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THE INTERPRETATION OF MUSICAL DREAMS:  
EXPANDING HERMENEUTIC APPROACHES TO  
THE DREAM AESTHETIC IN FRANZ  
SCHUBERT'S MUSIC

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## Lay Summary

The dream, a concept often featured in the art and literature of the Romantic tradition, has been regarded by modern commentators as also a highly rewarding concept for understanding Franz Schubert's instrumental works, especially those composed between 1822 and 1828, which feature numerous formal and musical peculiarities. In particular, commentators throughout the last five decades have interpreted this music in terms of a specific kind of dream: the idyllic dream or a contrast between this dream and a corresponding unpleasant reality, as often exposed in early Romantic literature and Schubert's songs. In this thesis, I propose that the concept of the dream could be significantly more productive in discussions of Schubert's music if expanded beyond the narrow scope of existing scholarship and re-incorporated within the wider dream aesthetic of Romanticism, in which 1) dreams are extremely diverse, including not only idyllic types but also those that are unsettling, or even nightmarish; and 2) the dream is essentially an artistic device that is related to such notions as psychology, the 'night-side' of the human mind, the unconscious, and so on. To do so, I isolate three themes that are often associated with the concept of the dream in Romantic literature—including the image of the Romantic wanderer, the *Doppelgänger*, and ghostly hauntings—and exemplify how they may be productively applied to specific musical interpretations through a series of case studies.

This thesis consists of two parts. The first investigates Schubert's musical traits that commentators have previously noted as 'dreamlike' or similar, while also reconsidering and further developing some of these characterisations to promote a more fruitful way of listening. Through this reconsideration and development, it also proposes a new way of dream-characterisation—that is, to hear Schubert's sonata-form development sections in terms of the 'dream scene' of Romantic literature.

Building upon the first part, the second focuses on Schubert's sonata-form movements, demonstrating, across three case studies, how our understanding of the dream aesthetic in Schubert's music might be expanded via the three above-mentioned themes. To tease even more out of these 'dream themes', the case studies move beyond historically informed interpretations and employ critical approaches in the musical interpretations. As these case studies show, the three themes, allied with perspectives from psychoanalytic criticism—an approach frequently used in current criticism to study Romantic works—not only significantly expand our discussions of Schubert's dream aesthetic but also help drive a more illuminating understanding of the formal and musical peculiarities in his music. Ultimately, through this thesis, I hope that more fascinating and thought-provoking insights on the discourse of Schubert's music and the dream will be stimulated.

## Abstract

The concept of the dream has offered a highly rewarding avenue for modern scholars to interpret Franz Schubert's instrumental music. In this thesis, I propose that this hermeneutic window could be significantly more productive if expanded beyond the narrow scope of existing scholarship, where Schubert's dream aesthetic is understood primarily in terms of a contrast between idyllic dream and bleak reality, as is characteristic of early Romantic literature and his songs. This thesis consists of two parts. The first investigates Schubert's musical traits that previous commentators have characterised as 'dream', 'dreamlike', or similar, while also reconsidering and further developing some of these to promote a more fruitful way of listening. In particular, a new category of dream-characterisation—hearing Schubert's sonata-form development sections in terms of a 'dream scene'—is derived based on a rethinking of those so-called 'irrational' processes that are said to render his sonata forms dreamlike. Building upon part one, the second part of this thesis focuses on Schubert's sonata-form movements, demonstrating, across three case studies, how our understanding of his dream aesthetic might be expanded via the contemporaneous literary themes of the longing and ironic dreams of the Romantic wanderer, the uncanny dreams of the *Doppelgänger*, and the recurring nightmares of ghostly hauntings. To tease even more out of these 'dream themes', it moves beyond historically informed interpretations and employs critical approaches in its hermeneutic exercise. It shows that these themes, allied with perspectives from psychoanalytic criticism, not only substantially enrich our discussions of Schubert's dream aesthetic but also illuminate numerous formal and musical peculiarities in his music. Ultimately, through this thesis, I hope that more fascinating and thought-provoking insights on the discourse of Schubert's music and the dream will be stimulated.

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## Prologue

The dream, Franz Schubert, and his music seem in many ways to be closely connected: the topic of dreams is featured in many of his vocal compositions; his 1822 literary tale was posthumously titled ‘Mein Traum’ (‘My Dream’) by his brother Ferdinand; and even Schubert himself had for a long time been promulgated by his friends as a composer-*cum*-dreamer who conceived his music within some dreamlike, somnambulist states. This connection is reflected also in the subsequent discussions of Schubert’s music. Ever since the first half of the nineteenth century, it has not been uncommon to see his music described by means of metaphors such as ‘dream’, ‘dreamlike’, ‘dreamy’, and so on. Amongst the earliest examples are the reviews of Robert Schumann in the *Neue Zeitschrift für Musik* (*New Journal of Music*). In an article of 29 December 1835, Schumann wrote with regard to Schubert’s A Minor Piano Sonata (D. 845, 1825): ‘The first part is so still, so *dreamy*; it could move one to tears’.<sup>1</sup> In the following year, again, he drew on this metaphor and characterised the Adagio of the B♭ Major Trio (D. 898, 1828) as ‘a blissful *dream*, an ebbing and flowing of beautiful human feeling’.<sup>2</sup> After Schumann, similar descriptions of Schubert’s dreamlike music can be observed sporadically throughout the nineteenth and early twentieth centuries.<sup>3</sup>

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<sup>1</sup> ‘Der erste Teil so still, so träumerisch; bis zu Tränen könnte es rühren’. Robert Schumann’s review in *Neue Zeitschrift für Musik* (29 December 1835). Both the original text and English translation are cited in Valerie Stegink Sterk, ‘Robert Schumann as Sonata Critic and Composer: The Sonata from Beethoven to 1844, as Reviewed by Schumann in the “Neue Zeitschrift für Musik”’. (Volumes I and II)’ (PhD dissertation, Stanford University, 1992), p. 284, emphasis mine.

<sup>2</sup> ‘ein seliges Träumen, ein Auf- und Niederwallen schön menschlicher Empfindung’. Robert Schumann’s review in *Neue Zeitschrift für Musik* (27 December 1836). Both the original text and English translation are cited in John Daverio, *Crossing Paths Schubert, Schumann, and Brahms* (Oxford: Oxford University Press, 2002), p. 19, emphasis mine.

<sup>3</sup> Hugh Reginald Haweis, for example, wrote in 1866: ‘Schubert will shower a dozen upon you, and hardly stop to elaborate one. His music is more the work of a gifted dreamer’ (*Music and Morals* (New York: Harpers & Brothers Publishers, 1876), p. 242). Bertha Zuckerkandl, too, wrote in 1902: ‘Grünfeld, his cigar in his mouth, played dreamy

Around the 1970s and '80s, the concept of the dream also started to gain prominence in musicological discussions of Schubert's music, as is exemplified in the studies of Alfred Brendel (1971 and 1975), Susan Wollenberg (1980), and Susan McClary (1983).<sup>4</sup> Consolidated furthermore by the invocation of this concept in numerous insightful studies that emerged in the following years,<sup>5</sup> the tendency to see a bond between Schubert's music and the dream has become even more pronounced in current scholarship. These modern commentaries, however, are distinguished from those dating from the nineteenth and early twentieth centuries in one significant aspect: while Schumann and other earlier commentators appear simply interested in depicting what strikes their ears as dreamlike, modern scholars regard the concept of the dream essentially as a hermeneutic window for interpreting the cultural and aesthetic resonances of Schubert's music, especially the instrumental works composed in his 'late' period (defined here as the years 1822–8). In his 2005 article on the dream and Schubert's late sonata forms, Brian Black openly claims that the early-Romantic sensation of 'yearning for an unattainable dream [...] colours Schubert's instrumental music' and 'permeates many of his most affecting works'.<sup>6</sup> This unattainable, idyllic dream of early Romanticism—a theme central to many of Schubert's 'dream songs'—also plays a

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tunes [here, Zuckerkandl is referring to the music written by Schubert] that floated and hung in the air with the smoke of his cigar' (cited in Scott Messing, *Schubert in the European Imagination*, 2 vols. (Rochester, NY: University of Rochester Press, 2006–7), ii: *Fin-de-Siècle Vienna*, p. 79).

<sup>4</sup> Alfred Brendel, 'Form and Psychology in Beethoven's Piano Sonatas' (1971) and 'Schubert's Piano Sonatas, 1822–1828' (1975), both contained in *Musical Thoughts & Afterthoughts* (London: Robson Books, 1976), pp. 38–76; Susan Wollenberg, 'Schubert and the Dream', *Studi Musicali*, 9 (1980), pp. 135–50; and Susan McClary, 'Pitches, Expression, Ideology: An Exercise in Mediation', *Enclitic*, 7 (1983), pp. 76–86.

<sup>5</sup> The literature on this topic is extensive: see, for instance, William Kinderman, 'Schubert's Tragic Perspective', in *Schubert: Critical and Analytical Essays*, ed. by Walter Frisch (Lincoln and London: University of Nebraska Press, 1996), pp. 65–83; Peter Pesic, 'Schubert's Dream', *19th-Century Music*, 23 (1999), pp. 136–44; Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001); Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana University Press, 2004); Brian Black, 'Remembering a Dream: The Tragedy of Romantic Memory in the Modulatory Processes of Schubert's Sonata Forms', *Intersections: Canadian Journal of Music*, 25 (2005), pp. 202–28; Benedict Taylor, 'Schubert and the Construction of Memory: The String Quartet in A Minor, D.804 (Rosamunde)', *Journal of the Royal Musical Association*, 139 (2014), pp. 41–88; and David Bretherton, 'The Musico-Poetics of the Flat Submediant in Schubert's Songs', *Journal of the Royal Musical Association*, 144 (2019), pp. 239–86.

<sup>6</sup> Black, 'Remembering a Dream', p. 202.

part, in one way or the other, in the studies on Schubert's late instrumental music by numerous scholars, including Wollenberg (1980), McClary (1983), William Kinderman (1996), Peter Pesic (1999), Scott Burnham (2000), John M. Gingerich (2000), Charles Fisk (2001), Robert Hatten (2004), Benedict Taylor (2014), Renate Wieland and Jürgen Uhde (2014), Joe Davies (2019), and so on.<sup>7</sup>

Accompanying this new focus in scholarship, the dream has assumed an ever more definite meaning in modern-day writings on Schubert's instrumental music. When the concept of the dream is invoked by modern commentators, it more often than not refers to the idyllic, reconciling dreams—or the contrast between these dreams and a bleak, less welcoming reality—that are stereotypical of early Romantic literature and Schubert's songs.<sup>8</sup> Surely, conceptualising the dream in this way would readily yield musical interpretations that could aptly resonate with the *Zeitgeist* surrounding Schubert and his time and easily find verbal corroboration in his vocal works. Yet this is also where the problems I see in current scholarship arise. Such idyllic dreams *are but one category* within the wider cultural fascination with dreams in the Romantic era. The Romantics contemporary with Schubert were, on the other hand, enthralled by various types of dreams, including not only dreams that are heavenly and idyllic but also those that are darker, unsettling, or even nightmarish, and drew on them frequently in artistic and literary works. (A good example

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<sup>7</sup> See notes 4 and 5; in addition, Scott Burnham, 'Schubert and the Sound of Memory', *The Musical Quarterly*, 84 (2000), pp. 655–63 and 'Beethoven, Schubert and the Movement of Phenomena', in *Schubert's Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 35–51; John M. Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet, D. 956', *The Musical Quarterly*, 84 (2000), pp. 619–34; Renate Wieland and Jürgen Uhde, *Schubert. Späte Klaviermusik. Spuren ihrer inneren Geschichte* (Kassel: Bärenreiter, 2014); and Joe Davies, 'Stylistic Disjuncture as a Source of Drama in Schubert's Late Instrumental Works', in *Drama in the Music of Franz Schubert*, ed. by Joe Davies and James William Sobaskie (Suffolk: Boydell & Brewer, 2019), pp. 303–30.

<sup>8</sup> See Chapter 1, 'Category 1: Perfect dreams, imperfect reality'.

would be the works of the gothic or so-called ‘dark-Romantic’ tradition,<sup>9</sup> especially those written by Ludwig Tieck and E. T. A. Hoffmann. And even though, to the best of my knowledge, Schubert did not compose any songs that speak explicitly of unpleasant dreams or nightmares, he was certainly closely engaged with this dark side of Romanticism and set a few vocal works that are based on texts that feature this aesthetic.<sup>10</sup>) But, nowadays, the cliché of understanding Schubert’s instrumental music in terms of the idyllic type of dreams has become so deep-seated that this hermeneutic approach appears to be not just *conventional*, but well-nigh *orthodox*. And this has fundamentally restricted the way we think about the notion of the dream in interpreting Schubert’s music.

Having said so, it should be clarified that references to nightmares or bad dreams are entirely absent in modern writings on Schubert’s music; in fact, though less common, these can nevertheless be occasionally found. However, in distinction to the idyllic dream—which has received extensive scholarly attention and hermeneutic interest—these darker types of dreams are, in most cases, mentioned only in a passing fashion.<sup>11</sup> Rarely, if ever, have the rich aesthetic insights proffered by these dreams been explored to any substantial degree in the existing literature. More frequently still are such labels as ‘nightmare’ or ‘nightmarish’ used in the interpretation of the idyllic dream to describe the unwelcoming reality with which it corresponds. For instance, this is

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<sup>9</sup> The term ‘dark Romanticism’ is coined by the literature critic Mario Praz in 1930 to refer to a subgenre of Romantic literature that engages with horror and terror, the grotesque, the Gothic, and the like. See Mario Praz, *The Romantic Agony*, trans. by Angus Davidson (London: Oxford University Press, 1970).

<sup>10</sup> For example, ‘Leichenfantasie’ (‘Funereal Fantasy’, D. 7, 1811), ‘Der Vatermörderer’ (‘The Parricide’, D. 10, 1811), ‘Die Nonne’ (‘The Nun’, D. 208, 1815), and ‘Erlkönig’ (‘The Erlking’, D. 328, 1815).

On Schubert and Gothicism, see also Marjorie Hirsch, ‘Schubert’s Reconciliation of Gothic and Classical Influence’, in *Schubert’s Late Music*, pp. 149–70; and Joe Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’ (DPhil dissertation, Oxford University, 2019), chapter 2.

<sup>11</sup> This is, for example, the case with Stephen E. Hefling and David S. Tartakoff, ‘Schubert’s Chamber Music’, in *Nineteenth-Century Chamber Music*, ed. by Stephen E. Hefling and R. Larry Todd (New York: Routledge, 2004), pp. 39–139 (p. 97); and Fisk, *Returning Cycles*, chapter 8. This will be discussed in more detail in Chapter 1, ‘Category 1: Perfect dreams, imperfect reality’.

the case when Wollenberg claims with regard to the ‘turbulent’ middle section of the Andantino of the A Major Piano Sonata (D. 959, 1828): ‘This awakening is indeed of positively *nightmarish* quality’.<sup>12</sup> In his DPhil thesis on the hermeneutic exploration of Schubert’s late instrumental music, Davies has drawn on the notion of the nightmare extensively in examining the Adagio of the C Major Quintet (D. 956, 1828), which is discussed under a section titled ‘From Dream to Nightmare’.<sup>13</sup> Yet despite having given this suggestive title and constantly referred to the middle section of the Adagio as ‘nightmarish’, Davies nonetheless eventually resorts to the cliché of beautiful dream and unpleasant reality, stating that this section effectuates a ‘topical shift’ that ‘serves to deconstruct the foundations of the lyrical dreamworld [of the opening section], distorting its peaceful imagery, and giving voice to a *nightmarish reality*’.<sup>14</sup> To suggest a reading of nightmares—rather than nightmarish reality—here perhaps would still seem slightly uncomfortable for some commentators or readers, for it goes against a long and widely accepted tradition of interpreting Schubert’s music.

As far as I am concerned, however, there appear to be no obvious reasons, nor is it by any means productive, to moor to just one interpretation of the dream aesthetic in Schubert’s music. To do so is not only to overlook a substantial part of the dream’s aesthetic significance that so strongly enchanted the Romantic period but also to contradict the interpretative ‘openness’ so often celebrated by hermeneuticists. Following nearly half a century of fixation on the same approach to hearing Schubert’s musical dreams, I propose, it is time to move forward and revitalise this hermeneutic approach. Thus in this present thesis, the central problem I explore is how we might go beyond the limited scope of current scholarship and glean more illuminating aesthetic insights

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<sup>12</sup> Wollenberg, ‘Schubert and the Dream’, p. 144, emphasis mine.

<sup>13</sup> Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’, pp. 131–54.

<sup>14</sup> *Ibid.*, p. 136, emphasis mine.

from Schubert's music via the concept of the dream. This will be addressed through an interdisciplinary approach that is both historically informed and presentist. I seek 1) to expand our current understanding of the dream aesthetic in Schubert through isolating three different themes that are frequently linked to the concept of the dream in Romantic literary works, including the image of the Romantic wanderer, the Doppelgänger, and ghostly hauntings; and 2) to exemplify how these themes may be productively applied to specific musical interpretations through a series of case studies.

For the purpose of this research, in my case studies, I have chosen to concentrate principally on Schubert's late sonata-form movements. The timeframe is narrowed down to Schubert's late period mainly because it is the music composed during this time that most often attracts modern commentators' characterisations of 'dream', 'dreamlike', or similar. Regarding the genre, while the fantasia might appear to be an obvious choice for discussing the notions of dreams and dreamlike—given its probable connections with the dream (understood as a type of *fantasy* around Schubert's time; see Chapter 2) and the *par excellence* dreamlike fantasy aesthetic—for several reasons I consider sonata-form movements a better fit for my purpose.

First of all, the aesthetic correspondence between Schubert's late sonata-form movements and the category of the fantastic, though not immediately self-evident—as in fantasias—has in fact been long recognised. In this music, Schubert's formal and tonal procedure has been enormously expanded and departs so much from the high-Classical convention that it was regularly said by his contemporaries to convey a sense of freedom and originality that is on par with the fantasia.<sup>15</sup>

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<sup>15</sup> For the contemporary reception of the aspects of fantasy in Schubert's late sonata forms, see Chapter 2, notes 53 and 55. Leon Botstein also discusses this in 'Realism Transformed: Franz Schubert and Vienna', in *The Cambridge Companion to Schubert*, ed. by Christopher Howard Gibbs (Cambridge: Cambridge University Press, 2011), pp. 13–35.

Second, music that features a sonata form would be ideally suitable for my music-literature interdisciplinary study especially when taking into consideration certain narrative features of this music. James Hepokoski and Warren Darcy, for instance, describe that ‘a sonata is a linear journey of tonal realisation, onto which might be mapped any number of concrete metaphors of human experience. Since a central component of the sonata genre is its built-in teleological drive—pushing forward to accomplish a generically predetermined goal—*the sonata invites an interpretation as a musical narrative genre*’.<sup>16</sup>

Third, and most importantly regarding my choice of this corpus over fantasias, in sonata form in general, many resemblances between dreams and waking memories can be heard in the formal procedure between the development section and its outer sections (that is, the exposition and recapitulation). I was brought to this stance by Hans Keller’s two extremely insightful, and closely related, unfinished writings on music and psychoanalysis dating from the late 1940s—‘Dream-Work and Development in Sonata Form’ and ‘Manifestations of the Primary Process in Musical Composition’.<sup>17</sup> In these works, Keller astutely discerned the similarity between techniques by which thematic materials from the exposition are often modified in the development section and the Freudian concept of dream-work (a psychological mechanism in dreams, through which our latent, unconscious desires express themselves in distorted forms via our waking memories). This led him to argue that the relation of the development section to the exposition resembles ‘in many respects the relation of manifest dream-content to latent dream thought’.<sup>18</sup> (Further

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<sup>16</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford and New York: Oxford University Press, 2006), p. 251, emphasis mine. A comparable, yet slightly different perspective, can be found in Poundie L. Burstein’s recent study *Journeys Through Galant Expositions* (New York: Oxford University Press, 2020).

<sup>17</sup> Hans Keller, ‘Dream-Work and Development in Sonata Form’ (unpublished draft MS, Cambridge University Library, n.d.), and ‘Manifestations of the Primary Process in Musical Composition’, in *Music and Psychology: From Vienna to London, 1939–52*, ed. by Christopher Wintle (London: Plumbago Books, 2003), pp. 229–232.

<sup>18</sup> Keller, ‘Dream-Work and Development in Sonata Form’, p. 4.

correspondence between the development sections and dreams in Schubert's sonata forms, in addition, will be demonstrated in detail in Chapter 2.)

In a diary entry in 1828, Schumann wrote: 'Schubert is Jean Paul, Novalis and Hoffmann expressed in music',<sup>19</sup> while a year after, again, he said: 'When I play through Schubert, it is as though I were reading a novel of Jean Paul composed into music. [...] In general there is no music besides Schubert's that is so psychologically remarkable in the course of its ideas and their connection and in the apparently logical leaps'.<sup>20</sup> And as Anthony Newcomb notes in reference to Schumann's remarks, 'the conception of music as composed novel, as a psychologically true course of ideas *was* and *is* an important avenue to the understanding of much nineteenth-century music'.<sup>21</sup> In this thesis, I also adopt a perspective that brings together music and literature. And as I hope I have made clear, in doing so, I read Schubert's late sonata-form movements in light of themes that are often associated with the notion of dreams in contemporary literary works, in particular, correlating the development sections with the dreams or 'dream scenes'. In accordance with my approach, however, a crucial question would need to be addressed in more detail: while in literature, it is essentially through a fictional human subject or protagonist that the act of dreaming and the corresponding emotional and psychological states are delivered, to what extent might these subjectivities or human states be justifiably postulated in instrumental music?

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<sup>19</sup> Robert Schumann, *Tagebücher. Bd. I: 1827–1838*, ed. by George Eismann (Leipzig: Deutscher Verlag für Musik, 1971), p. 111.

<sup>20</sup> Schumann's letter of 6 November 1829. English translation cited in Anthony Newcomb, 'Once More "Between Absolute and Program Music": Schumann's Second Symphony', *19th-Century Music*, 7 (1984), pp. 233–50 (p. 234).

<sup>21</sup> Newcomb, 'Once More "Between Absolute and Program Music"', p. 234, emphases mine.

## Musical subjectivity and persona theory

In musicology, the practice of interpreting a musical composition anthropomorphically *as if* it carries agency or resembles certain subjective aspects or experiences of a human being (actions, expressions, emotions, psychological states, et cetera) is often discussed in terms of the concept of *musical subjectivity*. The idea of viewing music as embodying human agency and subjectivities has a long historical provenance that can arguably be traced back as far as Aristotle.<sup>22</sup> Yet it was during the Romantic period that music—especially instrumental music, which was celebrated in this period for its non-verbal nature—became commonly seen as a medium for conveying or representing such similarly ‘non-verbal’ categories as subjectivities, psychological states, inner self, and so on.<sup>23</sup> (This is also likely what Schumann had in mind when he described Schubert’s music as ‘so psychologically remarkable in the course of its ideas’.<sup>24</sup>) Fanciful and far-fetched as it might seem, the notion of musical subjectivity has, in fact, widely and productively coloured the way we talk about music nowadays, in an everyday context and scholarly discussion alike, ranging from the simple statement that ‘the music is sad’ to the construction of ‘an alternative version of the masculine self’ in Schubert’s music.<sup>25</sup> This notion is also particularly germane to the branch

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<sup>22</sup> Aristotle, for instance, put that ‘voice is a kind of sound characteristic of what has soul in it; nothing without soul utters voice’. Even more revealing is the Enlightenment thinker Jean-Jacques Rousseau’s statement that ‘one cannot hear either a song or an instrumental piece without immediately saying to oneself: another sensitive being is present’. Both cited in Benedict Taylor and Ceri Owen, ‘Introduction Subjectivity in European Song: Time, Place, and Identity’, *19th-Century Music*, 40 (2017), pp. 185–8 (p. 185).

I am particularly grateful to Taylor for generously sharing with me a draft of his book *Music, Subjectivity, and Schumann* (Cambridge: Cambridge University Press, forthcoming 2022), from which many of the ideas in this section are derived.

<sup>23</sup> This is exposed in numerous aesthetic writings of German Romantics such as Novalis, E. T. A. Hoffmann, Wilhelm Heinrich Wackenroder, and so on. A later Romantic figure, Richard Wagner, too, wrote explicitly: ‘Music can only be understood in forms drawn from a relationship to life, or an expression of life, forms that, originally foreign to music, only receive their deepest meaning through music, as if through the revelation of the music latent in them’ (‘On Franz Liszt’s Symphonic Poems’ (1857). English translation cited in Carl Dahlhaus, *The Idea of Absolute Music*, trans. by Roger Lustig (Chicago, IL: University of Chicago Press, 1991), p. 26).

<sup>24</sup> See notes 19 and 20.

<sup>25</sup> Susan McClary, ‘Constructions of Subjectivity in Schubert’s Music’, in *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. by Philip Brett, Elizabeth Wood, and Gary C. Thomas (New York; London: Routledge, 2006), pp. 205–33 (p. 224).

of hermeneutics that engages with the narrative aspects of music; as Susanna Välimäki notes, ‘the experiencing of narrative in music requires an inner subject in the work to function as a musical protagonist, about whose life story the work in a way tells’.<sup>26</sup> In this thesis, I (like Schumann) see that Schubert’s music has a capacity of *narrating* or conveying subjectivities, not unlike literary works. And although I do not seek to go as far as to claim that this music *constitutes narratives* in a strict sense,<sup>27</sup> Välimäki’s remark about ‘a musical protagonist’ evokes a concept that would also be instrumental in my musical interpretations—that is, *persona theory*.

Persona theory is a field of study that concerns issues pertaining to the hermeneutic practice of postulating in music a virtual persona (or personae) who is hypothesised as the experiencing subject(s) of the different subjective aspects, stories, or psychological drama heard in the music, similar to the protagonists or fictional characters in literary works. (Taylor points out that this way of conceiving music ‘seems to have established itself around the end of Schubert’s life, in critics such as A. B. Marx and in the reception of Beethoven’s heroic works such as the *Eroica*’.<sup>28</sup>) In *The Composer’s Voice* (1974)—a foundational text on persona theory—Edward T. Cone declaims that ‘all music, like all literature, is dramatic’<sup>29</sup>; he says:

any instrumental composition, like the instrumental component of a song, can be interpreted as the symbolic utterance of a virtual persona. This utterance may be a symbolic play, in which a number of virtual agents assume leading roles. It may be a symbolic monologue, in which a single

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<sup>26</sup> Susanna Välimäki, *Subject Strategies in Music: A Psychoanalytic Approach to Musical Signification* (Imatra, Finland: International Semiotics Institute at Imatra, Semiotic Society of Finland, 2005), p. 124.

<sup>27</sup> On musical narrative, see also Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton, NJ: Princeton University Press, 1991); Eero Tarasti, *A Theory of Musical Semiotics* (Bloomington: Indiana University Press, 1994); Fred Everett Maus, ‘Narrative, Drama, and Emotion in Instrumental Music’, *Journal of Aesthetics and Art Criticism*, 4 (1997), pp. 293–303; and Byron Almén, *A Theory of Musical Narrative* (Bloomington: Indiana University Press, 2008).

<sup>28</sup> Benedict Taylor, ‘Schubert’s E Flat Trio D. 929 and Models of Music Subjectivity’, in *Life as an Aesthetic Idea of Music*, ed. by Manos Perrakis (Vienna, London, New York: Universal Edition, 2019), pp. 11–30 (p. 17).

<sup>29</sup> Edward T. Cone, *The Composer’s Voice* (Berkeley: University of California Press, 1974), p. 5.

agent addresses an audience. It may be a symbolic soliloquy, a private utterance that an audience overhears. Very likely it is a complex structure involving all these modes [...]. But in every case there is a musical persona that is the experiencing subject of the entire composition, in whose thought the play, or narrative, or reverie, takes place—whose inner life the music communicates by means of symbolic gestures.<sup>30</sup>

Elaborating on the studies of Cone as well as other scholars of the persona theory, Naomi Cumming in ‘The Subjectivities of “Erbarne Dich”’ (1997) provides an especially illuminating explanation of the concept of the musical persona. According to Cumming, a musical persona, like the signified (in a semiotic sense), is of an emergent quality—that is, it is not located in the music but emerges out of a synthesis of various elements of the work:

a musical ‘subject’ can emerge in time as an integration of various ‘subjectivities’ in the work. Any attributions to music of qualities that would normally be applied to living beings, such as vocality, gesture or volition, indicate that subjective content has been heard. The sense of a ‘subject’ emerges from these things, but is not reducible to them. [...] Vocality, gesture and agency together, understood in their own right as signs, now become the representata for a new synthesis that forms the ‘subject’ in the music.<sup>31</sup>

As she emphasises, ‘the persona is not *really* there. To say as much is to recognise the normal qualities of a sign, which brings something to mind that is “not there”’.<sup>32</sup>

Importantly, while for Cone, ‘all roles are aspects of one controlling persona, which is in turn the projection of one creative human consciousness—that of the composer’, Cumming emphasises that ‘there is no need to make any presumptions about the composer’s subjective states,

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<sup>30</sup> Ibid., p. 94.

<sup>31</sup> Naomi Cumming, ‘The Subjectivities of “Erbarne Dich”’, *Music Analysis*, 16 (1997), pp. 5–44 (pp. 11–2)

<sup>32</sup> Ibid., p. 12, emphasis original.

or to assume the presence of an author giving coherence to conflicts in what is heard' (though, here, it should be clarified that the 'composer' to which Cone refers is not so much the real, historical composer of the work, but rather an aesthetic projection or constructed image of him or her, something similar to the 'implied author'<sup>33</sup> proposed by the literary critic Wayne C. Booth).<sup>34</sup> As Cumming explains, 'the music is not imagined to represent states that existed in the composer prior to its composition, but to embody states that are formed by its own materials'.<sup>35</sup> I side with Cumming's perspective on matters related to musical subjectivity and persona in this thesis. I, too, do not seek to read Schubert's music as representations of his voice or persona. Rather, the musical corpus for my study is interpreted in terms of a virtual *fictional* persona (like the fictional protagonist in novels or narratives)—something created by, but not necessarily identifiable with, the composer.

There are indeed a number of advantages, or 'appealing consequences' as Jenefer Robinson says, in applying the concept of the persona in musical interpretation. Most importantly, philosophers have generally agreed that the postulation of a virtual musical persona is a prerequisite to our reading of musical expressions that go beyond the mere attributes of simply happy and sad.<sup>36</sup> As Jerrold Levinson argues strongly, it is *only* through this practice that we may attain a richer interpretation that involves more complex cognitive and psychological states, or so-

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<sup>33</sup> For a concise discussion of the concept of the 'implied author', see Nina Penner, 'Intentions in Theory and Practice', *Music and Letters*, 99 (2018), pp. 448–69 (pp. 455–6).

<sup>34</sup> Cone, *The Composer's Voice*, p. 114; and Cumming, 'The Subjectivities of "Erbarne Dich"', p. 16.

<sup>35</sup> Cumming, 'The Subjectivities of "Erbarne Dich"', p. 16.

<sup>36</sup> Jerrold Levinson, 'Hope in the *Hebrides*', in *Music, Art, and Metaphysics: Essays in Philosophical Aesthetics* (Ithaca, NY: Cornell University Press, 1990), pp. 336–75; Aaron Ridley, 'Persona Sometimes Grata: On the Appreciation of Expressive Music', in *Philosophers on Music: Experience, Meaning, and Work*, ed. by Kathleen Stock (Oxford: Oxford University Press, 2007), pp. 130–46; and Jenefer Robinson, *Deeper than Reason: Emotion and its Role in Literature, Music and Art* (Oxford: Oxford University Press, 2005), chapter 11.

called ‘higher emotions’ (such as ‘shame, embarrassment, disappointment, guilt, pride, jealousy, or hope’). Hence Levinson’s proposal:

P expresses (or is expressive of)  $\alpha$  iff P is most readily and aptly heard by the appropriate reference class of listeners as (or as if it were) a sui generis personal expression of  $\alpha$  by some (imaginatively indeterminate) individual.<sup>37</sup>

He explains: ‘the idea is that expressive music is heard *as if it were* an alternate, audible but sui generis mode of behaviorally manifesting psychological states, emotional ones in particular’.<sup>38</sup> Indeed, in Romantic literature, the theme of the dream is often featured within a psychological drama that involves complex subjective states, emotions. The application of a musical persona could therefore enable a more elaborate way of discussing the dream aesthetic of the chosen corpus in this thesis.

This interpretive approach, however, is not without criticism. For Stephen Davies, a leading critic of persona theory, in adopting this approach the listener simply ‘interjects, instead of uncovering, the ideas that fuel her imagination’, and therefore, it does not help us ‘understand and appreciate’ the musical works more ‘fully’ in any sense.<sup>39</sup> To consider Davies’s argument, I should first make clear that *to interpret* music is not the same as *to uncover* musical meanings, just as Lawrence Kramer alerts in the first thesis under his ‘eleven theses on what interpretation is not’:

Interpretation is neither a recovery of past meaning nor an imposition of present meaning. It is a putting of meaning into action, by verbal or other means, the aim of which is to combine the

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<sup>37</sup> Levinson, ‘Hope in the *Hebrides*’, p. 338.

<sup>38</sup> *Ibid.*

<sup>39</sup> Stephen Davies, ‘Contra the Hypothetical Persona in Music’, in *Themes in the Philosophy of Music* (Oxford: Oxford University Press, 2003), pp. 152–68 (p. 165).

difference of the past with the openness of the present. This activity is never not in motion, even when the object of interpretation, whether text, event, or thing, is itself of the present.<sup>40</sup>

In my opinion, the concept of the virtual persona is essentially an approach to musical hermeneutics, and even if it cannot help uncover the hidden meanings of musical works, it can surely enrich our musical experience and bring to light certain aspects of the music that, albeit not *necessary to* our understanding of the music, would nevertheless appeal to some listeners. As Robinson puts it, ‘in short, you don’t have to listen to a Brahms Intermezzo as a psychological drama in order to appreciate it in some way or other, but if you do hear it as a psychological drama, you will hear things in it that you wouldn’t hear otherwise’.<sup>41</sup>

From Robinson’s perspective, there are in fact many reasons why the application of the concept of the musical persona is justifiable. First and foremost, at least in what she deems a good interpretation, this interpretive approach often effectively and consistently accounts for musical processes that would otherwise appear to be ‘anomalies’ from a pure formal analysis, and it does so in a way that is ‘consistent with what is known about the composer—including his [sic] compositional practices, beliefs, and attitudes’.<sup>42</sup> Robinson, moreover, believes that this would be a particularly apposite approach to interpreting instrumental music of the Romantic era. It is not just that the Romantics tended to think of instrumental music as subjective or psychological drama (as with Schumann’s review of Schubert’s music), but that, as Robinson points out, ‘there is as a matter of fact a long tradition in Western music of populating music with characters’.<sup>43</sup> She explains:

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<sup>40</sup> Lawrence Kramer, *Interpreting Music* (Berkeley: University of California Press, 2011), p. 89.

<sup>41</sup> Robinson, *Deeper than Reason*, p. 334.

<sup>42</sup> *Ibid.*, p. 337.

<sup>43</sup> *Ibid.*, p. 334.

In the Romantic period, where the idea of art as expression gained widespread currency, and which also saw the invention of the tone poem and of elaborate forms of programme music, it was natural for composers to think of their music [...] as utterances by characters or personae in the music.<sup>44</sup>

Therefore, claims Robinson, ‘some Romantic pieces of music should indeed be experienced as containing a persona whose unfolding emotional life is portrayed in the music’.<sup>45</sup>

In the modern literature on Schubert’s instrumental music, a dreaming persona or the notion of the dream (as a subjective aspect of a virtual persona) is often invoked by commentators to do exactly what Robinson says: to construct a psychological drama through which musical ‘anomalies’ might be better contextualised.<sup>46</sup> In my expansion of hermeneutic approaches to Schubert’s dream aesthetic, similarly, I hope not just to engage with the possibilities of interpreting his music through different types of dreams, but, more importantly, also to explore how the postulated dreamer-persona may proffer a new avenue through which certain perplexing anomalies of this music might be reconsidered and more consistently contextualised. To this latter end in particular, I would like also to adopt approaches to psychoanalytic criticism—a critical approach that, for reasons we shall now discuss, would be eminently illuminating for the discussions of the dream aesthetic of Romanticism.

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<sup>44</sup> Ibid.

<sup>45</sup> Ibid., p. 333.

<sup>46</sup> For example, Pesic, ‘Schubert’s Dream’; Fisk, *Returning Cycles*; Wollenberg, ‘Schubert and the Dream’; and McClary, ‘Pitches, Expression, Ideology’. For a detailed discussion on this literature, see Chapter 1.

## Psychoanalytic criticism and the Romantic dream aesthetic

‘The key to knowledge of the conscious life of the soul lies in the region of the unconscious’, wrote the Romantic polymath Carl Gustav Carus.<sup>47</sup> The unconscious is a concept that has its precursor essentially in earlier philosophical writings on human perception and inspiration, such as Gottfried Wilhelm Leibniz’s account of *petites perceptions* or Immanuel Kant’s notion of genius.<sup>48</sup> Yet it is around the late eighteenth and early nineteenth centuries, along with the wider cultural interest in this concept (as is exemplified in Idealist and Romantic writings), that it started to take on a central role in psychology, coming to be reconceptualised as what Carus described as the key to self-knowledge. This development, as many have pointed out, is to a substantial extent catalysed by the *Naturphilosophie* advanced by Friedrich Wilhelm Joseph Schelling in his enormously influential *Von der Weltseele* (*On the World Soul*, 1798) and *Erster Entwurf eines Systems der Naturphilosophie* (*First Outline of a System of a Philosophy of Nature*, 1799).<sup>49</sup>

Central to Schelling’s *Naturphilosophie* is the concept of the world soul (‘Weltseele’)—an all-pervading life force that is speculated to encompass humankind and nature. In opposition to the Enlightenment’s mechanical view, Schelling considered nature not so much a dead object as an organic being that is not dissimilar to the human, though the latter has attained a state of consciousness, whereas the former is still unconscious.<sup>50</sup> As Jürgen Barkhoff explains, therefore,

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<sup>47</sup> ‘der Schlüssel zur Erkenntnis vom bewussten Seelenleben liegt in der Region des Unbewusstseins’. Carl Gustav Carus, *Psyche: Zur Entwicklungsgeschichte der Seele* (Pforzheim: Flammer und Hoffmann, 1846), p. 1, translation mine.

<sup>48</sup> For a detailed discussion of this topic, See M. H. Abrams, *The Mirror and the Lamp: Romantic Theory and the Critical Tradition* (New York: W. W. Norton, 1958), chapters 7–8.

<sup>49</sup> See Matt Ffytche, *The Foundation of the Unconscious: Schelling, Freud and the Birth of the Modern Psyche* (Cambridge: Cambridge University Press, 2012) and Jürgen Barkhoff, ‘Romantic Science and Psychology’, in *The Cambridge Companion to German Romanticism*, ed. by Nicholas Saul (Cambridge: Cambridge University Press, 2009), pp. 209–26.

<sup>50</sup> For a concise discussion of Schelling’s *Naturphilosophie*, See Keren Gorodeisky, ‘19th Century Romantic Aesthetics’, in *The Stanford Encyclopedia of Philosophy* (2016), ed. by Edward N. Zalta <<https://plato.stanford.edu/archives/fall2016/entries/aesthetics-19th-romantic/>> [accessed 17 July 2021].

‘for the Romantics, nature is the outer, visible side of the spirit, and human consciousness is the highest form of nature’.<sup>51</sup> And, continues Barkhoff, ‘this implies that the discovery of nature in its parts and as a whole is necessarily also a journey of self-discovery, one in which self-knowledge and the understanding of nature mutually condition and support each other’.<sup>52</sup> It is this synergistic understanding of humanity and nature—especially the way it intersects with the contemporaneous field of science (animal magnetism in particular)—that lays the foundational grounds for the ‘psychologising’ of the unconscious.

Animal magnetism was initially a medical field developed by the late Enlightenment doctor Franz Anton Mesmer (hence its alternate name ‘mesmerism’), who proposed an invisible magnetic fluid that ‘fills and connects all bodies, celestial, earthly, and animate’, seeing its balance within an individual as vital to his or her health.<sup>53</sup> At its incipient stage, animal magnetism is essentially integral to the Enlightenment’s interest in theorising such invisible forces as magnetism, galvanism, and electricity.<sup>54</sup> This materialistic focus nonetheless gradually shifted towards a psychological one with later practitioners, especially after the year of 1784, when Mesmer’s follower Marquis de Puységur during a magnetic session learned to induce a state of trance in one of his patients.<sup>55</sup>

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<sup>51</sup> Barkhoff, ‘Romantic Science and Psychology’, p. 211.

<sup>52</sup> The Romantic scientist Henrik Steffens, for instance, stated that ‘Do you want to investigate nature? Then cast a glance inwards and in the stages of spiritual formation it may be granted to you to see the stages of natural development. Do you want to know yourself? Investigate nature and your actions are those of the Spirit there’ (‘Willst du die Natur erkennen? Wirf einen Blick in dein Inneres, und in den Stufen geistiger Bildung mag es dir vergönnt seyn die Entwicklungsstufen der Natur zu schauen. Willst du dich selber erkennen? Forsch’ in der Natur und ihre Thaten sind die des nämlichen Geistes’). Both the original text and English translation are cited in Barkhoff, ‘Romantic Science and Psychology’, p. 211.

<sup>53</sup> Franz Anton Mesmer, *Mesmerism: A Translation of the Original Scientific and Medical Writings of F. A. Mesmer*, trans. by George Bloch (Los Altos, CA: William Kaufmann, 1980), p. 62.

<sup>54</sup> See Joel Faflak, *Romantic Psychoanalysis: The Burden of the Mystery* (Albany: State University of New York Press, 2008), p. 51.

<sup>55</sup> It is reported that within this state, the patient who normally could ‘hardly give a reasonable answer to a simple question’ suddenly became able to follow de Puységur’s complex suggestions and eventually even prescribed a course of treatment for himself. See Barkhoff, ‘Romantic Science and Psychology’, p. 214; and Lisa Feurzeig, ‘Heroines in Perversity: Marie Schmith, Animal Magnetism, and the Schubert Circle’, *19th-Century Music*, 21 (1997), pp. 223–43 (pp. 225–6). English translation of Puységur’s quotation cited in the latter, p. 225.

This striking phenomenon revolutionised the way in which human mind and consciousness had thus far been conceptualised, paving the way for later scientific and psychoanalytic theorising of the unconscious.

While Mesmer saw animal magnetism as a therapeutic practice that affects the body, Puységur related it specifically to the psyche. And it is de Puységur's *psychological* understanding, rather than Mesmer's *Enlightened* fluidism, that makes animal magnetism what Nicholas Saul calls 'the most Romantic of all sciences'.<sup>56</sup> Not only did this practice directly threaten the Enlightenment's ostensibly secure sense of identity and selfhood with an unknown and seemingly impenetrable 'dark side'. Furthermore, given the close resonance between the concepts of the universal fluid of mesmerism and the all-pervading world soul of *Naturphilosophie*, the Romantics even regarded the state of trance induced by mesmerism—alongside such involuntary, altered conscious activities as dreams, visions, and hallucinations—as empirical evidence that testifies to the working of the Schellingian world soul, which, they believed, still lies somewhere within us in the unexplored region of the unconscious, the 'true inner Africa', as Jean Paul put it.<sup>57</sup> In this light, it is not just the enquiry of nature, but also the investigation of this 'inner nature', that had come to be perceived by the Romantics as germane to the understanding of subjecthood.

Surely, it should not be hard to see why notions of psychology, inwardness, unconscious mind, and so on would play a crucial part in Romantic art and literature. Within an era that was preoccupied with the grand synthesis of the disciplines of art, science, and philosophy, many

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<sup>56</sup> Nicholas Saul, 'Nachwort', in *Die deutsche literarische Romantik und die Wissenschaften*, ed. by Nicholas Saul (London: Institute of Germanic Studies; Munich: Iudicium, 1991), pp. 306–18 (p. 314). English translation cited in Barkhoff, 'Romantic Science and Psychology', p. 215.

<sup>57</sup> 'das ungeheure Reich des Unbewußten, dieses wahre innere Afrika'. Jean Paul, *Sämtliche Werke*, ed. by Norbert Miller, 6 vols. (Munich: Hanser, 1959–84), vi, p. 1182. English translation cited in Barkhoff, 'Romantic Science and Psychology', p. 214.

renowned Romantic artists and poets were also actively involved in practising mesmerism. These include, for instance, Novalis, Jean Paul, Friedrich Schlegel, and, most importantly, Franz Schubert, who helped facilitate at least one magnetic session led by the Schubertiad member Ludwig Schnorr von Carolsfeld in 1825.<sup>58</sup> (Lisa Feurzeig even argues that Schubert's first-hand experience in mesmerism had an impact on a few of his vocal works.<sup>59</sup>) In the case of Schubert, presumably, also relevant is the repressive political climate in the aftermath of the Congress of Vienna—under which the corpus of my case study was composed—which, as Lawrence Kramer points out, to a certain extent caused the 'self' to flight into 'a private interiority'.<sup>60</sup>

It is in relation to the Romantics' interest in psychological inwardness and the unconscious that the concept of the dream in their literary and artistic works could be more properly understood. As Leonard J. Kent and Elizabeth C. Knight explain:

The number of dreams in earlier literature is enormous, but before the German Romantics brilliantly exploited the substrata of consciousness (of which the dream is a striking manifestation), the dream most often served literature as an effective and highly stylised device of another kind—actually several other kinds. Perhaps no one prior to the German Romantics understood or consistently and fully explored the dream device and its implications as an organic and inseparable part of a literary work.<sup>61</sup>

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<sup>58</sup> See Feurzeig, 'Heroines in Perversity', pp. 230–240.

<sup>59</sup> Ibid.

<sup>60</sup> Lawrence Kramer, *Franz Schubert: Sexuality, Subjectivity, Song* (Cambridge: Cambridge University Press, 1998), p. 5.

<sup>61</sup> Introduction to E. T. A. Hoffmann, *Tales of E. T. A. Hoffmann*, ed. and trans. by Leonard J. Kent and Elizabeth C. Knight (Chicago, IL; London: The University of Chicago Press, 1969), p. xiv.

For Romantic writers, the dream is fundamentally a psychological device, which they deployed to express and explore the dynamics between the conscious and unconscious sides of the self.<sup>62</sup>

In Romantic literature and philosophy, the exploration of the human psyche, unconscious, and the like has attained a degree of significance that was not only unprecedented but also enormously influenced the way these categories were understood and discussed later. This is particularly the case with the field of psychoanalysis developed at the turn of the century. Matt Ffytche, for instance, notes that ‘many of the characteristic idioms associated with psychoanalytic theory in the twentieth century’ existed already in the writings of Schelling and Gotthilf Heinrich Schubert,<sup>63</sup> while Joel Faflak duly claims that ‘Romantic poetry, by confronting the unconscious of philosophy, *invents* psychoanalysis’.<sup>64</sup> Given that Romanticism is, to a substantial extent, a precursor to psychoanalysis, it is clear why psychoanalytic criticism is often regarded in current criticism to be one of the best approaches to understanding Romantic works. As Terry Castle says, ‘as an offshoot of the radically introspective habit of mind initiated in the late eighteenth century, psychoanalysis seems both the most poignant critique of romantic consciousness to date, and its richest and most perverse elaboration’.<sup>65</sup>

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<sup>62</sup> For discussions of the literary dreams in works of Novalis, Tieck, and Hoffmann, see, respectively, Jaishree Kak Odin ‘The Concept of Imagination in Novalis’ Works’ (PhD dissertation, State University of New York at Stony Brook University, 1984), pp. 89–136; Richard Milton Kalfus, ‘The Function of the Dream in the Works of E. T. A. Hoffmann’ (PhD dissertation, Washington University, 1973), pp. 47–229; and Joseph D. Rockelmann, ‘Dreams, Hallucinations, Moving Statues, and Ekphrasis in Ludwig Tieck’s Visual Writings’ (PhD dissertation, Purdue University, 2014), pp. 103–86.

<sup>63</sup> Ffytche, *The Foundation of the Unconscious*, pp. 2–3.

<sup>64</sup> Faflak, *Romantic Psychoanalysis*, p. 7.

<sup>65</sup> Terry Castle, ‘The Spectralization of the Other in The Mysteries of Udolpho’, in *The Female Thermometer: Eighteenth-Century Culture and the Invention of the Uncanny* (Oxford: Oxford University Press, 1995), pp. 120–139 (p. 139).

In modern literary criticism, there are many substantial studies that draw on a psychoanalytic approach to interpret the works of the Romantic era.<sup>66</sup> The same is also true with musicology—in particular, scholars such as Lawrence Kramer, David Schwarz, Nicholas Marston, Susanna Välimäki, Benedict Taylor, and Xavier Hascher have all, in their different ways, drawn on perspectives from psychoanalysis productively in discussing Schubert’s music.<sup>67</sup> Psychoanalytic criticism would indeed also be a highly valuable avenue for the discussions of Schubert’s music in this thesis, given my prime emphasis on the notion of dreams. Above all, a psychoanalytic approach is essentially a mode of reading founded upon the notion of the unconscious, and in Freudian and Jungian psychoanalysis in particular, dreams are regarded as a crucial means for illuminating the working of this psychical faculty (as Freud’s famous dictum goes, ‘the interpretation of dreams is the royal road to a knowledge of the unconscious activities of the mind’<sup>68</sup>). In adopting a psychoanalytic standpoint, however, I should first clarify that I see psychoanalysis not as a theory for uncovering some essential ‘psychological truth’ about the music or the composer, but rather a critical tool that could help bring some illuminating insights to the discussions of dreams in Schubert’s music—especially on issues pertaining to psychology and subjecthood—thereby complementing my objective of ‘Expanding Hermeneutic Approaches to the Dream Aesthetic in Franz Schubert’s Music’.

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<sup>66</sup> Faflak’s *Romantic Psychoanalysis* and D. J. Moores’s *Dark Enlightenment: Jung, Romanticism, and the Repressed Other* (Madison, WI: Fairleigh Dickinson University Press, 2020), for instance, are book-length studies on this topic. See also Kalfus, ‘The Function of the Dream in the Works of E. T. A. Hoffmann’.

<sup>67</sup> Lawrence Kramer, ‘Revenants: Masculine Thresholds in Schubert, James, and Freud’, *Modern Language Quarterly*, 57 (1996), pp. 449–77; David Schwarz, *Listening Subjects: Music, Psychoanalysis, Culture* (Durham: Duke University Press, 1997), chapters 4–5; Nicholas Marston, ‘Schubert’s Homecoming’, *Journal of the Royal Musical Association*, 125 (2000), pp. 248–70; Välimäki, *Subject Strategies in Music*, chapter 8; Taylor, ‘Schubert and the Construction of Memory’; and Xavier Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, in *Rethinking Schubert*, ed. by Lorraine Byrne Bodley and Julian Horton (New York: Oxford University Press, 2016), pp. 128–43.

<sup>68</sup> Sigmund Freud, *Die Traumdeutung* (*The Interpretation of Dreams*, 1899), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. by James Strachey, 24 vols. (London: Hogarth, 1953–74), iv: *The Interpretation of Dreams (First Part)*, p. 608.

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The overall structure of the present thesis is divided into two parts: Part I (containing Chapters 1 and 2) sets up the theoretical groundwork necessary for the hermeneutic undertakings of Part II (containing Chapters 3, 4, and 5), which examines the themes of the ironic dreams of the Romantic wanderer, Doppelgänger dreams, and the recurring nightmares of ghostly hauntings over three case studies.

In current Schubert scholarship, in fact, the characterisation of ‘dream’ or ‘dreamlike’ is rather miscellaneous and encompasses a wide array of musical features and aesthetic causes. For a study that takes the dream as its subject matter in discussions of the instrumental works of Schubert, it is therefore useful first to elucidate how this concept has been said to be related to the music. Chapter 1 carries out an extensive survey on the reception of the dream in Schubert’s music in scholarship from the 1970s up until the present day. It demonstrates the way in which dream-characterisation in scholarship may be more systematically understood in terms of three categories that are related to different aspects in Schubert reception: 1) the familiar early-Romantic duality of beautiful dreams and harsh reality; 2) the convention of describing Schubert’s music in terms of human experiences; and 3) the convention of characterising Schubert’s tonal, harmonic languages as irrational and illogical.

As will be shown in Chapter 1, the dream-characterisation of the third category, while providing for many commentators a fascinating way to assess Schubert’s sonata forms, is nonetheless problematic. Not only is it dangerously close to such stereotypical, albeit falsified, claims that Schubert was incapable of handling large-scale form, or did not compose according to logical calculation, et cetera, but to take at their face value musical gestures that are apparently ‘irrational’ also runs the risk of neglecting their potential aesthetic significance. In Romantic art

and literature, apparent irrational traits are often associated with the aesthetic of fantasy—to which Schubert evidently subscribed—and central to these is not so much the mere play of the irrational as the critical engagement with what is taken for granted as the rational. In line with this thesis's tenor of expanding the current understanding of the dream aesthetic in Schubert's music, Chapter 2 proposes to rethink the 'irrational' processes so often said to render Schubert's late sonata forms dreamlike in light of the fantasy aesthetic. I have already mentioned the preliminary reasons for my choice of the development sections of Schubert's late sonata forms as a focal point for my exploration of his dream aesthetic. The discussions gathered from Chapter 2 will provide further grounds for this standpoint. Chapters 1 and 2 thus set the tone for my own dream-characterisation in Part II.

Part II begins with Chapter 3 revisiting once more a topic that has already been discussed by a few scholars: the image of the Romantic wanderer and the first movement of the B $\flat$  Major Piano Sonata (D. 960, 1828). In doing so, this chapter places specific emphasis on the notions of longing and the quintessential Romantic irony of fulfilling dreams turning into nightmares. Also, it offers a fresh perspective on the discourse on the Romantic wanderer and the Sonata by bringing them in dialogue with Freud's theories on dream interpretation and Lacan's *désir* and *objet petit a*. It ultimately also goes beyond the first movement and examines briefly how these psychoanalytic insights might also shed light on the second movement of the Sonata.

Chapter 4 delves into another familiar theme in the discussion of Schubert's music (albeit not so much its dream aesthetic)—the Doppelgänger. The Doppelgänger in Romantic literature is an uncanny figure that often haunts the protagonists in visions and dreams and reminds them of their concealed, dark sides. The psychological complexities suggested by this literary theme have been discussed in detail by both Freud and Jung. In this chapter, the theme of the Doppelgänger

dream, allied with Freud's theory of the uncanny and Jung's shadow archetype, provides the basis for a close reading of two musical examples, the first movements of the E $\flat$  Major Trio (D. 929, 1827) and A Major Piano Sonata (D. 959, 1828).

The last case study, Chapter 5, turns to the gothic theme *par excellence* of ghostly hauntings—a theme featured in a number of Schubert's *Schauerballaden* or gothic ballads. In particular, it demonstrates the way in which the first movement of the 'Unfinished' Symphony (D. 759, 1822) might be heard in terms of a series of haunting nightmares. In this chapter, the theme of ghostly hauntings is scrutinised through the lens of psychoanalytic trauma—a perspective regarded in current criticism to be particularly suitable for the discussions of ghosts, hauntings, and so on especially after Cathy Caruth's powerful conceptualisation of trauma as constituting around an absent-present, there-and-not-there experience that 'returns to haunt the survivor later on'.<sup>69</sup> As this chapter shows, the illuminating perspectives gleaned from the concepts of Gothicism and trauma offer further possibilities of contextualising the nightmares of the first movement within the Symphony's two-movement trajectory.

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<sup>69</sup> Cathy Caruth, *Unclaimed Experience: Trauma, Narrative, and History* (Baltimore; London: The Johns Hopkins University Press, 1996), p. 4.

**PART I:**

**THEORETICAL GROUNDWORK**

## Chapter 1: Dream-Characterisation in Modern Schubert Reception

*Beloved art, in how many a bleak hour, when I am enmeshed in life's tumultuous  
round, have you kindled my heart to the warmth of love, and borne me away to a  
better world!*<sup>1</sup>

Franz von Schober, 'An die Musik' ('To Music')

Labels such as 'dream' and 'dreamlike' are customarily deployed in modern scholarship to describe Schubert's music. But what do commentators mean when they characterise this music as a dream or dreamlike? Especially in terms of the composer's more 'abstract' instrumental works, how might this music give rise to such characterisations?

Attempts at exploring these questions are immediately confronted by the numerous confounding complexities surrounding such characterisations. It is not just that compositional techniques or devices that are said to attribute qualities of dreams and dreamlike to Schubert's music are extremely diverse—ranging from the major-minor modal contrast, non-diatonically functional modulations and the  $bVI$  sonority, to the simple use of soft dynamics, continuous figurations, and so on—but that the reasons for characterising these devices as dreamlike can also differ vastly and, in some cases, there could even be more than one reason for a single musical device to be considered dreamlike. To complicate the matter even further, it is not uncommon for

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<sup>1</sup> 'Du holde Kunst, in wieviel grauen Stunden / Wo mich des Lebens wilder Kreis umstrickt / Hast du mein Herz zu warmer Lieb entzunden / Hast mich in eine bessere Welt entrückt!' Both the original text and English translation are cited in Richard Wigmore, ed., *Schubert: The Complete Song Texts* (London: Gollancz, 1988), p. 44.

commentators to use the dream-characterisation in a more casual manner and without specifying any reasons for its use at all.

This is not to say that the dream-characterisation in scholarship is arbitrary, however. In fact, notwithstanding these complications, it is nevertheless clear that a certain consensus does exist amongst modern commentators as to what constitutes the dreamlike in Schubert's music, and why this is the case. And it is the task of the present chapter to investigate this. This chapter surveys the reception of Schubert's music in scholarship from the 1970s to the present day, demonstrating the ways in which the seemingly miscellaneous characterisations of 'dream' and 'dreamlike' in the literature might be more systematically discussed in terms of three distinct—albeit overlapping—categories, each pertaining to different concerns in Schubert reception. In doing so, it aims not only to elucidate the dream-characterisation in existing scholarship but, more importantly, also to set the ground for the music analysis and hermeneutic reading in the three case study chapters in Part II.

### **Category 1: Perfect dreams, imperfect reality**

The contrast between beautiful dreams and bleak reality is one of the most familiar aspects of the dream-characterisation in the modern reception of Schubert's instrumental music. As noted in the Prologue, the reason for commentators' endorsement of this characterisation is clear: above all, in Romantic literary works as well as Schubert's songs, the dream is often idealised as a perfect, infinite realm as opposed to an unwelcoming, finite reality. While the idyllic, beautiful dream in current Schubert scholarship is an overarching concept that pervades readings of various hermeneutic emphases, this way of characterisation is essentially derived from the branch of studies that focuses on the musical resemblances between Schubert's vocal and instrumental works. Susan Wollenberg's 'Schubert and the Dream' (1980) and William Kinderman's 'Schubert's

Tragic Perspective’ (1986) are two foundational works of this scholarly convention.<sup>2</sup> In his article, Kinderman, for example, writes that ‘contrast between the vision of the imagination and a bleak or threatening reality occurs frequently in the works of Goethe, Wilhelm Müller, and Heine, and this aspect of the poetry is almost invariably seized upon by Schubert’ and ‘even in the absence of a text [...] certain of Schubert’s late instrumental works employ an analogous musical treatment’.<sup>3</sup> Wollenberg even argues that ‘in one particular song-type—the dream song—Schubert created a musical vocabulary which he transferred with very special effect to “abstract” instrumental movements’.<sup>4</sup> Indeed, given the aesthetic significance of idyllic dreams in Schubert’s songs, it is not unreasonable to find the resonance of this concept in Schubert’s instrumental works too, especially where musical techniques comparable to those in his songs are heard. Schubert’s ‘dream songs’, therefore, would be a good starting point for us to examine this category of dream-characterisation.

Hans Heinrich Eggebrecht pointed out in a 1970 article that ‘in Schubert’s songs major and minor are often juxtaposed with one another as the illusory world of beautiful, bright dreams to the real world of banal, wretched, naked reality’.<sup>5</sup> Both Wollenberg and Kinderman go on to observe that the portrayal of the duality of beautiful dreams and harsh reality in Schubert’s songs is usually more nuanced than just an opposition between the major and minor modes, and in most cases, a number of thematic and other musical contrasts are employed collectively to dramatise this dichotomy. A *locus classicus* for the discussion of this dualism in Schubert’s vocal works

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<sup>2</sup> Susan Wollenberg, ‘Schubert and the Dream’, *Studi Musicali*, 9 (1980), pp. 135–50; William Kinderman, ‘Schubert’s Tragic Perspective’, in *Schubert: Critical and Analytical Essays*, ed. by Walter Frisch (Lincoln and London: University of Nebraska Press, 1996), pp. 65–83.

<sup>3</sup> Kinderman, ‘Schubert’s Tragic Perspective’, pp. 65 and 75.

<sup>4</sup> Wollenberg, ‘Schubert and the Dream’, p. 135.

<sup>5</sup> Hans Heinrich Eggebrecht, ‘Prinzipien des Schubert-Liedes’, *Archiv für Musikwissenschaft*, 27 (1970), pp. 89–109 (p. 96). English translation cited in Kinderman, ‘Schubert’s Tragic Perspective’, p. 65.

would be ‘Frühlingstraum’ (‘Dream of Spring’) from *Winterreise* (*Winter Journey*, D. 911, 1827), which is cited by both Wollenberg and Kinderman.

Schubert’s *Winterreise* is a song cycle set to Wilhelm Müller’s poetry collection *Die Winterreise*, which relates the story of a wanderer who, in the face of his unrequited love, is plagued by an overwhelming longing and has embarked on an indefinite journey that knows no other end than the finality of death. While the wanderer’s longing is at times fulfilled in dreams, these dreams are liable to be shattered shortly after, underscoring the impossibility for the wanderer to attain peace even in his inward fantasies. This aspect is exposed most unequivocally in the eleventh song of the cycle, ‘Frühlingstraum’, which contains six stanzas that alternate between the depiction of a fulfilling dream, a rude awakening to an unwelcoming reality, and the wanderer’s self-reflection (see Figure 1.1). In Schubert’s setting, stanzas 1 and 4 (bars 1–14 and 45–58)—the stanzas of the dream—open *pianissimo* in the key of A major with a moderate, dancelike passage that is enclosed within a lyrical period, or what Stephen Rodgers perceptively characterises as ‘Schubert’s idyllic period’.<sup>6</sup> Harmonically, these stanzas are marked by almost purely diatonic progressions, with the E♯ passing notes in bars 2, 3, and 11 (46, 47, and 55 in stanza 4) being the only exception. Indeed, the comforting music with which ‘Frühlingstraum’ begins already poses a sharp contrast to the prevailing minor-mode atmosphere of the preceding song ‘Rast’ (‘Rest’)—in which the wanderer reflects on the inhospitable roads and harsh weather that accompany his journey and the fierce pain borne by his heart. Yet an even more striking musical contrast can be heard between the stanzas of the dream and awakening in this song.

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<sup>6</sup> Stephen Rodgers explains that ‘Schubert’s idyllic periods’ are characterised by musical features such as ‘symmetrical phrases’, ‘transparent voice-leading structures’, ‘simple pianistic textures’, ‘diatonic melodies and harmonies’, ‘major-mode tonalities’, ‘quiet dynamics’, ‘slow tempi’, and ‘poetic texts that are either nostalgic or hopeful’. Schubert’s idyllic periods, he explains, ‘tend to be passages that stop us in our tracks, moments that involve crossing a threshold that separates present from past, reality from dream’ (‘Schubert’s Idyllic Periods’, *Music Theory Spectrum*, 39 (2017), pp. 223–46 (p. 225)).

**Figure 1.1:** Schubert, ‘Frühlingstraum’ (no. 11 of *Winterreise*, D. 911), text with annotations.

	Original Text	Translation	Theme	Key
1	Ich träumte von bunten Blumen, So wie sie wohl blühen im Mai, Ich träumte von grünen Wiesen, Von lustigem Vogelgeschrei.	I dreamt of bright flowers That blossom in May; I dreamt of green meadows And merry bird-calls.	<i>Dream</i>	A major
2	Und als die Hähne krächten, Da ward mein Auge wach; Da war es kalt und finster, Es schrieten die Raben vom Dach.	And when the cocks crowed My eyes awoke: It was cold and dark, Ravens cawed from the roof.	<i>Awakening</i>	E minor ↓ A minor
3	Doch an den Fensterscheiben Wer malte die Blätter da? Ihr lacht wohl über den Träumer, Der Blumen im Winter sah?	But there, on the window panes, Who had painted the leaves? Are you laughing at the dreamer Who saw flowers in winter?	<i>Reflection</i>	A major ↓ A minor
4	Ich träumte von Lieb’ um Liebe, Von einer schönen Maid, Von Herzen und von Küssen, Von Wonne und Seligkeit.	I dreamt of mutual love, Of a lovely maiden, Of embracing and kissing, Of joy and rapture.	<i>Dream</i>	A major
5	Und als die Hähne krächten, Da ward mein Herze wach; Nun sitz’ ich hier alleine Und denke dem Traume nach.	And when the cocks crowed My heart awoke; Now I sit here alone And reflect upon my dream.	<i>Awakening</i>	E minor ↓ A minor
6	Die Augen schliess’ ich wieder, Noch schlägt das Herz so warm. Wann grünt ihr Blätter am Fenster? Wann halt’ ich mein Liebchen im Arm?	I close my eyes again, My heart still beats so warmly. When will you turn green, leaves on the window? When shall I hold my love in my arms? <sup>7</sup>	<i>Reflection</i>	A major ↓ A minor

As Susan Youens claims, ‘the dream in stanza 1 is self-enclosed but too short to constitute an entire song’, and for this reason, ‘a listener who did not know the poetry and whose expectations were dependent on the unfolding musical structure might expect to hear another strophe to the same music or the continuation of the dream setting in a second tonal area’.<sup>8</sup> In stanzas 2 and 5, however, the ‘dream setting’ of stanzas 1 and 4 is repudiated immediately by music that features a minor mode, faster tempo (‘Schnell’), and louder dynamics. Furthermore, here, not only is the

<sup>7</sup> Both the original text and English translation are cited in Wigmore, ed., *Schubert: The Complete Song Texts*, pp. 368–9.

<sup>8</sup> Susan Youens, *Retracing a Winter’s Journey: Schubert’s Winterreise* (Ithaca, NY and London: Cornell University Press, 1991), p. 212.

previously continuous motion in the accompaniment—a ‘serene broken-chordal figuration’ as Youens characterises—replaced by the disjointed chordal punctuation, and the tuneful birdsong by the abrasive crowing of roosters (cf. bars 11 and 16), but the harmonic language also becomes distinctly chromatic and dissonant, with the music eventually culminating *fortissimo* with the parallel minor of the dream stanzas (bars 26 and 70). As Wollenberg notes, the contrast between dreams and reality in this song is achieved by ‘abrupt changes in texture, tonality, rhythmic and melodic shape, and relationship of voice to piano (this is then no mere majorminor [sic] contrast)’.<sup>9</sup>

Aside from ‘Frühlingstraum’, similar musical responses can also be found in songs such as ‘Der Wanderer’ (‘The Wanderer’, D. 489, 1816), ‘Im Dorfe’ (‘In the Village’, no. 17) from *Winterreise*, ‘Kriegers Anhnung’ (‘Warrior’s Foreboding’) and ‘Ihr Bild’ (‘Her Portrait’) from *Schwanengesang* (*Swan Song*, D. 957, 1828), all of which feature the contrast between beautiful but fragile dreams and the crude but inescapable reality. To demonstrate the aesthetic embodiment of this dichotomy in Schubert’s instrumental music, Kinderman focuses on the Fantasia in F minor (D. 940, 1828) in his aforementioned article—though, he has also untiringly promoted this reading for other instrumental works of Schubert in later writings<sup>10</sup>—while Wollenberg draws on a specific range of the slow movements contained in Schubert’s late works, such as the G Major String Quartet (D. 887, 1826), C Major String Quintet (D. 956, 1828), and A Major Piano Sonata (D. 959, 1828). Schubert’s other instrumental works that have been regularly interpreted in scholarship in a similar light include the third movement of the G Major String Quartet, the first and third movements of the G Major Piano Sonata (D. 894, 1826), the *Notturmo* in E $\flat$  major (D. 897, 1827), the Impromptu in C minor (D. 899, no. 1, 1827), and so on. In the following, some of these works

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<sup>9</sup> Wollenberg, ‘Schubert and the Dream’, p. 138.

<sup>10</sup> See, for instance, Kinderman’s ‘Schubert’s Piano Music: Probing the Human Condition’, in *The Cambridge Companion to Schubert*, ed. by Christopher Howard Gibbs (Cambridge: Cambridge University Press, 2011), pp. 155–73 and ‘Wandering Archetypes in Schubert’s Instrumental Music’, *19th-Century Music*, 21 (2019), pp. 208–22.

will be taken as examples in discussing modern commentators' varied approaches to this way of dream-characterisation.

In the F Minor Fantasia, what Kinderman reads as the dream-reality duality is represented, in particular, in the music of the first part (or movement) and its reprise in the finale. In the first part of the Fantasia, a small-ternary first group begins with a lyrical theme (the 'A' section) played *piano* in the key of F minor. And although the music modulates to a major key (A $\flat$  major) in the 'B' section (bar 24), it is the 'A' section (bars 38–47), where the opening theme is restated in the parallel key (F major) with the dynamic level also softened to *pianissimo*, that, in Kinderman's opinion, 'assumes an air of unreality, of illusion' (see Example 1.1).<sup>11</sup> Indeed, not unlike those dream sections in Schubert's songs, this 'illusory', 'dreamlike' music, too, is a fragile one: it is completely obliterated by bar 48 with the expected authentic cadence at which it is directed being violently overtaken by a F-minor second theme that articulates a 'funereal rhythm' (as Kinderman calls it) at the dynamic level of *forte* and with *sforzando* emphases.<sup>12</sup> In the finale, the reprise of the same dreamlike music is similarly disrupted by the contrasting second theme, which even develops into an extended fugue (bar 474). Significantly, just as the fugue is about to arrive at a concluding cadence, the music abruptly falls silent and, thereafter, returns to the lyrical theme; however, this theme is soon superseded by the funereal rhythm once again, through which the fantasia is finally brought to an end (bars 554 ff.). The way in which the lyrical theme is constantly shattered, and eventually overcome, by the funereal music suggests for Kinderman the 'tragic perspective' or 'human condition' so characteristic of Schubert's dream songs.<sup>13</sup> 'Like the song

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<sup>11</sup> Kinderman, 'Schubert's Tragic Perspective', p. 76.

<sup>12</sup> *Ibid.*, p. 77.

<sup>13</sup> See Kinderman, 'Schubert's Tragic Perspective' and 'Schubert's Piano Music'.

cycle [i.e., *Winterreise*]', writes Kinderman, 'the F-Minor Fantasia is haunted by a sense of progress toward an inescapable destiny'.<sup>14</sup>

**Example 1.1:** Schubert, F Minor Fantasia, D. 940, bars 37–52.

The musical score is presented in three systems, each with a treble and bass staff. The first system (bars 37-41) begins with a piano (*pp*) dynamic. The second system (bars 42-46) is marked mezzo-forte (*mf*). The third system (bars 47-52) is marked forte (*f*). The score includes various musical notations such as slurs, accents, and dynamic markings.

<sup>14</sup> Kinderman, 'Schubert's Tragic Perspective', p. 82.

In Wollenberg's opinion, the dream-reality duality in Schubert's songs proffers an instructive lens for us to 'uncover some key to the peculiarities of his procedures and to his recurrent preoccupation with the "polarity between the lyrical and the violent"'—or his 'volcanic temper' as famously called by Hugh MacDonald—that is a signature of the slow movements of his late instrumental music.<sup>15</sup> Amongst Wollenberg's examples, the second movement of the C Major Quintet is probably the one that is most frequently discussed in terms of this duality by modern commentators.<sup>16</sup> This movement opens with a predominantly major-mode section that—along with its *adagio* tempo, soft dynamic, sustained, unaccented rhythm—fits perfectly with the characterisation of a 'beautiful dream'. John M. Gingerich for instance duly avers that this music 'provides the most extreme illustration of Schubert's entire instrumental oeuvre of a "utopian" or "static dream tableau"'.<sup>17</sup> 'The unexpected brightness of the keys (E major and, by the fifth measure, F-sharp major) combines with the unusually slow tempo and the even slower unfolding of the plot to create a sense of great distance from what has gone before, a sense of an alternative reality'.<sup>18</sup> But, again, this 'dream tableau' is just as transient as it is beautiful. In bar 28, the concluding PAC is followed by a short, unison trill, through which the tonic E is reinterpreted as the leading-note of F minor, in this way ushering in a strongly contrasting, almost melodramatic contrasting middle section that features a minor mode (F minor), loud dynamic, dense texture, unsettling harmony, and incessant progression. This section strikes Wollenberg immediately as

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<sup>15</sup> Wollenberg, 'Schubert and the Dream', p. 135. See also Hugh MacDonald, 'Schubert's Volcanic Temper', *The Musical Times*, 119 (1978), pp. 949–52.

<sup>16</sup> See John M. Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet, D. 956', *The Musical Quarterly*, 84 (2000), pp. 619–34; Scott Burnham, 'Thresholds Between, Worlds Apart', *Music Analysis*, 33 (2014), pp. 156–67; and Joe Davies, 'Stylistic Disjuncture as a Source of Drama in Schubert's Late Instrumental Works', in *Drama in the Music of Franz Schubert*, ed. by Joe Davies and James William Sobaskie (Suffolk: Boydell & Brewer, 2019), pp. 303–30.

<sup>17</sup> Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet, D. 956', p. 621.

<sup>18</sup> *Ibid.*, p. 623.

‘an abrupt, painful awakening from the dream’ and ‘full of that “unsatisfied longing” expressed in the dream songs’.<sup>19</sup>

Wollenberg suggests that the dream-reality contrast could also be applied to the discussion of the bipolarity or volcanism in the Andante of the G Major Quartet and the Andantino of the A Major Piano Sonata (D. 959). The ‘stormy *minore* episodes’ in the ‘B’ sections of these movements (the Quartet and Sonata feature ABABA and ABA structures respectively), she explains, can be understood as an ‘awakening [...] of positively nightmarish quality’ or ‘turbulent awakening’, while ‘the dreamlike openings correspond to the dreams of “Der Lindenbaum” or “Frühlingstraum”’.<sup>20</sup> Despite Wollenberg’s characterisation, it is important to note that in contrast with the comforting ‘dream tableau’ of the Quintet, the ‘A’ sections in the slow movements of the Quartet and Sonata not only are cast in the minor mode (B minor in the former and F# minor in the latter) but also feature lamenting descending seconds (see Example 1.2).<sup>21</sup> In the opening, ‘A’ section of the Andantino, in fact, even though more well-worn gestures of beautiful dreams can be heard in bars 19 and 51—where F# minor is momentarily brightened by A major and the dynamic level decreased to *pianissimo*—Joe Davies argues (in his doctoral dissertation, which was supervised by Wollenberg) that here, ‘they resist such categorization. The two forays into the relative major [...] do little to dispel the prevailing eeriness’.<sup>22</sup> Indeed, in both the Quartet and Sonata, these opening sections can hardly be described as representing beautiful dreams if not relativised against the tremendously disruptive music in the ‘B’ sections.

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<sup>19</sup> Wollenberg, ‘Schubert and the Dream’, p. 143.

<sup>20</sup> *Ibid.*, p. 144.

<sup>21</sup> Wollenberg has stated elsewhere that the opening section of the Sonata ‘acquires a rather sinister aura’ (*Schubert’s Fingerprints: Studies in the Instrumental Works* (Farnham: Ashgate, 2011), p. 167).

<sup>22</sup> Joe Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’ (DPhil dissertation, Oxford University, 2019), p. 145.

**Example 1.2:** Schubert, a) G Major Quartet, D. 887, ii, bars 1–10; b) A Major Sonata, D. 959, ii, bars 1–18.

a)

b)

For Stephen E. Hefling and David S. Tartakoff on the other hand, far from suggesting some beautiful dreams, the ‘ominous *sforzando* unison’ that launches the Andante of the Quartet sounds like an ‘interruption of an ongoing dream’.<sup>23</sup> Charles Fisk’s reading of the Andantino of the Sonata is rather similar: ‘this new theme [i.e., the opening music] sounds not merely poignant but desolate,

<sup>23</sup> Stephen E. Hefling and David S. Tartakoff, ‘Schubert’s Chamber Music’, in *Nineteenth-Century Chamber Music*, ed. by Stephen E. Hefling and R. Larry Todd (New York: Routledge, 2004), pp. 39–139 (p. 97).

as if sung in exile from the wondrous and mysterious but ultimately innocent world of [the first] movement’—a movement that he also characterises as containing ‘the memory of some youthful dream’.<sup>24</sup> For both commentators, therefore, rather than some pleasant dreams, the ‘A’ sections of the Andante and Andantino would more readily represent a bleak reality. It is the ‘B’ sections that they hear as related to the dream: Hefling and Tartakoff call the two ‘B’ sections of the Quartet ‘a recurring nightmare’, while Fisk describes that of the Sonata ‘the Andantino’s nightmare’.<sup>25</sup> Thus in their readings, Wollenberg’s characterisation of dreams and reality is overturned, with the ‘A’ sections being construed as related to reality, while the ‘B’ sections connect to dreams—that is, *nightmares*, but not the *nightmarish awakening* as she suggests.

I have pointed out in the Prologue that commentators on Schubert’s music tend to be rather reticent when it comes to the interpretation of the poetic, literary, and other aesthetic resonance of the nightmare. These aforementioned studies of Hefling and Tartakoff and Fisk provide a salient point of reference. In Hefling and Tartakoff’s study, the metaphor of the nightmare is only mentioned in passing and musical passages that are described as nightmares are not further interpreted, while in Fisk’s study, music that is heard as representing nightmares is understood as referring autobiographically to Schubert’s personal horror of a venereal infection (rather than the dream aesthetic of Romanticism, as this author did with music that represents idyllic dreams).

We have discussed how Schubert’s instrumental music is characterised by commentators as representing dream and reality with reference to his songs. A slightly different, yet closely related, way of interpreting the dream-reality dualism in Schubert’s music is to contextualise it in relation to what might be called the pastoralism of the Romantic era—that is, the nostalgic engagement with the Arcadian landscape and past of imagination that are untainted by the

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<sup>24</sup> Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001), pp. 218 and 222.

<sup>25</sup> Hefling and Tartakoff, ‘Schubert’s Chamber Music’, p. 97; Fisk, *Returning Cycles*, p. 226.

complexities of the urbanised or modernised present.<sup>26</sup> In this context, the dream is construed not merely as an idealised version of reality, but more specifically an idyllic past, a realm where one's lost innocence and halcyon past may still be preserved. This sensation is eloquently revealed in Jean Paul's aesthetic treatise *Über die natürliche Magie der Einbildungskraft (On the Natural Magic of Imagination, 1795)*, in which he wrote: 'Dream is the Vale of Tempe and motherland of fantasy: the concerts sound in this twilit Arcadia, the Elysian fields that cover it, the heavenly forms that inhabit it, bear no comparison with anything the earth can offer'.<sup>27</sup>

In his perceptive chapter on Schubert's musical pastoralism in *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (2004), Robert Hatten points out that 'Schubert's opposition of minor and major to represent the opposition between present, tragic reality and a more euphoric past—either real or imagined—has been noted by many scholars, including William Kinderman'. However, 'the opposition', he continues,

may be achieved not only by the turn from minor to major, or by the striking modulations and marked thematic contrasts noted by Kinderman, but also by a corresponding simplification in various musical elements that lends a pastoral character to these oases, conceived as idealised visions of lost happiness or innocence.<sup>28</sup>

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<sup>26</sup> Robert Hatten brilliantly summarises that the themes of Romantic pastoralism may include '(1) an individual retreating from a complex and less euphoric reality (2) in an attempt to regain lost simplicity, innocence, happiness or the sublime—or to imagine a similarly euphoric present or future idealized state (3) by inhabiting an idealized space of reflection or serenity that emulates those envisioned qualities, (4) and that may also evoke the monumentality of a landscape, with its poignant juxtapositions of geological time, historical time, and individual memory' (*Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana University Press, 2004), pp. 53–67).

<sup>27</sup> 'Der Traum ist das Tempe-Tal und Mutterland der Phantasie: die Konzerte, die in diesen dämmernden Arkadien ertönen, die elysischen Felder, die es bedecken, die himmlischen Gestalten, die es bewohnen, leiden keine Vergleichung mit irgend etwas, das die Erde gibt'. Jean Paul, *Sämtliche Werke*, ed. by Norbert Miller, 6 vols. (München: Hanser, 1959–84), iv, p. 197.

<sup>28</sup> Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, p. 55.

By Schubert's time, it appears that the pastoral was also held as an established type, if not necessarily genre, of music.<sup>29</sup> In short, as has been identified more recently by scholars in the field of topic theory, music that was understood as evocative of the pastoral is generally simple and features mollified tension, and it normally includes a mixture of the following traits: major mode, 6/8 or 12/8 metre, slow tempo and harmonic rhythm, soft dynamic, harmony in thirds, the use of a drone or pedal point, emphasis on the subdominant, and so on.<sup>30</sup> As Hatten points out, 'other conventional cues increasingly favoured by Romantics include the *siciliano* rhythm gesture, musette or *Ländler* allusions, and modal inflections'.<sup>31</sup>

Schubert's musical pastoralism is exemplified in the G Major Piano Sonata. The topic of the pastoral is palpable right from the opening bars in the 12/8 metre, *molto moderato* tempo, major mode, and even more so in the *pianissimo* dynamic, sustained, almost static, harmonic motion, and momentary subdominant inflection (bar 3; see Example 1.3a). Regarding this music, Benedict Taylor aptly writes:

In the Piano Sonata in G, D.894, the limpid simplicity and purity of the opening creates a sense of wholeness and beauty, a state of grace and innocence, which somehow is too good, too pure, to be true. Like a childhood illusion or a fairy tale, the Arcadian tone of the music is marked as distanced, past or *dreamlike*—in other words, not real.<sup>32</sup>

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<sup>29</sup> Descriptions of the pastoral in music can be found in the writing of the contemporary theorist Heinrich Christoph Koch, who noted that '*Pastorale* indicates [...] a piece of rustic, simple, but tender character, in which the singing of the idealized world of shepherds is expressed. It is generally in a fairly slow 6/8 meter [...] and] is very similar to the musette and the *siciliano*' (*Musikalisches Lexikon* (1802). English translation cited in Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006), p. 229). Johann Sulzer, likewise, described the *pastorale* as 'a small piece designed for dancing and similar to the musette [...] It has two beats per measure but the tempo is slower than in the musette' (*Allgemeine Theorie der schönen Künste* (1792–94). English translated cited in Andrew Haringer, 'Hunt, Military, and Pastoral Topics', in *The Oxford Handbook of Topic Theory*, ed. by Danuta Mirka (Oxford: Oxford University Press, 2014), pp. 194–213 (p. 205)).

<sup>30</sup> See Monelle, *The Musical Topic*; and Haringer, 'Hunt, Military, and Pastoral Topics'.

<sup>31</sup> Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, p. 56.

<sup>32</sup> Benedict Taylor, 'Schubert and the Construction of Memory: The String Quartet in A Minor, D.804 (Rosamunde)', *Journal of the Royal Musical Association*, 139 (2014), pp. 41–88, emphasis mine.

Example 1.3: Schubert, G Major Sonata, D. 894, i, a) bars 1–9; b) bars 65–75.

a)

Molto moderato e cantabile

pp mf

6 p pp fp

b)

65 ff fz fz

69 cresc. fz fz fz

73 fff fz

An equally striking passage of pastoralism is found in the trio contained in the third movement of the same sonata, in which a rising figure lifts the tonality from B minor to B major (bar 54), therein ushering in an exquisite, *pianississimo* passage that features the musette and *Ländler* tropes. For Hatten, ‘the triple pedals and triple *piano* together provide a dream-like web within which the *Ländler*’s gentle lifts and burbling ornaments are given an almost visionary quality’.<sup>33</sup> Unsurprisingly, both of these extraordinary pastoral passages are juxtaposed against music that is much darker. In the third movement, for instance, the trio is enclaved within a surrounding B minor, and even more remarkably, in the first movement, an inverse side of the pastoral opening music is presented in the development section: there, not only does this music sound *fortissimo* in a minor mode, but it also features an incessant progression that drives towards a *fortississimo* climax (see Example 1.3b). If this opening music is to be interpreted as a dream of an idyllic past, then, it would be all too easy for the development section to be described—as Hatten did—as ‘a present reality’.<sup>34</sup>

Schubert’s music, as I have demonstrated in this section, might be said to represent beautiful dreams and bleak reality through such musical contrasts as major/minor, consonance/dissonance, soft/loud dynamics, moderate/faster tempos, slow/fast harmonic rhythm, attenuated/accentuated rhythms, and so on. And fundamental to this branch of characterisation is its aesthetic correspondence with Romanticism’s idealisation of the dream—a concept that permeates many of Schubert’s songs. In the dream-characterisation of ‘Category 1’, of course, such notions as musical subjectivities and personae are already indispensable—in the commentaries examined above, for instance, the ‘dream’ and ‘reality’ in the instrumental music are construed as essentially related to sensations or experiences of a human subject or protagonist

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<sup>33</sup> Robert Hatten, ‘A Theory of Musical Gesture and its Application to Beethoven and Schubert’, in *Music and Gesture*, ed. by Anthony Gritten and Elaine King (London: Routledge, 2017), pp. 1–22 (p. 10), emphasis original.

<sup>34</sup> Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, p. 60.

(often akin to one in his songs). These notions, as we shall see, play an even more prominent role in the commentaries that constitutes my ‘Category 2’, which emphasises the similarity between listening to Schubert’s music and the vividness of experiencing a dreaming or dreamlike state.

### **Category 2: Dreamlike experience and consciousness**

In modern scholarship, it is not uncommon for musicologists to describe Schubert’s music as if it can deliver some dreamlike experience. Brian Black, for instance, avers that ‘the listener encounters the dual idea of “dream”—both as a longed-for alternative to reality and as the literal act of dreaming, of being lifted out of corporeal existence’,<sup>35</sup> while Gingerich writes that ‘the way in which [Schubert’s] music compels rapt attention while submerging the usual conscious processes of listening are closely akin to immersion in the vivid presentness of a dream’.<sup>36</sup> In a similar vein, Burnham remarks that Schubert’s instrumental works ‘sound remote from everyday experience, not because they flicker with the inherent haziness of things seen from a great distance, but because they invite a quality of attention not normally bestowed upon things in the everyday world’, that is, ‘a state of altered consciousness’.<sup>37</sup> Likewise, Richard Taruskin notes that when listening to certain passages in Schubert’s instrumental music, ‘it is like passing into another world, another quality of time, another state of consciousness’.<sup>38</sup>

Differently from the first category of the dream-characterisation, in these and other similar commentaries, it appears as though the dreamlike, altered states or qualities are something not *signified by* but *experienced through* the music, and these ‘experiences’ seem to have attained a

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<sup>35</sup> Brian Black, ‘Remembering a Dream: The Tragedy of Romantic Memory in the Modulatory Processes of Schubert’s Sonata Forms’, *Intersections: Canadian Journal of Music*, 25 (2005), pp. 202–28 (p. 203).

<sup>36</sup> Gingerich, ‘Remembrance and Consciousness in Schubert’s C-Major String Quintet, D. 956’, p. 623.

<sup>37</sup> Scott Burnham, ‘Schubert and the Sound of Memory’, *The Musical Quarterly*, 84 (2000), pp. 655–63 (p. 661).

<sup>38</sup> Richard Taruskin, *The Oxford History of Western Music*, 5 vols. (Oxford: Oxford University Press, 2005), iii: *The Nineteenth Century*, pp. 92–3.

degree of vividness that would not need textural or verbal corroboration. Certainly, fundamental to these commentaries—which constitute what I would call the second category of the dream-characterisation—is not so much whether this music is really capable of inducing some altered state of consciousness or dreamlike experiences, but rather the notion of musical subjectivity, in particular the idea that music isomorphically presents or mirrors the human mind and its different states of consciousness.<sup>39</sup> Of course, given this thesis’s emphasis on notions of ‘subjectivity’ and ‘virtual persona’, the dream-characterisation of this category will be particularly pertinent to my discussions in Part II.

The first and foremost compositional technique that modern commentators have routinely noted as conveying dreamlike quality is what might be called the ‘Schubertian  $\flat$ VI’.<sup>40</sup> And certainly it is no coincidence that this technique often features in Schubert’s songs precisely in sections where the lyrics refer to dreams.<sup>41</sup> The  $\flat$ VI that would be described in particular as Schubertian, of course, does not refer to just any use of the  $\flat$ VI, but rather certain peculiar ways in which the composer tends to render this harmony. Here, we might draw on his setting of Matthäus von Collin’s ‘Nacht und Träume’ (‘Night and Dreams’, D. 827b, 1825) to illustrate the technique of the ‘Schubertian  $\flat$ VI’ and its association with the notion of dreams.

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<sup>39</sup> The idea of music representing consciousness isomorphically is adopted from the philosopher Laird Addis, *Of Mind and Music* (Ithaca, NY: Cornell University Press, 1999). In this study, he states that ‘states of consciousness and sounds alone are such that, while they require time for their existence, they do not require change’; in his opinion, therefore, music ‘represents’ or is ‘isomorphic’ to ‘possible states of consciousness’ (p. 69). Benedict Taylor also provides an excellent discussion of this perspective in *The Melody of Time: Music and Temporality in the Romantic Era* (New York: Oxford University Press, 2016), pp. 65–8.

<sup>40</sup> Following David Bretherton, I use the symbol ‘ $\flat$ VI’ to refer to ‘the key or chord whose keynote or root lies a major third below the home keynote, regardless of the mode of the home key and any accidental required by the key signature (thus, for example, C major is  $\flat$ VI in relation to the keys of E major and E minor)’. See David Bretherton, ‘The Musico-Poetics of the Flat Submediant in Schubert’s Songs’, *Journal of the Royal Musical Association*, 144 (2019), pp. 239–86 (p. 239, note 1)).

<sup>41</sup> A detailed investigation on the  $\flat$ VI in Schubert’s songs can be found in Thomas Keith Nelson, ‘The Fantasy of Absolute Music’ (PhD dissertation, University of Minnesota, 1998), chapters 3–4. See also Bretherton’s recent study on this topic in ‘The Musico-Poetics of the Flat Submediant in Schubert’s Songs’.

**Figure 1.2:** Schubert, ‘Nacht und Träume’ (D. 827b), text with annotations.

Original Text	Translation	Stage	Key
Heil’ge Nacht, du sinkest nieder; Nieder wallen auch die Träume, Wie dein Mondlicht durch die Räume, Durch der Menschen stille Brust.	Holy night, you sink down; Dreams, too, float down, Like your moonlight through space, Through the silent hearts of men.	<i>Pre-dream</i>	B major
Die belauschen sie mit Lust; Rufen, wenn der Tag erwacht: Kehre wieder, heil’ge Nacht! Holde Träume, kehret wieder!	They listen with delight, Crying out when day awakes: Come back, holy night! Fair dreams, return! <sup>42</sup>	<i>Dream</i> <i>Post-dream</i>	G major ↓ B major

Collin’s ‘Nacht und Träume’ is a poem that centres on the quintessential Romantic sentiments of the glorification of dreams and corresponding reluctance to wake from dreaming. In Schubert’s setting, Collin’s eight-line poem is set to a ternary form, which, as David Bretherton points out, corresponds respectively to the three stages of ‘pre-dream, dream and post-dream’ (see Figure 1.2).<sup>43</sup> The three sections or ‘stages’ in the song are unified by an unbroken stream of semiquaver *tremolos* in the piano accompaniment. The ‘dream’ stage—where the lyrics refer to the dreamers’ absorption into their dreams’ delight—is distinguished by a direct switch in tonality from I (B major) down a major third to the  $\flat$ VI (G major) via the common-tone seam of B (bar 15; see Example 1.4). The  $\flat$ VI harmony is then prolonged plagally over five bars until a diminished seventh harmony breaks forth (bar 20) and ushers in the awakening, ‘post-dream’ stage. Regarding the music of the dream stage, Bretherton remarks, ‘it is as if we leave the reality of a moonlit landscape [...] to be enveloped by an ethereal dreamscape’,<sup>44</sup> while Black notes that this music ‘creates the sensation of being absorbed into an interior dream-world’.<sup>45</sup>

<sup>42</sup> Both the original text and English translation are cited in Wigmore, ed., *Schubert: The Complete Song Texts*, p. 289.

<sup>43</sup> Bretherton, ‘The Musico-Poetics of the Flat Submediant in Schubert’s Songs’, p. 242.

<sup>44</sup> *Ibid.*, p. 248.

<sup>45</sup> Black, ‘Remembering a Dream’, p. 204.

**Example 1.4:** Schubert, ‘Nacht und Träume’, D. 827, bars 13–21.

13 **A: pre-dream** **B: dream**

stil - le, stil - le Brust. Die be - lau - schen sie mit -

17 **PAC** **B** **G: I (bVI)**

Lust, die belau schen sie mit Lust; ru - fen, wenn der Tag erwacht:

IV I dim. 7

21 **A': post-dream**

Keh - re wieder, heilige

In discussing the dreamlike effect of Schubert’s use of  $bVI$  here, several crucial components need to be taken into consideration. For a start, what strikes many commentators as particularly special about the  $bVI$  harmony is that, above all, it displays no immediate functional relationship with the tonic major (it might be understood as borrowed from the tonic minor), yet the two triads are just two semitones apart in terms of their voice-leading and can readily slip into each other (see my discussion of neo-Riemannian analysis below). Thus from the perspective of

functional harmony,  $\flat VI$ 's relation to the tonic is simultaneously near and far, or in Richard Kramer's words, represents 'the remote in the close at hand'.<sup>46</sup> Its curious position *on the other side* of the common-tone seam it shares with the tonic makes it well-suited for being described as representing altered states of consciousness such as dream, memory, reverie, introspection, and the like. In the song, through Schubert's direct juxtaposition of the two regions, this peculiar tonal relationship—and its aesthetic correspondence with the notions of dreaming and awakening in the lyrics—is, moreover, immediately brought to the foreground. In Bretherton's opinion, 'it is the use of common-tone retention during the modulation—and smooth voice-leading more broadly—that is key' to the dreamlike effect he hears in the 'Other-worldly  $\flat VI$ '<sup>47</sup> (as opposed to what he terms, following Thomas Keith Nelson, the 'Rogue  $\flat VI$ ', which, he argues, does not evoke the dreamlike and has different 'musico-poetic' connotations in Schubert's songs).<sup>48</sup> In a similar light, Susan Youens writes that in the song, 'Schubert simply "melts" from B major—the tonal realm of day and waking consciousness—to G major chords in m. 15 via the one common tone those two harmonies share, the tonic pitch B. Instantly, we are in another world'.<sup>49</sup>

Also important in commentators' discussion of the dreamlike effect of Schubert's use of the  $\flat VI$  is the way in which this harmony, after its abrupt arrival, is frequently prolonged and established temporarily as a tonal region or 'aesthetic level' rather than functioning merely as a

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<sup>46</sup> Richard Kramer, *Distant Cycles: Schubert and the Conceiving of Song* (Chicago: Chicago University Press, 1994), p. 186.

<sup>47</sup> Another famous example where Schubert's use of the 'Other-worldly  $\flat VI$ ' is related to the notion of the dream is his Heine setting 'Ihr Bild'. For a discussion of this song, see Christopher Wintle, 'Franz Schubert, Ihr Bild (1828): A Response to Schenker's Essay in *Der Tonwille*, Vol. 1', *Music Analysis*, 19 (2000), pp. 10–28 and Bretherton, 'The Musico-Poetics of the Flat Submediant in Schubert's Songs', pp. 251–6.

<sup>48</sup> Bretherton's example of the 'Rogue  $\flat VI$ ' is the middle section of 'Der stürmische Morgen' ('The Stormy Morning', no. 18 from *Winterreise*), regarding which, he writes, 'there is nothing dreamlike at all about the move to  $\flat VI$ ' ('The Musico-Poetics of the Flat Submediant in Schubert's Songs', p. 283).

<sup>49</sup> Susan Youens, *Schubert's Late Lieder: Beyond the Song-Cycles* (Cambridge: Cambridge University Press, 2002), p. 90.

passing harmony. Susan McClary's 'Pitches, Expression, Ideology: An Exercise in Mediation' (1983) is amongst one of the earliest studies in modern scholarship to have scrutinised, to a substantial extent, how this use of the  $\flat$ VI—or as she calls it 'minor-sixth interruptions'—'may be interpreted so as to be relevant to human experience', which for her expressly includes dreaming.<sup>50</sup> Central to McClary's argument in this study is that when the  $\flat$ VI suddenly establishes itself within an on-going tonal trajectory—as is often the case with Schubert's music—it seems as if a 'principal line of thought' is interjected by some 'parenthetical', 'self-contained interruption'. However, 'following the close-parenthesis', explains McClary, 'the progression of the principal line of thought continues, coloured by the information provided by the [ $\flat$ VI passage] but otherwise as though the interruption had not occurred'.<sup>51</sup> Indeed, the way the  $\flat$ VI materialises as a self-contained region isolated from the underlying (diatonic) musical trajectory but serves to 'colour' it afterwards is not dissimilar to how our dreams, memories, or fantasies usually contain their own events that are separated from, though often affect, the present, waking reality.

In his chapter 'The Music Trance' from *The Oxford History of Western Music* (2005), Taruskin considers the self-contained  $\flat$ VI passage and the principal tonal trajectory it interrupts in terms of two different types of temporality within an operatic setting: the subjective 'aria time'—which denotes a character's introspective, altered state of consciousness—and objective 'action time':

Modulation to the flat submediant became a convention signalling that the music that followed it was [a direct "heart-to-heart"] communication. [...] The effect of these modulations on the

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<sup>50</sup> Susan McClary, 'Pitches, Expression, Ideology: An Exercise in Mediation', *Enclitic*, 7 (1983), pp. 76–86 (p. 76)

<sup>51</sup> *Ibid.*, p. 77.

music's temporality, that is the audience's experience of time, is comparable to the effect of an operatic scene in which static "aria time" supervenes on the action-time of recitative.<sup>52</sup>

The  $\flat$ VI interruption, in Taruskin's opinion, represents 'a stopping of time's forward march, a subjective reverie [...] or time-out-of-time. A piece that stops time is a piece that represents (or induces) the music trance', in which 'one turns all one's attention to that which goes on in one's soul, forgetting the outer circumstances that surround one', says Taruskin with reference to Johann Georg Sulzer.<sup>53</sup> This reading offers some useful insights into the discourse of the different states of consciousness evoked by Schubert's harmony. In accordance with Taruskin's dual time scales, in Schubert's music, the use of  $\flat$ VI interruption is often accompanied with a shift to a harmonic syntax that suggests a more 'static' quality. This is exposed unequivocally in 'Nacht und Träume' for instance, in which a static temporal experience is promoted by the plagal motion within the  $\flat$ VI region of the 'dream' stage (see Example 1.4, bars 15–9), constituting what Bretherton describes as a contrast between 'the wakeful world's fast-moving fifth-based harmonic language' and 'the soft subdominant focus of the  $\flat$ VI dream world'.<sup>54</sup>

Aside from the use of plagal harmony, Schubert is well-known for delivering a similarly static temporality through prolonging the  $\flat$ VI region with a variety of diatonically remote harmonies related by thirds. This is exposed, for example, in the inwardly focused middle section of his setting of Friedrich Schlegel's 'Die Berge' ('The Mountains', D. 634, 1815),<sup>55</sup> as well as numerous instrumental works, such as the second group contained in the first movement of the G Major Quartet and the codetta contained in the first movement of the 'Great' C Major Symphony

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<sup>52</sup> Taruskin, *The Oxford History of Western Music*, iii, p. 69.

<sup>53</sup> *Ibid.*, pp. 91 and 73.

<sup>54</sup> Bretherton, 'The Musico-Poetics of the Flat Submediant in Schubert's Songs', p. 256.

<sup>55</sup> See, in particular, Lisa Feurzeig's brilliant interpretation of this song in *Schubert's Lieder and the Philosophy of Early German Romanticism* (Farnham: Taylor & Francis, 2014), pp. 66–130.

(D. 944, 1826). The static temporal experience provided by these harmonic progressions can be illustrated more clearly via the viewpoint of neo-Riemannian analysis as proposed by Richard Cohn in ‘As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert’ (1999).

Essentially, Schubert’s penchant for highlighting non-diatonic third relations in harmony is an exemplar of what might be called the ‘second harmonic practice’. Unlike the ‘first harmonic practice’ or functional harmony, second-practice harmony emphasises not so much the different ‘tonal functions’ served by each harmony (such as tonic, sub- or pre-dominant, and dominant), but rather the efficiency of voice-leading between adjacent harmonies. And, according to Cohn, ‘there are four related characteristics of Schubertian harmony that respond well to [this] approach’, including ‘modal mixture, root relation by third, motion through the enharmonic seam, and equal division of the octave’.<sup>56</sup>

In general, harmonic progressions governed by the second harmonic practice can be scrutinised, from a neo-Riemannian perspective, in terms of three types of ‘transformations’ and two ‘cycles’. The three transformations include *Parallel* or P transformation, which shifts a major triad to minor, or vice versa (C major  $\rightleftharpoons$  C minor); *Relative* or R transformation, which shifts a triad to its relative (C major  $\rightleftharpoons$  A minor); and *Leading-tone exchange* or L transformation, which shifts the root of a major triad down a semitone or the fifth of a minor triad up a semitone (C major  $\rightleftharpoons$  E minor). And the two cycles include the *hexatonic* cycle and *octatonic* cycle. A hexatonic cycle moves across six triads through a series of alternating P and L transformations, resulting in a ‘maximally smooth’ voice leading in which two common tones between a triad and its neighbours are retained while the other differs by just a semitone. A hexatonic cycle that starts with C major may go, in major-third sequences, to C minor, A $\flat$  major, A $\flat$  minor, F $\flat$  (= E) major, E minor, and

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<sup>56</sup> Richard Cohn, ‘As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert’, *Journal of Musicology*, 22 (1999), pp. 213–32 (p. 215).

circle back to C major (see Example 1.5a; the Schubertian I–bVI progression, for instance, could be seen as a step of combined P–L transformations in the hexatonic cycle). An octatonic cycle, on the other hand, moves across eight triads via a series of alternating P and R transformations, also resulting in a smooth voice leading in which a triad might differ from its neighbours either by a semitone (as in the P transformation) or a whole tone (as in the R transformation). An octatonic cycle that starts with C major may go, in minor-third sequences, to C minor, E $\flat$  major, E $\flat$  minor, G $\flat$  major, G $\flat$  (= F $\sharp$ ) minor, A major, A minor, and circle back to C major (see Example 1.5b). The two cycles might be used in the same piece or movement and they can appear in complete or partial forms (a well-known example of Schubert’s use of these cycles is the first movement of the E $\flat$  Major Piano Trio (D. 929, 1827), in which both the hexatonic and octatonic cycles, and in both partial and complete forms, can be found).<sup>57</sup>

**Example 1.5:** a) Hexatonic cycle; b) Octatonic cycle.

a)

C C $\flat$  A $\flat$  G $\sharp$ m E E $\flat$  C  
P L P L P L

b)

C C $\flat$  E $\flat$  E $\flat$ m G $\flat$  F $\sharp$ m A A $\flat$  C  
P R P R P R P R

In second-practice harmony, as it can be seen, no longer does harmonic progression gravitate towards a tonal centre and move linearly (or one-dimensionally) as in functional harmony.

<sup>57</sup> This movement will be discussed in greater detail in Chapter 4. See also Taylor’s insightful study on the concept of subjectivity and D. 929 in ‘Schubert’s E Flat Trio D. 929 and Models of Music Subjectivity’, in *Life as an Aesthetic Idea of Music*, ed. by Manos Perrakis (Vienna, London, New York: Universal Edition, 2019), pp. 11–30.

It therefore evokes for Cohn the image of ‘star clusters’—that is, ‘a network of elements and relations, none of which hold prior privileged status’—as contrasted with the ‘solar system’ of Classical harmony, ‘where positions are determined relative to a central unifying element’.<sup>58</sup> The image of ‘star clusters’, indeed, would be an apt metaphor especially for those notorious passages of Schubert where motivic-thematic materials, rather than being developed teleologically, are constantly repeated within a second-practice harmonic backdrop. The peculiar temporality of Schubert’s use of second-practice harmony and non-teleological repetition is noted by Taylor, who writes that this compositional practice ‘provides a dizzying kaleidoscope of harmonies, a tonal weightlessness’ and ‘the auditory temporal experience is both static and hypnotically repetitive, dreamlike and dissociated’.<sup>59</sup> And as he argues, it is through a slippage from the first harmonic practice into the second, and the teleological into the non-teleological, that Schubert achieves a ‘detachment of the musical present from a sense of dynamic temporal flow’.<sup>60</sup>

These two contrasting compositional approaches—one onward-pressing and teleological, one static and non-teleological—correspond well with Taruskin’s reading of the ‘action time’ and ‘aria time’ of the external and internal human experience or two states of consciousness. Su Yin Mak makes a similar point when she says that the non-teleological compositional techniques in Schubert’s works direct us to perceive the music, like the Romantic lyric poetry,

as moments that invite aesthetic contemplation [...] in a manner analogous to what the literary critic J. Hillis Miller has called ‘the linguistic moment’, ‘a poise or pause suspending the action in a prolonged arhythmical hovering separating the first part of the action from the last’, these ‘*moments musicaux*’ exist outside the normal temporal flow of the discourse. [...] They relinquish,

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<sup>58</sup> Cohn, ‘As Wonderful as Star Clusters’, p. 213.

<sup>59</sup> Taylor, ‘Schubert and the Construction of Memory’, p. 66.

<sup>60</sup> *Ibid.*, p. 65.

rather than deny, structural expectations and exemplify an acute linguistic self-consciousness that has often been noted by writers on Schubert.<sup>61</sup>

In a similar vein, Taylor writes that ‘moments of subjective interiority’ in Schubert’s music might be invoked simply by ‘movements to a different, inner realm, another temporal or aesthetic level that apparently does not have to obey external laws or temporal causality’, such as ‘the famous secondary theme of the String Quintet’s three-key exposition (an inner plateau of E $\flat$  hovering between C and G, a “time out of time”)’ or ‘the massive interior loop of D.887’s second group’.<sup>62</sup> As he remarks, ‘the music exhibits a greater sense of agency here, something closely allied with subjectivity, consciousness’s ability to move at will through past time, to repeat, to dream’.<sup>63</sup>

I have already mentioned that there are overlaps between categories of dream-characterisation examined in this chapter. This is, for instance, the case with the use of second-practice harmony in minor-mode works, such as the sudden shift to  $\flat$ VI, whose relation to i readily sets up a modal contrast that is germane to the reading of idyllic dreams and bleak reality of Category 1. To demonstrate this overlap in greater detail, we might draw on McClary’s and Fisk’s interpretations of Schubert’s Impromptu in C Minor (D. 899, no. 1, 1827).

The Impromptu starts with an opening or ‘A’ section that, in McClary’s opinion, ‘presents an extremely concentrated image of confinement’.<sup>64</sup> And for her, this image is created primarily by the way in which the main theme is constantly closed in the tonic with authentic cadences. This occurs as early as bar 8, where a G octave in the left hand, along with the ongoing dotted rhythm, presents a cadential gesture that leads to a i: PAC (see Example 1.6). While the theme thereafter

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<sup>61</sup> Su Yin Mak, ‘Schubert’s Sonata Forms and the Poetics of the Lyric’, *The Journal of Musicology*, 23 (2006), pp. 263–306 (pp. 304–5).

<sup>62</sup> Taylor, ‘Schubert and the Construction of Memory’, p. 75.

<sup>63</sup> *Ibid.*

<sup>64</sup> McClary, ‘Pitches, Expression, Ideology’, p. 79.

returns in the relative major (bar 10), the tonality soon falls back to the tonic minor, closing there with another *i: PAC* through the same cadential gesture (bar 17). This entire process is then repeated yet once again, constituting in total a fourfold presentation of the same thematic material. ‘All this adds up to a kind of stagnation’, says McClary, as though the musical processes ‘only succeed in intensifying the realisation of confinement by their failure to bring about any change in pattern’.<sup>65</sup>

**Example 1.6:** Schubert, Impromptu, D. 899, no. 1, bars 1–17.

The musical score for Schubert's Impromptu, D. 899, no. 1, bars 1–17, is presented in three systems. Each system consists of four bars. The first system (bars 1–4) begins with a fortissimo (*ff*) dynamic in the right hand and a piano (*pp*) dynamic in the left hand. The second system (bars 5–8) starts with a piano (*pp*) dynamic. The third system (bars 9–12) begins with a fortissimo (*ff*) dynamic. Annotations include 'Cm: *ff*' at the start, 'i: PAC Eb' at bar 8, and 'back to Cm i: PAC' at bar 12. Brackets above the staff indicate the four-bar structure of each system.

Following the last of these PACs the music makes its first successful modulation to a major mode, but not so much the relative major it has been trying to attain as the flat-submediant, *Ab*

<sup>65</sup> McClary, ‘Pitches, Expression, Ideology’, p. 79.

major (bars 37–41). In this  $A_b$ -major section (the ‘B’ section), an altered aesthetic experience is immediately delivered by the switch from diatonic harmony to second-practice harmony or ‘free modulatory exploration through tangentially related areas’, as described by McClary.<sup>66</sup> Here, a varied version of the main theme first appears in  $A_b$  major (bars 41–6, see Example 1.7). In the second presentation of this theme (bars 47–51), the music moves, via  $A_b$  minor (bar 47), to  $C_b$  major (bar 48), forming a P–R transformation before a R–P transformation in the third presentation (bars 52–5) reverts to  $A_b$  major to launch the fourth presentation (bars 56–60), which then retraces a similar trajectory. Also significant here is the articulation of irregular hypermetre. While the ‘B’ section shares essentially the same thematic material as the ‘A’ section, the music, writes McClary, ‘gracefully though wilfully avoid[s] each time the tendency to cadence after four’,<sup>67</sup> thus liberated from the unremitting four-bar phrase rhythm (4 + 4 + 4 + 4 hypermetrical division) of the preceding section. For McClary, it is these peculiar musical features in the ‘B’ section here that exemplify the dreamlike experience that concerns her discussion of the Schubertian  $bVI$ . In a similar light, Fisk hears this section as an ‘escape into a different order of experience from the opening theme’.<sup>68</sup> In addition, the modal-stylistic contrast between sections ‘A’ and ‘B’—which respectively expresses negative states (‘confinement’, ‘stagnation’) and positive states (‘freedom’, ‘escape’)—also readily evokes the musical features that constitute the ‘bad reality-good dream’ dualism of Category 1. Indeed, just like in Schubert’s songs where pleasant dreams are doomed to vanish, so is this ‘dream’ of the ‘B’ section. In bar 84, a L transformation simply draws the music back to C minor, which is then established in bar 91 in preparing for the reprise of the ‘A’ section. And as the ‘A’ section arrives, the phrase rhythm is also restored to four-bar and the harmonic language

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<sup>66</sup> McClary, ‘Pitches, Expression, Ideology’, p. 80.

<sup>67</sup> Ibid.

<sup>68</sup> Fisk, ‘Returning Cycles’, p. 27. Note, however, that the  $bVI$  here is prepared by its dominant rather than juxtaposed directly with the tonic major, and for this reason, it does not represent Bretherton’s ‘Other-worldly  $bVI$ ’.

switched to first-practice harmony. Thus, evoking the dream-characterisation of Category 1, McClary writes with regard to the ‘B’ section that it is ‘a dream that could never be’,<sup>69</sup> while for Fisk, ‘this music evokes a dream, or perhaps only the memory of a time when dreaming was still possible, in relation to the opening’s bleak reality’.<sup>70</sup>

**Example 1.7:** Schubert, Impromptu, D. 899, no. 1, bars 41–60.

41 5 bars  
*p* *pp*  
 Ab

47 5 bars  
*mf* *decre.* *pp*  
 (Abm) Cb

52 4 bars  
*p*  
 (Abm) Ab

56 5 bars  
*pp*

<sup>69</sup> Ibid., p. 80.

<sup>70</sup> Ibid.

In addition to the Schubertian  $\flat$ VI, second-practice harmony, and temporal irregularities we have discussed so far, another musical process that is often said by commentators to contribute to, if not single-handedly produce, the altered or dreamlike temporal-aesthetic experience in Schubert's music is the use of a hushed *tremolo* texture or repetitious, continuous figurations (again, these techniques are frequently featured in Schubert's 'dream songs', such as the accompaniment of 'Nacht und Träume' and the dream section of 'Frühlingstraum'). Discussions of the dreamlike effects of these techniques, for instance, can be found in Taylor's 'Schubert and the Construction of Memory: The String Quartet in A Minor, D.804 (Rosamunde)' (2014). Taylor suggests that the gesture of 'a melodic line surrounded by haze'—along with other devices such as '*pianissimo* dynamic', 'timbral weakening', 'spatial distance in instrumentation', and harmonies 'in inversion, without bass support'—may constitute 'a way of speaking' that enables us to hear the music as representing dreams or memories.<sup>71</sup> As he explains, like some qualifying gesture in verbal language, these techniques 'speak' or indicate to us that the music is weaker or less in intensity, and by extension, vague, distant, or even unreal (like dreams and memories), as distinct from the vivid perception of the present.<sup>72</sup> The A Minor Quartet, for instance, opens *pianissimo* with a lyrical theme that hovers above a background of haze created together by the sinuous figurations of the second violin and the persistent *tremolos* of the viola and cello (played at the last crotchet beat of each bar), as such, 'offer[ing] a dreamlike way into experience, the fainter echo of a beautiful world already lost', says Taylor.<sup>73</sup>

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<sup>71</sup> Taylor, 'Schubert and the Construction of Memory', pp. 62–3. The concepts of dreams and memories are treated as almost the same in this study of Taylor, who argues that 'Dreams and memory have also long been closely connected through their static quality, their lack of presentness and temporal slippage of levels. Philosophers have traditionally found it hard to differentiate between the two. Not for nothing does Proust commence *A la recherche du temps perdu* with a description of the symbiotic blurring between sleep, dreams and memory' (p. 84).

<sup>72</sup> *Ibid.*, pp. 62–3.

<sup>73</sup> *Ibid.*, p. 63. In a similar light, Peter Pesic writes with regard to the first movement of the B $\flat$  Major Piano Sonata (D. 960, 1828): 'The dreamy quality of this movement is evident from the very first measures, which emerge as if the music had already been going on a long time. This quality depends on the *pianissimo* hush and the gliding

This viewpoint proffered by Taylor provides an intriguing and subjectivised way to listen to the cyclic recall in the finale of the Eb Major Trio. Near the beginning of the development section (bar 275), with the dynamic level softened to *pianissimo*, an accompaniment material from a previous section (bars 139–50) resurfaces in the piano and is woven into a thin web of cascading, arpeggic pattern played *con pedale* and in syncopated, hemiola rhythm. Against this quiet and slightly disorienting ‘haze’ (to cite Taylor), the music features a cyclic return of the melancholy theme of the second movement, sounding *piano* and *sotto voce* in the cello. This cyclic recall then returns once more in bar 693 right before the finale is drawn to a euphoric end. In its current reception, this cyclic recall has been regularly described as haunting or some sort of ghostly revenant.<sup>74</sup> As Davies explains, this music offers an ‘explicit manifestation’ of ‘the idea that Schubertian revenants return in unexpected places, their haunting presence resonating beyond the context in which they first appear’.<sup>75</sup> Taking our cue from Taylor, we might say that if the cyclic recall represents a revenant, then its surrounding materials—the haze—may suggest that this is a ghostly presence that haunts one in dreams, hallucinations, and so on, like many ghostly figures in Romantic literature.<sup>76</sup> In Schubert’s original sketch for the finale, furthermore, an even more curious instance of cyclic recall is found near the end of the development section in a passage that was cut in the later version (bars 463–514, original sketch). There, the music that surrounds the ‘revenant’ theme constantly alternates between a haze gesture and the *l’istesso tempo* theme of the finale’s exposition (bars 473–513, original sketch, see Example 1.8), in this way evoking a sense of liminality that further problematises the boundaries between past and present, dream and reality.

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rhythm, but even more on a kind of harmonic stasis’ (‘Schubert’s Dream’, *19th-Century Music*, 23 (1999), pp. 136–44 (p. 138)).

<sup>74</sup> Lawrence Kramer, ‘Revenants: Masculine Thresholds in Schubert, James, and Freud’, *Modern Language Quarterly*, 57 (1996), pp. 449–77; Taylor, ‘Schubert’s E Flat Trio D. 929 and Models of Music Subjectivity’, p. 13. Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’, pp. 59–60.

<sup>75</sup> Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’, p. 59.

<sup>76</sup> See, for example, Matthew Lewis’s *The Monk* (1796) and E. T. A. Hoffmann’s *Die Elixiere des Teufels* (*The Devil’s Elixirs*, 1815) and *Der Sandmann* (*The Sandman*, 1816).

**Example 1.8:** Schubert, Eb Major Trio, D. 929, iv, original sketch, bars 470–512.<sup>77</sup>

The musical score is presented in three systems, each consisting of two staves. The first system (bars 470-476) shows a vocal line with dynamics *p*, *pp*, and *pizz.*, and piano accompaniment with dynamics *p* and *pp*. The second system (bars 477-482) includes a piano part with an 8-measure rest and a trill. The third system (bars 483-488) continues the piano part with an 8-measure rest and a trill. The fourth system (bars 489-494) shows the piano part with a trill and a final flourish.

<sup>77</sup> Arnold Feil, ed., *Neue Schubert-Ausgabe* (Kassel: Bärenreiter-Verlag, 1975), vi/7: *Werke für Klavier und mehrere Instrumente*, pp. 62–3.

## Example 1.8 (cont.)

495

pp

pp

501

8

507

arco

pp

pp

-de

514

pp

pp

pp

The image displays a musical score for Example 1.8 (cont.), spanning measures 495 to 514. The score is written for a vocal line and a piano accompaniment. The key signature is one sharp (F#), and the time signature is 4/4. The score is divided into four systems. The first system (measures 495-500) features a vocal line with a *pp* dynamic and a piano accompaniment with a *pp* dynamic. The second system (measures 501-506) includes an *8* (octave) marking above the piano accompaniment. The third system (measures 507-513) shows the vocal line with an *arco* marking and *pp* dynamic, and the piano accompaniment with *pp* dynamic. The fourth system (measures 514-518) begins with a *-de* marking and features *pp* dynamics for both parts. The score concludes with a double bar line and repeat dots.

In his ‘Schubert and the Sound of Memory’ (2000) and a more recent study ‘Beethoven, Schubert and the Movement of Phenomena’ (2016), Burnham also discusses the gestures of the *tremolo* haze and continuous figurations as they pertain to such concepts as dream, memory, and altered state of consciousness.<sup>78</sup> Burnham holds a viewpoint that is not dissimilar to Taylor’s reading of the faint quality of memories and dreams: he contends that the use of these techniques in Schubert’s music ‘encourage[s] a new opacity of the musical surface, one that commands the attention in a different way’.<sup>79</sup> Yet differently from Taylor, Burnham’s focus is on what he considers (in line with Charles Rosen) to be a ‘materialist emphasis’ that underscores Schubert’s music—these compositional techniques in question draw us to ‘listen *to*’ the local effect and ‘movement of phenomena’ rendered by the material itself, rather than ‘listen *through* it’ into the underlying trajectory, that is, they prioritise immediacy over the bigger picture.<sup>80</sup> And for Burnham, it is this rapt, single-minded attention invited by the materiality that likens our musical experience to such introspective acts of dreaming or remembering: in both experiences, we concentrate single-mindedly on what is presented immediately to us, while our conscious awareness of the external world—that is, the ongoing temporal flow—is attenuated.

This materialist emphasis is exemplified in those soft *tremolos* that occupy the opening theme of the G Major Quartet (see Example 1.9, bars 15 ff.), in which ‘we are captured by the materiality of this sound’, says Burnham, ‘and it is not an accident that the *tremolo* plays such a central role throughout the entire quartet’.<sup>81</sup> Elsewhere he also writes that ‘this preternaturally

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<sup>78</sup> Burnham, ‘Schubert and the Sound of Memory’; and ‘Beethoven, Schubert and the Movement of Phenomena’, in *Schubert’s Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 35–51.

<sup>79</sup> Burnham, ‘Beethoven, Schubert and the Movement of Phenomena’, p. 41, emphases original. See also his similar discussion in ‘Schubert and the Sound of Memory’, pp. 662–3.

<sup>80</sup> *Ibid.*

<sup>81</sup> *Ibid.*

charged hum lends the whole passage a dreamlike clarity'.<sup>82</sup> Another salient example for the discussion of this materiality is the F Minor Impromptu (D. 935, no. 1, 1827). There, with the arrival of the authentic cadence in bar 66, the energetic, rocking motion of the previous music is distinctly separated from what comes next. At that moment, an arpeggio materialises in the high register of the right hand and soon descends to the middle register, therein weaving into a continuous, flux-like figuration (see Example 1.10), which, without any interruption, softly penetrates throughout the entire section that follows before merging seamlessly with the reprise of the opening theme in bar 155. Allusions to the mesmeric, dreamlike quality of this figuration can be found already in Robert Schumann's commentary dating back almost two centuries: 'the delicate, fantastic embroidery between the quiet melodic passages', Schumann wrote, 'might well lull us to sleep'.<sup>83</sup> Moreover, the fact that the arpeggios of this 'fantastic embroidery' are metrically displaced by a quaver beat and that they outline predominately inverted harmonies further contribute to a slightly out-of-joint temporality that readily promotes the characterisation of altered, dreamlike experience.<sup>84</sup> Thus Burnham remarks with reference to Schumann's comment, the music here 'lulls our ear away from the kind of attention we have been paying to the previous music'.<sup>85</sup>

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<sup>82</sup> Burnham, 'Schubert and the Sound of Memory', pp. 661. In a similar light, Burnham writes elsewhere that 'the tight iterations of the *tremolo* from the opening movement [...] register as a kind of psychic atmosphere' ('Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition', *19th-Century Music*, 29 (2005), pp. 31–41 (p. 37)).

<sup>83</sup> 'Im ersten Satz ist es der leichte phantastische Zierrath zwischen den melodischen Ruhestellen, was uns in Schlummer wiegen möchte'. Robert Schumann's review of Schubert's Impromptu, D. 935 in *Neue Zeitschrift für Musik* (14 December, 1838). English translation cited in John Daverio, "'One More Beautiful Memory of Schubert': Schumann's Critique of the Impromptu, D. 935", *The Musical Quarterly*, 84 (2000), pp. 604–18 (p. 606).

<sup>84</sup> See John Daverio, "'One More Beautiful Memory of Schubert': Schumann's Critique of the Impromptu, D. 935", *The Musical Quarterly*, 84 (2000), pp. 604–18.

<sup>85</sup> Burnham, 'Schubert and the Sound of Memory', p. 659.

Example 1.9: Schubert, G Major Quartet, i, bars 1–24.

Example 1.9: Schubert, G Major Quartet, i, bars 1–24. The score is in 3/4 time, G major, and consists of four staves. The first three staves (Violin I, Violin II, and Viola) show dynamic markings of *p*, *f*, *ff*, *p*, *p*–*f*, *ff*, and *p*. The fourth staff (Cello/Double Bass) shows dynamic markings of *f* and *ff*. The score includes various musical notations such as slurs, accents, and dynamic hairpins.

Example 1.10: Schubert, Impromptu, D. 935, no.1, bars 64–73.

Example 1.10: Schubert, Impromptu, D. 935, no.1, bars 64–73. The score is in 4/4 time, B-flat major, and consists of two staves. The first staff (Right Hand) shows dynamic markings of *p*, *sf*, and *decresc.*. The second staff (Left Hand) shows dynamic markings of *pp* and *appassionato*. The score includes various musical notations such as slurs, accents, and dynamic hairpins.

It is important to note that Burnham's reading of the 'movement of phenomena' emphasises the mesmeric effect rendered by the musical material, and unlike Taylor, he does not see the music as representing the subjectivities of dream or memory. As he says, it is 'the attention these passages invite [that] is similar to the attention invited by' these acts.<sup>86</sup> However, to go one step further, Burnham's viewpoint could be easily revisited through the lens of musical subjectivity. For example, the continuous, unchanging train of repetitions rendered softly by these gestures, rather than understood as a hypnotic material or object that lulls the listener to a single-minded listening experience, might be interpreted as resembling our single-minded mental activity or stream of consciousness *per se*. Indeed, the pioneer dream researcher Allan Rechtschaffen's famed definition of the 'single-mindedness' that he influentially argued to be fundamental to the dreaming mind can be aptly applied to the description of these musical techniques: 'single-mindedness [...] mean[s] the strong tendency for a single train of related thoughts and images to persist over extended periods without disruption or competition from other simultaneous thoughts and images'.<sup>87</sup> (This is not to claim that all types of repetitive figuration or *tremolo* texture might be interpreted in this way. In Schubert's songs, these techniques are often used along with other musical gestures to denote dreams—such as the Schubertian  $\flat$ VI in 'Nacht und Träume' and the major-minor contrast in 'Frühlingstraum'; more examples will be explored in the following section.)

This viewpoint, along with that offered by Taylor, thus provides two different models that could both be employed productively in the discussion of the continuous and repetitive figurations in Schubert's music as related to the subjectivity of dream and other introspective activities. The

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<sup>86</sup> *Ibid.*, p. 661.

<sup>87</sup> Allan Rechtschaffen, 'The Single-mindedness and Isolation of Dreams', *Sleep*, 1 (1978), pp. 97–109 (p. 97).

model proposed here (based on Burnham), in seeing these musical gestures as representing the ‘single-minded’ consciousness *per se*, would moreover be particularly suitable for this study’s emphasis on hearing music as presenting or being isomorphic to the subjective, conscious, and psychological states of some virtual protagonists.

### **Threshold: Between dreaming and waking**

My foregoing discussion has demonstrated a number of the familiar approaches Schubert deployed in his music to set up multiple aesthetic levels or states, which, with their evocation of contrasting aesthetic tropes and temporality, have been heard by many as resembling the two realms of dreams and reality or ordinary and altered states of consciousness. Before moving on to the dream-characterisation of the third category, here, I would like to shift our attention briefly to what lies between the dream and reality or dreaming and waking.

In his study ‘Thresholds Between, Worlds Apart’ (2014), Burnham sensibly points out that despite Schubert’s penchant for incorporating vastly different passages in his instrumental music, he ‘does not simply present these worlds in juxtaposition’:

Instead, he composes passages between these sections. Because these passages connect musics of such surpassing difference, I like to think of them not as transitions, but as *thresholds*. The crossing they enable feels more like an astonishing transformation than a willed process of development.<sup>88</sup>

The threshold passages that concern Burnham in this study are those that join the outer sections and contrasting middle in the Adagio of the C Major Quintet (sections that commentators such as

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<sup>88</sup> Burnham, ‘Thresholds Between, Worlds Apart’, p. 159, emphasis mine.

Wollenberg and Gingerich read as representing beautiful dreams and harsh reality, as we have discussed).<sup>89</sup> The first of these is the unison trill that materialises after the final cadence with which the opening section closes and leads to the nightmarish awakening of the middle section (see Example 1.11). According to Burnham, ‘the trill at the end of bar 28 is a powerfully direct way to propel us into the new state of mind. Schubert simply takes the tonic note, destabilises it by trilling it with its flat second, F, then treats it as a leading note and spins it up a semitone into F minor’.<sup>90</sup> For him, especially following the ‘sentimental, valedictory, emotionally discursive’ final cadence, the trill appears as though ‘one’s imagining of *that* threshold’: what lies on the two sides of the threshold concern a matter of life and (imagined) death.

**Example 1.11:** Schubert, C Major Quintet, ii, bars 27–30.

The musical score for Example 1.11 consists of five staves. The first staff is the treble clef, and the other four are bass clefs. The key signature is C major (one sharp). The time signature is 12/8. The score begins at bar 27. The first staff has a *pizz.* marking above bar 27 and an *arco.* marking above bar 28. A trill (*tr*) is indicated above the first staff in bar 28. Dynamic markings include *dim.* and *cresc.* with hairpins across all staves, and *ff* and *fz* markings. Triplet markings (*3*) are present in the second, third, and fifth staves in bars 29 and 30.

<sup>89</sup> See notes 15 and 16.

<sup>90</sup> Burnham, ‘Thresholds Between, Worlds Apart’, p. 159.

The second threshold discussed by Burnham is the retransition that begins at bar 58. There, with the commotion of the middle section having completely subsided, the music starts to pulse *pianississimo* in a slow harmonic rhythm (one harmony per bar), gradually moving to a long-held cadential ii–V  $\frac{6}{4}$ – $\frac{5}{3}$  (bars 62–3), which then resolves to the opening section’s reprise in bar 64 (see Example 1.12). There, ‘we are already on the other side’, writes Burnham.<sup>91</sup> The Adagio of the Quintet is by no means the only work where these threshold passages can be found. In Burnham’s 2000 article discussed above, for instance, he already mentioned—albeit merely in passing—how the arrival of those sections of altered state of consciousness in the F Minor Impromptu and the G Major Quartet is carefully prepared by passages that ‘serve to focus attention’.<sup>92</sup> In the latter, the entrance to the *tremolo* section is prepared by gestures comparable to the second threshold of the Quintet—a series of hushed fragments separated by rests lead to a long-held HC (here marked with *fermata* signs; see Example 1.9, bars 10–14)—while in the former, this is achieved by means of an exquisite, sinuous line, which smoothly links to the ‘fantastic embroidery’ (see Example 1.10, bars 66–8; note also the use of similar gestures in the Andantino of the A Major Sonata to usher in the famous ‘nightmarish’ middle section).

To sum up briefly, based on Burnham’s discussion, we may understand the threshold as music that connects passages or sections that suggest distinct aesthetic orders or levels. And in Schubert’s music, there are several musical gestures that are frequently featured in this music of the ‘in-between’, including, for instance, unison trill, decreased musical momentum (soft dynamic, sparse texture, slow harmonic rhythm, arresting *fermata*, and so on), single line in descending or ascending order (often unaccompanied or sparsely accompanied). Certainly, thresholds like these

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<sup>91</sup> Ibid., p. 162.

<sup>92</sup> Burnham, ‘Schubert and the Sound of Memory’, p. 660.

can be widely found in the Schubert repertoire and I shall not discuss every single one of them here (for more examples of the threshold gestures, see Chapters 3–5). For now, I would instead shift my focus to how the reading of these gestures as ‘threshold’ may be better supported.

**Example 1.12:** Schubert, C Major Quintet, ii, bars 57–64.

The musical score for Schubert's C Major Quintet, ii, bars 57–64, is presented in two systems. The first system covers bars 57 to 60, and the second system covers bars 61 to 64. The score is in 3/4 time and features five staves. The key signature is one flat (B-flat major). The dynamics are marked as follows: bars 57–60 are marked *dim.* and *ppp*; bars 61–64 are marked *ppp* and *pp*. The score includes various musical notations such as slurs, accents, and dynamic markings.

Importantly, as I have found, aside from the instrumental works, similar threshold passages are also used regularly in Schubert’s songs, serving especially to bridge between sections referring

to dreams and reality or different states of consciousness. This is exposed, for instance, in ‘Im Dorfe’, the seventeenth song of *Winterreise*. ‘Im Dorfe’ is set in a nocturnal scene in which villagers are dreaming in beds yet their watchdogs barking at the protagonist, who, still awake at this time, is wandering around, commenting cynically on how deceptive and meaningless dreams are, as is the case with his own dreams in ‘Frühlingstraum’ (see Figure 1.3).

**Figure 1.3:** Schubert, ‘Im Dorfe’ (no. 17 of *Winterreise*, D. 911), text with annotations.

	<b>Original Text</b>	<b>Translation</b>	<b>Theme</b>	<b>Key</b>
1	Es bellen die Hunde, es rasseln die Ketten. Es schlafen die Menschen in ihren Betten, Träumen sich manches, was sie nicht haben, Tun sich im Guten und Argen erlaben;	The dogs are barking, their chains are rattling; People are sleeping in their beds, Dreaming of many things they do not possess, Consoling themselves with the good and the bad;	<i>Reality</i>	D major
2	Und morgen früh ist Alles zerflossen – Je nun, sie haben ihr Teil genossen, Und hoffen, was sie noch übrig liessen, Doch wieder zu finden auf ihren Kissen.	And tomorrow morning all will have vanished. Well, they have enjoyed their share, And hope that what they have remaining Might still be found on their pillows.	<i>Introspection</i>	G major
3	Bellt mich nur fort, ihr wachen Hunde, Lasst mich nicht ruhn in der Schummerstunde! Ich bin zu Ende mit allen Träumen – Was will ich unter den Schläfern säumen?	Drive me away with your barking, watchful dogs; Allow me no rest in this hour of sleep! I am finished with all dreams. Why should I linger among slumberers? <sup>93</sup>	<i>Reality</i>	D major

<sup>93</sup> Both the original text and English translation are cited in Wigmore, ed., *Schubert: The Complete Song Texts*, p. 370.

The opening or ‘A’ section of the song is underlined by an intermittent sound produced by the repeated chords and oscillating semiquavers in the piano, which are heard by many as representing respectively the dogs’ barking and rattling chains in the quiet hours at night.<sup>94</sup> An apparent change in states of consciousness occurs from bar 18 onwards as the wanderer ruminates, somewhat enviously, on the villagers’ happiness and contentment granted by their dreams, even though these would not last until the next morning. There, as though the wanderer is absorbed into a reverie, the noise of the dogs gradually fades out and the rattling semiquavers soon dissolve and melt into the ‘B’ section, whose arrival is marked by a slip from D major into G major (bars 18–20; see Example 1.13).<sup>95</sup> In this section, the right hand of the piano fixates on the repeated Ds, which, rather like one’s single-minded focus in an altered state of consciousness (such as mulling or reverie), extends almost throughout the entire section before leading seamlessly to the reprise of the opening section, or ‘A’’, via another threshold (bars 26–9). The use of the threshold gesture can also be observed in ‘Frühlingstraum’. In this song, despite the abrupt shift from the beautiful dream to harsh reality we have discussed—an obvious response to the rude awakening—the transition back to the dream (that is, from section ‘C’ to ‘A’) is, in fact, more thoroughly prepared. Following the final cadence of the ‘C’ section, a series of bare A-octaves, played *diminuendo*, soon joins with an ascending arpeggio (bars 42–4), through which smoothly leading to a return of the dream section, in this way effectuating a gradual change in conscious activities from self-reflection in the ‘C’ section to dreaming or recollection of dreams in the ‘A’ section.

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<sup>94</sup> Youens, *Retracing a Winter’s Journey*, p. 255; Bretherton, ‘The Musico-Poetics of the Flat Submediant in Schubert’s Songs’, pp. 270–271.

<sup>95</sup> Bretherton notes a ‘dreamlike effect’ produced by this shift in tonality: ‘Note that the modulation into the dancing reverie of section B employs a common tone in the voice and the upper line of the piano, so that D is transformed from  $\hat{1}$  in D major (I) to  $\hat{5}$  in G major (IV rather than  $\flat$ VI), which illustrates that it is the presentation of the voice-leading during the modulation, rather than the actual destination of the modulation, that is most important for creating a dreamlike effect’ (‘The Musico-Poetics of the Flat Submediant in Schubert’s Songs’, p. 277).

Example 1.13: Schubert, 'Im Dorfe', bars 18–29.

18

(zer) - flos - sen Je nun, je nun, sie

*dim.* *p*

21

haben ihr Teil genossen, und hoffen, und hoffen, was sie noch üb - rig liessen, doch

24

wie - der zu fin - den, doch wie - der zu fin - den auf ih - ren Kis - sen.

27

*decresc.* *pp*

Outside the song cycle, Schubert's setting of Ludwig Rellstab's 'Kriegers Ahnung' provides another compelling example of the use of threshold gestures. Central to Rellstab's text is the contrast between a soldier's brutal reality on the battlefield and memories of the sweet dreams

he had by his lover's side (part of the text is provided in Figure 1.4 along with an English translation). In Schubert's setting, the song opens in the key of C minor with a solemn, persistent march beat that corresponds to the desolate battlefield. From bar 25 onwards, the marching beats gradually peter out and eventually arrive at an arresting HC with *fermata* marking (bar 28; see Example 1.14). In the next bar, the tonality is transported to the  $\flat$ VI ( $A\flat$  major) for recollection, upon which repetitive, triplet figurations materialise in the right hand of the piano accompaniment, which, just as in the middle section of 'Im Dorfe', penetrate the entire section before dissolving into another threshold (bars 51–2). On the other side of the threshold, the tonality shifts directly to  $F\sharp$  minor via the common-tone  $D\flat/C\sharp$  (bar 53), while the piano accompaniment there features triplet repetition of a different kind, one that is clearly more menacing and agitated in character—the soldier is back to reality.

**Figure 1.4:** Schubert, 'Kriegers Ahnung' (contained in *Schwanengesang*, D. 911), partial text with annotations.

	Original Text	Translation	Theme	Key
1	In tiefer Ruh liegt um mich her Der Waffenbrüder Kreis; Mir ist das Herz so bang und schwer, Von Sehnsucht mir so heiss.	In deep repose my comrades in arms lie in a circle around me; My heart is so anxious and heavy, So ardent with longing.	<i>Reality</i>	C minor
2	Wie hab' ich oft so süß geträumt An ihrem Busen warm! Wie freundlich schien des Herdes Glut, Lag sie in meinem Arm!	How often I have dreamt sweetly upon her warm breast! How cheerful the fireside glow seemed When she lay in my arms!	<i>Recollection/ Dream</i>	$A\flat$ major
3	Hier, wo der Flammen düstrer Schein ...	Here, where the sombre glimmer of the flames <sup>96</sup> ...	<i>Reality</i> ...	$F\sharp$ minor ...

<sup>96</sup> Both the original text and English translation are cited in Wigmore, ed., *Schubert: The Complete Song Texts*, p. 312.

Example 1.14: Schubert, 'Kriegers Ahnung', bars 35–54.

35 **Etwas schneller**

heiss. Wie hab' ich oft so süß ge-ruht an

*f* *decresc.* *p*

42 **a tempo**

ih - rem Bu - sen warm, an ih - rem Bu - sen warm! wie freundlich schien des

*dimin.*

47

Heer - des Gluth, lag sie in mei - nem Arm, lag sie in mei - nem

*dimin.*

51

Arm! Hier, wo der Flam - men

*pp*

The thresholds in Schubert's songs, like those in the instrumental works examined by Burnham, are comprised of compositional techniques that are similar both idiomatically and in terms of the smoothening or attention-focusing aesthetic effects they deliver. When interpreting his instrumental music, these threshold gestures—as I will do in my case studies—could be read as some pointers as to where the music shifts towards a different state or order of subjectivity. Identifying them could facilitate a richer reading of the subjectivity of the inward/outward or dreaming/waking states of human experience.

### **Category 3: Irrational dreams**

In a letter to Albert Stadler, Schubert's close friend Johann Michael Vogl wrote that Schubert's music comes 'into existence during a state of clairvoyance or somnambulism, without any conscious action on the part of the composer, but inevitably, by an act of providence and inspiration'.<sup>97</sup> Josef von Spaun, on the other hand, mentioned that Schubert's peculiar ways of composing have resulted in certain 'tedious and faulty passages'.<sup>98</sup> That Schubert is a natural genius who composed according to intuition and dreamlike imaginations rather than reason and calculation, yet his music not without faults, is a viewpoint that was widely promoted by the composer's friends and acquaintances after his death.<sup>99</sup> And as Suzannah Clark rightly points out, this mythologised image has had a remarkably long-lasting impact on the reception of Schubert and 'it continues to influence the way in which we analyse his music'.<sup>100</sup>

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<sup>97</sup> Johann Michael Vogl's letter to Albert Stadler as recounted by the latter. Cited in Otto Erich Deutsch, ed., *Schubert: Memoirs by His Friends*, trans. by Rosamond Ley and John Nowell (London: Adam and Charles Black, 1958), p. 146.

<sup>98</sup> Josef von Spaun's 1858 memoir. Cited in Deutsch, *Schubert: Memoirs by His Friends*, p. 140.

<sup>99</sup> Similar accounts can be widely found in the memoirs of Schubert's friends dated from 1857–8. An excellent summary of these accounts is provided in Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), pp. 11–23.

<sup>100</sup> Clark, *Analyzing Schubert*, p. 6.

Clark's remark is particularly accurate in describing the modern reception of Schubert's sonata forms. In his influential essay on the late piano sonatas of Schubert, Alfred Brendel notes that they 'do not unfold with graceful or grim logic' and that 'if we look in Schubert's sonatas for Beethoven's virtues, we shall find them full of flaws; they will seem formless, too long, too lyrical, and harmonically overspiced'.<sup>101</sup> He remarks famously: 'Beethoven composes like an architect, Schubert like a sleepwalker. [...] In Beethoven's music we never lose our bearings, we always know where we are; Schubert, on the other hand, *puts us into a dream*'.<sup>102</sup> Similar descriptions of Schubert's 'dreamlike' sonata forms can also be found in the latter studies of Pesic, Fisk, Black, and Kinderman.<sup>103</sup>

These descriptions constitute the dream-characterisation of my third category. Needless to say, modern-day scholarship shows a rather critical attitude towards mythmaking, and it is not the concern of these above-mentioned commentators whether Schubert actually composed in any dreamlike or somnambulist states. Instead, it is nowadays common to acknowledge that Schubert's illogical, dreamlike sonata forms are consciously and carefully designed as such. For instance, despite pointing out that Schubert's sonatas are dreamlike, Brendel alerts that this music is by no means 'primitive' or 'amateurish', and that 'Schubert's naïveté leaves room for a good deal of sophistication'.<sup>104</sup>

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<sup>101</sup> Alfred Brendel, 'Schubert's Piano Sonatas, 1822–1828' (1975), in *Musical Thoughts & Afterthoughts* (London: Robson Books, 1976), p. 62.

<sup>102</sup> Brendel, 'Form and Psychology in Beethoven's Piano Sonatas' (1971), in *Musical Thoughts & Afterthoughts*, p. 41, emphasis mine.

<sup>103</sup> Pesic, 'Schubert's Dream'; Fisk, *Returning Cycles*; Black, 'Remembering a Dream'; and William Kinderman, 'Franz Schubert's "New Style" and the Legacy of Beethoven', in *Rethinking Schubert*, ed. by Lorraine Byrne Bodley and Julian Horton (New York: Oxford University Press, 2016), pp. 45–66.

<sup>104</sup> Brendel, 'Schubert's Piano Sonatas, 1822–1828', p. 62.

In the current literature, there are at least two notable musical traits that are often said to be ‘irrational’. The first is the so-called ‘magical’ transitions of Schubert’s late sonata forms,<sup>105</sup> through which the music would be abruptly transported to some ‘remote’ (often third-related) tonal area in the second group, as is the case with the *Quartettssatz* (D. 703, 1820) and the first movements of the ‘Unfinished’ Symphony (D. 759, 1822) and the C Major Quintet. In these transitions, claims Black, ‘Schubert cultivates the *irrational* in his modulatory schemes. [...] the entrance of the subordinate key (and consequently its theme) often suggests an involuntary, *illogical* occurrence imbued with all of the mysterious intensity of a *dream*’.<sup>106</sup> The second is Schubert’s famed penchant for excursion into the hexatonic or octatonic cycles. These tonal excursions, in Taruskin’s opinion, represent ‘a digression within a digression’ and ‘could be excised from the analytical chart without disturbing the coherence’ of the overall form.<sup>107</sup> In a similar light, Pesic writes with regard to the sudden I →  $\sharp v$  (=bvi) shift in the second expositional ending of the first movement of the B $\flat$  Major Piano Sonata (D. 960, 1828): ‘Here is a moment that might look like Schubert “sleepwalking”, moving aimlessly from key to key’.<sup>108</sup> As we can see, there are apparent overlaps between the musical processes that constitute Categories 2 and 3: both concern certain chromatic third-relation shifts in the harmonic progression. Yet, while in Category 2 the hermeneutic emphasis is on the ‘altered’, ‘dreamlike’ aesthetic-temporal experience delivered by Schubert’s tonal shifts, it is their unorthodox—or, as described by commentators, ‘irrational’ or ‘illogical’—nature that is germane to the dreamlike quality in Category 3. Furthermore, differently from Category 2, the dream-characterisation of Category 3 refers to the

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<sup>105</sup> See Susan Wollenberg, ‘Schubert’s Transitions’, in *Schubert Studies*, ed. by Brian Newbould (Farnham: Ashgate, 1998), pp. 16–61.

<sup>106</sup> Black, ‘Remembering a Dream’, pp. 208 and 212, emphases mine.

<sup>107</sup> Taruskin, *The Oxford History of Western Music*, iii, pp. 95–6.

<sup>108</sup> Pesic, ‘Schubert’s Dream’, p. 140

form—specifically Schubert’s peculiar treatment of the sonata form—rather than specific passages or sections as dreamlike.

It is certainly not hard to imagine that this way of characterisation would have an appeal in particular to those who are interested in practising musical hermeneutics, in interpreting the aesthetic and cultural resonance of Schubert’s music, such as the cliché of somnambulism, aimless wandering, and the stereotypical image of Romanticism’s tendency towards the irrational.<sup>109</sup> This characterisation, however, is not uncontested. It is not just that most of those musical traits that are said to be ‘irrational’ and ‘illogical’ appear only as such from the viewpoint of functional harmony and could be easily ‘rationalised’ through the neo-Riemannian analytical model proposed by Cohn. But even if one acknowledges that there is indeed a certain logic behind Schubert’s formal processes, pointing this out runs the risk of disenchanting, or at least would seem irrelevant to, our phenomenological appreciation of such aesthetic effects as magic, dreamlike, or wandering. Just as Clark says, ‘a systematic analytical description is unlikely to bring to mind metaphors of aimlessness, enigma, magic, or even somnambulism’.<sup>110</sup> It is in relation to these interpretive issues that we might understand why Cohn alerted readers, in his foundational text on the application of neo-Riemannian theory to Schubert’s music, that his ‘method, to the extent that it furnishes satisfactory systematic contexts for these passages, problematises such attributions [as “aimlessness”, “arbitrariness”, and so on] and, *ipso facto*, the aesthetic or ethical judgements or *Zeitgeist* resonances to which they give rise’.<sup>111</sup>

This, at the same time, also explains Clark’s observation of ‘the reluctance of many Schubert scholars to embrace Cohn’s theory of hexatonic cycles—in contrast to scholars analysing

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<sup>109</sup> See, for instance, Pesic, ‘Schubert’s Dream’; Fisk, *Returning Cycles*; and Black, ‘Remembering a Dream’.

<sup>110</sup> Clark, *Analyzing Schubert*, pp. 154–5

<sup>111</sup> Cohn, ‘As Wonderful as Star Clusters’, p. 214.

other composers who have not been saddled with a reception history of intuition, clairvoyance, or somnambulism'.<sup>112</sup> A proponent of the reading of dreams and wandering in Schubert's music, Fisk, for instance, wrote in response to Cohn's article in the year following its publication: 'For some readers, his model may have the effect of making even the most extraordinary progressions in Schubert seem ordinary—or at least, in some respects, normative'.<sup>113</sup> And for this reason, he said: 'I shall continue to resort to the more familiar but still for me more illuminating perspective afforded by the diatonic binoculars'.<sup>114</sup> A similar view is held by Taruskin, who states that in Schubert's formal procedure 'it is the remoteness of the progression that appeals to the imagination [...] rather than its logic'.<sup>115</sup> He explains: 'The logic, while demonstrable, is beside the point. To insist on demonstrating it works against the intended effect'.<sup>116</sup> Indeed, it is not without reason that Black even in his more recent works published in 2009, 2016, and 2019 still scrutinises what he deems the 'dreamlike', 'magical' formal procedures of Schubert principally via the binoculars of diatonic harmony.<sup>117</sup> 'Cohn's focus on defining harmonic relations through semitonal displacement [...] eliminates the sensuous aspect of such progressions—their expressive effect—which depends upon expectations arising in the listener from the underlying implications of functional tonality', says Black.<sup>118</sup>

In current scholarship, therefore, there exists a sharp divide between theorists and hermeneuticists in discussions of Schubert's formal and modulatory processes, especially those

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<sup>112</sup> Clark, *Analyzing Schubert*, p. 155.

<sup>113</sup> Charles Fisk, 'Comment & Chronicle', *19th-Century Music*, 23 (2000), pp. 301–4 (p. 301).

<sup>114</sup> *Ibid.*, p. 304.

<sup>115</sup> Taruskin, *The Oxford History of Western Music*, iii, pp. 95–6.

<sup>116</sup> *Ibid.*, p. 89.

<sup>117</sup> See Black's 'The Functions of Harmonic Motives in Schubert's Sonata Forms', *Intégral*, 23 (2009), pp. 1–63; 'The Sensuous as a Constructive Force in Schubert's Late Works', in *Rethinking Schubert*, pp. 77–103; and 'Lyricism and the Dramatic Unity of Schubert's Instrumental Music: The Impromptu in C Minor, D. 899/1', in *Drama in the Music of Franz Schubert*, pp. 233–56.

<sup>118</sup> Black, 'The Sensuous as a Constructive Force in Schubert's Late Works', p. 80.

featured in late sonata-form works and movements. The former have painstakingly demonstrated that those irrational traits that have rendered Schubert's forms dreamlike are in fact carefully calculated, while the latter have equally painstakingly repudiated systematic analysis as irrelevant or, at worst, detrimental to our perception and aesthetic assessment of these traits. 'I remain unconvinced that closing one's mind to Schubert's technical devices is best for the ears', says Clark in concluding her critical evaluation of this branch of musical hermeneutics. She writes:

Take the audience of a magician by way of analogy. To be sure, one can delight in seeing a rabbit appear from a hat, and, after a certain age, we know that anyone who thinks it is actually 'magic' is deluded. The inquisitive amongst us will surely wonder how it is done. Do those who find out fail to appreciate the show? No. They begin instead to appreciate the mastery required to create the optical illusion. So with Schubert.<sup>119</sup>

I, too, believe that discerning the mechanism behind Schubert's 'magic', rather than disengaging our hermeneutic readings, could potentially open up new and more sophisticated avenues for us to assess and approach his music. And it is with this conviction that the next chapter is set.

Viewing Schubert's musical forms via Romanticism's stereotypical irrational image is, in fact, highly problematic not only because these forms are perfectly rational but also because what Romanticism really rejected was not so much reason *per se* as what it considered the uncritical approach to reason in the Enlightenment era—as many scholars and historians aver, Romanticism is fundamentally a project of 'enlightening the Enlightenment'.<sup>120</sup> This emphasis of Romanticism is revealed especially in the aesthetic of fantasy, central to which, as we shall discuss in more detail in the next chapter, is a critique of Enlightenment rationalism. And it is this aesthetic trend that is

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<sup>119</sup> Clark, *Analyzing Schubert*, pp. 201–2.

<sup>120</sup> See Richard Littlejohns, 'Early Romanticism', in *The Literature of German Romanticism*, ed. by Dennis F. Mahoney (Rochester, NY: Camden House, 2004), pp. 61–77 (p. 62).

the bedrock of the notorious ‘irrationalism’ pervading Romantic art and literature. As I shall show in the next chapter, the aesthetic of fantasy could also offer a fitting lens for re-evaluating Schubert’s ‘irrationality’, in a way that could help bridge the gap between music theory and hermeneutic in Schubert scholarship.

## Conclusion

In modern Schubert scholarship, the dream-characterisation is highly multi-faceted, and based on the context within which it is introduced, it could refer to different compositional devices and contain different meanings. Despite its complexity, as I have endeavoured to show in this chapter, the dream-characterisation can be elucidated more systematically through three categories.

The *first* category draws on the familiar Romantic duality that the dream possesses a quality of extraordinary beauteousness or represents something ‘too good to be true’, as opposed to a reality that is unpleasant and despondent. This dichotomy is said to be represented in Schubert’s music through a variety of musical and topical contrasts that could be understood as connoting the positive and negative respectively. The *second* category pertains primarily to the idea of describing music by means of human experience and consciousness. Central to this category is usually not the act of dreaming *per se* so much as inwardness and altered states of consciousness in general, which are said to be represented by some ‘altered’ temporality or aesthetic state manifested in the music through the devices of  $\flat$ VI interruption, second-practice harmony, continuous figurations, and so on. In crossing between the sections of beautiful dream and bleak reality, or ordinary and altered temporal-aesthetic levels, in addition, gestures such as *fermata*, unaccompanied lines and trills, and so on are often introduced as ‘thresholds’ to smoothen this transition. The *third* category reverberates to the mythologised image of Schubert as a dreamer-*cum*-composer whose music, like the dream, often bears traits of irrationalism and bizarreness. Differently from the first two

categories, the dream-characterisation of this category refers not so much to individual sections or passages within a piece as to its overall formal procedure (especially that in his late sonata forms). Besides, as we have just noted, this category raises a number of interpretive issues that require to be addressed more circumspectly to cultivate a more nuanced and sophisticated way of musical understanding.

The three categories examined account for the general trend of the dream-characterisation in Schubert scholarship. Through them, we could attain a more effective approach both to understanding the dream-characterisation of scholarship and to using this characterisation in the future.

## Chapter 2: Fantasy and Schubert's Sonata Forms

*Fantasy [La fantasía], abandoned by reason, produces impossible monsters; united with reason, she is the mother of the arts and the origin of marvels.*<sup>1</sup>

Francisco Goya, caption to 'El sueño de la razón produce monstruos'

('The Sleep of Reason Produces Monsters', 1799)

In section §28, 'On the Power of Imagination', from *Die Anthropologie in pragmatischer Hinsicht* (*Anthropology from a Pragmatic Point of View*, 1798),<sup>2</sup> Immanuel Kant famously differentiated between the productive type of human imagination and its reproductive counterpart—the former 'a faculty of the original presentation of the object (*exhibitio originaria*), which thus precedes experience', while the latter is 'a faculty of the derivative presentation of the object (*exhibitio derivativa*), which brings back to the mind an empirical intuition that it had previously'.<sup>3</sup> Regarding the productive imagination, Kant explained further, 'in so far as it also produces images

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<sup>1</sup> 'La fantasía abandonada de la razón produce monstruos imposibles: unida con ella es madre de las artes y origen de las maravillas'. Francisco Goya's caption to 'El sueño de la razón produce monstruos' (1799). Cited in F. J. Sánchez Cantón, *Los Caprichos de Goya y sus dibujos preparatorios* (Barcelona: Instituto Amattler de Arte Hispanico, 1949), p. 155, translation mine.

<sup>2</sup> It should be noted that Kant had been giving lectures on this topic for at least twenty-five years prior to the publication of this writing. See Manfred Kuehn, Introduction to Immanuel Kant, *Anthropology from a Pragmatic Point of View*, ed. and trans. by Robert B. Loudon (Cambridge: Cambridge University Press, 2013), pp. vii–viii.

<sup>3</sup> Kant, *Anthropology from a Pragmatic Point of View*, p. 60.

involuntarily, is called *fantasy*<sup>4</sup> [*Phantasie*]’ and ‘[t]he play of *fantasy* with the human being in sleep is called *dreaming*’.<sup>5</sup>

During the late eighteenth and the nineteenth centuries, this involuntary type of productive imagination had enthralled philosophers, poets, and artists alike, being regarded as a precious faculty that enables humankind to perceive a form of truth unrestricted by the limited scope of Enlightenment materialism and positivism. Accordingly, artistic and literary works dating from this period are swamped by fantastic traits that defy these values. As the Romantic writer Friedrich Schlegel averred, it is through negating ‘progress and laws of rationally thinking reason’ and plunging into ‘the beautiful confusion of fantasy [*die schöne Verwirrung der Phantasie*], into the original chaos of human nature’ that Romantic poetry is created.<sup>6</sup>

Schubert’s subscription to this fantasy aesthetic of Romanticism is unequivocally revealed in a diary entry of 29 March 1824:

O *fantasy* [*Phantasie*]! thou greatest treasure of man, thou inexhaustible wellspring from which artists as well as savants drink; O remain with us still, by however few thou art acknowledged and revered, to preserve us from that so-called Enlightenment, that hideous skeleton without flesh and blood’.<sup>7</sup>

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<sup>4</sup> Although the English word ‘fantasy’ might sometimes be used interchangeably with ‘fancy’, for the sake of clarity, I shall confine my use of ‘fantasy’ as the English translation of the German word ‘Phantasie’, given that the term ‘fancy’ might be easily mistaken for what Samuel Taylor Coleridge coined the ‘Fancy’, which he referred to as a type of reproductive imagination that ‘has no other counters to play with, but fixities and definites’. He said, ‘the Fancy [...] is indeed no other than a mode of Memory emancipated from the order of time and space’ and it ‘must receive all its materials ready made from the law of association’ (*Biographia Literaria* (Auckland: The Floating Press, 2009), p. 268).

<sup>5</sup> Kant, *Anthropology from a Pragmatic Point of View*, pp. 60 and 68.

<sup>6</sup> Friedrich Schlegel, *Kritische Schriften und Fragmente, Studienausgabe*, ed. by Ernst Behler and Hans Eichner, 6 vols. (Paderborn, Munich, Vienna, and Zürich: Schöningh, 1988), p. 204. English translation cited in Andrew Bowie, *Aesthetics and Subjectivity: From Kant to Nietzsche* (Manchester and New York: Manchester University Press, 2003), p. 65.

<sup>7</sup> From Schubert’s lost notebook of 29 March 1824. Cited in Otto Erich Deutsch, ed., *Schubert: A Documentary Biography*, trans. by Eric Blom (London: J. M. Dent, 1946), p. 337; translation slightly modified.

His late sonatas in particular were even regularly viewed by his contemporaries as veiled fantasias.<sup>8</sup> In the previous chapter, we have seen that Schubert's sonata forms feature certain 'irrational' and 'illogical' formal processes that were taken as proof of the composer's incapability of handling large-scale form in this music's early reception and, more recently, have been re-scrutinised more positively through the notion of dreams and dreamlike (constituting what I called the third category of the dream-characterisation). This newer model of characterisation nonetheless begets some crucial interpretive problems insofar as it still ascribes to the music such notions as 'irrational' and 'illogical', notwithstanding modern theorists' success in rationalising this music. Addressing these issues, this chapter demonstrates how the Romantic aesthetic of fantasy may provide a background against which Schubert's controversial 'dreamlike' forms can be more suitably evaluated, and importantly, in ways that could reconcile the conflicting perspectives of music theory and hermeneutics in scholarship. To attain a clearer understanding of the fantasy aesthetic in Romanticism, it is helpful to start by discussing the aesthetic and philosophical developments associated with it and, in particular, the way in which they intersect with contemporary views on music.

### **Paradigm shift: Fantasy at the turn of the nineteenth century**

During the Enlightenment period—the so-called Age of Reason—properties such as orderliness, coherence, and the like were regarded as vital to the production of meritorious artworks.<sup>9</sup> According to the Enlightenment thinker James Beattie, for example, an artist should ensure that the organisation of his (or her) work is as rigorous as the mechanical laws of association:

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<sup>8</sup> See notes 53 and 55.

<sup>9</sup> This is discussed in detail in M. H. Abrams, *The Mirror and the Lamp: Romantic Theory and the Critical Tradition* (New York: W.W. Norton, 1958), chapters 7–8.

It would be no less absurd, for a poet to violate the essential rules of his arts, and justify himself by an appeal from the tribunal of Aristotle, than for a mechanic to construct an engine on principles inconsistent with the laws of motion, and excuse himself by disclaiming the authority of Sir Isaac Newton.<sup>10</sup>

Given this emphasis, it is not surprising to find that artistic and literary works of a fantastic quality were often depreciated. A philosopher closely associated with the Enlightenment, Kant, duly warned that the fantasy is dangerous: ‘We play with the imagination frequently and gladly, but imagination (as fantasy) plays just as frequently with us, and sometimes very inconveniently’.<sup>11</sup> He then took a disapproving attitude and claimed that works produced through the productive imagination ‘are called fantastic, unnatural, distorted forms’, and these ‘chimeras are created like the dreams of a sick person’.<sup>12</sup>

This aesthetic view is reflected also in the contemporary views on music. Gotthold Ephraim Lessing, a representative figure of the Enlightenment era, for instance, considered ‘reason’, ‘coherence’ to be important criteria for evaluating the artistic worth of a musical work:

He who wishes to speak to our ears and to awaken sympathetic stirrings in them, must just as well observe coherence, as one who thinks to entertain and instruct our reason. Without coherence, without the innermost connection of each and every part, the best music is a flimsy sandheap, which is capable of making no lasting impression; only a proper connection makes it into firm marble on which the hand of the artist can immortalise itself.<sup>13</sup>

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<sup>10</sup> James Beattie, *Essays on Poetry and Music* (1776). Cited in Abrams, *The Mirror and the Lamp*, p. 159.

<sup>11</sup> Kant, *Anthropology from a Pragmatic Point of View*, p. 69.

<sup>12</sup> The line ‘chimeras are created like the dreams of a sick person’ was later on crossed out (though, cannot be determined by whom) in the manuscript. Kant, *Anthropology from a Pragmatic Point of View*, p. 68 (note 77).

<sup>13</sup> Gotthold Ephraim Lessing, *Hamburgische Dramaturgie*, 2 vols. (Hamburg: s.n., 1769), i, p. 214. English translation cited in Annette Richards, *The Free Fantasia and the Musical Picturesque* (Cambridge: Cambridge University Press, 2001), p. 38.

Centred on compositional conventions and rigorous harmonic and formal procedure, the sonata has thus become the exemplary musical genre during this period. Referring to the above passage of Lessing, the late eighteenth-century music theorist Johann Nikolaus Forkel for instance asserted that music should always be governed by a coherent structure, for ‘without order and a suitable sequence [...] no real artistic expression is possible’.<sup>14</sup> And importantly, he singled out the genre of the sonata and described it as a ‘musical Ode’ expressed in ‘suitable sequence and order’.<sup>15</sup>

In distinction to the sonata, the fantasia (or fantasy)—traditionally a type of improvisatory music—was considered a highly spontaneous genre unbounded by compositional conventions and which does not gesture towards any logical connection and coherent organisation. The contemporary theorist Heinrich Christoph Koch noted that

In music the word Fantasy means an extempore piece which is bound neither by a particular tempo nor by a particular metre in its sections; neither by a regular ordering [of its ideas], nor by a considered realisation; neither by a particular form, nor a strictly maintained character. Rather it is one in which the composer arranges the images of his imagination without an evident plan, or with a certain level of freedom, and thus sometimes in connected, at other times in quite loosely ordered phrases, and sometimes with particular broken chords.<sup>16</sup>

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<sup>14</sup> Johann Nikolaus Forkel, ‘Ueber eine Sonate aus Carl Philipp Emanuel Bachs dritter Sonaten-sammlung für Kenner und Liebhaber, in F moll, S. 30. Ein Sendschreiben an Hrn. von \*\*\*’ (1784). English translation cited in Richards, *The Free Fantasia and the Musical Picturesque*, p. 36.

<sup>15</sup> Ibid. English translation cited in Richards, *The Free Fantasia and the Musical Picturesque*, pp. 37–8.

<sup>16</sup> Heinrich Christoph Koch, *Kurzgefaßtes Handwörterbuch der Musik* (1807). English translation cited in Timothy Jones, *Beethoven: The Moonlight and Other Sonatas, Op. 27 and Op. 31* (Cambridge: Cambridge University Press, 1999), p. 57. A similar view is expressed by the earlier theorist, Johann Mattheson, who considered the fantasia ‘the most free and unconstrained manner of composing, singing and playing, that one could even imagine. Here can be engendered all kinds of otherwise unaccustomed passages, obscure ornaments, and ingenious turns and embellishments, without any real observation of meter and tonality, [...] without proper primary and secondary ideas, without introducing theme and subject [...] These are the essential features of the fantasy’ (*Der vollkommene Capellmeister* (1739). English translation cited in Bellamy Hosler, *Changing Aesthetic Views of Instrumental Music in 18th-Century Germany* (Michigan: UMI Research Press, 1981), p. 27).

From the standpoint of Enlightenment critics, if the sonata represents the type of thinking governed by reason, the fantasia would readily be related to the unruly, and perhaps less sophisticated, imagination of fantasy. (Indeed, in the most literal sense, the musical generic label ‘fantasia’ is no other than a derivative of the Greek term ‘phantasia’, which is referred to ‘imagination’ or ‘product of imagination’.<sup>17</sup>) As Peter Schleuning explains, therefore, in the second half of the eighteenth century the fantasia and the sonata were considered to be ‘diametrically opposed as embodiments of complete freedom and strict adherence to the norm respectively’.<sup>18</sup> Su Yin Mak also points out that the two ‘had distinct generic meanings’, noting that ‘whereas the sonata was a learned genre premised on rigorous harmonic argument, logical thematic connection and normative formal expectations, the fantasy favoured spontaneity over premeditation, strangeness over unity and singularity over convention’.<sup>19</sup>

This dichotomy is clearly expressed by Forkel, who, after having compared the sonata to the ode, implied that the fantasia is merely some failed sonata:

without the guide of art, that is, without a suitable sequence and order of emotions. It would lead the composer, like the poet, off the track, [...] it would connect emotions which bear too little relation to each other, and it would generally perhaps produce beautiful musical fantasias or poetic rhapsodies, but no sonatas or odes.<sup>20</sup>

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<sup>17</sup> Christopher D. S. Field, E. Eugene Helm and William Drabkin, ‘Fantasia’, in *Grove Music Online* (2001) <<https://www-oxfordmusiconline-com.ezproxy.is.ed.ac.uk/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000040048>> [accessed 14 October 2020].

<sup>18</sup> Peter Schleuning, *The Fantasia II: 18th to 20th Centuries*, trans. by Crawford Howie (Cologne: A. Volk Verlag, 1971), p. 15.

<sup>19</sup> Su Yin Mak, ‘Formal Ambiguity and Generic Reinterpretation in the Late Instrumental Music’, in *Schubert’s Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 282–306 (p. 284).

<sup>20</sup> Forkel, ‘Ueber eine Sonate aus Carl Philipp Emanuel Bachs dritter Sonaten-sammlung für Kenner und Liebhaber’. English translation cited in Richards, *The Free Fantasia and the Musical Picturesque*, pp. 37–8.

In fact, in the eighteenth century, while the sonata often acted as a standalone musical work, the fantasia served primarily a subservient role to works or portions of the works that were considered the ‘main’ part, as Schleuning writes, ‘it was not yet recognised as providing a viable basis for a complete work’.<sup>21</sup> Considering the general view and attitude towards the fantasia in the eighteenth century, it is, therefore, understandable why C. P. E. Bach was once indifferent about publishing his fantasias, doubting ‘how many are there who love, understand, and play that sort of thing well?’<sup>22</sup>

However, catalysed, to a substantial extent, by Kant’s transcendental idealism and Fichte’s radicalisation of it in particular, at the turn of the nineteenth century the imaginative faculty of fantasy came to be re-evaluated in a more positive light and art that possesses a fantastic quality much more highly valued. In Kant’s transcendental idealism, space and time were understood as the faculties through which we perceive the world rather than objective entities, and all the things that we intuit via space and time are mere ‘appearances’ but not their absolute truth (*‘Dinge an sich’* or ‘the things in themselves’ in Kantian terminology).<sup>23</sup> Kant’s theories thus divided the world into the noumenal world and the phenomenal world—the former represents the infinite, ‘real’ world to which we, unfortunately, have no access while the latter a finite world conditioned by our cognition. In the wake of Kant’s philosophy, to attain the Absolute and reconciliation between the noumenal and the phenomenal has become the central tenet in the late eighteenth and early nineteenth centuries. In his *Wissenschaftslehre (Foundations of the Science of Knowledge, 1794)*, Johann Gottlieb Fichte adopted a more radical rereading of Kant and, in suggesting everything

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<sup>21</sup> Schleuning, *The Fantasia II*, 7.

<sup>22</sup> C. P. E. Bach’s letter to Forkel (10 February 1775). English translation cited in *The Letters of C. P. E. Bach*, ed. and trans. by Stephen L. Clark (Oxford: Clarendon Press, 1977), p. 77.

<sup>23</sup> See Immanuel Kant, *Critique of Pure Reason*, ed. and trans. by Norman Kemp Smith (Basingstoke and New York: Palgrave Macmillan, 2007), p. 345.

outside of the self (the ‘non-I’) as the subjective creation of the ‘absolute I’, fundamentally collapsed the Kantian dualism.<sup>24</sup> This post-Kantian philosophical view of Fichte, espoused only partially by the Romantics, nonetheless had an impact on the way in which they saw the imaginative faculty of fantasy.

Contrary to Fichte and other Idealists for whom the Absolute is grounded in the self or ‘absolute I’, the Romantics, as Andrew Bowie explains, followed Kant in acknowledging ‘the ultimate philosophical inaccessibility of the Absolute’, while eagerly emphasising that it is the mind’s natural propensity to drive towards the unattainable Absolute and ‘will not give up the endless attempt to grasp the infinite via the sensuous’.<sup>25</sup> Thus, the Romantic writer Novalis (pseudonym of Georg Friedrich von Hardenberg) stated in a 1798 fragment: ‘Everywhere we seek the Absolute [das Unbedingte], and always we find only things [Dinge]’.<sup>26</sup> Sceptical over the possibility of ever attaining a philosophical system premised on an incontrovertible first principle, also, Friedrich Schlegel contended that ‘there are no first principles that are universally suitable companions and guides to truth’.<sup>27</sup> For the Romantics, clearly, the prime task of philosophy is not so much the securing of a first principle, but rather the infinite longing for the Absolute.

Yet, at the same time, Fichte’s *Wissenschaftslehre* indicated for the Romantics the boundless potential of one’s creative imagination: if the world is generated and projected by the self, it would not be a great step to postulate that the mind might even be capable of transcending

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<sup>24</sup> For a perceptive discussion of Fichte’s philosophy, see Bowie, *Aesthetics and Subjectivity*, pp. 70–82.

<sup>25</sup> Bowie, *Aesthetics and Subjectivity*, p. 52.

<sup>26</sup> Novalis, *Schriften: Die Werke Friedrich von Hardenbergs*, ed. by Paul Kluckhohn and Richard Samuel, 4 vols. (Stuttgart: Kohlhammer, 1960–77), ii, p. 413.

<sup>27</sup> Schlegel, *Kritische Friedrich-Schlegel-Ausgabe*, ed. by Ernst Behler et al., 35 vols. (Munich: Schöningh, 1958–2002), xviii, p. 518. English translation cited in Allen Speight, ‘Friedrich Schlegel’, in *The Stanford Encyclopedia of Philosophy* (2021), ed. by Edward N. Zalta <<https://plato.stanford.edu/archives/spr2021/entries/schlegel/>> [accessed 28 December 2021].

finite, physical reality.<sup>28</sup> Following Fichte, at the turn of the nineteenth century, the inordinate imaginative and creative power of the human mind was enthusiastically endorsed, while the previously depreciated fantasy became regarded as the imaginative faculty that can compensate for the bounded worldview implemented by the Enlightenment. It is under this philosophical backdrop that we can understand Schubert's diary entry quoted above as well as his oft-cited letter to his brother Ferdinand of the same year:

Do not think that I am not well or cheerful, just the contrary. True, it is no longer that happy time during which every object seems to us to be surrounded by a youthful gloriole, but a period of fateful recognition of a miserable reality, which I endeavour to beautify as far as possible by my fantasy [Phantasie] (thank God).<sup>29</sup>

The Romantics' fascination with fantasy's power of approximating the Absolute is exposed especially clearly in their aesthetic writings on music. Due to its non-imitative, non-verbal way of articulation, music was considered by Kant to be the class of art that plays only with sensations and is inferior to the arts of speech and visual arts.<sup>30</sup> The Romantics, on the other hand, saw music—especially instrumental music—as a form of art that is furthest removed from the phenomenal world,<sup>31</sup> and thus, capable of revealing the infinite in the most direct manner. E. T. A. Hoffmann, for example, wrote that through music's 'purple shimmer of Romanticism [...] our

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<sup>28</sup> See also Richard Littlejohns, 'Early Romanticism', in *The Literature of German Romanticism*, ed. by Dennis F. Mahoney (Rochester, NY: Camden House, 2004), pp. 61–77 (pp. 65–6); Introduction to E. T. A. Hoffmann, *Tales of E. T. A. Hoffmann*, ed. and trans. by Leonard J. Kent and Elizabeth C. Knight (Chicago, IL; London: The University of Chicago Press, 1969), p. xi.

<sup>29</sup> Schubert's letter to his brother (1824). Cited in Deutsch, *Schubert: A Documentary Biography*, p. 363, translation slightly modified.

<sup>30</sup> See Immanuel Kant, *Critique of Judgement*, trans. by James Creed Meredith (Oxford: Oxford University Press, 1952), pp. 188–190.

<sup>31</sup> Novalis, for example, proclaims that 'not the slightest suspicion of imitation can befall' a musician; similarly, August Wilhelm Schlegel claimed that music 'purifies the passions [...] from the material filth [...] without any reference of objects' and for this reason, 'one must accord music the advantage of being ideal in its essence'. Both cited in Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton, NJ and Oxford: Princeton University Press, 2006), p. 21.

mundane sensations take us out of the everyday into the realm of the infinite'.<sup>32</sup> Arthur Schopenhauer even overturned the Kantian art hierarchy and ranked in his aesthetic system instrumental music on top of all other art, declaring it to be 'an unmediated objectification and copy of the entire Will' (his term for the noumenal world).<sup>33</sup>

For the Romantics, fantasy was one of the most suitable human faculties for perceiving the unconditional meanings conveyed through music. In an 1802 essay, Franz Horn wrote with regard to Mozart's music that the 'infinite is made manifest for the *fantasy* [*Phantasie*] of the beholder'.<sup>34</sup> Wilhelm Heinrich Wackenroder, likewise, maintained that the abstract expressions of music can be magically transformed into vivid images and emotions through one's fantasy:

through the overwhelming magic of its [i.e., music's] sensual force, it arouses all the wonderful, teeming hosts of the *fantasy* [*Phantasie*], which populate the music strains with magical images and transform the formless excitation into distinct shapes of human emotions, which draw past our senses like elusive pictures in a magical deception.<sup>35</sup>

Schopenhauer, too, explained that fantasy is the perceptive faculty through which the infinite expressions of music—the art that is the direct copy of 'the Will'—could be grasped by means of analogous examples of the representational world:

[Music] never expresses appearance but only the inner essence, the in-itself of all appearance, the will itself [...] This is why our *fantasy* [*Phantasie*] is so easily excited by them and tries to take

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<sup>32</sup> E. T. A. Hoffmann, *E. T. A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*, ed. by David Charlton, trans. by Martyn Clarke (Cambridge: Cambridge University Press, 1989), pp. 96–97.

<sup>33</sup> Arthur Schopenhauer, *The World as Will and Representation*, ed. and trans. by Judith Norman, Alistair Welchman and Christopher Janaway (Cambridge: Cambridge University Press, 2010), p. 285.

<sup>34</sup> Franz Horn, 'Musikalische Fragmente', in *Allgemeine musikalische Zeitung*, 4 (1802), p. 422. Translation cited in Bonds, *Music as Thought*, p. 26; emphasis mine.

<sup>35</sup> Wilhelm Heinrich Wackenroder, *Confessions and Fantasies*, ed. and trans. by Mary Hurst Schubert (University Park: Pennsylvania State University Press, 1971), p. 192.

that invisible and yet so vividly aroused spiritual world, a world that speaks to us directly, and to form it, to clothe it in flesh and bone and thus embody it in an analogous example.<sup>36</sup>

Romantic thinkers' endorsement of fantasy also substantially changed the ways in which the concept of dreams—understood at this time as a type of fantasy<sup>37</sup>—was perceived and philosophised. Whereas Kant specifically warned that 'one must not take the stories we dream to be revelations from an invisible world',<sup>38</sup> the Romantics, on the other hand, ardently anointed dreaming as a means to communing with the infinite, noumenal realm. This difference between the two generations is captured neatly in Novalis's *Heinrich von Ofterdingen* (*Henry of Ofterdingen*, 1802) in a conversation between the protagonist Heinrich and his father in the opening chapter. Heinrich's father—emblematic of the older worldview of the Enlightenment—tells him: 'Dreams are froth, may the learned gentlemen think of what they will of them, and you will do well if you turn your mind away from such useless and harmful considerations'.<sup>39</sup> In response, the romantically minded Heinrich says:

But, dear father, on what grounds are you so opposed to dreams, whose strange transformations and light, delicate nature must surely stimulate our thinking? [...] To me, dreams seem to be a defence against the regularity and ordinariness of life, a free recovery of the changed fantasy, where they mingle all the images of life, and interrupt the constant seriousness of the adult with a cheerful child's play.<sup>40</sup>

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<sup>36</sup> Schopenhauer, *The World as Will and Representation*, p. 289, emphasis mine.

<sup>37</sup> See the quotations of Kant in the opening paragraph of this chapter.

<sup>38</sup> Kant, *Anthropology from a Pragmatic Point of View*, p. 69.

<sup>39</sup> 'Träume sind Schäume, mögen auch die hochgelahrten Herren davon denken, was sie wollen, und du thust wohl, wenn du dein Gemüth von dergleichen unnützen und schädlichen Betrachtungen abwendest'. Novalis, *Schriften*, i, p. 198.

<sup>40</sup> 'Aber, lieber Vater, aus welchem Grunde seydt Ihr so den Träumen entgegen, deren seltsame Verwandlungen und leichte zarte Natur doch unser Nachdenken gewißlich rege machen müssen? [...] Mich dünkt der Traum eine Schutzwehr gegen die Regelmäßigkeit und Gewöhnlichkeit des Lebens, eine freye Erholung der gebundenen Fantasie, wo sie alle Bilder des Lebens durcheinanderwirft, und die beständige Ernsthaftigkeit des erwachsenen Menschen durch ein fröhliches Kinderspiel unterbricht'. *Ibid.*, pp. 198–9.

In Novalis's *Hymnen an die Nacht* (*Hymns to the Night*, 1800)—a cycle from which one of the poems was set by Schubert as 'Nachthymne' ('Night Hymn', D. 687, 1820)—too, the poet wrote fervently in an unmistakable allusion to the dream: 'it is thou, opening the doors to Heaven, that steppes to meet them out of ancient stories, bearing the key to the dwellings of the blessed, silent messenger of secrets infinite'.<sup>41</sup> This association between the dream and the infinite is also central to the philosophy of Gotthilf Heinrich Schubert. Built upon Friedrich Wilhelm Joseph Schelling's *Naturphilosophie*, in his influential *Ansichten von der Nachtseite der Naturwissenschaft* (*Views of the Dark Side of Natural Science*, 1808) G. H. Schubert argued that such experiences as dreams, visions, and somnambulism are 'moments when human nature lifts anchor in search of a fairer home' and serve to restore the finite existence of humankind temporarily to an absolute state where its ontological connection with nature is re-established.<sup>42</sup>

As a direct outcome of this paradigm shift in the attitude towards fantasy, the Romantics also went against Kant's advice in openly embracing fantasy and dreams as a source of artistic inspiration. Regarding the creative process of art, E. T. A. Hoffmann declaimed: 'Is not every receiving of a work of art unconsciously created like a glorious dream of the inner mind?'<sup>43</sup> In the introduction to her well-known novel *Frankenstein*, Mary Shelley described this work as 'a transcript of the grim terrors of [her] waking dream';<sup>44</sup> likewise, Samuel Taylor Coleridge alleged that *Kubla Khan: Or, A Vision in a Dream. A Fragment* was a resultant of his—narcotic-induced—

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<sup>41</sup> Novalis, *Hymns to the Night and Spiritual Songs*, trans. by George MacDonald (London: Temple Lodge, 1992), p. 11.

<sup>42</sup> Gotthilf Heinrich Schubert, *Ansichten von der Nachtseite der Naturwissenschaften* (Dresden: Arnold, 1808), p. 360. English translated cited in Ritchie Robertson, 'Schopenhauer, Heine, Freud: Dreams and Dream-Theories in Nineteenth-Century Germany', *Psychoanalysis and History*, 3 (2001), 28–38 (p. 38).

<sup>43</sup> 'Ist nicht jedes Empfangen eines Kunstwerks wie ein herrlicher Traum von dem innern Geiste bewusstlos geschaffen?' E. T. A. Hoffmann, *Dichtungen und Schriften: sowie Briefe und Tagebücher*, ed. by Walter Harich (Weimar: E. Lichtenstein, 1924), p. 349.

<sup>44</sup> Mary Shelley, *Frankenstein, or the Modern Prometheus*, ed. by Michael Kennedy Joseph (London: Oxford University Press, 1969), p. 9.

dreaming, writing that: ‘The Author continued for about three hours in a profound sleep, at least of the external senses, during which time he has the most vivid confidence, that he could not have composed less than from two to three hundred lines’.<sup>45</sup>

Accordingly, the previously second-rate fantastic art or artworks that bear fantastic qualities became one of the most emblematic artforms at the turn of the nineteenth century. In music, the standalone, composed fantasia became much more popular in the last decades of the eighteenth century.<sup>46</sup> The early nineteenth century even saw the rise of a new type of fantasia or the ‘salon fantasy’.<sup>47</sup> Works of this type include, for example, Beethoven’s Fantasia in G minor (Op. 77, 1809) and Schubert’s ‘Wanderer’ Fantasy (D. 760, 1822), Fantasia in C major (D. 934, 1827), and Fantasia in F minor (D. 940, 1828).

Furthermore, even more remarkable is that, as Annette Richards notes perceptively, in this period, ‘fantasia’ was no longer only a musical genre, but also a type of ‘musical aesthetic that enters into, destabilises and complexifies other genres of instrumental music’, including genres that were traditionally regarded to be sophisticated and learned.<sup>48</sup> Of course, the musical aesthetic of the fantasia was perceptible already in such ‘learned’ genres as the sonata, string quartet, and symphony earlier in the eighteenth century; though, it should be noted that it is only by the late eighteenth and early nineteenth centuries that it started to acquire a more central status in musical composition.<sup>49</sup> Having recognised the dominant role the aesthetic of fantasia plays in the music of

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<sup>45</sup> Samuel Taylor Coleridge, *Poetical Works*, ed. by Ernest Hartley Coleridge (London: Oxford University Press, 1967), p. 295.

<sup>46</sup> For discussions on the rising status of the standalone fantasia, see Schleuning, *The Fantasia II*, pp. 5–14.

<sup>47</sup> Jones, *Beethoven*, p. 61.

<sup>48</sup> Richards, *The Free Fantasia and the Musical Picturesque*, p. 18.

<sup>49</sup> See John Daverio, *Nineteenth-Century Music and the German Romantic Ideology* (New York: Schirmer Books, 1993), p. 6.

his time compared to that of the previous age, the critic Ernst Ludwig Gerber, for instance, wrote in a letter of 1817:

Finally, it appears to me as if the fantasia, like a despot, has seized absolute power over music. Music without fantasy is inconceivable, of course [...]. At present, however, one can no longer perceive either any definite musical forms or any limits to the influence of the fantasia. Everything goes in all directions but to no fixed destination; the madder, the better! The wilder and stranger, all the more novel and effective; this is an endless straining after distant keys and modulations, enharmonic deviations, ear-splitting dissonances and chromatic progressions, and incessant process and without respite for the listener. In such a way we hear and play nothing but fantasias. *Our sonatas are fantasias, our overtures are fantasias and even our symphonies, at least those of Beethoven and his like, are fantasias.*<sup>50</sup>

In his 1835 review of Hector Berlioz's *Symphonie fantastique* (*Fantastical Symphony*, 1830), Robert Schumann even openly acknowledged the compositional practice of commingling between the fantasia and sonata:

We are used to making initial inferences about a thing from the name that it bears. We have one set of expectations of a 'fantasia', another of a 'sonata'. We are satisfied if a second-rate talent shows that he has mastered the traditional range of forms, whereas with a first-rate talent we allow that he expand that range. Only a genius may reign freely.<sup>51</sup>

According to Jones, 'the dialectic between the expressive immediacy of fantasy style and the structural coherence of sonata style reached an unprecedented level of synthesis in Beethoven's

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<sup>50</sup> Ernst Ludwig Gerber's letter to Christian Heinrich Rinck (1817). English translation cited in Schleuning, *The Fantasia II*, p. 15, emphases mine.

<sup>51</sup> Robert Schumann's 1835 review of Hector Berlioz's *Symphonie fantastique*. Translated and reprinted in Ian Bent, *Music Analysis in the Nineteenth Century*, 2 vols. (Cambridge: Cambridge University Press, 1994), ii, pp. 166–94; translation slightly modified.

early music'.<sup>52</sup> Beethoven's invention of the *sonata quasi una fantasia* between 1800 and 1801 is undoubtedly one of the most prominent representatives of this hybridised aesthetic. Although without explicitly suggestive titles, Schubert's sonatas composed in his late period were often said by his contemporaries to have blurred the generic boundary between the sonata and the fantasia. In a review of 1826, for instance, the critic G. W. Fink wrote with regard to Schubert's Piano Sonata in A minor (D. 845, 1825):

Many musical pieces nowadays bear the name of fantasia, though fantasia has had very little share in them, if any at all, and they are so called only because the title sounds well and because the child of the composer's fantasy, running off on every side like wild waters, refuses to fit into any regular form. Here, on the contrary, a composition for once bears the name of sonata, though it was fantasia, quite evidently, which had the largest and most decisive share in it. Indeed it seems to bear it only because it falls into the same movements and generally keeps to the same outward pattern as a sonata; apart from that, in the matter of expression and technique, although it preserves a praiseworthy unity, it moves so freely and originally within its confines, and sometimes so boldly and curiously, that it might not unjustly have been called a fantasia. In that respect it can probably be compared only with the greatest and freest of Beethoven's sonatas.<sup>53</sup>

The four movements contained in Schubert's Piano Sonata in G major (D. 894, 1826), on the other hand, were simply entitled by Schubert's publisher Tobias Haslinger as 'Fantasie, Andante,

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<sup>52</sup> Jones, *Beethoven*, p. 61.

<sup>53</sup> Gottfried Wilhelm Fink's 1826 review of Schubert's A Minor Piano Sonata (D. 845). English translation cited in Deutsch, *Schubert: Memoirs by His Friends*, p. 512.

Meneutto und Allegretto für das Pianoforte allein' for publication,<sup>54</sup> regardless of the composer's original title 'IV. Sonate fürs Pianoforte allein' in the autograph.<sup>55</sup>

Accompanying the philosophical development fostered by such figures as Kant and Fichte, the Romantics endorsed fantasy as a vital means to transcending the one-sided worldview of the Enlightenment, and this in the meantime also gave rise to a surge in the production of artistic and literary works that feature a fantastic quality. Schubert's subscription to this aesthetic trend is evidenced by his two diary entries dating from 1824. The contemporary reception of Schubert's music, furthermore, provides potential ammunition for the influences of this aesthetic on his musical output. As we shall see, the fantasy aesthetic of Romanticism—the bedrock of the 'irrational' traits in art and literature of this period, as I mentioned above—can also shed some light on those so-called 'irrational' musical processes that are germane to the construction of the dreamlike quality in Schubert's sonata forms.

### **Dreams, fantasy, and the anti-rational**

Rosemary Jackson perceptively points out that fundamental to the notion of the fantastic in art is its 'positioning in relation to reason', and, rather than *irrational*, the fantastic is '*anti-rational*, it is the inverse side of reason's orthodoxy. It reveals reason and reality to be arbitrary, shifting constructs, and thereby scrutinises the category of "real"'.<sup>56</sup> This anti-rational stance is exposed especially eloquently in Romantic writers' uses of the artistic device of the dream. While dreams in Enlightenment literature are, as Manfred Engel explains, marked with 'a prevailing scepticism

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<sup>54</sup> John M. Gingerich suggests that a possible reason for this Haslinger's retitling is that fantasias were more marketable than sonatas in Schubert's time (*Schubert's Beethoven Project* (Cambridge: Cambridge University Press, 2014), pp. 248–52).

<sup>55</sup> This is discussed in Richard Kramer, 'Against the Grain: The Sonata in G (D. 894) and a Hermeneutics of Late Style', in *Schubert's Late Music*, pp. 111–33 (p. 114, note 7).

<sup>56</sup> Rosemary Jackson, *Fantasy: The Literature of Subversion* (London: Methuen, 1981), p. 21, emphasis mine.

regarding their value',<sup>57</sup> their function in Romantic literature is often to challenge exactly this naïve faith of the Enlightenment in reason and objective reality. In the works of Novalis, Ludwig Tieck, and E. T. A. Hoffmann, for instance, the protagonists are often obsessively drawn to their dreams, seeing these as representing a truth or knowledge that is far more profound and essential than mundane experiences.<sup>58</sup>

In addition to the use of individual dream scenes, Romantic writers were particularly fond of producing some liminal moments that call into question the boundary between dreams and reality. To do so, a mundane literary reality might at first be established and subsequently suddenly subverted by the occurrence of the fantastic. In effect, this fantastic twist often appears to be jarring, or even shocking, to the fictional characters (if not also the readers), compelling them to cast doubt on whether it is in fact a dream, rather than reality, that is at work. This subversive mode of writing exemplifies a defining characteristic of fantastic literature noted by Jackson: 'contradictions surface and are held antinomically in the fantastic text, as reason is made to confront all that it traditionally refuses to encounter'.<sup>59</sup> Or in William R. Irwin's words, it 'establishes and develops an *antifact*, that is, plays the game of the impossible'.<sup>60</sup> Both aesthetically and technically, as I will show, this subversive process in literature is actually closely comparable to those notorious

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<sup>57</sup> Manfred Engel, 'The Dream in Eighteenth-Century Encyclopaedias', in *The Dream and the Enlightenment*, ed. by Bernard Dieterle and Manfred Engel (Paris: Honoré Champion, 2003), pp. 21–52 (p. 47).

<sup>58</sup> For discussions on the literary dreams in works of Novalis, Tieck, and Hoffmann, see Jaishree Kak Odin 'The Concept of Imagination in Novalis' Works' (PhD dissertation, State University of New York at Stony Brook University, 1984), pp. 89–136; Richard Milton Kalfus, 'The Function of the Dream in the Works of E. T. A. Hoffmann' (PhD dissertation, Washington University, 1973), pp. 47–229; and Joseph D. Rockelmann, 'Dreams, Hallucinations, Moving Statues, and Ekphrasis in Ludwig Tieck's Visual Writings' (PhD dissertation, Purdue University, 2014), pp. 103–86.

<sup>59</sup> Jackson, *Fantasy*, p. 21.

<sup>60</sup> William R. Irwin, *The Game of the Impossible: A Rhetoric of Fantasy* (Urbana: University of Illinois Press, 1976), p. ix, emphasis mine.

‘irrational’ processes in Schubert’s sonata forms. And here, it would be useful to demonstrate this technique through actual literary examples prior to examining Schubert’s music.

Novalis’s novel *Heinrich von Ofterdingen* is a work centred on the concept of the dream. The novel, for instance, begins famously with the protagonist Heinrich’s night-time dream of the blue flower. Formally speaking, the blue flower dream is cast in a dream scene detached from the physical world, as is clearly indicated in the lines preceding this dream: ‘The youth gradually lost himself in sweet fantasies and fell asleep. He then dreamed of regions of far distances, wild, and unknown to him’.<sup>61</sup> Yet, there are instances in which the formal separation between dreams and reality is deliberately problematised. Aside from the opening dream, the story unfolds unequivocally in a mundane world up until the fifth chapter. There, during Heinrich’s nocturnal journey to a cave, the narrator suggests that night-time is when an unknown, secondary world becomes transparent to us through the dream:

The moon stood in a mild glow over the hills and made wonderful dreams rise in all creatures. As though a dream of the sun, it lay over the inverted dreamworld and led nature, now divided into innumerable borders, back to the fabulous primaeval time, when every bud still slumbered by itself, and lonely and untouched, longed in vain for the dark fullness of its existence to unfold. [...] How astonished he was that this clear view, so indispensable to his existence, had remained alien to him for so long.<sup>62</sup>

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<sup>61</sup> ‘Der Jüngling verlor sich allmählich in süßen Fantasien und entschlummerte. Da träumte ihm erst von unabsehblichen Fernen, und wilden, unbekanntem Gegenden’. Novalis, *Schriften*, i, p. 196.

<sup>62</sup> ‘Der Mond stand in mildem Glanze über den Hügeln, und ließ wunderliche Träume in allen Kreaturen aufsteigen. Selbst wie ein Traum der Sonne, lag er über der in sich gekehrten Traumwelt, und führte die in unzählige Grenzen getheilte Natur in jene fabelhafte Urzeit zurück wo jeder Keim noch für sich schlummerte, und einsam und unberührt sich vergeblich sehnte [...] Wie wunderte er sich, daß ihm diese klare, seinem Daseyn schon unentbehrliche Ansicht so lange fremd geblieben war’. *Ibid.*, p. 252.

When the protagonist meets a hermit in the cave, suddenly, the narrating tone switches to a fantastic one. The hermit, like an obscure figure one recollects from a dream, ‘was a man whose age were impossible to guess. He looked neither old nor young, and no traces of time could be seen on him’.<sup>63</sup> In a book belonging to the hermit, furthermore, Heinrich found strangely familiar images that appear to be no other than he himself. This logically impossible moment thus invites the reader into what Tzvetan Todorov describes as ‘very heart of the fantastic’—a sense of liminality or uncertainty over whether the text is oriented towards ‘reality or dream’, ‘truth or illusion’.<sup>64</sup> Indeed, confounded by this situation, Heinrich himself ‘was frightened and thought that he must be dreaming’.<sup>65</sup>

Similar subversive processes can also be observed in Tieck’s *Der blonde Eckbert* (*Eckbert the Blond*, 1797). In Tieck’s work, the critical undertone of dreams is already made apparent early on when the protagonist Eckbert’s wife, Bertha, told him: ‘I never fairly thought I was awake, but only falling out of one dream into another still stranger’.<sup>66</sup> Bertha’s scepticism towards reality foreshadows a climactic scene near the end of the tale. There, after it had been revealed to Eckbert that his new friend Hugo is no other than Walter, a lifelong companion whom he himself had killed, Eckbert was left with ‘a riddle which he could not solve, whether he was dreaming now, or had before dreamed of a wife and friend. The marvellous was mingled with the common: the world around him seemed enchanted, and he himself was incapable of thought or recollection’.<sup>67</sup>

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<sup>63</sup> ‘Es war ein Mann, dessen Alter man nicht errathen konnte. Er sah weder alt noch jung aus, keine Spuren der Zeit bemerkte man an ihm’. Ibid., p. 255.

<sup>64</sup> Tzvetan Todorov, *The Fantastic: A Structural Approach to a Literary Genre*, trans. by Richard Howard (Cleveland London: Press of Case Western Reserve University, 1973), p. 24.

<sup>65</sup> ‘Er erschrock und glaubte zu träumen’. Novalis, *Schriften*, i, p. 264.

<sup>66</sup> ‘es mir immer nicht war, als sei ich erwacht, sondern als fiele ich nur in einen andern noch seltsamem Traum’. Ludwig Tieck, *Werke*, ed. by Marianne Thalmann, 4 vols. (München: Winkler, 1963), ii, p. 15.

<sup>67</sup> ‘er konnte sich nicht aus dem Rätsel herausfinden, ob er jetzt träume, oder ehemals von einem Weibe Bertha geträumt habe; das Wunderbarste vermischte sich mit dem Gewöhnlichsten, die Welt um ihn her war verzaubert, und er keines Gedankens, keiner Erinnerung mächtig’. Ibid., p. 25.

In both works, the literary reality is rendered dreamlike and fantastic through cultivating the anti-rational—that is, the subversion of a ‘normative’, ‘rational’ expectation or narrative trajectory. As I shall now demonstrate, it is through a similar technique that the ‘irrational’ modulations and harmonic progressions in Schubert’s sonata forms are formulated.

### **Category 3 (continued): From *irrational* to *anti-rational***

In music, the genre of the fantasia, characterised by Mark Evan Bonds as an ‘anti-genre’,<sup>68</sup> is suffused with deliberately wayward musical processes and gestures that, not unlike the anti-rational, fantastic techniques in literature, go against accepted musical norms. Regarded often as a precursor to musical Romanticism, C. P. E. Bach discussed in detail the ways fantastic effects could be delivered through different harmonic and tonal processes in a chapter on the free fantasia contained in *Versuch über die wahre Art, das Clavier zu spielen (Essay on the True Art of Playing Keyboard Instruments, 1759)*. And this would be a useful starting point for our investigation.

Bach’s anti-rational (or at the very least anti-conventional—that is, purposefully unconventional) stance is clearly exposed in this treatise. In an account of the key-choice for modulations in the fantasia, for instance, he openly advised the musician to carry out ‘an examination of the well-known Circle of Fifths’ but he (or she) ‘should feel no further obligation to the circle’ and to modulate to conventionally closely related keys. Rather, he suggested that in a fantasia ‘modulation may be made to closely related, remote, and all other keys [...] even though they stand in varying distances from the tonal centre’, and advised different methods to achieve

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<sup>68</sup> Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA: Harvard University Press, 1991), pp. 114–8.

remote modulation.<sup>69</sup> Probably one of the most well-known methods discussed in Bach's essay is what he called the 'rational deception'—the technique of feigning 'modulation to a new key through a formal cadence and then mov[ing] off in another direction'—which, according to Bach, is what can 'make a free fantasia attractive'.<sup>70</sup>

Bach provided a concise example to demonstrate this technique (see Example 2.1). According to Bach, (x) indicates the point where the fantasia, after having modulated to the dominant key A major in the section marked (2), establishes the dominant seventh chord of E and shows a tendency to modulate to E minor. This promised key is nonetheless never attained and the dominant seventh chord of E is immediately followed by a  $\frac{4}{2}$  dominant seventh chord on B $\flat$  at (3), resulting in what Bach called an 'ellipsis'—where two chords share no common elements. The  $\frac{4}{2}$  chord on B $\flat$  then leads to a dominant seventh chord on A at (4), which, said Bach, points towards D minor but progresses instead to a  $\frac{4}{2}$  dominant seventh chord on C $\sharp$  at (5), creating yet another instance of deception. Another surprising moment occurs when the  $\frac{4}{2}$  chord on C $\sharp$  eventually terminates at G minor rather than the expected G major at (6). The rational deception, therefore, also 'plays the game of the impossible' (to cite Irwin): it establishes the conventional only to subvert it. And, as it can be seen, the disorderly musical effects in Bach's modulations are, paradoxically, formulated through an intricate harmonic insight and thorough grasp of musical knowledge and conventions.

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<sup>69</sup> C. P. E. Bach, *Essay on the True Art of Playing Keyboard Instruments*, ed. and trans. by William John Mitchell (New York: W. W. Norton, 1949), pp. 434–6.

<sup>70</sup> *Ibid.*, p. 434.

**Example 2.1:** Bach's example of rational deception, reproduced by William J. Mitchell.<sup>71</sup>

**Allegro**

The musical score consists of three staves of bass clef music in G major. The first staff contains five notes with fingerings 6, 4, 5, 2, and 6, labeled (1.) and (2.). The second staff contains nine notes with fingerings 7, 4 3, 7, 2, 6, 6, 2, 7, and 2, labeled (x.), (3.), (4.), and (5.). The third staff contains ten notes with fingerings 6, b7, 6, 5, 2, 5 b, 7, 6 5, 6, 4 8, 8 b7 4, and 2 3, labeled (6.) and (1.).

In Chapter 1 ('Category 3'), I pointed out that Schubert's use of second-practice harmony is key to those 'irrational' modulations and harmonic shifts in his sonata forms. Taking our cue from Bach, we might say that the *ir-rational* in Schubert's music is in fact *anti-rational*—it purposely goes against 'the well-known Circle of Fifths'. Lawrence Kramer is on to a similar point when he notes that 'the pattern of complementary thirds does not have the immediate clarity of a large-scale Classical progression', which is 'supplemented by a new tonal syntax [...] which depends for its effect on its dialectical relationship with the Classical harmony that it violates'.<sup>72</sup> This reading is substantiated by the fact that Schubert's harmonic syntax, though 'irrational' according to the functional harmony of the Classical tradition, is itself highly rational and can be accounted for systematically. In this light, his peculiar harmonic moves are not dissimilar to the language of the fantastic in literature, the whole point of which is not simply to renounce

<sup>71</sup> Ibid., pp. 442–3.

<sup>72</sup> Lawrence Kramer, 'The Schubert Lied: Romantic Form and Romantic Consciousness', in *Schubert: Critical and Analytical Essays*, ed. by Walter Frisch (Lincoln and London: University of Nebraska Press, 1996), pp. 200–36 (p. 231).

convention or what is held to be *the* rational, but rather to engage with it critically, bringing it into dialogue with an alternative, albeit equally valid, set of rationality. To go one step further, we might also interpret that in Schubert's music different harmonic practices indicate different hermeneutic realms: those related to the tonic by fifth or functional progression could be seen in the realm of the mundane, while those emphasising third relations or semitonal displacement concern the realm of the fantastic (fantasies, dreams, reveries, and similar). Indeed, this understanding would resonate sympathetically with those 'subjectivised' readings of Schubert's signature  $bVI$  interruption and modulations by thirds that are essential to the dream-characterisation of 'Category 2'.

Considering Schubert's harmonic languages along the lines of the fantasy aesthetic, it also becomes clear why the sonata form would have been a particularly apposite framework for him to work his magic. Contrary to the fantasia, most sonata-form movements of the high Classical period not only feature a markedly conventional musical language but also follow a standardised formal teleology or expectation.<sup>73</sup> Indeed, writings on the formal convention of what is now known as 'sonata form' can already be found in Koch's *Versuch einer Anleitung zur Composition* (*Introductory Essays on Composition*, 1782–93). As Leon Botstein points out, therefore, 'insofar as formal procedures in sonata form, particularly in the use of established harmonic patterns, had become familiar through the work of Haydn, Mozart, and Beethoven and their lesser

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<sup>73</sup> What is now known as the 'sonata form' was cultivated primarily from the public and semi-public instrumental compositions of the second half of the eighteenth century. According to Thomas Schmidt-Beste, one of the main reasons for the emergence of this formalised way of composing is that from the 1760s onwards, "absolute" instrumental music had gradually turned from being a connoisseur art for nobility into a public or semi-public artform directed at a much wider audience. As a result, Schmidt-Beste explains, composers of the high Classical tradition had the 'desire to make form and texture more "accessible", more easily comprehensible for the listener' (*The Sonata: Cambridge Introductions to Music* (Cambridge and New York: Cambridge University Press, 2011), p. 186).

contemporaries, *these procedures, by tradition, could have developed into ideological signifiers and been assumed to have comprehensible norms*'.<sup>74</sup>

In a conventional sonata-form movement, the sense of tonal conflict between the primary and secondary keys—usually the tonic and dominant in a major-mode setting and the tonic and major mediant in a minor-mode setting—in the exposition constitutes the central tension of the music. To dramatise this tonal conflict, modulation from the primary key to the secondary key in the sonata exposition, as Charles Rosen writes, ‘must not only be done, it must be seen to be done’ in the transition.<sup>75</sup> To achieve this, it is highly common for Classical composers to gesture an energy-gaining process and, at the end of the transition, an affirmative articulation of a structural cadence that prepares the secondary key, this cadential arrival usually being followed by a short pause or, in James Hepokoski and Warren Darcy’s words, ‘medial caesura’ or ‘MC’.<sup>76</sup> Koch noted a similar practice in his theoretical treatise, observing that in the transition of ‘the first period’ (i.e., the exposition), thematic materials are often elided and ‘more attached to each other and flow more forcefully than in the periods of other pieces, that is, they are linked so that their phrase-endings are less perceptible’.<sup>77</sup> As a result, explained Koch, ‘many such periods are found in which a formal phrase-ending is not heard until there has been a modulation into the most closely related key’.<sup>78</sup>

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<sup>74</sup> Leon Botstein, ‘Realism Transformed: Franz Schubert and Vienna’, in *The Cambridge Companion to Schubert*, ed. by Christopher Howard Gibbs (Cambridge: Cambridge University Press, 2011), pp. 13–35 (p. 33), emphasis mine.

<sup>75</sup> Charles Rosen, *Sonata Forms* (New York: W. W. Norton, 1980), p. 25.

<sup>76</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford and New York: Oxford University Press, 2006), pp. 24–5; see also William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford and New York: Oxford University Press, 1998), p. 125.

<sup>77</sup> Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody*, ed. and trans. by Nancy Kovaleff Baker (New Haven and London: Yale University Press, 1983), pp. 197–202.

<sup>78</sup> *Ibid.*

Schubert's 'Wanderer' Fantasy (D. 760, 1822) is a large-scale fantasia that, as noted by scholars, integrates the structure and characteristics of the four-movement sonata cycle into four subsections, of which the first (bars 1–188) projects a formal trajectory that corresponds apparently to the exposition and development section of a first-movement sonata form.<sup>79</sup> In the first section, after the statement and the counterstatement of the main theme in the home key (C major), a diminished seventh chord bursts forth *fortissimo* at bar 42 and ushers in a modulatory passage that drives, through a stream of fast-flowing semiquavers, towards the dominant seventh harmony of the dominant key (G major), which is confirmed with a PAC at bar 55. Following this cadential arrival, the music immediately disintegrates into a single B ( $\hat{3}$  of G major) played alone and repeatedly in the right hand, heralding the start of the next episode in this newly arrived key.

The modulatory passage discussed above functions like the sonata-form transition, leading to the most conventional tonal goal—the dominant key—by means of what Hepokoski and Darcy consider as the third-level default V: PAC MC, which conveys an even stronger sense of the dominant key being established than the more common V: HC or I: HC.<sup>80</sup> A new section in the key of G major is almost certainly expected at this point. And it is against this expectation that the 'irrational', 'magical' Schubertian move sets in. The note B goes up a half step to C in the next bar and then descends chromatically to G $\sharp$  at bar 57, upon which the tonality is swiftly diverted, without dominant preparation or any structural cadence, to the 'remote' E major (see Example 2.2). The aesthetic effect produced by this modulation is not dissimilar to that of Bach's rational

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<sup>79</sup> William Newman, for instance, calls the formal structure of this work a 'double-function sonata form' (*The Sonata Since Beethoven* (New York: W. W. Norton, 1983), pp. 134–5). See also Steven Vande Morteale's more recent discussion of this concept in *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg and Zemlinsky* (Leuven: Leuven University Press, 2009), p. 37.

<sup>80</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, pp. 27–9.

deception: the conventional tonal trajectory is subverted by an anti-conventional, non-functional modulation (here, C major and E major are related through a L–P transformation).

**Example 2.2:** Schubert, ‘Wanderer’ Fantasy, D. 760, bars 53–8.

The musical score shows two staves. The upper staff is the right hand, starting with a piano (*pp*) dynamic. It features a melodic line with a 'New theme' starting at bar 56. The lower staff is the left hand, playing a rhythmic accompaniment of eighth notes. Below the score, a diagram labeled 'V: PAC' shows a G major chord at bar 57 and an E major chord at bar 58, connected by an arrow indicating a modulation.

Even more intriguing use of these modulatory techniques can be found in Schubert’s compositions of the ‘learned’ genres, in movements where a more definite sonata form would normally be expected. The C Major String Quintet (D. 956, 1828), for example, opens with an unequivocal sonata-form first movement in which the transition in the exposition features a highly conventional modulatory trajectory. Elided with the tonic PAC brought about by the first group, the transition launches *fortissimo* with the cellos playing a first group-based melody against an agitated cascade of quavers in other string parts, delivering a heightened rhetorical energy (bars 33–8). This entire unit is repeated sequentially a tone higher (bar 40), leading into a process of fragmentation, whose increasingly accelerating harmonic rhythm culminates at bar 49 with a I: HC—the second-level default tonal goal.<sup>81</sup> This cadential arrival is followed by a post-cadential standing on the dominant, in which a four-bar unit and its repetition, both played *crescendo*, drive decisively to a strongly articulated root-position dominant harmony at bar 58 through a triple-hammer-blow gesture (see Example 2.3). Here, it seems that the dominant key G major would be the most reasonable choice for the secondary tonality.

<sup>81</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 25.

Example 2.3: Schubert, C Major Quintet, D. 956, i, bars 53–62.

53

*fp* *cresc.*

*fp* *cresc.*

*f p* *cresc.*

*f p* *cresc.*

*f p* *cresc.*

Second group

57

*f* *pp*

*f* *pp*

*f* *pizz.*

*f* *fp* *decresc.* *pp*

*f* *fp* *decresc.* *pp*

I: HC → Eb

As with the ‘Wanderer’ Fantasy, however, this transition does not bring about the dominant key. Rather, the music immediately gives way to a single G played in unison by the cellos, until five beats later the G in the second cello descends chromatically towards Eb, abruptly shifting the

key to this flat-mediant major (bars 58–60). Even though the music eventually brings about a PAC in the ‘correct’ secondary tonality G major (bar 100)—thus constituting what is called a ‘three-key exposition’<sup>82</sup>—obviously, Schubert’s emphasis here is on how the dominant is *not* attained through conventional means. The large-scale tonal trajectory in the exposition can instead be understood in terms of a series of tonal shifts through triadic progressions: the modulatory process first features a P–R transformation from C major to E $\flat$  major and then a L–P transformation from E $\flat$  major to G major. In undermining the outward tonic-dominant relationship with non-functional common-tone modulation, Schubert thus brings into conflict two sets of harmonic expectations—the tonal process here is neither conventional nor completely wayward, but a bit of both.

Schubert’s predilection for problematising the tonic-dominant relationship in sonata forms can be similarly observed in the exposition of the first movement of the G Major String Quartet (D. 887, 1826). In the transition there, a two-bar unit (bars 54–5) derived from the first group progresses in whole-step ascending sequential motion from G major, through A major (bar 56), towards establishing the tonality B major (bar 58), and therein arrives at a HC in this key (bar 59; see Example 2.4). This HC, together with the post-cadential standing on the dominant as well as the *sforzando* root-position dominant chord at the end of the transition, strongly suggest that the second group that follows will be cast in the mediant key B major—a plausible if less common key-choice for the secondary tonality.<sup>83</sup>

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<sup>82</sup> For discussions of three-key expositions in Schubert’s sonata form, see, for example, James Webster, ‘Schubert’s Sonata Form and Brahms’s First Maturity’, *19th-Century Music*, 2 (1978), pp. 18–35 (pp. 26–31).

<sup>83</sup> The use of the mediant major for the secondary tonality can be seen, for example, in Beethoven’s middle-period works such as the first movements of the G Major Piano Sonata, Op. 31, no.1 (1802) and the ‘Waldstein’ Sonata, Op. 53 (1804).

This dominant seventh chord of B major, however, is repeated in the next bar (bar 64) and subsequently transforms into a  $\frac{4}{3}$  dominant seventh chord of D major through a common-tone shift, leading the secondary key of the music back to this more conventional dominant key (see Example 2.4). In Brian Black's opinion, Schubert's modulatory process here is 'at the most *irrational* extreme', in which 'the "wrong" dominant prepares the new key'.<sup>84</sup> Drawing also on the dream-characterisation discussed in 'Category 2' (see Chapter 1), Black writes that 'this surprise move [...] creates the strange floating sensation of an escape into a private dream world'.<sup>85</sup> To me, though, the main reason why the modulatory process here would appear to be strange and out of joint is not irrationality so much as the way in which our expectation is subverted, nor can the music be straightforwardly read as suggesting an entrance into a dream. Indeed, the apparent minor-third shift (B major → D major) at the end of the transition is not dissimilar to those harmonic shifts that constitute the dream-characterisation of 'Category 2'. However, in the Quartet, the fact that it is the dominant key—the *most conventional* key-choice for the secondary tonality—rather than the  $\flat$ VI or other third-related keys that this harmonic move arrives at essentially problematises such a characterisation. Is the second group that follows inward or outward, dream or reality? Certainly the key-choice indicates the latter, but the way in which this key is approached suggests otherwise.

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<sup>84</sup> Brian Black, 'Remembering a Dream: The Tragedy of Romantic Memory in the Modulatory Processes of Schubert's Sonata Forms', *Intersections: Canadian Journal of Music*, 25 (2005), pp. 202–28 (p. 208).

<sup>85</sup> *Ibid.*

Example 2.4: Schubert, G Major String Quartet, D. 887, i, bars 49–67.

sequence (1) (2) (3)

54 *p* *cresc.* *f*

*p* *cresc.* *f*

*p* *cresc.* *f*

*p* *cresc.* *f*

G (Gm) A (Am) B (Bm) V

III: HC

61 *cresc.* *ffz* *pp* **Second group**

*cresc.* *ffz* *pp*

*cresc.* *ffz* *pp*

*cresc.* *ffz* *pp*

*cresc.* *ffz* *pp*

→ D: V<sub>3</sub><sup>1</sup>

As we have seen, in my reinterpretation of Schubert’s ‘irrational’, ‘illogical’ modulations (a central aspect to the dream-characterisation of ‘Category 3’), the analytical lens of neo-Riemannian theory, far from being irrelevant or disengaging as some previous commentators held, enables us to appreciate the potential aesthetic significance suggested by these processes. Drawing on this analytical approach, I have argued that Schubert’s subversive shift from one set of harmonic language or expectation to another—both perfectly logical—as well as the ambivalent conflation

of the two in the sonata form establish an ‘artifact’ that bears remarkable aesthetic and technical resemblances to those liminal fantastic moments in Romantic novels. Perhaps, in this light, ‘fantastic’ would be more accurate an adjective than ‘dreamlike’ in characterising Schubert’s sonata forms. Of course, one could still invoke the characterisation of dreams and say that this music is ‘imbued with all of the mysterious intensity of a dream’ (to cite Black), except that here, it is *alterity*—the idea that the conventional is confronted by the *anti*-conventional, or the mundane by the fantastic—rather than *irrationality*, or ‘illogical occurrence’ as Black describes, that is key.<sup>86</sup> As I shall show in the next section, notions of fantasy and alterity, in addition to offering a fruitful way to scrutinise the rationality of Schubert’s harmonic syntax and rethink the dream-characterisation of ‘Category 3’, also suggest the possibility of a potential ‘Category 4’ in our hermeneutic interpretation of Schubert’s music.

#### **Category 4: Dream scene and Schubert’s development section**

The entry ‘Dreams’ in the *Encyclopedia of Fantasy* (1997) notes that ‘the device of justifying a narrative by representing it as a dream is the most elementary in fantastic literature’ and that this practice can be dated back as early as ‘such medieval subgenres as the dream Allegory’.<sup>87</sup> Within a mundane, realistic scene in literature, fantastic moments might appear to conflict with the underlying narrative trajectory. By contrast, the notion of the fantastic is quintessentially ‘native’ to the dream and, therefore, would not violate the narrative structure and expectation when these are set in a dream scene. An ideal artistic device for introducing apparently fantastic materials into a narrative without jeopardising its structure, the dream scenes are widely featured in Romantic

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<sup>86</sup> Black, ‘Remembering a Dream’, p. 212, emphasis mine.

<sup>87</sup> ‘Dreams’, in John Clute and John Grant, eds., *Encyclopedia of Fantasy* (London: Orbit, 1997), p. 297.

literature. Regarding the use of the dream scene in Romantic literature, Anita O’Connell states for instance:

The dream frame when used in literature served to create a compellingly suggestive poetic space in which there are few limits or laws to what could be explored. Romantic poets found in Medieval dream poetry a form that by its nature takes the reader into the imagination, suggests psychological allegories, allows scope for the poetic qualities of an atmospheric dreamscape, and is so versatile as to present almost limitless possibilities for exploration.<sup>88</sup>

This dualism of the rhetorical characters between the dream scene and reality scene in literature also finds parallels in the sonata form. Schubert’s peculiar modulatory processes have been frequently labelled as ‘irrational’ and ‘illogical’, or as I called above ‘subversive’, mainly because they are alien to the formal trajectories of conventional sonata-form expositions and recapitulations. However, musical processes that seem to jar with the exposition or recapitulation would, on the other hand, fit more comfortably with the development section. Indeed, it is not without reason that, as William Earl Caplin points out, in historical writings on musical form it was often held that in the development section ‘composers are free to indulge in flights of harmonic fancy unrestricted by the kinds of tonal conventions imposed by an exposition and recapitulation’.<sup>89</sup> Koch, for instance, noted specifically that less conventional modulatory processes are often much more freely deployed in the development section than in other sections of the sonata form, asserting that ‘no specific punctuation form of the first half of this period [i.e., the development section] can be given because it may modulate very arbitrarily, sometimes into this, sometimes into that related key’.<sup>90</sup> Or as the later nineteenth-century theorist Ebenezer Prout

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<sup>88</sup> Anita O’Connell, ‘Vision of Romantic Dream Poetry and the Creative Imagination’ (PhD dissertation, Durham University, 2006), p. 44.

<sup>89</sup> Caplin, *Classical Form*, p. 139.

<sup>90</sup> Koch, *Introductory Essay on Composition*, p. 234.

put it, because of the high degree of freedom permitted, the development section was regularly characterised as a ‘Free Fantasia’ in music textbooks:

It is no doubt because of the impossibility of formulating any regular rules for the construction of this part of the movement that it is frequently described in English textbooks as the ‘Free Fantasia’—that is, the portion of the movement in which the composer is free to follow his own fancy.<sup>91</sup>

The aesthetic correspondence between the fantasia and the development section is noted more recently by Schleuning, who claims that the development section is akin to the fantasia to the extent that they are both ‘less dependent on predetermined patterns’ and would provide the composer ‘with an opportunity of freely demonstrating his individual powers of invention and ingenuity’.<sup>92</sup> Certainly, this difference in formal expectations often found in the development section and its outer sections—exposition and recapitulation—bears resemblance to that between the dream scene and reality scene in literature or, more broadly speaking, our dreams and waking reality.

This analogy can be further corroborated by the fact that in most sonata-form movements the development section, as mentioned in the Prologue, draws on and develops materials from what might be heard as the ‘waking state’ of the exposition.<sup>93</sup> Viewed in this light, it could be said that the musical processes found in the exposition/recapitulation and the development section in the sonata form, in addition to mirroring the rhetorical modes and formal conventions of the scenes

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<sup>91</sup> Ebenezer Prout, *Applied Forms* (London: Augener, 1895), p. 158.

<sup>92</sup> Schleuning, *The Fantasia II*, p. 15.

<sup>93</sup> See Prologue, p. 7.

of mundane reality and dream in literature, even feature two sets of contents whose relation to each other is analogous to the relation of dream-contents to waking events or memories.

Of course, the use of literary dreams, as I have already mentioned, is not exclusive to Romantic works and can also be found in works of the Enlightenment period,<sup>94</sup> as can these stylised musical features that I claim liken the development section to the dream scene. However, an important aspect that distinguishes the development sections of Schubert's mature works from those of Classical sonata forms—and literary dreams of Romanticism from their Enlightenment counterparts—is their embodiment of the fantasy aesthetic. In fact, despite the notion of freedom and arbitrariness often ascribed to the development section in traditional theoretical writings, music theorists nowadays have reckoned that certain sets of 'rules' or principles can regularly be found in the majority of Classical development sections. Regarding the tonal organisation of Classical sonata-form development sections, Caplin writes that contrary to the traditional perspectives, modern theorists 'have come to understand that a clear and logical plan usually underlies the various tonal regions explored in a development. [...] In major-mode movements, the development usually explores the submediant, mediant, or supertonic. In minor-mode movements, the subdominant or dominant often is used'.<sup>95</sup> In terms of the thematic patterning, Hepokoski and Darcy bluntly claim that the general view held amongst traditional theorists 'that thematic choice and patterning within the development followed no guideline whatever' is

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<sup>94</sup> On literary dreams in Enlightenment literature, the contemporary scholar Chevalier de Jaucourt, for instance, noted in an encyclopedic entry that literary dreams are the 'fiction that we have employed in all the kinds of poetry, epic, lyric, elegiac, dramatic: in some, it is a description of a dream that the poet pretends to have, or that he has had; in the dramatic genre, this fiction takes place in deep sleep, during which a dream comes to him and agitates him, and which leads him to speak aloud; other times the actor tells about the dream he had during his sleep' ('fiction que l'on a employée dans tous les genres de poésie, épique, lyrique, élégiaque, dramatique: dans quelques-uns, c'est une description d'un songe que le poète feint qu'il a, ou qu'il a eu; dans le genre dramatique, cette fiction se fait en profond sommeil, pendant lequel il lui vient un songe qui l'agite, & qui le porte à parler tout haut; d'autres fois l'acteur raconte le songe qu'il a eu pendant son sommeil'). Original text cited in Engel, 'The Dream in Eighteenth-Century Encyclopaedias', p. 46.

<sup>95</sup> Caplin, *Classical Form*, p. 139. See also Hepokoski and Darcy, *Elements of Sonata Theory*, pp. 196–8.

‘erroneous’.<sup>96</sup> According to them, it is actually highly common for the development section to follow a ‘rotational principle’, that is, ‘the modules that are taken up in the development appear in the same order as that in which they had been presented in the exposition’.<sup>97</sup>

Having discerned the aesthetic resemblances shared between the development section and the fantasia, Schleuning perceptively argues that the ‘expanding of development sections’ in nineteenth-century sonata forms denotes one of the defining indicators of Romantic composers’ fascination with the musical aesthetic of the fantasia.<sup>98</sup> The development sections of Schubert’s mature works are apparently more ‘fantastic’ in this regard and anyone who is acquainted with them would immediately notice the frequency with which these conventions noted by modern theorists are eschewed. To give just a few examples: in the first movement of the B $\flat$  Major Piano Sonata (D. 960, 1828), the tonal organisation of the development section shows an emphasis on C $\sharp$  minor and D $\flat$  major, both of which are keys remote from the home key within the circle of fifths, but closely related to the tonal areas of the contrasting middle of the first group (G $\flat$  major) and a section caught between the first group and the transition (F $\sharp$  minor);<sup>99</sup> the development section of the first movement of the E $\flat$  Major Trio (D. 929, 1827), starting in the  $\flat$ VI key B major (an uncommon key-choice for a Classical development section), is unfolded in a non-rotational trajectory that features a threefold large-scale sequential repetition of a passage whose tonal process, instead of following a conventional modulatory procedure, progresses through a series of P- and R-transformations;<sup>100</sup> and another striking example is the similarly non-rotational

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<sup>96</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 205.

<sup>97</sup> *Ibid.*, p. 206.

<sup>98</sup> Schleuning, *The Fantasia II*, p. 15.

<sup>99</sup> See also Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001), pp. 237–83.

<sup>100</sup> See also Benedict Taylor, ‘Schubert’s E flat Trio D. 929 and Models of Music Subjectivity’, in *Life as an Aesthetic Idea of Music*, ed. by Manos Perrakis (Vienna: Universal Edition, 2019), pp. 11–30.

development section of the first movement of the A Major Piano Sonata (D. 959), in which the tonal centre constantly oscillates between the flat-mediant and the supertonic before finally affixing to tonic minor in preparing for the retransition.

If the sonata-form development section in general may be taken as a dream scene, then, Schubert's development sections, whose musical language is enormously expanded—or 'fantasticised'—would be particularly apposite to be contemplated in line with the dream scenes of Romantic literature.

### **Conclusion**

Fantasy, serving in the wake of the Enlightenment as a crucial critique of what was taken for granted as the rational and the normative, objective 'truth', had widely ensorceled artistic creation at the turn of the nineteenth century. Schubert, described by Schumann as a '*fantastical* [*phantasiereich*] painter',<sup>101</sup> is not only closely associated with the Romantic aesthetic of fantasy but also, as his contemporaries stated, well-versed in composing music that features a fantastic quality. In Romantic literature, the ostensibly secure epistemological ground on which the rational literary reality is founded is often confronted anti-rationally by the occurrences of the fantastic; in Schubert's sonata forms, as we have seen, an alternative, less conventional harmonic syntax is used likewise to problematise established conventions in engaging critically with what has been generally taken for granted to be the normative. And as I argue, this is truly what is at the heart of Schubert's notorious 'irrational', 'illogical' modulatory processes that have been said to render his late sonata forms dreamlike.

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<sup>101</sup> Schumann's 1835 review of Berlioz's *Symphonie fantastique*. English translation cited in Bent, ed., *Music Analysis in the Nineteenth Century*, ii, p. 171.

In addition to recasting the dream-characterisation of ‘Category 3’ in a new light, the fantasy aesthetic proffers a hermeneutic window through which Schubert’s sonata-form development sections may be read in light of the dream scenes in Romantic art and literature—thus bringing about a ‘Category 4’. As I have shown, while general sonata-form development sections, in inviting us to hear the fantastic other as localised and the thematic-motivic materials as ‘development’ of what have been formerly presented, may already be seen as resembling certain stylised characteristics of dream scenes in literature or our dreams, it is Schubert’s ‘fantasticisation’ of the musical language in his development sections that makes them particularly ‘Romantic’.

In Part I of this thesis, I have discussed in total four categories of characterisation and a category of threshold that can inform our understanding and interpretation of Schubert’s dream aesthetic (see Figure 2.1 for an outline of these categories). Hearing Schubert’s development sections according to my proposed ‘Category 4’, in particular, stimulates a new way to engage with notions of dreams, dreaming persona(e), subjectivities, and so on in our hermeneutic interpretation of his sonata forms. And it also points towards a potentially fruitful direction for expanding the discourse of the dream aesthetic in Schubert’s music beyond the cliché of idyllic dream and unpleasant reality. Taking this direction, in the second part of this thesis, I will examine how this might be achieved through three case studies, each draws on a different theme that is often associated with the concept of the dream in the artistic and literary works of Romanticism—including the image of the Romantic wanderer, the *Doppelgänger*, and ghostly hauntings.

**Figure 2.1:** An outline of four categories of dream-characterisation and the threshold

Categories	Relevant musical features	
<i>Good dream &amp; bad reality</i> (C1)	<u>Musical contrasts</u> <i>major/minor, consonance/dissonance, soft/loud, slow/fast momentum, attenuated/accentuated rhythm</i> <u>Pastoral tropes</u>	
<i>Dreamlike experience</i> (C2)	<u>Schubertian bVI</u> <u>Non-teleological repetitions and harmony</u> <i>plagal prolongation, hexatonic &amp; octatonic cycles</i> <u>Continuous accompaniment patterns</u> <i>haze, tremolos, figuration (often in soft dynamic)</i>	<i>* minor-mode music that features the Schubertian bVI also evokes the major/minor contrast of C1</i>
<i>Anti-rational dream</i> (C3)	<u>Sonata form</u> <u>Tonal subversion</u> <i>generically expected fifth-based tonal goals of the transition subverted by third-based modulation</i> <u>Conflation of first- and second-practice harmonies</u>	<i>* features similar harmonic and tonal processes as C2</i>
<i>Dream scene</i> (C4)	<u>Sonata-from development section</u>	<i>* derived from C3</i>
<i>Threshold</i>	<u>Situated between passages of distinct aesthetic levels</u> <u>Unison trill, single line in descending or ascending order</u> <i>unaccompanied or sparsely accompanied</i> <u>Decreased musical momentum</u> <i>soft dynamic level, sparse texture, slow harmonic rhythm, arresting fermata</i>	

PART II:

CASE STUDIES

### Chapter 3: The Ironic Dreams of Romantic Wanderers

*But even amongst the images of dreams the painful longing assails me, shaking my heart with ruthless force from its blissful rest: love's longing never slumbers, love's longing wakes early and late.<sup>1</sup>*

Theodor Körner, 'Sehnsucht der Liebe' ('Love's Longing', 1808–9)

In chapter eight of Ludwig Tieck's *Franz Sternbalds Wanderungen* (*Franz Sternbald's Wanderings*, 1798), the protagonist Franz Sternbald writes to his friend Sebastian during a wandering journey:

I think of all the various paths through forests, over mountains, past rivers, how every traveller looks around and feels like a stranger in another's home, how everyone looks around and searches for the brother of his soul, and so few find him, and travels on again and again through forests and towns, over mountains past rivers, and always fails to find him. Many no longer search at all, and these are the most unfortunate, for they have forgotten the art of living, since life consists only in hoping again and again, always searching, the moment we give this up should be the moment of our death.<sup>2</sup>

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<sup>1</sup> 'Aber auch in des Traumes Gestalten / Winkt mir die Sehnsucht, die schmerzliche, zu / Und ohn' Erbarmen, mit tiefen Gewalten / Stört sie das Herz aus der wonnigen Ruh. / Sehnsucht der Liebe schlummert nie / Sehnsucht der Liebe wacht spät und früh'. Theodor Körner, 'Sehnsucht der Liebe', trans. by Norma Deane and Celia Lerner, cited in John Reed, *The Schubert Song Companion* (Manchester: Manchester University Press, 1986), p. 382.

<sup>2</sup> 'Ich denke mir alle die mannigfaltigen Wege durch Wälder, über Berge, an Strömen vorüber, wie jeder Reisende sich umsieht und in des andern Heimat sich in der Fremde fühlt, wie jeder umherschaut und nach dem Bruder seiner Seele sucht, und so wenige ihn finden, und immer wieder durch Wälder und Städte, bergüber an Strömen vorbei weiterreisen und ihn immer nicht finden. Viele suchen schon gar nicht mehr, und diese sind die Unglücklichsten, denn sie haben die Kunst zu Leben verlernt, da das Leben nur darin besteht, immer wieder zu hoffen, immer zu suchen, der Augenblick, wo wir dies aufgeben, sollte der Augenblick unsers Todes sein'. Ludwig Tieck, *Franz Sternbalds Wanderungen*, ed. by Alfred Anger (Stuttgart: Reclam, 1994), pp. 78–9.

This excerpt from Franz's pages-long letter neatly captures what would be described by David Gramit as the 'malaise' of Romantic wanderers—that they obsess with and fervently long for some ideal, for which they would not easily give up searching despite their recognition of its virtual unattainability.<sup>3</sup>

For Romantic wanderers, the dream, the fantasy realm where the impossible can become possible, is a channel through which they may occasionally find their longing satisfied, albeit temporarily. Sometimes, however, the appearance of a pleasant or beautiful dream might well be just a prelude to the expression of something dark and poignant, as is the case with Wilhelm Müller's *Die Winterreise* (*Winter Journey*). This irony, as we have already discussed in Chapter 1, is expressed clearly in 'Frühlingstraum' ('Dream of Spring') in Müller's direct juxtaposition of stanzas describing the fulfilling dreams and nightmarish reality, that which Schubert skilfully depicted by means of the musical contrasts between the major and minor modes, diatonicism and chromaticism, consonant and dissonant harmonies, and so on.<sup>4</sup>

The Romantic wanderer is undoubtedly one of the most important themes in Schubert's works. Not only does this theme recur throughout Schubert's vocal oeuvre,<sup>5</sup> but it is also central to the composer's literary tale of 1822, entitled 'Mein Traum' ('My Dream') posthumously by his brother Ferdinand. In his philosophically loaded essay 'Schubert' (1928), moreover, Theodor W. Adorno became one of the very first to have drawn on the metaphor of the 'wanderer'—alongside the closely related concept of 'landscape'—in interpreting the composer's instrumental music:

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<sup>3</sup> David Gramit, 'Schubert's Wanderers and the Autonomous Lied', *Journal of Musicological Research*, 14 (1995), pp. 147–68 (p. 149).

<sup>4</sup> See my discussion of Schubert's 'Frühlingstraum' in Chapter 1, 'Category 1: Perfect dreams, imperfect reality'.

<sup>5</sup> More well-known examples include his settings of Goethe's two 'Wanderers Nachtlied' ('Wanderer's Nightsong', D. 224, 1815 and D. 768, 1823), Georg Philipp Schmidt von Lübeck's 'Der Wanderer' (D. 489, 1816), Friedrich Schlegel's 'Der Wanderer' (D. 649, 1819), Johann Gabriel Seidl's 'Der Wanderer an den Mond' ('The Wanderer's Address to the Moon', D. 871, 1826), and the two Müller song cycles, *Die schöne Müllerin* (*The Fair Maid of the Mill*, D. 795, 1823) and *Winterreise*.

‘When it comes to Schubert’s music we speak of “landscape”. [...] The ex-centric construction of that landscape, in which every point is equally close to the centre, reveals itself to the wanderer walking round it with no actual progress’.<sup>6</sup> After Adorno, the image of the Romantic wanderer has also come to be regarded by modern-day commentators as a useful lens to scrutinise Schubert’s mature instrumental music, and in these accounts the notions of wanderers’ longing and ironic dreams are frequently mentioned (as we have seen in Chapter 1 under ‘Category 1’).<sup>7</sup>

In this chapter, I seek to probe a little more deeply and explore whether more might still be teased out of the already prolific theme of Romantic wanderer and ironic dreams in discussions of Schubert’s music. To this end, I also adopt the Freudian and Lacanian approaches to psychoanalytic criticism, utilising these to facilitate a fuller interpretation of this theme. Indeed, the Freudian approach, with its strong emphasis on the mechanism of wish-fulfilment in dreams, would be especially suitable for exploring the psychological dynamics between wanderers’ longing and dreams. Notwithstanding its illuminating perspectives, the Freudian psychoanalytic model is nevertheless centred on a contentious understanding of Oedipus complex which has received much criticism in modern scholarship.<sup>8</sup> It is with regard to this that following my Freudian discussion, I seek also to draw on Lacan’s timelier, and more widely accepted, reinterpretation of this Freudian concept to complement my psychoanalytic investigation. In this chapter, the discussion of the artistic theme in question and its associated psychological aspects

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<sup>6</sup> Theodor W. Adorno, ‘Schubert (1928)’, trans. by Jonathan Dunsby and Beate Perrey, *19th-Century Music*, 29 (2005–6), pp. 3–14 (pp. 7 and 10).

<sup>7</sup> See, for instance, Susan Wollenberg, ‘Schubert and the Dream’, *Studi Musicali*, 9 (1980), pp. 135–50; Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001); and William Kinderman’s more recent article, ‘Wandering Archetypes in Schubert’s Instrumental Music’, *19th-Century Music*, 21 (2019), pp. 208–22.

<sup>8</sup> See Jean-Michel Rabaté, ‘Introduction: Why Psychoanalysis Matters’, in *The Cambridge Introduction to Literature and Psychoanalysis*, ed. by Jean-Miche Rabaté (Cambridge: Cambridge University Press, 2014), pp. 1–24 and Daniel T. O’Hara, ‘Freudian Psychoanalytic Criticism’, in *A Companion to Literary Theory*, ed. by David H. Richter (Chichester, West Sussex: John Wiley & Sons, Ltd., 2018), pp. 373–84.

will centre on what I called the ‘dream scene’ in Schubert’s sonata form. The case study in this chapter focuses principally on the first movement of Schubert’s B♭ Major Piano Sonata (D. 960, 1828)—a work that is probably the most frequently discussed in relation to the theme of Romantic wanderer in recent writings on Schubert’s instrumental music. However, as I will show, my discussion of the first movement also provides relevant perspectives for the exploration of the musical processes in the second movement.

### **The Romantic wanderer’s longing and homesickness**

The figure of the wanderer has become a familiar literary and artistic trope in the late eighteenth century, especially in the literary genre of the *Bildungsroman*.<sup>9</sup> Closely associated with the ideology and values of the Enlightenment, the *Bildungsroman* emphasises the notion of self-cultivation and development, a process typically carried out by the protagonist through a *Bildung* journey, which ‘takes ignorance and darkness as its starting-point and moves toward self-understanding and light’, as James Parsons explains.<sup>10</sup> An epitome of this tradition, Johann Wolfgang von Goethe’s eight-volume *Wilhelm Meisters Lehrjahre* (*Wilhelm Meister’s Apprenticeship*, 1796) relates such a journey of the protagonist Wilhelm, who, writes Andrew Cusack, ‘believes that he represents an ideal of active purposeful behaviour—the Enlightenment ideal [...] the free man striving purposefully toward his goal’.<sup>11</sup> Yet, at the same time, in Goethe’s

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<sup>9</sup> The term ‘Bildungsroman’ is composed of the German words ‘Bildung’ (‘education’) and ‘Roman’ (‘novel’). In the *Oxford English Dictionary*, this is defined as ‘A novel that has as its main theme the formative years or spiritual education of one person (a type of novel traditional in German literature)’. ‘Bildungsroman, n.’, *OED Online*, (Oxford University Press, 2021) <<http://www.oed.com/view/Entry/18946>> [accessed 3 April 2021].

<sup>10</sup> James Parsons, “‘My Song the Midnight Raven Has Outwing’d’: Schubert’s “Der Wanderer”, D. 649’, in *Music and Literature in German Romanticism*, ed. by Siobhán Donovan and Robin Elliott (Rochester, NY: Boydell & Brewer, 2004), pp. 165–82 (p. 166).

<sup>11</sup> Andrew Cusack, *The Wanderer in Nineteenth-Century German Literature: Intellectual History and Cultural Criticism* (Suffolk: Boydell & Brewer, 2008), p. 18.

novel, the early Romantic sensation of the discontent and dissatisfaction with the physical, social world is already apparent, for Wilhelm's journey might be said to be as much an escape from his social surroundings as a pilgrimage towards *Bildung*.<sup>12</sup> The influences Goethe's *Wilhelm Meisters Lehrjahre* had on the formation of the wanderer archetype in the artistic and literary works of the Romantic generation is indelible, and, as Theodore Gish points out, like Goethe, 'in the *Wanderschaft* itself, and in the mood of idleness and the spirit of freedom from confining responsibilities attending it, the romantics saw liberal attitude toward life in opposition to the philistine's regimented existence'.<sup>13</sup>

There is nevertheless a fundamental break between the wanderers portrayed in Romantic and Enlightened literary works. In distinction to the *Bildungsroman* of the Enlightenment, the wandering heroes (and heroines) of Romantic literature see wandering often not primarily as a progression towards attaining *Bildung*, but a continuous, potentially never-ending process of searching for that longed-for, ideal object (or subject)—the 'thing-in-itself' ('Ding an sich') in Kantian terminology—that, they believe, could reconcile the ontological discordance between themselves and the confined, physical world.<sup>14</sup> However, Romantic wanderers' longing for the infinite—which constantly propels the journey onwards and away from home—is essentially confronted by an equally strong sensation of homesickness or longing for homecoming.<sup>15</sup> The

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<sup>12</sup> See *ibid.*, p. 14 and Theodore Gish, "'Wanderlust' and 'Wanderleid': The Motif of the Wandering Hero in German Romanticism", *Studies in Romanticism*, 3 (1964), pp. 225–39 (p. 230).

<sup>13</sup> According to Gish, this Romantic tendency is exposed, especially, in the wanderers of Ludwig Tieck's *Franz Sternbalds Wanderungen*, Novalis's *Heinrich von Ofterdingen* (*Heinrich of Ofterdingen*, 1802), and Joseph von Eichendorff's *Ahnung und Gegenwart* (*Premonition and Present Time*, 1815). See Gish, "'Wanderlust' and 'Wanderleid'", p. 227.

<sup>14</sup> Cusack offers a perceptive discussion of this difference between the figures of the wanderer in Romantic literature and the *Bildungsroman* in *The Wanderer in Nineteenth-Century German Literature*, pp. 69–94.

<sup>15</sup> *Ibid.* See also Kanako Ishihama, 'Triangles of Soul—Schubert the "Wanderer" and His Music', (PhD dissertation, University of Oregon, 2017), p. 19.

ideal trajectory of the Romantic wanderer's journey is therefore the spiral,<sup>16</sup> or 'the circle' as Cusack claims, 'the completion of which brings the protagonist both to his origins and to a higher existential level'.<sup>17</sup> But given that rarely is this completion truly obtained, Cusack reckons that in Romantic literature wandering is often presented simultaneously as 'an end in itself [...] and as an unending process'.<sup>18</sup>

This trajectory of Romantic wanderers is exemplified in Georg Philipp Schmidt von Lübeck's poem 'Der Wanderer', in which the wanderer who, seeing himself as 'a stranger everywhere' ('ein Fremdling überall'), has been in search of a homeplace, though not an earthly home, but one that is idealised, which he envisages but has never found:

Ich komme vom Gebirge her,	I come from the mountains;
Es dampft das Tal, es braust das Meer.	the valley steams, the ocean roars.
Ich wandle still, bin wenig froh,	I wander, silent and joyless,
Und immer fragt der Seufzer: wo?	and my sighs for ever ask: Where?
Die Sonne dünkt mich hier so kalt,	Here the sun seems so cold,
Die Blüte welk, das Leben alt,	the blossom faded, life old,
Und was sie reden, leerer Schall,	and men's words mere hollow noise;
Ich bin ein Fremdling überall.	I am a stranger everywhere.
Wo bist du, mein geliebtes Land?	Where are you, my beloved homeland?

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<sup>16</sup> On the concept of the spiral and the Romantic aesthetic and philosophical outlook, see M. H. Abrams, *Natural Supernaturalism: Tradition and Revolution in Romantic Literature* (New York: Norton, 1971), p. 159; Marshall Brown, *The Shape of German Romanticism* (Ithaca, NY: Cornell University Press, 1979). See also Benedict Taylor's concise discussion in *Mendelssohn, Time and Memory: The Romantic Conception of Cyclic Form* (Cambridge: Cambridge University Press, 2011), pp. 18–26.

<sup>17</sup> Cusack, *The Wanderer in Nineteenth-Century German Literature*, p. 63.

<sup>18</sup> *Ibid.*

Gesucht, geahnt und nie gekannt!	Sought and brought to mind, yet never known!
Das Land, das Land, so hoffnungsgrün,	The land so green with hope,
Das Land, wo meine Rosen blühn,	the land where my roses bloom,
Wo meine Freunde wandeln gehn,	Where my friends walk,
Wo meine Toten auferstehn,	where my dead ones rise again,
Das Land, das meine Sprache spricht,	the land that speaks my tongue,
O Land, wo bist du?	O land, where are you?
Ich wandle still, bin wenig froh,	I wander, silent and joyless,
Und immer fragt der Seufzer: wo?	and my sighs for ever ask: Where?
Im Geisterhauch tönt's mir zurück:	In a ghostly whisper the answer comes:
„Dort, wo du nicht bist, dort ist das Glück!“	‘There, where you are not, is happiness!’ <sup>19</sup>

Schubert's setting of 'Der Wanderer' (D. 489, 1816) begins at the tempo of *Sehr langsam* with a piano introduction featuring a sombre, chromatic progression that prolongs C# major (bars 1–7; see Example 3.1). Given the key signature's indication of C# minor, the appearance of a C#-major harmony might already appear somehow 'illusory'; indeed, as the vocal line enters, the music quickly veers off from this harmony and instead shifts between C# minor and E major, which, as suggested by a number of scholars, correspond respectively to the bleak reality of wandering and the optimism or hope that keeps the wanderer going.<sup>20</sup> To this we might add that C# major is the

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<sup>19</sup> Both the original text and English translation are cited in Richard Wigmore, ed., *Schubert: The Complete Song Texts* (London: Gollancz, 1988), pp. 133–4.

<sup>20</sup> See, for instance, Harald Krebs, 'Some Early Examples of Tonal Pairing: Schubert's "Meeres Stille" and "Der Wanderer"', in *The Second Practice of Nineteenth-Century Tonality*, ed. by William Kinderman and Harald Krebs (Lincoln: University of Nebraska Press, 1996), pp. 17–33 (p. 23); and Fisk, *Returning Cycles*, p. 69.

ideal homeplace of the wanderer's fantasy, its unattainability is clearly suggested in the very beginning of the song. By the end of the song, this longed-for ideal home of C# major is, of course, never to be found, yet his journey is left open-ended with a positive tone in the key of E major (bars 64 ff.).

**Example 3.1:** Schubert, 'Der Wanderer', D. 489, bars 1–16.

*Sehr langsam.*

The musical score is presented in three systems. The first system (bars 1-6) shows the piano introduction with a treble clef and a bass clef. The piano part features triplets in the right hand and a melodic line in the left hand. Dynamics include *pp*, *cresc.*, *fz*, and *p*. The key signature is C# major. The second system (bars 7-11) includes the vocal line with lyrics: "Ich kom-me vom Ge-bir-ge her, es dampft das Thal, es braust das Meer, es braust das Meer." The piano accompaniment continues with dynamics *pp* and *f*. The key signature remains C# major. The third system (bars 12-16) shows the vocal line continuing with "Meer, es braust das Meer." The piano accompaniment features dynamics *cresc.*, *ff*, *fp*, and *pp*. The key signature changes to E major at the end of the system.

7  
Ich kom-me vom Ge-bir-ge her, es dampft das Thal, es braust das Meer, es braust das Meer.

12  
Meer, es braust das Meer.

C# F#m C#m E

As we know, Schubert openly recollected ‘Der Wanderer’ in his solo piano work, the ‘Wanderer’ Fantasy (D. 760, 1822). And just a few months before the Fantasy, he composed the short literary tale ‘Mein Traum’, in which the protagonist, not unlike the wanderer of the song, is ‘a stranger everywhere’ who wanders away from his earthly origin in searching for an ideal homecoming. In the tale, it is related that the protagonist, unable to integrate into his familial surrounding as all his brothers do, is disdained by his father and has then turned his steps away from home. After years of futile wandering, he is brought back home by the news of the death of his mother, only to realise that the conflict between him and his father cannot be resolved and, again, wanders into a distant land. During his second journey, he encounters the news of the death of a virgin—apparent parallelism of the death of his mother—yet this leads him not back to his earthly home, but to what is potentially the ideal, homely haven that he has been seeking: ‘around the tomb of the virgin formed a circle in which many youths and elderlies perpetually walk as though in bliss. [...] I, too, longed to walk there’. In this quasi-magical and presumably the most ‘dreamlike’ moment of ‘Mein Traum’, the protagonist then suddenly found himself ‘in the circle’ before he was even aware of it, and there, he ‘felt as though eternal bliss were compressed into a single moment’ and saw that his father ‘reconciled and loving’.<sup>21</sup>

The first movement of Schubert’s B♭ Major Piano Sonata, as I have mentioned, is a work that has frequently been interpreted in relation to the theme of the Romantic wanderer. Moreover, both Peter Pesic and Charles Fisk have identified certain expressive and structural correspondences

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<sup>21</sup> Schubert, ‘Mein Traum’ (1822). Cited in Otto Erich Deutsch, ed., *Schubert: A Documentary Biography*, trans. by Eric Blom (London: J. M. Dent, 1946), pp. 226–8, emphasis mine.

between this movement and ‘Mein Traum’. Central to the argument of both commentators is the idea that the way the music modulates to tonal regions that are remote from B $\flat$  major—the *home* key—and back parallels the circuitous trajectory of ‘exile’ and ‘homecoming’ as narrated in the tale.<sup>22</sup> Both Pesic and Fisk agree that the sudden turn from B $\flat$  major to F $\sharp$  minor in bar 48—the second key area in the Schubert’s trademark three-key exposition<sup>23</sup>—denotes the first exile or wandering of the protagonist while the arrival of the dominant key F major in bar 80 the homecoming (see Figure 3.1 for my reproduction of Suzannah Clark’s concise outline of these interpretations<sup>24</sup>). The reason for their readings of F $\sharp$  minor as exile is rather similar: F $\sharp$  minor is not only a minor key (therefore carries negative sensations), but the fact that the F $\sharp$ -minor triad is extremely close to the tonic and dominant triads—it is just a semitonal step away from these triads—yet shares no common tones with them also attributes to this key a distinctly alienating or remote quality. As Clark suggests, this interpretation of ‘distance’ may also be corroborated from a neo-Riemannian perspective, given that ‘F $\sharp$  minor is on the opposite side of the [hexatonic] cycle to B $\flat$  major; it is the “hexatonic pole”’.<sup>25</sup>

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<sup>22</sup> See Peter Pesic, ‘Schubert’s Dream’, *19th-Century Music*, 23 (1999), pp. 136–44; and Fisk, *Returning Cycles*, pp. 237–68.

<sup>23</sup> See Chapter 2, note 82.

<sup>24</sup> Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), p. 150.

<sup>25</sup> *Ibid.*, p. 154. It is worthy of note that the use of a direct juxtaposition between harmonies that stand on the two ends of a hexatonic pole, on the other hand, might also suggest the notions of the ‘supernatural’, ‘magical’, or as Richard Cohn calls it, the ‘uncanny’ (see Richard Cohn, ‘Uncanny Resemblances: Tonal Signification in the Freudian Age’, *Journal of the American Musicological Society*, 57 (2004), pp. 285–323).

**Figure 3.1:** Clark's outline of Pesic and Fisk's interpretations of Schubert's D. 960/i.

Exposition				Development			Recapitulation				
A	B	A'			A	B	A'	A	B	A'	
B $\flat$	G $\flat$	B $\flat$	F $\sharp$ m	F	C $\sharp$ m	Dm	B $\flat$	Dm	B $\flat$	G $\flat$ /F $\sharp$ m	B $\flat$
Home			1 <sup>st</sup> Exile	Return	2 <sup>nd</sup> Exile	2 <sup>nd</sup> Exile				Reconciliation	
				home	(Fisk)	(Pesic)					

In Pesic's interpretation, the second episode of exile and final homecoming in 'Mein Traum' find parallels respectively in the D-minor passage (bar 173–215) near the end of the development section and the reestablishment of B $\flat$  major (bar 215) in the recapitulation. As Pesic explains, the arrival of D minor, which marks 'the second move' within what he calls the 'circle of sixths', redoubles the estranged  $\flat vi$  to the enharmonic ' $\flat vi/\flat VI$ '—that is, the flat submediant of the flat submediant—and as such, symbolising a 'double banishment' that subsequently 'circles back to the home key, regaining the tonic through the most distanced separation'.<sup>26</sup> While Fisk concurs that the arrival of the recapitulation denotes the wanderer's homecoming, in his opinion, it is the abrupt shift from F major to C $\sharp$  minor at the onset of the development section (bar 117b) that sounds 'as if suddenly taking the protagonist back into exile'.<sup>27</sup> Thus for him the entire development section constitutes the second exile.

Even though the fundamental reasons behind Pesic and Fisk's key-choice for the second exile are similar—both D minor and C $\sharp$  minor represent some remote  $\flat vi$  regions—there are certain advantages to Fisk's interpretation. As Clark points out, it is not just that Fisk's reading of

<sup>26</sup> Pesic, 'Schubert's Dream', p. 138.

<sup>27</sup> Fisk, *Returning Cycles*, p. 247.

the second exile (F major–C# minor) ‘exactly replicates’ the harmonic relationship of the Bb major–F# minor shift of the first, but that it also ‘beautifully takes care of [...] the fact that we now hear the opening lyrical theme’ recast in C# minor, which aptly represents what Fisk construes as a ‘memory and reflection in exile’.<sup>28</sup> Fisk’s interpretation, furthermore, also fits perfectly with his broader argument that in Schubert’s mature instrumental works, the appearance of C# minor—a key corresponding to the notion of wandering in ‘Der Wanderer’—is frequently estranged from the global tonal scheme to an extent that it might not impossibly function in Schubert’s music as ‘the “Wanderer” key’.<sup>29</sup> Indeed, the fact that the development section, as he illustrates, contains ‘a virtual quotation’ of the piano introduction to ‘Der Wanderer’ also makes this reading especially convincing (cf. Example 3.1, bars 1–2 and Example 3.3, bars 159–60).<sup>30</sup>

Of course, it is not my concern in this chapter to elucidate the correlations between the Sonata and the actual content of the tale,<sup>31</sup> though, Pesic and Fisk’s analyses nevertheless proffer a number of illuminating perspectives to reflect on the potential aesthetic embodiment of the theme of the Romantic wanderer in the music. In the next section, I would like to expand on these as well as other ‘wanderer’ interpretations of this music in formulating my own interpretation, in which particular emphasis will be given to what I called the ‘dream scene’ in the development section.

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<sup>28</sup> Clark, *Analyzing Schubert*, p. 156.

<sup>29</sup> For Fisk’s discussion of the ‘Wanderer’ key in Schubert’s music, see this author’s *Returning Cycles*, especially pp. 60–80.

<sup>30</sup> Fisk, *Returning Cycles*, p. 73.

<sup>31</sup> It should be clarified that neither of the commentators has, in fact, claimed that ‘Mein Traum’ serves as an actual programme for the sonata. Fisk only suggests that the sonata ‘mirrors [...] the particular Schubertian psychology of “Mein Traum”’, while Pesic emphasises that he ‘do[es] not mean to say that this tale is the program for a particular musical work but that certain characteristic musical procedures find parallels in the symbolic patterns of the tale’ (Fisk, *Returning Cycles*, p. 268; Pesic, ‘Schubert’s Dream’, p. 136).

### The wanderer's dream and nightmare

Schubert's B $\flat$  Major Sonata starts famously with a lyrical opening phrase (bars 1–18) that, as it arrives at a HC, is suddenly arrested by a low, *pianissimo* G $\flat$  trill (bars 8–9) and even brought to a temporary pause thereafter before the consequent resumes (see Example 3.2). It is, in fact, not difficult to see why Pesic and Fisk were both tempted to interpret this music as related to the earthly home that displeases the protagonist of 'Mein Traum'. In this opening phrase, its *home*-key tonality, static tempo, soft dynamics (*pianissimo*), pure diatonicism, mid-range register, self-contained periodic structure—musical features that account for what Stephen Rodgers has characterised as Schubert's 'idyllic period'<sup>32</sup>—certainly afford to this music a sense of stability and cosiness that can readily be heard as the homely state of the protagonist, while the unsettling G $\flat$  trill, on the other hand, suggests the estranged feeling he<sup>33</sup> has in this state.<sup>34</sup>

The trill returns soon after the cadential arrival of the consequent (bar 18), and this time, oscillating between B $\flat$  and C $\flat$  before it suddenly draws the music into a G $\flat$ -major region that is prolonged above a G $\flat$ -pedal over sixteen bars (bars 20–35). This abrupt shift to the  $\flat$ VI key as

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<sup>32</sup> Stephen Rodgers, 'Schubert's Idyllic Periods', *Music Theory Spectrum*, 39 (2017), pp. 223–46.

<sup>33</sup> I postulate a male subject in my interpretation because figures of the wanderer featured in Schubert's works (including all his songs and 'Mein Traum') are predominantly of this gender.

<sup>34</sup> Pesic states that he 'take[s] the opening to parallel Schubert's happy family at the opening of his tale, and the G $\flat$  stranger to parallel the dreamer, the prodigal son on whom the story turns', while in Fisk's opinion, 'from wherever the [opening] theme may come, the trill comes from somewhere else' (Pesic, 'Schubert's Dream', p. 139; Charles Fisk, 'What Schubert's Last Sonata Might Hold', in *Music and Meaning*, ed. by Jenefer Robinson (Ithaca, NY and London: Cornell University Press, 1997), pp. 179–200 (p. 179)).

The peculiarly foreign, estranged quality of the trill has also been noted by commentators other than Pesic and Fisk. Donald Francis Tovey, for instance, described this trill as a 'ghostly, distant thunder'; for Byron Almén it 'suggests a degree of unconsciousness', while for Joe Davies, it 'emerges *ex nihilo*' (Donald Francis Tovey, 'Franz Schubert (1797–1828)', in *The Mainstream of Music and Other Essays* (Oxford: Oxford University Press, 1949), p. 119; Byron Almén, *A Theory of Musical Narrative* (Bloomington: Indiana University Press, 2008), p. 143; and Joe Davies, 'Interpreting the Expressive Worlds of Schubert's Late Instrumental Works' (DPhil dissertation, Oxford University, 2019), p. 37).

well as the subsequent prolongation of it exemplify the sense of inward expressivity that is central to the dream-characterisation of my ‘Category 2’: this represents a ‘moment musical’, or in Richard Taruskin’s words, ‘time-out-of-time’.<sup>35</sup> If, as Fisk writes, in these bars the ‘protagonist individuates himself [i.e., from the opening choral music] through the trill to make a first, charmed exploration of the G $\flat$ -major territory’,<sup>36</sup> this exploration might nonetheless be seen as an introspective one—a reverie or daydream. And as if the protagonist becomes greatly fascinated by this territory, from bar 27 onwards, an animated quaver line arises in the right hand and further doubles its speed to semiquaver, conveying a sense of liveliness and excitement.

A series of augmented sixth chords in bars 34–5, played *crescendo* and in triplets, soon pulls back the music from G $\flat$  major to B $\flat$  major (bar 36), where the opening phrase is heard once again. However, after his venture to G $\flat$  major, the protagonist seems to find himself no longer able to remain in the ‘earthly home’ of B $\flat$  major. In the opening phrase’s reprise, as it can be seen, many of those musical features that are previously suggestive of the static homely state are remarkably absent. Here, not only are the quavers of the left-hand accompaniment accelerated to the onward-pressing triplets and the dynamic level increased to *forte*, but even the tonality of B $\flat$  major is rendered less stable by the presence of a dominant pedal (see Example 3.2). As the authentic cadential progression is about to round off this passage in the home key, moreover, a  $\sharp 4$ / $\flat 3$  diminished seventh chord (bar 45) intrudes upon the music and initiates an enharmonic modulation to the key of F $\sharp$  minor, crudely leading to the first episode of exile or wandering (bar 48).

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<sup>35</sup> Richard Taruskin, *The Oxford History of Western Music*, 5 vols. (Oxford: Oxford University Press, 2005), iii: *The Nineteenth Century*, p. 110. See also Chapter 1 for a discussion of the idea of the ‘time-out-of-time’ as it pertains to the modern-day reception of Schubert’s late instrumental music.

<sup>36</sup> Fisk, *Returning Cycles*, p. 242. See also his discussion in ‘What Schubert’s Last Sonata Might Hold’, p. 196.

**Example 3.2:** Comparison of the opening phrase and its reprise in the exposition of D. 960/i.**(P) opening phrase, static**

*Idyllic period*  
antecedent

*pp*

consequent

*pp*

**(P) opening phrase reprise, animated**

*not periodic*

*p*

V pedal

*decresc.*

*cresc.*

*ff*

In the exile region of F# minor, a new thematic material featuring a dactylic rhythm (marked ‘motif  $x_1$ ’ in Example 3.3) or what Fisk characterises as ‘the “Wanderer” rhythm’<sup>37</sup>—a rhythmic pattern that is closely associated with passages of wandering in ‘Der Wanderer’—arises

<sup>37</sup> See Fisk, *Returning Cycles*, p. 155.

in the left hand. (It should be clarified, however, that the dactylic rhythm is not an uncommon gesture in Schubert's oeuvre and could hardly constitute a 'Wanderer' rhythm without being sufficiently contextualised within a reading of the Romantic wanderer and alongside the Sonata's other tonal and motivic references to 'Der Wanderer', such as those identified by Fisk.)<sup>38</sup> Yet, unlike the song, in which modulation to the relative major—the key of hope and optimism<sup>39</sup>—occurs almost effortlessly, here, this process is constantly hindered. The modulatory progression towards the relative key (A major), for instance, is denied in bar 53 by the  $\frac{6}{5}$  dominant chord of F# minor, through which the music resumes the minor key (bar 54); while on the other hand, the A major successfully attained in bar 58 is immediately deflected to the region of D minor in the next bar. Xavier Hascher aptly describes this peculiar tonal trajectory as featuring a series of 'detours, wrong tracks, and dead ends'.<sup>40</sup>

This expansive passage of futile wandering is eventually brought to an end in bar 70 with the music now having returned to the tonic region. The newly established tonic harmony there gradually gives way to a prolonged dominant of the dominant (bars 74–9), which finally brings about F major with a reassuring PAC (bar 80). The passage that follows (bars 80–99), the third group,<sup>41</sup> appears almost like a brightened counterpart of the music in F# minor. Here, the previously monotonous triplets become the buoyant arpeggios adorned with staccatos, while the trudging dactylic rhythm assumes a lightly dance-like character (marked 'motif  $x_2$ ' in Example

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<sup>38</sup> See notes 29 and 30.

<sup>39</sup> See note 20.

<sup>40</sup> Xavier Hascher, 'Detours, Wrong Tracks and Dead Ends: The Wanderer in the Labyrinth of Schubert's Late Instrumental Music', in *Schubert's Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 263–81 (p. 269).

<sup>41</sup> Clark suggests that this passage might also be considered a closing section if the PAC that leads to the dominant at bar 80 is read as what James Hepokoski and Warren Darcy coin the 'essential expositional closure' or 'EEC' (*Analyzing Schubert*, p. 149, note 12).

3.3). If the music in F $\sharp$  minor denotes a desolate phase of wandering that comes to no fruition, then the F-major theme, with its lively characteristics and dominant tonal function, might be understood as a homebound journey towards B $\flat$  major. Regarding this music, it could be interpreted that the musical protagonist, like that of the tale, seeks to return to his earthly home after failing to find the way to the ideal homeplace of his longing.<sup>42</sup>

In spite of its cheerful characteristics, the F-major theme is nonetheless darkened and disrupted at times, as though the protagonist still finds himself unreconciled or unresolved with the earthly home towards which he is heading (that is, B $\flat$  major). In the counterstatement of this theme (bars 86–99), for instance, the cadential progression is arrested abruptly, upon which the music momentarily disintegrates into a fragmented or ‘absentminded’ state (to borrow Karol Berger’s word),<sup>43</sup> therein flashing past some darker harmonies such as D $\flat$  minor (bar 95)—which foreshadows the ‘Wanderer’ key C $\sharp$  minor of the development section—and a diminished seventh chord (bar 96). The disconcerting feeling that lurks behind the F-major music is even more striking in the post-cadential prolongation that follows the PAC at bar 99. There, the codetta material is suddenly drawn into G minor (bar 103) and progresses through an ascending half-step sequence to the keys of A $\flat$  minor (bar 104) and A minor (bar 105) before this is abruptly brought to a halt. And significantly, the closer this process gets to the region of B $\flat$  the louder and more fragmented

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<sup>42</sup> My understanding of the F-major theme as suggesting a homebound journey is slightly different from both Pesic and Fisk’s readings, in which it is implied that this theme denotes that the wanderer has returned home after his excursion.

<sup>43</sup> Karol Berger uses this term to denote ‘a momentary loss of direction’ which he observed frequently in Beethoven’s music. See this author’s *Bach’s Cycle, Mozart’s Arrow: An Essay on the Origins of Musical Modernity* (Berkeley and London: University of California Press, 2007), pp. 293–352 (p. 294).

it becomes, with its dynamic level increased to *fortissimo* and the sequential material reduced to a two-quaver fragment as it arrives at A minor.

This momentary disruption is dispelled in bar 106, in which the music resumes the dactyl motif—now expanded (marked ‘motif  $x_3$ ’ in Example 3.3)—and a dominant tonal trajectory. In the first expositional ending (bars 117a ff.), the prolonged dominant tonality, now carried out by a series of semiquaver pairs and truncated  $x_3$  (marked ‘motif  $x_3$ ’), soon escalates into the forcefully hammering dominant seventh chords, and subsequently the very same  $G_b$  trill—played here *fortissimo* and with *sforzando* articulation—right before returning to  $B_b$  major (bar 1). In the expositional repeat, the protagonist then returns to the earthly home only to retrace the familiar path of exile ( $F\sharp$  minor) and homecoming (F major) once more.<sup>44</sup>

In the second expositional ending (bar 117b), the dominant tonality swiftly switches to its hexatonic pole ( $C\sharp$  minor) for the development section, in this way also suspending the homebound journey of F major  $\rightarrow$   $B_b$  major, sounding ‘as if suddenly taking the protagonist back into exile’, to cite Fisk.<sup>45</sup> Differently from Fisk, though, I read this exile as one in a dreaming state—that is, a ‘dream scene’—that takes place on the protagonist’s way back to  $B_b$  major. While Pesic points out that ‘the dreamy quality of this movement is evident from the very first measures’,<sup>46</sup> it is the development section that appears to me to be particularly dreamlike. It is not just that the hexatonic-pole shift with which the development section begins—as distinct from its

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<sup>44</sup> Both Pesic and Fisk have paid little attention to the expositional repeat, presumably because it would add to their interpretations one more cycle of exile and homecoming than the tale.

<sup>45</sup> Fisk, *Returning Cycles*, p. 247.

<sup>46</sup> According to Pesic, ‘this quality depends on the *pianissimo* hush and the gliding rhythm, but even more on a kind of harmonic stasis’ (‘Schubert’s Dream’, p. 138).

earlier and also more dramatic counterpart—features a hush, *pianissimo* dynamic and attenuating momentum that can be aptly viewed as evocative of a slumberous, inwardising state.<sup>47</sup> But that, as we shall see, in this section, a number of fantastic processes as well as musical gestures that resemble the stylised features of dreams are also readily perceptible.

The development section starts with a despondent opening episode in C# minor—the ‘Wanderer’ key and also a key closely related to F# minor (the ‘exile’ key of the exposition). This episode’s connection to the earlier episode of exile in the second group immediately becomes clear as it moves to F# minor in bar 122 (here, the recollection of the first-group theme also sounds rather like a defamiliarised, ambiguous figure from dreams especially with its melodic contour gradually dissolving into an amorphous flux). Following this, moreover, the repetition of the first-group theme in this key is succeeded by the thematic material of the F#-minor passage (bars 125–7)—that is, motif  $x_1$  (see Example 3.3)—through which the music is then led back to C# minor (bar 128). In bar 131, the expected cadential arrival is interrupted by a deceptive cadence, upon which, like a sudden change of scenarios that often happens in dreams,<sup>48</sup> the music now presents a new episode that is based on the third group (the theme of homecoming as I have suggested). It is also from here onwards that Pesic’s suggestion that the development section ‘is a moment that might look like Schubert “sleepwalking”, moving aimlessly from key to key’ becomes the most revealing.<sup>49</sup>

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<sup>47</sup> Fisk also hears an inward quality here, noting that with this shift to C# minor, ‘the protagonist finds himself still an outsider, [...] but instead turning inward and becoming more reflective than in the F#-minor moment of his banishment’. But for him, this inward quality represents not so much dreaming as ‘remembering’ and ‘memory’ (‘What Schubert’s Last Sonata Might Hold’, p. 197).

<sup>48</sup> This feature is known in modern dream research as ‘discontinuity’, which is one of the three ‘bizarre elements’ that are identified as characteristic of the dream (see, for instance, Allan Hobson, *The Dreaming Brain* (London: Penguin, 1990), pp. 257–69; and Antti Revonsuo and Christina Saimivalli, ‘A Content Analysis of Bizarre Elements in Dreams’, *Dreaming*, 5 (1995), pp. 169–87).

<sup>49</sup> Pesic, ‘Schubert’s Dream’, p. 140.

**Example 3.3:** The ‘Wanderer’ rhythmic motif in D.960/i exposition and development.

**2nd group**

49  $x_1$

**3rd group**  $x_2$

80

**Closing**  $x_3$

106

114

**Dev. (opening)**

119

127

**Dev. (second half)**

151

159

Starting from A major (bar 131), this third group-based passage first digresses to the lower chromatic neighbour of G# minor (bar 137) and then modulates from there to B major (bar 140). This meandering tonal process, in addition, is unfolded along the highly disorienting hypermetre

of 4 + 2 + 3 with its dynamics constantly shifting between *forte* and *piano*, invoking a confounding sense of fantasia-like irregularity both tonally and metrically. This process is then retraced sequentially a whole step higher in B major and, importantly, this time, through B $\flat$  minor (bar 146), it arrives *fortissimo* at the key of D $\flat$  major with an authentic cadence (bar 149). Thus, in this first half of the development section (bars 118–49), the very same homecoming theme that previously leads back to B $\flat$  major—albeit here fantasticised and dreamlike—rounds off the tonal trajectory spirally (or positively at least) with a triumphant arrival of the enharmonic parallel-major counterpart of the desolate C $\sharp$  minor that marks its origin. Regarding this tonal process, Fisk writes: ‘the tonal trajectory of which this melody marks the completion—from C $\sharp$  minor indirectly to D $\flat$  major—is hopeful, especially in its reversal of the earlier movement from G $\flat$  major to F $\sharp$  minor and in its incorporation of the major and its parallel minor into an experiential continuum’.<sup>50</sup> Taking our cue from Fisk, it might be interpreted that the protagonist, whose earlier journey in F $\sharp$  minor in the exposition only ends in futility, can at least find himself an ideal homeplace obliquely—that is, via not directly G $\flat$ /F $\sharp$  but C $\sharp$ /D $\flat$ —in his journey in the dream.

‘In the perspective of the Romantic ironist’, however, there is ‘no dream that may not become a nightmare: nothing is pure or constant, everything is alloyed and mutable’, alerts June Smith.<sup>51</sup> This irony of dreams turning into nightmares is expressed in Theodor Körner’s ‘Sehnsucht der Liebe’—set to music by Schubert in the same title (D. 180, 1815)—cited as an epigram in this chapter. And this is also exposed in the development section here. The exultant

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<sup>50</sup> Fisk, ‘What Schubert’s Last Sonata Might Hold’, p. 197.

<sup>51</sup> June Smith, ‘Cole Porter in the American Musical Theatre’, in *Drama, Dance and Music*, ed. by James Redmond (Cambridge: Cambridge University Press, 1981), pp. 47–70 (p. 55).

arrival of D $\flat$  major brought by the first half of the development section is immediately dissolved, through a descending arpeggio, into a single D $\flat$  in the low register played repeatedly at a quaver pulse (bars 149–50), while the dynamic level decreases drastically from *fortissimo* to *piano*. The music between bars 149 and 150, comparable to what I called a ‘threshold gesture’ that is typically used in Schubert’s songs to demarcate between different states of consciousness, can be heard as functioning here to separate between two dreams, or a fulfilling dream and a nightmare.

The second half of the development section begins with the dactyl outlining the  $\hat{1} - \hat{3} - \hat{5}$  degrees of the D $\flat$ -major triad against a monotonous D $\flat$  pedal (bar 150; marked ‘motif  $x_4$ ’ in Example 3.3). This musical gesture, though hardly an uncommon one, does seem to bear a certain resemblance to the first bar of ‘Der Wanderer’ in particular, except that here the registers of the dactylic rhythm and the pedal point are inverted upside-down (with the dactyl played by the right hand and the pedal the left hand) and the frequency of the pulsating pedal lessened to quavers—the resemblance between the two is also manifested in the same dynamic level (*pianissimo*) and outer pitches with which both musical passages begin (cf. Example 3.1, bar 1). It is also this gesture here that will soon develop into what Fisk considered to be ‘the virtual quotation of the beginning of that song’.<sup>52</sup> While in the song the opening C $\sharp$ -major harmony is immediately unsettled in the second bar, in the Sonata on the other hand, the tonality of D $\flat$  major is prolonged by a four-bar segment (bars 151–4) that outlines a I – ii – V – I progression over a tonic pedal, suggesting a sense of homely stability that is not presented in the song.

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<sup>52</sup> Fisk, *Returning Cycles*, p. 240.

Yet, it soon becomes clear that central to this second half of the development section is not so much the attainment of an ideal homeplace as the banishment from it. The moment of comfort granted by the prolonged D $\flat$ -major harmony between bars 151 and 154 does not last for long and is essentially lost when the four-bar segment that serves to prolong this harmony, by its repetition, quickly veers off from D $\flat$  major and cadences instead on E major (bar 158). There in E major, the segment (now expanded to five bars) is again repeated, and it is with regard to the first half of this segment (bars 159–60) that Fisk notes what strikes him as a quotation of the opening bars of ‘Der Wanderer’. Aside from the difference in keys and frequency in the pulsating pedal, it is not just that the dactyl and the pedal now appear in the same register as the song—with the dactyl played in the left hand and the pedal the right hand—but that the intervallic patterns addressed by the dactyl, the harmonic progression, and even the way in which the major tonic harmony is disrupted by the dissonant minor seconds in the following bar are analogous.<sup>53</sup>

Just like in the song, in which the wanderer is prompted to set off on his journey outwards in the wake of the decline of the C $\sharp$ -major region, in the Sonata it is also after the loss of the D $\flat$ -major harmony that the music starts to launch an incessant progression that drives the tonality further and further away from D $\flat$  major. Following the progression from E major to an apparent A-minor harmony in the ‘quotation’, from bar 161, the accelerated harmonic rhythm and downwards seconds in the latter half of the segment lead the tonality, through D minor (bar 161) and G major (bar 162), towards the key of C major (bar 163). Through another repetition of this segment, importantly, the progression along the route of the circle of fifths is carried further—through the keys of F (bar 164), B $\flat$  (bar 165), E $\flat$  (bar 166), and A $\flat$  (bar 166)—and climaxes with

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<sup>53</sup> In Fisk’s words, these two bars are ‘in a melodic, harmonic, registral, and textural disposition that is almost identical to that of the very opening of “Der Wanderer”’ (*Returning Cycles*, p. 79).

the arrival of C# minor at bar 167. In this way, therefore, the tonal trajectory from C# minor to Db major in the first half of the development section is reversed. The expressive significance of this remarkable return to C# minor is specifically accentuated through the increase of the dynamic level to *forte* as well as the intensification of the chordal motion in the right hand to the fiercely hammering triplet chords. As the incessant circle-of-fifths progression continues thereafter, the musical tension is heightened furthermore by the ever-expanding volume and the octave doubling of the descending seconds in the bass in bar 169. This intensifying process leads all the way to the *fortissimo* arrival of D minor (bar 171), culminating there with purportedly the most forceful outbreak in the entire movement—the ‘second banishment’ in Pesic’s reading.

Following the climactic outbreak, the music instantly disintegrates into a stream of softly repeated chords (bar 173), against which both the dactylic rhythm and the descending seconds from the segment have quietly resurfaced. However, as though the music is left in an aftershock following the foregoing disturbance, the continuous chordal motion here (the ‘single-minded consciousness’, as discussed in Chapter 1, ‘Category 2’) is mildly perturbed by the notes of C# and Db, whose transient appearances—first in the bass line (bars 174–9) and then the soprano line (bars 180–185)—constantly unsettle the D-minor harmony with an augmented sonority. From bar 186 onwards, importantly, the dactylic rhythm that has pervaded through the development section is superseded by the return of the low trill—here oscillating between E# and D—following which the first theme with which it is closely associated also returns. And with the second appearance of the trill (bar 192), played *decrescendo*, the tonality even shifts suddenly to the home key (Bb major), until another trill (C–Bb) appears six bars after (bars 198–9) and leads it back to D minor. Due, in part, to the way in which Bb major is approached—through semitonal displacement (L

transformation) rather than dominant preparation—and, in part, to the fact that this key is enclaved within D minor, the appearance of B $\flat$  major here might sound not so much a real homecoming as the presentiment of the eventual return of the *home* key. This B $\flat$ -major passage, as Fisk states, ‘allude[s] to the home key without really going there’. In line with Fisk, Nicholas Marston, too, notes that ‘this is a tonic that does not—yet—represent “home”’.<sup>54</sup>

It is in bar 203 that the dominant seventh harmony of B $\flat$  major is enacted in preparing for retransition. In this section, as though the protagonist is about to wake from his dreaming state, the ‘single-minded’ chordal motion is rendered intermittent (bars 203–9). The music gradually dissipates into a single descending scalar line that leads, through a *decrescendo*, seamlessly to a *pianississimo* G $\flat$  trill (bar 212), which is then repeated two octaves lower in its original register (bars 214–5) right before the *home* key is returned to in the recapitulation (note here a ‘threshold’ gesture). Both Pesic and Fisk relate the retransition to the sense of reconciliation that marks the ideal homecoming of the finale of ‘Mein Traum’: Pesic sees that in the retransition, ‘the dreamer unites the discordant forces of his dream in a solitary voice’,<sup>55</sup> while for Fisk, ‘it is a stillness that awaits an epiphany’.<sup>56</sup> Marston, on the other hand, argues that due to the enormous reduction in the dynamic level and musical texture, this music cannot be simply heard as a matter of ‘a satisfactory return “home”’:

By the end of its 13-bar span, the dominant of bars 203–15 seems to be looking not so much homeward as straight ahead into a void. Rather than shoring up and affirming whatever force the

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<sup>54</sup> Fisk, *Returning Cycles*, p. 252; and Nicholas Marston, ‘Schubert’s Homecoming’, *Journal of the Royal Musical Association*, 125 (2000), pp. 248–70 (p. 251).

<sup>55</sup> It is not entirely clear here whether the ‘dream’ in Pesic’s interpretation refers to the development section alone or the exposition–development complex.

<sup>56</sup> Pesic, ‘Schubert’s Dream’, p. 141; and Fisk, *Returning Cycles*, p. 253.

initial dominant might possess, this music sounds more like a leaching away of the limited power to reach home possessed by that particular, attenuated harmony in the first place. Epiphany is not to be encountered here.<sup>57</sup>

To me, similarly, this retransition seems only to re-confirm that the regaining of the home-key region is not intended to be a moment of celebration in this movement. And this is indicated also in the parallelism between this retransition and the displeasing ‘homecoming’ brought by the first expositional ending—both sections emphasise the relation of the unsettling G $\flat$  trill to B $\flat$  major (cf. bars 120a–1 and bars 214–5). Rather than effectuating a triumphal homecoming, the music of the retransition seems to represent more readily the protagonist’s hesitation about the inevitable return to B $\flat$  major, his earthly home.

In the recapitulation, a singularly most remarkable change occurs in the middle section of the first group. While in the exposition, this music features an uninterrupted, prolonged G $\flat$ -major harmony (bars 19–35), here, G $\flat$  major suddenly shifts to the parallel key F $\sharp$  minor (bars 238–42), directly echoing bars 121–3 in the opening of the development section. If the G $\flat$ -major passage in the exposition, as I have suggested, is an idyllic daydream, this momentary flashback of F $\sharp$  minor might be taken as an indication that the protagonist, now under the shadow of the ironic dream-nightmare shift of the development section, can no longer fantasise about the ideal home of his longing without remembering that not even in dreams may this be obtained. To cite Fisk, ‘the protagonist now grasps more fully the implications of his fascination with the trill, the F $\sharp$  minor that its G $\flat$  major, in the world of this sonata, necessarily implies’.<sup>58</sup> Significantly, Marston discerns

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<sup>57</sup> Marston, ‘Schubert’s Homecoming’, p. 252.

<sup>58</sup> Fisk, *Returning Cycles*, p. 253.

astutely that compared to the exposition, the way this G $\flat$ /F $\sharp$  middle phrase in the recapitulation returns to B $\flat$  major (bar 255)—via a dominant seventh harmony on A—also prominently dramatises the sense of ‘unhomeliness’ that is inherent in this key throughout the Sonata’s first movement: ‘The root-position tonic harmony that attends the return of the main theme is made to sound like a flattened submediant, an upper chromatic neighbour to an A ‘dominant’’. Thus, again, continues Marston, “‘home’ [...] is made a foreign place’.<sup>59</sup>

The remainder of the recapitulation is mainly a tonal adaptation of the exposition music. As Pesic says, the ‘exile’ theme now appears not on the hexatonic pole of the home key (F $\sharp$  minor), but in B minor, ‘as an enharmonic Neapolitan (= bii, C $\flat$  minor) hovering over the tonic, and readily sinking back to it’ by the arrival of the third group. Thus the tonal scheme of the recapitulation ‘confirm[s] and consolidate[s] the sense of return’.<sup>60</sup> Accordingly, the second and third groups of the recapitulation might be interpreted as representing not so much ‘exile’ and ‘homecoming’ as the reflection or recollection of these earlier events in the earthly home.<sup>61</sup> However, that the protagonist’s conflict with this region still has not been properly reconciled is explicitly told in the coda, in which the disturbing G $\flat$  trill resurfaces yet once again right when a concluding PAC is about to be attained, thereby accompanying the movement from the beginning till its very end (see Figure 3.2 for an outline of my full ‘wanderer’ interpretation of this movement).

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<sup>59</sup> Marston, ‘Schubert’s Homecoming’, p. 265.

<sup>60</sup> Pesic, ‘Schubert’s Dream’, p. 141.

<sup>61</sup> A similar reading of reflection and recollection in the recapitulation is also suggested by Fisk: ‘To the extent that narratives rarely end with near-exact repetitions of their beginnings, movements in classical sonata forms abandon narrative paradigms in favor of purely musical ones. If, in any case, this music comes closer to emotionally charged recollection and reflection than to an actual series of events, then its formal repetitions pose no threat to an interpretation that, instead of mapping every musical event into a narrative equivalent, incorporates storylike sequences into an interior tableau of recollective meditation’ (‘What Schubert’s Last Sonata Might Hold’, p. 198).

**Figure 3.2:** An outline of my ‘wanderer’ interpretation of D. 960/i.

<b>Exposition</b>				
1 <sup>st</sup> Group			2 <sup>nd</sup> Group	3 <sup>rd</sup> Group
1	20	36	48	80
B $\flat$	G $\flat$	B $\flat$	F $\sharp$ m	F
Home	Reverie	Home	Wandering	Homecoming
(stable)		(leaving)	(1 <sup>st</sup> and 2 <sup>nd</sup> )	

<b>Development</b>									
118		149	150	167	168	173	174	193	199
C $\sharp$ m		→ D $\flat$	D $\flat$	→ C $\sharp$ m	5 <sup>th</sup> seq.	Dm	Dm	B $\flat$	Dm
Wandering (3 <sup>rd</sup> )		Home		Banishment					
<i>Dream</i>		(ideal)	<i>Nightmare</i>						

<b>Recapitulation</b>					<b>Coda</b>
1 <sup>st</sup> Group			2 <sup>nd</sup> Group	3 <sup>rd</sup> Group	
215	235	255	267	299	336
B $\flat$	G $\flat$ (F $\sharp$ m)	B $\flat$	Bm	B $\flat$	
Return home	Reverie		Recollection		
( <i>no reconciliation</i> )	(perturbed)				

So far, I have interpreted the first movement of Schubert's B $\flat$  Major Piano Sonata according to the theme of the Romantic wanderer. And similar to Pesic and Fisk, I read this music's diatonically functioned harmonies as representing subjective aspects that are related to the protagonist's earthly home and hexatonically positioned keys associated with his longing and wandering. Central to my discussion here is the dream scene of the development section, in which the fulfilment of the protagonist's unmet longing is immediately superseded by a nightmarish reversal, constituting a bitter irony that overshadows even the recapitulation.

The strength of the protagonist's (and many Romantic wanderers') obsession, as well as its associated drama of the ironic dream-nightmare contrast, certainly call attention to their psychological significance. To attain a fuller discussion, in the following sections, I will delve into these subjective aspects from the standpoint of psychoanalytic criticism. The venerable Freudian psychoanalytic approach to dream interpretation, which emphasises the notion of wishes and issues pertaining to their fulfilment in dreams, would be a good place for us to start this investigation.

### **A Freudian reading: 'A dream is the fulfilment of a wish'**

That 'a dream is the fulfilment of a wish',<sup>62</sup> as Freud argued famously in *Die Traumdeutung* (*The Interpretation of Dreams*, 1899), is a crucial concept of the Freudian model of psychoanalytic dream-interpretation. While this Freudian dictum, read at face value, offers a fitting description of the fulfilling dream of the first half of the development section, to do so is to miss the fundamental insights of Freud's theory. When discussing Freudian dream-interpretation, it is important to note that the type of wishes emphasised by the psychoanalyst is not simply any wishes or daytime fancies that occupy the conscious mind, but rather those that are much darker and essentially

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<sup>62</sup> Sigmund Freud, *Die Traumdeutung* (*The Interpretation of Dreams*, 1899), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. by James Strachey, 24 vols. (London: Hogarth, 1953–74), iv: *The Interpretation of Dreams (First Part)*, p. 122.

hidden or *repressed* from the subject's mundane awareness—that is, the *unconscious wishes*, which are nonetheless intrinsically related to their conscious counterparts.

In Freudian psychoanalysis, unconscious wishes 'are invariably of a reprehensible nature, repulsive from the ethical, aesthetic and social point of view—matters of which one does not venture to think at all or thinks only with disgust'. 'These wishes', he continued, 'are first and foremost manifestations of an unbridled and ruthless egoism'.<sup>63</sup> The unconscious mind, however, is not simply a hermetic faculty entirely severed from conscious experiences, but rather one that, as Freud averred, 'knows no other aim than the fulfilment of wishes', and it actively and continuously seeks to find expression in the conscious and preconscious systems wherever possible.<sup>64</sup> It is within this theoretical framework that Freud's dictum 'a dream is the fulfilment of a wish' can be more fully comprehended.

According to Freud, in sleep, due to 'a lowering of the resistance which guards the frontier between the unconscious and the preconscious', the wishes that are expunged from conscious awareness in a waking state could find freer expression.<sup>65</sup> For Freud, the majority of our dreams are the resultant of the psyche's attempts at bringing imaginary fulfilment to our unconscious wishes. And in addition to providing an important locale for satisfying the wishful impulses of the unconscious, dreams, he emphasised, are at the same time 'the guardians of sleep' that ensure that these despicable, repressed wishes are only fulfilled in censored, unrecognisable forms, lest they

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<sup>63</sup> Freud, *Vorlesungen zur Einführung in die Psychoanalyse (Introductory Lectures on Psycho-Analysis, 1916–7)*, in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xv: *Introductory Lectures on Psycho-Analysis (Parts I and II)*, p. 142.

<sup>64</sup> Freud, *Die Traumdeutung*, in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, v: *The Interpretation of Dreams (Second Part) and On Dreams*, p. 568. Freud's position that the unconscious mind operates solely in accordance with the wishful impulse—or what he would call 'the pleasure principle'—was revised in a later work 'Jenseits des Lustprinzips' ('Beyond the Pleasure Principle', 1920), where he investigated beyond the pleasure principle and proposed what he considered the more primitive mechanism of compulsion to repeat (see Chapter 5 for a more detailed discussion of this Freudian concept).

<sup>65</sup> Freud, *Die Traumdeutung*, p. 542.

arouse distressing emotions and anxiety that could potentially interrupt one's sleep. From a Freudian perspective, the dream is thereby stratified into two layers: the *manifest* content and the *latent* content. The latent content denotes the unmitigated unconscious wishes that the dream serves to fulfil, of which the manifest content—that is, the dream as it appears to the dreamer—is merely a disguised representation.<sup>66</sup>

The mechanism responsible for transfiguring the latent content to the less- or non-disturbing manifest content is called, in Freudian terminology, the *dream-work*. And, according to Freud, the most important process in the dream-work is *dream-displacement*—the decentralisation or transvaluation of a psychically intense latent dream-thought by an indirect allusion to it in the manifest content. 'No other process contributes so much to concealing the meaning of a dream and to making the connection between the dream-content and the dream-thoughts unrecognisable', asserted Freud.<sup>67</sup> As a result of the displacement, the dreamer's emotions originally attached to that latent wish would be transferred to a safer stand-in and the manifest content would then 'become so unlike the latent dream-thoughts that no-one would suspect the presence of the latter behind the former'.<sup>68</sup> Thus the task of Freudian dream analysis is 'to unravel what the dream-work has woven' and illuminate the aspects of the unconscious that latently disturb conscious activities.<sup>69</sup>

Regarding the Sonata, I have suggested that the first half of the development section could be interpreted as a dream that fulfils the longing—that is, conscious wish—with which the protagonist is preoccupied. In fact, in *Die Traumdeutung*, Freud alerted that the process of dream-

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<sup>66</sup> For a discussion on the manifest and latent contents, see Freud's chapter 'Distortions in Dreams' in *The Interpretation of Dreams*, pp. 134–62.

<sup>67</sup> Freud, *Über den Traum* (*On Dreams*, 1901), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, v, p. 654.

<sup>68</sup> Freud, *Vorlesungen Zur Einführung In Die Psychoanalyse*, p. 140.

<sup>69</sup> Freud, *Über den Traum*, p. 686.

displacement is probably at work when it ‘appear[s] as though the conscious wish alone had been realised in the dream’.<sup>70</sup> He explained—with emphasis—that ‘*a conscious wish can only become a dream-instigator if it succeeds in awakening an unconscious wish with the same tenor and in obtaining reinforcement from it*’.<sup>71</sup> Our unconscious wishes, he continued, ‘are always on the alert, ready at any time to find their way to expression when an opportunity arises for allying themselves with an impulse from the conscious and for transferring their own great intensity on to the latter’s lesser one’.<sup>72</sup> If the dream foregrounds the fulfilment of a particular conscious wish, therefore, it is likely to be the case that the conscious wish *per se* is already a displacement of some unconscious wish.

The development section of the Sonata’s first movement, as I have interpreted, opens with a ‘fulfilling dream’ in which the attainment of Db major brings about a spiral completion of the protagonist’s journey from C# minor, in this way obliquely fulfilling his longing that is expressed in the tonalities of Gb and F#. One possible way of applying Freud’s theory to the interpretation of this music would be to see the underlying trajectory of C# minor → Db major—the principal ‘fulfilling’ element in this passage—as representing a latent content, which is disguised in the manifest content as the fulfilment of the protagonist’s conscious wish for an ideal homecoming, in particular, through materials from the ‘waking state’ of the exposition (this reading resonates sympathetically with the perspective of Schenkerian analysis, which, developed around the same time as Freud’s psychoanalytic theory, similarly emphasises an understanding of the musical ‘foreground’ in terms of its deeper, fundamental ‘background’.<sup>73</sup>)

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<sup>70</sup> Freud, *Die Traumdeutung*, p. 553.

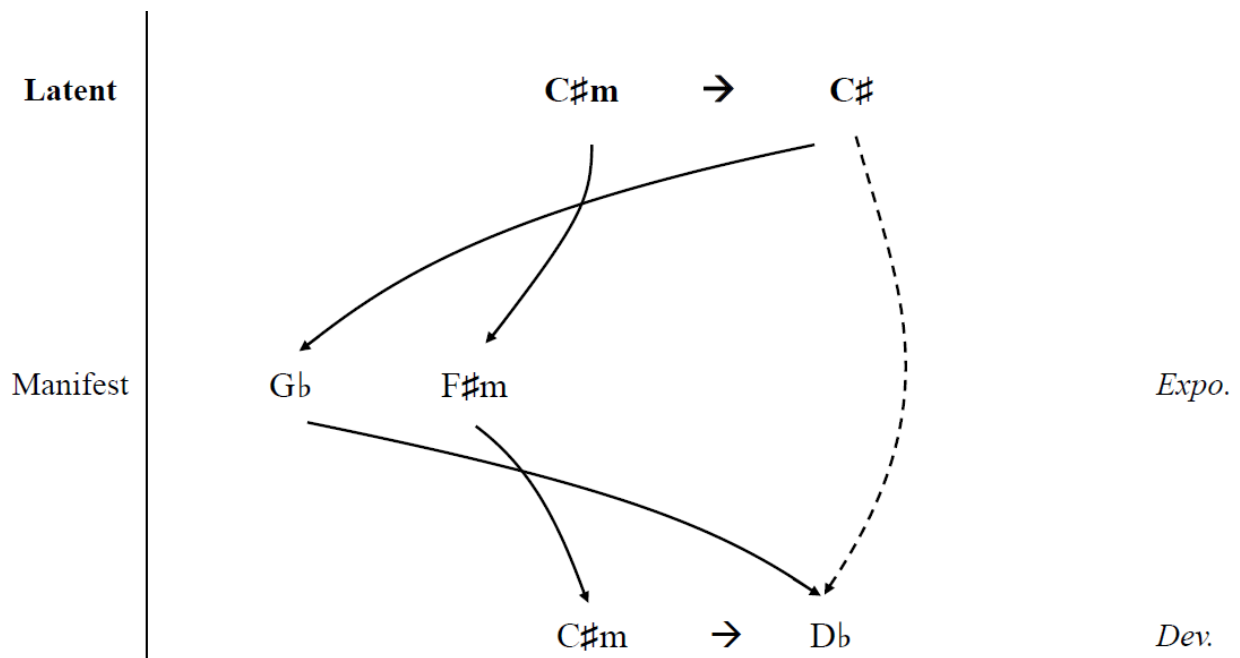
<sup>71</sup> *Ibid.*

<sup>72</sup> *Ibid.*

<sup>73</sup> Holly Watkins has also discussed the concept of ‘background’ in Schenkerian theory in terms of the unconscious: ‘The “hidden,” “secret” realm that Schenker sought to penetrate resembles a musical unconscious, whose

In this light, it might be said that it is G $\flat$  major and F $\sharp$  minor (related to the protagonist's conscious wish) that are the 'oblique' expression or displacement of C $\sharp$  minor and D $\flat$  major—the former awaken the latter—but not the other way around as I suggested previously (following Fisk). This Freudian reading of displacement is illustrated in Figure 3.3 (see below) through solid arrows. Furthermore, the apparent enharmonic substitution of D $\flat$  major, in addition, might be seen as constituting yet another dream-displacement, serving to obfuscate what would be the real latent trajectory of C $\sharp$  minor  $\rightarrow$  C $\sharp$  major—of which D $\flat$  major is a displacement (see Figure 3.3, dashed arrow). We might continue this Freudian reading further by investigating what the displaced latent content might potentially hold, and to do so, it is essential first to draw on what Freud called *the Oedipus complex*.

**Figure 3.3:** Illustration of a Freudian reading of displacement in the tonality of D. 960/i.



psychological corollary Freud theorized during the very same period' (*Metaphors of Depth in German Musical Thought: From E. T. A. Hoffmann to Arnold Schoenberg* (Cambridge: Cambridge University Press, 2011), p. 172).

The Oedipus complex, referred to in Freudian psychoanalysis typically as the infantile wishes for sexual involvement with the parent of the opposite sex and the death of the parent of the same sex, is seen by Freud as a universal psychological phenomenon that occurs as a necessary stage in the maturing process of the human psyche. While under ideal circumstances, the Oedipus complex would be resolved naturally with the infant's renunciation of such incestuous and aggressive wishes on one hand and its identification with the parent of the same sex on the other hand, unsuccessful dissolution of it results in its repression, and when this happens, according to Freud, these wishes would persist 'in an unconscious state [...] and will later manifest its pathogenic effect'.<sup>74</sup>

For Freud, the obsession or longing for home or homeland in adulthood is utterly a condition that has its pathological root in the Oedipus complex. In *Das Unbehagen in der Kultur* (*Civilisation and its Discontents*, 1930), he claimed that the physical home of human beings is 'a substitute for the mother's womb, the first lodging, for which in all likelihood man still longs, and in which he was safe and felt at ease'.<sup>75</sup> Similar comparison is also made in Freud's earlier writing 'Das Unheimlich' ('The Uncanny', 1919), in which he described the mother's body as 'the former Heim [home] of all human beings [...] the place where each one of us lived once upon a time and in the beginning'.<sup>76</sup> 'Love is home-sickness', he then stated, 'and whenever a man dreams of a

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<sup>74</sup> Freud, 'Der Untergang Des Ödipuskomplexes' ('The Dissolution of the Oedipus Complex', 1924), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xix: *The Ego and the Id and Other Works*, p. 177.

<sup>75</sup> Freud, *Das Unbehagen in Der Kultur* (*Civilization and Its Discontents*, 1930), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xxi: *The Future of an Illusion, Civilization and its Discontents, and Other Works*, p. 91.

<sup>76</sup> Freud, 'Das Unheimliche' ('The Uncanny', 1919), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xvii: *An Infantile Neurosis and Other Works*, p. 245.

place or a country and says to himself, while he is still dreaming: “this place is familiar to me, I’ve been here before”, we may interpret the place as being his mother’s genitals or her body’.<sup>77</sup>

Following Freud, it could be said that the latent trajectory of C# minor → C# major in the development section, in fact, brings fulfilment to the protagonist’s unconscious wish of being ‘inside’ the mother again.<sup>78</sup> It is the maternal body—the primal home—that is truly the ‘geliebtes Land’ (‘beloved homeland’) of the wanderer’s longing, and for this reason, no physical, earthly home can sufficiently provide him with the sense of homeliness that he yearns for. The protagonist’s dissatisfaction with the home key of B♭ major belies a complaint from the unconscious that, to cite Freud, ‘Life makes me so unhappy! I must get back into the womb!’.<sup>79</sup> This reading also illuminates the sudden intrusion of the D♭-minor harmony upon the homebound journey of F major → B♭ major in the exposition third group (bar 95): this harmony—a displacement of C# minor (the wishful impulse)—is what truly seeks for a ‘homecoming’. Freud’s theory of dream interpretation, as we have seen, provides a fitting framework for the discussion of the fulfilling dream of the first half of the development section.<sup>80</sup> I shall now continue to discuss how it might also help contextualise the nightmare that follows.

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<sup>77</sup> The connection between the home and the maternal body is also suggested in Freud’s discussion of symbolism in dreams. He explained that in dreams ‘the female genitals are symbolically represented by all such objects as share their characteristic of enclosing a hollow space which can take something into itself [...] Some symbols have more connection with the uterus than with the female genitals: thus, cupboards, stoves and, more especially, rooms. Here room-symbolism touches on house-symbolism’ (*Introductory Lectures on Psycho-Analysis*, p. 156).

<sup>78</sup> Freud argued that the wish of returning to the mother’s womb might imply a bisexual nature. The wish of being ‘inside’ the mother realises, on the one hand, one’s sexual impulse for the mother, and on the other hand, one’s wish of substituting the mother during her sexual intercourse with the father. See Freud, ‘Aus Der Geschichte Einer Infantilen Neurose’ (‘From the History of an Infantile Neurosis’, 1918 [1914]), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xvii, pp. 100–103.

<sup>79</sup> Freud, ‘Aus Der Geschichte Einer Infantilen Neurose’, p. 100.

<sup>80</sup> Freud, *Die Traumdeutung*, p. 160, parentheses and emphases original.

Despite his conviction that ‘*a dream is a (disguised) fulfilment of a (suppressed or repressed) wish*’, Freud at times found himself compelled to admit that there are certain exceptions to his grand theory—especially nightmares that present the dreamer with apparently unpleasant and painful experiences that would hardly appear ‘fulfilling’. The *punishment dream* that seems to go in the contrary direction to the trajectory of wish-fulfilment is one of these exceptions that is of particular relevance to my current interpretation.<sup>81</sup> Regarding punishment dreams, Freud explained that they are

a reaction-formation against the [latent] dream-thoughts, a rejection and complete contradiction of them. Such offensive action as this against the dream can only be ascribed to the critical agency of the ego [i.e., the superego] and it must therefore be assumed that the latter, provoked by the unconscious wish-fulfilment, has been temporarily re-established even during the sleeping state.<sup>82</sup>

In short, instead of fulfilling the mischievous wishes of the unconscious—or the *id* in the psychostructural model—the punishment dream gratifies the ‘unconscious (that is to say, preconscious)’ wishes of the self-critical censor or super-ego to punish the *id* for realising those unacceptable wishful impulses. Thus, according to Freud, the punishment dream is caused not by the forbidden unconscious wishes *per se*, but rather the fulfilment of those wishes, which might have occurred in the dreamer’s daytime fantasies, an immediately preceding dream, and so on.<sup>83</sup>

Accordingly, in the Sonata, following the fulfilment of the protagonist’s repressed wish in the first half of the development section, the ensuing nightmare can be viewed as one that is driven

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<sup>81</sup> The punishment dream ought not to be confused with the traumatic nightmares. Though, both types of dreams are considered by Freud to be the exceptions from his theory that dreams are fulfilments of wishes. In ‘Bemerkungen zur Theorie und Praxis der Traumdeutung’ (‘Remarks on the Theory and Practice of Dream-Interpretation’, 1923) Freud stated that ‘So far as I can at present see, dreams that occur in a traumatic neurosis are the only *genuine* exceptions, and punishment dreams are the only *apparent* exceptions, to the rule that dreams are directed towards wish-fulfilment’ (*The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xix, p. 118).

<sup>82</sup> *Ibid.*, p. 118.

<sup>83</sup> Freud, *Die Traumdeutung*, p. 558

by the punitive impulse of the super-ego. As punishment against the fulfilment of that forbidden wish of ‘homecoming’, in his nightmare, the protagonist is banished from the ideal home at which he has just arrived and returns to a ‘homeless’ state (D $\flat$  major  $\rightarrow$  C $\sharp$  minor). From a Freudian perspective, the protagonist’s nightmare is the necessary cost he has to pay for his day- and night-time fancies—or more accurately, the incestuous impulse for which they stand—while, at the same time, also a warning that this longing must *not* be fulfilled.

The musical processes from the development section of the first movement of the Sonata aptly represent two dreams that, respectively, account for the Freudian wishful dream and punishment dream, of which the Oedipus complex is the underlying psychological cause. My investigation of the music will be continued in the following section from a Lacanian perspective. This timelier approach, as we shall see, offers especially insightful perspectives on matters of the Oedipus complex, through which more light could be shed on the notions of longing and dreams in the music.

### **From Freudian *Wunsch* to Lacanian *désir***

A substantial part of Lacan’s work, as he himself declaimed, is a ‘return to Freud’.<sup>84</sup> However, in doing so, Lacan has obviously attained a degree of originality that is so radical that it can hardly be seen as Freudian in any traditional sense. One of Lacan’s significant revisions is his claim that crucial to Freud’s theory in *Die Traumdeutung* is the notion of *désir* (or ‘desire’), whose meaning is closer to the German term *Begierde* despite Freud’s reference to this category as *der Wunsch*

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<sup>84</sup> Jacques Lacan, ‘La Chose freudienne ou Sens du retour à Freud en psychanalyse’ (‘The Freudian Thing, or the Meaning of the Return to Freud in Psychoanalysis’, 1955), in *Écrits: A Selection*, trans. by Alan Sheridan (London: Routledge, 2001), pp. 87–110.

(‘wish’).<sup>85</sup> Differently from a wish—which, according to Lacan, is directed at a specific aim and would cease to motivate the wishing subject upon the fulfilment of that aim—he explained that desire is essentially ‘the desire for nothing nameable’.<sup>86</sup> In a Lacanian sense, desire is an indestructible, ever-pressuring force that cannot be represented *in toto* as any definable wishes via verbal or symbolic means, but is instead trained on the endless reproduction of something new that seeks to account for that quintessentially unrepresentable surplus and, for this reason, there can be no possible, one-and-for-all fulfilment to be realised.<sup>87</sup> For Lacan, the dream is precisely a process through which this unnameable, ‘this x’ as he put it, is being named or signified, rather than simply representations of fulfilled wishes in disguise.<sup>88</sup> To elucidate this, Lacan drew particularly on the punishment dream, which, he expounded, signifies not so much the wish to be punished as ‘the desire for what the punishment is repressing’.<sup>89</sup>

Just like Freud’s unconscious wish, the bedrock of the Lacanian desire is also the Oedipus complex. Lacan proposed that the Oedipus complex is inaugurated when the infant realises that there exists in the mother (that is, the maternal figure, regardless of its gender) a desire directed at something beyond the infant itself.<sup>90</sup> The infant thus desires to become the object it hypothesises that the mother desires (the *phallus* in Lacanian terminology) so that the *jouissance* experienced

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<sup>85</sup> See Ellie Ragland, ‘Dreams According to Lacan’s Re-Interpretation of the Freudian Unconscious’, *Parallax*, 6 (2000), pp. 63–81 (p. 65).

<sup>86</sup> Lacan, *The Seminar of Jacques Lacan, Book II: The Ego in Freud’s Theory and in the Technique of Psychoanalysis, 1954–1955*, ed. by Jacques-Alain Miller, trans. by Sylvana Tomaselli (New York: W. W. Norton, 1988), pp. 223–4.

<sup>87</sup> See, for instance, Néstor A. Braunstein, ‘Desire and Jouissance in the Teachings of Lacan’, in *The Cambridge Companion to Lacan*, ed. by Jean-Michel Rabaté (Cambridge: Cambridge University Press, 2003), pp. 102–15.

<sup>88</sup> Lacan, *The Seminar of Jacques Lacan, Book II*, p. 211.

<sup>89</sup> Lacan, ‘La direction de la cure et les principes de son pouvoir’ (‘The Direction of the Treatment and the Principles of its Power’, 1958), in *Écrits*, pp. 173–215 (p. 196).

<sup>90</sup> In Lacan’s formulation of the Oedipus complex, though, the mother and father of the heteronormative familial structure from the Freudian model are reinterpreted as the non-biologically gendered articulators of the maternal and paternal functions.

in that imagined state of originary oneness with the mother can be recovered. This phase lasts until the occurrence of *symbolic castration*, the time when the infant comes to the recognition that its desire for being the phallus for the mother is prohibited by *the law* exerted by the father—the figure whom the infant identifies as the possessor of the phallus. It is through symbolic castration that the infant could master the *Symbolic register*—the sphere of socio-linguistic laws or structures decisive for the social existence of human beings. In this case, the infant relinquishes its forbidden desire and pursues, in accordance with the law, substitute objects that it imagined could bring back that lost *jouissance*: as Lacan stated, ‘castration means that *jouissance* must be refused, so that it can be reached on the inverted ladder of the law of desire’.<sup>91</sup>

Lacan called the object-cause of human desire the *objet petit a* (*a* stands for *autre*, the French term for other), which is ultimately ungraspable, yet nonetheless continuously causes the desiring subject to fantasise certain empirical objects to be capable of completing his or her permanent lack. The *objet petit a* is ‘the object of a surplus of *jouissance* and, at the same time, a lost *jouissance*’, explains Néstor A. Braunstein.<sup>92</sup> From a Lacanian perspective, the compulsion of the archetypal Romantic wanderers (as embodied in ‘Der Wanderer’ and my interpretation of the Sonata) to withdraw from their social and familial surroundings can be construed as symptomatic of their refusal of castration and obtaining the Symbolic register, and the pathological desire for returning to the originary mother-child dyad resulting from this refusal might be the underlying reason for their fervent longing for a non-existent home. Regarding the Sonata, moving from Freudian psychoanalysis to Lacan’s ‘return to Freud’, it can be said that C# major would be the *objet petit a* or that unnameable *x* upon which the protagonist’s desire is conditioned. The very

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<sup>91</sup> Lacan, ‘Subversion du sujet et dialectique du désir dans l’inconscient freudien’ (‘The Subversion of the Subject and the Dialectic of Desire in the Freudian Unconscious’, 1960), in *Écrits*, pp. 223–49 (p. 247).

<sup>92</sup> Braunstein, ‘Desire and *Jouissance* in the Teachings of Lacan’, p. 110.

displacement of C# major by Db major in the fulfilling dream of the development section aptly corroborates Lacan's standpoint that *désir*, unlike *der Wunsch*, can never be fulfilled, not even in dreams.<sup>93</sup>

Aside from its insights into Romantic wanderers' longing and distance from the social world, the Lacanian concept of the *objet petit a* is also particularly suitable for explaining the obsession with death typical of these wandering figures, such as the wanderers of Schubert's *Die schöne Müllerin* (*The Fair Maid of the Mill*, D. 795, 1823) and *Winterreise*—the former drowned himself in a river while the latter constantly searches for a death place. As Ellie Ragland explains from a Lacanian perspective, given that 'no substitute can ever be the "real thing" [...] repetitions [of the process of searching] bear the structure of obsession, pointing to the death in desire, i.e., the impossible task of finding Oneness'.<sup>94</sup> Ruth Parkin-Gounelas goes on to observe that 'the original lost object (the *objet petit a*) is as close as it will ever be to attainment at the moment of death at the tragic climax'.<sup>95</sup> Purportedly, the immense strength of their desire is also what has driven the wanderers of both Schubert's song cycles to their respective tragic ends: caught between the obsessive desire for the lost *jouissance* and the essentially unattainable *objet petit a*, death thus becomes the only possible exit for the subject.

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<sup>93</sup> Lacan, for instance, wrote: 'Although Freud there [in *Die Traumdeutung*] goes over the thousand empirical forms which this desire can acquire, there isn't a single analysis which ends up with the formulation of a desire. Desire is, in the end, never unveiled there. Everything happens on the steps, in the stages, on the different rungs of the revelation of this desire. [...] Fundamentally, when Freud speaks of desire as the mainspring of symbolic formations, from the dream to the joke via all the facts taken from the psychopathology of everyday life, he is always concerned with this moment when what comes into existence via the symbol isn't yet, and hence can in no way be named' (*The Seminar of Jacques Lacan, Book II*, p. 211).

<sup>94</sup> Ellie Ragland, *Essays on the Pleasures of Death: From Freud to Lacan* (New York: Routledge, 1995), pp. 144–81.

<sup>95</sup> Ruth Parkin-Gounelas, *Literature and Psychoanalysis: Intertextual Readings* (Basingstoke: Palgrave, 2001), p. 101.

This Lacanian understanding of the *objet petit a* and death offers a potential avenue to further our discussion of the psychological content gleaned from the dream scene of the Sonata's first movement into the second movement—a movement regularly described as representing death in its modern-day reception.<sup>96</sup> To do so, we might side with Fisk and see ‘the remaining three movements of the sonata [...] do not so much continue a story as focus on other aspects of the psychological world introduced and explored in the first movement’.<sup>97</sup> (Alternatively, the second movement on its own may be interpreted as representing the subjectivity of a Romantic wanderer that simply resembles that of the first movement. Both approaches provide a plausible frame for a reading where the protagonist's death does not coincide with the end of the work.<sup>98</sup>)

With regard to the second movement, Arthur Rubinstein commented that ‘there is nothing else as close as this music that shows us what death feels like’,<sup>99</sup> Claudio Arrau noted that ‘the proximity of death is almost palpable’,<sup>100</sup> while, more recently, Eric Wen describes this music as the ‘final lullaby before death’.<sup>101</sup> The despondent feeling of this music is immediately apparent in the opening bars. The movement begins directly in the ‘Wanderer’ key, C# minor, sounding *pianissimo* with a lamenting melody in the middle register played against what Fisk hears as a varied dactylic rhythm (marked ‘motif  $x_5$ ’ in Example 3.4a) that spreads across three octaves in the left hand. Here, the slow tempo, sparse musical texture, descending lament, and, especially, the stumbling feeling bear striking expressive resemblances to the opening music of Schubert's

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<sup>96</sup> See notes 99, 100, and 101.

<sup>97</sup> Fisk, ‘What Schubert's Last Sonata Might Hold’, p. 198.

<sup>98</sup> For a detailed discussion of the figure of the Romantic wanderer as it pertains to the third and fourth movements of the Sonata, see Fisk, *Returning Cycles*, chapter 9.

<sup>99</sup> Arthur Rubinstein's commentary cited in Harvey Sachs, *Rubinstein: A Life* (New York: Grove Press, 1995), p. 336.

<sup>100</sup> Claudio Arrau, sleeve notes to *Schubert Sonata in B flat* (Claudio Arrau, Philips, 9500 928, 1981, LP record).

<sup>101</sup> Eric Wen, ‘Schubert's Wiegenlied: The Andante Sostenuto from the Piano Sonata in B-Flat, D. 960’, in *Schubert's Late Music*, pp. 134–48 (p. 148).

suicidal wanderer from ‘Der Müller und der Bach’ (‘The Miller and the Brook’), the penultimate song of *Die schöne Müllerin* (see Example 3.4b). Not unlike the song, this movement, too, could be interpreted as a Romantic wanderer’s striving for obtaining the *objet petit a* in death.

**Example 3.4:** Schubert, a) B♭ Major Piano Sonata, D. 960, ii, bars 1–6; b) ‘Der Müller und der Bach’, bars 1–6.

a) **Andante sostenuto**

b) **Mässig.**

After the eight-bar prolongation of C♯ minor in the opening, the music proceeds to a prolonged dominant harmony, within which a series of rising sequences in the right hand, played *crescendo*, gradually culminates with a *forte* dominant chord in bar 12 (see Example 3.5a). Yet instead of resolving to the tonic region, the affirmative forward-driving motion is thereafter arrested for one whole bar (bar 13), following which arriving *pianississimo* at E major through a P–L switch (bar 14). Even though the desolate music in C♯ minor is brightened herein by a major mode, it seems that the key of E major does not quite provide the sense of satisfaction that one has desired for. Indeed, if a major mode is to be attained, the underlying harmonic progression clearly

points towards the key of C# major rather than E major as its goal. Thus when it arrives, the relative key (E major), a supposedly much more conventional tonal goal than C# major in the key of C# minor, does sound rather jarring in this context.

**Example 3.5:** Schubert, Bb Major Sonata, D. 960, ii, a) bars 9–14; b) bars 98–103; c) bars 119–

23.

a) 9

*cresc.* - - - - *f* *decresc.* *pp*

C#m: V ————— E  
(stand-in for C#?)

b) 98

*cresc.* - - - - *f* *decresc.* *pp*

C#m: V ————— C  
(stand-in for C#?)

c) 119

*pp* ————— *ppp*

C#m: i iv i<sup>4</sup> V<sup>7</sup> i ————— C#: I  
(not via V)

Viewing from a Lacanian standpoint, it might be said that C# major is the *objet petit a* (as in the preceding movement), while E major its stand-in or substitution. That E major is not the key

from which true repose can be found has become clear when, following its arrival, the I – V tonal trajectory that drives towards an authentic cadence in this key is renounced by a deceptive move (bar 30), which duly reverts the tonality to C# minor. The reprise of the opening section after the contrasting middle section reaches another potential juncture for obtaining C# major (bar 102). And this time, even more ironically, a dominant, G#-major chord identical to that of bars 12–4 is resolved *a semitone too low* to C major, whose unalloyed radiance immediately suggests a sense of deceptiveness and illusoriness (bars 101–3; see Example 3.5b). Once more, the *objet petit a* veers away right when it is about to be grasped. Just as it is taught by Lacan that the *objet petit a* can never be obtained through the normal circuit of desire, C# major's constant failure to materialise through its dominant indicates the futility of pursuing this key along that more conventional route. As it can be seen, approaching the end of the movement (bar 134), it is only by *not* entering the regular tonal trajectory (that is, not via the dominant as it did previously but rather a direct parallel-key switch) that the music finally modulates to C# major and has arrived at a PAC of this key (see Example 3.5c).

‘In death and only in death,’ Parkin-Gounelas remarks, ‘can the tragic hero(ine) find a satisfying resolution’ to his or her desire.<sup>102</sup> In the music, the unobtrusive, *pianississimo* turn to C# major, as well as the way the tranquil music played in this key gradually disintegrates into loose, non-thematic fragments (bars 134 ff., comparable to the final bars of ‘Der Müller und der Bach’), are, to me, what represent most profoundly the death of a subjectivity. The virtual protagonist in my interpretation of this movement thus shares a similar fate with Schubert's wanderers from *Die schöne Müllerin* and *Winterreise*: the failure to recognise that the real meaning

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<sup>102</sup> Parkin-Gounelas, *Literature and Psychoanalysis*, p. 101.

of human existence is not so much to attain the *objet petit a*, but rather ‘to orbit it perpetually’ as Kenneth Smith says,<sup>103</sup> is arguably what dragged these desiring subjects down that radical path of self-destruction.

## Conclusion

‘I am done with all dreams. Why should I linger amongst slumberers?’ declaims the wanderer hero of *Winterreise*.<sup>104</sup> I have discussed in the preceding chapter that the dream is a faculty of fantasy celebrated by the Romantics as an important middle-ground for mediating the paradox between humans’ finite existence and their yearning for the infinite. To Romantic wanderers, however, the dream is often just another unwanted burden, which constantly teases their fervent longing, bringing them the fulfilment they seek only to torment them with the experience and re-experience of the pain of loss. In this chapter we have seen exactly how, in the development section or ‘dream scene’ of the B♭ Major Piano Sonata, the fulfilling process of the (virtual) wanderer’s dream is undone ironically by a succeeding nightmare, inflicting a sense of distress that overcasts even the music that comes after. These dreams as well as other related subjective aspects of the music become more transparent when scrutinised vis-à-vis the psychoanalytic notion of the Oedipus complex. The protagonist’s sufferings are indeed ill-fated and unfortunate; but if Freud (and Lacan) were right, these are no less the appropriate recompense for his transgressive unconscious wishes.

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<sup>103</sup> Kenneth M. Smith, ‘The Tonic Chord and Lacan’s Object *a* in Selected Songs by Charles Ives’, *Journal of the Royal Musical Association*, 136 (2011), pp. 353–98 (p. 372).

<sup>104</sup> ‘Ich bin zu Ende mit allen Träumen—Was will ich unter den Schläfern säumen?’ Both the original text and English translation are cited in Wigmore, ed., *Schubert: The Complete Song Texts*, p. 370.

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The dream and nightmare of the Sonata, through the lens of psychoanalytic theories, could be understood respectively as relating to the self's shadowy, dark side and its conscience. This duality of the human mind that has drawn so much attention in the field of psychoanalysis is, in fact, also a topic that enthralled many thinkers of the Romantic era. In art and literature, this is exposed especially in the Romantics' prevalent use of the motif of the *Doppelgänger* or double, which, not unlike those hidden—unconscious or preconscious—aspects of the self emphasised by psychoanalysis, often finds itself active in dreams. This Romantic concept of the *Doppelgänger* is one that Schubert was personally familiar with, and importantly, as we shall see in the next chapter, it could also proffer some useful insights for us to rethink the dream aesthetic of his music.

## Chapter 4: Doppelgänger Dreams

*The machinery for dreaming planted in the human brain was not planted for nothing.*

*That faculty, in alliance with the mystery of darkness, is the one great tube through  
which man communicates with the shadowy.<sup>1</sup>*

Thomas De Quincey, *Suspiria de Profundis (Sighs from the Depths)*, 1845)

In book XI of his autobiography *Dichtung und Wahrheit (Poetry and Truth, 1811–33)*, Johann Wolfgang von Goethe recounted ‘one of the most singular forebodings [that] took possession of’ him during his ride to Drusenheim:

I saw, not with the eyes of the body, but with those of the mind, my own figure coming toward me, on horseback, and on the same road, attired in clothes which I had never worn [...] As soon as I shook myself out of this dream, the figure had entirely disappeared.<sup>2</sup>

This eerie experience of Goethe sets out a theme that would not be easily mistaken by any readers conversant with Romantic literature—that is, the visionary, dreamlike encounter with one’s Doppelgänger or double.

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<sup>1</sup> Thomas De Quincey, *Suspiria de Profundis*, in *The Collected Writings of Thomas De Quincey*, ed. by Grevel Lindop, 21 vols. (London: Pickering Masters, 2000–2003), xv, p. 130.

<sup>2</sup> ‘[...] und da überfiel mich eine der sonderbarsten Ahnungen. Ich sah nämlich, nicht mit den Augen des Leibes, sondern des Geistes, mich mir selbst, denselben Weg, zu Pferde wieder entgegen kommen, und zwar in einem Kleide, wie ich es nie getragen [...] Sobald ich mich aus diesem Traum aufschüttelte, war die Gestalt ganz hinweg’. Johann Wolfgang von Goethe, *The Auto-Biography of Goethe: Truth and Poetry: From My Own Life*, trans. by John Oxenford (Cambridge: Cambridge University Press, 2013), p. 433, translation slightly modified.

The Doppelgänger (literal translation ‘double-goer’), first coined by Jean Paul in *Siebenkäs* (1796) to denote ‘people who see themselves’,<sup>3</sup> is a literary device that can be dated back to Plautus’s *The Two Menaechmuses* (c. 215–185bc) and Shakespeare’s *The Comedy of Errors* (c. 1589–94). In these earlier comedies, it served primarily to articulate the theme of mixed and mistaken identity between characters. In the Romantic period however, catalysed by the heightened scientific and philosophical interest in the exploration of the ‘night side’ of human consciousness (as promoted by such figures as Anton Mesmer and Gotthilf Heinrich von Schubert), the motif of the double assumed a more introspective role. Rather than simply displaying characters resembling each other in appearance or personality, figures of the double in the literary works of E. T. A. Hoffmann, Heinrich Heine, Edgar Allan Poe, Fyodor Dostoevsky, and so on can be more readily construed as personifications of fictional characters’ latent self *ab intra*—the ‘I’ and ‘not-I’ at once.<sup>4</sup> And corresponding to this shift, the inward, ‘night-side’ states of dreams, reveries, and hallucinations also became the most common locations for encountering the double.

That Schubert—himself possessing contrasting personalities or ‘a double nature’ as his friends noticed<sup>5</sup>—was both acquainted with and interested<sup>5</sup> in the literary motif of the double is most clearly revealed in his song ‘Der Doppelgänger’ contained in *Schwanengesang* (*Swan Song*, D. 957, 1828), a setting of Heine’s untitled poem from *Die Heimkehr* (*Homecoming*, 1827).<sup>6</sup> Not

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<sup>3</sup> ‘Leute, die sich selber sehen’. Jean Paul, *Blumen-, Frucht- und Dornenstücke; oder, Ehestand, Tod und Hochzeit des Armenadvokaten F. St. Siebenkäs* (1796), in *Sämtliche Werke*, ed. by Norbert Miller, 6 vols. (Munich: C. Hanser, 1959–84), iii, p. 67.

<sup>4</sup> Compared to that of these Romantic writers, the motif Doppelgänger in Jean Paul’s works is arguably less ‘psychologised’, and hence considered by Andrew J. Webber as belonging to ‘fictional worlds which are more properly back-dated reconstructions of the literature of *Empfindsamkeit*’ (*The Doppelgänger: Double Visions in German Literature* (Oxford: Oxford University Press, 1996), p. 11).

<sup>5</sup> See, for instance, Christopher Howard Gibbs’s chapter (titled ‘Dark Schubert: “A Black-Winged Demon of Sorrow and Melancholy”’) in *The Life of Schubert* (Cambridge: Cambridge University Press, 2000), pp. 91–114.

<sup>6</sup> Michael Hall even suggests a connection between the double nature of Schubert and his interest in the motif of the Doppelgänger (see Michael Hall, *Schubert’s Song Sets* (Aldershot: Ashgate, 2002), pp. 248–9 and 272–5).

only is the title ‘Der Doppelgänger’ chosen by Schubert himself but even Heine’s original spelling ‘Doppeltgänger’ in the text is, in Schubert’s song, replaced by the more commonly used ‘Doppelgänger’.<sup>7</sup> In modern musicology, the motif of the Doppelgänger has also been regularly deployed to interpret Schubert’s instrumental music (though, rarely in light of the notion of dreams).<sup>8</sup> In revisiting this familiar motif, this chapter seeks, in particular, to explore the way in which the intricate relationship between the Doppelgänger and the dream might be said to be embodied in Schubert’s instrumental music. Two musical case studies will be examined for this purpose: the first movements of the E♭ Major Trio (D. 929, 1827) and the A Major Piano Sonata (D. 959, 1828).

At the heart of nineteenth-century writers’ use of the Doppelgänger motif is the inner discordance and dualism of human beings—such as moral conflict, fatalism and free will, and so on—and, needless to say, to discuss these issues without considering their psychological context ‘would be not only unrealistic, but unreal’, as John Herdman argues.<sup>9</sup> In current criticism, psychoanalysis—especially the approaches derived from Freud and Jung—remains one of the most widely deployed avenues to engage with the psychological aspects of the Doppelgänger motif in Romantic works.<sup>10</sup> Freud’s theory of the uncanny is probably the most influential approach so

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<sup>7</sup> This is discussed in David Løberg Code, ‘Listening for Schubert’s “Doppelgängers”’, *Music Theory Online*, 1 (1995) <<https://mtosmt.org/issues/mto.95.1.4/mto.95.1.4.code.html?q=mto/issues/mto.95.1.4/mto.95.1.4.code.html>> [accessed 19 August 2021].

<sup>8</sup> See Lawrence Kramer, ‘Revenants: Masculine Thresholds in Schubert, James, and Freud’, *Modern Language Quarterly*, 57 (1996), pp. 449–77 and *Franz Schubert: Sexuality, Subjectivity, Song* (Cambridge: Cambridge University Press, 1998), pp. 54–9; Joe Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’ (DPhil dissertation, Oxford University, 2019), pp. 33–59.

<sup>9</sup> John Herdman, *The Double in Nineteenth-Century Fiction* (Basingstoke: Macmillan, 1990), p. 4.

<sup>10</sup> The literature on the Freudian (and Lacanian) reading of the Doppelgänger motif in Romantic literature is extensive: important contributions to corpus include, for example, Rosemary Jackson, ‘Narcissism and Beyond: A Psychoanalytic Reading of Frankenstein and Fantasies of the Double’, in *Aspects of Fantasy: Selected Essays from the Second International Conference on the Fantastic in Literature and Film*, ed. by William Coyle (Westport, CT: Greenwood Press, 1986), pp. 45–53; Webber, *The Doppelgänger*; Ruth Parkin-Gounelas, *Literature and Psychoanalysis: Intertextual Readings* (Basingstoke: Palgrave, 2001), pp. 103–30; and Dimitris Vardoulakis, ‘The Return of Negation: The Doppelgänger in Freud’s “The Uncanny”’, *SubStance*, 35 (2017), pp. 100–116.

far in discussions of the psychology underscoring the intense, frightening emotional response figures of the double often elicit from fictional characters. In specific terms of Doppelgänger dreams, the Jungian notion of the shadow archetype and dream's compensatory function provides an especially rewarding means to go beyond the relatively limited scope of Freudian dream interpretation. This chapter draws on both the Freudian and Jungian approaches, using them complementarily to contextualise the two musical case studies.

### **Doppelgänger and the Freudian uncanny**

In Romantic literature, the encounter with the double is often accompanied by fear, anxiety, and frustration, which, in more extreme cases, could lead the protagonist to insanity, murder, and different forms of self-destructive behaviour. The psychological cause of this intense emotional response was investigated extensively by Freud under the category of *the uncanny*, that which he defined as 'that class of the frightening which leads back to what is known of *old and long familiar*'.<sup>11</sup>

In his essay 'Das Unheimliche' ('The Uncanny', 1919), Freud famously spent pages delving into the etymology of '*unheimlich*' (the German word for 'uncanny') in elucidating how it is possible for the 'old and long familiar' to turn into a source of fear and uncanniness. In German, the word '*unheimlich*' is composed of the prefix 'un-' (the signifier of the negative and opposite) and what Freud considered to be the ambivalent part '*heimlich*', which, on the one hand,

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On the Jungian reading of the Doppelgänger motif in Romantic literature, see Richard Milton Kalfus, 'The Function of the Dream in the Works of E. T. A. Hoffmann' (PhD dissertation, Washington University, 1973), pp. 147–87; Herdman, *The Double in Nineteenth-Century Fiction*, esp. pp. 153–62; and D. J. Moores, *Dark Enlightenment: Jung, Romanticism, and the Repressed Other* (Madison, WI: Fairleigh Dickinson University Press, 2010), pp. 71–83.

<sup>11</sup> Sigmund Freud, 'Das Unheimliche' ('The Uncanny', 1919), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. by James Strachey, 24 vols. (London: Hogarth, 1953–74), xvii: *An Infantile Neurosis and Other Works*, pp. 217–52 (p. 220, emphases mine).

carries the meanings of ‘familiar’, ‘homely’, or ‘native’, yet, on the other hand, can also mean ‘secret’ and ‘concealed, kept from sight’.<sup>12</sup> According to Freud, it is through understanding the word ‘*unheimlich*’ in relation to these two ‘very different’, albeit ‘without being contradictory’, sets of significations that we can get to the heart of the uncanny:

[the uncanny] is in reality nothing new or alien, but something which is familiar and old-established in the mind and which has become alienated from it only through the process of repression [...] the uncanny [is] something which ought to have remained hidden but has come to light.<sup>13</sup>

In Freud’s theory, the familiar and homely that resurfaces in uncanny experiences can always be traced back to the early development of the human psyche, especially the stage from which our traumatic experiences and instincts originated.<sup>14</sup> And to understand the concept of the double in light of the Freudian uncanny, it is essential to draw on what Freud called the infantile psychology of *primary narcissism*, which he identified as the bedrock of the ‘extraordinarily strong feeling’ of the uncanniness one always feels towards the double.

In Freudian psychoanalysis, primary narcissism is a natural phenomenon occurring in an early stage of infancy in which one finds oneself ‘possessed of every perfection that is of value’ and thereby cathects oneself with the whole of one’s libido;<sup>15</sup> it corresponds with what Lacan would later call ‘*stade du miroir*’ or ‘the mirror stage’, a stage when the infant becomes fascinated

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<sup>12</sup> Ibid., pp. 223–6.

<sup>13</sup> Ibid., p. 241.

<sup>14</sup> See Freud, ‘Das Unheimliche’.

<sup>15</sup> Freud, ‘Zur Einführung des Narzissmus’ (‘On Narcissism: An Introduction’, 1914), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xiv: *On the History of the Psycho-Analytic Movement, Papers on Metapsychology and Other Works*, pp. 73–102 (p. 94).

with its own image as seen on reflective surfaces.<sup>16</sup> In a healthy development, the state of primary narcissism would be interrupted by the formation of the *superego* and the *ego ideal* in accordance with the rules imposed by the paternal figure.<sup>17</sup> With the critical agency of the superego now constantly holding the ego ideal to measure against the rest of the ego, the infant's ability of self-observation will finally be awakened and it is forced to accept that it 'can no longer retain that perfection' of primary narcissism.<sup>18</sup> As a result, part of the *ego-libido* or self-love is then transferred to that newly formed ego ideal in order to 'substitute for the lost narcissism of [the infant's] childhood in which [it] was [its] own ideal', and thereby, the state of primary narcissism is terminated.<sup>19</sup>

Freud, influenced by his collaborator Otto Rank, believed that the double is originally a benign product 'sprung from the soil of unbounded self-love' of primary narcissism, in which the impulse of self-protection caused the narcissistic infantile ego to produce replicas of itself as 'an insurance against destruction' and 'an energetic denial of the power of death'.<sup>20</sup> The concept of the double, however, is not simply left behind once the stage of primary narcissism has been surmounted; rather, according to Freud, not only is it reversed into a 'harbinger of death', it also aligns itself closely with the aspects of self-criticism and self-observation of the superego.<sup>21</sup> As the double transforms from preservation against death into a figure of the split self and starts to confront the ego like the threatening superego once did, it may thereby also become the uncanny

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<sup>16</sup> Jacques Lacan, 'Le stade du miroir comme formateur de la fonction du Je telle qu'elle nous est révélée dans l'expérience psychanalytique' ('The Mirror Stage as Formative of the I Function as Revealed in Psychoanalytic Experience', 1949), in *Ecrits* (Paris: Seuil, 1966), pp. 93–100.

<sup>17</sup> Freud, 'Zur Einführung des Narzissmus', p. 76.

<sup>18</sup> *Ibid.*, p. 94.

<sup>19</sup> *Ibid.*

<sup>20</sup> Freud, 'Das Unheimliche', p. 241; see also Otto Rank, *The Double: A Psychoanalytic Study*, ed. and trans. by Harry Tucker Jr. (Chapel Hill: University of North Carolina Press, 1971).

<sup>21</sup> Freud, 'Das Unheimliche', p. 235.

reminder of our traumatic loss of primary narcissism. As Freud discerned, in literature, the uncanny quality of the double is furthermore often intensified by the fact that the self-confrontation imposed by these figures tends to be haunting and inescapable, which reminds one of yet another ‘*old and long familiar*’ element of the repetition-compulsion.<sup>22</sup>

E. T. A. Hoffmann’s *Die Elixire des Teufels* (*The Devil’s Elixirs*, 1815)—a work cited by Freud himself in ‘Das Unheimliche’—provides a *locus classicus* for the discussion of the motif of the double as it pertains to the psychology of the Freudian uncanny. Just as it is observed by Freud that the uncanniness of the double is often intrinsically related to the perceiver’s narcissism, Hoffmann’s protagonist Medardus, who is haunted by his double(s) throughout the novel, is a narcissistic Capuchin monk who considers himself to be not only resistant to temptations but also superior to his fellow monks. Medardus’s inflated narcissism is portrayed vividly in a scene that takes place early in the novel, in which he arrogantly identifies himself with the Saint on St Antonius day: ‘Ha accursed one! Lift yourself away! —lift yourself away—for I myself am him! —I am St Antonius!’.<sup>23</sup> Psychoanalytically speaking, Medardus’s narcissistic personality can be seen as a pathological regression to the ego-centric state of primary narcissism or, to cite Jackson Rosemary, ‘a reversal of the Oedipal drama and a reversal of the mirror stage—a repudiation of the dominance both of the Father and of the Ideal ego, the I, formed with the subject’.<sup>24</sup> Accompanying this psychological state of Medardus are numerous instances of the uncanny encounter with the double. And one of the most uncanny of these occurs in a dream he had while

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<sup>22</sup> Freud explained that ‘the constant recurrence of the same thing—the repetition of the same features or character-traits or vicissitudes, of the same crimes, or even the same names through several consecutive generations’ could evoke an instinctual activity that is ‘very clearly expressed in the impulses of small children’, namely the ‘compulsion to repeat’ or ‘repetition-compulsion’, and ‘whatever reminds us of this inner “compulsion to repeat” is perceived as uncanny’ (ibid., p. 238). See also Chapter 5 for a more detailed discussion of the repetition-compulsion.

<sup>23</sup> ‘Ha Verruchter! hebe dich weg!—hebe dich weg—denn ich bin es selbst!—ich bin der heilige Antonius!’ E. T. A. Hoffmann, *Die Elixire des Teufels* (*The Devil’s Elixirs*, 1815), in *Poetische Werke*, 6 vols. (Berlin: Aufbau, 1963), ii: *Die Elixire des Teufels, Nachtstücke*, p. 41.

<sup>24</sup> Rosemary, ‘Narcissism and Beyond’, p. 47.

fleeing from the series of crimes he had committed earlier on, which he repudiated as the effect of the devil's elixir he had drunk rather than his own flaws:

I was tortured by a horrible dream image [...] in whom, to my horror, I recognised myself in a Capuchin habit [...] The figure came closer and closer to the bed, I was immobile, and every sound I tried to squeeze out was suffocated in the tetanus that seized me. Now the figure sat down on my bed and grinned scornfully. "You must come with me now", said the figure, "we shall mount on the roof beside the weathervane [...] There we shall wrestle with each other, and whoever pushes down the other is king and may drink blood".<sup>25</sup>

Overcome by this uncanny vision, Medardus cried out in distress: 'You are not me, you are the devil', and then awoke 'as if shaken by a sudden shudder'.<sup>26</sup> In a Freudian light, in this dream, Medardus's superego or 'conscience' thus assumes the form of the threatening double and, to use Freud's words, 'confronts him in a regressive form as a hostile influence from without'.<sup>27</sup> This Freudian understanding of the double as a persistent figure of self-criticism and the uncanny product of one's inner conflict between the superego and the narcissistic ego, likewise, can be applied to the reading of Schubert's 'Der Doppelgänger'.

Heine's *Doppelgänger* poem narrates a self-tormenting subject who, after the loss of his beloved, had been repeatedly revisiting the location of her former dwelling until the shocking—

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<sup>25</sup> 'Ich warf mich auf das Lager und fiel, ermüdet wie ich war, bald in tiefen Schlaf, aber es folterte mich ein entsetzliches Traumbild [...], [dass] ich zu meinem Entsetzen als mich selbst, im Kapuzinerhabit [...] erkannte. Die Gestalt kam näher und näher an mein Bett, ich war regungslos, und jeder Laut, den ich herauszupressen suchte, erstickte in dem Starrkrampf, der mich ergriffen. Jetzt setzte sich die Gestalt auf mein Bett und grinste mich höhnisch an. »Du mußt jetzt mit mir kommen«, sprach die Gestalt, »wir wollen auf das Dach steigen unter die Wetterfahne [...] Dort wollen wir ringen miteinander, und wer den andern herabstößt, ist König und darf Blut trinken«. Hoffmann, *Die Elixiere des Teufels*, pp. 131–2.

<sup>26</sup> '»Du bist nicht ich, du bist der Teufel« [...] In dem Augenblick erwachte ich, wie von einem plötzlichen Ruck emporgeschüttelt. Aber das Gelächter dauerte fort im Zimmer'. Ibid., p. 132.

<sup>27</sup> Freud, 'Zur Einführung des Narzissmus', p. 94.

uncanny—encounter with his double (the full poem is provided as follows along with an English translation):

Still ist die Nacht, es ruhen die Gassen,	The night is quiet, the streets are at rest;
In diesem Hause wohnte mein Schatz;	in this house lived my sweetheart.
Sie hat schon längst die Stadt verlassen,	She has long since left the city,
Doch steht noch das Haus auf demselben Platz.	but the house still stands in the same place.
Da steht auch ein Mensch und starrt in die Höhe,	A man stands there too, and staring aloft,
Und ringt die Hände, vor Schmerzens Gewalt;	and wringing his hands in anguish;
Mir graust es, wenn ich sein Antlitz sehe—	I shudder when I see his face—
Der Mond zeigt mir meine eigne Gestalt.	the moon shows me my own form.
Du Doppelgänger! du bleicher Geselle!	You Doppelgänger! You pale fellow!
Was äffst du nach mein Liebesleid,	Why do you ape the pain of my love,
Das mich gequält auf dieser Stelle,	which torments me in this very place,
So manche Nacht, in alter Zeit?	many a night in old time? <sup>28</sup>

Differently from Hoffmann's novel, in Heine's poem, narcissism is not manifested in some sort of superiority complex, but rather in the *melancholia* of the narrator. Melancholia, as Freud explained, is a narcissistic pathology in which the destruction of one's relationship with the love-object causes the libido that was previously directed at that love-object to be withdrawn into the ego. 'Thus the shadow of the object fell upon the ego, and the latter could henceforth be judged by a special agency [i.e., the superego], as though it were [...] the forsaken object', resulting in a

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<sup>28</sup> Translation mine.

‘circuitous path of self-punishment’.<sup>29</sup> Certainly, it would not be too big a leap from this pathology of the narcissistic ego being internally persecuted by the hypercritical, self-punishing superego to the uncanny confrontation with the double as in Heine’s poem.

Corresponding to the repetition-compulsion of Heine’s narrator, Schubert’s song is set to a remarkably repetitive, almost hypnotic, formal procedure that resembles a passacaglia.<sup>30</sup> In Schubert’s setting, the sense of lack and incompleteness underscoring the alienating, split subjectivity of the narrator is discernible unequivocally from the ground bass upon which the passacaglia is built (bars 1–4), whose projected chordal progression of  $i - V^6 - III$  (or  $I^6$ ) –  $V^6_4$ , as commentators frequently note, is constituted by four *incomplete* chords (see Example 4.1).<sup>31</sup> (The fact that the vocal line of the song is predominantly fragmented, recitative-like rather than lyrical and that its entry always eschews the downbeat may also contribute to this feeling of alienation.) Unlike the traditional passacaglia, however, Schubert’s song does not simply present variants or variations founded on a ground bass.<sup>32</sup> Rather, it can be more aptly heard as featuring a gradual variational progression unfolded in six phrases—of which the first four can be subdivided into two halves that alternate between the stable and destabilised versions of the ground-bass figure (marked respectively as ‘O’ and ‘X<sub>o</sub>’ in Figure 4.1).<sup>33</sup> And, in my reading, it is precisely through

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<sup>29</sup> Freud, ‘Trauer und Melancholie’ (‘Mourning and Melancholia’, 1915), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xiv, pp. 243–58 (p. 251).

<sup>30</sup> Lawrence Kramer explained that ‘the spare repetitiveness that Schubert associates with the spectral double has a generic basis. The speakers in the Heine poems that Schubert set in 1828 are victims of compulsive repetition who return endlessly to the scene of their worst loss. Similar compulsives, haunted by sexuality or guilt, are frequent in the music and literature of the Romantic period’ (‘The Schubert Lied: Romantic Form and Romantic Consciousness’, in *Schubert: Critical and Analytical Essays*, ed. by Walter Frisch (Lincoln and London: University of Nebraska Press, 1996), pp. 200–36 (p. 219)).

<sup>31</sup> See Robert Samuels, ‘The Double Articulation of Schubert: Reflections on Der Doppelgänger’, *Musical Quarterly*, 93 (2010), pp. 192–233 (p. 220).

<sup>32</sup> See Benjamin Binder, ‘Disability, Self-Critique and Failure in Schubert’s “Der Doppelgänger”’, in *Rethinking Schubert*, ed. by Lorraine Byrne Bodley and Julian Horton (New York: Oxford University Press, 2016), pp. 418–35.

<sup>33</sup> A similar reading is shared by Susan Youens, *Heinrich Heine and the Lied* (Cambridge: Cambridge University Press, 2007), pp. 80–82 and Binder, ‘Disability, Self-Critique and Failure in Schubert’s “Der Doppelgänger”’.

this continual alternation between the stable and the destabilised that the music may be said to represent the narrator's masochistic repetition-compulsion.

**Figure 4.1:** A formal layout of the variational progression of 'Der Doppelgänger'.

	<b>Bars</b>	<b>Phrase Structure</b>	<b>Stanza</b>
<b>intro.</b>	1 – 4	O	1
<b>phrase 1</b>	5 – 14	O + X <sub>o</sub>	
<b>phrase 2</b>	15 – 24	O + X <sub>o</sub>	
<b>phrase 3</b>	25 – 33	O + X <sub>o</sub> '	2
<b>phrase 4</b>	34 – 42	O' + X <sub>o</sub> ''	
<b>phrase 5</b>	43 – 56	Y <sub>o</sub>	3
<b>phrase 6</b>	56 – 63	O'' + cadential	

In the first stanza of the song, instances of destabilisation occur at the exact moments when the lyrics refer to that traumatic site which the narrator has been compulsively revisiting. The first of these (see 'X<sub>o</sub>' in Example 4.1) takes place in bar 10 when the narrator sings of '*Hause*' ('house'). There, the ground-bass figure that has supposedly returned in bar 9 starts to distort with its apparent dominant harmony (V<sup>6</sup>) giving way to the darker, minor dominant chord (v<sup>6</sup>). The process of destabilisation continues in the following bars with the ground-bass figure driving towards an increasingly intensified sonority through a more narrowly spaced chordal texture and the thickening of the voicing in the right hand from two voices to three (bar 11), and then four voices (bar 12). Moreover, upon reaching V<sub>3</sub><sup>4</sup> (bar 12), the progression of the ground bass freezes for two bars, while an echo of the vocal line emerges in the right hand of the piano, giving the music an eerie sense of alienation, which Benjamin Binder describes as 'so horribly uncanny'.<sup>34</sup> The ground-bass figure is then restored to its original form (that is, 'O') at the beginning of the second phrase (bars 15–8), yet it soon finds itself repeating the same destabilising process as that very same '*Haus*' is revisited at bar 20.

<sup>34</sup> Binder, 'Disability, Self-Critique and Failure in Schubert's "Der Doppelgänger"', p. 427.

**Example 4.1:** The gradual variational process in ‘Der Doppelgänger’.

The musical score consists of five systems of piano accompaniment, each with two staves. The first system, labeled 'O', shows a progression from 'incomplete chords' (bars 1, 5, 15, 25) to 'complete' chords (bar 34). The second system, labeled 'X<sub>0</sub>', shows chords V<sup>6</sup> (bars 9, 19) and V<sup>4</sup><sub>3</sub> (bars 25, 26). The third system, labeled 'X<sub>0</sub>′', shows a 'Fr' chord (bar 29). The fourth system, labeled 'X<sub>0</sub>′′', shows a 'Ger' chord (bar 38). The fifth system, labeled 'Y<sub>0</sub>', shows a '#iii' chord (bar 43). The score is in 3/4 time with a key signature of one sharp (F#).

In the second stanza, accompanying the narrator’s intense psychological response to the uncanny encounter of the double, the music appears to be significantly more volatile and disruptive. Traits of destabilisation can be observed even in the relatively more stable first halves of ‘O’ in the third and fourth phrases (cf. bars 25–8 and 34–7). There, the vocal line, instead of

centring monotonously around F♯, rises in arpeggiac motion through a dramatic *crescendo*. In the latter halves of these phrases (marked ‘X<sub>o</sub>’ and ‘X<sub>o</sub>’”), it is not just that the vocal lines peak respectively at f♯<sup>2</sup> (bar 31) and g<sup>2</sup> (bar 41) with the dynamic level increased to *fortississimo*, but that by the end of these phrases, the ground-bass figure is distorted into the jarring augmented sixth harmonies—respectively a French augmented sixth (bars 32–3) and a German augmented sixth (bars 41–2).

Despite this drastic degree of destabilisation, the narrator’s encounter with his double is nonetheless a pivotal step towards the recovery from his split subjectivity and repetition-compulsion. Importantly, it is precisely in this second stanza—the stanza of Doppelgänger encounter—that the incomplete tonic chords with which the ground-bass figures always begin are first and unambiguously heard as complete, with their missing  $\hat{3}$ s there making a definite appearance (see ‘O’ in Example 4.1; bars 25 and 34). Also, the climactic f♯<sup>2</sup>–g<sup>2</sup> (bars 40–42) that is heard in the fourth phrase (as the moon reveals to the narrator his own ‘*Gestalt*’ (‘form’) in the double) not only marks a hysterical outcry resulting from this uncanny experience but also suggests, at this very instant of recognition—the acknowledgement that the threatening double is no other than the narrator himself—a sense of breakthrough, the emancipation from the F♯ to which the vocal line in the previous phrases has compulsively returned (cf. bars 12, 22, and 32).<sup>35</sup>

What is heard after this shocking moment of recognition could be understood as the restoration of melancholia to its non-pathological counterpart of *mourning*, which Freud considered a natural way for the human psyche to work through the loss of love-objects and would eventually lead to recovery.<sup>36</sup> As the narrator acknowledges and directly addresses his double in the fifth phrase (bars 43–56, marked ‘Y<sub>o</sub>’), the ground-bass figure has, for the first time, broken

<sup>35</sup> See also Samuels, ‘The Double Articulation of Schubert: Reflections on Der Doppelgänger’, p. 214.

<sup>36</sup> See Freud, ‘Trauer und Melancholie’.

off from its obstinate form and goes, instead, in stepwise, ascending chromatic motion, leading the music momentarily away from the shackle of B minor to the sharp-median key of D# minor. As D# minor eventually gives way to an augmented sixth chord (bar 51) in re-establishing the dominant of the home key, moreover, the vocal line that has hitherto been heard as offbeat, recitative-like fragments transfigures into a smooth lyrical line and attains the first and only PAC in the song (bar 56). Regarding these bars, Lawrence Kramer pertinently remarks, ‘the *Liebesleid* (“love-pain”) returns as a distorted *Liebeslied* (“love-song”)’.<sup>37</sup> While the ground-bass figure returns once more upon the arrival of the PAC (bars 56–9, marked ‘O’), the fact that the last step of this figure is now brightened by the Neapolitan C-major triad (bar 59) makes it sound like not so much a repetition-compulsion as the *resolution* of this compulsion. Robert Samuels argues that this C-major triad, ‘both dissonant and fully consonant; both outside the tonal universe of the song and essential to it’, is ‘an emblem of the recognition and recovered self-identity of the narrator and the Doppelgänger’.<sup>38</sup> To me, in addition to the C-major triad, the following, *pianississimo* plagal cadence (bars 60–63) that ends with a Picardy third also hints at reconciliation, redemption, and recovery.<sup>39</sup>

This brief analysis of ‘Der Doppelgänger’ demonstrates the way in which the Doppelgänger motif of the song might be contextualised musically through such Freudian concepts as narcissism, uncanny, and repetition-compulsion. The following section will examine, in turn, the first movements of the A Major Piano Sonata and the E flat Major Trio in accordance with the theme of Doppelgänger dreams. And as we shall see, these psychoanalytic concepts and

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<sup>37</sup> Kramer, *Franz Schubert*, p. 58.

<sup>38</sup> Samuels, ‘The Double Articulation of Schubert: Reflections on Der Doppelgänger’, p. 223.

<sup>39</sup> David Schwarz, however, argues that this song ends with a half cadence in E major rather than a Picardy third in the key of B. This reading emphasises that the song is left with an open ending, which indicates the irremediability of the narrator’s traumatic loss. See David Schwarz, *Listening Subjects: Music, Psychoanalysis, Culture* (Durham: Duke University Press, 1997), p. 70.

musical processes similar to those of the song will also offer a rewarding avenue for our discussion of these instrumental works.

### **A Freudian reading: Narcissism and Doppelgänger encounter**

Commentators have regularly noted that the first movement of the A Major Sonata can be readily divided into two distinct aesthetic levels that feature respectively stability and diatonicism on the one hand, and instability and chromaticism on the other hand, embodying, as Julian Horton describes, ‘a dichotomy of classical and post-classical syntax’.<sup>40</sup> To me, the subtle ways through which the two levels interact even convey such an impression: the music is constantly attracted to the destabilising aspects of the ‘post-classical’ syntax while once again being suppressed by resorting to the more stable, ‘classical’ syntax—a process that is germane to my reading of narcissism and doppelgänger encounter in this music.

The movement begins *forte* with an assertive opening phrase (bars 1–6) that drives through a straightforward ‘classical’ trajectory towards a half-cadential V<sup>7</sup>; as some commentators have noted, this expresses a profoundly ‘heroic’ character that is rather uncommon for Schubert’s first group.<sup>41</sup> Despite its assertiveness, this opening phrase is left incomplete with its half-cadential V<sup>7</sup> neither answered by a corresponding consequent nor resolved properly through an authentic cadence.<sup>42</sup> Rather, the music in the following bars disintegrates into a

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<sup>40</sup> Julian Horton, ‘The First Movement of Schubert’s Piano Sonata D. 959 and the Performance of Analysis’, in *Schubert’s Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 171–90 (p. 179). See also Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001), pp. 207–10.

<sup>41</sup> See Yi Eun Chung, ‘Fissures in Time: Temporality in Schubert’s Late Music’ (PhD dissertation, The University of Hong Kong, 2018), p. 77. Xavier Hascher even goes as far as to characterise this opening phrase as exhibiting ‘a kind of idealised Beethovenian wilfulness’ (‘Music as Poetry: An Analysis of the First Movement of Schubert’s Piano Sonata in A Major, D. 959’, in *Drama in the Music of Franz Schubert*, ed. by Joe Davies and James William Sobaskie (Suffolk: Boydell & Brewer, 2019), pp. 257–81 (p. 272)).

<sup>42</sup> This is also discussed in Robert Hatten, ‘Schubert the Progressive: The Role of Resonance and Gesture in the Piano Sonata in A, D. 959’, *Intégral*, 7 (1993), pp. 38–81 (p. 40).

destabilising, ‘post-classical’ fantasia-like phrase (bars 7–15) where the semitonal neighbour notes articulating an anapaestic (i.e., short–short–long) rhythm drive, via a chromatic progression to another HC (bar 13). A descending scalic line (a ‘threshold’ gesture) immediately directs the music back to the stable, diatonic realm, where the ‘heroic’ phrase makes its return (bars 16–22) with the dominant harmony at its phrase ending here resolved to I (though Schubert inverts the  $V^7$  to  $V^4_3$  to evade a genuine authentic cadence). Following the opening phrase’s reprise, the music then ventures again into the realm of the fantasia, and, this time, it does so in an attempt to suppress or conquer it: in bar 22, the fantasia phrase is brought back with the semitonal neighbour notes now stabilised as a tonic pedal and the chromatic harmony replaced by diatonic harmony (see Example 4.2).

**Example 4.2:** The ‘fantasia’ phrase in destabilising and stabilised forms.

The image displays two musical excerpts from a piano score. The first excerpt, labeled 'destabilising', covers bars 7 to 15. It features a treble clef with a key signature of two sharps (F# and C#) and a 4/4 time signature. The music is marked with a piano (*p*) dynamic and includes a *cresc.* (crescendo) marking. The bass line contains a chromatic progression of semitonal neighbour notes, indicated by a bracket and the label 'chromatic neighbour notes'. The second excerpt, labeled 'stabilised', covers bars 22 to 28. It also has a treble clef and the same key signature and time signature. The music is marked with a pianissimo (*pp*) dynamic and includes a *cresc.* marking. The bass line features a tonic pedal point, indicated by a bracket and the label 'tonic pedal'.

The music fails to maintain this stability, however. As soon as it arrives at a HC in bar 28, the chromatic motion has already been resumed and therein launches a transition (bars 28–49) that is driven mainly by semitonal displacement or second harmonic practice. The transition begins directly in the secondary tonality, E major, yet it soon drifts away, progressing instead

through a descending hexatonic cycle to the keys of C (bar 30), A $\flat$ /G $\sharp$  (bar 32), and, again, E major (bar 34). Only thereafter does it finally start to establish the dominant of the secondary tonality and arrives *fortississimo* at a V: HC (bar 39). By bar 46, the music has also been significantly stabilised, dissolving into a simple V–V<sup>7</sup>/V prolongational progression which soon ushers in the second group (bars 49–53 may also be read as a ‘threshold’ gesture).

Cast in the key of E major, the second group features a lyrical theme (bars 55–9) that is rendered in a chorale-like texture and purely diatonic harmony. Yet not unlike the ‘heroic’ phrase of the first group, this theme is also continuously drawn to the destabilising realm of the ‘post-classical’ syntax. In the counterstatement or consequent of the lyrical theme (bars 60–64), for instance, the tonality suddenly shifts to E minor (bar 62), through which arriving further at a G-major passage (bar 65–76)—a P–R transformation. (This sudden move to a prolonged mediant region is also analogous to those ‘inward’ moments of  $\flat$ VI interruption of ‘Category 2’.) A threshold gesture (bars 76–7) soon dispels this momentary digression and brings back the lyrical theme in E major (bar 78). This re-stabilisation, however, is extremely short-lived—it only lasts for four bars—and as soon as bar 82 the theme is subjected to another destabilising process, unfolding into hitherto the most disruptive passage of the movement. Here, a full hexatonic cycle is executed *forte* (bars 82–91), following which the tonality oscillates between E major and minor with the dynamics constantly fluctuating between the extremes of *fortississimo* and *piano* (bars 95–105). And from bar 107 onward, a series of downward octave leaps in the right-hand bles against the rising chromatic bassline in effectuating an agitated sequence of descending fifths.

Significantly, as if the music strives to suppress this agitated motion, the fifth sequence is abruptly halted for one whole bar (bar 112) right when it has arrived at the dominant ( $\hat{5}$ ) of the secondary tonality. Thereafter follows another reprise of the lyrical theme, with which the tonality is also restored to a ‘classical’ syntax in E major (bar 117). However, in bar 121, this music is

suddenly broken off with a varied segment from the latter half of the lyrical theme (marked ‘motif *x*’ in Example 4.3) being repeated an octave higher at the extremely soft dynamic level of *pianississimo* (bars 121–2). Especially after what happened to both the first two presentations of the theme, this sounds rather like it is on the verge of being destabilised yet once again. Yet, this time, any potential destabilisation is foreclosed with motif *x* being instantly undercut by a concluding PAC (bar 123). After this PAC, as we can see, the same music that marks the disruptive passage between bars 82 and 94 returns in a significantly stabilised, ‘classical’ syntax as a series of post-cadential I–V<sup>7</sup> codettas (bars 123–9). And from bar 127 onwards, the remainder of the chromatic motion in the bass is also stabilised as a E pedal (see Example 4.3).

**Example 4.3:** Schubert, A Major Sonata, D. 959, i, bars 117–23 and comparison with the ‘disruptive passage’.

The image displays three systems of musical notation for Schubert's A Major Sonata, D. 959, i. The first system (bars 117-122) shows a piano part with a dynamic marking of *pp* and a section marked 'x' starting at bar 121, where the melody is repeated an octave higher with a dynamic marking of *ppp*. The second system (bars 123-129) is labeled 'stabilised' and features a piano part with a dynamic marking of *pp*. It includes annotations for 'chromatic neighbour notes' (bars 123-124), 'tonic pedal' (bars 125-126), and a first ending (bars 127-129) with dynamic markings of *dim.*, *cresc.*, and *f*. A PAC (Phrase Accent) is indicated at the start of bar 123. The third system (bars 82-94) is labeled 'destabilising ('disruptive passage')' and shows a piano part with a dynamic marking of *pp*. It includes annotations for 'chromatic neighbour notes' (bars 82-83) and a bass line with notes E, C, and Ab.

As discussed in Chapter 1 under ‘Category 2’, in scholarship, the first- and second-practice harmonies in Schubert’s music have been customarily construed as representing the dichotomies of the external and internal states of the subject, outer and inner worlds, and so on. By extension, these pairs might also be applied to the two levels of stability and instability, or ‘classical’ and ‘post-classical’ syntax, in this movement. Charles Fisk is on to a similar point when he says with regard to the ‘heroic’ opening phrase and the subsequent fantasia phrase: ‘If the opening idea, in its assertiveness, can be taken as a musical image of *objectivity*, then the ensuing response, which throws into question so many aspects of the opening idea, immediately emerges as its *subjective counterpart*’.<sup>43</sup> (This reading of inward and outward states is also substantiated by the way in which the two realms of ‘classical’ and ‘post-classical’ in the Sonata are frequently connected through the ‘threshold’ gestures.) In the Sonata, to me, the music’s ambivalent and uneasy relationship with the subjective and inward, which it is once and again lured to yet at the same time cautiously resists, immediately brings to mind the peculiar way in which the narcissistic protagonists—such as Hoffmann’s Medardus from *Die Elixire des Teufels* and Matthew Lewis’s Ambrosio from *The Monk* (1796)—constantly suppress their inner desire in striving to secure their outwardly projected, ideal self-image. Of course, this narcissistic behaviour is, from a Freudian perspective, the psychological basis of the uncanny confrontation with the double. Accordingly, in the Sonata, the ‘dream scene’ of the development section also vividly sets up such a response.

In the second expositional ending (bar 129b) the tonality simply shifts to C major to launch the development section. In this section, a dreamlike quality is directly discernible not

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<sup>43</sup> Fisk, *Returning Cycles*, p. 207, emphases mine.

only from the sudden  $\flat$ VI shift but also from the continuous—‘single-minded’—motion of the piano accompaniment that penetrates the whole section (see Example 4.4). Surely, it is not for no reason that Xavier Hascher states that between the exposition and development section there is a conceptual gap that ‘cannot be bridged by logical or rhetorical means. The relationship is both an expression of wit and a leap into dream and fantasy’.<sup>44</sup> As G. H. Schubert observed, our disowned, dark side that we ‘carefully guarded [sorgfältig bewacht]’ during daytime is often ‘released from her chains [aus ihren Ketten losgelassen]’ within a dreaming state.<sup>45</sup> In this ‘dream scene’ of the development section, similarly, not only does motif  $x$ —a motif whose potentially destabilising consequences were thwarted in the exposition—return and become the sole thematic idea of the section, but the music also soon finds itself incapable of restraining it like in the exposition.

Motif  $x$  is presented first in a ‘stable’ form in C major (bars 131–2) at the beginning of the development section before it is soon destabilised in the fragmentation that follows (bars 133–5; see Example 4.4). There, the tonality is repeatedly drawn to the darkened key of A minor before shifting suddenly to B major, in this way articulating an unsettling chromatic tonal movement of C major  $\rightarrow$  B major. The succeeding phrase (bars 136–40), like a self-criticising double, then mirrors back this destabilising process with the tonality moving in a reverse direction from B major to C major. As though under some sort of compulsive repetition, the music immediately takes up that ostensibly stable key of C major again (bars 146–50), only to find itself retracing the same path to B major, where it again encounters the mirroring double (bars 146–50). This

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<sup>44</sup> Hascher, ‘Music as Poetry’, p. 269. Regarding the development section, Fisk similarly remarks how ‘Brendel’s characterisation of Schubert as a “sleepwalker” seems especially apt in view of the way this new music appears and then seems to hover’ (*Returning Cycles*, p. 216).

<sup>45</sup> Gotthilf Heinrich Schubert, *Die Symbolik des Traumes* (Heidelberg: Lambert Schneider, 1968), p. 203.

uncanny process of repetitive double encounters then leads to an outbreak of heightened musical tension. In bar 151, motif *x* enters *forte* in the low register, and as soon as the beginning of the next bar, the tonality has already veered to A minor and thereafter arrives *fortissimo* at the key of B (bar 153)—this time, B minor—which is emphasised plagally at bar 155. What follows is yet another reprise of the phrase of the double, through which the tonality is led from B minor, once again, back to the key of C major (bars 155–60).

At a closer look, in fact, this first part of the development section (bars 131–60) projects a formal procedure that is not dissimilar to what I described as a gradual variational progression in ‘Der Doppelgänger’. We have seen that in ‘Der Doppelgänger’ the climactic moment with which the variational progression culminates is followed by the narrator’s recognition of his double—an act that is germane to the overcoming of his melancholia and compulsive self-tormenting. The musical procedure of the development section of the Sonata also suggests a similar process. After the disruptive outbreak between bars 151 and 160, as though the music—that is, the virtual protagonist—has now come to term with its own fallibility, it gives up clinging on to the key of C major (motif *x* now appears in C minor, bars 161–2). In this way it also finally breaks free from the compulsive repetition of C → B, moving instead from C minor to A minor. Certainly, the fact that the succeeding double phrase (bars 173–80) is cast in A minor—the relative minor that repeatedly overshadowed the C major phrases (see bars 132, 143, 152)—rather than the key of B also contributes to an especially integrating quality: the haunting double *ab extra* is recognised as, or re-assimilated into, the self *ab intra*.

**Example 4.4:** Schubert, A Major Sonata, D. 959, i, development section, bars 131–62.

131 *p* C B

136 *pp* B C

141 *p* C B

146 *pp* B C *cresc.*

151 *f* *ff* *f* C Bm

156 *cresc.* *ff* *decresc.* *p* Bm C → Cm

The theme of the uncanny Doppelgänger dream and its corresponding subjectivity of narcissism, as we have seen, offers an illuminating way to listen to the first movement of the A Major Sonata. Now I will draw on a different musical example—the first movement of the E flat Major Trio—to continue examining these themes.<sup>46</sup>

Just like the Sonata, the first movement of the Trio, too, features ‘a dichotomy of the classical and post-classical syntax’ (to cite Horton), while also displaying an ambivalence in its simultaneous attraction to and suppression of the latter. As can be seen, following the HC (bar 15) attained by the harmonically straightforward, fanfare-like *tutti* in the opening phrase, a contrasting idea in the cello (or what we could term a ‘turn motif’) that at first appears to serve to prolong the dominant harmony soon carries the tonality away to the key of G $\flat$  (bar 24)—the flat mediant—and subsequently C $\flat$  (bar 28)—the flat submediant. This momentary ‘post-classical’ progression is dispelled shortly with the re-establishment of the tonic in bar 32, upon which the music resumes a ‘classical’ syntax and drives decisively towards a HC with *sforzando* articulation (bars 34–5).

The turn motif then returns twice more in bars 36 and 42, and by each return, stirring up a disconcerting trill and ascending chromatic scale. While in the first time, the music succeeds in quelling this disquieting motion with the same *sforzando*, decisive HC gesture (bars 40–41); in the second time, the G $\flat$  in the trill is suddenly recast as F $\sharp$  (bar 46), upon which a series of F $\sharp$  dominant seventh chords intrudes on the piano, producing a sinister effect that leads to a forcible PAC in the flat-submediant region of B minor (the enharmonic bvi), therein ushering in a textbook example of second-practice harmonic progression. This passage initiates a descending major-

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<sup>46</sup> My discussion of D. 929/i in this chapter is based on the final version of this score. Schubert’s manuscript of this movement shows minor differences in the harmonic design (see Arnold Feil, ed., *Neue Schubert-Ausgabe* (Kassel: Bärenreiter-Verlag, 1975), vi/7: *Werke für Klavier und mehrere Instrumente*, pp. 288–9).

third sequence from B minor (bar 48) to G major (bar 55), G minor (bar 58), and then E $\flat$  major (bar 64) through a series of ‘maximally smooth’ (P–L) triadic transformations, constituting a partial hexatonic cycle (see Example 4.5).<sup>47</sup> Regarding this passage of internal loops, Benedict Taylor aptly adopts the standpoint of musical subjectivity and characterises it as ‘moving through second-practice cycles as if showing the mind of the subject undertaking a conceptual task [...] and dwelling on thematic ideas as if internally transported by their radiant qualities’.<sup>48</sup> Upon circling back to the tonic in bar 66, the tonal trajectory is immediately reoriented, or ‘normalised’ as Taylor puts it, to a ‘classical’ syntax, therein progressing through ascending *diatonic* thirds towards the dominant key, B $\flat$  major (bar 84).<sup>49</sup>

**Example 4.5:** Hexatonic cycles in D. 929/i.

a)  
exposition  
48

'normalised'

Bm L G P Gm L Eb Cm Eb Gm B $\flat$   
( I vi I iii V )

b)  
recapitulation  
434

'normalised'

Em L C P Cm L Ab Fm Ab Cm Eb  
( IV ii IV vi I )

c)  
coda  
585

E $\flat$  P E $\flat$ m L C $\flat$  P Bm L G P Gm L E $\flat$

Edward T. Cone’s reading of ‘vice’ in Schubert’s music appears to be particularly apposite in describing the working of the turn motif and second-practice harmony in this

<sup>47</sup> On maximally smooth cycles, see Richard Cohn, ‘As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert’, *Journal of Musicology*, 22 (1999), pp. 213–32; see also Chapter 1.

<sup>48</sup> Benedict Taylor, ‘Schubert’s E Flat Trio D. 929 and Models of Music Subjectivity’, in *Life as an Aesthetic Idea of Music*, ed. by Manos Perrakis (Vienna, London, New York: Universal Edition, 2019), pp. 11–30 (p. 23).

<sup>49</sup> *Ibid.*, p. 20.

movement: ‘A vice, as I see it, begins as a novel and fascinating suggestion, not necessarily dangerous though often disturbing. It becomes dangerous, however, as its increasing attractiveness encourages investigation and experimentation, leading to possible obsession and eventual addiction’.<sup>50</sup> Indeed, just like some temptation or potentially dangerous *idée fixe*, the turn motif constantly lures the music into the destabilising ‘post-classical’ processes, which it once and again suppresses by recovering the ‘classical’ syntax. However, Cone alerts: ‘if one now apparently recovers self-control, believing that the vice has been mastered, it is often too late: either the habit returns to exert its domination in some fearful form, or the effects of the early indulgence have left their indelible and painful marks on the personality’.<sup>51</sup>

This seems also to be what happens to this music (or the virtual protagonist of this music). Following yet another return of the turn motif (bar 98)—this time building up to a *forte* bVI that is prolonged over five bars (bars 104–8)—the music starts to bring about a series of IACs to produce a fade-out, codetta-like closing gesture (bars 132–8), which has then brought the music to a full stop. This closing gesture, however, is subverted in bar 140 when the *idée fixe* appears once again, this time even actualised in its hitherto fullest, most detailed form. And as though the music is strongly aroused by this passage, the cadential arrival at bar 156 is elided with a fervent musical passage (bars 156–9) in which a series of broken chords and syncopated sixths in the high register pounds against the turn motif in the bassline, *forte* and *crescendo*, to burst the tonic harmony of the dominant key. In bar 161, as the dynamic level increased to *fortissimo*, moreover, the tonality is transported up a major third to the key of D major (a L–P transformation). Yet, again, the second-practice tonal motion is soon subdued with the music in bar 167 shifting back

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<sup>50</sup> Edward T. Cone, ‘Schubert’s Promissory Note: An Exercise in Musical Hermeneutics’, *19th-Century Music*, 5 (1982), pp. 233–41 (p. 240).

<sup>51</sup> *Ibid.*



Alexandra Maria Reuber, ‘the male character’s fascination with and sexual attraction to a portrait of a female saint provokes their latent (sexual) feelings to become manifest’.<sup>53</sup> For the narcissistic protagonists in *The Monk* and *Die Elixiere des Teufels*, this awakening of their forbidden desire directly challenges the ideal ego- or self-image with which they proudly identify themselves, thus causing them the uneasy experience of self-confrontation. In *The Monk*, for example, Ambrosio was brought to a profound inner confrontation as he was gazing upon a portrait of the Virgin Mary, which, said the narrator, ‘for two years had been the Object of his increasing wonder and adoration’:

What Beauty in that countenance! [...] How graceful is the turn of that head! What sweetness, yet what majesty in her divine eyes! How softly her cheek reclines upon her hand! [...] Oh! if such a Creature existed, and existed but for me! Were I permitted to twine round my fingers those golden ringlets, and press with my lips the treasures of that snowy bosom! Gracious God, should I then resist the temptation? Should I not barter for a single embrace the reward of my sufferings for thirty years? Should I not abandon.... Fool that I am! Whither do I suffer my admiration of this picture to hurry me? Away, impure ideas! [...] Ambrosio is proof against temptation. [...] It is not the Woman’s beauty that fills me with such enthusiasm; It is the Painter's skill that I admire, it is the Divinity that I adore!<sup>54</sup>

This reference to female saints in Romantic fiction offers an intriguing interpretive avenue for those who seek to tease more out of the thematic-motivic correlation between the ‘idée fixe’ of the Trio and the ‘Ave Maria’ melody.

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<sup>53</sup>Alexandra Maria Reuber, ‘Haunted by the Uncanny: Development of a Genre from the Late Eighteenth to the Late Nineteenth Century’ (PhD dissertation, Louisiana State University, 2004), p. 112.

<sup>54</sup> Matthew Lewis, *The Monk*, ed. by Howard Anderson (Oxford: Oxford University Press), pp. 40–41.

In the dreams Ambrosio and Medardus had after they were aroused by the portraits of the female saint, both characters fell for, and even indulged in, the very same temptation to which they have declaimed themselves to be immune. This is also the case for our musical protagonist of the Trio. In the development section, the music is drawn immediately to the turn motif, examining this within an extended passage of second-practice harmonic progression, which softly modulates along an ascending minor third sequence—an octatonic cycle—through P and R transformations (see Example 4.7). It is also worthy of note that as the music effects a P transformation from B major to B minor (bar 215) right after the full reprise of the ‘Ave Maria’ theme, the piano’s right-hand also affixes to a stream of continuous, rippling figuration that could be understood as suggestive of the ‘single-minded’ focus of the dreaming state.

Upon reaching F major at bar 221, importantly, the music is torn into a two-part canon with the strings there, like an uncanny double, unceasingly aping the turn motif in the piano’s bass at a distance of two bars. Similar to ‘Der Doppelgänger’ and the development section of the A Major Sonata, here, too, the music undergoes a gradual variational progression in which each presentation of the turn figure grows more dissonant and volatile than its preceding presentation (bars 221–45). This intensifying process ultimately builds up to an agitated syncopation that blares a jarring F# diminished seventh harmony (bars 237–8) and, thereafter, the i and iv of F# minor, before climaxing with the *fortissimo* arrival of the dominant of this key. Yet while confrontation with the double in both ‘Der Doppelgänger’ and the Sonata leads to eventual recognition and acceptance, this seems to be not so much the case with the Trio. After the arrival of the climactic outbreak, the entire music of the development section discussed so far simply loops back on itself—first in the key of F# major (bar 247) and then D $\flat$  major (bar 299, where it even carries out a full octatonic cycle)—before it is re-transitioned back to the recapitulation.



## Example 4.7 (cont.)

225

225

*cresc.*

*cresc.*

*8va*

235

235

*cresc.*

*f*

*cresc.*

*f*

*cresc.*

241

241

*cresc.*

*ff*

*fp*

*cresc.*

*ff*

*fz*

*fz*

*fp*

*8va*

*8va*

*3*

So far, I have interpreted the first movements of the Sonata and the Trio in relation to the uncanny Doppelgänger motif characteristic of Romantic literature and discussed, in particular, the way in which this ‘uncanniness’ might be contextualised in light of narcissism from a Freudian viewpoint. It is possible to further the current reading by continuing still from the perspective of Freudian psychoanalysis using Freud’s grand theory on dreams and wish-fulfilment. It should be noted, however, that Freud in his theoretical writings did not place so much emphasis on the motif of the Doppelgänger as it pertains to dreams except for a passing mention in ‘Zur Einführung des Narzißmus’ (‘On Narcissism: An Introduction’, 1914). He claimed that if the superego is ‘to some extent on the alert even during sleep, we can understand how it is that its suggested activity of self-observation and self-criticism [...] makes a contribution to the content of the dream’.<sup>55</sup> Viewed in this light, the Doppelgänger dream scenes of the Sonata and the Trio might be understood as representing the type of punishment dream we have discussed in the previous chapter, serving to fulfil the wish of the superego (rather than the id) to punish the ego for being inordinately preoccupied or consumed with thoughts of a repressed, infantile origin—in this case, the egotistical or ‘megalomaniac’ wish of primary narcissism.<sup>56</sup> In the Trio, in addition, the obsession with the theme of ‘Ave Maria’—the mother figure *par excellence*—could also be seen as indicative of a wish-fulfilment that is related to the Oedipus complex. As such, the development section’s bipartite musical processes—the octatonic cycle and the gradual variational progression—fulfil respectively the Oedipus wish of the id and the punishment wish of the superego (like the development section of the first movement of D. 960, as discussed in Chapter 3).

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<sup>55</sup> Freud, ‘Zur Einführung des Narzißmus’, p. 98.

<sup>56</sup> See also my discussion of punishment dreams in Chapter 3, ‘A Freudian reading: ‘A dream is the fulfilment of a wish’”.

Different from Freud, Carl Gustav Jung in his psychoanalytic theory has examined specifically the kind of dreams centred on the motif of the *Doppelgänger*. And it is here that, moving beyond Freud, Jungian psychoanalysis would provide an especially suitable critical approach for continuing our interpretation of the *Doppelgänger* dreams of the Sonata and the Trio. In the following section, I shall discuss this approach in more detail and explore, in particular, how it might help drive a fuller understanding of the musical examples.

### **A Jungian reading: The shadow and *Doppelgänger* dreams**

Freud's psychoanalytic dream theory, especially that cultivated in his *Die Traumdeutung* (*The Interpretation of Dreams*, 1899), had an enormous impact on Jung's development of his own psychoanalytic approaches. However, while Jung, like Freud, saw the dream as expressions and utterances of the unconscious mind, he was sceptical over Freud's restricted view that all dreams are wish-fulfilments. 'It is certain that the conscious mind consists not only of wishes and fears, but of vastly more besides; and it is highly probable that our dream psyche possesses a wealth of contents and living forms equal to or even greater than those of the conscious mind', asserted Jung.<sup>57</sup> He argued instead that the main function of the dream is not so much to express wishes and fears, but to facilitate psychical equilibrium and wholeness or, as he called it, *individuation*. The dream, Jung believed, proffers 'a way of reflecting on ourselves—a way of self-reflection' that brings to conscious awareness certain psychical aspects that have been neglected by the waking ego, thus providing *compensation* for the ego's bias and one-sidedness.<sup>58</sup>

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<sup>57</sup> Carl Gustav Jung, *The Collected Works of C. G. Jung*, ed. and trans. by Gerhard Adler, Michael Fordham, and Herbert Read, 20 vols. (London: Routledge, 1958–79), xvi: *The Practice of Psychotherapy*, p. 317.

<sup>58</sup> For example, Jung said that 'the more one-sided his [or her] conscious attitude is, and the further it deviates from the optimum, the greater becomes the possibility that vivid dreams with a strongly contrasting but purposive content will appear as an expression of the self-regulation of the psyche' (*The Collected Works of C. G. Jung*, viii: *Structure and Dynamics of the Psyche*, p. 253).

According to Jung, this compensatory function of the dream is often realised through the working of different *archetypes*—the universal psychological patterns or blueprints that are inborn in the *collective unconscious* of human beings. An archetype that is directly related to the Jungian understanding of Doppelgänger dreams is the *shadow*. As D. J. Moores points out, the shadow in Jungian psychoanalysis is essentially ‘the double, the alter ego, the dark self’; it refers to the unwanted and disowned parts that we repress in ourselves in order to comply with our outwardly projected ego-image or *persona*.<sup>59</sup> From a Jungian perspective, the kind of narcissistic characteristics exhibited in the protagonists of Hoffmann and Lewis’s novels—as well as the musical protagonists in my reading of Schubert’s Sonata and Trio—is utterly the condition of repudiating the shadow and overly identifying with, or attaching to, the persona. Indeed, in his discussion of the shadow archetype, Jung has also given particular reference to Hoffmann’s Medardus, saying that like this fictional character, ‘somewhere we have a sinister and frightful brother, our own flesh-and-blood counterpart, who holds and maliciously hoards everything that would so willingly hide under the table’.<sup>60</sup>

As explained by Jung, to compensate for our one-sidedness, the shadow may personify—and often in dreams—as a figure equal or opposite to the waking ego, in doing so mirroring back to the individual certain of its intrinsic psychological aspects that have gone unrecognised:

To confront a person with his shadow is to show him his light. Once one has experienced a few times what it is like to stand judgmentally between the opposites, one begins to understand what is meant by the self. Anyone who perceives his shadow and his light simultaneously sees himself from two sides and thus gets in the middle.<sup>61</sup>

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<sup>59</sup> Moores, *Dark Enlightenment*, p. 23

<sup>60</sup> Jung, *The Collected Works of C. G. Jung*, vii: *Two Essays on Analytical Psychology*, p. 51.

<sup>61</sup> Jung, *The Collected Works of C. G. Jung*, x: *Civilisation in Transition*, p. 872.

Doppelgänger dreams, in this understanding, are not so much the fulfilment of the punishment wish of the superego as Freud would claim, but rather the psyche's attempt at alerting an individual of being overly identified with the persona. To accept and assimilate the shadow as part of the self is, according to Jung, the first and foremost step towards individuation. However, this is also a difficult and unnerving process, for it requires one to face candidly and critically the very portion of the self that threatens to disrupt the delusive sense of stability gained from the persona. As we have seen in the above discussion of the Sonata and the Trio, the development sections that I read as Doppelgänger dreams progress respectively towards the directions of recognition and constant looping. Accordingly, these lead to two distinct paths of psychological development.

In the Sonata, following the development section, the divide between the 'classical' and 'post-classical' that marks the exposition has been substantially attenuated, as can be observed immediately in the first group of the recapitulation. Above all, while in the exposition first group, the 'heroic' phrase maintains a meticulously diatonic harmonic trajectory, here, it *participates in* a 'post-classical' harmonic progression (see Example 4.8). The recapitulation starts with a reprise of the same musical materials as the beginning of the exposition—the 'heroic' opening phrase (bars 198–203), the fantasia middle phrase (bars 204–13), and the varied reprise of the 'heroic' phrase (bars 213–9). Yet, here, the 'heroic' phrase's reprise, instead of leading to a normalised version of the fantasia phrase in diatonic harmony like it did previously, *elides with* its own parallel-minor counterpart (bars 219), through which modulating further to F major (bar 223), projecting a 'post-classical' trajectory of P–L progression.

**Example 4.8:** Schubert, A Major Sonata, i, recapitulation, bars 213–25 (opening phrase’s reprise).

The transition then redirects the tonality back to the home key for the second group (bar 256), in which the music retraces an almost identical process to that of the exposition second group, featuring a constant fluctuation between the stable and unstable until the lyrical theme, at its third presentation (bar 318), ultimately affirms the triumph of the former over the latter with a PAC and the reassuring codettas (bars 324–9). In the recapitulation, however, this triumph is explicitly renounced with the prolongational progression of the codettas being suddenly aborted at bar 330. Following one bar of silence, the music then brings back the ‘heroic’ phrase to initiate the coda (see Example 4.9). And it is in this section that the most prominent moment of integration and reconciliation is observed. As Horton says, ‘the coda’s function seems to be the reconciliation of the first theme with those developmental elements that have hitherto pulled away from it’, that is, the ‘classical’ and ‘post-classical’ syntax.<sup>62</sup> Here, rather than persisting in a predominantly diatonic harmonic profile, this phrase openly assimilates into itself some form of chromaticism as it drifts towards the subdominant key, D major (bar 335), and in its repetition, the flat-

<sup>62</sup> Horton, ‘The First Movement of Schubert’s Piano Sonata D. 959 and the Performance of Analysis’, p. 185.

submediant key, F major (bar 344). Most importantly, with this reconciliation, the cadential dominant harmony of this phrase is—for the first time—also resolved with a PAC (bars 340 and 349). This significant transfiguration, to cite Jung, hints at the attainment of the ability to ‘stand judgingly between the opposites’, embodying an important step towards individuation.<sup>63</sup>

**Example 4.9:** Schubert, A Major Sonata, i, coda, bars 331 ff.

331  
pp  
A major: I ————— IV

338  
cresc.  
I ————— bVI

347  
p  
decresc.  
pp  
I ————— PAC

352  
dim.  
I ————— PAC

<sup>63</sup> Though not from a Jungian perspective, Hascher’s reading of the coda similarly emphasises the sense of reconciliation attained in this music, writing that ‘The coda thus achieves a poetic transfiguration of the [opening] theme, a “romanticisation” of it in the Novalisian sense’, and that ‘it is a moment highly charged with symbolic value; and if symbols in romanticism allude to a higher, ideal world, then this passage acts as a musical “Wegweiser” to the Infinite and to the Absolute’ (‘Music as Poetry’, p. 274).

While successful recognition and assimilation of the shadow can facilitate individuation and promote psychological growth, failure to do so could run the risk of being possessed by the shadow, which may result in the degeneration of the psyche or furthermore, moral reversals—as is the case for Hoffmann’s *Medardus* and Lewis’s *Ambrosio*.<sup>64</sup> In the Trio, this is exposed especially in the coda’s growing obsession with the turn motif and the second-practice harmony with which it is associated. Right after the concluding PAC (bar 565) attained at the end of the recapitulation, the music delves once more into the  $\flat\hat{6}$ —rendered here as a prolonged augmented sixth harmony—within which the turn motif also returns *fortississimo* (bars 571–81). And as this suspended harmony finally resolved to the tonic (bar 585), the music pursues again the hexatonic cycle it explored previously in the exposition and recapitulation. But instead of suppressing (or normalising at least) this process halfway, the music this time indulges fully in it, executing a *full hexatonic cycle* that circles from Eb major, through Eb minor, Cb major, B minor, G major, G minor, and back to the tonic, Eb major (see Example 4.5c).

The fanfare-like opening phrase then returns (bars 623–31) and attempts to round off this movement with a PAC articulated *fortissimo* with a triple-hammer-blow gesture. This movement, however, does not end with this assertive closing gesture, but rather closes by bringing back a pattern that sounds almost identical to the beginning of the full hexatonic cycle of the coda, as though attempting to repeat it yet once again (see Example 4.10, cf. bars 632 ff. and bars 585–7). In this way this coda captures vividly the music’s consuming obsession, or, as Jung would call it, ‘*enantiodromia*’, that is, ‘the emergence of the unconscious opposite in the course of time’.<sup>65</sup>

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<sup>64</sup> See Herdman, *The Double in Nineteenth-Century Fiction*, pp. 6–7 and 155–61.

<sup>65</sup> Jung, *Collected Works of C.G. Jung*, vi: *Psychological Types*, p. 709

**Example 4.10:** Schubert, E $\flat$  Major Trio, i, bars 623 ff.

623

*ff* *cresc.* *ff* *p*

*ff* *cresc.* *ff* *p*

*ff* *cresc.* *ff* *p*

585

Vln. *f* *pp*

Vc. *f* *pp*

## Conclusion

In Romantic literature, the Doppelgänger that often haunts one in dreams, visions, and the like is essentially a psychological motif, and a number of the inner, subjective aspects of the characters might be brought to light through a close examination of the working of this motif. As I have shown, the motif of the Doppelgänger, especially when allied with perspectives from psychoanalytic criticism, could also provide a rewarding hermeneutic window to exploring the dream aesthetic of Schubert's music. In this chapter, I have drawn on the theme of Doppelgänger dreams in interpreting the A Major Piano Sonata and E $\flat$  Major Trio, discussing their psychological significances through Freudian and Jungian psychoanalysis. As we have seen, instances of the Doppelgänger encounter in both musical examples—and in 'Der Doppelgänger'—have escalated into an intense musical response, just as such an encounter in

Romantic literature is prone to provoking fear and other hysterical psychological states. The Freudian understanding of the double, with its specific focus on the uncanny, effectively contextualises these musical outbreaks in light of an underlying narcissistic subjectivity that is embodied in the music's insistence on the 'stable', 'classical' syntax and its ambivalent attraction to and repudiation of the 'destabilising', 'post-classical' syntax. The Jungian approach on the other hand, which emphasises the Doppelgänger dream as the psyche's attempt at compensating the narcissism and one-sidedness of the waking ego, enables us to construe the reconciliation between the 'classical' and 'post-classical' in the Sonata and the consuming obsession with the 'post-classical' in the Trio respectively as the corollaries of recognising the shadow and the inability to do so.

\* \* \*

The double is a figure of the uncanny and repetitious hauntings. In gothic or dark-Romantic literature, another familiar motif that is closely associated with these aspects is the figure of ghosts—indeed, it is not without reason that the two motives are often discussed alongside each other in literary criticism. In the next chapter, I shall continue my examination of the dream aesthetic in Schubert's music via this figure. It is worthy of note here that notwithstanding the very similarity between the motives of the double and the ghost, the former is generally regarded to be primarily related to the issues of morality, the conflicting aspects of the self, and so on, while the aesthetic significance of the latter, as we shall see, lies in its peculiarly anachronistic temporality, and especially, its representation of the paradoxical *un*-passing of the past.

## Chapter 5: The Recurring Nightmares of Ghostly Hauntings

*‘The time is out of joint’: time is disarticulated, dislocated, dislodged, time is run down, on the run and run down, deranged, both out of order and mad. Time is off its hinges, time is off course, besides itself, disadjusted.*<sup>1</sup>

Jacques Derrida, *Spectres de Marx (Specters of Marx)*, 1993)

‘The past is never dead. It’s not even past’.<sup>2</sup> This famous line from William Faulkner’s *Requiem for a Nun* (1951) seems a particularly apt description of the gothic or so-called ‘dark-Romantic’ literature.<sup>3</sup> Just as Joseph Crawford observes that ‘the nightmares articulated by gothic fiction tend to be recurring ones’,<sup>4</sup> in this corpus, instances of horror, once happened, never simply stay in the past, but are liable to happen again and again, trapping the protagonist in an uncanny loop within which he or she is doomed to the endless repetition of the same nightmare. This circular or, as Christine Berthin says ‘anti-clockwise’,<sup>5</sup> temporality of gothic horror is perfectly exemplified by such figures as ghosts, spectres, phantoms, or revenants. It is not just that as the class of the undead, these ghostly figures are, by their very nature, dislodged from the linearity of empirical time.

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<sup>1</sup> Jacques Derrida, *Specters of Marx: The State of the Debt, the Work of Mourning and the New International* (London: Routledge, 2006), pp. 10–11.

<sup>2</sup> William Faulkner, *Requiem for a Nun* (New York: Vintage, 2011), p. 73.

<sup>3</sup> The ‘gothic’ discussed in this chapter (including the secondary sources cited) refers principally to that dating from the late eighteenth and early nineteenth centuries, especially the English gothic and its German counterpart of *Schauerphantastik*—the two are closely associated and many cross-influences and borrowings could be found between them (see Andrew Philip Seeger, ‘Crosscurrents between the English Gothic Novel and the German Schauerroman’ (PhD dissertation, University of Nebraska-Lincoln, 2004) and Barry Murnane, ‘Haunting (Literary) History: An Introduction to German Gothic’, in *Popular Revenants The German Gothic and Its International Reception, 1800–2000*, ed. by Andrew Cusack and Barry Murnane (Rochester, NY: Camden House, 2012), pp. 10–43).

<sup>4</sup> Joseph Crawford, ‘“Every Night, The Same Routine”: Recurring Nightmares and the Repetition Compulsion in Gothic Fiction’, *Moveable Type*, 6 (2010), pp. 1–9 (p. 3).

<sup>5</sup> Christine Berthin, *Gothic Hauntings. Melancholy Crypts and Textual Ghost* (London: Palgrave Macmillan, 2010), pp. 58–88 (pp. 67–8).

Moreover, the familiar gothic image of ghosts as something that always carry out ritual-like repetitions of the same actions and recursively haunt the same locations insinuates that at its most extreme,<sup>6</sup> not even death could possibly bring an end to the temporal loop in gothic horror.

In gothic literature, the ‘anti-clockwise’ temporality is often dramatised furthermore by the fact that repetition has achieved a level of tension so strong that it becomes nearly impossible to resolve this completely by the end. (This is often the case with German ghost stories of the nineteenth century, of which a sense of incompleteness, the impression that questions left behind unanswered and situations unreconciled by the end is a trademark feature.<sup>7</sup>) Therefore, if, as J. Hillis Miller declaims, ‘no narrative can show either its beginning or its ending. It always begins and ends still *in medias res*, presupposing as a future anterior some part of itself outside itself’,<sup>8</sup> this ‘aporia’ or ‘problem of closure’ nonetheless appears to be especially salient to the gothic genres. The lack of decisive and unambiguous conclusion in this corpus suggests to a reader that hauntings and repetitions are to be continued even after the ostensible end of the text.<sup>9</sup> And this, as Rebecca Martin argues, invites a reader to ‘to experience the whole novel as an endless repetition of such spectacular scenes of suffering’.<sup>10</sup>

An enthusiast of gothic horror,<sup>11</sup> Schubert was of course acquainted with the theme of ghostly hauntings. His setting of Ludwig Höltz’s ‘Die Nonne’ (‘The Nun’, D. 208, 1815), in

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<sup>6</sup> For example, the Bleeding Nun of Matthew Lewis’s *The Monk* (1796), the Beggarwoman of Heinrich von Kleist’s *Das Bettelweib von Locarno* (*The Beggar Woman of Locarno*, 1810), and the White Lady of E. T. A. Hoffmann’s *Eine Spukgeschichte* (*A Ghost Story*, 1819).

<sup>7</sup> This aspect is examined in detail in Muriel Watkins Stiffler, ‘The German Ghost Story as Genre’ (PhD dissertation, The University of Iowa, 1991). Works cited by Stiffler include Friedrich Schiller’s *Der Geisterseher* (1789), Kleist’s *Das Bettelweib von Locarno*, Hoffmann’s *Das Majorat* (1817), and more.

<sup>8</sup> J. Hillis Miller, ‘The Problematic of Ending in Narrative’, *Nineteenth-Century Fiction*, 33 (1978), pp. 3–7 (p. 4).

<sup>9</sup> See Michelle A. Massé, ‘Gothic Repetition: Husbands, Horrors, and Things That Go Bump in the Night’, *Signs*, 15 (1990), pp. 679–709 (p. 689).

<sup>10</sup> Rebecca Martin, ‘The Spectacle of Suffering: Repetition and Closure in the Eighteenth-Century Gothic Novel’ (PhD dissertation, City University of New York, 1994), p. 11.

<sup>11</sup> See Prologue, note 10.

particular, even brilliantly captures through musical means the peculiar temporality of this theme. Höltý's ballad narrates the story of a nun who, heartbroken by the betrayal of her beloved knight, revenged herself by assassinating him and, thereafter, dragged his corpse out from the church where he was buried, tore out his heart and stamped on it so forcefully so that the sound reverberated through the whole church. In the last three stanzas of the ballad, it is related that following the death of the nun, her ghost has long haunted that very same church, and every midnight repeats the same heart-breaking—both literally and figuratively—act:

Ihr Geist soll, wie die Sagen gehn,	Her ghost, as the legend goes,
In dieser Kirche weilen,	Dwells in this church,
Und, bis im Dorf die Hahnen krähn,	And, until the cocks crow in the village
Bald wimmern und bald heulen.	Soon wailing and soon howling
Sobald der Seiger zwölfte schlägt,	As soon as the clock-hand hits twelve
Rauscht sie, an Grabsteinwänden,	She rushes, along the tombstone walls,
Aus einer Gruft empor, und trägt	Up from a crypt, and carries
Ein blutend Herz in Händen.	A bleeding heart in her hands.
Die tiefen hohlen Augen sprühn	Her deep, hollow eyes spark
Ein düsterrothes Feuer,	A grim-red fire,
Und glühn, wie Schwefelflammen glühn,	And glow, like sulphurous flames glow,
Durch ihren weißen Schleyer.	Through her white veil.
Sie gafft auf das zerrißne Herz,	She gazes at the torn heart,
Mit wilder Rachgeberde,	With a wild revengeful expression,
Und hebt es dreymal himmelwärts,	And lifts it three times skywards,

Und wirft es auf die Erde;	And throws it to the ground;
Und rollt die Augen voller Wuth,	And she rolls her eyes full of rage,
Die eine Hölle blicken,	Looks at hell,
Und schüttelt aus dem Schleyer Blut,	And shakes blood out of her veil,
Und stampft das Herz in Stücken.	And stamps the heart into pieces.
Ein dunkler Todtenflimmer macht	A dark flicker of death meanwhile makes
Indeß die Fenster helle.	the windows bright.
Der Wächter, der das Dorf bewacht,	The watchman who guards the village
Sah's oft in der Kapelle.	Saw it often in the chapel. <sup>12</sup>

In Schubert's setting, the recursive hauntings of these closing stanzas are rendered skilfully through a switch from the linear through-composed setting to a cyclical strophic setting in the corresponding 'Mässig, mit Grauen' ('Moderate, with horror') section (see Example 5.1). Here, the *sforzando* chords that constitute the originary scene of violent stamping (bars 149–54) are continuously echoed in the piano postlude that follows each of the three stanzas (bars 170 ff.), vividly representing the steadfast fixation of the nun's ghost. Just as Hölty problematises the closure of the ballad by withholding a proper resolution for the ghostly hauntings, Schubert's closure, too, is no less 'problematic' and inconclusive. The fact that the song 'ends' with the same closing gesture that has once and again looped back to the beginning of the haunting section certainly creates a feeling that the song, rather than drawn to a definite ending, is left open-ended, in a way that allows for the same haunting strophic section to repeat indefinitely.

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<sup>12</sup> Translation mine.

## Example 5.1: Schubert, 'Die Nonne', D. 208, bars 149 ff.

149 **Mässig, mit Grauen**

**violent stamping**

Ihr Geist soll, wie die Sa - gen gehn, in  
Die tie - fen, hoh - len Au - gen sprühn ein  
Und rollt die Au - gen vol - ler Wuth, die

158

die - ser Kir - che wei - len, und, bis im Dorf die Häh - ne krähn, bald wimmern und bald  
dü - ster - ro - thes Feu - er, und glühn, wie Schwefel flammen glühn, durch ih - ren wei - ssen  
ei - ne Höl - le bli - cken, und schüt - telt aus dem Schleier Blut, und stampft das Herz in

*cresc.* *f* *p* *cresc.*

163

heu - len. So - bald der Ham - mer zwöl - fe schlägt, rauscht sie an Grab - stein - wän - den aus  
Schlei - er. Sie gafft auf das zer - riss - ne Herz mit wil - der Rach - ge - ber - de und  
Stü - cken. Ein blei - cher To - dten - flim - mer macht in - dess die Fen - ster hel - le. Der

*f* *pp*

168

ei - ner Gruft em - por, und trägt win blu - tend Herz in  
hebt es drei him - mel - wärts und wirft es auf die Ka -  
Wäch - ter, der das Dorf be - wacht sah's oft in der Ka -

*fp* *fp* *fp* *fp* *p*

171

Händen.  
Er - de.  
pel - le.

**violent stamping (recall)**

*p* *ffz* *p* *ffz* *p*

1.2. 3.

Undoubtedly, the suspense and indecisiveness provoked by ghostly hauntings would invite—or command—particular interpretative attention. A concept that is regarded in current criticism to be especially rewarding in discussions of this theme is psychoanalytic trauma.<sup>13</sup> On the one hand, the obsessional, repetitive behaviours of the ghosts—such as the nun’s ghost in ‘Die Nonne’—can be understood as emblematic of the traumatised subject’s unconscious compulsion to relive the trauma. On the other hand, in light of Cathy Caruth’s re-conceptualisation of trauma as constituted around an unrepresentable, absent-present experience that ‘returns to haunt the survivor later on’, the ghostly figures might also be seen as symbolising the traumatic past *per se*, no different than what continuously comes back to haunt the traumatised in nightmares.<sup>14</sup>

It is this sympathetic (traumatic) correspondence between the themes of ghostly hauntings and recurring nightmares that shapes the focus of this final case study. To demonstrate this, this chapter concentrates principally on the first movement of the ‘Unfinished’ Symphony (D. 759, 1822)—whose articulation of extreme musical horror and terror has been noted by numerous commentators albeit rarely discussed in relation to a gothic aesthetic. But it also explores beyond this movement and discusses briefly what the gothic-traumatic interpretation might tell of the second movement and, furthermore, even the Symphony’s so-called ‘unfinished’ status. To begin with, it would be useful first to examine in greater detail the way in which hauntings and ‘anti-clockwise’ temporality are constructed in the first movement.

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<sup>13</sup> On ghosts and trauma, see, for example, Peter Buse and Andrew Stott, eds., *Ghosts: Deconstruction, Psychoanalysis, History* (London: Palgrave Macmillan UK, 1999), pp. 50–71; and Andrew Smith, ‘Hauntings’, in *The Routledge Companion to Gothic*, ed. by Catherine Spooner and Emma McEvoy (Florence and London: Routledge, 2007), pp. 147–54.

<sup>14</sup> Cathy Caruth, *Unclaimed Experience: Trauma, Narrative, and History* (Baltimore; London: The Johns Hopkins University Press, 1996), p. 4. Simon Hay, for instance, claims in reference to Caruth: ‘the ghost is something that comes back, the residue of some traumatic event that has not been dealt with and that therefore returns, the way trauma always does. [...] The figure of the ghost as a present-absence, there and not there both at once, visible and yet invisible, makes the ghost story singularly well-suited to such a narrative task’ (*A History of the Modern British Ghost Story* (London: Palgrave Macmillan UK, 2011), pp. 4–5).

## Recurring nightmares

Right from its opening phrase (bars 1–8; see Example 5.2a), Schubert’s ‘Unfinished’ Symphony is enveloped in an atmosphere that regularly strikes commentators as ominous and mysterious. Peter Gülke describes this phrase as ‘an oracular, whispering unison’; Xavier Hascher calls it ‘a strange, deep rumble’; Michael Spitzer says that it ‘ticks every box for distant threat and mystery’; while for Joe Davies, it ‘impart[s] a mysterious tone to the movement’.<sup>15</sup>

At a closer look, the opening phrase (or what Hascher calls ‘the “O” theme’<sup>16</sup>), whose low, unharmonised unisons, soft dynamics, and slow tempo gesturing an *ombra* topic, also readily brings to mind the image of a ghostly presence.<sup>17</sup> A *locus classicus* of Schubert’s use of analogous gestures to depict ghostly presence is the last stanza of ‘Der Wanderer’ (D. 489, 1816). There, when the ghostly whisper (‘Geisterhauch’) emerges *ex nihilo*, the chordal texture that pervades almost the entire song suddenly changes to *all’unisono* with the vocal line dropping one and a half octaves to join the piano in rumbling a low, descending line—avers Harald Krebs, ‘no doubt, in response to the word *Geisterhauch*’<sup>18</sup> (see Example 5.2b). In terms of the ‘Unfinished’ Symphony’s opening phrase, moreover, its indecisive, ill-defined hypermetre—which, as Richard

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<sup>15</sup> Peter Gülke, *Schubert und seine Zeit* (Regensburg: Laaber, 1991), p. 197; Xavier Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, in *Rethinking Schubert*, ed. by Lorraine Byrne Bodley and Julian Horton (New York: Oxford University Press, 2016), pp. 128–43 (p. 133); Michael Spitzer, ‘Mapping the Human Heart: A Holistic Analysis of Fear in Schubert’, *Music Analysis*, 29 (2010), pp. 149–213 (p. 164); Joe Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’ (DPhil dissertation, Oxford University, 2019), p. 105.

<sup>16</sup> The symbol ‘O’ is used by Hascher to denote such properties as ‘origin, opening or obsession’ of the opening phrase (‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 133).

<sup>17</sup> Clive McClelland discusses extensively how musical gestures of the *ombra* are conventionally used in the seventeenth- and eighteenth-century stage works to evoke the category of the ghostly (see this author’s ‘Ombra and Tempesta’, in *The Oxford Handbook of Topic Theory*, ed. by Danuta Mirka (New York: Oxford University Press, 2014), pp. 279–300).

<sup>18</sup> Harald Krebs, ‘Some Early Examples of Tonal Pairing: Schubert’s “Der Wanderer” and “Meeres Stille”’, in *The Second Practice of 19th-century Tonality*, ed. by William Kinderman and Harald Krebs (Lincoln: University of Nebraska Press, 1996), pp. 17–33 (p. 19).

Taruskin notes, articulates a ‘deliberately skewed phrase rhythm’ that is ‘divided as asymmetrically as possible’—also fortifies the sense of liminality and ghostliness.<sup>19</sup>

**Example 5.2:** Schubert a) ‘Unfinished’ Symphony, i, bars 1–10; b) ‘Der Wanderer’, D. 489, bars 63–6.

a) *Allegro moderato.*

b)

im - mer wo? Im Gei - ster-hauch tönt's mir zu - rück:

<sup>19</sup> Richard Taruskin, *The Oxford History of Western Music*, 5 vols. (Oxford: Oxford University Press, 2005), iii: *The Nineteenth Century*, p. 109. See also Richard Kurth, ‘On the Subject of Schubert’s “Unfinished” Symphony: Was Bedeutet Die Bewegung?’, *19th-Century Music*, 23 (1999), pp. 3–32 and Spitzer, ‘Mapping the Human Heart: A Holistic Analysis of Fear in Schubert’, p. 165. David Schroeder on the other hand notes a sense of liminality in the tonality of this phrase, arguing that in addition to B minor, this opening phrase can be viewed as also outlining a G-major triad (‘Polarity in Schubert’s Unfinished Symphony’, *Canadian University Music Review*, 1 (1980), pp. 22–34 (pp. 27–8)).

After its transient appearance in the first eight bars of the Symphony, the opening phrase quickly vanishes and is immediately succeeded by a distinct first-group material (bar 9), striking Hascher as though the symphony ‘start[s] *ex nihilo* without our being able to say whether there is any link between the opening bass-line theme and this new beginning’.<sup>20</sup> In fact, at its first appearance, this opening phrase—with its rhetorical separation from the first group proper, implied tonal movement towards the dominant, and prolongation of this tonal area at the phrase ending—suggests an unmistakable formal function of an introduction (its long-valued notes, which allude to a slow tempo, may even remind one of a slow introduction).<sup>21</sup> And this first impression essentially sets up the ghostly phrase’s first *haunting* return in the expositional repeat.

Around Schubert’s time, while it was a standard practice for the sonata-form exposition to be repeated *in toto* before progressing further, this procedure conventionally does not involve the introduction (whether in-tempo or slow).<sup>22</sup> In bringing back in the expositional repeat what is first presented as an introduction, Schubert therefore directly calls into question the formal function of the opening phrase—it is now caught in a liminal position between the introduction and first group (what James Hepokoski and Warren Darcy would call a ‘P<sup>0</sup>’).<sup>23</sup> Moreover, when the opening phrase is first heard again in the expositional repeat, it may even give the impression that the

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<sup>20</sup> Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 134.

<sup>21</sup> For general features of sonata-form introduction, see William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York and Oxford: Oxford University Press, 1998), pp. 203–7 and James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford and New York: Oxford University Press, 2006), pp. 293–306.

<sup>22</sup> To my knowledge, the first movement of Beethoven’s piano sonata ‘Pathétique’ (Op. 13, 1798) is probably the first to have required the slow introduction to be repeated along with the exposition, yet this practice remains very uncommon. A later—albeit more controversial—example would be the first movement of Chopin’s B-flat Minor Piano Sonata (Op. 35, 1839), and there is a debate in current scholarship whether the introduction should be repeated (see Anatole Leikin, ‘Repeat with Caution: A Dilemma of the First Movement of Chopin’s Sonata op. 35’, *The Musical Quarterly*, 85 (2001), pp. 568–82).

<sup>23</sup> See Hepokoski and Darcy, *Elements of Sonata Theory*, pp. 86–90.

music's formal teleology has gone 'out of joint' with its introduction resisting to pass even after its introductory function had been fulfilled. Certainly, the aesthetic effect produced by this cannot be described simply as repetitive—as in conventional expositional repeat—rather, it conveys a temporality that is haunting, backsliding, or 'anti-clockwise'.

As though a haunting presence, the 'O' theme soon creeps in again in the second expositional ending (bar 114). Cast in the subdominant key (E minor), this phrase soon descends to the flat-submediant degree of C $\flat$  (bar 122), upon which it is affixed to this degree and begins to rumble in tremulous motion (see Example 5.3). Fisk perceptively discerns that through this juncture the music has arrived at a different 'realm' or aesthetic level, highlighting that 'in its depth and near-stillness, and in the arrest of its motion on C, the unstable sixth degree, this passage evokes a descent into a mysterious, threatening realm—or, perhaps, a venturing forth to an outer limit'.<sup>24</sup> Indeed, this juncture is also what leads us to the 'dream scene', that is, the development section (note the flat-submediant sonority here, which is both sonically and aesthetically closely comparable to the 'inwardising' Schubertian  $\flat$ VI discussed in Chapter 1, 'Category 2'). However, if the development section is to be seen as a musical dream, as we shall see, this dream is necessarily a nightmarish one, and moreover, one that is under the haunting of the 'O' theme.

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<sup>24</sup> Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (Berkeley and Los Angeles: University of California Press, 2001), p. 99.



## Example 5.3 (cont.)

156

*p* *ff* *ff*

D minor: V (cadential progression interrupted by x)

166

*p* *ff* *f* *f*

return of O

back to E minor:

176

*ff* *ff*

P-based

i ascending-5ths sequence v

181

*sf* *sf* *sf*

ii descending-5ths sequence

## Example 5.3 (cont.)

186

*sf* *sf* *sf*

v i

194

*ffz* *sf* *pp* *cresc.* *ff* *sf*

*ffz* *sf* *pp* *cresc.* *ff* *sf*

D major: I<sup>6</sup>

204

*ff* *sf*

*ff* *sf*

*p* *sf* *p*

III (V of B minor) III B minor: V

211

*decresc.* *pp* *pp*

*decresc.* *pp* *pp*

9 i

**Example 5.4:** Motivic derivation of the development section of the first movement of the  
'Unfinished' Symphony.

a) Opening phrase

b)

c)

d)

e)

Right from the development section's opening bars (bars 122–33), a nightmarish quality is observed from the sense of fear or shudder evoked by the *tremolando* motion of the bassline.<sup>25</sup>

<sup>25</sup> Similar reading of *tremolo* in Schubert's music is suggested in Patrick McCreless, 'Probing the Limits: Musical Structure and Musical Rhetoric in Schubert's String Quartet in G Major, D. 887', *Music Theory and Analysis*, 2

Here, moreover, the head motif of the ‘O’ theme (I shall call it ‘motif *x*’) joins with a descending-semitone appoggiatura—which can be seen as derived from the middle part (or ‘motif *y*’) of the same theme—to form a four-bar unit (bars 122–5) which, as though some alienating ghostly whisper that haunts one in this nightmare, sounds incessantly between the violins and the viola and bassoon at the dynamic level of *pianissimo* (see Example 5.4b). The haunting music soon intensifies in bar 134 as motif *x*, now inverted and addressing the pitches G–F♯–E in the high register, starts to blare relentlessly against the F♯ bassline and the *sforzando* syncopations in the inner voices, articulating a forceful dominant ninth harmony which lasts over a total span of twelve bars (bars 134–45). This intensifying process soon culminates with the first climax (bar 146) of the development section and ushers in the next episode of the nightmare.

In this new episode (bars 146–76), the rhythm of motif *x* is put into a violent, *tremolando* arpeggiations. After its first appearance in C♯ minor (bars 146–50), this *x*-based figure returns in diminished harmonies (bars 154–8 and 160–165) once and again to disrupt a second group-based<sup>26</sup> cadential unit right when it is about to attain an authentic cadence (see Example 5.4c). Such vividness of a bold, surprising harmonic progression and extreme shudder (*tremolos*) typically associated with the *ombra* immediately suggest a heightened sense of hauntings.<sup>27</sup> This looping process eventually circles back to E minor (bar 170)—the key with which the development section

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(2015), pp. 1–36; Marjorie Hirsch, ‘Schubert’s Reconciliation of Gothic and Classical Influence’, in *Schubert’s Late Music: History, Theory, Style*, ed. by Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), pp. 149–70; Spitzer, ‘Mapping the Human Heart: A Holistic Analysis of Fear in Schubert’, p. 168.

<sup>26</sup> This reading of the syncopated figure in the ‘Unfinished’ Symphony as ‘second group-based’ rather than some commonplace accompaniment pattern resonates with Hascher’s perceptive claim that ‘in Schubert’s mature works, an accompaniment always relates to the overall fabric of a piece’. In specific terms of the syncopated figure in this symphony, he explains: ‘the accompaniment to the second theme is a conventional syncopated orchestral formula, which nonetheless has thematic importance within the Symphony’ (‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 132).

<sup>27</sup> See McClelland, ‘Ombra and Tempesta’.

begins—upon which the entire ‘O’ theme returns, this time *fortissimo* and in *tutti* orchestration, leading forcefully to the second climax (bar 176) of the development section.

Following this second climax is an episode where the music immediately picks up the restless semiquavers that come unmistakably from the first group.<sup>28</sup> Hauntings continue here in the way an extended motif *x* (bars 176–9), played canonically between the low and high registers, drives through an ascending fifth sequence from E minor to F# minor (bar 184), upon which a contrasting passage featuring motif *y* (bars 184–94) backslides to the ever-waiting E minor via a descending fifth sequence (see Example 5.4d). Differently from the spiral structure displayed in the *Bildungsroman*—in which the return to the origin often indicates the attainment of certain inward spiritual growth or a higher existential level (as discussed in Chapter 3)<sup>29</sup>—the fact that the music here is still under the haunting of the ‘O’ theme indicates no such attainment. Instead, this trajectory, in constantly circling back to the same key and haunting materials regardless of the ostensible tonal progress made, sounds just like those circular processes of gothic narratives where paths and stairs to escape always twist back on themselves.<sup>30</sup>

In bar 202, the haunted atmosphere that pervades the development section is suddenly broken through with the *fortissimo* advent of an episode of musical fanfare in the bright tonality of D major—the home key’s relative major which the exposition fails to attain (I shall return to this in the next section). ‘But the triumph is illusory’, alerts Fisk.<sup>31</sup> Indeed, it is not just that D

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<sup>28</sup> See note 26.

<sup>29</sup> See Chapter 3, note 16.

<sup>30</sup> See also Eugenia C. DeLamotte’s perceptive discussion of this circularity or what she calls ‘the double terror of boundedness and boundlessness’ of the gothic genres in *Perils of the Night. A Feminist Study of Nineteenth-Century Gothic* (Oxford: Oxford University Press, 1990), pp. 94–6.

<sup>31</sup> Fisk, *Returning Cycles*, p. 100.

major is not attained through any, so to speak, ‘triumphant’ means (the tonal motion simply slips from a first-inversion E minor triad to a first-inversion D major triad, see bars 201–2); but also, the fanfare music is undercut almost instantly by a whispering F♯-major harmony (bars 204–5 and 208–9), which soon serves to reinstate the darkened, minor realm of the recapitulation. Presumably, due to the fact that the development-section music prior to this episode draws extensively on motives *x* and *y* of the ‘O’ theme, this haunting F♯ harmony might even sound as though coming from the prolonged F♯ or ‘motif *z*’ of the same theme (see Example 5.4e). The similar way in which both the F♯ harmony here and the prolonged F♯ in the opening phrase are sustained and subsequently resolved to the semiquaver introductory figure of the first group certainly also lends corroboration to this correspondence (cf. bars 208–18 with bars 6–9).

The haunting of the ‘O’ theme, however, is not over with the music finally leaving the nightmarish development section. Like an uncanny *déjà vu* experience, the music in the recapitulation retraces the first and second groups (as parallel to the exposition) only to find itself haunted yet once more by the all-too-familiar ‘O’ theme (bar 328). And as though it is to bring back the same nightmare again, this theme unfolds into a coda that not only resembles the thrilling, intensifying character of the development section, but also, just like that section, is constructed principally out of ‘O’-based materials.<sup>32</sup> Noting a similarly recursive quality, Hascher says, the continuous return of the ‘O’ theme clearly does not suggest ‘logical continuity’ and ‘formal teleology’: ‘we realise that instead of advancing, as we thought, we are in fact in the same place.

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<sup>32</sup> This constitutes what Hepokoski and Darcy call the ‘introduction-coda frame’. They claim: ‘Whenever we find an introduction-coda frame the interior sonata seems subordinated to the outward container. The introduction and coda represent the higher reality, under whose more immediate mode of existence—or under whose embracing auspices—the sonata form proper is laid out as a contingent process, a demonstration of an artifice that unfolds only under the authority of the prior existence of the frame’ (*Elements of Sonata Theory*, p. 305).

The “O” theme, we have seen, does not progress. It is obsessive, and all elements emerging from it are devoid of a sense of “becoming”.<sup>33</sup> Fisk, likewise, states that ‘the tragic first movement [...] never break[s] the hold of its haunting and melancholy opening phrase’.<sup>34</sup> The un-passing of the ‘O’ theme and ‘O’-based materials—whose constant appearance and reappearance impart an ominous character to the Symphony and once and again arouse intense musical responses—indeed, also resembles the striking expressive features of ghostly hauntings in gothic texts.

So far, I have mainly focused on the multiple—dysphoric and haunting—returns of the ‘O’ theme. The movement’s ‘anti-clockwise’ structure can be further illuminated through Schubert’s peculiar setting of sonata form. As pointed out by Hepokoski and Darcy, between the mid-eighteenth and nineteenth centuries it was highly common for composers to write sonata-form development sections with reference to the thematic ordering, or what they call the ‘rotational principle’, presented in the exposition.<sup>35</sup> In the most common setting, they state:

P is usually elaborated upon first, and the music may then move forward — though often the cycle may not proceed any further at all — perhaps to TR and thence to a selection from the exposition’s part 2: either C-material alone (the most common choice) or something from S preceding the possibility of C-material.<sup>36</sup>

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<sup>33</sup> Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, pp. 141–2.

<sup>34</sup> Fisk, *Returning Cycles*, p. 86

<sup>35</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 205.

<sup>36</sup> *Ibid.*, p. 206. The tendency for sonata-form development sections to start with materials from the P theme before developing materials from other sections of the exposition has already been noted by the contemporary theorist Heinrich Christoph Koch in 1793: ‘The first and most usual construction of the first period of the second section begins in the key of the fifth with the [P] theme, occasionally also with another main melodic idea [...]’ (*Introductory Essay on Composition: The Mechanical Rules of Melody*, ed. and trans. by Nancy Kovaleff Baker (New Haven and London: Yale University Press, 1983), p. 200, cited in Hepokoski and Darcy, *Elements of Sonata Theory*, p. 209).

Following Hepokoski and Darcy, any sonata-form movements in which a *rotational* development section is featured would be at least ‘tri-rotational’ in its formal layout, with the exposition and recapitulation constituting two outer rotations and the development section alone enacting one or more inner rotation(s). In this light, even the formal processes of the conventional Classical sonata form could already be considered cyclical, in the sense that they imply the constant rolling of thematic modules along with the same order or rotation. As we know however, despite the thematic ordering, more often than not the actual content of the developmental rotation is quite different from that found in the expositional and recapitulatory rotations. As a result, it is not impossible that the development section might seem rather to cause a breach between its outer cycles than to sustain the overall cyclical motion.

In Schubert’s development section of the ‘Unfinished’ Symphony on the other hand, while the first and second groups make an appearance, they do so only in shadow with both their thematic melodies being absent (see Example 5.3, bars 150–84). The formal procedure here, as I have shown, instead foregrounds thematic-motivic materials drawn from the introductory ‘O’ theme that precedes the first group proper. Thus instead of producing inner rotations, the development section can be more readily understood as featuring a *non-rotational* procedure that is based on the ‘O’ theme. As Hepokoski and Darcy explain, this setting ‘can produce a Type 3 sonata that is fundamentally double-rotational, with two grand cycles of its {introduction or P<sup>0</sup> + exposition} pattern; the second cycle, of course, encompasses the development and recapitulation’.<sup>37</sup> In this double-rotational setting, importantly, the ‘breach’ that would otherwise separate the expositional and recapitulatory rotations in more conventional settings could be eliminated by the fact the

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<sup>37</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 221.

development section here—‘O’-based and non-rotational—may, as a whole, be viewed as forming a giant ‘O’.<sup>38</sup> In this reading, the sonata form can be seen as containing two cycles (i.e., the introduction-exposition complex and the development-recapitulation complex) that not only project the same rotational principle {O - P - Tr - S - C} but also feature sets of thematic materials that are highly identical—considering, in particular, the parallelism between the exposition and recapitulation. Viewed in this light, in this movement, the introduction-exposition complex and its repetition, along with the development-recapitulation complex, thus amount to a single unbroken cyclical procedure that traces and retraces a familiar musical pattern thrice in a row, promoting a remarkably heightened sense of cyclicism (see Figure 5.1).

**Figure 5.1:** A cyclical reading of the formal structure of the first movement of the ‘Unfinished’ Symphony.

<b>Intro. (?)</b>	<b>Exposition</b>	<b>Development</b>	<b>Recapitulation</b>	<b>Coda</b>
: O	P - Tr - S - C :	O - based	P - Tr - S - C	O - based
Cycles 1 & 2 (exposition repeat)		Cycle 3		beginning of Cycle 4?

*O:* Opening phrase  
*P:* Primary zone or first group  
*Tr:* Transition  
*S:* Secondary zone or second group  
*C:* Closing zone

Due to the movement’s projection of a cyclical structure and, in part, also to its all-pervasive ominous, nightmarish atmosphere, the reappearance of ‘O’-based music in the coda in

<sup>38</sup> A similar reading is suggested by Hascher, who claims that ‘the whole of the development section should in fact be considered as a huge central crisis’ (‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 139).

fact seems rather like indicating yet another beginning of the same cycle instead of closure. From a hermeneutical standpoint, this massive cyclical structure insinuates that the music is affixed to the constant looping of the exact same events or cycle of events. (This movement could be comprehended as featuring an indefinitely looping circular process in which the ending is always re-directed to the opening or, alternatively, it could be interpreted as beginning and ending *in media res*, with what is presented there merely an excerpt of an ongoing loop—both suggest that a problematic closure is at work). According to this cyclical reading, all ‘O’-based sections (the opening phrase or introduction, development section, and coda) may be seen as depicting essentially the same event; though, the development section, in expatiating on motivic materials of the ‘O’ theme, provides further elaboration and explains to us in greater detail what this event is about.<sup>39</sup> In this light, the opening phrase and coda do not just simply represent a ghostly presence, but they also symbolise the same nightmare of ghostly haunting as that embodied in the development section. Drawing on the notion of musical subjectivity, this music could be heard as representing a virtual protagonist who is constantly haunted by the same ghostly presence in nightmares—that is, recurring nightmares.<sup>40</sup>

The first movement of the Symphony, as I have demonstrated, might be heard in light of a series of haunting nightmares. At the heart of the musical haunting is not simply the movement’s recursive formal procedure and multiple instances of thematic-motivic repetitions—which

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<sup>39</sup> In his study, Hascher adopts terminologies from Freudian dream theory and claims that the opening phrase and other sections that are based on that phrase (including, for example, the development section and the coda) are all derived from the same latent content. Therefore, although through a different line of reasoning, he makes a similar claim that the development section is ‘where some elements from the exposition find their origins and justification via a logical reversal’ (see Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 143).

<sup>40</sup> I am reminded of the Bleeding Nun from Lewis’s *The Monk*, a ghostly figure that repeatedly haunts the character Raymond in his nightmares. See also Alexandra Maria Reuber’s insightful psychoanalytic investigation of Raymond’s recurring nightmares in ‘Haunted by the Uncanny: Development of a Genre from the Late Eighteenth to the Late Nineteenth Century’ (PhD dissertation, Louisiana State University, 2004), pp. 87–91.

undoubtedly also invite us to hear the movement as more repetitive and cyclical than an archetypal sonata-form movement. Equally significant are the *ombra*, liminal features of the ‘O’ theme as well as the way extreme musical tension is aroused as this theme returns. In the following section, the heightened sense of haunting and ‘anti-clockwise’ features in this movement will be subjected to a psychoanalytic investigation. As we shall see, the concept of psychoanalytic trauma—a concept widely employed in literary criticism in discussions of the topic of ghosts and ghostly hauntings—not only offers some illuminating perspectives to the haunting ‘O’-based sections that I have closely examined but also helps to contextualise these within the rest of the ‘ghost story’—that is, the first, second, and closing groups.

### **Reliving the trauma**

In the aftermath of the First World War, confronted with the striking clinical observation of what were known as the war neuroses or shell shock—a subtype of traumatic neuroses marked by the patients’ constant reliving of their dreadful battlefield accidents and events in nightmares—Freud recognised the limitation of his earlier dream theory, which emphasises that the sole function of dreams is the fulfilment of wishes (as discussed in Chapter 3). In Freud’s opinion, the recurring nightmares that occur in traumatic neuroses, in presenting to the dreamer content in which neither conscious nor unconscious pleasure could be derived, are ‘the only *genuine* exceptions [...] to the rule that dreams are directed towards wish-fulfilment’.<sup>41</sup> Freud saw these dreams as instead subject to a ‘more primitive, more elementary, more instinctual’ psychological mechanism that he called *the*

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<sup>41</sup> Sigmund Freud, ‘Bemerkungen zur Theorie und Praxis der Traumdeutung’ (‘Remarks on the Theory and Practice of Dream-Interpretation’, 1923), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, trans. and ed. by James Strachey, 24 vols. (London: Hogarth, 1953–74), xix: *The Ego and the Id and Other Works*, pp. 109–40 (p. 118).

*compulsion to repeat* or *repetition-compulsion*—a topic that is investigated extensively in ‘Jenseits des Lustprinzips’ (‘Beyond the Pleasure Principle’, 1920).<sup>42</sup>

In this writing, Freud conceptualised the mind as an organism with an outer layer that functions as a ‘protective shield’ against external stimuli; however, when overcome by *fright*—‘the state a person gets into when he [or she] has run into danger without being prepared for it’ (Freud emphasised here ‘the factor of surprise’)—the raw, unprocessed stimuli would then breach through the protective shield and strike the mind directly, forming the psycho-pathological cause for traumatic neuroses.<sup>43</sup> When this happened, explained Freud:

There is no longer any possibility of preventing the mental apparatus from being flooded with large amounts of stimulus, and another problem arises instead—the problem of mastering the amounts of stimulus which have broken in and of binding them, in the psychical sense, so that they can be disposed of.<sup>44</sup>

This is when the mechanism of repetition-compulsion would set in, entrapping the sufferer continuously to re-experience a traumatic event (in dreams, flashbacks, and so on), in this way attempting to process these raw stimuli by retrospectively developing the preparedness whose missing is what made the event traumatic in the first place.

Reinterpreting Freud’s view from a timelier perspective, Caruth explains that the state of fright in traumatic neuroses is in fact a disruption in the traumatised subject’s temporal experience:

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<sup>42</sup> Freud, ‘Jenseits des Lustprinzips’ (‘Beyond the Pleasure Principle’, 1920), in *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, xviii: *Beyond the Pleasure Principle, Group Psychology and Other Works*, pp. 7–64 (p. 23).

<sup>43</sup> *Ibid.*, pp. 12–3.

<sup>44</sup> *Ibid.*, pp. 29–30.

[Fright] is not simply, that is, the literal threatening of bodily life, but the fact that the threat is recognised as such by the mind *one moment too late*. The shock of the mind's relation to the threat of death is thus not the direct experience of the threat, but precisely the *missing* of this experience, the fact that, not being experienced *in time*, it has not yet been fully known.<sup>45</sup>

According to Caruth, this unclaimed experience or lack in trauma, while lurking beneath consciousness in a state that eludes both representation and comprehension, nonetheless continuously demands a proper response from the subject, resulting in different types of traumatic repetitions, which tell 'the story of a wound that cries out, that addresses us in the attempt to tell us of a reality or truth that is not otherwise available'.<sup>46</sup> As Caruth argues, therefore, 'trauma is not locatable in the simple violent or original event in an individual's past, but rather in the way that its very unassimilated nature—the way it was precisely *not* known in the first instance—returns to haunt the survivor later on'.<sup>47</sup>

Caruth's understanding of trauma as an absent-present experience that 'cries out' and 'returns to haunt the survivor later on', surely, would provide a fitting model for the discussions of the topic of ghostly hauntings.<sup>48</sup> Taking a psychoanalytic standpoint, if a ghostly presence, with its liminal, 'anti-clockwise' nature, might be understood on a metaphorical level as symbolising a traumatic past, then the way it continuously haunts one in nightmares—as in the first movement of the 'Unfinished' Symphony—certainly resembles the kind of recurring nightmares that is the hallmark of traumatic suffering. Indeed, just like 'Die Nonne', the first movement of the

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<sup>45</sup> Caruth, *Unclaimed Experience*, p. 62, emphases original.

<sup>46</sup> *Ibid.*, p. 4.

<sup>47</sup> *Ibid.*

<sup>48</sup> See note 14.

Symphony also contains what might be heard as the originary scene of the traumatic encounter. And this is located in the second group.

In bar 38, the culminating momentum of the exposition first group is instantly withheld with the *tutti* music there reduced to a single, sustaining D unison played *fortepiano* by the horns and bassoons alone (see Example 5.5). This figure, sounding rather like a horn call—a conventional gesture of distance and halcyon memory in German Romanticism—swiftly shifts into the ‘inward’  $\flat$ VI region of G major (bar 42, see also the parallel section in the recapitulation, bars 252–6), in this way constituting an extremely laconic transition to the second group.<sup>49</sup> Susan Youens’s discussion of the horn call in Romantic poetry provides an apt description for this music: ‘the *Hörnerklang*, or the sound of distant horn calls summoning the protagonist away from where he is [...] into the recesses of memory, is a quintessentially Romantic image’.<sup>50</sup> Indeed, emerging *pianissimo* from the bright, major tonality with an uncomplicated musical texture, the ensuing second group enters as though a memory of an idyllic past evoked by the horn call of the transition. But just as in Schubert’s songs where pleasant dreams and memories are liable to be shattered, later into the second group, it soon becomes clear that central to this memory is not so much an idyllic past as the rude destruction of it. It represents a ‘vulnerable lyrical subject, which is doomed to be quashed’, as Susan McClary says.<sup>51</sup>

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<sup>49</sup> The association between the gesture of the horn call and memories of the past is most tellingly revealed in Schubert’s ‘Der Lindenbaum’ from *Winterreise* (D. 911, 1827). For more in-depth discussions on the notions of memory and horn call in this song, see Susan Youens, *Retracing a Winter’s Journey: Schubert’s Winterreise* (Ithaca, NY and London: Cornell University Press, 1991), pp. 151–69 and Charles Rosen, *The Romantic Generation* (London: Harper Collins Publishers, 1996), pp. 116–24.

<sup>50</sup> Youens, *Retracing a Winter’s Journey*, p. 161 (note 13).

<sup>51</sup> Susan McClary, ‘Constructions of Subjectivity in Schubert’s Music’, in *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. by Philip Brett, Elizabeth Wood and Gary Thomas (New York: Routledge, 1994), pp. 205–33 (p. 225).

Example 5.5: Schubert, 'Unfinished' Symphony, i, bars 38–71.

38 **Horn call** **Second Group**

*fp* *pp* *pp* *pp*

G major: I ——— V<sup>7</sup> ——— I ———

48 *pp* *pp*

—— V<sup>7</sup>/ii ——— ii V<sup>7</sup> I V<sup>7</sup>

56 *decresc.* *decresc.*

-I ——— V<sup>7</sup>/ii ——— ii V<sup>7</sup> ?

63 *ffz* *sf* *sf* *cresc.* *sf*

*ffz* *sf* *sf* *sf sf* *sf sf sf* *sf sf sf* *sf*

*cresc.*

*x'*

In bar 53, an apparent PAC<sup>52</sup> arrived through the sequential motion of the thematic melody of the second group is elided with the restatement of the same melody. But right when the same sequential repetition is about to attain the same cadence, ‘as if in the face of a horror’, put Gülke,<sup>53</sup> the music unexpectedly falls silent for one whole bar (bar 62; see Example 5.5).<sup>54</sup> Without any anticipation, three explosive chords then burst forth in *tutti* orchestration (without timpani) with *sforzando* and *tremolando* articulation, violently blaring out the harmonies of C minor (bar 63), G minor (bar 65), and then E $\flat$  major (bar 67), which subsequently lead to an augmented-sixth harmony in bar 71 (see also the corresponding music in the recapitulation, bars 280–289). As though a response to this shocking moment, the previously unassuming materials of the second group return thereafter with an agitated character and torn between the high and low registers, proceeding, in Hepokoski and Darcy’s words, ‘as the “victimised” remainder of a multimodular S that, with much strain, pieces together the shards of a shattered S<sup>1</sup> to secure the EEC in bar 93’.<sup>55</sup> Regarding the ‘aftermath’ of bars 71–2 in particular, Glenn Stanley lucidly describes: ‘one can hear [it] as a shocked person’s response to a terrible human action or natural event’ and ‘imagine an individual who, through overwhelming horror and fear, can no longer speak and is reduced to the most primitive, perhaps even non-verbal articulations, an inchoate moaning’.<sup>56</sup>

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<sup>52</sup> Caplin argues that normally, a gesture like this cannot be understood simply as an articulation of the PAC, for it implies the ‘being-in-the-middle’ function of sequential repetitions. However, he explains with regard to this music in question: ‘here it seems to do just that, namely to bring a semblance of closure to the theme. In other words, we can hear the harmonies in mm. 49–52 as not only sequential [...] but also as cadential, with V7 of II representing a chromatic alteration of VI, a substitute for the initial cadential tonic’ (‘Beyond the Classical Cadence: Thematic Closure in Early Romantic Music’, *Music Theory Spectrum*, 40 (2018), pp. 1–26 (p. 12)).

<sup>53</sup> Gülke, *Schubert und seine Zeit*, p. 198. Cited and translated in Fisk, *Returning Cycles*, p. 94.

<sup>54</sup> In Hepokoski and Darcy’s reading, this pause significantly evades the EEC at which the restatement of the S melody is supposed to terminate (*Elements of Sonata Theory*, p. 183). Steven Vande Moortele, on the other hand, contends in a more recent study that the S theme in fact features ‘the sentence of the loop type’, explaining from a Caplinian standpoint that because ‘cadences within loops are “incapable of serving as structural goals” [...] there is no evaded EEC at m. 62 either’ (‘The Subordinate Theme in the First Movement of Schubert’s “Unfinished” Symphony’, *Music Theory & Analysis*, 6 (2019), pp. 223–9 (p. 224)).

<sup>55</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 183.

<sup>56</sup> Glenn Stanley, ‘Schubert Hearing Don Giovanni: Mozartian Death Music in the “Unfinished” Symphony’, in *Schubert’s Late Music*, pp. 193–218 (p. 194).

What I seek to place under scrutiny here is the passage pertaining to the three explosive chords (bars 62–71). The tremendously destructive force stimulated by this passage has been noted by many commentators on the Symphony.<sup>57</sup> In my view, the arousal of extreme musical force here (minor harmony, loud dynamics, shuddering *tremolos*) immediately evokes certain stylised features of gothic horror.<sup>58</sup> Furthermore, this sheer level of intensity, especially combined with the unpreparedness and suddenness that mark its occurrence, even constitutes a close musical approximation to the way traumatic incidents always happen. Importantly, when we take a closer look, it can be discovered that certain motivic resemblances are shared between these explosive chords and the ‘O’ theme that I have associated with ghostly hauntings: in the former, the underlying bass line (C–D–Eb) articulates a tone higher the same ascending stepwise motion as the head motif (‘motif *x*’) of the latter (B–C#–D).<sup>59</sup> An even more revealing connection between the two can be observed in the episode that appears right after the first climax of the development section (bar 146). There, the way a *x*-based unit repeatedly disrupts the second group-based cadential figure vividly re-enacts—as though in a manner of compulsive repetition—the originary traumatic moment where these explosive chords violently quash the vulnerable theme of the second group right when it is about to attain an authentic cadence. From the viewpoint of

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<sup>57</sup> Hepokoski and Darcy state that this music ‘could not be more negative in its implications’; for Stanley, it is ‘a completely unforeseen intrusion [...] a catastrophe’; for Hascher, it denotes ‘a moment of crisis’ that ‘can be described as hysterical in nature’; while for Davies, its ‘sonic force and expansiveness, in conjunction with its sudden entrance, serve to overwhelm the senses, defying logical explanation’ (Hepokoski and Darcy, *Elements of Sonata Theory*, p. 183; Stanley, ‘Schubert Hearing Don Giovanni’, p. 194; Hascher, ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 138; and Davies, ‘Interpreting the Expressive Worlds of Schubert’s Late Instrumental Works’, p. 114).

<sup>58</sup> Hirsch, for instance, notes that ‘the arousal of extreme emotions is central to late-eighteenth- and early-nineteenth-century gothic literature and art. Studies of the gothic emphasise a number of additional traits: disequilibrium and irregularity; rapid, frenzied movement; excess and exaggeration; interruption, fragmentation, disjointedness; a sense of having been conceived in the heat of the moment’ (‘Schubert’s Reconciliation of Gothic and Classical Influence’, p. 163).

<sup>59</sup> See also Hascher’s discussion of the motivic connection between the two in ‘Narrative Dislocations in the First Movement of Schubert’s “Unfinished” Symphony’, p. 138.

psychoanalytic criticism, it might be said that it is precisely the unaddressed horror in these explosive chords—which became clear to the consciousness only *one moment too late*—that is what returns like a ghostly presence to haunt our musical protagonist recursively in his or her nightmares.

As Freud reported, ‘dreams occurring in traumatic neuroses have the characteristic of repeatedly bringing the patient back into the situation of his accident, a situation *from which he wakes up in another fright*’.<sup>60</sup> Due to the unassimilated nature of the traumatic event, importantly, in repetitions the subject does not experience it as something in the past—like memories of non-traumatic events—but *relives* it as though the same event is encountered in the present over and over again. Glossing Freud, Caruth perceptively elucidates that

If *fright* is the term by which Freud defines the traumatic effect of not having been prepared in time, then the trauma of the nightmare does not simply consist in the experience *within* the dream, but *in the experience of waking from it*. It is the experience of *waking into consciousness* that, peculiarly, is identified with the reliving of the trauma.<sup>61</sup>

According to Caruth, the trauma of traumatic nightmares is therefore constituted not simply by the nightmare *per se* but also by the moment of awakening—the very ‘enigma’ of ‘*having survived, precisely, without knowing it*’,<sup>62</sup> thereby missing, once more, the chance for addressing the threat properly. This trauma of awakening, too, is depicted in the Symphony. If the recurring nightmares of ghostly hauntings in this movement—the ‘O-based’ sections—represent the symbolic re-

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<sup>60</sup> Freud, ‘Jenseits des Lustprinzips’, p. 13. Also cited in Caruth, *Unclaimed Experience*, p. 64, emphasis Caruth’s.

<sup>61</sup> Caruth, *Unclaimed Experience*, p. 64, emphases original.

<sup>62</sup> *Ibid*, emphasis original.

enactment of the traumatic encountering of threat, then, the fright of reliving of the trauma that concerns Caruth lies precisely in the music that follows these nightmares, that is, the first group.

The unsettling psychological state upon traumatic awakening is perceptible right from the onset of the first group proper (bar 9). The shivering semiquavers in the violins and *pizzicato* primus paeon rhythm (i.e., the long-short-short-short pattern) in the low strings, for example, strike Spitzer as closely analogous to the ways in which the human conditions of ‘trembling’ and ‘pounding heartbeats’ are usually represented in modern film scores, projecting ‘a frightened response to the frightening introduction’.<sup>63</sup> Thus, in a similar light to my reading of nightmares and awakening, Spitzer hears the opening phrase as ‘an object of Fear, whilst the first group is the fearing subject’.<sup>64</sup>

The intensity of fright is expressed especially eloquently in the way the tonal progress, as though within a loop—or as Spitzer puts it, ‘running on the spot’—repeatedly attempts, but fails, to attain the relative major.<sup>65</sup> In bar 17, the restless, dreadful feeling is significantly subdued with the continuation of the expositional first theme there initiating a modulatory progression that ultimately leads to the bright tonality of the relative major through a reassuring PAC (bar 20). However, as if being gripped by a sudden fear upon a flashback of the nightmare, a dominant ninth chord of the tonic—the very same harmony that culminates with the first climax of the development—erupts *sforzando* immediately after the arrival of this cadence in forcefully dragging the music back to the dark realm of B minor.

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<sup>63</sup> Spitzer, ‘Mapping the Human Heart’, p. 168. See also David Huron, *Sweet Anticipation: Music and the Psychology of Expectation* (Cambridge, MA: MIT Press, 2006), p. 323; and Ben Winters, ‘Corporeality, Musical Heartbeats, and Cinematic Emotion’, *Music, Sound, and the Moving Image*, 2 (2008), pp. 3–26.

<sup>64</sup> Spitzer, ‘Mapping the Human Heart’, p. 167.

<sup>65</sup> *Ibid.*

The first theme then returns in the home key and, in bar 26, attempts for the second time to enter its relative major; except this time, the modulatory process is disrupted even more forcibly, with the strong *tutti* entrance of two dominant chords—a seventh (bar 28) and then a ninth (bar 29)—abruptly overthrowing this tonal goal. A third attempt is made forthwith and in the midst of this process, the tonal trajectory is, again, overcome by that persistent dominant harmony, which looms ever larger and more intense, culminating with an IAC that emphatically rounds off the first group in the key of B minor (bar 38). The futility of breaking through the distressing minor-mode music is similarly emphasised in the recapitulation first group, in which both the potential trajectories from B minor to D major (bars 222–8) and, thereafter, E minor to G major (bars 231–7) are abandoned, with the music following which forcibly establishing F# minor with a full cadence (bar 252). Hepokoski and Darcy remark that ‘the desire to be emancipated from minor into major constitutes the basic narrative paradigm [...] of minor-mode sonata form’.<sup>66</sup> In constantly failing to break free from the shackle of the minor mode, the music of the first group captures prominently the devastating impact of being swamped by fright every time trauma is relived.

A comparable musical expression of traumatic fright can also be heard in the closing group (bars 104–10 and 322–8) which follows the second group that I read as a traumatic memory—that is, yet another re-enactment of the trauma. There, the concluding PAC (bars 104 and 303) attained at the end of the second group is instantly shattered by a *tutti* outburst of an unharmonised B. This gesture, combined with the *pizzicato* descending line that follows (bars 105–10 and 323–8),

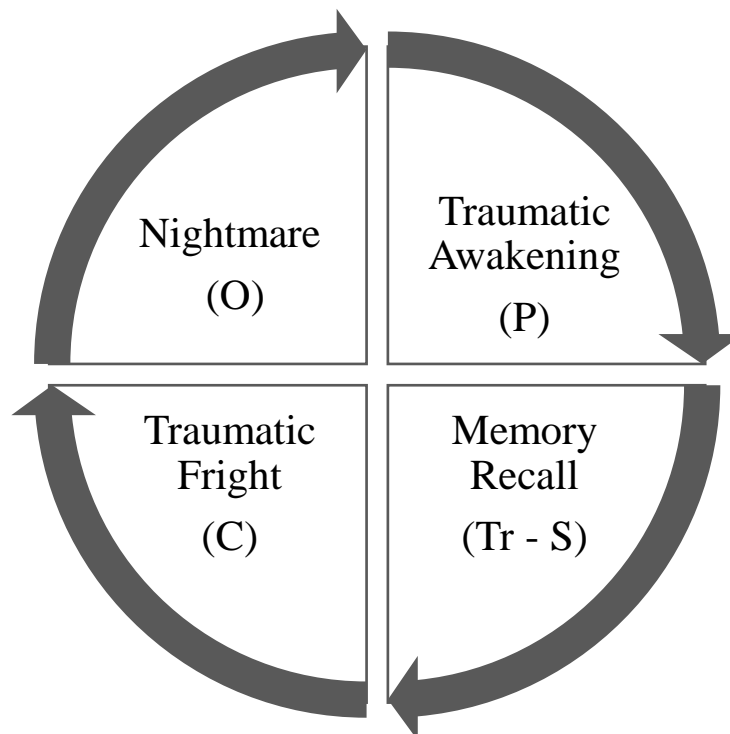
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<sup>66</sup> Hepokoski and Darcy, *Elements of Sonata Theory*, p. 311.

cultivate an intense shock and aftershock that also effectively set up the frightened psychological response in the wake of reliving the trauma.

Taking into account the projection of the circular temporal trajectory in the overall formal structure of this movement, it might be said that our virtual protagonist is imprisoned by his or her own trauma, compulsively repeating the cycle of 1) the ‘O’-based sections: being haunted in nightmares by the unaddressed trauma that takes the shape of a ghostly presence, 2) the first group: overwhelmed by fright upon awakening, 3) the transition and second group: recalling the disturbing memory of the originary traumatic experience, and 4) the closing group: another frightened response to the reliving of the trauma. A model of this cyclic procedure is illustrated in Figure 5.2 (see below).

**Figure 5.2:** Model of traumatic subjectivity in the first movement of Schubert’s ‘Unfinished’ Symphony.



From the perspective of psychoanalysis (especially the Freudian tradition), the compulsion to repeat is not only a symptom of trauma but also a means for sufferers towards recovery. The goal of repetition is to *work through* the traumatic impact retrospectively, and thus to bring a sanguine closure to this procedure. However, the first movement of Schubert's 'Unfinished' Symphony as well as 'Die Nonne' and many literary works of the gothic tradition, in presenting cyclical, 'anti-clockwise' procedure that is directed towards no conclusive end, produce problematic closures that fundamentally call into question this therapeutic function of traumatic repetition. These works point instead to a darker truth that repetition itself gives no guarantee of restoring to a pre-traumatic stage: sometimes, once traumatised, the subject can do nothing but to undergo repetition that knows no definite end.<sup>67</sup>

Probably one of the most significant aspects of the problematic closure in gothic literature is that the sense of surplus anxiety and uneasiness conveyed could potentially also be engendered in a reader when he or she reaches the end of a narrative. Such outcome, according to Martin, entices the readers to explore beyond the work to search for another possibility of seeing conflicts being satisfactorily reconciled or 'getting it right' *the next time*.<sup>68</sup> Similarly, the tension that still hangs in the air by the problematic ending of the first movement of the Symphony might also prompt a listener, like readers of gothic literature, to continue searching for that proper resolution—a process that readily brings us to the second movement.

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<sup>67</sup> Claudia Stumpf also draws together this problem of closure in gothic literature and the notion of psychoanalytic trauma in her perceptive study: 'The possibility of further reversals of fortune remains present even at the close of the novel. Repetition compulsion, including its uncanny forms, has not been fully mastered or worked through [...] The marks of trauma in this text remain to (and perhaps beyond) the end of the book' ('The Road of Excess: Writing Trauma in Sentimental and Gothic Texts 1745–1810' (PhD dissertation, Tufts University, 2015), pp. 65–6).

<sup>68</sup> See Rebecca Martin, "'I Should like to Spend My Whole Life in Reading It': Repetition and the Pleasure of the Gothic', *The Journal of Narrative Technique*, 28 (1998), pp. 75–90.

## Unfinished hauntings

Set at the gentle pace of *andante con moto*, the second movement of Schubert's 'Unfinished' Symphony opens, in the bright key of E major, with a small-ternary pastorale-like first group. Here, the *pianissimo* outer sections (bars 1–32 and 45–60) and the *forte* contrasting middle (bars 33–44) suggest a positive existential condition of, respectively, serenity and exuberant fanfare. Viewed as a continuation of the Symphony's first movement, the second movement might seem, at first, a rather promising conclusion to the intense nightmarish loop of the former. However, anyone acquainted with gothic novels would immediately be suspicious of such a reading. In gothic literature, an ending in which the repeated haunting and suffering are seemingly resolved is liable to be deceptive; more often than not, such a 'happy ending' is presented or hinted at only to be subverted suddenly, in this way producing a problematic closure which insinuates that suffering may never be really over.<sup>69</sup>

Though not a gothic narrative, Schubert's literary tale 'Mein Traum' ('My Dream', 1822) written just three months prior to the 'Unfinished' Symphony presents a comparable subversive closure following a highly repetitive trajectory. In the first part of 'Mein Traum', the protagonist, having been in conflict with his father, undergoes a repetitious process of exile and homecoming. While familial tensions are mostly resolved in a heavenly scene in the second part of the tale, this sense of redemption is subverted in the closing line, and a lingering feeling of residual conflict remains: 'I felt as though eternal bliss were compressed into a single moment. My father, too, I

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<sup>69</sup> See Martin, 'The Spectacle of Suffering: Repetition and Closure in the Eighteenth-Century Gothic Novel', chapter 4; and Christopher R. Clason, 'Narrative «Teasing»: Withholding Closure in Hoffmann's "Elixiere Des Teufels"', *Colloquia Germanica*, 42 (2009), pp. 81–92.

saw, reconciled and loving. He clasped me in his arms and wept. *But not so much as I*.<sup>70</sup> This subversive, problematic closure, like that characteristic of gothic literature, could imply to the reader the potential occurrence of an ‘after-the-end’ repetition. Regarding this ending in ‘Mein Traum’, for instance, Maynard Solomon argues that ‘there can be no reasonable expectation that the fabulous reunion with which it closes is other than a temporary prelude to a renewed separation’.<sup>71</sup>

Not unlike in ‘Mein Traum’ and the archetypal gothic novel, in the ‘Unfinished’ Symphony, the reconciling music presented in the first group of the second movement is soon subverted. In bar 60, the concluding PAC of the first group is elided with a C#-minor arpeggio, which, remarks Fisk, ‘explicitly returns to th[e] traumatic moment’ (that is, bars 146–50) of the first movement’s development section.<sup>72</sup> Moreover, through this arpeggiac line the music arrives at a second group where further resemblances to the first movement’s traumatic music are heard. In the second group, not only does the syncopated accompaniment unmistakably recall the traumatic memory of the first-movement second group, but its thematic melody, in outlining the interval of an ascending minor third (bars 66–9), also sounds like yet another variant of the haunting motif *x*. Even more pronounced is the way in which in bar 96, after C# minor is brightened up to the enharmonic major (bar 84), this ‘*x*-based’ theme suddenly breaks in—*fortissimo* and in *tutti* orchestration—in C# minor again forcibly to interrupt the soft tonic-prolongational progression of Db major (see Example 5.6). This strikingly recalls what I described as the originary traumatic moment remembered in the first-movement second group (cf. bars 63–71 of the first movement).

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<sup>70</sup> Schubert, ‘Mein Traum’ (1822). Cited in Otto Erich Deutsch, ed., *Schubert: A Documentary Biography*, trans. by Eric Blom (London: J. M. Dent, 1946), pp. 226–8, emphasis mine.

<sup>71</sup> Maynard Solomon, ‘Franz Schubert’s “My Dream”’, *American Imago*, 38 (1981), pp. 137–54 (p. 146).

<sup>72</sup> Fisk, *Returning Cycles*, p. 86.

**Example 5.6:** Schubert, ‘Unfinished’ Symphony, ii, bars 84–99.

84

Ob.

*pp*

*pp*

*pp*

Db major:

90

Fl.

Ob.

*f* *p* *pp* *ppp*

*f* *p* *pp* *ppp*

I ped. ( V I V I

95

*ff*

*ff*

V) *x'* *x' (seq.)*

C# minor: i

The dysphoric music of the second group is eventually dispelled with the music returning to the assuaging first-group music in E major (bar 142, see also bar 257 of the recapitulation). However, approaching the end of the movement, the music in the coda is threatened to be subverted again by the two reprises of the arpeggiac line (bars 280–286 and 290–296). And even though the arpeggiac line is this time instantly suppressed by the music of the first group without leading to

more traumatic reminiscence, its reappearance here directly sullies what would otherwise be a ‘happy ending’. In this movement, while the hauntings of the *ombra*, ghostly ‘O’ theme appear to be finally over, the fact that the traumatic music of the first movement still lurks behind—in the arpeggiac line as well as the second group—clearly suggests that the trauma of the virtual protagonist has not yet been properly resolved. Thus we go through another movement only to be confronted by yet another problematic closure, which, again, leaves open the possibility for the listener to imagine the sinister loop of traumatic suffering to be restored beyond the Symphony’s first two movements.

Perhaps what also appears to be apparently problematic about the ‘Unfinished’ Symphony is that this work is *literally* left open-ended without providing a complete third movement (scherzo and trio) and a finale. And, significantly, unlike the various fragments and incomplete multi-movement instrumental works Schubert had left behind between 1818 and 1823 (the so-called ‘years of crisis’<sup>73</sup>), he seemed confident enough in his vision of the Symphony to leave it unfinished: the Symphony—the first two movements—was the *only* incomplete work for which Schubert had sought a public performance, no less than the highly reputable Styrian Music Society of Graz did he approach, drawn by his admiration for its honorary members Beethoven and Salieri. Indeed, this has intrigued a few musicologists to wonder whether Schubert himself actually considered the two movements of the Symphony as a self-sufficient, complete work.<sup>74</sup> For those who seek to tease more out of the ‘unfinished’ status of the Symphony, the problem of closure in narratives may proffer some new perspectives. In fact, as pointed out by Martin, ‘in contrast to a

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<sup>73</sup> On the ‘years of crisis’, see Walther Dürr und Walburga Litschauer, *Franz Schubert, Jahre der Krise 1818–1823 Arnold Feil zum 60. Geburtstag* (Kassel and Basle: Barenreiter Verlag, 1985).

<sup>74</sup> A concise summary and discussion of the historiography of the reception of the unfinished status of the ‘Unfinished’ Symphony is provided in Maynard Solomon, ‘Schubert’s “Unfinished” Symphony’, *19th-Century Music*, 21 (1997), pp. 111–33.

work [...] that features the conscious attempt to close', it is in fact not uncommon for gothic works to produce problematic closures that 'foreground the difficulty of closing, call attention to the weakness of their use of closural gestures, or display their incompleteness by setting up a structure, a manuscript, for example, or a correspondence, and then not closing it'.<sup>75</sup> In this light, the two complete movements of the Symphony may also be viewed as constituting a *'finished' work that is meant to sound 'unfinished'* with a deliberate two-movement structure. The undercutting of a full closure problematises further the problem of closure already imposed by the subversive ending of the second movement, underscoring to the listener that the recurring pattern of suffering is indeed *unfinished* with the 'non-closure' of the Symphony.

### **Conclusion: Relieving the trauma**

“My peace is gone, my heart is sore, I shall find it never and nevermore”, I may well sing again every day, and each morning but recalls yesterday’s grief’,<sup>76</sup> wrote Schubert to Leopold Kupelwieser in lamenting his devastating, if not necessarily traumatising, condition of being haunted by an incurable venereal disease. Composed around the same time when he encountered this life crisis, the ‘Unfinished’ Symphony reveals a similarly victimised subjectivity constructed around the notion of haunting<sup>77</sup>—namely the gothic trope of ghostly hauntings—which, as I hope

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<sup>75</sup> Martin, ‘The Spectacle of Suffering’, p. 181. Martin’s list of examples includes works primarily by English authors, such as Ann Radcliffe’s *The Italian* (1797) and Mary Shelley’s *Frankenstein* (1818)—to this list, though, we might also add the famous unfinished ghost story *Der Geisterseher* of the German writer Schiller, whose works have inspired many of Schubert’s songs.

<sup>76</sup> Schubert, Letter to Leopold Kupelwieser dating from 31 March 1824. Cited in Deutsch, *Schubert: A Documentary Biography*, p. 339.

<sup>77</sup> Some commentators even go as far as to speculate for a connection between this crisis and the music of the symphony. Eric Sams, for example, states that ‘it may be that the sexual act which caused the disease occurred when Schubert was working on the symphony, and that he subsequently associated the unfinished work with events he preferred to forget, and thus chose not to return to it’, while Barbara Barry writes that ‘the B minor symphony is intimately connected with the fateful disease because he was composing it at exactly the time he contracted syphilis’ (Eric Sams, ‘Schubert’s Illness Re-examined’, *The Musical Times*, 121 (1980), pp. 15–22 (pp. 15–16); Barbara Barry, ‘A Shouting Silence: Further Thoughts about Schubert’s “Unfinished”’, *The Musical Times*, 151 (2010), pp. 39–52 (p. 42)).

I have shown, has at least shed some light on a potentially fruitful direction through which our understanding of Schubert's dream aesthetic might be furthered.

In this chapter, I have demonstrated that Schubert's peculiar musical expressions and treatment of sonata-form procedure in the first movement of the Symphony afford to the music a sinister looping mechanism through which the gothic trope of ghostly haunting is represented as a series of haunting nightmares. These musical nightmares, when scrutinised through a psychoanalytic lens, may be understood as symptomatic of a psychological trauma around which the whole Symphony is constituted. The 'problem of closure' that is once and again presented in this Symphony, furthermore, insinuates to the listener that the trauma in this music might in fact be one that could never be properly resolved, leaving open the possibility for the future return of hauntings.

This lingering sense of anxiety and unresolved trauma that still persists at this moment may again prompt a listener to go beyond the work in 'getting it right'. However, instead of ploughing through gothic works one after another for an elusive happy ending that is destined to fail, in this final moment of my final chapter, I would like to offer the potential for bringing about a more optimistic closure for these recurring nightmares (and also my nightmare-laden thesis, which has surely given me countless nightmares for the last couple of years). To do so, I shall now move on briefly from the Gothicism of the 'Unfinished' Symphony to Schubert's next dated and significantly brighter symphony, the 'Great' Symphony in C Major (D. 944, 1825).

The 'Great' Symphony begins with an eight-bar opening phrase whose solo and unharmonised texture, slow pace, soft dynamics, and especially the stepwise ascending-third head motif, evoke a distant recollection of that ghostly opening phrase of the 'Unfinished' Symphony—the fact that this phrase is played by the horn (an established symbol for memory and distance)

makes this association even more intriguing. However, the opening phrase of the ‘Great’ Symphony, which not only starts more brightly with an ascending *major*-third ( $\hat{1}-\hat{2}-\hat{3}$ ) in the middle register but also creates a less ambiguous and more substantial introduction, clearly carries a more positive connotation than that of the ‘Unfinished’ Symphony. Differently from the ghostly opening phrase of the ‘Unfinished’ Symphony, whose ambivalent, haunting qualities demonstrate the applicability of a gothic narrative, an ‘anti-bildungsroman’ (to cite Berthin),<sup>78</sup> the opening phrase of the ‘Great’ Symphony forms a full-blown introduction and returns heroically in the coda (bars 662 ff.) to prompt John M. Gingerich to characterise this work as a ‘bildungsroman’ in which ‘the chief protagonist [...] undergoes trials, adventures, and tribulations to emerge tempered, matured, and triumphant’.<sup>79</sup>

In comparison, if the ‘Unfinished’ Symphony evokes the unending repetition of suffering indicative of gothic literature, the ‘Great’ Symphony, as ‘a true stream of strength and health’ as Eduard Hanslick described,<sup>80</sup> nonetheless presents an optimistic sequel to or counterpart of that story, in which traumatic conflicts may finally be *relieved*.

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<sup>78</sup> See note 5.

<sup>79</sup> John M. Gingerich, *Schubert’s Beethoven Project* (Cambridge: Cambridge University Press, 2014), p. 232.

<sup>80</sup> ‘ein wahrer Strom von Kraft und Gesundheit’. Eduard Hanslick, *Geschichte des Concertwesens in Wien* (Hildesheim: Georg Olms, 1979), p. 125. Cited and translated in Gingerich, *Schubert’s Beethoven Project*, p. 209.

## Conclusion

In their introduction to a special issue on Schubert published in *Nineteenth-Century Music Review* (2016), Lorraine Byrne Bodley and James William Sobaskie remark that ‘a definitive version of Schubert must remain a phantom possibility: there always will be new readings, new ways of listening to that definitive sound ringing in the ear’.<sup>1</sup> Over the past fifty years, the concept of the dream has opened up an enormously fruitful avenue for commentators and listeners to continue engaging with that ‘definitive sound’ of our beloved Schubert in new lights and glean from it a formidable array of aesthetic insights and meanings. We have seen numerous valuable contributions made within scholarship to this specific topic on Schubert and the dream, ranging from Susan Wollenberg’s and William Kinderman’s influential studies of the aesthetic and technical correspondences between Schubert’s instrumental music and ‘dream songs’, Robert Hatten’s topical approach to the reading of pastoralism and idyllic dreams in this music, Susan McClary’s, Richard Taruskin’s, Scott Burnham’s, and Benedict Taylor’s subjectivised accounts of this music as relating to such human experiences as dreams, trance, and memories, to Alfred Brendel’s, Charles Fisk’s, and Brian Black’s reflection on the dreamlike ‘irrationalities’ in this music on the one hand and Richard Cohn’s and Suzannah Clark’s ‘rationalisation’ of these dreams on the other hand. However, these studies, insofar as they focus rather narrowly on the kind of idyllic dreams stereotypical of Romantic arts—and Schubert’s songs in particular—and continually promote this category in discussions of the composer’s music, could also circumscribe

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<sup>1</sup> Lorraine Byrne Bodley and James William Sobaskie, ‘Schubert Familiar and Unfamiliar: Continuing Conversations’, *Nineteenth-Century Music Review*, 13 (2016), pp. 3–9 (p. 9).

the way future commentators draw on the concept of the dream in interpreting this music. And it is precisely in response to this that the present thesis has been formulated.

As I hope I have shown, the dream as a hermeneutic concept for understanding Schubert's music could be significantly more fruitful than it has been in existing scholarship, and there is certainly more than one dream type to which our interpretation of this music might be subjected. Situating Schubert's music within contemporaneous artistic and literary trends, this study has demonstrated at least three themes with which discussions of the dream aesthetic in Schubert's music could engage—the ironic dreams of the Romantic wanderer, the uncanny dreams of the *Doppelgänger*, and the recurring nightmares of ghostly hauntings. Importantly, these themes in nineteenth-century literature often appear to be laden with psychological nuances and deeply concerned with issues pertaining to subjecthood. And it is with regard to this particular emphasis that, moving beyond historically informed interpretation, presentist perspectives from psychoanalytic criticism offer an ideally suitable and remunerative approach for us to tease even more out of Schubert's dream aesthetic in hermeneutic exercise. Not only does the lens of psychoanalytic criticism substantially enrich the discussion of the musical subjectivities in my case studies, but it also sheds light on numerous of Schubert's formal and musical peculiarities, helping drive interpretations in which these might be more coherently and organically contextualised: in D. 960, it manifests the idiosyncratic uses of the 'Wanderer' key and its closely related tonalities as belying certain latent desire; in D. 929/i and D. 959/i, it illuminates the intricate casual psychological relations between the uncanny outbreaks and the different dynamics between the 'classical' and 'post-classical' syntax; and in D. 759, it reveals the cyclical formal procedure and the problematic closure of the Symphony as symptomatic of a compulsion to repeat that is the hallmark of traumatic suffering.

As indicated in the title of this dissertation, I consider the present project as advancing an expansion of the hermeneutic reading in existing scholarship. It proposes not so much a *separation from as possible development of* this tradition. The musical interpretations of my case studies, as can be seen, are greatly indebted to previous musicologists' valuable readings of different stylised dreamlike traits in Schubert's music, including his signature use of the  $bVI$  harmony and second harmonic practice, continuous figurations and hushed *tremolo* texture, as well as other musical techniques examined in Chapter 1. In particular, the hermeneutic excursion of this research is supported heavily by what I postulate as the 'dream scene' in Schubert's sonata forms, which, as discussed in Chapter 2, is inspired fundamentally by the rethinking of those notorious 'irrational' and 'illogical' characteristics frequently observed in this music. Through this rethinking, in addition to cultivating a more dynamic approach to the interpretation of Schubert's dream aesthetic, this research also proffers some novel perspectives on the heavily loaded discussion of the composer's idiosyncratic handling of sonata forms, especially concerning the considerably underdeveloped and understudied discourse about his sonata-form development sections.

The hermeneutic and analytic industry surrounding Schubert's music has constituted ongoing, ever-continuing conversations between musicologists, and, to borrow Byrne Bodley and Sobaskie's words again, 'the conversations' within this scholarship 'are certain to continue'.<sup>2</sup> Needless to say, the process of 'Expanding Hermeneutic Approaches to the Dream Aesthetic in Franz Schubert's Music' undertaken in this thesis is far from having reached a complete and all-encompassing denouement, nor are the groundwork and musical interpretations presented in here an end in themselves. To further engage with this conversation, future studies could reflect on and develop the interpretations proposed in these case studies, reinterpreting and critiquing the

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<sup>2</sup> Byrne Bodley and Sobaskie, 'Schubert Familiar and Unfamiliar', p. 9.

readings offered. Indeed, many of the musical processes featured in the four categories of dream-characterisation and the category of threshold can also be commonly found Schubert's works that are outside the musical examples examined in my case studies. These categories, therefore, could be productively subjected to individual listeners and researchers' ends, providing potentially rewarding avenues for us to continue exploring Schubert's dream aesthetic in scope both similar to and beyond that of this present study. For those who are considerably new to the hermeneutic tradition in Schubert scholarship or simply baffled by the miscellany of dream-metaphors and characterisation pervading this tradition, on the other hand, my refined and systematic categorisation of these in Chapter 1 would be a helpful reference for navigating these. I hope, at least, that through my endeavour, more fascinating and thought-provoking insights on the discourse of Schubert's music and the dream will continue to be stimulated.

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