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The *Wanderer Fantasy* integrates qualities derived from three different genres: fantasy, tone poem, and sonata, and thus demonstrates a fusion of compositional styles that culminates in a complex formal structure. This document examines the *Wanderer Fantasy* through the individual lens of each genre and suggests a broader view and approach to the sonata form, one that considers Schubert's distinctive musical language, as well as necessary structural adjustments influenced by the tropes of the fantasy genre. Such adaptations allow the projection of the two-dimensional sonata concept onto Schubert's *Wanderer Fantasy* and thus provide an additional avenue to comprehend the structure of the piece.

STRUCTURAL MODELS OF FRANZ SCHUBERT'S *WANDERER FANTASY*:  
FANTASY, SYMPHONIC POEM, AND TWO-DIMENSIONAL  
SONATA FORM

by

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Approved by

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Committee Chair

To my parents

APPROVAL PAGE

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## TABLE OF CONTENTS

	Page
LIST OF TABLES .....	vi
LIST OF FIGURES .....	vii
LIST OF MUSICAL EXAMPLES .....	viii
CHAPTER	
I. INTRODUCTION .....	1
II. FANTASY .....	3
Schubert and Fantasy .....	8
III. SYMPHONIC POEM—“THE WANDERER’S JOURNEY” .....	15
The Inspiration of <i>Der Wanderer</i> , D 493.....	18
Harmonic Structure and the “Wanderer Journey” .....	21
IV. SONATA CYCLE AND SONATA FORM .....	31
Introduction.....	31
The <i>Wanderer Fantasy</i> and Sonata Genre .....	32
Sonata Cycle and Motivic Transformation .....	35
First Movement.....	38
Second Movement .....	40
Third Movement .....	40
Fourth Movement.....	44
The Hybrid of Two Dimensions .....	46
Two-dimensional Sonata Form and Schubert’s <i>Wanderer Fantasy</i> .....	50
V. CONCLUSION.....	65
BIBLIOGRAPHY.....	67
APPENDIX A. PERMISSION TO REPRINT EXCERPT .....	70

## LIST OF TABLES

	Page
Table 1. Schubert's Compositions Titled Fantasy .....	8

## LIST OF FIGURES

	Page
Figure 1. Schubert's <i>Wanderer Fantasy</i> , the Tonal Design .....	22
Figure 2. Four Movements of the <i>Wanderer Fantasy</i> with Key Areas .....	35
Figure 3. Analogies between Sonata Form and Exposition/Recapitulation .....	49
Figure 4. Moortele's Presentation of the Form of Liszt's Piano Sonata.....	49
Figure 5. Form of the First Movement .....	53
Figure 6. Two Dimensions in the Fantasy (mm. 1-188) – Local Sonata Form and Overreaching Sonata Form (Exposition) .....	55
Figure 7. The Essential Sonata Trajectory.....	62
Figure 8. Two Dimensions (Overreaching Sonata Form and Cycle) in Schubert's <i>Wanderer Fantasy</i> .....	63



## LIST OF MUSICAL EXAMPLES

	Page
Musical Example 1. <i>Grazer Fantasie</i> , D 605a, mm. 1-16.....	11
Musical Example 2. Reduced Forms of the Opening Theme in <i>Grazer Fantasie</i> , D 605a .....	11
Musical Example 3. <i>Der Wanderer</i> , 3 <sup>rd</sup> Verse, mm. 22-26 .....	20
Musical Example 4. <i>Der Wanderer</i> , Main Motivic Cell, m. 23 .....	20
Musical Example 5. <i>The Wanderer Fantasy</i> , 2 <sup>nd</sup> Movement, mm. 189-198.....	25
Musical Example 6. <i>Der Wanderer</i> , mm. 22-26.....	26
Musical Example 7. <i>Wanderer Fantasy</i> , 1 <sup>st</sup> Movement, mm. 1-3 .....	37
Musical Example 8. <i>Wanderer Fantasy</i> , mm. 1-3 .....	37
Musical Example 9. <i>Wanderer Fantasy</i> , 1 <sup>st</sup> Movement, mm. 45-50.....	39
Musical Example 10. <i>Wanderer Fantasy</i> , 1 <sup>st</sup> Movement, a Fragment of the Third Theme, mm. 112-114 .....	39
Musical Example 11. <i>Wanderer Fantasy</i> , 3 <sup>rd</sup> Movement, mm. 245-251.....	41
Musical Example 12. <i>Wanderer Fantasy</i> , 3 <sup>rd</sup> Movement, mm. 323-331.....	41
Musical Example 13. <i>Wanderer Fantasy</i> , 1 <sup>st</sup> Movement, mm. 1-27 .....	42
Musical Example 14. <i>Wanderer Fantasy</i> , 3 <sup>rd</sup> Movement, mm. 245-286.....	43
Musical Example 15. <i>Wanderer Fantasy</i> , 3 <sup>rd</sup> Movement, “Trio Theme,” mm. 433-442.....	43
Musical Example 16. <i>Wanderer Fantasy</i> , mm. 583-597, Transition to the <i>Finale</i> .....	44
Musical Example 17. <i>Wanderer Fantasy</i> , 4 <sup>th</sup> Movement, the Subject (Theme), mm. 598-609.....	45

## CHAPTER I

### INTRODUCTION

The *Wanderer Fantasy* integrates qualities derived from three different genres: fantasy, tone poem, and sonata, and thus demonstrates a fusion of compositional styles that culminates in a complex formal structure. This document examines the *Wanderer Fantasy* through the individual lens of each genre and analyzes the *Fantasy* with a narrative model in a two-dimensional sonata form.

Schubert composed eight fantasies in his lifetime. Many of them resemble the structural plan of a sonata cycle, and yet embody several qualities of the Romantic fantasy. Chapter II introduces the fantasy genre and its historical development before a discussion of the ways this genre is intertwined with that of a sonata. More importantly, this chapter explores the qualities that are unique to Schubert's Fantasies (*Grazer Fantasy*, D 605a, the *Wanderer Fantasy* (1822), *Fantasy* for Violin and Piano (1827), and *Fantasy* in F minor (1828). These compositions introduce continuous cyclic forms unified by motivic transformation and imply extramusical associations with the poetry.

The *Wanderer Fantasy*, truly an episodic work, suggests a narrative model. A close affiliation with the poem and song *Der Wanderer*, D 493, invites a program of a 'wanderer journey' throughout. Chapter III explores the distinct connection with the song *Der Wanderer* and Schubert's autobiographical prose "My dream." The similarities of compositional techniques Schubert used in works that unequivocally deal with the

wanderer topic may suggest an approach to explore the narrative program in the *Wanderer Fantasy* through harmonic progressions, key scheme, and melodic contour, and thus suggests that the piece could be considered a forerunner of the symphonic poem genre.

The *Wanderer Fantasy* is perhaps the first piece composed in a cyclic form connected through a shared motive that consists of four episodes played without interruption. The complexity of its formal structure requires an adapted approach to formal analysis. Chapter IV of this dissertation is an attempt to accommodate a perception of a sonata genre and sonata form through Schubert's unique musical language in the *Wanderer Fantasy*. This chapter presents an analysis of four interrelated movements, with a focus on the technique of motivic transformation/thematic metamorphosis that underlines the entire composition. Such treatment is closely connected to the concept of the two-dimensional sonata form; a formal structure introduced by Steven Vande Moortele that may be applied to larger cyclic compositions. The two-dimensional sonata form refers to pieces where multiple movements of a sonata cycle are combined with one single-movement sonata form. The last section of Chapter IV proposes the two-dimensional sonata form of the *Wanderer Fantasy*.

## CHAPTER II

### FANTASY

According to *Grove Music Online*, Fantasy/Fantasia is “a term for an instrumental composition whose form and invention spring solely from the fantasy and skill of the author who created it (Luis de Milan, 1535-6).”<sup>1</sup> Further on, the definition states that “the fantasia tends to retain this subjective license, and its formal and stylistic characteristics may consequently vary widely from free, improvisatory types to strictly contrapuntal and more or less standard sectional forms.” The variety of styles and forms makes it an elusive genre to study.

The fantasy genre, like sonata, underwent formal and stylistic changes throughout history, but two common elements of freedom and improvisation, defined by Luis de Milan, were present through all time periods. These components were expressed in various ways, at times subtly adhering to formal rules of construction of the period, and other times allowing composers a complete formal freedom in their compositions. In the eighteenth century, composers often conveyed “freedom” by disregarding barlines, implementing great virtuosity in their compositions, and exploring more adventurous harmonic languages. Despite these novelties, in most cases fantasies of that era adapted a template of the already established forms, such as prelude, capriccio, invention, variation,

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<sup>1</sup> Christopher D.S. Field, E. Eugene Helm, and William Drabkin, “Fantasia,” *Grove Music Online*, <http://www.oxfordmusiconline.com/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000040048>. (accessed 14 Apr. 2019).

etc. Even though the *Wanderer Fantasy* is often cited as the first composition in cyclic form, a structural format commonly found in Romantic pieces, the traces of such treatment are to be found in compositions of the late eighteenth century: Mozart's *Fantasia* in C minor, K. 475, Beethoven's Op. 27 sonatas ("quasi una fantasia"), his late sonatas, and *Fantasy for Piano, Chorus and Orchestra* are good examples. Haydn, Mozart, and Beethoven have all dealt with the conflict between freedom and form and left a legacy that could not be ignored by the composers of the nineteenth century.<sup>2</sup>

The Romantic era aimed to portray new ways of expression. Such treatment required creative freedom within formal structures. Jesse Parker comments: "Formal modifications . . . having to do with the interplay between sonata, rondeau, fantasy, and variation technique, continue to dominate the fantasy literature of the first half of the 19<sup>th</sup> century."<sup>3</sup> A fantasy remained "a free style of composition, though hardly one that gave composers license to dismiss discipline or aesthetic purpose."<sup>4</sup> The older usages of the genre remained, but the Romantic Fantasy gained new dimensions and antiquated earlier meanings.

The fantasy genre has been, in one way or another, closely related to the sonata genre. In fact, the majority of the sources discussing the fantasy of the early nineteenth century see the formal structures of these compositions as a "negation of sonata form, one that is related to the semblance of improvisation and sometimes to an association with an

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<sup>2</sup> Jesse Parker, "The Clavier Fantasy from Mozart to Liszt: A Study in Style and Content" (PhD diss., Stanford University, Stanford, 1974), 46, ProQuest Dissertations & Theses Global. Parker.

<sup>3</sup> Parker, 62.

<sup>4</sup> John Bell Young, *A Survey of His Symphonic, Piano, and Chamber Music. Unlocking the Masters Series, No. 19* (New York: Amadeus Press, 2009), 72.

extramusical idea.”<sup>5</sup> In her dissertation, Catherine Coppola explores writings by Gustave Schilling and Hermann Mendel, as well as Carl Czerny, A. B. Marx, Johann Christian Lobe, Hugo Riemann, and Vincent d’Indy. Each of these authors contribute their view of the genre with different points of focus: freedom, improvisation, imagination, and the unpredictable mystery that enshrouds the plan of the work. Also present is a prevalence of motivic development, a connection of related passages in sectional works, and the use of recitative style, variation techniques, and cyclic organization.<sup>6</sup> The central idea of Coppola’s research was to remove the genre from the most common conception of comparing fantasy with the established forms (most often sonata form) and create a unique criterion to understand the genre. Regarding Schubert’s Fantasies, she states,

Like those of Beethoven, Schubert’s contributions to the genre resist easy accommodation by a presumed drive toward conventional form. The creation of the double function sonata in the *Fantasie in C Major* (the ‘Wanderer’) has prompted overgeneralization: critics tend to ignore the crucial role of the fantasy genre in all three of Schubert’s large-scale fantasies, while at the same time supporting an overidentification with sonata techniques.<sup>7</sup>

Fantasy had played a significant role in the aesthetics of music throughout history and may be considered independently from the sonata genre. John Bell Young compares the two forms: “If a piano sonata or symphony was expected to convey meaning on its own, strictly compositional terms, thus satisfying its own concept as an object of aesthetic contemplation, the fantasy had no such obligation, at least in the public’s eye.”<sup>8</sup>

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<sup>5</sup> Catherine Coppola, “Form and Fantasy: 1870-1920” (PhD diss., City University of New York, New York, 1998), 170, ProQuest Dissertations & Theses Global.

<sup>6</sup> Ibid.

<sup>7</sup> Ibid., 72.

<sup>8</sup> Young, 72.

Fantasy had been seen and understood as a progressive genre, where composers were able to “flex” their imagination.

Besides structural deviations, a richer harmonic language, abrupt meter and tempo changes, and display of the various contrasting characters within the sections demanded an advancement of piano technique. Virtuosity became a prominent feature of the genre. The *Wanderer Fantasy* displays “a highly charged brand of virtuosity” and stands out among Schubert’s piano pieces, since most of his piano works neither include as many virtuosic passages (octaves, arpeggios) nor use the entire range of the piano.<sup>9</sup>

Along such progressive ideas, “the greater prominence of poetic values as generating elements in the late eighteenth and early nineteenth century music affected both the structure and content of the keyboard fantasy.”<sup>10</sup> According to Marshall Brown, the fantasy genre gained new extensions in the Romantic era,

when Berlioz began its association with reverie that Schumann then consolidated, beginning with his *Fantasiestücke*, op. 12, which were inspired by E. T. A. Hoffmann’s collection of stories, the “*Fantasiestücke in Callots Manier*,” themselves inspired by a graphic artist . . .<sup>11</sup>

However, poetic values and other extramusical elements influenced Schubert’s works decades before Schumann’s composed *Fantasiestücke*, op. 12 (183). In Schubert’s

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<sup>9</sup> Elaine Brody, “Mirror of His Soul: Schubert’s Fantasy in C (D. 760),” *Piano Quarterly*, no. 104 (1978-9): 23.

<sup>10</sup> Parker, 45.

<sup>11</sup> Marshall Brown, *The Tooth That Nibbles at the Soul: Essays on Music and Poetry* (Seattle: University of Washington Press, 2010), 39, <https://ebookcentral.proquest.com/lib/uncg/detail.action?docID=3444569>.

*Wanderer Fantasy* “a particularly fortunate melody, invented for a song, provided the urge to instrumental expression.”<sup>12</sup>

A review of the *Wanderer Fantasy*, published in *Allgemeine Musicalische Zeitung* in April 1823, possibly written by the editor, offers a perspective on the fantasy genre as contemplated at that time.

A fantasy is a musical piece in which a composer may allow perfectly free deployment to the wings of his imagination, unite the most curious forms into the greatest possible unity, and thus present our minds with a picture capable of engaging our powers of emotion in the most interesting manner by means of vivacity of color, shape, and arrangement as well as variety organized into a satisfactory whole.

This is by no means to say that he may neglect all the laws of musical art and perhaps create for himself a norm of what is eternal, fixed and necessary in art—beauty. It means rather that he is left with far freer of restraint by the contrasts which differentiate various species of style, and that he is at liberty, indeed even enjoined, to unfold the spell of an individual and diversified world within the narrow frame of his picture.

A fantasy thus is a piece of music where an abundance of musical inventiveness is not subject to any such constraint of form and may, as it were, meander through the most delightful fields of musical art like a stream running in all directions and in any ramifications, freed of all obstruction.

Such pieces of music may for that reason be best suited to a faithful reception and reproduction of the feelings which inspired the composer at the time of its creation; nay, it may properly be regarded as a mirror of his soul. Seeing that a composer like Herr Schubert, who had already betrayed such profound sentiments in his generally esteemed songs, presents us with a soul-image of his kind, the musical world can only rejoice.<sup>13</sup>

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<sup>12</sup> Otto Erich Deutsch, “Schubert the Man” in *The Music of Schubert*, 1st ed., ed. Gerald Abraham (New York: W.W. Norton, 1947), 16.

<sup>13</sup> Deutsch, 277.



## Schubert and Fantasy

Schubert titled eight pieces *Fantasy* in his lifetime (Table 1). Many of them resemble the structural plan of a sonata cycle, yet embody several qualities of a Romantic fantasy. Robert Schumann shares that “titles and superscriptions are of little value,” and explains that “one who wrote as much as Schubert could not have been overly fussy about titles; and he may hastily have written ‘sonata’ over something that was already complete in his head as a symphony.”<sup>14</sup> We can assume that the same can be true for the fantasy genre. In order to attempt to fathom Schubert’s approach to the fantasy, one needs to look beyond the titles and identify shared stylistic and structural qualities that distinguish them from other genres. In my view, the cyclic treatment and extramusical associations are the qualities that define Schubert’s fantasies.

Table 1

### Schubert’s Compositions Titled Fantasy

Name	Composed	Published
Fantasy in G major (four hands), D 1	1810	1888
Fantasy in C minor (solo), D 2e (formerly D 993)	1811	-
Fantasy in G minor (four hands), D 9	1811	1888
Fantasy in C minor – <i>Grosse Sonate</i> (four hands), D 48	1813	1888
Fantasy in C major – <i>Grazer Fantasy</i> (solo), D 605a	1818?	1969
Fantasy in C major – <i>Wanderer Fantasy</i> (solo), D 760	1822	1823

<sup>14</sup> According to Robert Schumann, a “symphony” is a composition that differs from the “sonata” in a way of treating the piano. The latter is “expressive of the purest piano character,” while a “symphony” presents different instrumental timbres and imitates orchestra sounds and instruments. Robert Schumann, *The Musical World of Robert Schumann: A Selection from His Own Writings*, ed. Henry Pleasants (New York: St. Martin’s Press, 1965), 142.

Table 1

Cont.

Name	Composed	Published
Sonata in G major (solo), published as <i>Fantasy, Andante, Menuetto and Allegretto</i> D 894	1826	1827
Fantasy in C major (violin and piano), D 934	1827	1850
Fantasy in F minor (four hands), D 940 <sup>15</sup>	1828	1829

The *Fantasy* in G major, D 1 is Schubert's very first known composition.

Followed by the *Fantasy* in C minor, D 2e, and *Fantasy* in G minor, D 9, these pieces are Schubert's early attempts at writing and may be considered as "compositional studies." Nonetheless, they show Schubert's fascination with the genre, interest in exploring its formal boundaries, and varieties of expression. The *Fantasy* in C minor (*Grosse Sonata/Grande Sonate*) for piano four hands (1813) is the last among his "school days fantasies." According to the harsh opinion of Dallas Alfred Weekley, its length is unjustified, and its form abundantly non-cohesive.<sup>16</sup> It is overshadowed by another fantasy for piano duet. Rightfully so, the *Fantasy* in F minor (1828) received much greater praise and recognition.

*Grazer Fantasy*, D 605a, is one of the three complete fantasies for piano solo that survived (besides D 2e, D 760). It was only discovered in 1969 and resembles stylistic

<sup>15</sup> Originally titled Sonata for four hands.

<sup>16</sup> Dallas Alfred Weekley, "The One-Piano, Four-Hand compositions of Franz Schubert: An Historical and Interpretative Analysis" (PhD diss., Indiana University, 1968), 13, ProQuest Dissertations & Theses Global.

features of other works composed that year.<sup>17</sup> This piece is Schubert's first attempt at a cyclic form in a fantasy genre; thus, it mirrors the sectional layout of Mozart's *Fantasy* in C minor in its exchange of the free and tonally stable sections. In Parker's opinion, the formal structure is very logical, yet the piece is "highly personal in that it does not adhere to any prescribed form, and in that sense, it is a true fantasy as well." Eva Badura-Skoda comments on the complexity of the form:

what we have is a free rondo form in which parts of the main theme reappear 'in disguise' in different keys and rhythmic variations, separated by 'free' episodes . . . fragments of the main theme, however, appear throughout the work, a technique that fore-shadows the later *Wanderer Fantasy*.<sup>18</sup>

It seems that Schubert "tried out" a unifying technique of motivic transformation five years before the *Wanderer Fantasy*. According to Parker's analysis, the main theme (Musical Example 1) can be reduced in three ways, resulting in three simplified motives that construct the whole piece. The motifs (Musical Example 2) of double neighbor (b) and appoggiatura (c) strongly resemble the motives in the *Wanderer Fantasy* (Chapter IV, p. 36, motive y and y').<sup>19</sup> Schubert modified the motives and presented them in new, ornamental, and harmonic identities throughout.<sup>20</sup> One could conclude that the *Grazer Fantasy* served as a forerunner for the *Wanderer Fantasy*.

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<sup>17</sup> Eva Badura-Skoda, "The Piano Works of Schubert," in *Nineteenth-Century Piano Music*. 2nd ed., Routledge Studies in Musical Genres, ed. Larry R. Todd (New York: Routledge, 2004), 137.

<sup>18</sup> *Ibid.*, 137.

<sup>19</sup> Parker, 59.

<sup>20</sup> For detailed analysis of the motivic transformation in *Grazer Fantasy* see Parker, pp. 56-64.

Moderato con espressione 1818 (?)

“Fantasie in C “Grazer Fantasie” D 605 A”

From: Franz Schubert: Werke für Klavier zu zwei Händen • Band 4 • Klavierstücke I • Neue Ausgabe sämtlicher Werke VII/2/4 • Herausgegeben von David Goldberger • BA 5525, pp. 83-97

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Musical Example 1. *Grazer Fantasie*, D 605a, mm. 1-16.<sup>21</sup>

Musical Example 2. Reduced Forms of the Opening Theme in *Grazer Fantasie*, D 605a.<sup>22</sup>

<sup>21</sup> Franz Schubert, “Fantasy in C, D 605a,” in *Neue Schubert-Ausgabe*, Serie VII, Werkgruppe 2, Band 4: *Werke für Klavier zu zwei Händen, Klavierstücke I* [NSA VII/2/4], ed. David Goldberger (Kassel: Bärenreiter-Verlag, 1988), 83-97. Reprinted with permission from the publisher (see Appendix A).

<sup>22</sup> Parker, 58.

The *Wanderer Fantasy*, D 894, was composed in 1822 and has since appeared as one of the most important piano solo works of Franz Schubert. Its innovative form served as a springboard for two compositions that followed in 1827 and 1828, *Fantasy for Violin and Piano*, D 934 and *Fantasy in F Minor for piano four hands*, D 940.

The *Sonata* in G Major was published in 1827 under the name *Fantasy* because of the publisher's (Tobias Haslinger) reluctance to accept Schubert's idea of a sonata.<sup>23</sup> However, the structure comes closer to following the sonata format and is, according to Robert Schumann, "perfect in form and conception."<sup>24</sup> Perhaps due in part to the contemplative mood of the piece inspired Schubert to title the first movement a *Fantasy*. One can notice a motivic similarity between the *Sonata* and the *Wanderer Fantasy*. In both compositions Schubert used a repeated note motive.

Schubert's *Fantasy for Violin and Piano in C major*, D 934 consists of seven episodes played without interruption. The sections are intertwined with motivic transformations. The feature that stands out the most in relation to the *Wanderer Fantasy* appears in the third episode. This theme and three virtuosic variations are based on Schubert's song *Sei mir Gegruesst*. He used the same approach in the second movement of the *Wanderer Fantasy*, where the theme (and its variations) is borrowed from the song *Der Wanderer*, D 489. The song used in the *Fantasy for Violin and Piano* influences the

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<sup>23</sup> Eva Badura Skoda, 128.

<sup>24</sup> Robert Schumann, *Music and Musicians. Essays and Criticism*, 5th ed., trans. and ed. Fanny Raymond Ritter (New York: Edward Schuberth & Co., 1891), 253.

entire piece by playing a decisive role through its refrain-like progression and in the *Fantasy*'s overall tonal organization.<sup>25</sup>

The *Fantasy* in F minor, D 940 shares a great reputation with the *Wanderer Fantasy* and is regarded as the most important work of Schubert's four-hand repertoire. The manuscript is titled a "*Sonata* for four hands."<sup>26</sup> The structural similarities between both fantasies are indisputable. The *F minor Fantasy* is also comprised of four sections, performed without interruption. The sequence of these sections (movements) is essentially the same, Allegro – slow movement – Scherzo – Allegro with fugue. The first movement begins in F minor and modulates to F sharp minor before the second movement begins in that same key. A similar process happens in the *Wanderer Fantasy*, where the main theme comes back in D flat (enharmonic to C sharp) and transitions into the second movement that begins in the same key. The second movement of the *F Minor Fantasy* alters between the parallel minor and major, while the *Wanderer Fantasy* moves between C sharp minor and its relative major.<sup>27</sup> Both third movements are in ABA form (Scherzo – Trio – Scherzo). In the fourth movement of the *F minor Fantasy*, the main theme of the first movement is repeated in F minor and again in F major before the fugue (based on a second theme) begins. In the *Wanderer Fantasy*, the fugue is based on the primary theme (see Chapter IV) and starts the movement.

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<sup>25</sup> Charles Fisk, *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (California Studies in 19th Century Music, 11. Berkeley: University of California Press, 2001), 61.

<sup>26</sup> Schumann in *The Musical World of Robert Schumann*, 142.

<sup>27</sup> Faith A. Wenger, "Performing the early nineteenth century four-hand piano duet" (Master's Thesis, California State University, Fresno, 1992), 39, ProQuest Dissertations & Theses Global.

Schubert's three most prominent Fantasies (the *Wanderer Fantasy*, *Fantasy for Violin and Piano*, and *Fantasy in F minor*) are implying, if not fully portraying, the true Romantic Fantasy. In these pieces Schubert used continuous cyclic forms, unified by motivic transformation, and implied extramusical associations with the poetry. Such novelties were adapted by Schubert's contemporaries who are often, unrightfully so, fully accredited for it.

In my view, an extramusical association sets a fantasy apart from a sonata in Schubert's oeuvre. The next chapter will discuss possible programmatic applications in the *Wanderer Fantasy*.

### CHAPTER III

#### SYMPHONIC POEM—“THE WANDERER’S JOURNEY”

. . . a piece of music unique in Schubert’s output for piano, since it bears the characteristics of several types of composition and might with reason be assigned either to the category of sonatas or to the group of variations; whereas perhaps its truest designation is that of symphonic poem.<sup>28</sup>

Between 1819 and 1822, Schubert dedicated his time mostly to songs and dramatic works and composed *Die Zauberharfe*, D 644 (stage work in three acts with two overtures, the first known as the “Rosamunde overture”), the opera *Sakuntala* (existing only in fragments of all three acts), the *Overture* for piano duet, D 668, and the opera *Alfonso and Estrella*, D 732. Schubert was indeed trying to compose the next great German Romantic opera, yet he felt inclined toward “music that tells a story.” In February of 1822, only six months before the *Wanderer Fantasy*, Schubert arranged the overture of his opera *Alfonso and Estrella* for piano solo, D 759A, which highlights the composer’s interest in programmatic music.

The overture has played a significant role in the development of the symphonic poem. The origin of the genre can be traced back to Beethoven’s *Leonore Overtures*. Much of the third *Leonore* follows the “old structure of an eighteenth-century overture” (very similar to what we call a sonata form) but lacks a recapitulation. Richard Wagner commented on the composition and implied that the program may have dictated the form

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<sup>28</sup> Kathleen Dale, “The Piano Music,” in *The Music of Schubert*, ed. Gerald Abraham (New York: W.W. Norton, 1947), 122.



of the piece. In his words, the piece “is no longer an overture, it is the most grandiose drama in itself; far from giving merely a musical introduction to the drama, the overture tells the story more completely and more stirringly than the ensuing broken theatrical action.”<sup>29</sup> The influence of Beethoven’s ideas is further seen in Weber’s overtures, which present the essence of the drama in a sonata form and employ various colors and instrumental combinations to relate extra-musical ideas to their musical sonorities.<sup>30</sup>

The Romantic overture departed from an introductory-type composition and became an independent instrumental programmatic work, commonly performed in a concert setting.<sup>31</sup> The form remained equivalent to the first movement of a symphony (sonata form) and maintained the narrative component. Concert overtures were usually presented with a literary theme (Mendelssohn’s *Midsummer Night’s Dream*, first written for piano duet (1826) and Berlioz’s *King Lear* (1831), for example). The symphonic poem, with fewer formal restrictions, evolved from the concert overture and gained popularity in the next few decades.

The classification of the symphonic poem genre is attributed to Franz Liszt. He used the term for the first time in 1854 at the premiere of *Tasso* and set the path for the development of the genre for his contemporaries. Today, the term refers to a symphonic

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<sup>29</sup> Elliot Antonkletz, “Backgrounds and Early Development (through Liszt) of the Symphonic Poem,” *International Journal of Musicology*, vol. 3 (2017): 57.

<sup>30</sup> *Ibid.*, 57.

<sup>31</sup> The main difference between dramatic and concert overture lies in their form. Dramatic overture maintained a stricter form, resembling sonata form (rounded binary, fast slow fast with minor changes throughout the history), while concert overture adapted freer form in order to accommodate programmatic aspects.

composition in which a poem or a program provides a narrative or illustrative basis.<sup>32</sup> Besides the extramusical content, the genre of symphonic poem (tone poem) also utilizes cyclic treatment, most often by way of motivic or thematic transformation. Several of Liszt's symphonic poems originated as dramatic or concert overtures.<sup>33</sup> The composer was fond of works of Franz Schubert and in 1851 transcribed Schubert's *Wanderer Fantasy* in C major, D 760 for piano and orchestra. The *Wanderer Fantasy* is the most often cited influence on the formal organization of Liszt's *Sonata in B minor*; thus, it is perhaps fair to say that its innovative structure (cyclic form) inspired Liszt's tone poems as well. Interestingly, the poetic narrative present in the *Wanderer Fantasy* seemed to be less of a fascination to Liszt. Only a few of his tone poems are affiliated with poetry. According to Marshall Brown, Liszt was indeed inspired by the form of the *Wanderer Fantasy*, but not with the narrative correlation between the poem and the *Fantasy*. In his words:

To the extent that it suggests a narrative model, Liszt's genre label is misleading. Formally, Liszt's symphonic poems and successors' works by the likes of Franck, Saint-Saëns, and Dvořák are episodic, their true models being not poems but certain musical predecessors, notably Schubert's *Wanderer Fantasy* and some of Beethoven's more picturesque and episodic works such as "Les Adieux" and the late string quartets.<sup>34</sup>

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<sup>32</sup> Hugh Macdonald, "Symphonic poem." *Grove Music Online*. 2001; Accessed 28 Dec. 2019. <https://www-oxfordmusiconline-com.libproxy.uncg.edu/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000027250>.

<sup>33</sup> Tone poem—the English equivalent of the German 'Tondichtung.' By implication, if not in actual fact, a tone poem is less dependent on symphonic procedures than a symphonic poem, but the distinction has never been strictly applied. "Tone poem." *Grove Music Online*. 2001. Oxford University Press. Date of access 28 Dec. 2019, [www-oxfordmusiconline-com](http://www-oxfordmusiconline-com).

<sup>34</sup> Marshall Brown, 47.

In my view, the *Wanderer Fantasy*, indeed an episodic work, suggests a narrative model and could be classified as a predecessor of a tone poem. There is no immediate correlation between the “wanderer topic” and the *Fantasy*, with the exception of the explicit quote from the song *Der Wanderer*, D 493 in the second movement. This close affiliation with the poem and song invites a program of a “wanderer journey” throughout. The question one might ask is: Do the words of the poem provide a program for the entire *Fantasy*? If so, how are they expressed? The distinct connection with the song *Der Wanderer* and the similarities of compositional techniques Schubert used in works that unequivocally deal with the “wanderer topic” may suggest an approach to explore the narrative program in the *Wanderer Fantasy*.

### **The Inspiration of *Der Wanderer*, D 493**

The *Wanderer Fantasy*, composed in November of 1822, marked the composer’s return to larger instrumental works.<sup>35</sup> Since the “Trout” Quintet and the Piano Sonata in A major, D 664, composed in 1819, Schubert had not completed a large-scale instrumental composition. He set the poem *Der Wanderer* by Georg Phillip Schmidt von Lübeck to music in 1816 and six years later, the *Lied* inspired him again.

In the poem, the main protagonist, “the wanderer,” is condemned to being forever lost. While roaming the beautiful land, his happiness continues to elude him.<sup>36</sup> Following is the English translation of the poem *Der Wanderer* as it appears in Schubert’s *Lied*.

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<sup>35</sup> Fisk, 61.

<sup>36</sup> *Ibid.*, 74.

I come from the mountains;  
 the valley steams, the ocean roars.  
 I wander, silent and joyless,  
 and my sighs forever ask: Where?

Here the sun seems so cold,  
 the blossom faded, life old,  
 and men's words mere hollow noise;  
 I am a stranger everywhere.

Where are you, my beloved land?  
 Sought, dreamt of, yet never known!  
 The land so green with hope,  
 the land where my roses bloom,

Where my friends walk,  
 where my dead ones rise again,  
 the land that speaks my tongue,  
 O land, where are you?

I wander, silent and joyless,  
 and my sighs forever ask: Where?  
 In a ghostly whisper the answer comes:  
 'There, where you are not, is happiness!'<sup>37</sup>

In Young's opinion, the *Wanderer Fantasy* portrays "in wordless piano music, his [Schubert's] existential disposition, sense of isolation, and ultimate loneliness, as he brought to bear something more: a point of view that a seasoned music interpreter will strive to read between the lines, or between the notes, as it were."<sup>38</sup> As shown in Musical Example 3, Schubert borrowed the third verse of *Der Wanderer*, D 493 to create a theme for the second movement of the *Fantasy*. However, the main motivic cell (Musical Example 4) taken from the *Lied* appears in all four movements of the piece, and thus

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<sup>37</sup> "Georg Lübeck: *Der Wanderer*, translated by Richard Wigmore," accessed December 15, 2019, <https://www.oxfordlieder.co.uk/song/1542>

<sup>38</sup> Young, 73.

contributes for the unity of the composition. The *Wanderer Fantasy* is the first piece where the relationships are so explicit.<sup>39</sup>

Son - ne dünkt mich hier so — kalt, die Blü - - te welk, das Le - ben alt, und  
was sie re - den, lee - rer Schall, ich bin ein Fremd-ling ü - ber-all.

Musical Example 3. *Der Wanderer*, 3<sup>rd</sup> Verse, mm. 22-26.<sup>40</sup>

Musical Example 4. *Der Wanderer*, Main Motivic Cell, m. 23.

The topic of wanderer is the most often explored concept in Schubert's compositions such as the *Unfinished Symphony*, his last piano sonatas, and his song cycle *Winterreise*. Yearning, anxiety, and wanderlust became the virtual focus of Schubert's

<sup>39</sup> Fisk, 61.

<sup>40</sup> Franz Schubert, "Der Wanderer, D 493," *Sammlung der Lieder für eine Singstimme mit Pianoforte Begleitung, Bd.1, Ed. 20a*, ed. Max Friedlaender (Leipzig: C.F. Peters), 184-187.

aesthetics.<sup>41</sup> Theodor Adorno, Charles Fisk, Jeffrey Perry, Peter Pesic, John Bell Young, William Kinderman, and Richard Cohn are only a few scholars who have commented on the representation of the “wanderer’s journey” through musical forms, rhythms, and harmonic progressions.<sup>42</sup>

### **Harmonic Structure and the “Wanderer Journey”**

The wanderer journey may be observed through the harmonic scheme of the composition and the departure, distance, and the return of the “home (key),” which may define the structure of a piece. If the key of the composition represents the “home,” the following modulations within the movements, as well as the overall key scheme they construct, can be understood as a departure from “home.” Charles Rosen observes such treatment in Schubert’s *Lied Gretchen am Spinnrade* and describes it as a wave form. A piece in wave form presents a harmonic construct that moves away and comes back to the tonic. The *Wanderer Fantasy* lays out a plan of third-related keys of the individual movements and brief third-related modulations within each movement (Figure 1). The key of C major represents “home,” D flat major (m.132) and C sharp minor (*Adagio*) “depart” from it, A flat major (*Scherzo*) represents the furthest distance, and the fourth movement then returns back home.

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<sup>41</sup> Young, 74.

<sup>42</sup> Kanako Ishihama’s dissertation provides a thorough literature survey and review of the scholarly writings on the topic of Schubert’s “wanderer.” Kanako Ishihama, “Triangles of Soul—Schubert the “Wanderer” and His Music Explained by Neo-Riemannian Graphs” (PhD diss., University of Oregon, 2017), ProQuest Dissertations & Theses Global.

<b>Movement</b>	Allegro	Adagio	Scherzo/Trio	Finale
<b>Measures</b>	1-188	189-244	245-597	598-720
<b>Keys</b>	<b>C major</b> E major (2 <sup>nd</sup> theme) E flat major (3 <sup>rd</sup> theme)	<b>C sharp minor</b> E major	<b>A flat major</b> C flat major (2 <sup>nd</sup> theme)	<b>C major</b>

Figure 1. Schubert's *Wanderer Fantasy*, the Tonal Design.

Both secondary group themes are third-related keys to C major, the home key of the *Fantasy*. The secondary theme appears in E major, while the third one appears in E flat major. Modulations through third relation accompany several significant moments in the first movement, such as the section between the first and second presentation of the theme, between the transition and the second theme (mm. 44-47), and between the second theme and the closing theme (mm. 66-67).

The *Adagio* begins in the key of C sharp minor with shifts to E major and back and eventually ends with an E major chord, a tertiary chord to C major.<sup>43</sup> It is important to note that the key at the beginning (C sharp minor) is the minor Neapolitan key of C major. The “Neapolitan effect” is one of the signature features of Schubert’s musical language.<sup>44</sup> One of the most prominent third-related modulations happens between the second and the third movement. The second movement ends (m. 244) with an E major-minor seventh chord (functions as a dominant chord in the briefly established A minor key area, m. 242). This chord can be interpreted as a German augmented sixth chord in the key of the following movement, A flat major. Although one would expect that the German augmented sixth chord would resolve to an E flat dominant chord, Schubert

<sup>43</sup> Tertiary is a commonly used synonym form third-related.

<sup>44</sup> Chung Hwa Hur, “Schubert’s ‘Wanderer’ Fantasie: A Creative Springboard to Liszt’s Sonata in B minor” (DMA diss., University of Arizona, 1997), 43, ProQuest Dissertations & Theses Global.

elides the harmonic resolution by resolving directly to the A flat major chord (flat VI of the tonic key). Use of a flat VI is another signature gesture of Schubert. Thomas K. Nelson proposes “a theory of Romantic tonality based on Schubert’s own poetics of the flat sixth complex as manifested in his songs.”<sup>45</sup> With the resolution to a flat VI, Schubert achieved another third-related modulation and created a tertiary key relationship between the two movements. The *Scherzo* in A flat major (note that A flat is third-related key to C major, the “home key” of the *Fantasy*) presents the second theme in C flat major, another tertiary key to A flat major. The *Fantasy*’s last movement returns to C major. One can observe several third-related chord progressions throughout the movement, for example mm. 614-643.<sup>46</sup>

According to Jeffery Perry, wanderer’s many travels (physical and emotional) are expressed in Schubert’s music through innovations in form. Perry observes how the “concept of distance” shapes the structures of four Schubert’s compositions in variation form.<sup>47</sup> His studies of “Trout” quintet, *Octet* in D, D 803, *Piano Sonata* in A minor, D 845, and *Impromptu* in B flat, D 935 and their key schemes suggest a methodology to examine the harmonic structure of the *Wanderer Fantasy*.

The set of variations in the pieces he observes follows the I – i – flat VI – V – I chord progression.<sup>48</sup> In his view this particular chord progression establishes the

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<sup>45</sup> Richard Kramer, *Distant Cycles: Schubert and the Conceiving of Song* (Chicago: Univ. of Chicago Press, 1994), 135–37; Thomas K. Nelson, “The Fantasy of Absolute Music” (Ph.D. diss., Univ. of Minnesota, 1998).

<sup>46</sup> Hur, 45.

<sup>47</sup> Jeffrey Perry, “The Wanderer’s Many Returns: Schubert’s Variations Reconsidered.” *The Journal of Musicology* 19, no. 2 (2002): 375, JStor.

<sup>48</sup> Perry, 380.



overreaching sonata-form in Schubert's "Trout" variations; thus, "it is in the sonata-form narrative of the "Trout" variations that we begin to perceive the role that the topic of travel, of distance and return, plays in shaping the work."<sup>49</sup> The key scheme in the *Wanderer Fantasy*, follows a similar chord progression I – flat II – flat VI – (V) – I and therefore invites the use of narrative analysis through the concept of "distance." The wanderer moves through foreign lands (and keys) and finally finds happiness (home). The return of C major in the fourth movement is significant for the purpose of narrative analysis. The anticipated "home key" is prepared by dramatic G major chords and bars of rests. When the fugue begins in the key of C major, one perceives it as a final return home. However, *Der Wanderer* does not clearly suggest a happy ending. Instead it leaves one wondering if the wanderer will ever find happiness.

In Young's opinion, the idea of a disoriented loner in search for life's meaning is expressed through a powerful conflict of tonalities in the *Wanderer Fantasy*, home key of C major, and the "migration" key of C sharp minor. The key of C sharp minor acts as a metaphor for Schubert's deep-seated feelings of isolation, while the preceding C major represents a brighter and a more optimistic tonality.<sup>50</sup> Similar to Young, Charles Fisk describes the conflict between the distant tonalities as a "dramatic emergence of the C sharp song integrated into its C major surroundings (in a process spanning its four movements)," and explains that such friction "offers, through the song, a key to its interpretation."<sup>51</sup> The comparison of the opening measures of the second movement and

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<sup>49</sup> Ibid., 389.

<sup>50</sup> Young, 75.

<sup>51</sup> Fisk, 63.

the third verse of the *Lied* offers a possible interpretation of Schubert's harmonic language (Musical Examples 5 and 6). Perhaps, in order to express a similar sentiment, yet without words, Schubert used different harmonic colors to emphasize specific “words” in the *Fantasy*.

Adagio

Musical Example 5. The *Wanderer Fantasy*, 2<sup>nd</sup> Movement, mm. 189-198.<sup>52</sup>

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<sup>52</sup> Franz Schubert, “Fantasy in C major, D 760,” *Franz Schubert’s Werke, Serie XI, No.1*, ed. Julius Epstein (Leipzig: Breitkopf & Härtel, 1888), 2-27. All the following music examples in this dissertation are taken from this edition.

Son - ne dünkt mich hier so kalt, die Blü - te welk, das Le - ben alt, und  
 was sie re - den, lee - rer Schall, ich bin ein Fremd - ling ü - ber - all.

Musical Example 6. *Der Wanderer*, mm. 22-26.

In the first phrase (Musical Example 5), on the third beat of the third measure, the melody reaches its peak on a B natural, supported with a secondary dominant (rootless ninth chord of the C sharp minor's subdominant), F sharp major. Yet, another interpretation allows us to understand the chord as a suspension to F sharp minor. Schubert may have used this suspension-like *appoggiatura* as a mean of expression, in order to emphasize the peak of the melody and point out the corresponding words from the *Lied*, “Die Blüte welk/flowers faded.” In the subsequent phrase, the melody reaches its peak on the C sharp with the underlying harmony of the dominant F sharp minor chord. In the corresponding song the word “Fremdling” (meaning stranger) responds to the pitch of C sharp. According to Young, such resemblance provides an insight into Schubert’s “aesthetic intent and gives the *Lied* a role as a musical and extra musical

signifier.”<sup>53</sup> Fisk observes this same passage and adds that “the harmony (F sharp minor subdominant) that supports the pitch (C sharp) becomes immediately ‘estranged’ from itself, as a pivot chord to the E major cadence of ‘everywhere.’”<sup>54</sup> In Fisk’s view, one might be able to comprehend most of the peculiar harmonic events in the *Fantasy* by preparing or resolving the conflict between the C major and C sharp minor keys. For example, he comments on the return of the primary theme in D flat major (m. 132) in the first movement that eventually “surrenders its place to melancholically brooding music in C sharp minor, as if reflecting a protagonist who generates great energy and charisma, but who also feels consuming inner despair.”<sup>55</sup> In his view, “the song (*Der Wanderer*) and its musical responses to that text offer unambiguous clues for interpreting tonal and dramatic conflicts.”<sup>56</sup>

Maurice J. Brown strongly opposes the idea that the *Wanderer Fantasy* allows any extramusical associations. The *Wanderer Fantasy* is a composition originally titled a *Fantasy for pianoforte* and got its “nickname” the “Wanderer” only in 1868 in Liszt’s letter to Professor Dr. Siegmund Lebert.<sup>57</sup> While recognizing the cyclic nature of the composition, achieved by motivic transformation and unifying dactylic rhythm that appears in all four movements, Brown strongly denies any associations beyond musical ones.

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<sup>53</sup> Young, 72.

<sup>54</sup> Fisk, 68.

<sup>55</sup> *Ibid.*, 66.

<sup>56</sup> *Ibid.*, 68.

<sup>57</sup> Maurice J. Brown, “Schubert’s ‘Wanderer’ Fantasy,” *The Musical Times*, Vol. 92, No. 1306 (Dec., 1951), 541, Jstor.

Those German practitioners in musico-psychological fields whose passion it is to find programmatic significance in the large-scale works of the masters lead us to further absurdities. The Words that give meaning to the song are taken, by this so illogical process of logic, to be the motto of Schubert's piano piece. It is now a WANDERERFANTASIE. With the emphasis very much on the first part of the word. Walter Dahms (1912) even goes so far as to call it a symphonic poem on the text "Here the sun seems so cold to me."<sup>58</sup>

The *Fantasy* is often discussed in relation to the *Unfinished Symphony*, since Schubert "finished" working on the latter just a few weeks before commencing the *Wanderer Fantasy*. The second movement of the symphony is, as Charles Fisk and others persuasively suggested, inspired by Schubert's autobiographical tale "Mein Traum."<sup>59</sup> The story, again, depicts the journey of a wanderer. The allegory, written only a few months before the *Wanderer Fantasy* and a few more before a serious decline of Schubert's health, offers an insight into the composer's own idea of wandering and implies the association with the *Wanderer Fantasy*.

My Dream, 3rd July 1822.

I was the brother of many brothers and sisters. Our father and mother were good people. I was deeply and lovingly devoted to them all.—Once my father took us to a feast. There my brothers became very merry. I, however, was sad. Then my father approached me and bade me to enjoy the delicious dishes. But I could not, whereupon my father, becoming angry, banished me from his sight. I turned my footsteps and, my heart full of infinite love for those who disdained it, I wandered into far-off regions. For long years I felt torn between the greatest grief and the greatest love. And so the news of my mother's death reached me. I hastened to see her, and my father, mellowed by sorrow, did not hinder my entrance. Then I saw her corpse. Tears flowed from my eyes. I saw her lie there like the old happy past, in which according to the deceased's desire we were to live as she had done herself.

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<sup>58</sup> Maurice Brown, 3.

<sup>59</sup> Young, 45.

And we followed her body in sorrow, and the coffin sank to earth.—From that time on I again remained at home. Then my father once more took me to his favourite garden. He asked whether I liked it. But the garden wholly repelled me, and I dared not say so. Then, reddening, he asked me a second time: did the garden please me? I denied it, trembling. At that my father struck me, and I fled. And I turned away a second time, and with a heart filled with endless love for those who scorned me, I again wandered far away. For many and many a year I sang songs. Whenever I attempted to sing of love, it turned to pain. And again, when I tried to sing of pain, it turned to love.

Thus were love and pain divided in me.

And one day I had news of a gentle maiden who had just died. And a circle formed around her grave in which many youths and old men walked as though in everlasting bliss. They spoke softly, so as not to wake the maiden.

Heavenly thoughts seemed forever to be showered on the youths from the maiden's gravestone, like fine sparks producing a gentle rustling. I too longed sorely to walk there. Only a miracle, however, can lead you to that circle, they said. But I went to the gravestone with slow steps and lowered gaze, filled with devotion and firm belief, and before I was aware of it, I found myself in the circle, which uttered a wondrously lovely sound; and I felt as though eternal bliss were gathered together into a single moment. My father too I saw, reconciled and loving. He took me in his arms and wept. But not as much as I.<sup>60</sup>

In my view, the topic of wanderer is surely present in the *Fantasy* and the association with the song should inspire one's imagination to convey the associated narrative through the music. Perhaps, considering the key structure, the *Fantasy* tells a story of a "stranger," who found his way to happiness at last (home key of C major). The association with the *Lied* and the tale suggests that there are extra-musical components present in the *Wanderer Fantasy*. It might appear as a stretch to call this piece a tone poem; nevertheless, the *Wanderer Fantasy* influenced Schubert's contemporaries with its

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<sup>60</sup> Otto Erich Deutsch, *Schubert: A Documentary Biography = Being an English Version of Franz Schubert: Die Dokumente Seines Lebens* (Da Capo Press Music Reprint Series. New York: Da Capo Press, 1977), 226-228.

innovative form, and in my view, as well as with its extra-musical implications.

Programmatic associations are defining elements of the symphonic/tone poem genre; in compositions classified as such, a poem or a program provides a narrative or illustrative basis. I believe that the extra-musical components surrounding the *Wanderer Fantasy*, suggest that this piece could be considered a predecessor of the symphonic/tone poem.

Besides the programmatic content, the genre of symphonic poem also utilizes cyclic treatment, most often by way of motivic or thematic transformation, which I will discuss in the following chapter.

## CHAPTER IV

### SONATA CYCLE AND SONATA FORM

The tension between *Das Wandern* and *Die Reise*—between fantasia and sonata form—lies at the heart of Schubert’s music. Taken together the two modes of travel present a paradox central to Schubert’s sensibility.<sup>61</sup>

#### Introduction

Schubert’s approach to the sonata genre was progressive. His deviations from Classical traditions reflected in formal structures, as well as the musical language. He, along with Beethoven, is among the most “written about” musicians in history. It is not a coincidence that the two figures, whose largest contributions to piano literature are in the sonata genre, are often compared. Many scholars approach Schubert’s music through a Beethovenian lens and consequently “misapplication of the Beethovenian gold standard has hindered Schubert scholarship in more than one area.”<sup>62</sup> Schubert established a distinct compositional style with the genre.

Various interpretations of Schubert’s original musical language offer a wholesome perspective in regard to his unconventional formal structures, use of ambiguous key relations, puzzling modulations, extended repetitions, and unique thematic treatment. A common conclusion of academia is indeed a reasonable proposition for future research; Schubert needs to be understood in his own terms. Suzannah Clark

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<sup>61</sup> Perry, 375.

<sup>62</sup> *Ibid.*, 379.



addresses the problem of “devising a Schubertian lens through which to peer at his music.”<sup>63</sup> In her view, the problem lies in the way music theory is shaping our ways of understanding music; therefore, Schubert’s music should encourage us to question the theoretical assumptions in those models. This chapter is an attempt to accommodate a perception of sonata genre and sonata form in order to comprehend the complex structural form of the *Wanderer Fantasy*.

### **The *Wanderer Fantasy* and Sonata Genre**

At the beginning of the nineteenth century, the sonata was a highly regarded genre that allowed composers to portray, with the highest level of sophistication, their compositional style and technique. The sonata became a public expression of the individuality of the composer’s talent, enabling a conveyance of a vast array of personal emotions and a display of technical prowess.<sup>64</sup> By 1830, influenced by Romantic ideology, compositions that perfectly “fit” the form were rare and unappreciated. The tendency was rather to escape the established formal conceptions and allow the expression in music take the form it needs and requires. John Rink writes about the redefined nineteenth-century sonata:

Such innovations include a fluid, expansive melodic handling in which symmetrical periodicity is often sacrificed to broader gestures at various hierarchical levels; a richer harmonic and tonal palette, as well as rapid and extreme shifts between harmonic regions; a pervasive exploitation of motif at the same time as an eclectic blend of disparate materials (a technique possibly deriving from improvisatory practices, which certainly influenced Beethoven’s

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<sup>63</sup> Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), 269.

<sup>64</sup> John Rink, “Sonata,” *Grove Music Online*, accessed 3 January 2020, [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com)

middle-period and late sonatas); overarching cyclical tendencies, whereby reminiscences occur . . .<sup>65</sup>

Schubert's approach to the form drew attention since the early days. As stated in Chapter II, Robert Schumann commented on the peculiar examples that he observed in Schubert's music. He writes that Schubert's *Four Impromptus* constitute a sonata cycle and added that at least "twenty other compositions could be added to Schubert's many works in this form."<sup>66</sup> Further on, Schumann expresses bewilderment over the title of the *Fantasy* in F minor, originally titled *Sonata* in F minor. The piece should, in his view, be titled *Symphony* for the piano. Schumann ironically concludes that titles are indeed a trivial matter; nonetheless, his statement raises an important question of the classification of the genres in the Romantic era, especially a sonata. Romantic sonatas appear in various forms and shapes, and Schubert's "sonatas" portray yet another aspect of his individualism.

The *Wanderer Fantasy* was composed in 1822 and its formal innovations indeed appeared to be ahead of its time. In fact, the *Wanderer Fantasy* is the first piece composed in a cyclic form connected through a shared motive. The *Fantasy* consists of four large episodes played without interruption, which resemble a sonata concept. The four episodes remind us of four movements that follow the typical fast-slow-scherzo/trio-fast plan. Most sources refer to the *Wanderer Fantasy* as a modified sonata cycle. ChungHwa Hur comments that "The *Fantasie* follows the structure of a large sonata in its

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<sup>65</sup> Clark, 269.

<sup>66</sup> Robert Schumann, *The Musical World of Robert Schumann: A Selection from His Own Writings*, ed. Henry Pleasants (New York: St. Martin's Press, 1965), 292.

layout, consisting of four movements, ‘Allegro – Adagio – Scherzo – Finale.’”<sup>67</sup>

Alexander Panku avoids the term sonata and refers to it as “the work, which is written in four movements on a large scale . . .”<sup>68</sup> Different than Hur and Panku, Leo Black and Steven Vande Moortele call the structure of the piece a super-sonata-form, applying the idea of overreaching sonata form to the sonata cycle.<sup>69</sup>

As mentioned in Chapter II, the fantasy genre portrays many deviations from standardized forms. However, according to Hepokoski and Darcy, structural ambiguities are very common among pieces representative of the sonata genre. One will find a wide variety of structures that constitutes the genre:

Sonata form is neither a set of “textbook” rules nor a fixed scheme. Rather, it is a constellation of normative and optional procedures that are flexible in their realization—a field of enabling and constraining guidelines applied in the production and interpretation of a familiar compositional shape. Existing at any given moment, synchronically, as a mappable constellation (although displaying variants from one location to another, from one composer to another), the genre was subjected to ongoing diachronic transformation in history, changing via incremental nuances from decade to decade.<sup>70</sup>

Hepokoski and Darcy, in their “Theory of Sonata Form,” acknowledge the opacity of the term sonata, yet propose a strict structural plan. Their theory is derived from the standard four-movement layouts as found in Haydn, Mozart, and Beethoven,

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<sup>67</sup> Hur, 22.

<sup>68</sup> Alexander Panku, “The “Wanderer Fantasie” by Franz Schubert: An Analysis” (DMA diss., Temple University, 1992), 7, ProQuest Dissertations & Theses Global.

<sup>69</sup> Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009) Leo Black, *Franz Schubert: Music and Belief* (Woodbridge, Suffolk: Boydell Press, 2003), 104.

<sup>70</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford University Press USA, 2006), 15, ProQuest Ebook Central. <http://ebookcentral.proquest.com/lib/uncg/detail.action?docID=430430>.

and their immediate successors (perhaps they were thinking about Schubert as well). They write, “When the first movement was in a rapid tempo—as was the case most frequently—its structure was obligatory. It was to be cast in a “grand binary” structure, which we now call sonata form.”<sup>71</sup> In my view, Schubert observed this rule, yet conveyed some resistance with unpredictable modulations and deceiving appearances of the main theme.

Several examples of compositions and writings mentioned so far in this document demonstrate ambiguous connections between Schubert’s fantasies and sonatas. It is my opinion that the fusion of both genres reflects the genius of the *Wanderer Fantasy*. The two-dimensional nature of the composition is demonstrated in the following analyses.

### **Sonata Cycle and Motivic Transformation**

As previously mentioned, the *Wanderer Fantasy* loosely follows a sonata cycle layout and consists of four movements (*Allegro – Adagio – Presto – Finale*).<sup>72</sup> See Figure 2.

<b>Allegro</b>	<b>Adagio</b>	<b>Scherzo/Trio</b>	<b>Finale</b>
C major	C-sharp minor (E major)	A flat major	C major

Figure 2. Four Movements of the *Wanderer Fantasy* with Key Areas.

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<sup>71</sup> Hepokoski, 312.

<sup>72</sup> Simplified definition of a sonata cycle states: a sonata is a large three- or four-movement composition, where the movements usually follow the fast-slow-trio/scherzo-fast tempo and character template. The first movement mostly appears in a sonata-form, while a rondo is the most popular formal structure of the last movement.

All four movements are interrelated and the “principle of thematic metamorphosis underlies the entire composition.”<sup>73</sup> The technique is most often referred to as thematic/motivic transformation.<sup>74</sup> As presented in the previous chapter, each movement grows out of the same cell, borrowed from Schubert’s song *Der Wanderer*, D 493 (Musical Examples 3 and 4). The rhythmic pattern (dactylic rhythm, long-short-short), derived from the same cell, is announced at the very beginning of the piece and is present in every movement as well. These common melodic and rhythmic recurrences strengthen the sense of organic unity of the composition.

The main motivic cell (motive x) of the *Fantasy* consists of the first three notes of the composition.<sup>75</sup> Besides motive x, the figure of motive y is an important thematic element. This motive consists of only two chromatic passing notes and appears slightly altered throughout the piece. Musical Example 7 shows motive x and y in the opening theme of the *Fantasy*.

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<sup>73</sup> Dale, 138.

<sup>74</sup> Moortele, 41. By Moortele’s definition, “motivic transformation” may change the mode, harmony, tempo, rhythm, and meter of a theme, or its fragment, yet allows minor pitch modifications. Such treatment is called a motivic/thematic transformation.

<sup>75</sup> The following analysis (including naming of the motives) is adapted from Chung Hwa Hur, “*Schubert’s ‘Wanderer’ Fantasie: A Creative Springboard to Liszt’s Sonata in B minor*” (DMA diss., University of Arizona, 1997). See pp. 23-32.

Musical Example 7. *Wanderer Fantasy*, 1<sup>st</sup> Movement, mm. 1-3.

Elliott Antokoletz finds the opening to be constructed of three motives (Musical Example 8). The arpeggiation marked as motive 2 becomes a structural element of the third movement.

Musical Example 8. *Wanderer Fantasy*, mm. 1-3.<sup>76</sup>

Alexander Panku summarized the fascinating interrelation between movements in his dissertation:

In reviewing the work as a whole, one finds that the most conspicuous and imaginative feature is [the] well-known cyclic structural organization, for the *Fantasia* is based on a continuous development of the main cell that is initiated in

<sup>76</sup> This example is reproduced from Antokoletz. Elliot Antonkletz, "Backgrounds and Early Development (through Liszt) of the Symphonic Poem," *International Journal of Musicology*, vol. 3 (2017): 55-84.

the opening theme in the first movement, and that constitutes the essential, organic, unifying element throughout the entire work.<sup>77</sup>

The following musical examples demonstrate only the most obvious motivic/thematic transformations that appear in the *Wanderer Fantasy* (motive x, y, and y').

### **First Movement**

The first movement of the *Fantasy* has a complex structure. It is roughly in a sonata form. The exposition (mm. 1-82) introduces the first theme (primary theme), based upon the motive x as shown boxed in Musical Example 7. The theme is *grandioso* in its character and has a thick chordal texture.<sup>78</sup>

The second theme (m. 47) is based on the same rhythmic motive, yet contrasting in character, showing Schubert's lyricism. While the first theme displays determination, expressed with loud chords, the second theme responds with a playful melody in softer dynamics. This short two-measure phrase consists of two motives: motive x and motive y' (an embellished version of the motive y). The motive appears for the first time at the end of the first presentation of the second theme. As shown in Musical Example 9, the second repeat of the two-measure phrase occurs a half step higher (G sharp to A natural), as if connected through motive y.

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<sup>77</sup> Panku, 57.

<sup>78</sup> The markings are adopted from Hur's dissertation where she states, "He opens the first movement with a vigorous Allegro version of this three-note motive [motive x], and he brings it to a cadence with a chromatic passing note, motive (y), another motive which will gain thematic importance in the course of events" Hur, 33.

Musical Example 9. *Wanderer Fantasy*, 1<sup>st</sup> Movement, mm. 45-50.

The first theme appears one more time (m. 70) before the development section. This highly dramatic segment follows the standard characteristics associated with a development and introduces altered primary theme material, includes fragments of the second theme, modulates to foreign keys extensively, and presents the third theme (Musical Example 10). The main rhythmic pattern, while slightly adjusted, remains apparent throughout the episode.

Musical Example 10. *Wanderer Fantasy*, 1<sup>st</sup> Movement, a Fragment of the Third Theme, mm. 112-114.



## Second Movement

The slow movement, *Adagio*, is a set of variations, and among all the movements most strongly implies the connection with the *Lied*. The eighth-measure main theme is in a choral style and divided in two four-measure phrases. Each phrase cadences in a different key; the first in C sharp minor (Musical Example 5) and the second in E major. While the theme and the first variation use both phrases from the *Lied* to constitute the basis for the variations, all the following variations only use one phrase.<sup>79</sup> The two key areas, C sharp minor and E major, alternate throughout the whole movement and the *Adagio* eventually concludes with an E major chord. While the melody itself does not change much in each variation, the accompaniment progressively quickens throughout the movement. It appears in eighth-note values in the first variation, continues with sixteenth notes, thirty-second notes, etc. These unconventional variations display a free and flexible approach to the form that can be understood as a contributing “fantasy element” of the piece. Among the most prominent features are the elaborate transition sections that provide a strong contrast between the variations.

## Third Movement

An abrupt chromatic modulation introduces A-flat major, the key of the third movement. As shown in Musical Example 11, the *Presto* is in ternary form (Scherzo-Trio-Scherzo) and written in 3/4 meter.

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<sup>79</sup> Hur, 26.

Musical Example 11. *Wanderer Fantasy*, 3<sup>rd</sup> Movement, mm. 245-251.

The formal structure of the first *Scherzo* is a rounded binary form, with two contrasting themes. The primary theme is presented twice (the repeat begins in m. 287). Schubert continues with elaborating the motivic material (motive x) through mm. 315- 323. The eight-measure second theme appears first in C flat major (m. 323) and in the original key only in m. 405 (Musical Example 12).

Musical Example 12. *Wanderer Fantasy*, 3<sup>rd</sup> Movement, mm. 323-331.

Between both appearances, the opening material (primary theme) returns (mm. 375-404). The form of the opening section of the first *Scherzo* is very similar to the exposition of the first movement. The same primary theme is presented twice. The ending of the first presentation of the theme in both movements is similar as well (Musical

Examples 13 and 14). The second theme in both movements is set in third-related keys (1<sup>st</sup> movement: C-E and 3<sup>rd</sup> movement: A-flat-C-flat).<sup>80</sup>

*Allegro con fuoco ma non troppo*

The musical score consists of four systems of staves. The first system shows the beginning of the piece with a fortissimo (ff) dynamic. The second system continues the texture with a piano (p) dynamic. The third system features a piano (p) dynamic and a pianissimo (pp) dynamic. The fourth system concludes the excerpt with a pianissimo (pp) dynamic. The score includes various musical notations such as chords, arpeggios, and melodic lines in both the treble and bass clefs.

Musical Example 13. *Wanderer Fantasy*, 1<sup>st</sup> Movement, mm. 1-27.

<sup>80</sup> Hur, 29.

**Presto**

Musical Example 14. *Wanderer Fantasy*, 3<sup>rd</sup> Movement, mm. 245-286.

The following *Trio* section (mm. 431-521) is in a simple ternary form (ABA) and follows an example of a typical Classical Trio. The theme is derived from the third theme of the first movement (Musical Example 15).

Musical Example 15. *Wanderer Fantasy*, 3<sup>rd</sup> Movement, “Trio Theme,” mm. 433-442.

The first two phrases of the *Scherzo* remain the same after the section recurs. However, the remaining material appears transformed and occurs as a transitional section that links the movement to the *Finale*. This transition between movements is contrasting to those that appear between the *Allegro* and *Adagio*, and between the *Adagio* and *Presto*. While the first two transitions are very smooth and calm in character, the one between the third and fourth movement introduces strong and loud passages and chords, as if heralding the fierce character of the *Finale* (Musical Example 16).

Musical Example 16. *Wanderer Fantasy*, mm. 583-597, Transition to the *Finale*.

#### Fourth Movement

The last movement starts with a fugue. Musical Example 17 shows the subject, which is based on the material from the primary theme of the first movement. The modification of the motive is minimal in comparison to aforementioned examples. After the fourth entrance of the subject, the music assumes a virtuosic, brilliant, and exuberant

character of the development including only fragments of the theme.<sup>81</sup> The work ends with a rousing climax and coda (m. 711). Hur proposes that the free structure of this movement was probably inspired by the late works of Beethoven, where contrapuntal techniques were combined with other elements.<sup>82</sup>

Musical Example 17. *Wanderer Fantasy*, 4<sup>th</sup> Movement, the Subject (Theme), mm. 598-609.

Presented analysis of motivic transformation in the *Wanderer Fantasy* demonstrates Schubert's unique approach to create a sense of unity in the composition molded to a sonata cycle. The interrelation between the movements, through shared motives, contributes to the *Fantasy's* comprehension as a coherent whole. The technique of motivic transformation is not typical of Schubert's compositional style. Suzanne Clark questions the necessity and appropriateness of a motivic approach to Schubert's music: "Schubert is hardly known for constructing his music through intricate motivic means."<sup>83</sup>

<sup>81</sup> The last complete subject appears in mm. 659-666 (not the missing final note C).

<sup>82</sup> Hur, 38.

<sup>83</sup> Clark, 164



Her criticism is referring to Dahlhaus's presentation of the motivic material in Schubert's *String Quartet* in G major. While the motivic treatment might be non-typical of Schubert, it is obviously present in the *Wanderer Fantasy*, as well as in a few other pieces from his oeuvre (see Chapter II). This compositional technique is a defining element of the composition and should not be overlooked. The *Wanderer Fantasy* is the first example in the literature where the motive allows the thematic connection between the movements of the entire composition.<sup>84</sup> This astonishing motivic quality of the piece allows me to explore the concept of the two-dimensional sonata form in the *Fantasy*.

### **The Hybrid of Two Dimensions**

Steven Vande Moortele proposed a new way to look at cyclic structures in 2009.

The term two-dimensional sonata form

refers to a principle of formal organization that is used in several large-scale instrumental compositions of the second half of the nineteenth and early twentieth centuries. In these compositions, the different movements of a sonata cycle are combined with one single-movement sonata form.<sup>85</sup>

According to Moortele, thematic transformation is closely connected to the concept of the two-dimensional sonata. "Thematic transformation is an ideal tool for the mediation of single-movement and multi-movement patterns. Allowing for the presentation of the same thematic material in shapes that markedly differ in tempo and character, it meets the

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<sup>84</sup> Panku, 8.

<sup>85</sup> Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 1.

requirements both of unity within a single movement and of contrast between separate movements.”<sup>86</sup>

William Newman was the first to propose a concept that connects the sonata form with a sonata cycle and used Liszt’s B Minor Sonata to demonstrate it. According to Newman’s definition, “all formal units in such form simultaneously function as sections of the sonata form and as movements of sonata cycle.”<sup>87</sup> Both forms coincide simultaneously: the exposition of the overreaching sonata form functions as the sonata cycle’s first movement, the inner movements represent the development, and the closing unit serves as a recapitulation, with a possible coda. Moortele expands on this theory and points out an apparent functional analogy between these sections. The relationship between the first and the last movement of a sonata cycle is very similar to the one of exposition and recapitulation. The last movement reaffirms the tempo (fast), home key, and sometimes even the character of the first movement. For that reason, the finale has a recapitulatory effect.<sup>88</sup>

While Newman’s theory suggests that sections of the two (or more) hierarchical levels (sonata cycle and sonata form) are projected “onto” each other, Moortele argues that “the hierarchical organization of the sonata form is analogous to that of the sonata form, except the former is incomplete and lacks the cycle as an upper hierarchical level.”<sup>89</sup> In two-dimensional sonata form, the elements (cycle, form, section, segment) do not “match-up”; instead, they adopt a different function (complete or incomplete) on each

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<sup>86</sup> Moortele, 41.

<sup>87</sup> *Ibid.*, 21.

<sup>88</sup> *Ibid.*, 18.

<sup>89</sup> *Ibid.*, 21.



level/dimension, which is also the main difference between the double-function sonata and two-dimensional sonata form. In the case of a double function form, every unit fulfills its double function, one in the sonata form and one in the cycle. However, it is hard to find examples where these sections would always perfectly coincide. In many cases, movements stand in between this matching one-on-one relationship and the same section/unit may adopt a different “role” in each dimension. A two-dimensional concept allows these relations between levels to be looser. Moortele comments on the topic:

Every two-dimensional sonata form contains a number of movements that exclusively belong to the dimension of the cycle and therefore lack a function in the dimension of the form. Conversely, every two-dimensional sonata form contains units that have a function in the dimension of the form but play no role in the dimension of the cycle . . . A two-dimensional sonata form, then, can be defined as the combination of the movements of a sonata cycle and the sections of the sonata form at the same hierarchical level of a single movement composition. It includes all essential sections of the sonata form and all movements of the sonata cycle, but these can interact in a variety of ways.<sup>90</sup>

The hierarchical order of the dimensions is as follows: the top level is the level of the sonata cycle, the second level as that of the form (sonata form), the third level refers to sections, and the last level to the segments. The level of cycle refers to the multi-movement work as a whole, and the level of form refers to each of its individual movements (sonata-form first movement). The third level refers to different sections of the movement (exposition, development, and recapitulation), while the fourth level

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<sup>90</sup> Moortele, 23.

identifies different segments within those sections.<sup>91</sup> Figure 4 shows the analogy between the sections of the exposition and the sonata form (of the movement).

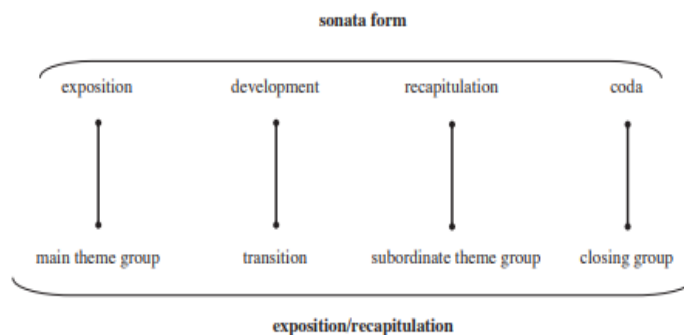


Figure 3. Analogies between Sonata Form and Exposition/Recapitulation.<sup>92</sup>

Moortele’s concept enables us to “understand more precisely the ways in which different formal archetypes influence one another when they both act as structuring elements in a given work.”<sup>93</sup> Through Figure 5, one can observe the interactions between dimensions in Moortele’s analysis of Franz Liszt’s Piano Sonata in B minor.

INTRODUCTION	EXPOSITION <b>b - D - (F#)</b>	DEVELOPMENT	
1-7	8-204	205-330	331-452
SONATA-FORM FIRST MOVEMENT <b>B</b>			SLOW MOVEMENT <b>F#</b>
INTRODUCTION RETURN	RECAPITULATION <b>b<sub>1</sub> - b - B</b>		CODA <b>B</b>
453-459	460-532	533-672	673-760
	SCHERZO ⇒ FINALE <b>b<sub>1</sub>      b - B</b>		

Figure 4. Moortele’s Presentation of the Form of Liszt’s Piano Sonata.<sup>94</sup>

<sup>91</sup> Moortele, 21.

<sup>92</sup> Ibid, 19.

<sup>93</sup> David Falterman, “Two-dimensional Sonata Form as Methodology: Understanding Sonata-variation Hybrids Through a Two-dimensional Lens” (Master thesis, University of North Texas, 2019), 9, ProQuest Dissertations & Theses Global.

<sup>94</sup> Moortele, 23.

As observed, all formal units are not always present in both dimensions. In Liszt's Sonata, for example, the second movement only appears in the dimension of the cycle, and not in the overreaching sonata-form. Moortele refers to such units as "interpolated." A unit that is only functional in the dimension of the form is called an "exocyclic" unit. One needs to clarify that the absence of the unit in one of the dimensions does not mean that the other dimension simply disappears. The "deactivated" dimension influences the other in many ways, such as motivic/thematic connections, key relationships, and similar. This is especially the case in the *Wanderer Fantasy*, where all the movements are interrelated with the common motive.

### **Two-dimensional Sonata Form and Schubert's *Wanderer Fantasy***

Moortele states that the *Wanderer Fantasy* comes very close to a two-dimensional sonata form but differs in crucial ways from the pattern of the proposed formal structure of the concept. The argument requires further consideration. I believe that despite the *Fantasy's* ambiguities, the application of the two-dimensional concept should not be disregarded. In my view, like any other standardized archetype, the proposed two-dimensional concept presents itself with a weakness of non-applicability to a more diverse body of work. As pointed out by Suzannah Clarke, Schubert's oeuvre "seem to offer us the opportunity to explode many assumptions about the normative and prescriptive pretensions of music theory."<sup>95</sup>

Young and Antokoletz recognize the presence of the overreaching sonata form in the *Wanderer Fantasy*. While not elaborated in detail, their opinions obviously oppose

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<sup>95</sup> Clark, 271.

Moortele's. Young writes, "Whereas a fantasy proper could dismiss, without a fear of critical disparagement, a development section in favor of free variation or, later, thematic transformation, the *Wanderer Fantasy* avails itself, on a large scale, of the conventions of sonata form."<sup>96</sup> He continues: "While each movement extols its autonomy, it is also possible to interpret all four [movements] collectively as a gigantic, overtly expansive sonata form."<sup>97</sup> Young sees the first movement as exposition, second as a development, and third and fourth as "extended, if substantially altered, recapitulation." Antokoletz refers to the *Wanderer Fantasy* as a "quasi-one-movement form" ("Quasi" perhaps pointing to a required flexibility of the sonata-form theory), and acknowledges the presence of the overall sonata form. Antokoletz perceives the third movement as a recapitulation and fourth movement as coda.<sup>98</sup>

Differing opinions regarding the presence of the sonata form in the *Wanderer Fantasy* are the result of the ambiguous and complex structure that invites distinct interpretations. While both authors recognize the presence of the sonata form, their understanding of its formal functions are dissimilar. It would be unjust to claim that the *Wanderer Fantasy* neither entails sonata form nor resembles a sonata cycle. Recognizing the "looser" idea of the formal concepts, categorization in the fantasy genre, and Schubert's musical language and compositional technique, the *Wanderer Fantasy* may be interpreted through the two-dimensional sonata lens.

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<sup>96</sup> Young, 73

<sup>97</sup> *Ibid.*, 74.

<sup>98</sup> Antokoletz, 58.

The first necessary adjustment of the theoretical concept pertains to the definition of a sonata cycle. In a traditional sense, a sonata cycle (four-movement symphony) contains the sonata form (usually) in the first movement. Such is the case in the *Wanderer Fantasy* as well, at least if understood in Schubert's language. This lyrical episode is interrupted by a continuation of the previous development material with an obvious recall of the opening motive of the primary theme (m.132). The measures following m. 132 may be interpreted in two ways. One can either view it as a recapitulation or as a transition to the second movement.

Despite the apparent return of the first theme, the ambiguous key areas of this last section deprive the listener from hearing the "return," typical of the recapitulation. In fact, Schubert does not return to the key of C major until the last movement of the *Fantasy*. Such "formal ambiguity" is typical of Schubert's musical language. Daniel Coren explored the ambiguity in Schubert's recapitulations and provided a table that illustrates various "false returns" in Schubert's music.<sup>99</sup> Despite the fact that the author's list does not include the first movement of the *Fantasy*, it is apparent that the recapitulation must be interpreted through the lenses of the composer's musical language.<sup>100</sup> The recapitulation begins in m. 132 with the transformed primary theme material in D-flat major.

The music allows another interpretation. The aforementioned D flat major harmony functions as a Neapolitan chord in C major, as well as a parallel major harmony

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<sup>99</sup> Daniel Coren, "Ambiguity in Schubert's recapitulations," *The Musical Quarterly* 60, no. 4 (October 1974): 568-82.

<sup>100</sup> A detailed analysis of the first movement follows later in the chapter (pp. 53-55).

to C sharp minor, which is the key of the beginning of the second movement. The G major chord (mm. 161-166), reinforcing the dominant of the home key, suggests the return of the main theme and the beginning of the recapitulation. A promise of the second theme appears in m. 165 but is never fully realized. Instead, the music merges into the “transition” section that modulates to G-sharp major (dominant of C sharp minor) and prepares the beginning of the second movement (C sharp minor). Figure 3 shows the interpretation that recognizes the recapitulation section.

<b>EXPOSITION (mm.1-83)</b>			
	1-31	Primary theme – two presentations	C
	31-46	transition	C, G
	47-66	Subordinate theme (second theme)	E
	67-83	Repeat of the PT*	C
<b>DEVELOPMENT (mm. 83-131)</b>			
	83-112	Subordinate theme material	A Eb
	112-132	Subordinate theme (third theme)	Eb
<b>RECAPITULATION (mm. 132-188)</b>			
	132-165	Primary theme material transformed	Db
	165-188	Subordinate theme material transformed Transition to the second movement	G G#

Figure 5. Form of the First Movement.

A question one needs to ask is, can these same measures represent recapitulation and transition at the same time? As stated earlier, the case of recapitulation in the first movement is abstract, to say the least, and further analytical tools might be required. A theoretical consideration of the theory of “becoming,” proposed by Janet Schmalfeldt, becomes useful. The philosophy behind her theory originates in Hegel and A.B. Marx and was explored by Adorno and later Dahlhaus. The main idea of becoming is that

. . . a formal unit which initially seems to function in one way is retrospectively reinterpreted as functioning in another. Most crucially, this revised hearing does not replace our initial impression; rather, the process of moving from one possible hearing to the other, and not our final interpretation, is the main expressive point of the passage. The initial and final functional interpretations of the same passage thus stand in a dialectical relationship with one another, in which our aural impressions and understanding of each shape the other, and the formal unit is primarily defined by this process of moving from one to the other analytical possibility retrospectively.<sup>101</sup>

The last section of the first movement (mm. 132-188) may be heard in two ways, as a transition (to the second movement), or as a recapitulation. These measures adapt a different function with each hearing and this unit is initially defined by moving between two analytical possibilities. This same section also acquires a different formal function in the dimension of the overreaching sonata form. Figure 6 illustrates the first movement with two dimensions applied. The arrow demonstrates the process of “becoming.”

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<sup>101</sup> Falterman, 7.


Overreaching sonata form – EXPOSITION						DEVELOPMENT	
Primary Theme	Transition	Subordinate Theme Group				Development	
1-31	31-46	47-66	67-83	83-112	112-132	132-165	166-188
Primary Theme	Transition	Subordinate Theme	Thematic Idea (Repeat of PT)	Thematic Idea	Thematic Idea (Third Theme)	Thematic idea (PT)	Thematic idea (ST)
Exposition				Development		Transition Recapitulation 	
Local Sonata Form – 1st Movement of the Cycle							

Figure 6. Two Dimensions in the Fantasy (mm. 1-188) – Local Sonata Form and Overreaching Sonata Form (Exposition).

The primary theme and transition sections have the same functions in both dimensions; hence, they coincide. The same is true for the first part of the subordinate theme group (mm. 47-83). The situation changes in m. 83. In the dimension of the overreaching sonata form, mm. 83-132 still function as the thematic material of the exposition's subordinate theme group. Transformations of the motive x and y are present in mm. 83-96. The appearance of the third theme concludes this section and the development begins in m. 132 and continues through m. 188. This section may be defined as a development due to the fact that Schubert modulates through five different keys: D flat major, C minor, C major, G major, F sharp minor, and G sharp major. Several x-motivic transformations reflect onto the primary theme; however, the main theme is never fully realized. The movement ends with a G sharp major-minor seventh chord, which is enharmonic to A flat major, the key of the third movement, seemingly a continuation of the development section (in the overreaching sonata form). As demonstrated in Figure 6, mm. 83-132 are observed as a development and mm. 132-166



as a recapitulation/transition section in the dimension of the cycle. It is important to clarify again that the recapitulation section does not follow the standards of a traditional sonata form and its ambiguity might be an offspring of Schubert's musical language. The *Fantasy* begins as a one-dimensional piece (both sections fulfill the same function in each dimension) but "develops" two dimensions in m. 83 (through m. 188). This point in the form is called a "dimensional disconnection."<sup>102</sup>

The last section of the first movement (from m. 132 on) received attention from Charles Fisk as well, as he finds its "double" meaning:

In one way, the theatrical arrival of D flat major and its subsequent reinterpretation as a Neapolitan in C prepare for the later arrival of the song's C sharp minor. But in another, the final subsiding of the hammering alternation of A flat and Gs into an already much-prolonged, in this way already established G (m.165) seems like a long anticipated resolution . . .<sup>103</sup>

The second movement is, among all the movements of the *Fantasy*, the most independent unit in the sonata cycle. Despite the key of C sharp minor at the beginning, a constant alternation between C sharp minor and E major is present throughout the entire movement. The two keys are in the close relationship of relative major and minor. The *Adagio* ends with an E major chord, which makes this movement tonally coherent. The main theme is obviously derived from the motive x; however, it is fair to say that the situation is indeed quite the opposite, and the motive x is derived from the theme of the second movement, which represents the "heart" of the *Fantasy*. In Moortele's brief

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<sup>102</sup> Moortele, 27.

<sup>103</sup> Fisk, 66.

overview of the *Fantasy*, the second movement is interpreted as an interpolated unit in a sonata cycle. By its definitions, interpolated movements need to differ from the preceding one in tempo, meter, key, and form. Most importantly, an interpolated unit needs to be thematically independent. This is obviously not the case in the *Wanderer Fantasy*. To interpret the second movement as an interpolated movement would indeed be convenient; the first movement ends with a G sharp dominant chord, while the key of the third movement is enharmonic A flat; therefore, the third movement could be seen as a continuation of the development section (in the overreaching sonata form dimension). The second movement is a unique case of a self-contained movement in the cycle and indeed presents its autonomy with the set of variations. However, the fact that the entire *Fantasy* is based on the theme taken from the movement does not allow us to exclude it from any of the dimensions of the form. The opening of the second movement seems like an intrusion. Despite the similarity with the previously heard rhythmic and melodic patterns, the contrast in tempo, texture, character and tonality seem to portray a new, somehow foreign picture; one that “contradicts those earlier scenes and make them seem less real in retrospect.”<sup>104</sup>

The second movement can be understood as a continuation of the development that began in the first movement in the key of D flat major (m. 132). Several modulations that occur between mm. 132 and 189 (the beginning of the second movement) settle in C sharp minor, the enharmonic minor key of D flat major. It is highly characteristic of Schubert’s musical language to switch between the parallel major and minor keys. These

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<sup>104</sup> Fisk, 63.

abrupt chromatic modulations often occur in Schubert's sonatas, particularly in recapitulation sections of movements composed in the sonata-form.

According to Moortele, despite the undeniable recapitulatory aspects of the *Scherzo* and *Finale*, these two movements fail to breach the dimensions of the cycle, and claims that they “at no point perform the emphatic recapitulatory gesture that is typical of two-dimensional form.”<sup>105</sup> In my view, the fourth movement presents a great recapitulatory sense. Katherine Dale comments on the role of the last movement: “By ultimately presenting the fugal subject in a style of piano writing similar to that of the opening movements it seems to form the last arc in a great musical circle.”<sup>106</sup>

Thematically, the *Scherzo* introduces the return of the opening phrases (recapitulation), but tonally stays much closer to the key of D flat and C sharp than C major.<sup>107</sup> The obvious resemblance of the treatment of the thematic material in both the first and third movements and the similar formal construct of each of the opening sections shown previously in this chapter (Music Examples 12 and 13) suggest that the third movement could be considered as the recapitulation section in the overreaching sonata form of the piece. Schubert used material derived from motive x in the *Scherzo* and presented motive y' in the *Trio*. However, the argument for justifying the ambiguous key area (A flat major) represents a challenge for such interpretation.<sup>108</sup> A modulation to a distant key of flat VI (A flat in this case) is indeed quite a common characteristic in Schubert's musical language; however, none of his sonatas present the flat VI as the key

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<sup>105</sup> Moortele, 57.

<sup>106</sup> Dale, 127.

<sup>107</sup> Ibid., 62.

<sup>108</sup> A recapitulation usually reestablishes the home key (tonic).

of the recapitulation sections.<sup>109</sup> Instead, Schubert often uses flat VI to prepare the final return of the tonic. As mentioned earlier, Perry, in his analytical exploration of Schubert's variations, notices that the third variation in flat VI leads (through variation in a dominant key) towards the return of the tonic.<sup>110</sup> The role of flat VI in the *Wanderer Fantasy* adapts the same function.

The overall structure of the third movement significantly differs from the form of the first movement. Even if one accepts the most flexible definition of a sonata form, it is hard to justify any resemblance of the formal structure of these two movements. Fisk observed the change of the formal function of the *Scherzo* when it returns after the *Trio*. He writes that in the return “the stormy interlude that it, too, has incorporated, takes a new direction, becoming a transition to the finale.”<sup>111</sup> In my interpretation of the piece, the third movement stands as a development, while the last movement functions as a recapitulation in the overreaching sonata form. The third movement is the longest movement in the cycle. While the presentation of the *Scherzo* stays mainly in the key of A flat major, the following *Trio* introduces D flat major and F minor, and the music in the return to the *Scherzo* moves through A minor, B flat minor, B minor, C minor, C sharp minor, D minor, and finally to C major (m. 581). The movement ends with the harmonic progression Ger 6<sup>th</sup> – V6/4 - V (in C major), which is a typical progression at the conclusion of the development section in a traditional Classical sonata form. The chords in the *fff* dynamic strongly imply the return of the home key of C major. This “drama” is

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<sup>109</sup> See “Harmonic structure” in Chapter III for the detailed discussion of the flat VI.

<sup>110</sup> Perry, 380.

<sup>111</sup> Fisk, 67.

emphasized with yet another feature typical of the development sections: the previously mentioned dominant chords are separated with measures of rests and suddenly silenced by an entire measure of rest with fermata (m. 598). This is the first moment in the composition, where the music abruptly stops. Hepokoski and Darcy mark such instance an important constructive element of the sonata form called “interruption,” which indicates the end of the development section.<sup>112</sup> The last transition between the third and fourth movement of the *Fantasy* stands out from the first two with its dramatic character. It promises the long-awaited arrival of the home key and familiar primary theme material.

The fourth movement presents a different challenge. The *Finale (Allegro)* in C major starts with a fugue, very similar to Liszt’s *Sonata*.<sup>113</sup> Besides two key deviations (B minor and A minor) the movement remains in the home key for the entire time, as if Schubert is atoning to make up for the lack of a proper recapitulation in the first movement. The form of the movement is complex and does not resemble the form of the exposition. The most significant difference is the lack of the subordinate theme, which is also Moortele’s main argument for denying this movement to align with the recapitulation section of the overreaching sonata form. However, Moortele discusses the similar situation of the recapitulation section in Liszt’s *Sonata*: “Neither thematic idea from the main theme reappears in its original shape, and the first is omitted

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<sup>112</sup> Hepokoski, 17.

<sup>113</sup> In Moortele’s analysis of the *Sonata*, the fugato section marks the beginning of the recapitulation in the overreaching sonata form.

completely.”<sup>114</sup> The case of Liszt’s *Sonata* is not the only example when one of the themes is omitted in the recapitulation. Further on, Moortele justifies this ambiguity:

The radical and even structural modifications that mm. 460-532 [what he interprets as a recapitulation] have undergone in comparison to the exposition provide the finale with the amount of independence from the exposition/first movement that it requires in order to be perceived as a movement in its own right and not just as a recapitulation.<sup>115</sup>

The last movement of the *Fantasy* may be understood as an independent unit in the cycle. However, tonally and thematically coherent *Finale* resembles the opening measures of the composition so clearly that the movement may be considered as a “return home.” Charles Rosen comments on the peculiar appearance of returns in cyclic forms: “In a cyclical form the return may be unjustified by traditional formal requirements, but it must nevertheless be justified by the context and by the musical material: it must appear to be not rhetorical but organic.”<sup>116</sup>

Hepokoski and Darcy present a similar idea. According to them, “the broad trajectory of the sonata may be understood as an act of tonic realization, a process of tonic-securing.”<sup>117</sup> The “role” of the recapitulation is to carry out the central generic task of the form—securing the ESC (essential structural closure). ESC is a particular moment when “the presence of the tonic is secured and the tonic key attained as a stable reality.”<sup>118</sup> Figure 7 illustrates the ESC as the most significant event within the sonata.

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<sup>114</sup> Moortele, 47.

<sup>115</sup> *Ibid.*, 53.

<sup>116</sup> Charles Rosen, *The Romantic Generation* (Cambridge: Harvard University Press, 1998), 89.

<sup>117</sup> Hepokoski, 232.

<sup>118</sup> *Ibid.*, 232.

**b. The entire structure: the Essential Sonata Trajectory (to the ESC)**

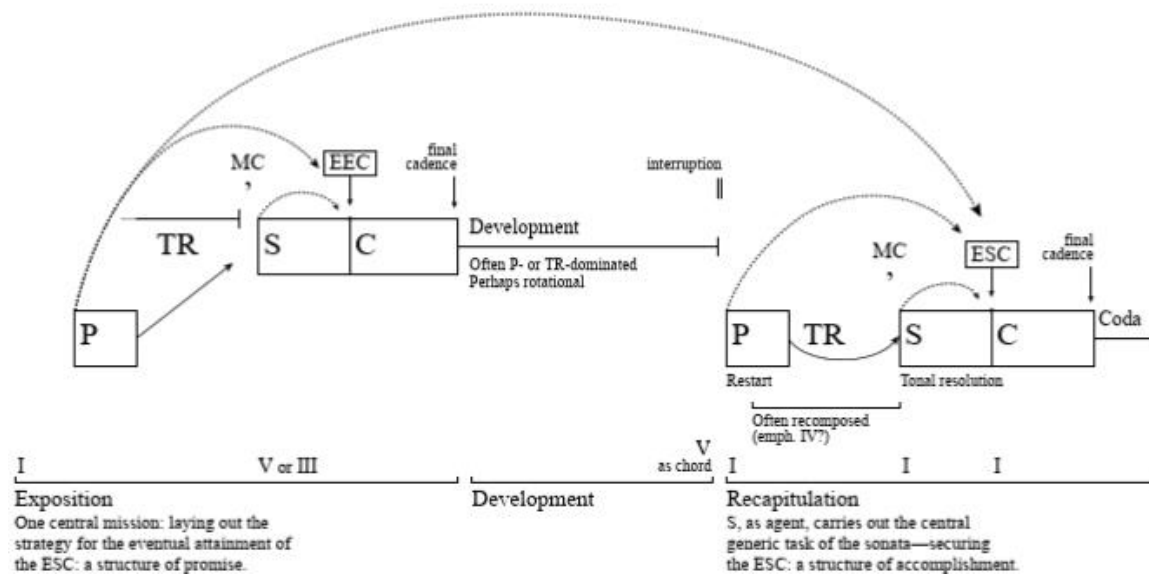


Figure 7. The Essential Sonata Trajectory.<sup>119</sup>

In my view, the ESC appears with a perfect authentic cadence (PAC) in mm. 703-704 (full *fz* chords). The abrupt chords separate the first part of the movement with the final closing group (mm. 704-710) and coda (mm. 710-720). These closing measures, with a prominent exchange of V and I chords, have the same function in both dimensions of the form and conclude the recapitulation, as well as the final movement. Figure 8 demonstrates the two-dimensional form of the *Wanderer Fantasy*.

<sup>119</sup> Hepokoski, 17.

EXPOSITION		DEVELOPMENT	
1-131		132-188	189-244
1 <sup>st</sup> movement - SONATA FORM			2 <sup>nd</sup> movement ADAGIO
Exposition	Development	Transition → Recapitulation	
(continued) DEVELOPMENT			RECAPITULATION + CODA
245-597			598-709 710-720
3 <sup>rd</sup> movement SCHERZO – TRIO –		SCHERZO → Transition	4 <sup>th</sup> movement FINALE CODA

Figure 8. Two Dimensions (Overreaching Sonata Form and Cycle) in Schubert's *Wanderer Fantasy*.

The arrows indicate the process of “becoming.” As mentioned earlier, mm. 132-188 of the first movement are indeed perceived as a transition, at first. The return of the opening theme, though never fully realized, may promise a recapitulation, but the following modulations and fragmented treatment of the thematic material tell us otherwise. Only a retrospective approach and analysis reveal that the primary theme may be identified as a recapitulation. The situation with the repeat of *Scherzo* is different. This section only becomes transitional when followed by the fourth movement. The modulations of the main theme predict a transition, yet the structure of the opening



measures just slightly deviates from the one at the beginning of the movement. Only with a final arrival of the G major chords at the end of the movement does one understand that we have been listening to a transition to the fourth movement.

## CHAPTER V

### CONCLUSION

Schubert's approach to the genre of sonata is unique. One needs only observe his approach to thematic treatment and deviation of formal structures found in his compositions. Schubert's sonata-form requires a consideration removed from preexisting standards. As Perry states:

The formal implications for an understanding of Schubert's own sonata form works, and of works by later composers influenced by Schubert, are potentially far-reaching: In these pieces Schubert seems to have found a way to both extend and transform the sonata ethos of high Classicism in a manner that owes little to any earlier models, Beethoven included.<sup>120</sup>

This dissertation suggests a broader view and approach to the sonata form—one that considers Schubert's distinctive musical language, as well as necessary structural adjustments influenced by the tropes of fantasy genre. Such adaptations allow the projection of the two-dimensional sonata concept onto Schubert's *Wanderer Fantasy* and thus provide an additional avenue to comprehend the construct of the piece.

The presented analysis is not the ultimate way to approach its form; however, I believe it provides the basic foundation for further research regarding the interrelations of both dimensions in this piece. In my view, Schubert decidedly deviated from the strict format of the sonata (sonata form and sonata cycle) in the *Wanderer Fantasy* and

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<sup>120</sup> Perry, 380.

therefore allowed the extra-musical narrative to alter the standardized formal concept. These modifications of the form, affected by the affiliation with the fantasy genre, are of significant importance. Coppola commented on the analytical approach that tends to ignore the crucial role of the fantasy genre. She writes, “Schubert’s Fantasies are portrayed as an essay in compositional and technical maturation through which the composer subverts sonata form, without attempting to replace the genre of the sonata with that of the Fantasy.”<sup>121</sup> Regardless of several ambiguities, the structure resembles a sonata to the extent when allowed to be interpreted as one. As Hepokoski points out, “The concept of ‘form’ is not primarily a property of the printed page or sounding surface. Instead, ‘form’ resides more properly in the composer-and listener-activated process of measuring what one hears against what one is invited to expect.”<sup>122</sup> A consideration of the two-dimensional concept is necessary for the formal analysis on the *Wanderer Fantasy*. While interpretations of the sections on each level might differ according to a subjective perception of a listener or analyst or performer, the presence of the two dimensions is undeniable.

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<sup>121</sup> Coppola, 73.

<sup>122</sup> Hepokoski, 5.

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## APPENDIX A

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