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PETER H. SMITH

BRAHMS AND MOTIVIC 6/3 CHORDS

Introduction

Brahms has long been admired for his powers of motivic integration, his 'progressive' harmony and his proclivity for blurred formal articulations.* A quintessentially Brahmsian amalgamation of the motivic, harmonic and formal dimensions is the composer's use of motivic 6/3 chords at points of formal articulation. The topic divides into two categories: 6/3 chords that arise *via* a 5–6 motion over a tonic bass and 6/3 chords that function as inversions of the tonic. The opening of the scherzo from the Piano Quintet provides an example of a type 1 6/3 chord (Ex. 1). A striking instance of a type 2 chord is the initial tonic of the B \flat minor Intermezzo (Ex. 2). Both types of 6/3 chord are powerful means through which Brahms destabilises or delays tonic articulation – a hallmark of his engagement with traditional forms.¹ A 6/3 chord at the opening boundary of a tonic prolongation invests generic harmonic function with idiosyncratic character. The individuality of the context extends beyond features that make any tonic articulation unique – thematic material, voicing, instrumentation, registration, etc. – to include either an atypical pitch content or an unconventional bass pitch.

The two types of 6/3 chord accentuate the importance of context for harmonic analysis. At a level of abstraction that is often useful for chord classification, the opening harmonies of the scherzo and the Intermezzo fall into the same category as first inversion triads. From this perspective, the main difference between the chords is their quality. Yet despite similarities of interval content, the two harmonies relate to their tonal environments in very different ways. The 'first inversion' classification might suggest Roman-numeral functions of VI⁶ and I⁶, respectively. The scherzo, however, like the

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Ex. 1 Piano Quintet in F minor, Op. 34, scherzo, opening bars

Scherzo
Allegro

1. Violine

2. Violine

Bratsche

Violoncell

Pianoforte

sempre pp

pizz.
pp

Allegro
sempre pp

(5) ————— 6
i

6 13

V

Ex. 2 Intermezzo in B \flat minor, Op. 117 No. 2, opening bars

Intermezzo, articulates tonic function. Ex. 3 illustrates the contrasting linear and harmonic derivation for the two harmonies. In the scherzo, A \flat displaces the G fifth of the 5/3 chord that is implied above C in bars 1–2. Because we infer tonic function from the bass, what we are dealing with is fundamentally a root position chord. Though the opening material contains the pitches of the submediant, it does not articulate submediant function. (In this sense, type 1 motives are like cadential 6/4 chords, which contain the pitches of the tonic but which function as part of the dominant.) In the Intermezzo, on the other hand, the sixth above the bass itself represents the tonic; we can speak of type 2 motives as first inversion harmonies in terms of both abstract chord structure and concrete tonal function. A major contribution of Schenkerian theory has been its insight into these types of functional distinctions.²

Ex. 3



One of Brahms's sources for development of his motivic 6/3 chords relates to the influence of context on harmonic function. The duality of submediant pitch content and tonic function makes type 1 chords especially rich in possibilities for harmonic reinterpretation. Indeed, type 1 motives often return independent of their original position within tonic expansion. The attention that Brahms focuses on alternative tonal implications will lead us to reconsider the idea that the submediant pitch content of type 1 chords is harmonically insignificant. Another point that will emerge is that type 1 and 2 harmonies are not the polar opposites that my analysis of the scherzo and Intermezzo implies.

Ex. 4 illustrates reversals of standard type 1 and type 2 function. The Schenkerian approach that I have just outlined would seem to deny the possibility for these interpretations. Yet we will see that Brahms draws consequences from the apparent submediant embedded within his type 1 motives; linear 6/3 chords can take on significance as inversions. Similarly, the sixth of a type 2 chord can function as a displacement of the fifth of III, rather than as a representative of the tonic root; reinterpreted in this way, an inversionsal 6/3 chord inflects a harmonic framework that is oriented around a stationary bass. One of my goals will be to take advantage of Schenkerian insights, without denying the possibility for a type 1 chord to function as an inversion or for a type 2 chord to function as part of a 5–6 motion.

Ex. 4



Because type 1 motives appear more frequently in Brahms, it will be helpful to put the second category aside and focus on the first group. I will return to first inversion tonics toward the end of this study, after a thorough exploration of Brahms's type 1 usage. Table 1 summarises some of the transformations that Brahms applies to type 1 chords. The fascination of the motivic process is not in the transformations *per se*, but in the interaction of the motivic dimension with formal and tonal context. From the perspective of motivic association, the changes are minimal, especially if a given transformation is counterbalanced by invariance in other dimensions. A chromatic adjustment, an addition of a pitch or a change in bass, however, can have enormous consequences for chord function. The Quintet scherzo provides a straightforward example. Consider the repetition of the thematic idea at bar 43 (Ex. 5). The addition of F# in no way weakens the obvious connection with the opening theme. Yet this $\sharp\text{IV}^{7/b3}$ transformation is sufficient to allow the 6/3 chord to operate in a drastically different context. Material that was originally part of a tonic point of departure is absorbed into a retransitional dominant prolongation. It is important to observe that the fragment retains C as bass regardless of the new tonal environment – a factor that both confirms the motivic character of the 6/3 position and expands the possible harmonic functions for the C pedal.³

One way to approach these two motive forms is as different consequences of the same musical idea. The C pedal throughout the opening phrase and the $\hat{1}-\hat{4}-\hat{5}$ bass at bar 13's imperfect cadence support an initial tonic attribution,

Table 1

<i>source chord and transformations*</i>	<i>some possible functions</i>	<i>some representative passages</i>
$\hat{1}-\hat{3}-\hat{6}$	I ⁵⁻⁶ (literal)	C minor String Quartet, first movt., bars 1-3; A major Violin Sonata, second movt., bars 14-15; Horn Trio, fourth movt., bars 145-6 (in dominant key)
	I ⁵⁻⁶ (5/3 implied)	Piano Quintet, third movt., bars 1-4; D minor Piano Concerto, first movt., bars 1-3; Horn Trio, fourth movt., bars 45-6 (in dominant key)
	I ⁶ (5/3 elided)	Piano Quintet, third movt., bar 47; B major Trio, fourth movt., bars 1 and 54
	VI ⁶ (tonicised)	F minor Clarinet Sonata, first movt., bars 38-52; B major Trio, fourth movt., bars 30-33
	V ⁶ / _b II	F minor Clarinet Sonata, first movt., bars 136-7; C minor String Quartet, first movt., bars 110-11
	\flat II ⁶ in dominant key	F minor Clarinet Sonata, first movt., bars 38-52; B major Trio, fourth movt., bars 30-37
$\flat\hat{1}-\hat{3}-\hat{6}$	minor VI ⁶ (tonicised)	Horn Trio, fourth movt., bars 55-60 (in dominant key)
$\hat{6}-\hat{1}-\hat{3}$	VI (interrupted cadence)	B major Trio, fourth movt., bars 57 and 288; Horn Trio, fourth movt., bar 271
	VI (tonicised)	C minor String Quartet, second movt., <i>passim.</i> ; Piano Quintet, first movt., bars 74-90; A major Violin Sonata, second movt., bars 16-71
	V/ _b II	F minor Clarinet Sonata, first movt., bars 129 and 134
$\hat{6}-\flat\hat{1}-\hat{3}$	minor VI (tonicised)	Piano Quintet, first movt., bars 35-56; F minor Clarinet Sonata, first movt., bars 120-28
$\hat{1}-\hat{3}-\hat{6}-\sharp\hat{4}$	\sharp IV ^{7/b3} (dim. third chord)	Piano Quintet, third movt., bars 39-40 and 178-9, and fourth movt., bars 249-50
$\hat{1}-\hat{3}-\sharp\hat{6}-\sharp\hat{4}$	VII ^{4/3} /V	B major Piano Trio, fourth movt., bar 7
$\hat{6}-\hat{1}-\hat{3}-\sharp\hat{4}$	German $\sharp 6/5$	Horn Trio, fourth movt., bars 79-80 (in dominant key); B major Trio, fourth movt., bars 284-5 and 288-9
$\hat{6}-\hat{1}-\hat{3}-\flat\hat{5}$	V ⁷ / _b II	C minor String Quartet, fourth movt., bars 96-101; Horn Trio, fourth movt., bars 75-6 (in dominant key)

* left-most pitch = bass

Ex. 5 Piano Quintet, scherzo, bars 41–50

The musical score for Ex. 5, Piano Quintet, scherzo, bars 41–50, is presented in five staves. The notation includes various dynamics (f, ff, pp, p) and articulations (pizz., dimin.). Bar numbers 41, 43, 47, and 49 are indicated. Below the grand staff, harmonic analysis symbols are provided: V, #IV 7 \flat_3 , V, i?, #IV 7 \flat_3 , and V. A bracket connects the first V to the second V, and another bracket connects the #IV 7 \flat_3 to the final V.

as does the preparatory dominant and G–C bass at the counterstatement of the material at bar 47. The reorientation of the motive around the dominant in the retransition is, if anything, even more single-minded. I prefer, however, to treat flexibility of harmonic function as an invitation for retrospective reevaluation. The situation requires sensitivity not only to changing functions of a motive in new contexts, but also to reinterpretations of an original based on different listening perspectives.⁴ This analytical approach treats motivic process as a form of self-analysis. What a composer reveals about his material in a restatement sheds light on the original. The instability of the $\sharp\text{IV}7/\flat_3$ transformation, for example, highlights the tenuous character of the head motive. Despite the aforementioned indications of tonic function, the idea has built into it the instability that comes to the fore in the retransition. The arpeggio theme articulates $\text{A}\flat$ as a frame around C and $\text{E}\flat$, rather than as the displacement of G that we might expect in a more explicit 5–6 motion. The disorientation that arises from bass emphasis on the tonic and melodic

emphasis on the submediant is heightened by the syncopation of the parts. Even at the counterstatement at bar 47, the premature intrusion of $A\flat$ disrupts a moment of potential harmonic clarity; elision of the $5/3$ harmony pushes tonic function, which was already a matter of implication in the original, even further into the conceptual realm.

The elision at bar 47 also accentuates the most basic difference between the counterstatement and the original: the repetition repositions a point of initiation within a larger continuity. On the one hand, the preparatory dominant and G–C bass support a tonic attribution, as mentioned above. Yet the counterstatement – like the retransition – also further exposes the degree to which the original contains the seeds for dominant reinterpretation. One crucial moment for analysis of the $6/3$ chord is the $F\sharp$ – $A\flat$ neighbour around G in bars 49–50. The addition of $F\sharp$ reawakens the $\sharp IV^{7/b3}$ transformation and points the motivic sonority ahead again toward the dominant. Ex. 5 illustrates this connection across the entrance of the counterstatement. The framing of the thematic return within two $\sharp IV^{7/b3}$ –V progressions joins the premature entrance of $A\flat$ at bar 47 to pull the head motive from its tonic moorings. The result is a characteristically Brahmsian ambivalence: a formal articulation that both evokes and effaces the tonic. The opening material itself can be heard as a less extreme form of the same strategy: the original is a ‘scattered’ version of the $\sharp IV^{7/b3}$ transformation. In this view, the accumulation of pitches – first the $A\flat$ arpeggiation, then the $F\sharp$ – $A\flat$ neighbour, and finally the C– $B\flat$ melodic motions in bars 6 and 8 – gradually draw the opening phrase into the orbit of the dominant. The initial type 1 chord does not articulate a solid point of departure, but rather forms part of an anacrusis to the imperfect cadence at bar 13.

The statement and counterstatement of the main theme illustrate the tendency for motivic $6/3$ chords to destabilise tonic articulation. (Later we will have occasion to observe $6/3$ chords that participate in outright tonal delay.) The passages also help to establish some basic characteristics of the analytical method for this study. Brahms’s motivic $6/3$ chords are profitably approached with diverse analytical tools. My analyses will continue to combine a Schenkerian approach to tonal structure, a transformational model of motivic process, and traditional formal concepts. Throughout, I will focus on multiple interpretations of events based on different listening perspectives. A central concern will be to evaluate the effect, on the character of the opening tonic, of both the initial $6/3$ chords and the motivic processes they generate. I will also address relationships between motivic $6/3$ chords and key areas, and the role these chords often play in creating unity across Brahms’s multi-movement cycles. The Quintet, in fact, develops issues of cyclic unity in tandem with links between $6/3$ chords and key areas. It will be fruitful therefore to continue with it. I will then move on to consider excerpts from the following works: the

A major Violin Sonata, Op. 100; the F minor Clarinet Sonata, Op. 120 No. 1; the C minor String Quartet, Op. 51 No. 1; the E \flat major Horn Trio, Op. 40; the Tragic Overture, Op. 81; the F major Viola Quintet, Op. 88; and the B \flat minor Intermezzo, Op. 117 No. 2. Because the motivic 6/3 chords in these pieces often interact with large-scale tonal structure, the reader will find it necessary to have complete scores handy for each.

The F minor Piano Quintet, Op. 34

Up to this point, I have focused on the potential for a type 1 motive to shift emphasis off the tonic and onto the dominant. This compositional strategy takes advantage of multiple possibilities of tonal function for $\hat{6}$. The pitch easily functions within tonic prolongation, not only as part of a 5–6 motion but also as part of other common techniques of tonic expansion such as I–IV–I progressions. But in minor, the descending leading-note potential of $\hat{6}$ is one of the most powerful means to intensify motion to or around V. The anacrusic character of the main theme, in relation to the dominant, encourages consideration of another context with an important influence on harmonic interpretation: the preparation of a movement by the conclusion of the previous movement. Indeed, motivic 6/3 chords often participate in this type of inter-movement continuity. Though Brahms does not mark *attacca*, a performance that pauses briefly can create a link between the final A \flat tonic of the slow movement and the scherzo's motivic 6/3 chord. Ex. 6 shows that, even at the outset, the tonic is undercut by a retrospective connection across the C articulation, similar to the continuity at the counterstatement. Here we see the first suggestion of submediant function for a type 1 motive. The order of pitches in the upper parts takes on special significance when heard in relation to the previous A \flat tonic. This listening perspective further complicates the inference of a 5/3 chord above C by making the bass sound like a chordal third. The status of the 6/3 chord as an inversion of A \flat meshes with the material's subsequent independence from tonic function.⁵

The continuity at the crossover into the scherzo is part of a network of inter-movement connections. The scherzo's 6/3 chord bears special relationship with a primary source of pan-movement integration: the pitch D \flat , which functions both as a melodic neighbour and as a key area throughout the cycle. Ex. 7a shows the initial statement of the D \flat motive in the main theme of the first movement. Ex. 7b interprets the material in relation to a structural tonic. Here, in contrast to the scherzo, it is the 5–6 motion that is more explicit; the listener must infer a tonic bass. The similarity of the passages is obvious nevertheless. The relationship extends to the potential for multiple interpretations that undercut a tonic attribution. Ex. 8 outlines one alternative. The graph highlights the prominence of C in the lowest voice of the theme's

Ex. 6 Piano Quintet, Andante, closing bars; scherzo, opening bars

Scherzo

Allegro

poco riten.

pp

pp

pp

pp

pizz.

pp

Allegro

pp

pp

A: I

I₃?

I₃!

C: VI₃ V

Ex. 7 (a) Piano Quintet, first movement, opening bars

1. Violine

2. Violine

Bratsche

Violoncell

Pianoforte

Allegro non troppo

riten.

a tempo

mf

mf

Ex. 7(b)

5 - 6 - 5 6 - 5

i [V] V[#]

Ex. 8

6 - 5 4 - 3

V

polyphonic melody. The absence of harmonisation allows the C to connect to the goal dominant in bar 4. From this perspective, the initial arpeggiation forms part of a 6/4 to 5/3 motion over the dominant. The emphasis on V is similar to the situation in the scherzo, where the opening phrase also functions as an anacrusis to an imperfect cadence. The continuation of the main theme (bars 5–11) prolongs the half-cadential V. The result is that an unequivocal tonic enters only at the counterstatement of the opening material, which supplies the emphatic F bass and full harmonisation thus far withheld (bar 12). Our previous strategy of using restatements as an aid to harmonic interpretation is helpful here as well: the recapitulation supports the idea that the initial phrase is part of a structural anacrusis to bar 12's climactic arrival. The prominence of C in the head motive allows Brahms to bring back a fragmentary version of the opening phrase within the retransitional dominant (bars 160–64). (The dominant *Stufe* is initiated by the C minor statement of the second theme at bar 150.) The dominant extends across the return of the

middle section (bars 166–72) and does not resolve until the entrance of the counterstatement (bar 173). From a thematic perspective, the recapitulation begins to emerge at bar 160. Yet through an explicit dominant harmonisation of the head motive, Brahms more fully realises the function of his material as preparation for a delayed tonic articulation.⁶

The initial type 1 chords of the first and third movements demonstrate Brahms's interest in motivic ideas that have built-in potential for multivalence. The absence of harmonisation is crucial to his invention of material that is less than clear-cut in harmonic function. Though a tonic attribution might be our first inclination for an opening gesture that touches on $\hat{1}$, $\hat{3}$ and/or $\hat{5}$, Brahms hardly locks into a stable point of departure. Initial open-endedness allows him room to explore less obvious consequences of his material, which in turn influences our view of the original, as well as our encounters with it in section repeats and in rehearings. A passage that illustrates Brahms's proclivity for structural ambivalence, even when he is involved with more explicit type 1 chords, is the transition of the first movement. The need for forward momentum makes the transition a logical place for a composer to loosen the control of the tonic. Though it is not unusual for the 5–6 technique to function in this capacity,⁷ Brahms's approach in the Quintet is of special interest, both for its internal details and for its relationship to the movement's thematic process. A score excerpt and two possible graphs of the passage appear in Ex. 9. The situation is similar to the multivalent potential of the main theme: the first graph interprets the F 6/3 chords in bars 23–5 as part of a structural tonic; the second emphasises the appoggiatura character of the chords in relation to the dominant. The tonic interpretation rests on our ability to hear an elision of the F 5/3 chord that would normally enter before a motion to $\hat{6}$. The strong cadential dominant that prepares the thematic entrance supports this conceptualisation; so too do the similar progressions at the return of the type 1 motive in bars 24, 25 and 29. What this interpretation says, in terms of middleground structure, is that the big opening tonic remains in effect all the way up to the final F 6/3 articulation at bar 29. Only after that point does the progression move decisively away from F and on to the V/C# that enters at bar 33.

I do not include the second graph to undermine the idea that the first part of the transition remains under the control of the F *Stufe*. Rather, my intention is to explore the character of this particular transitional destabilisation of an opening structural tonic. An attribution of appoggiatura status to the F 6/3 chords is not difficult to defend when the influence of the top voice is taken into account. The main melodic constituent is the D \flat –C neighbour motive. Rather than hear the F bass exclusively in relation to the big opening tonic, it is possible to focus on a local context in which $\hat{1}$ functions as consonant support for the D \flat dissonance. The impact of the motive is so strong that it

Ex. 9 (a) Piano Quintet, first movement, bars 22–9

23 *p espress.* *p dolce espress.* *p* *p dolce*

X

25

27

espress.

p

9 — 9 — 8 9 — 8
 6 — 5 6 — 5
 4 — $\sharp 3$ 4 — $\sharp 3$
 V V

Ex. 9(b)

23 25

6 6 8 6 etc.

7 9 6 6 7 6

V i V i V i

Ex. 9(c)

23

6 6 6 8

V i V i V i

gives the end of the bar, in both the top voice and bass, a feeling of local stability. The control of the dominant increases with the shift from the first inversion C triad to root position in bar 24. We find further support for the idea of dominant prolongation in the phrase repetition at bar 27. As annotations in Ex. 9a show, Brahms does away with any doubts about harmonic control and reharmonises the neighbour D \flat s as part of two 6/4 to 5/3 motions over the dominant.

A tendency to reset motivic 6/3 chords within dominant prolongation, seen in both the first and third movements, bolsters the idea that the sonorities are agents of cyclic unity. Another unifying characteristic is the importance Brahms assigns to the submediant embedded within the chords. Ex. 7b – like our initial analysis of the scherzo – treats the submediant arpeggiation as incidental to a 5–6 motion. Yet here too the apparent submediant achieves harmonic significance when heard from an alternative listening perspective. A more independent status for VI begins to emerge at the arrival of C \sharp minor as

Ex. 10

i vi⁻³ iv v⁻³
 1st 2nd Dev. Retrans.
 grp. grp.

the exposition's second key (bar 35). The return of the neighbour motive – at the new $\hat{5}-\hat{6}-\hat{5}$ level and in both the top voice and accompaniment – encourages a connection with the opening. The process continues with the shift to $D\flat$ major for the closing material (bar 74). To some analysts, these motivic connections might seem fairly straightforward. Yet a sceptic might argue that it is one thing to relate the secondary key to the $D\flat$ neighbour, but quite another to assert a connection with the $D\flat$ arpeggiation in bar 1; to hear the arpeggiation as a VI chord is to sever the material from its tonal context.⁸ My response to this objection is twofold. First, we must recognise that even an interpretation that limits the motivic connection to a relationship between the neighbour and the tonicisation has partially to ignore tonal context. As Ex. 10 shows, the $D\flat$ of the second key is part of a motion that descends in thirds from the tonic; it is not an enlarged neighbour. Second, Brahms connects the tonicised $D\flat$ with the $D\flat$ arpeggiation, at the exposition repeat. Ex. 11 traces the process, starting from the final cadence of the second group. An important feature of the first ending is the $F-G\sharp-A\flat$ fragment in bars 91a–92a. The figure partly adumbrates the modulation back to F, as does the 6/4 chord that results from the bass motion to C in bar 94a.⁹ But the persistence of the $D\flat$ tonic makes it possible to hear the $G\sharp$ as a raised $\hat{4}$. Thus, when the fragment is reincorporated into the main theme at the repeat, it is not a decisive indication of tonic return.¹⁰ Indeed, the new $D\flat$ pickup at the close of the first ending connects to the $D\flat$ s in bars 1–2. The result is a submediant bass as support for the F and $A\flat$ of the polyphonic melody. A motivic 6/3 chord, whose status as an inversion might otherwise seem tenuous, is revealed to be the source for the $D\flat$ tonicisation. The similarity of this passage with the crossover from the Andante into the scherzo is unmistakable.

These excerpts make it clear that the interconnection of type 1 motives and the submediant is a characteristic shared by the first and third movements. The Andante and the finale also join the process of cyclic unification through emphasis on the submediant. In the finale, the situation is straightforward: $D\flat$ tonicisations appear within the first group of the exposition (bars 62–7), as part of the development (bars 206–14), and as the point of departure for the

Ex. 11 Piano Quintet, first movement, lead into exposition repeat

[illegible]

coda (bars 342–9). All three locations closely integrate VI with the tonic key. The nearness of the tonic keeps the origin of the submediant alive, despite the absence of type 1 motives.¹¹ The Andante, like the scherzo, transposes the motivic third relation to accommodate a new tonal centre. Its middle section (bars 35–55) is in E \flat major, the flat submediant in relation to the movement's A \flat major tonic. One possible motivation for the large-scale mixture is a desire for a parallelism with the original tonic–submediant relationship. The A \flat tonic itself takes on a submediant function, when it carries over into the opening of the scherzo, as previously outlined in Ex. 6. Special features of the scherzo's coda join this A \flat link to help articulate the I–III–V \flat –I key scheme of the cycle as a unified progression. Ex. 12 reproduces a representative excerpt. The passage is noteworthy for both the major version of the C tonic and the return of the motivic 6/3 chord at its original transposition level. The combination of these characteristics makes the C tonic begin to sound like a dominant. The new tonal orientation anticipates the return of F minor for the finale – a continuity not unlike the earlier pivot function for A \flat at the crossover into the scherzo. In addition to this prospective connection, the coda intensifies the links between the scherzo and the first movement. This is most obvious in the shift back from C 6/3 to F 6/3 chords. But a connection with the first movement is also encouraged by emphasis on the semiquaver fragment from the scherzo's second theme. The motive is marked with an X in Ex. 12. A

Ex. 12 Piano Quintet, scherzo, bars 176–80

glance back at Ex. 9a reveals the original source for the material: the transition of the first movement, a passage similarly dominated by F 6/3 chords. The connection throws light on our earlier debate about harmonic control in the transition. The dependence, in the scherzo's coda, of F 6/3 chords on the C major tonic retrospectively supports Ex. 9c's interpretation of type 1 motives as *appoggiaturas* to the dominant.

The A major Violin Sonata, Op. 100

The prominence of D \flat as a key area in the Quintet provides a good example of the relationship between motivic 6/3 chords and tonicisation. The situation is noteworthy for the link between the D \flat key and the type 1 motive, at the exposition repeat in the first movement. Brahms has other, more direct means of connecting type 1 chords to tonicisations. The second movement of the A major Violin Sonata provides an example of a more straightforward relationship.¹² The movement alternates between an Andante tranquillo section in F major and a contrasting Vivace section in D minor. The form of the whole articulates an AB–AB–AB pattern. Brahms achieves tonal closure by transforming the final B statement (bar 162) into a cadential flourish in F; the material functions as a coda, rather than as a fully-fledged return. This closing section, however, is hardly a simple confirmation of a harmonic *fait accompli*: it resolves a tonal dialectic between F and D in which a motivic 6/3 chord plays a central role.

The ambivalent relationship of F and D is partly a result of the absence of transitional passages to connect the keys. Score annotations in Ex. 13 outline Brahms's main method of modulation. In the final bars of the A section, the fifth of the closing F tonic moves to a sixth to yield a type 1 6/3 chord. The Vivace simply inverts the triad to root position and proceeds in D minor. Given its temporal priority, we are likely to assume that F is the tonic for the movement as a whole. As the alternation between the keys continues, however, F and D acquire the character of a third-related pair in stasis: it is not entirely clear which tonic will take precedence. Brahms exploits the issue to create momentum across a formal scheme that otherwise might tend toward excessive sectionalisation.

A factor that contributes to the conflict between tonics is the motivic and harmonic continuity at the onset of each section. Brahms uses his *Knüpftechnik* to complement the abrupt modulation at the entrance of the B material: the head motive of the Vivace theme is an embellished version of the violin's A–D fourth in the final bar of the A section (Ex. 13). The sophistication of the linkage includes a reversal, across the entrance of bar 17, of the A section's 5–6 motion. From the perspective of a passage in D minor, there is nothing extraordinary about this voice leading, nor about the emphasis

Ex. 13 Violin Sonata in A major, Op. 100, second movement, bars 14–19

14 16 19

dim. *Vivace* *p*

dim. *Vivace* *p molto leggiero*

5 6 (6-5)

F: I (VI⁶) (VI⁶) D: i₃⁵ III V[#]

on the resulting F major chord; the mediant is part of a standard I–III–V[#] bass arpeggiation. For this particular movement, however, the situation has enormous significance: it initiates a pattern in which the tonic of one section overflows into the beginning of the next. At the entrance of the B material this might not seem so unusual; at that point in the form, F has been established as a clear tonic, presumably the tonic for the movement as a whole; a slight weakening of the type-1-derived D minor only seems to confirm what we have assumed to this point. But at each of the two returns of the Andante material, D remains in force – not as a colouration of a new key like the F mediant in the Vivace, but as an unambiguous tonic. The first A return (bar 72) replicates, in D major, bars 1–5’s modulation from tonic to dominant, before it reintroduces F. The second return (bar 150) heightens the ambivalence between F and D by alternating between the keys: initially, D sounds as tonic (bars 150–51); then the tonal focus briefly shifts to F, before V/D enters in the second half of bar 153. The passage summarises what has become a tonal issue for the movement as a whole, with one crucial difference: D is placed in the superior position in the alternation. It seems as if Brahms is beginning to favour the tonality that derives from the type 1 motive. The intuition continues even after F emerges at bar 155 as tonic for the conclusion of the second A return: when Brahms articulates the motivic 5–6 motion one last time (bars 160–61), it is hard to resist the thought that the pendulum is about to swing back at the last moment in favour of D. Not until the coda, where the Vivace

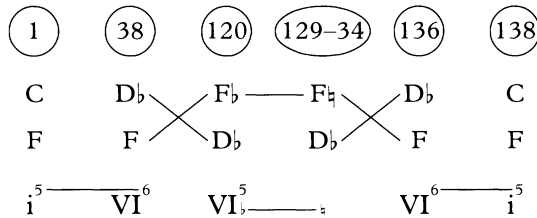
an enlargement, within a single *F Stufe*, of the foreground 5–6 motions that give rise to motivic 6/3 chords at bars 6 and 26. As in the Quintet, emphasis on the submediant originates in an unharmonised $D\flat$ neighbour in the very opening bars (Ex. 15). Indeed, the scale pattern of the entire initial phrase, with its adjustment of $\hat{2}$ to $G\flat$, anticipates the move to $D\flat$.¹³ The situation is also remarkable for the pivot function of the $D\flat$ area: the subsequent modulation to C minor (bar 53) hinges on a reinterpretation of the F 6/3 chord as a Neapolitan to the dominant.

Ex. 15 Clarinet Sonata in F minor, opening bars

The influence of the motivic chord on the Sonata's tonal scheme extends beyond the exposition's middle key. The submediant reemerges with greater harmonic independence in the development. The climactic arrival at bar 120 articulates the root position submediant as tonic for a passage in $C\sharp$ minor. The shift back to the major submediant at bar 129 facilitates the recapitulation of the movement's opening phrase in the Neapolitan at bar 130. The $F\sharp$ minor return of this material is an outgrowth of the $G\flat$ in bar 4; the result is an overlap between the development and the recapitulation. Despite the change of key, however, the submediant remains the prolonged harmony; $C\sharp$ is rearticulated at bar 134. The connection between the development's submediant and the exposition's F 6/3 chords is clarified by the voice exchange that follows. Fig. 1 outlines the process. The motion from V/ $F\sharp$ to the 6/3 position at bar 136 corresponds with a respelling of the $C\sharp$ chord as $D\flat$. From there, Brahms simply reverses the motivic 5–6 voice leading to reintroduce the tonic and main theme at bar 138. He then immediately returns to the 6/3 chord as the theme continues with its original 5–6 motion.¹⁴

The Clarinet Sonata demonstrates that harmonic consequences of motivic 6/3 chords need not be limited to tonicisation; type 1 motives can take on any

Fig. 1



of the functions associated with the submediant. To summarise: the movement includes not only tonicisations of VI, in both first inversion (exposition) and root position (development), but also a reinterpretation of the type 1 motive as V \flat /II (development) and as a large-scale Neapolitan in the dominant key (exposition).¹⁵ The V \flat /II usage points to another common function for the submediant: the potential for the chord to link semitonally related keys *via* either the familiar V⁷/German sixth equivalence or – as in the Clarinet Sonata – a similar procedure more intimately connected to the motivic structure of a movement. (As we have seen, the F \sharp –F \flat modulation at the recapitulation hinges on a reversal of the characteristic 5–6 voice leading, rather than on resolution of V⁷/F \sharp as a German sixth chord.) Regardless of the modulatory details, however, it is clear that key relation by semitone is an important characteristic of the Sonata. The prominence of semitone relations marks the movement as an example of what one recent commentator has labelled the Neapolitan complex.¹⁶ The idea of a Neapolitan complex is relevant because there is a strong correlation, in Brahms, between motivic 6/3 chords and tonal schemes that focus on semitone relations. Though analysts have long recognised the importance of the submediant for the Neapolitan complex,¹⁷ the special case in which the crucial VI harmony originates in a type 1 chord has yet to be explored. We will continue to see the tendency for type 1 motives to function as part of an emphasis on semitone-related keys in our final two examples of type 1 usage: the C minor String Quartet and the Horn Trio.

The C minor String Quartet, Op. 51 No. 1

Up to this point, we have observed situations in which type 1 chords are consequential for the key scheme of a single movement. The C minor Quartet provides an example of a motivic 6/3 chord that blossoms into the tonic for an entire later movement. The type 1 motive enters at the very outset of the cycle. As outlined in Ex. 16, the context is noteworthy for penetration of the motive into multiple dimensions, almost to the point of saturation.¹⁸ Unlike the Piano Quintet and the Clarinet Sonata, the first movement avoids tonicisation of the

Ex. 16 String Quartet in C minor, Op. 51 No. 1, first movement, opening bars

Allegro

The musical score for the opening bars of the first movement of Brahms' String Quartet in C minor, Op. 51 No. 1, is shown. The tempo is marked 'Allegro'. The score is in 3/2 time and C minor. It features four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The first staff (Violin I) starts with a half note G2, followed by eighth notes A2, B2, and C3, then a half note D3. The second staff (Violin II) starts with a half note F2, followed by eighth notes G2, A2, and B2, then a half note C3. The third staff (Viola) starts with a half note F2, followed by eighth notes G2, A2, and B2, then a half note C3. The fourth staff (Cello/Double Bass) starts with a half note F2, followed by eighth notes G2, A2, and B2, then a half note C3. The score includes dynamic markings (p, f, cresc., decresc.) and a fermata over the final measure. A bracket under the first six measures is labeled '5-6'.

submediant; Brahms waits until the Romanze to make $A\flat$ a tonic (Ex. 17). The influence of the motive on Brahms's choice of key is confirmed by thematic quotation: note the 6/3 position of the opening $A\flat$ chord and the same rising third (violin 2) and dotted rhythm that characterise the main theme of the first movement.¹⁹ The $A\flat$ key transforms the original type 1 motive into a type 2 harmony. The shift in status reflects a somewhat different form of the tension between linear origin and harmonic function that we observed in the exposition of the Clarinet Sonata. In the Sonata, the tonicised F 6/3 chord is heard as an inversion only within the $D\flat$ key area; in terms of middleground voice leading, it is an offshoot of the opening F tonic. By contrast, the C 6/3 harmony of the Romanze functions as an inversion in relation to an overall $A\flat$ tonic; the connection to the type 1 motive of the first movement – and by extension to its C minor tonic – is associative.

One consequence of the thematic quotation in the Romanze is a delay of a root position tonic until bars 19 and 22. Even there Brahms avoids repose and absorbs the 5/3 chords into the final motion toward closure. In the end, he withholds the closing tonic itself; the dominant in bar 24 remains unresolved, and the brief transition that follows leads into the middle section (bar 27). The absence of tonal anchors maintains a bit of the restlessness of the first movement, despite the newly serene atmosphere. Indeed, the function of motivic 6/3 chords to delay tonic articulation contributes to the cyclic integration of the Quartet. The tendency for tonal instability is hinted at from the outset of the first movement. The emphasis on the type 1 motive in the opening phrase contributes to the anacrusic character of the material (Ex. 16). Though the phrase departs from a structural tonic, the weight of emphasis falls on the half-cadential dominant in bar 7. Brahms heightens the instability

Ex. 17 String Quartet in C minor, Romanze, opening bars

Romanze
Poco Adagio

at the recapitulation (bar 135), where the C 6/3 chord replaces, rather than grows out of, the tonic 5/3. The result is that there is no tonic rearticulation at the beginning of the reprise. Instead, the imperfect cadence at the end of the main theme initiates the structural dominant for the movement as a whole. Ex. 18 outlines the middleground significance of this dominant articulation. The expansion of the 6/3 idea at the beginning of the recapitulation participates in a delay of tonic return all the way to the point of closure at bar 216.²⁰

Ex. 18

A preoccupation with tonal delays colours the finale as well. A number of commentators have noted similarities of thematic content and formal strategy in the first and fourth movements.²¹ What has not been recognised is the importance of motivic 6/3 chords in creating a sense of *déjà vu* as the finale unfolds. A connection with the first movement is signalled by the same type of thematic quotation that occurs in the Romanze (Ex. 19). Transposition to the subdominant level allows the motivic ideas to function as a bridge between the

F minor Allegretto and the finale.²² The link between the movements is immediately followed by the first tonal delay: motivic 6/3 chords at bars 3 and 15 prevent resolution to an opening structural tonic. The tonic does not enter until bar 21, and even there the resolution is weak; continued thematic instability defines the cadence as an anticipation of the rock-solid tonic that finally enters at the structural downbeat of bar 33. As we shall see, Brahms takes advantage of the emphatic character of this articulation in the recapitulation, where the material marks the structural close.

Ex. 19 String Quartet in C minor, third movement, closing bars; finale, opening bars

The finale, like the first movement, responds to an unstable main theme with an extensive delay of tonic rearticulation at the recapitulation.²³ It is appropriate first to comment on the similar key schemes of the two development sections. Both developments centre around A minor and C# minor. The type 1 motive plays a crucial role in the Neapolitan tonicisation of each, similar to the situation in the development of the Clarinet Sonata.²⁴ In the first movement, the motion to C# grows out of the 5–6 step sequence in bars 108–11. Ex. 20 provides an analysis of the modulation and highlights a motivic connection with the type 1 chord of the main theme. The recall of the opening phrase allows us to hear the G# dominant of bar 111 as a reinterpretation of the original C 6/3 sonority. The new harmonic orientation for the triad is solidified by the shift to root position for the cadential dominants of bars 115, 117 and 121. In the finale, the connection of V/C# with the C 6/3 motive is more direct. The type 1 harmony dominates the rondo refrain that follows the exposition (bars 94–101). Brahms simply shifts the triad into root position and respells it as G# to lead into the Neapolitan at

Ex. 20 String Quartet in C minor, first movement, bars 108–15

108 111

p 5—6 5—6

$[C^{\flat}-E^{\flat}-A^{\flat}] = [B^{\flat}-D^{\flat}-G^{\flat}] = V/C^{\sharp}$

112

p cresc. *f* *f* *f*

p cresc. *f* *f* *f*

p cresc. *f* *f* *f*

5—6

$C^{\sharp}: i$ $\flat II$ V

bar 102. The tonicisation of $\flat II$ gives way almost immediately to A minor, which enters decisively at bar 110 and continues into the thematic return at bar 124 (= bar 33). The absence of tonic return at bar 124 initiates the recapitulation's tonal delay. The emphasis on A minor provides Brahms with the opportunity to present the reprise as a sequence of the exposition: the expository keys of C minor and E^{\flat} major are transposed to the A minor and C major levels, respectively. The sequence allows the expanded final refrain (bar 192) to receive formal justification as the unit responsible for restoring the minor mode. The refrain also has the even more essential function of

articulating the return of the tonic chord itself, since the second key area (bars 141–91) prolongs V/C.²⁵

The situation sets the stage for an apotheosis of the idea of type 1 chords as agents of tonal delay. The final refrain continues to subvert potential points of resolution by means of the type 1 motive (bars 202–3 and 221–4). But now it is not a matter of delay simply within the main theme; the dominant prolongation extends the delay that stretches across the entire recapitulation. This is where we see the main theme's structural downbeat reinterpreted as an agent of tonal closure. Brahms approaches the closing tonic of bar 231 with material analogous to the counterstatement of the opening idea (bars 15–20 = bars 225–30). In the exposition, the cadential progression at the end of this formal unit resolves weakly, as previously described. At the end of the movement, Brahms takes advantage of the cumulative character of the cadential material, but he provides a conclusive resolution immediately, by proceeding directly to material analogous to bar 33. A fourteen-bar tonic pedal leaves no doubt that we have finally arrived at our long awaited tonal goal. It is interesting to note that Brahms is unable, even at the decisive arrival (bar 231), to resist motion to A \flat . In this context, though, $\hat{6}$ clearly functions within tonic expansion. The cadential phrase similarly injects an element of motivic discharge. The final motion to closure touches on an augmented sixth chord (bar 229), a factor that is in itself unremarkable. But within a movement – indeed within a cycle – that is so tightly integrated motivically, the chord can be heard as a transformation of the type 1 idea.²⁶ Brahms 'liquidates' a characteristic function of his motive – its tendency to delay tonic articulation – in favour of generic identity within a standard cadential progression.

The E \flat major Horn Trio, Op. 40

Our final type 1 example, the finale of the Horn Trio, introduces a new context into the discussion: the 6/3 chord enters in bar 46, just after the bifocal close of the main theme (bar 43); the sustained bass is $\hat{5}$ rather than $\hat{1}$. The passage demonstrates the potential for a type 1 chord to function in a major-mode sonata form; up to this point, all sonata form examples have been in minor. The formal outline in Table 2 will facilitate discussion of the type 1 motive as it reappears in different guises throughout the second group. The motive and its transformations are again central to the delay of a structural harmony, in this case the tonicised dominant. As the graph in Ex. 21 illustrates, a middleground B \flat chord does not enter until the structural close of the exposition (bar 83). The context for the entrance of the motive at bar 46 is similar to the opening of the Piano Quintet's scherzo: there too a motivic 6/3 chord enters after reiterations of an unharmonised bass. (Other similarities include the subsequent pedal function of the bass, the expression of the

Table 2 Horn Trio in E \flat , Op. 40, finale: formal outline of second group

	<i>First Part</i>		<i>Second Part</i>		<i>closing material</i>
bi-focal	first	second	first	second	
close	subphrase	subphrase	subphrase	subphrase	
bar 43	45–52	53–67	67–74	75–82	83–91

Ex. 21 Graph of Horn Trio in E \flat , Op. 40, finale, bars 1–83

motivic chord as an ascending arpeggiation, and the 6/8 metre.) The difference here is that the implied B \flat 5/3 chord is major. The shift to D \flat and G \flat produces an apparent \flat VI chord that is analogous to the type 1 motive in the Quintet, as well as in our other minor-mode examples. As the analysis proceeds, it will become clear that this particular form of the 5–6 technique – the pairing of major triads whose roots are a major third apart – has important motivic consequences.

Throughout the first subphrase (bars 45–52), all aspects of the tonal structure define G \flat as a neighbour to F. The linear character of $\flat\hat{6}$ denies the 6/3 chord status as an inversion. The tonicisation of the submediant within the second subphrase (bar 55), by contrast, allows the apparent \flat VI to resonate in the harmonic dimension. The motion to A \sharp in the bass changes the motivic sonority to minor. (The shift to double mixture motivates the spelling of bars 55–60 in F \sharp minor.²⁷) A noteworthy aspect of the passage is the contribution of the bass to the duality of linear and harmonic tendencies for the type 1 motive. At the very point that $\flat\hat{6}$ begins to have harmonic influence, the lower voice shifts to a linear orientation: the A \sharp initiates a bass passing motion to F (This is

the fourth progression labelled in the graph). The combination of $B\flat$ mobility and $D\flat-G\flat$ invariance retrospectively affects our interpretation of the original type 1 chord. Prolongational hearing defines the original and tonicised 6/3 chords as distinct entities: the first results from the 5–6 technique, the second from a passing motion in the bass. Associative hearing, by contrast, permits an identity relationship: though the bass $B\flat$ and $A\flat$ have distinct voice-leading functions, they hold analogous positions within the same motivic triad. Through a kind of interpretative transitivity, the initial 6/3 chord shares in the new harmonic status of $F\sharp/G\flat$: if $B\flat$ 6/3 = $A\flat$ 6/3 with a shift in quality, and $A\flat$ 6/3 = inversion of a local $F\sharp$ tonic, then it must be possible – at least partly and in retrospect – to hear $B\flat$ 6/3 as an inversion with $G\flat$ as root.

Following the $F\sharp$ tonicisation, the second group temporarily turns away from the type 1 chord. The influence of the motive is limited to repetitions of its $\hat{5}-\hat{6}$ neighbour until the final approach to closure. (A good example of the independence of the neighbour from its original harmonisation is the $G\flat-F$ alternation in the top voice of bars 61–3; another is the enlarged major version of the $\hat{5}-\hat{6}-\hat{5}$ figure that follows immediately after the arrival on $II\flat$ at bar 67 (Ex. 21).) Not until the final subphrase (bars 75–82) does the $\hat{5}-\hat{6}$ constituent reconnect with the type 1 motive. Up to this point, the harmonic influence of the 6/3 chord is limited to the $F\sharp$ tonicisation. The closing passage introduces two additional harmonic functions. The $G\flat$ neighbour appears, expanded and in the bass, as support for a progression centred around the V^7 /German sixth equivalence. This is another example of the potential for a type 1 motive to connect semitone-related keys, as seen in the Clarinet Sonata and the String Quartet. In the first part of the passage (bars 75–8), the root position version of the motivic chord functions as the dominant of $B\flat$ minor. The second part (bars 79–82) reinterprets the harmony as a German sixth in $B\flat$. The augmented sixth prepares the return of the middleground $II\flat$, which finally resolves to the long awaited $B\flat$ structural harmony. The absence of a dominant 5/3 chord between the cadential 6/4 and the $B\flat$ tonic (bars 81–3) creates a direct connection between resolution of the motivic harmony and arrival at the tonal goal.

As in our other examples, the influence of the type 1 motive extends beyond the confines of any single formal section. The retransition (bars 143–68) is one area in which the motive returns with great emphasis. A look at the passage will help to connect the type 1 usage in the finale with the cyclic integration of the whole. Throughout we will see that the chromatic status of the motive and its derivatives contributes to their distinctiveness and thus to their ability to unify the cycle. The arrival of the home dominant articulates the beginning of the retransition, which divides into three sections: an antecedent phrase (bars 145–51), a consequent phrase (bars 153–61) and a final anacrusis passage (bars 161–8). The initial tonal gesture of the antecedent is the same motivic

$\hat{5} \rightarrow \hat{6}$ motion over $B\flat$. The rising arpeggiation in the piano accompaniment joins the mixture to cement a connection with the second group. In contrast to the earlier section, however – where the neighbour figure and harmonic consequences are stressed – the retransition extracts the $\hat{5} \rightarrow \hat{6}$ pattern as a source for development. The voice leading becomes the model for a sequential pattern in both the antecedent and consequent. In the antecedent, the sequence breaks off after five bars to allow for a cadential arrival back on $B\flat$ (bar 151). The consequent, on the other hand, adjusts the continuation, so that the passage arpeggiates through an augmented triad. Ex. 22 presents a schematic version of the voice leading. Each stage of the sequence replicates the pairing, of major triads separated by major third, of the original $\hat{5} \rightarrow \hat{6}$ motion. Brackets and X labels beneath the reduction clarify this. The final repetition of the pattern – the motion from $D\sharp$ to $B\flat$ – occurs in the anacrusis passage that leads into the recapitulation.

Ex. 22

The image shows a musical staff with five measures, numbered 153, 155, 157, 161, and 163. The notation is a schematic reduction of voice leading, showing triads in each measure. Below the staff, there are brackets and labels indicating the structure of the sequence. The first measure (153) is labeled '5-6' and 'X'. The second measure (155) is labeled '5-6' and 'X''. The third measure (157) is labeled '5' and 'X'''. The fourth measure (161) is labeled '5-6' and 'X'''. The fifth measure (163) is labeled '5-6'. A large bracket labeled 'X''' spans from the first measure to the fifth measure.

The retransitional function of the $D\sharp-B\flat$ pair is one way in which the finale contributes to the unity of the cycle. Within the movement itself, the strategy is motivic: $D\sharp$ is also a central component of the tonic return toward the end of the main theme. In bar 25, $D\sharp$ enters as V of a locally tonicised $G\sharp$ minor. A mini G–C–F circle of fifths progression in bars 33–4 is all that separates $D\sharp$ from a direct progression to the home dominant. The similarity of the passage with the retransition becomes even more obvious in the recapitulation: in the new formal context, the $V/G\sharp$ to $V/E\flat$ progression within the main theme (bars 193–202) echoes the situation in the retransition. The link is strengthened by a hint of the mediant key in the retransition. There a $V/G\sharp$ function arises both from the parallelism of $D\sharp$ with the $B\flat$ dominant of the antecedent (cf. bars 151 and 161) and from the $D\sharp-G\sharp$ progression in bars 157–9.

These idiosyncratic retransitional techniques forge a close tie with strategies of tonal return in the first movement, where we also see emphasis on the $D\sharp-B\flat$ type 1 pair. The retransitions in the first movement are part of an unusual AB–AB–A formal scheme. The first B section (bars 77–130) expresses the

contrasting key of $G\sharp$ minor largely through emphasis on the motivic $D\sharp$ dominant. The progression from this $V/G\sharp$ back to the home dominant at bar 127 is virtually identical to the harmonic motion just prior to the recapitulation in the finale. The main difference is that the prolonged $D\sharp$ bass makes the voice leading even more like the motivic $\hat{5}-\hat{6}$ pattern. The same progression also governs the retransition to the final refrain, but a new tonal context expands the network of inter-movement connection. The second B section (bars 167–99) transposes the material to $B\flat$ minor. Rather than alter the end of the restatement to prepare for a return of the tonic key, Brahms maintains a strict parallelism: $V/B\flat$ leads to $V/G\flat$ in bars 195–6, just as $V/G\sharp$ led to $V/E\flat$ in the earlier passage. The final A refrain (bar 200) thus begins with a tonicisation of the $G\flat$ chord that will later receive emphasis as a type 1 motive. Indeed, the first movement signals the importance of $G\flat$ from the outset. Its first modulation – a small-scale tonicisation within the A section – is to $\flat III$ (bars 37–43). The beginning of the $B\flat$ minor B section also touches on $G\flat$ (bars 167–73). All three points of emphasis establish $G\flat$ as a source for inter-movement connection with subsequent type 1 motives.²⁸

The reappearance of $G\flat$ in the guise of a type 1 chord in the finale raises important issues about the relationship between motivic 6/3 chords and sonata form. Brahms's treatment of the type 1 motive in the finale also forges connections with the other sonata form in the cycle, the big A section of the scherzo. Both movements articulate their motivic 6/3 chords as part of large-scale dissonance; according to the sonata principle, in Edward T. Cone's words, the dissonant section 'must either be re-stated in the tonic, or brought into a closer relation with the tonic, before the movement ends'.²⁹ The method of resolution in the finale is straightforward: the recapitulation transposes the type 1 material to the tonic level (bars 213–59). It might be possible for this new version alone to provide tonal reconciliation. Brahms nevertheless returns to the $C\flat$ form of the type 1 motive in the coda. The chord appears twice within the approach to the closing structural tonic (bars 267 and 271). The second $\flat VI$ participates in a deceptive progression that helps to create the powerful sense of arrival at the tonic resolution of bar 277. It is in this sense that the coda carries the idea of tonal reconciliation to a logical conclusion.

The situation in the scherzo is similar, both with respect to the dissonant status of the type 1 material and its resolution later in the movement. Table 3 summarises the formal layout of the movement's A section.³⁰ The scherzo also introduces $G\flat$ via a $\hat{5}-\hat{6}$ motion in the dominant key area (bar 61). The type 1 chord forms part of the head motive for a parallel period toward the end of the second group (bars 61–8 and 69–77). The antecedent and consequent of this phrase both lead to cadential progressions by transforming the $G\flat$ submediant into an augmented sixth chord. The second of these cadences articulates the

Table 3 Horn Trio in E \flat , Op. 40, scherzo: formal layout of A section

Part 1			Part 2		
<i>bar</i>	<i>description</i>	<i>key</i>	<i>bar</i>	<i>description</i>	<i>key</i>
1	first group: a (4+4+4+4)	E \flat	81	first group: a (first 4+4)	E \flat
			89	developmental interruption	
			121	developmental episode	B \natural
			153	retransition	(B \natural = C \flat)
			163	resumption of first group: a (second 4+4)	E \flat
17	a'		171	a'	
	... merges into merges into ...	
33	transition	to V/B \flat	187	transition	to V/E \flat
49	second group	B \flat	199	second group	E \flat

structural close of the exposition. Thus in terms of both harmonic progression and formal location, the usage is analogous to the function of the motive in the finale. The relationship also includes resolution of the type 1 material at the C \flat level later in the movement. An expanded version of the parallel period (bars 227–71) culminates in the structural close not only for the A section, but also – following the *da capo* – for the movement as a whole.

The prominence of C \flat in the approach to closure in the scherzo and finale also relates to another shared aspect of tonal organisation. The scherzo is the more straightforward case so let us begin there. We have previously noted the tendency for motivic 6/3 chords to take on harmonic functions associated with the submediant, including the enharmonically equivalent V 7 and German sixth transformations. The scherzo exploits this duality to emphasise semitone-related keys, just as we have seen in other type 1 contexts. As noted above, Brahms uses the augmented sixth transformation to approach cadential dominants within the B \flat key area. It is not until the B \natural major episode at the heart of the development (bars 121–53) that G \flat itself functions as a dominant. (Prominent statements of the motivic chord in its new function as V/B \natural occur at bars 120, 125, 143 and 151.) The aforementioned return of C \flat in the approach to closure can be heard as a rapprochement of this B \natural major

tonicisation with the home key, in addition to the more direct relationship the material forms with the end of the second group. The situation in the finale is similar. We have already seen that Brahms takes advantage of the V^7 /German sixth equivalence to hint at the Neapolitan key of $B\flat$ just prior to the close of the exposition. He picks up $B\flat$ again in the development (bars 111–19). (Interestingly enough, the motion to $B\flat$ engages the same $V/G\flat$ chord that is prominent in so many other transitional passages.) Though the development reinterprets $B\flat$ as $V/E\flat$, the passage still forms an associative connection with the second group. Because the emphasis on $B\flat$ is not nearly as strong as in the scherzo, the need for resolution is much less intense. The prominence of $\flat VI$ in the recapitulation and coda can nevertheless be heard as a response to both the type 1 motive and the $B\flat$ harmony.

Type 2 6/3 chords

Now that we have a clear idea of Brahms's type 1 strategies, we are in a position to explore type 2 6/3 chords and their relationship to the first category. The $B\flat$ minor Intermezzo, the Tragic Overture and the finale of the F major Viola Quintet each begin with a 6/3 chord that functions as an inversion of the tonic. A glance back at Ex. 2 refreshes our memory of the parallel 6/3 chords that initiate the Intermezzo. Ex. 23 shows type 2 chords in the opening mottos of the Overture and Quintet. Normally we think of the two chord types as distinct in origin and function. To repeat the Schenkerian view put forward at the outset of this study: type 1 chords arise out of a linear motion above a stationary tonic bass – the 6/3 chords do not have harmonic significance; type 2 chords, on the other hand, are harmonic in orientation – they extend or represent the 5/3 chords from which they are generated through inversion. Yet we have seen that Brahms uses the apparent submediant of his type 1 motives as a topic for development; this function grants linear 6/3 chords status as inversions. The type 2 examples similarly demonstrate that first inversion tonics can exhibit characteristics that we normally associate with the type 1 category. Specifically, all three pieces express intriguing relationships between their 6/3 chords and the mediant harmony. This is most immediately apparent in the Overture: the F bass of the I^6 initiates an arpeggiation of III in the lower voice (Ex. 23a). Because a dominant intervenes between the opening tonic and the F major chord at bar 3, the progression is not a straightforward 6–5 motion. The same F harmony, though, does connect directly to the motto at its return in bar 4: F and A remain as common tones and D replaces C, similar to a type 1 5–6 alternation. A slightly different form of emphasis on the mediant occurs when $V^{6/5}/III$ prepares the rearticulation of I^6 on the downbeat of bar 9.

We have seen that Brahms consistently uses type 1 motives to generate

Ex. 23 (a) Tragic Overture, Op. 81, opening bars (strings only)

(b) String Quintet in F, Op. 88, finale, opening bars

Allegro energico

The musical score is for a piece titled "Allegro energico" in 3/2 time. It consists of five staves. The first two staves are in treble clef, the third is in bass clef, and the last two are in bass clef. The key signature has one flat (B-flat). The score begins with a forte (f) dynamic. The first staff has a melody of eighth notes. The second staff has a melody of eighth notes. The third staff has a melody of eighth notes. The fourth staff has a melody of eighth notes. The fifth staff has a melody of eighth notes. The score is divided into four measures. The first measure contains a melody in the first staff, a melody in the second staff, a melody in the third staff, and a melody in the fourth staff. The second measure contains a melody in the first staff, a melody in the second staff, a melody in the third staff, and a melody in the fourth staff. The third measure contains a melody in the first staff, a melody in the second staff, a melody in the third staff, and a melody in the fourth staff. The fourth measure contains a melody in the first staff, a melody in the second staff, a melody in the third staff, and a melody in the fourth staff. Below the staves, there is a harmonic analysis: I⁶ V, I⁵, V⁶, I.

tonicisations of the submediant. The same is the case with type 2 chords and the mediant. In each of our type 2 examples, the bass of the first inversion tonic becomes the bass for the tonicised mediant of the second key. The Overture and the Quintet both articulate root-position structural tonics prior to their modulations.³¹ One result is that the emphasis on $\hat{3}$, as an important bass pitch for both key areas, remains associative. The absence of a prolongational connection might raise doubts about the idea of a motivic

relationship across the first and second groups. Yet in the Quintet, the choice of III# for the second key – though certainly not without precedent³² – is itself a ‘characteristic’ feature; a motivic association with the motto is plausible on its own terms, especially if one considers the importance of the mediant major throughout the cycle.³³ (I will return to the issue of III# in the other movements shortly.) The key scheme of the Overture, by contrast, follows formal convention; we need additional evidence to support the proposed relationship. A passage that bolsters a motivic interpretation comes at the end of the second group – a context that is similar to the exposition repeat in the first movement of the Piano Quintet. Instead of a repeat, what we have in the Overture is a partial restatement of the main theme prior to the development (bars 185–209).³⁴ This abridged refrain provides an opportunity for a direct connection between the tonicised mediant and the motto. The retransition of bars 181–4 isolates F and A from the closing F tonic of the second group. These pitches are joined by D at the arrival back at the opening material (bar 185). Though Brahms highlights the reentry of D by putting it in the bass, the restatement is part of a prolongation of the mediant: F returns to the lower voice for the repetitions of the motto in bars 187 and 190 and the phrase culminates back on III at bar 196. The new tonal context transforms what was originally a type 2 chord into a type 1 chord: within an F *Stufe*, D functions as a displacement of the C fifth, rather than as a root transferred to an upper voice.

The Viola Quintet demonstrates another similarity between Brahms’s approach to type 1 and type 2 6/3 chords: a key scheme that interacts with a type 2 harmony tends also to participate in cyclic unification. Though the first two movements of the Quintet do not contain type 2 motives, the key of A major has a central role in each. The first movement, like the finale, adopts III# as the key for its second theme group (bar 46). The second movement emphasises A major within a different formal context. A brief digression into the organisation of the movement will suffice to demonstrate a connection with the type 2 motive of the finale. The movement’s form is based on an alternation between a slow A section and a fast B section, very much along the lines of the middle movement of the A major Violin Sonata. Another similarity with the Sonata is the issue Brahms raises regarding which of the tonics of the two sections will take precedence as the tonal centre for the movement as a whole. In this case, the third-related keys are C# minor and the motivic A major. In the Violin Sonata, the key of the A section eventually wins out. Here, however, the A major of the B section emerges as the closing tonic at the very end of the final A restatement (bars 196–208).³⁵ The last-minute shift to A major comes just in time to prepare the A bass of the finale’s opening tonic 6/3. The continuity in the cello line across the movements supports the idea of a motivic connection between the finale’s A major second key and the I⁶

chords in the main theme.

In both the Overture and the Quintet, the relationship between type 2 chords and mediant tonicisations is more suggestive than emphatic; I do not wish to overstate my case for a motivic association. The B \flat minor Intermezzo, by contrast, articulates a more forthright connection. A crucial difference in the Intermezzo is that its A section avoids a tonic 5/3. This allows the bass of the type 2 motive to remain available for a prolongational connection with the mediant of the B section. Ex. 24 traces the bass-line continuity across the formal units. The representation is based on Schenker's unpublished graph of the Intermezzo, an analysis that was recently brought to the attention of the music theory community by Allen Cadwallader.³⁶ The situation is similar to the tonal relationships in the exposition of the Clarinet Sonata. In the Sonata, the F bass of the D \flat key area is an offshoot of the F bass of the opening structural tonic (Ex. 14). In the Intermezzo, the D \flat bass of the B section is an offshoot of the D \flat bass of the opening 6/3 chord. What I would like to add to Cadwallader's exegesis is attention to the tension between the structural significance of the opening tonic and the lack of articulative strength for any particular B \flat chord until the final cadence. Of special interest is the weakness of the tonic when compared to the more solidly articulated relative major. Despite the tonic function of the opening 6/3 chord, the progression into the B section resembles a 6–5 motion over a stationary bass. Normally the 5/3 chord is the controlling harmony in this type of structure. In the Clarinet Sonata, for example, the 6/3 chord of the second key depends on the opening tonic. But in the Intermezzo, the tonicised mediant takes the more stable perfect

Ex. 24 Graph of Intermezzo in B \flat minor

1 14 18 22 23 38 48 52 61 73 82 83

5 4 3 2 1

6 5 6

A B A' V i

(First Group) Second Group Retrans. First Group Second Group) coda

consonance. It is almost as if the tonic 6/3 depends on the mediant. The reversal is enforced by the greater harmonic stability of the $D\flat$ area. Though both A and B sections consist of parallel periods, the $B\flat$ material avoids dominant preparation for its tonic 6/3 chords at bars 1 and 10. Indeed, the emphasis on the C– $G\flat$ tritone in the preparatory II^6 chords hints at the connection of I^6 to the mediant. By contrast, the antecedent and consequent of the B section (bars 23 and 31) not only both depart from a root position $D\flat$ tonic; they each also approach the harmony from a root position dominant. The authentic cadence that closes the middle section at bar 38 confirms the superior strength of the mediant.

Brahms follows the tonal imbalance of the A and B sections with an A' section that also shifts the weight of emphasis off the tonic. The result is that the type 2 motives participate in a delay of solid tonic articulation until the structural close (bar 83). Because the A' material has some of the characteristics of a recapitulation, it will be helpful to mix sonata form terminology into discussion of this process of delay. Annotations beneath the graph in Ex. 24 illustrate the correlation of ternary and sonata attributes.³⁷ Before we consider new elements of instability in the reprise, it is first important to observe the apparent tonic that enters at the beginning of the retransition (bar 39). Ex. 25 reproduces Cadwallader's analysis of the passage.³⁸ As his graph shows, the apparent $B\flat$ tonic results from a 5–6 motion above a prolongation of the B section's $D\flat$ bass. The foreground connection of $D\flat$ and $B\flat$ harmonies parallels the middleground progression across the A and B sections. The fact that Brahms hints at the tonic return with a type 1 chord supports the idea that the original modulation resembles a 6–5 motion.

If we return to Ex. 24, we see that the home dominant at bar 48 prepares the thematic return. Brahms nevertheless undercuts tonic rearticulation through an ingenious blend of restatement and recomposition. He replaces the $I^{6/3}$ point of departure of the A section with a $V^{6/5}/IV$ chord (bar 52). The result is that the thematic reprise prolongs the retransitional dominant up to the half-cadential V toward the end of the antecedent (bar 57). This is why Ex. 24 locates a tonic rearticulation only at bar 61. The character of the recomposed consequent extends the tonal instability of this formal overlap. The phrase does not provide a structural afterbeat to confirm the tonal return. Rather it immediately merges into a structural anacrusis that prepares the climactic dominant at bar 69. Otherwise, there are no other structural tonics in the A' section. The recapitulation of the B section/second group (bar 73) sustains the dominant emphasis, as illustrated in Ex. 24. Brahms's strategy for the return of the material centres around dual purposes. One function is to bring the second theme into closer relation to the tonic key through transposition to $B\flat$. Yet Brahms counterbalances this element of reconciliation by refusing to relent to a root position tonic chord until the last possible

Ex. 25 After Cadwallader, 'Schenker's Unpublished Graphic Analysis', Exs. 4b and 4c

The image displays two musical staves, labeled Ex. 4b and Ex. 4c, illustrating Schenkerian analysis of a Brahms passage. Both staves are in B-flat major and show a progression from bar 38 to bar 48. The top staff (Ex. 4b) includes a 'sixth-progression' bracketed under the bass line, with annotations for 'III:', 'V/V', and 'V'. The bottom staff (Ex. 4c) shows a simplified version with annotations for 'register', 'simplification', and '(c7)'. Both staves feature various structural annotations such as 'III:', 'V/V', and 'V'.

moment. He places the restatement over an F pedal and reinterprets the material as part of a prolongation of the closing structural dominant.

If we take a step back and consider the Intermezzo as a whole, we see that Brahms has yet to provide a solid tonic articulation. The type 2 motives participate in a tonal delay that stretches across the entire piece. We also see that similarities of type 1 and type 2 usage can penetrate into the deepest structural levels. To summarise: the tonic is weakly articulated in the A section as a result of the 6/3 position and absence of direct dominant preparation; the B section heightens the instability by making the opening tonic prolongation seem like an inflection of an enormous mediant *Stufe*; finally, the recapitulation blurs the tonic return in favour of motion toward the dominant. The emphasis on the mediant and the dominant contributes to the powerful impact of the closing tonic at bar 83 – the only structural B \flat 5/3 chord in the piece. Beyond what these observations might contribute to an appreciation of the Intermezzo, they sustain an overarching theme: that Brahms's motivic 6/3 chords require an interpretation to reach beyond Schenkerian paradigms. Just as a type 1 chord can be more than a by-product of contrapuntal activity, a type 2 chord can be less than unequivocal in articulative strength, even when it is the sole representative of the tonic throughout the body of a movement.

Conclusion

I began this study by drawing a sharp distinction between type 1 and type 2 6/3 chords. Part of the interest in the topic, however, lies precisely in relationships that transcend these analytical categories. It is without question a sign of progress that we have moved beyond the days when chords of both types could be lumped together indiscriminately as examples of first inversion triads. Brahms's motivic invention nevertheless contradicts the assumption that these two subcategories are mutually exclusive. How then should we deal with the apparent illogic of a 6/3 chord that can be both the result of a 5–6 motion and an inversion with the third in the bass? First we can categorise our analytical descriptions as either primary or secondary hearings. The 6/3 chords in the first group of pieces that I dealt with are primarily type 1 motives with secondary type 2 characteristics; for the second group, it is just the reverse. We can also accommodate seemingly contradictory analytical statements by focusing on multiple listening perspectives. That is to say, the contradictions evaporate when it is clear that we are dealing with perceptions that arise at different temporal locations in a piece.³⁹ Yet another alternative is to focus on rehearings of the same event, with different theoretical models functioning as the primary heuristic framework for each encounter. In any case, it is clear that to evaluate a motivic 6/3 chord from only one perspective – be it the local vertical slices of traditional harmonic analysis or the synoptic perspective of a Schenker graph – would be to turn our back on the very dynamism for which Brahms is rightly celebrated.

NOTES

1. Joseph Dubiel explores the function of a type 1 chord to postpone the appearance of a stable tonic in 'Contradictory Criteria in a Work of Brahms', in David Brodbeck (ed.), *Brahms Studies*, vol. 1 (Lincoln: University of Nebraska Press, 1994), pp. 81–110. The work he analyses, the D minor Piano Concerto, Op. 15, begins with perhaps the most famous example of a type 1 chord in Brahms's oeuvre.
2. Throughout this study, when I identify a chord by pitch-class label I will use the bass pitch, not the chord root. For example, I will refer to the Quintet scherzo's type 1 motive as a C 6/3 chord and the Intermezzo's type 2 motive as a D \flat 6/3 chord. When I do wish to refer to harmonic function I will do so *via* Roman numerals. This will help avoid confusion in cases like the scherzo, where triadic structure and harmonic function diverge.
3. Similar usages of the type 1 motive occur in the retransition of bars 124–45, first as embellishment to V/III and then as part of the return to the home dominant. The final C 6/3 chord of the retransition (bars 144–5) is an exception to the tendency for the material to appear as part of dominant prolongation: the arpeggiation leads to an expanded tonic in bars 146–50. The twice-stated circle-

of-fifths sequence that follows confirms the shift to tonic prolongation. Yet even in the context of this tonic expansion, it is still possible to hear a similarity with earlier dominant contexts. The final C 6/3 chord of bar 144 prevents direct resolution of the retransitional dominant. Moreover, the sequence delays the arrival of the closing structural tonic until the coda: the tonic that enters at bar 146 functions as an anticipation of the decisive resolution at bar 158.

4. My emphasis on temporality and multivalence is inspired by Edward T. Cone's and David Lewin's critiques of the tendency for music theorists to regard as definitive analytical statements that are rendered from a synoptic perspective. (See Cone, 'Three Ways of Reading a Detective Story – Or a Brahms Intermezzo', in *Music: A View from Delft*, ed. Robert P. Morgan (Chicago: The University of Chicago Press, 1989), pp. 77–93; and Lewin, 'Music Theory, Phenomenology, and Modes of Perception', *Music Perception*, 3 (1986), pp. 327–92.) I apply the analytical methodology that Lewin develops to counter this tendency in my 'Structural Tonic or Apparent Tonic?: Parametric Conflict, Temporal Perspective, and a Continuum of Articulative Possibilities', *Journal of Music Theory*, 39 (1995), pp. 245–83.
5. Another good example of a type 1 chord that is prepared by the closing cadence of the previous movement is the head motive of the finale of the B major Trio, Op. 8 (revised version). The movement begins directly on its type 1 motive with G in the top voice. One way to interpret the departure from G is as part of a 5–6 motion in which the fifth has been elided. Another is to hear the 5–6 motion initiated by the closing B tonic of the slow movement, with its prominent F♯ in the top voice.
6. This interpretation of the main theme and its recapitulation summarises the more detailed analysis I present in 'Structural Tonic or Apparent Tonic?', pp. 270–72.
7. Edward Aldwell and Carl Schachter discuss the 5–6 technique as an agent of modulation in *Harmony and Voice Leading*, 2nd edn (San Diego: Harcourt Brace Jovanovich, 1989), pp. 200–202.
8. John Rothgeb, for example, asserts that 'Only one triad controls the first two bars of the quintet, namely the F minor tonic triad; the D♭ is an upper neighbor to the tonic's fifth – regardless of the extent to which the notation presents the visual image of a D♭ triad' (review of Walter Frisch, *Brahms and the Principle of Developing Variation* (Berkeley: University of California Press, 1984), in *Music Theory Spectrum*, 9 (1987), p. 211, n. 8).
9. Preparation by the 6/4 chord in the first ending also lends support to an interpretation of bars 1–4 as a 6/4 to 5/3 motion within the dominant.
10. The ability to hear both the F–G♯–A♭ fragment and the 6/4 chord within a continuation of D♭ is supported by bars 78–80 of the D♭ key area. The passage articulates these two references to the main theme within a clear expansion of a D♭ tonic. Other statements of G♯ in the D♭ context occur in the VII^{6/5}/V chords at bars 86 and 88. Roger Graybill discusses these aspects of continuity between the D♭ area and the exposition repeat in 'Brahms's Three-Key Expositions: Their Place within the Classical Tradition' (PhD diss., Yale

University, 1983), pp. 350–53.

11. The finale does include prominent statements of a motivic 6/3 chord just prior to the arrival of the second theme group (bars 91–2). The addition of F \sharp to the sonority is similar to the $\sharp\text{IV}^7/b^3$ transformation in bar 43 of the scherzo. Here too the motive functions as part of a dominant prolongation, in this case V/C. In the recapitulation, the same material appears at the tonic level (bars 249–50).
12. My approach to the movement is similar to the sensitive and somewhat more detailed analysis presented by Margaret Notley in 'Brahms's Chamber-Music Summer of 1886: A Study of Opera 99, 100, 101, and 108' (PhD diss., Yale University, 1992), pp. 82–107. Carl Schachter's brief comments on the piece are also consonant with the main thrust of my argument ('Analysis by Key: Another Look at Modulation', *Music Analysis*, 6 (1987), pp. 294–5).
13. The harmonisation of the return of the opening material in bars 19–24 confirms the association with the D \flat area. The motivic 6/3 chord at the outset of this passage makes the connection especially strong. Roger Graybill discusses aspects of the tonic area that anticipate the modulation to D \flat in 'Brahms's Integration of Traditional and Progressive Tendencies: A Look at Three Sonata Expositions', *Journal of Musicological Research*, 8 (1988), pp. 143–7. For a detailed look at the entire movement, see my 'Brahms and the Neapolitan Complex: $\flat\text{II}$, $\flat\text{VI}$, and Their Multiple Functions in the First Movement of the F minor Clarinet Sonata', in David Brodbeck (ed.), *Brahms Studies*, vol. 2 (Lincoln: University of Nebraska Press, forthcoming).
14. James Webster discusses this unusual retransition in 'The General and the Particular in Brahms's Later Sonata Forms', in George S. Bozarth (ed.), *Brahms Studies: Analytical and Historical Perspectives* (Oxford: Oxford University Press, 1990), pp. 69–72. See also the discussion in my 'Brahms and the Neapolitan Complex'.
15. A foreground example of the $\flat\text{II}/\text{V}$ function for a motivic 6/3 chord can be found in the finale of the B major Trio, Op. 8 (revised version). In bars 30–33, a twice-repeated $\text{V}^{4/2}/\text{VI}$ chord embellishes the type 1 motive. Brahms then reinterprets the (weakly) tonicised VI^6 as $\flat\text{II}^6$ in the F \sharp cadential progression of bars 33–7.
16. Christopher Wintle, 'The "Sceptred Pall": Brahms's Progressive Harmony', in Michael Musgrave (ed.), *Brahms 2: Biographical, Documentary and Analytical Studies* (Cambridge: Cambridge University Press, 1987), pp. 197–222.
17. See Wintle, 'The "Sceptred Pall"'. Two other studies that highlight the special role of the submediant in Brahms's Neapolitan practice are James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', *Nineteenth-Century Music*, 2 (1978), pp. 18–35, and 3 (1979), pp. 52–71; and Margaret Notley, 'Brahms's Cello Sonata in F Major and Its Genesis: A Study in Half-Step Relations', in Brodbeck (ed.), *Brahms Studies*, vol. 1, pp. 139–60.
18. Allen Forte traces occurrences of the C 6/3 motive, as well as other characteristic thematic ideas, across the first movement of Op. 51 No. 1, in 'Motivic Design and Structural Levels in the First Movement of Brahms's String Quartet in C Minor',

in Musgrave (ed.), *Brahms 2*, pp. 165–96.

19. There is also a strong similarity between the C–E \flat –A \flat cello line here and at the recapitulation of the first movement (bars 133–7). Forte notes this connection in ‘Motivic Design and Structural Levels’, p. 196.
20. I discuss this movement in the context of other Brahms recapitulations that delay tonic rearticulation until the structural close in ‘Brahms and Schenker: A Mutual Response to Sonata Form’, *Music Theory Spectrum*, 16 (1994), pp. 77–103.
21. For discussion of cyclic unity in the Quartet, see Donald F. Tovey, ‘Brahms’s Chamber Music’, in *Essays and Lectures on Music* (London: Oxford University Press, 1949), pp. 251–2; William G. Hill, ‘Brahms’s Op. 51: A Diptych’, *Music Review*, 13 (1952), pp. 110–24; Rainer Wilke, *Brahms, Reger, Schönberg Streichquartette: Motivisch-thematische Prozesse und formale Gestalt* (Hamburg: Wagner, 1980), pp. 62–84; Frisch, *Brahms and the Principle of Developing Variation*, pp. 109–116; Musgrave, *The Music of Brahms* (London: Routledge and Kegan Paul, 1985), pp. 111–16.
22. Tovey notes the continuity in ‘Brahms’s Chamber Music’, p. 252.
23. The movement is an example of one of Brahms’s favourite *Mischformen*, a special type of sonata-rondo hybrid that he likely learned from his studies of Mozart. Robert Pascall labels this type of movement a sonata form with conflated response (‘Some Special Uses of Sonata Form by Brahms’, *Soundings*, 4 (1974), pp. 58–63). On the relationship between Brahms’s and Mozart’s formal strategies, see John Daverio, ‘From “Concertante Rondo” to “Lyric Sonata”: A Commentary on Brahms’s Reception of Mozart’, in Brodbeck (ed.), *Brahms Studies*, vol. 1, pp. 111–38. Daverio interprets Brahms’s formal hybrids from the perspective of the æsthetic theories of Friedrich Schlegel in *Nineteenth-Century Music and the German Romantic Ideology* (New York: Schirmer, 1993), pp. 127–54. The formal analysis of the finale I present here is similar to Arnold Whittall’s interpretation in ‘Two of a Kind?: Brahms’s Op. 51 Finales’, in Musgrave (ed.), *Brahms 2*, pp. 150–57.
24. The Romanze also emphasises A \sharp minor and Neapolitan relationships. Note, in bars 37–42, the tonicisation of A \sharp and the return to A \flat via the V 7 /German sixth reinterpretation.
25. The dominant prolongation of the second key area is another feature that the finale shares with the first movement. I explore the tendency for Brahms to use this kind of second group as part of a delay of tonic return until the structural close in ‘Brahms and Schenker’, pp. 95–103.
26. The parallelism with the chord above C in bar 227 strengthens the motivic connection.
27. Edward Aldwell and Carl Schachter develop the category of double mixture in *Harmony and Voice Leading*, pp. 503–8. The term refers to the adjustment in quality of a chord that is borrowed from the parallel mode. Thus the major \flat VI chord that is borrowed from B \flat minor becomes a minor \flat VI chord.

28. In this regard, it is interesting to note that the E \flat minor Adagio mesto absorbs G \flat into the tonic chord itself. \flat_3 receives special emphasis as bass for the opening tonic 6/3 chord. The movement, like the first, also makes its first modulation to G \flat major (bar 10). A closer look at the Adagio is unfortunately beyond the scope of this study.
29. Cone, *Musical Form and Musical Performance* (New York: Norton, 1968), p. 77.
30. The A section is another example of the sonata-rondo hybrid that we saw in the finale of the C minor String Quartet. Neither Daverio nor Pascall include the A section in their lists of Brahms's sonata-rondo *Mischformen*. They most likely omit it because it is part of a larger ternary form and not an independent movement in its own right. It nevertheless exhibits all of the characteristics that Daverio and Pascall associate with this special sonata-form variant. In addition to type 1 motives and sonata-form procedures, the A section and the finale also share a 'hunt-like' character and similar techniques of metric-rhythmic organisation. Both movements are strongly hypermetric and the larger rhythmic groupings make the scherzo's 3/4 metre sound not unlike the 6/8 of the finale.
31. In the Quintet, this occurs almost immediately with the emphasis on $\hat{1}$ in the fugue subject (Ex. 23b); a more emphatic tonic arrives at the homophonic climax toward the end of the first group (bar 23). The Overture's motto is part of a delay that pushes the arrival of a tonic 5/3 ahead to bar 21.
32. Among Brahms's works, the first movement of the Third Symphony is another example of a major-mode exposition with a I–III \sharp key scheme. Perhaps the most famous example is the first movement of the *Waldstein* Sonata.
33. With respect to the similarity of type 1 and type 2 usage, it is interesting to note that the A major tonic and the main theme's 6/3 chord reverse the progression in the Horn Trio from the B \flat tonicised dominant to its type 1 offshoot. Both progressions involve major triads whose roots are separated by a major third.
34. The return of the main theme is part of a conflation of recapitulatory and developmental functions in the second part of the form. The general formal strategy is similar to the finale of the C minor String Quartet and the scherzo of the Horn Trio: the first part of the main theme returns in the tonic following the exposition (bars 185–209); the partial restatement is followed by a passage that doubles as recapitulation and development of the remaining material of the first group and transition (bars 209–99); the recomposed transition prepares the return of the second theme at the tonic level for the resumption of the recapitulation proper (bar 300). For an interesting discussion of these formal relationships, see James Webster, 'Brahms's *Tragic Overture*: The Form of Tragedy', in Robert Pascall (ed.), *Brahms: Biographical, Documentary and Analytical Studies* (Cambridge: Cambridge University Press, 1983), pp. 99–124.
35. Like the movement in the Violin Sonata, the last refrain of the A section also begins in the key of the B section. For a detailed analysis of the movement, see Kevin Korsyn, 'Directional Tonality and Intertextuality: Brahms's Quintet Op. 88 and Chopin's Ballade Op. 38', in William Kinderman and Harald Krebs (eds.), *The Second Practice of Nineteenth-Century Tonality* (Lincoln: University of Nebraska

Press, 1996), pp. 45–83.

36. Allen Cadwallader, 'Schenker's Unpublished Graphic Analysis of Brahms's Intermezzo Op. 117, No. 2: Tonal Structure and Concealed Motivic Repetition', *Music Theory Spectrum*, 6 (1984), pp. 1–13. The first part of my Ex. 24 is very similar to Cadwallader's Figure 4 (p. 7).
37. For an analysis that views the Intermezzo as a sonata form, see Elmar Budde, 'Johannes Brahms' Intermezzo Op. 117, Nr. 2', in Werner Breig, Reinhold Brinkmann and Elmar Budde (eds.), *Analysen: Beiträge zu einer Problemgeschichte des Komponieren* (Stuttgart: Franz Steiner, 1984), pp. 326–7. My view is closer to Ann Besser Scott's suggestion that the piece is primarily a ternary design with some secondary sonata-form attributes ('Thematic Transmutation in the Music of Brahms: A Matter of Musical Alchemy', *Journal of Musicological Research*, 15 (1995), p. 204, n. 31).
38. Cadwallader, 'Schenker's Unpublished Graphic Analysis', Exs. 4b and 4c (p. 12).
39. For a thorough discussion of this point, see Lewin, 'Music Theory, Phenomenology, and Modes of Perception', *passim*.