented by a dialogue between specific works.

The emphasis on specific works rather than abstract norms leads us back to the question of the "Type 2 sonata" and its inappropriateness as a tool for the analysis of mid-nineteenth-century sonata forms. It is not just that, as I have argued above, invoking the "Type 2" concept in relation to this repertoire is anachronistic. The concept also fails to do full justice to the specific forms of *Le Carnaval romain* and the *Tannhäuser* overture. In contrast to what would be the case in a "Type 2 sonata" in Hepokoski and Darcy's sense, the notion of recapitulation *is* relevant for both of these works. In both, it is hard to think of the return of

the strong subordinate theme after the development as merely a tonal resolution. It is, very emphatically, a thematic return. In both works, the omission of a main theme recapitulation is the logical consequence of the specific constellation in the exposition, where the main theme was eclipsed by the presence of a much more effective subordinate theme to such an extent that a recapitulation beginning with the main theme would be ineffective.

It should nonetheless be clear that by choosing not to invoke the concept of the “Type 2 sonata” in my analyses of *Le Carnaval romain* and the *Tannhäuser* overture, I by no means advocate for a simplistic rehabilitation of the outdated concept

of the reversed (or “mirror”) recapitulation. With its emphasis on symmetry, this concept suggests a static form, a pre-made formal scheme in which each formal unit has its fixed function. This is the exact opposite of the way I understand the two overtures in question. The “turning around” that takes place in the recapitulation is not there in order to fulfill the requirements of a formal scheme that is imposed on the piece from the outside, but rather reacts in real time to the internal workings of the earlier portions of the piece. More importantly, both overtures are emphatically dynamic, rather than static, forms, in which the formal function fulfilled by a formal unit changes according to the perspective one takes.

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Sisse-, välja- ja ümberpöörduvad „tugevad“ kõrvalteemad romantilistes avamängudes

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Artikkel sisaldab Felix Mendelssohni, Hector Berlioz'i ja Richard Wagneri komponeeritud nelja romantilise avamängu analüüsi. Kõiki neid avamänge ühendab omadus, mida artikli autori arvates võiks nimetada „tugevaks“ kõrvalteemaks, s.t. ebatavaliselt silmatorkavaks teemaks, mis ilmudes varjutab või tühistab eelneva peateema ja on seega vastuolus kõige sellega, mida kaasaegsed sonaadivormi teooriad meile pea- ja kõrvalteema suhte kohta ütlevad.

Artikli lähtepunktiks on kõrvalteema sellisena, nagu seda kirjeldab Adolf Bernhard Marx oma vormiõpetuses (Marx 1845). Siin näidatakse, kuidas mainitud teorias pole kõrvalteema määratletud mitte absoluutseid mõisteid kasutades, vaid pigem suhte kaudu peateemaga. Marxi teooriale omane vaade sonaadivormi teemade vastastikusest seotusest on kehtiv ka vaadeldavate avamängude puhul, selle erandiga, et kõrvalteema on siin peateemaga võrreldes suhteliselt tugev ja mitte nõrk. Just kõrvalteema ilmub siin entiteedina, mille kaudu peateema end (tagantjärele) määratleb.

Järgnevalt tutvustatakse tugeva kõrvalteema kahte ilmnemistüüpi. Esimene analüüs, Mendelssohni avamäng „Hebriidid“ („Die Hebriden“, 1830/32) istutab Janet Schmalfeldti arusaama n.-ö. sissepoole pöörduvatest kõrvalteemadest (Schmalfeldt 2011) sümfoonilisse konteksti. Kui looduspilti edasi andvat peateemat võib kirjeldada omalaadse meloodilise vaakumina, siis kõrvalteema ilmub just teose esimese tegeliku teemana: see avaldub hoolimata mõnevõrra ebatavalisest ülesehitusest lõpetatud vormilise kesktaandri üksusena, mille väljaarendatud meloodia lisab teosele lüürilisust ja väljendusrikkust ja seega ka subjektiivsust. Teises analüüsis, Berlioz'i avamängus „Vabakohtunikud“ („Les francs-juges“, 1826) kirjeldatakse kõrvalteemat, mis näib käituvat täpselt vastupidi, nimelt, „pöörduvat väljapoole“. Kuid selgi juhul ei saa rääkida peateemast selle sõna tegelikus ja täielikus mõttes, kõrvalteema ületab seda niihästi pikkuse kui ka meloodilisuse ja meedejäävuse poolest. Mõlemas analüüsis näidatakse, kuidas mainitud avamängude sisse- või väljapoole pöörduvad kõrvalteemad muutuvad „tugevaks“ eelkõige sisemistest ja kontekstuaalsetest faktoritest tingituna.

Kaks pikemat analüüsi artikli teises osas lähtuvad mõnevõrra laiemast perspektiivist ning käsitlevad rolli, mida väljapoole pöörduvad tugevad kõrvalteemad mängivad Berlioz'i kontsertavamängus „Rooma karneval“ („Le Carnaval romain“, 1844) ja Wagneri avamängus „Tannhäuser“ (1845) vormi kui terviku seisukohast. Mõlemas teoses avaldab kõrvalteema hierarhiline ülimumlikkus peateema ees kohest mõju vormi edasisele arengule. Täpsemalt öeldes pööratakse teemasid esindavad vormifunktsioonid siin vormi edasisel lahtirullumisel ümber nii, et ekspositsiooni tugev kõrvalteema näib omandavat repriis hoopis peateema rolli. Vormi ebatavalist avaldumist võib ühtlasi selgitada muusika programmilise aspektiga, millele on viidatud juba avamängu „Rooma karneval“ pealkirjas ja ooperi „Tannhäuser“ tegevuses: esimeses on see seotud teemade maskeraadiga, teises aga kõrvalteema ja töötluses kiilundina avalduva episoodi samastamisega Tannhäuseri ja Veenuse tegelaskujudega.

Artikli lõpuosas argumenteeritakse teosekeskse lähenemise poolt ning arutletakse Hepokoski ja Darcy (2006) sonaaditüübi nr. 2 mõiste rakendamise võimalikkuse üle mainitud teoste puhul, samuti rõhutatakse pigem dünaamilise kui staatilise vaate olulisust muusikalise vormi käsitlemisel.