

ABSTRACT

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Sonata Reinvented: Form in Richard Wagner's *Siegfried Idyll*
(Under the Direction of DR. ADRIAN CHILDS)

In the middle of the 19th century a crisis in the development of symphonic music occurred. How should pieces interact with the masterworks from the early part of the century strongly identified with Beethoven? Should composers conform to the conventional norms of *Formenlehre*, or was each piece to seize its own form? Perhaps the most important response to the crisis is to be found in Franz Liszt's body of 13 symphonic poems and 2 programmatic symphonies, and also in Richard Wagner's domestic tone poem, the *Siegfried Idyll*. The triumphs and failures of Liszt's and Wagner's experiments in a new type of symphonic music ultimately served as models to the highly individualized forms and compositions of early modernists, including Richard Strauss's tone poems and Gustav Mahler and Jean Sibelius's symphonies. Works of this later generation have recently been examined by James Hepokoski and Warren Darcy, who have peered into how these works interact with processes of sonata deformation, rotational form, and interactions with their notion of "sonata theory." The purpose of this paper will be to devise a formal analysis of the *Siegfried Idyll*, which attempts to link the piece's formal aspects with the symphonic poem compositional style and the common deformational options of the later 19th century.

INDEX WORDS: Wagner, *Siegfried Idyll*, Symphonic Poem, Sonata Theory, Form, Sonata Deformation, Hepokoski, Darcy

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by

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CHAPTER 1: INTRODUCTION AND PRINCIPLES OF FORM

“Ah, were there no Form, there would certainly be no artworks, but quite certainly no art-judges either.”¹ These words, written by Richard Wagner, expose a fundamental problem that plagued composers and audiences of the 19th century. Should music continue to be written in the older classical forms inherited from the then emerging concept of canon and tradition or were musicians instead to search unknown territory, seeking to create their own “new” forms? 19th century composers answered this question in different ways, frequently challenging or embracing the *Formenlehre* tradition depending on one’s ideological stance. The resurgence of the *Formenlehre* tradition in current music theory, principally in the works of James Hepokoski and Warren Darcy, has led to new ways of examining sonata form and sonata form-inspired movements, illuminating aspects of works which before may have previously been ignored. Though, Liszt’s and Wagner’s experiments in a new type of symphonic music have largely been ignored by recent analysis, even though the highly individualized forms and compositions of the early modernists, including Richard Strauss’s tone poems and Gustav Mahler’s and Jean Sibelius’s symphonies have been examined in scholarship influenced by Hepokoski and Darcy’s theories on form, which focuses on processes of sonata deformation, rotational form, and interactions with their notion of sonata theory. The *Siegfried Idyll*, essentially Wagner’s only mature non-stage work that has a firm place in the repertoire, then offers itself as an intriguing object of study since it preserves sonata elements to such a degree as to allow for an analysis of

¹ Richard Wagner, “On Franz Liszt’s Symphonic Poems,” in *Richard Wagner’s Prose Works vol. III*, translated by William Ashton Ellis (London: Kegan Paul, Trench, Trübner and Co, 1894), 242.

the work as a sonata deformation. The purpose of this paper will be to devise a formal analysis of the *Siegfried Idyll*, which attempts to link the piece's formal aspects with the symphonic poem compositional style and the common deformational options of the later 19th century.

In recent years a renewed interest in musical form has emerged, as can be seen in William Caplin's *Classical Form* and Hepokoski and Darcy's comprehensive *Sonata Theory*.² Even though both studies focus primarily on music from the classical repertoire, especially from the oeuvre of Haydn, Mozart, and Beethoven, *Sonata Theory* is perhaps the more flexible of the two and can be more easily applied to works from the heart of 19th-century compositional practice. This largely results from how "sonata theory" is conceived. To Hepokoski and Darcy, sonata form is not defined by some rigid adherence to "invariant rules" governing either the smaller phrase length units or the larger theme-like sections which comprise a sonata movement. Instead they sought "to sketch the outlines of a complex set of common options or generic defaults" in sonata writing.³ Because of this, "sonata theory" can be seen as a re-evaluation of previous notions of sonata writing. "Sonata theory" assumes that listeners and composers approached sonata-type movements with a series of expectations, some of which are stronger than others. Hepokoski and Darcy summarize this:

at any given point in the constructions of a sonata form, a composer was faced with an array of common types of continuation-choices established by the limits of "expected" architecture found in (and generalized from) numerous generic precedents.

and continue:

the options available from compositional zone to zone existed conceptually within the knowledgeable musical community as something on the order of tasteful generic advice –

² William Caplin. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. (New York: Oxford University Press, 1998) and James Hepokoski and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006)

³ Hepokoski and Darcy, *Sonata Theory*, 8

enabling and constraining guidelines within the “sonata-game” given by a shared knowledge of precedents.⁴

The strongest expectations are referred to by Hepokoski and Darcy as generic defaults. Sometimes a composition refuses to adhere to stylistic norms, and avoids any of the standard defaults. Hepokoski and Darcy noted that these moments represented something which they called a sonata deformation, a deviation from the generic defaults. Deformations are a conscious act of the composer, during “the process [of composing] a composer might decide to do something unusual by rejecting all of the default choices altogether, in pursuit of a deformation of the composition moment.”⁵ Generic defaults are not universally defined, and can change during different stylistic periods, since sonata writing is in constant dialogue with works from the past and of contemporaries, “what was a deformation of Beethoven could become a lower-level default in Schumann, Liszt, or Wagner – part of a larger network of 19th-century sonata-deformation families.”⁶ Some common late-19th-century deformations include a reliance on rotational principles, multiple episodes within the developmental space, multi-movement forms in a single movement, and the process of teleological genesis.⁷

The notion that the composer and listener acted as participants in a dialogue with other sonatas only provides one aspect of sonata theory. The concept of rotational form is also very important to sonata theory. Warren Darcy defines rotational form as a “cyclical, repetitive process that begins by unfolding a series of differentiated motives or themes as a referential statement or ‘first rotation’; subsequent rotations recycle and rework all or most of the referential

⁴ Hepokoski and Darcy, *Sonata Theory*, 9

⁵ *Ibid*, 10

⁶ *Ibid*, 11

⁷ In the defense of the term deformation Hepokoski and Darcy insist that deformation does not indicate a compositional fault but rather “on the contrary, such deformations are typically engaging, aesthetically positive occurrences that contribute to the appeal and interest of a piece.” *Sonata Theory*, 11. For examples of late 19th-century practice, see: James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge, 1993): 24–25; and Warren Darcy, “Bruckner’s Sonata Deformations,” in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge, 1997):256–77.

statement, normally retaining the sequential ordering of the selected musical ideas.”⁸ In sonata theory the initial “expositional” rotation has a high level of structural importance, as subsequent rotations will be modeled from it. Hepokoski and Darcy’s focus on discussing the structure and form defining elements of sonata expositions is essential, if sonatas are to be interpreted as being in dialogue with rotational structures. Figure 1 reproduces Hepokoski and Darcy’s Figure 2.1 from *Sonata Theory*, which graphically represents a “normative” Type 3 Sonata.

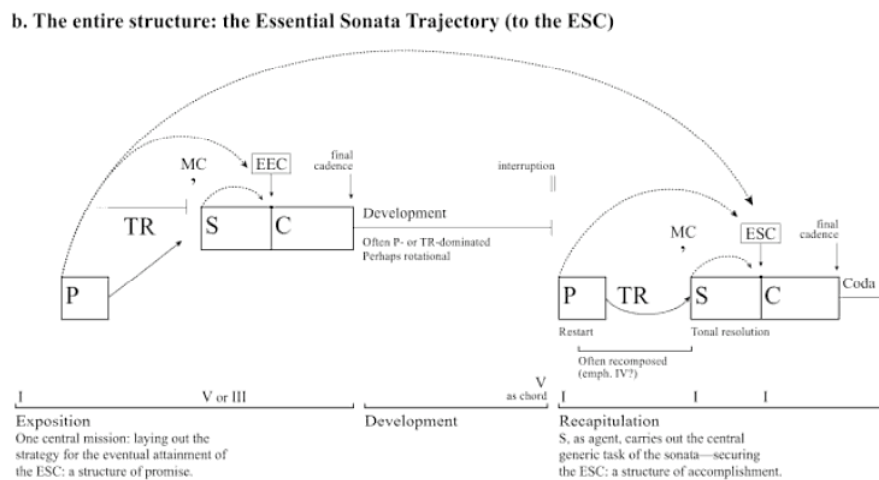


FIGURE 2.1 The Generic Layout of Sonata Form

Figure 1; Diagram of a Type 3 or “Textbook” Sonata ⁹

Primary-theme zones (P) initiate the sonata process, forging the trajectory towards the important cadential moments later in the sonata space. They are especially important, in that they create a sense of beginning and therefore frequently mark the beginnings of subsequent rotations.¹⁰ The primary task of the transition (TR) is to drive to the medial caesura, and is usually characterized by a texture which demonstrates great energy gain.¹¹ Secondary-theme zones (S) must follow a medial caesura (MC). The “most important generic and tonal goal” of S

⁸ Warren Darcy, “Rotational Form, Teleological Genesis, and Fantasy-Projection in the Slow Movement of Mahler’s Sixth Symphony,” *19th-Century Music* 30, no. 1 (2001): 52

⁹ Hepokoski and Darcy, *Sonata Theory*, 17

¹⁰ Hepokoski and Darcy, *Sonata Theory*, 65

¹¹ *Ibid*, 93–94

is to lead to the essential expositional closure (EEC) and ultimately the essential structural closure (ESC).¹² Closing zones (C) frequently appear after the EEC/ESC; the length and style of these closing sections vary, though usually C space contrasts with S.¹³

Of the many parts of a sonata theory, the medial caesura (MC) is perhaps the most important; its presence or absence defines the structure of the initial rotation. The medial caesura is defined as “the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts.”¹⁴ The first level default for a standard MC is V: HC MC, which represents a medial caesura this is articulated by a half cadence in the key of the dominant. Other harmonic options occur relatively frequently at the medial caesura.¹⁵ Gestures which usually create a strong sense of medial caesura include an approach to the MC dominant through a raised scale degree four in the bass, a prolongation of the dominant which Hepokoski and Darcy call a “dominant lock,” a strong articulation of the MC harmony often with *Nachschläge* (strong hammer-like hits after the half cadence), and perhaps most importantly, the general pause which creates the true sense of division, as the name caesura would imply. Even though the general pause seems to be an integral part of the MC, it is frequently bridged over through a thinner texture which Hepokoski and Darcy call “caesura fill” (see Beethoven symphony 1, mvt. IV). This option became more prevalent, so that by the later 19th century, expansion of caesura fill space became expected.¹⁶

Sonata theory not only examines the thematic regions of a sonata, but attempts to interpret certain cadential moments as integral to sonata writing. Hepokoski and Darcy therefore emphasize the importance of certain cadences during the process of a sonata theory inspired

¹² Ibid, 117

¹³ Ibid, 180–181

¹⁴ Ibid, 24

¹⁵ See “The Medial Caesura: Harmonic Defaults” in *Sonata Theory*, 25–30.

¹⁶ Hepokoski and Darcy, *Sonata Theory*, 48

analysis, which they propose should be guided by “the recognition and interpretation of expressive/dramatic trajectories toward generically obligatory cadences” (emphasis theirs).¹⁷ These obligatory cadences in sonata theory are the “Essential Expositional Closure” (EEC) and The “Essential Structural Closure” (ESC). The EEC is the primary cadential goal of an exposition. It is achieved with the first satisfying PAC in the secondary key following S. The ESC has a similar function as the EEC, but instead appears at the end of sonata space. The ESC often occurs at an analogous moment to the EEC, but instead has the added objective of securing the first satisfactory PAC in the tonic, providing tonal closure to the sonata.

Sonata theory groups different varieties of sonata writing into 5 broad, but not rigid, sonata types. The five types are defined by number of rotations present – from simpler structures to more complex. Type 1 sonatas have two rotations and correspond to a more traditional notion of a sonatina or a sonata without a development. Type 2 sonatas also have a double rotational structure, but have a clear developmental space, though lack a complete “recapitulation” of expositional materials, which reappear around S. Type 3 sonatas have a triple rotational structure and correspond to a “textbook” sonata with a clear exposition, development, and recapitulation. Type 4 sonatas have rondo characteristics and correspond to sonata-rondo movements. And type 5 sonatas, by far the most convoluted of these categories, describe concerto movements.¹⁸

Sonata Theory analyses usually focuses on the larger formal attributes of a piece, such as MC, EEC, ESC, theme areas, and rotational structure. These aspects are important to an analysis of a sonata, or sonata-derived piece, though a closer focus on smaller details aids and corroborates any Sonata Theory-inspired claims. Richard Wagner’s individual compositional style, though, evades relatively simple formal categorization, and because of this has attracted

¹⁷ Ibid, 13

¹⁸ Hepokoski and Darcy, *Sonata Theory*, 342–345

numerous approaches to understanding his formal technique. Local structural elements of Wagner's music dramas have been discussed at length by theorists and musicologists starting primarily with the work of Alfred Lorenz, who, in his "Das Geheimnis der Form in Richard Wagners Musikdramen" (1926) managed to escape from the prevailing obsession of leitmotivic content which was the popular vehicle of Wagnerian analysis with his contemporaries. Lorenz's theory on Wagnerian form in the music dramas relied heavily on identifying closed formal units, which often were forced into an analysis without much regard to more intuitive form-defining elements on the musical surface.¹⁹ Because of this, Lorenz's "Geheimnis" has been not so secretly dismissed and rejected by later generations of Wagnerian scholars, especially Carl Dahlhaus and Stefan Kunze in the 1960s and 1970s, who preferred to avoid making any substantial claims about the intricacies of formal development in Wagner's later works.²⁰ Anthony Newcomb, in his 1981 article, "The Birth of Music out of the Spirit of Drama," wished to find middle ground between Lorenz's almost comical insistence of closed formal regions, and Dahlhaus's hesitancy to make such claims.

According to Newcomb's generalized notion of musical form in mature Wagner, form can be thought of as shape in musical space. Newcomb identifies three general categories of shape found in Wagner's works. The first variety is a static, architectural type of shape, one which is more periodic in design and corresponds more closely with the goals of Alfred Lorenz's analytical method. The second is a musical procedural shape, which appears out of certain styles of writing, perhaps most naturally in sequential gestures and polyphonic styles.²¹ The third type identified by Newcomb is an extra-musical procedural shape, Newcomb describes this final type

¹⁹ Anthony Newcomb, "The Birth of Music out of the Spirit of Drama: an Essay in Wagnerian Formal Analysis" *19th-Century Music*, vol. 5 no. 1 (Jul 1981): 39–40.

²⁰ Newcomb, "The Birth of Music," 39–40

²¹ These series can create strong expectations for how following material will appear, but no certainties exist with the overall projection of the musical form especially with regard to endings of sections.

as a “procedure drawn from outside music,” one which is driven by “dramatic and psychological” concerns.²² All of these play an important role in the complex formal procedures in Wagnerian music dramas. In fact the interaction between these three forces, which create musical shape, changes at different moments of a composition in response to the needs at a particular moment; in the music dramas, Wagner tends “to avoid completing the closed forms of the first and to stress the open-ended, always forward-moving elements of the second and third.”²³ This interaction between these types of musical shape and between small-scale and large-scale forms creates a sense of formal tension, which Newcomb suggests is used “to fix the listener’s attention on the large time-span on the large musico-dramatic process.”²⁴ This process then aides in fostering a sense of ordering, when the more traditional musical shapes are implied, but also creates a sense of musical drive and direction, as the music avoids definitive closing gestures.

Newcomb’s understanding of form in Wagner has some resonances with *Sonata Theory*, primarily with regard to Hepokoski and Darcy’s emphasis on the role of musical expectations and numerous types of deformations of traditional forms. According to Newcomb, Wagner frequently bases his musical shape initially on traditional 18th- and 19th-century models. Though “Wagner [would make] use of an extraordinarily wide variety of formal types, usually each incomplete as he shifts from one to another,” altering some of the form defining characteristics (high level defaults) in favor of more individualized formal creations (deformations).²⁵ This often appears in Wagner’s later musical style in which “formal schemes and procedures are

²² Newcomb, “The Birth of Music,” 40–41

²³ Ibid, 41

²⁴ Ibid, 42

²⁵ Newcomb, “The Birth of Music,” 42

usually left incomplete and are often constantly shifting in their implications.”²⁶ To make matters more complicated is Wagner’s unique method of creating formal closure. Generally in the common practice style, cadences mark the ends of formal sections, but in Wagner’s later style not all cadences mark formal divisions, which might create problems for a sonata theory analysis, and sometimes the strongest cadential-like gestures occur in the middle of a formal unit. According to Newcomb, other musical elements such as instrumentation and tempo are exploited not only as devices to “be used for color and expression alone,” but also can help clarify “formal definitions as well,” thereby creating a possibility for a multilayered formal structure with many potential interpretations regarding form.²⁷ Even though Newcomb focuses on issues regarding form in Wagner’s music dramas, his ideas can be helpful in an analysis of the *Siegfried Idyll*, which was written during the height of Wagner’s mature stylistic period.

²⁶ Ibid, 43

²⁷ Ibid, 44

CHAPTER 2:
THE *SIEGFRIED IDYLL* AS A WORK OF THE NINETEENTH CENTURY

A formal analysis of the *Siegfried Idyll* requires an understanding of the historical-musical era in which this domestic symphonic poem was written. The 19th century was a turbulent era in the history of symphonic music; a time when many composers, critics, and performers from the many corners of Europe were claiming for themselves the title of heir and “presumed [owner] of [the symphonic] tradition.”²⁸ This great musical tradition was captured, at least in the imagination of the 19th century, by the myth of Beethoven, whose works defined how musicians for an entire century (and perhaps longer) evaluated themselves. Fueling this was not only the perceived essence of Beethoven – Beethoven as *the* archetypal Romantic artist – but also his apparent importance in elevating the perceived value of instrumental music, in particular the symphony.²⁹ But how were composers after Beethoven to respond with symphonic music of their own? This produced a crisis, especially at mid-century, over the direction of symphonic music. For all effective purposes, by the middle of the 19th century, the symphony, the once great formal vehicle used by Beethoven, appeared to have lost relevancy.³⁰ This is not to imply that at mid-century composers abandoned the form, but that no great new statements on the symphony proper were being made at this point of musical history.

Perhaps the most monumental group of works that address this “problem” is Franz Liszt’s cycle of 13 symphonic poems and 2 programmatic symphonies. These works, to various

²⁸ James Hepokoski, “Beethoven reception: the symphonic tradition” in *The Cambridge History of Nineteenth-Century Music*, ed. Jim Samson (New York: Cambridge University Press, 2002), 424.

²⁹ *Ibid*, 424

³⁰ Carl Dahlhaus, *Nineteenth-Century Music*, translated by J. Bradford Robinson (Berkeley: University of California Press, 1989), 236.

degrees, chart unknown forms while still maintaining a truly symphonic character. Regardless, the processes of sonata writing remains constant, even if not maintained throughout the entire work. For many, including Wagner, Liszt's symphonic poems and programmatic symphonies (inspired in some part by Berlioz) represented a viable alternative to the then perceived "enervated abstract symphony."³¹ Liszt's symphonic poems were not just concert overtures with well developed programs, but often rejected older notions of form. In fact the creative "*ad hoc* designs [of the middle 19th century] came to be even more normative, sometimes more eccentric, often to the consternation of later analysts confronting the dizzying variety of individualized shapes and the seeming crisis of form they seem to attest."³² Another work that approaches issues regarding form, is Richard Wagner's *Siegfried Idyll* (1870), an instrumental work originally composed as a birthday gift for his wife and Liszt's daughter, Cosima Wagner. This domestic tone poem preserves many aspects of sonata writing, especially with regard to the exposition, but is more adventurous in other portions of the piece. The embrace of the new programmatic genre of symphonic poems allowed for new, purely musical innovations, primarily in musical form, style, and content. This approach to musical composition naturally possessed the potential to express "high-prestige literary or historical images" as extra-musical poetic ideas.³³ This capacity of the symphonic poem was frequently, but not always exploited. Though even with a fascination of the extra-musical possibilities of the symphonic poem, "the sonata form *idea* remained venerated as the structural root of the symphonic tradition."³⁴

Also during this time symphonic movements gained certain features, which differentiated symphonic music of the mid-nineteenth century from earlier periods, primarily the gradual

³¹ Hepokoski, "Beethoven," 431

³² *Ibid*, 447

³³ *Ibid*, 431

³⁴ *Ibid*, 447

“personalization of symphonic style and content” and the realization and exploitation of the new “lush and emotional” possibilities of the expanding 19th-century orchestra, which had the effect of creating psychologically engaging works of art.³⁵ But the tendency to move to more adventurous forms presented, according to Dahlhaus, compositional problems. The most important: how was a composer of symphonic poems to participate with the “classical ideal” of symphonic writing while refusing to maintain traditional formal restraints?³⁶ This personalization of style and content opened new formal possibilities to composers, who during this period embraced many deformational practices, many of which became new lower level defaults in 19th-century compositional practice. Both Dahlhaus and Hepokoski claim the origin of the Lisztian symphonic poems is indebted in part to the concert overtures of Beethoven, Mendelssohn, and Berlioz from the first three decades of the 19th century, though other instrumental genres almost certainly influenced the development of the symphonic poem.³⁷ To these scholars, these works represented an expansion of the sonata-driven overture, though this often resulted in a form that hardly resembles a normative sonata. Dahlhaus claimed that in a symphonic poem, “the sonata principle, though not abandoned, was modified to such a degree as to be unrecognizable at first glance”³⁸ Important to Dahlhaus’s understanding of the symphonic poem was Liszt’s technique of motivic transformation.³⁹

Wagner, who was a prolific writer on music, expresses his fascination and admiration of Liszt’s symphonic poems and practice in his 1857 essay-letter to Princess Wittgenstein, “On Franz Liszt’s Symphonic Poems,” exclaiming in the preface that he was “thrilled with joy, that at

³⁵ Ibid, 429

³⁶ Dahlhaus, *Nineteenth-Century*, 238

³⁷ Hepokoski, “Beethoven,” 431 and Dahlhaus, *Nineteenth-Century*, 238

³⁸ Ibid, 239

³⁹ Ibid, 239

last [works] like this should have been created and set before [him].”⁴⁰ In this essay Wagner not only praised this mid-nineteenth century genre, but asserted that Liszt’s symphonic style also, along with Wagner’s music dramas, represented a “true” continuation of the Austro-German symphonic tradition symbolized by Beethoven.

What pleased Wagner most was Liszt’s apparent “formlessness.” Wagner saw Liszt’s rejection of the principles of what Wagner called “overture form” as liberating, especially if music’s primary purpose was to be a vehicle to develop a musical-poetic idea. The overture and essentially any “traditional” symphonic movement were based on, according to Wagner, dance and march-like principles originating in binary structures.⁴¹ These movements focused on what Wagner called a principle of “change,” which signified an importance of contrast between musical ideas. This stood in opposition to the notion of the “development” of a “dramatic subject,” which was at the core of the self-identified musical processes of Wagner’s music dramas and Liszt’s symphonic poems. The greatest “weakness” of Sonata Form to Wagner stemmed largely from “the repetition of the first part, after the middle section... which distorts the ideas of the work almost past all understanding,” preferable is for the musical-poetic idea to be “governed by nothing but the dramatic development” of the piece.⁴² For Wagner, the shortcomings of the sonata “[can] only [be] avoided by entirely giving up that repetition; an abandonment, however, which would have done away with the overture-form – is the original, merely suggestive, symphonic dance-form – and have constituted the departure-point for creating a new form.”⁴³

⁴⁰ Wagner, “Liszt,” 238

⁴¹ Ibid, 245

⁴² Ibid, 245–246

⁴³ Ibid, 246

Wagner's fascination with programmatic-symphonic composition returns during the final years of his life, where he expressed interest in returning to composing symphonies.⁴⁴ These new symphonic statements, though, were not to be cast in the Beethovenian four-movement mold, but instead were to embrace a "modern" one-movement form – much like the symphonic poems of Franz Liszt.⁴⁵ One movement sonata utterances must have fascinated Wagner, as his later sonata-informed works, the *Wesendonck Sonate* and the *Siegfried Idyll*, both cling to a single-movement structure. Wagner insisted that the name of this intended genre should be "Symphonische Dialoge," and proposed titles that would indicate programmatic status to these works such as "Lohengrin's Meerfahrt, Tristan als Held, Romeo und Julie Grabesgesang, Brünnhild, and Wieland der Schmied."⁴⁶ This new type of symphony was to be known as a dialogue, since two opposing themes, a *Thema* and *Gegenthema*, were to "converse with one another," preserving at least one definitive aspect of sonata writing, the polarization of two themes.⁴⁷ Even though Wagner identified his *Faust Overture* (1844/1855) as the model for his new symphonies, the *Siegfried Idyll* is perhaps the closest example to one of these unrealized works, as it was written in 1870, when Wagner's interest in instrumental symphonic music returned.⁴⁸

These comments by Wagner not only indicate how an aesthetic dissatisfaction with sonata form might have been conceived, but also suggest why certain choices would have been preferred in symphonic writing of the 19th century, including one of the more distinctive formal traits of the *Siegfried Idyll*, the overall Type 2 Sonata outline. The *Siegfried Idyll* was not unique in its form, as the Type 2 Sonata was relatively popular during the mid-nineteenth century. Type

⁴⁴ Voss, *Instrumentalmusik*, 112

⁴⁵ *Ibid*, 117

⁴⁶ *Ibid*, 117

⁴⁷ *Ibid*, 117. "Sie miteinander reden lassen" (All translations mine)

⁴⁸ *Ibid*, 116

2 Sonatas and Type 2 variants are found in many important compositions from the 19th century, including the fourth movement of Schumann's Symphony No. 4, Wagner's own Overture to *Tannhäuser*, Liszt's *Les préludes*, Verdi's Overture to *Luisa Miller*, multiple Bruckner movements, the opening movement of Tchaikovsky's Fourth Symphony, and even Brahms's *Tragic Overture*.⁴⁹ A Type 2 Sonata avoids "senseless" repetition of what Wagner called the "first principle part," which clearly corresponds to an exposition or Hepokoski and Darcy's first rotation, and also allows for a varied and inexact repetition of the second rotation.⁵⁰ This encourages substantial "development" of the musical-poetic ideas of the piece, or at least avoids mechanical repetition.

⁴⁹ Hepokoski and Darcy, *Sonata Theory*, 365; Warren Darcy, "Bruckner's Sonata Deformations," in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hickshaw. (Cambridge: Cambridge University Press, 1997)

⁵⁰ Wagner, "Liszt," 246

CHAPTER 3:
SIEGFRIED IDYLL AS A SONATA DEFORMATION

On Christmas Day 1870 Richard Wagner presented the *Triebchen Idyll* as a birthday gift to his second wife, Cosima. This unusual gift and composition, which was later renamed the *Siegfried Idyll*, is one of Wagner's most important instrumental works that is independent from his operas, and is often performed. Though this piece is not an excerpt from the *Ring* cycle, as it is often mistaken to be, it borrows thematic material from the *Ring*, especially from Act III of *Siegfried*, along with a simple children's melody. The 1860s were a period of Wagner's career that interrupted the composition of the *Ring* cycle. Only in the latter half of the decade did he resume composition of the third act of *Siegfried*, around the same time as he began his married life with Cosima.⁵¹ Some of the musical material that appears in the love duet in *Siegfried* act three originated in sketches for a string quartet that was planned in 1864, the same period when he began his affair with Cosima (then von Bürlow). It is then conceivable that the music from the *Ring* has for the Wagner family a strong personal meaning separated from its associations in his monument cycle of music dramas. Also during this time Wagner's son, and future composer of operas, Siegfried was born (June 1869). Because of this piece's context in Wagner's life, it can be viewed as a reflection on the time prior to the composition of the *Idyll*.⁵²

The work was originally conceived for a chamber orchestra consisting of 17 players. The original performance used 2 first violins, 2 second violins, 2 violas, 2 cellos, and one bass, plus a

⁵¹ Barry Millington, et al. "Wagner." In *The New Grove Dictionary of Opera*, edited by Stanley Sadie. *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/O905605pg1> (accessed May 3, 2009).

⁵² Egon Voss. *Richard Wagner und die Instrumentalmusik: Wagners symphonischer Ehrgeiz*. (Amsterdam: Heinrichshofen's Verlag, 1977), 108

colorful assortment of winds, which included 1 flute, 1 oboe, 2 clarinets, 1 bassoon, 2 horns, and 1 trumpet. This small orchestra included the maximum number of musicians who could fit in the stairway at Wagner's home, and does not necessarily represent the ideal number of strings. Later, in December 1871 when Wagner was in Mannheim, the *Idyll* (still unpublished) was performed as a *Birthday Symphony* for Cosima, and requested "6 to 8 first violins, 7–8 seconds, 4 violas, 4 cellos, 2–3 basses, 1 flute, 1 oboe, 2 clarinets, 2 horns, 1 bassoon, and 1 trumpet: in all 31–35 players," seeming to indicate that modern performances with larger orchestras are just as authentic as chamber presentations.⁵³ Wagner, even with small forces, still is compelled to write with a symphony orchestra in mind. Egon Voss suggests that though the piece was originally performed as a chamber work, the actual conception of the piece is entirely symphonic.⁵⁴

Wagner's *Siegfried Idyll*, even though clearly part of a more progressive symphonic conception, has elements which are unmistakably "traditional," or which fit into a traditional *Formenlehre* notion of sonata form. The sonata-style writing in this work was recognized by Tovey, prompting him to describe the *Siegfried Idyll* as an "indolent sonata," at least in terms of expository writing.⁵⁵ The most basic formal scheme of the *Siegfried Idyll* largely corresponds to Hepokoski and Darcy's "Type 2 Sonata." Figure 2 illustrates a simplified formal scheme of the *Siegfried Idyll*, as a Type 2 sonata. The Type 2 Sonata is principally a sonata type with a double rotational structure – i.e., there are two essential form defining rotations, with the first rotation as a customary expository rotation and with a second contrasting rotation. This means that spaces which might have been labeled, according to *Formenlehre* tradition, as development and recapitulation have been fused into a single rotation. Hepokoski and Darcy, though, are opposed to referring to a conceptually exact return of expository materials in the second

⁵³ Ernest Newman. *The Life of Richard Wagner*. vol. IV. (London: Cassell and Company, 1976), 273.

⁵⁴ Voss, *Instrumentalmusik*, 109.

⁵⁵ Donald Francis Tovey. *Essays in Musical Analysis*. vol. IV. (London: Oxford University Press, 1938), 130.

rotation as representing any type of recapitulation. Even though much of this work’s formal scheme can be described by one of Hepokoski and Darcy’s five “sonata types,” some issues exist with such an interpretation, primarily with regard to role of cadence as a marker and divider of formal regions and an expansion of developmental space at the beginning of the second rotation.

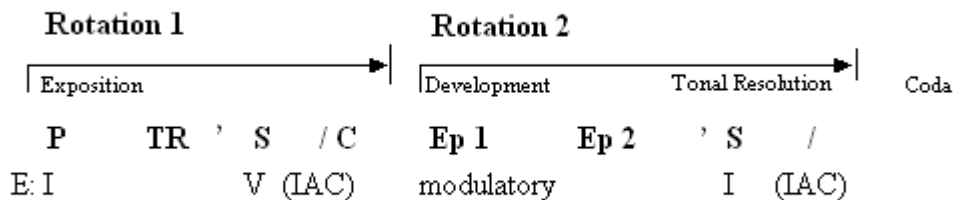


Figure 2; *Siegfried Idyll* as a Type 2 Sonata

The primary theme (P), reproduced in Example 1, like many of the musical materials found in the *Siegfried Idyll*, is based off of themes from the *Ring Cycle*, and more specifically from the last scene of *Siegfried* Act III (the love duet). P is dominated by musical material which is frequently referred to as “*Ewig ward ich, ewig bin ich*,” or also, in studies of leitmotifs as the *Friedensmelodie*.⁵⁶ P begins quietly in E major (tonic), never venturing too far away from the initial *piano* dynamic, with the *Friedensmelodie* scored for only the strings.⁵⁷ Structurally, the primary theme in many ways resembles an expanded sentence – or rather a theme-type which exhibits sentential characteristics – but would evade simple classification and would not be understood as a true sentence, at least a sentence as defined by William Caplin (and Arnold Schoenberg). Regardless, this first musical unit of the *Siegfried Idyll* can easily be divided into

⁵⁶ Hans von Wolzogen, in his catalogue of *Ring Cycle* Leitmotifs, labels “Ewig ward ich, ewig bin ich” or the *Friedensmelodie* as motive number 75. The names of different Leitmotifs for the remainder of this paper will refer to labels and names which appear in v. Wolzogen’s early study. As seen in Hans von Wolzogen. *Thematischer Leifaden durch die Musik zu Richard Wagners Festspiel Der Ring des Nibelungen*, (Leipzig: Verlag von Edwin Schloemp, 1876), 93–94.

⁵⁷ This sparse orchestration continues throughout P space.

three smaller units which roughly correspond to and function as the repeated basic ideas of a presentation and a fragmentary and cadence-seeking continuation.

Example 1; *Siegfried Idyll* mm. 1–28, P

Matthew BaileyShea, in his recent dissertation on sentence in Wagner, suggests, when discussing general lengths of Wagnerian basic ideas, that the generic default in Wagnerian sentential writing is for basic ideas to be normatively short two-measure units, rarely exceeding four measures in length.⁵⁸ Regardless, other aspects of this musical unit lend themselves to a sentence-like reading, namely the clear sequential repetition of the first seven-measure unit followed by a balanced section of 14 bars that fragments previous musical motives and the outline of a tonic (E major) harmony at the beginning of each unit in this AA'B formal unit. My proposed reading is clearly not the only valid interpretation of this section's form. The first two

⁵⁸ Matthew BaileyShea. *The Wagnerian 'Satz': The Rhetoric of the Sentence in Wagner's Post-Lohengrin Operas*. Ph.D. Diss., (Yale University, 2003), 98.

“phrases” could be interpreted as independent units followed by a more normally proportioned sentence (beginning in m. 15), which fails to achieve a cadential goal.

Any sense of a classical formal construction is diminished by the unorthodox and asymmetrical seven-bar phrases that make up the repeated parts of this presentation-like section. Each of these presentation phrases comprises two major sections. The initial three-measure gesture is multifaceted, with two distinct parts, divided by register. The first, appearing in the first violins, is rhythmically stagnant; and the second, appearing in the lower voices, is characterized by a slothful falling motion in parallel sixths which resembles Brünnhilde’s *Schlummermotiv* from *die Walküre* Act III (a comparison of both motives appears in Example 2). The second gesture (the last four measures) is made of melodic content directly from the *Friedensmelodie* music. With the effect of lessening any sense of classically balanced periodicity, the two phrases of the presentation are not exact repetitions, as would be expected in a sentential form. In any case, the second phrase is modeled on the proceeding musical material, though differs in ways greater than just repetition on a new pitch level. The exchanges in the first phrase prolonged the tonic (measure 3), though in the second phrase a prolongation (of vi) occurs in a similar fashion, but with a dominate relationship between during the final bars. Another major difference between these two phrases occurs as a result of the harmonic function of each phrase. The first phrase serves to introduce a feeling of stability in the tonic. The second phrase’s harmonic function has been divided into the two different parts of the phrase’s construction. The *Schlummermotiv* section of this phrase prolong a submediant harmony, while the *Friedensmelodie* section moves to an active dominant harmony, which will be the primary harmony for the remainder of P-space.

The following section, which is 14 measures in length, corresponds roughly to a classical continuation, and balances the opening presentation. This continuation-like section begins with a fragmented version of the *Friedensmelodie* motive, which struggles to free itself from the dominant harmony, but it fails in finding any resolution of the active dominant harmony which is prolonged throughout the continuation. The texture relaxes, presenting a more pure form of the *Friedensmelodie* idea, peacefully resigning on a sweetly dissonant dominant harmony (V13/7). This ending on the dominant, perhaps sets up an expected “grand antecedent/ consequent” gesture, preparing a P-based transition. The failure of P to end with any satisfactory cadence presents no problem to a generically “normal” reading of P within sonata theory, but it does indicate and perhaps foreshadow that important structural moments might not always be marked by strong cadential gestures (such as authentic cadences) for the remainder of the work. BaileyShea, commenting on Wagner’s compositional style, suggests that evaded cadences appear as first level defaults in Wagnerian sentential structures, and perhaps in all formal units.⁵⁹

Example 2; Comparison of *Schlummermotiv* and *Friedensmelodie* accompaniment



The beginning of the next section marks the launch of transitional space (TR), which is clearly based on P. TR contains the same “Ewig ward ich, ewig bin ich” music as P, but now new motivic material has been added, most noticeably a pure form of the *Schlummermotiv*, which appears in a similar context in *Siegfried* act III, though this leitmotiv originally appeared in the last act of *Die Walküre*. Along with the introduction of new motivic content, occurs a gradual thickening of the orchestral texture, which now has expanded beyond the opening string

⁵⁹ BaileyShea, *Satz*, 98

choir, to include forces from the small wind section. Again no exact repetition of previous material (P) occurs, much as the presentation phrases in the sentence-like P space are only gesturally similar. This compositional strategy gives greater warmth and fosters a sense of organic growth to the ideas of the piece (which Wagner hints at in his essay on Liszt's symphonic poems). As the texture of the transition increases in energy, the expectation of a medial caesura is heightened.

As stated earlier, the primary task of TR in expositions is to drive towards, and secure, a MC. This fundamental role of TR is constantly present during the steady increase of energy. TR ends with a relatively common deformation of the medial caesura, called a blocked medial caesura in Hepokoski and Darcy's sonata theory. A blocked medial caesura marks a conceptually present two-part exposition, but one in which "shortly before the expected articulation of the MC chord, however, the *forte* music [of TR] seems to run into a dynamic blockage (like the hitting of a wall) perhaps on a predominant chord or perhaps with the arrival of a cadential 6/4."⁶⁰ The moment where the blocked medial caesura occurs (m. 49) strongly ends TR with all indication of a likely MC, but instead of ending confidently on a MC: HC V, the texture thins to only the cellos and basses playing an F-sharp and winds articulating in triplets the remainder of a dominant 9th chord in B major.

But even with the sudden arrival at a low-energy dominant in the generically normal secondary key of an exposition (the dominant), no great clarity exists as to whether this proposed dominant in measure 49 should be interpreted as opening up or preparing S. This is largely due to the defining aural quality of a dominant 9th, which stems from the imbedded half-diminished 7th chord formed by the upper four pitches. In a Wagnerian harmonic style, such a sonority can have, and is often expected to possess multiple plausible functions. This "problem," of whether

⁶⁰ Hepokoski and Darcy, *Sonata Theory*, 47

what is retrospectively identified as caesura fill represents a true arrival at the secondary tonal area, is amplified by the melodic content of the bass voices, which follows the contour of the complete *Friedensmelodie* material, strongly connecting these bars of caesura fill to motivic content of TR. Just prior to the blocked medial-caesura, this material begins to lose its melodic integrity, through repetition of smaller motivic cells. Perhaps the most distinctive moment of repetition occurs at the falling 7th gesture beginning in measure 50. This motion is an integral part of the *Friedensmelodie*, but in caesura-fill space this gesture cannot complete itself, as if it is trapped, and ultimately loses its identity as it acts more as a displaced neighboring tone by the end of the five measures of caesura fill. This gives TR, MC, and caesura-fill space a sense of incompleteness; the primary idea of this section is not given the opportunity to complete its final statement, as the *Friedensmelodie* surrenders its integrity to following S material. At the end of the caesura-fill, the dominant of B major is confirmed, unambiguously opening up S-space.

Example 3 reproduces the final 5 measures of TR, and the following area of caesura-fill.

Example 3; Blocked Medial Caesura and Caesura-Fill (mm 45–55)

The musical score for Example 3 consists of two systems of music in G major (one sharp) and 4/4 time. The first system (measures 45-50) features a treble staff with a melodic line and a bass staff with a walking bass line. Dynamics include 'cresc.' and 'piu f'. The second system (measures 51-55) features a treble staff with a complex rhythmic pattern of triplets and a bass staff with a walking bass line. Dynamics include 'p'.

The secondary theme (S) emerges out of the caesura fill at the moment a major I6/4 is articulated, strongly implying the true arrival of the dominant. For the first time in this domestic

tone poem, non-*Ring* material serves as the primary musical material for a section. S is conceived primarily as a modified ternary form, though Wagner softens the edges with the effect of masking any sense of formulaic periodicity. Perhaps Wagner's aesthetic ideas concerning repetitions can be observed in the modifications of this ternary-like structure, which is S-space in this sonata. The return to tonic and opening motivic material occurs at least initially. The opening gesture remains intact (the preceding caesura-fill material creates a sense of beginning), the horn and clarinet triplet followed by more or less the same type of musical gesture.

As stated above, the primary task of S-space is to secure a PAC/ EEC in the secondary tonal center (usually V). The emphasis of the dominant of B throughout S clearly heightens the anticipation of a desired authentic cadence to close this section. The first phrase of this small ternary structure is characterized by a melody which first appears in the clarinets, creating a five-bar phrase over a dominant pedal (F-sharp). The contrasting B phrase, emphasizing V/V in B major, is more developmental in texture, and returns to the caesura-fill material which opened up S-space and which now initiates a return to the initial material of this altered ternary. Here only the opening gesture remains unchanged, along with the presence of a sighing motive in the lower voices. The texture gains energy as the S rushes towards an expected PAC in B major. But this cadence is evaded with a deceptive resolution in measure 84, prompting a repetition of pre-cadential material, which during its repetition succeeds in securing an IAC, as seen in Example 4. Even with the absence of a satisfying PAC, the resulting IAC functions as the EEC in this piece, being the strongest cadence yet articulated in the *Siegfried Idyll*, perhaps representing a deformation of the EEC. William Caplin's understanding of cadences, as existing primary to end a musical unit, helps to support this notion, even though Caplin generally expresses disdain for Hepokoski and Darcy's notation that certain cadences, primarily the EEC and ESC, could have

greater structural weight, or rather could have an essential structural role to play in a sonata. Nonetheless we can use Caplin’s erudite method of formal functions and cadence types and roles as a way of justifying the IAC closing S as a true EEC – ESC of this piece, even if IACs containing scale degree 5 in the soprano are the weakest type of authentic cadences, since this moment is the first authentic cadence in the exposition ending a formal musical unit.⁶¹

Example 4; Final measures of S and EEC (mm 82–91)



This deformation of the EEC is followed by a peaceful closing area. The principle melody of C space is a quotation of a lullaby, appearing in Example 5, which Wagner wrote earlier for his children recorded in his *braunes Buch* on New Year’s Eve 1868.⁶² The text of the poem accompanying the melody is as follows:

Schlaf, Kindchen, schlafe;
 Im Garten gehn zwei Schafe;
 Ein schwarzes und ein weisses;
 Und wenn das Kind nicht schlafen will
 So kommt das schwarz und beisst es.⁶³

Previous commentators on this work have been keen to contribute their own programmatic readings of this section. Ernest Newman, in his *The Life of Richard Wagner*,

⁶¹ William E. Caplin, “The Classical Cadence: Conceptions and Misconceptions Cadences,” *Journal of the American Musicological Society*, vol. 57 no. 1 (Spring, 2004); 53–55.

⁶² Newman, *Wagner*, 717.

⁶³ Newman, *Wagner*, 717. Sleep child, sleep;/ there are two sheep in the garden;/ a black one and a white one;/ and if the child doesn’t want to sleep,/ The black sheep will come and bite the child.

suggests a plausible dramatic reading for this excerpt. The use of the oboe to present the melody fosters a pastoral affect, while the unusual accompanying pattern of parallel thirds suggests the two sheep. The sheep threaten the child, as the thirds appear in the cellos and basses, creating a charming domestic narrative.⁶⁴ The form of the lullaby is simple and sentence-like, though it never appears in its complete form, as seen in *das braune Buch*, in the *Siegfried Idyll*. Instead of presenting “Schlaf, Kindchen, schlafe” as a closed form, C-space ends ambiguously as slowly the lullaby and P material are stated together. Regardless, measure 138 marks the beginning of clear developmental space, initiating the second and final rotation of this type 2 sonata.

Example 5; “Schlaft Kindchen” as it appears in *das braune Buch*.⁶⁵

As is normative in a Type 2 Sonata, the double rotational structure avoids a relatively direct repetition. Instead the opening of the second rotation is dominated by developmental like texture. Expectations of developments in sonata theory are relatively open, though developmental space frequently begins with P or TR material, initiating a second rotation. In the

⁶⁴ Newman, *Wagner*, 717–718.

⁶⁵ Richard Wagner, *The Diary of Richard Wagner 1865–1882: The Brown Book*. annotated by Joachim Bergfeld translated by George Bird (Cambridge University Press: 1980), 170–171.

Siegfried Idyll, developmental space is dominated by two episodic sections, which are primarily based on non-expositional material. A small-scale tendency towards this episodic technique dates back to the 18th century, though by the time of the *Siegfried Idyll*, the episodes have been expanded to greater proportions, being part of what Hepokoski identifies as one of the more distinctive 19th-century deformational families.⁶⁶ Hepokoski suggests that this developmental technique was popular with 19th-century composers who reacted against the “familiar mid-movement strategies (motivic fragmentation and combination; sequential modulatory patterns; generic storm and stress),” which to a 19th-century audience “ran the risk of seeming empty academic.”⁶⁷ To Hepokoski, the *Siegfried Idyll* marks a clear occurrence of this “two tableau-episode” deformational procedure.⁶⁸ The post-C material dissolves (as seen in Example 7) into a mysteriously scored arpeggiation in the strings, which clears the slate of “residue” from the first rotation and leads to the *Leicht bewegt* (m. 148). The *Leicht bewegt* marks the beginning of the first episode in this unusual developmental area.⁶⁹

The first episode, primarily containing material known as *Siegfrieds des Weltenhortes* (as seen in Example 6), which also originates from the final scene of *Siegfried*, gives greater priority to the final two musical shapes (as described by Newcomb), as more “Classical” formal gestures are abandoned in favor of musical/sequential processes, leitmotivic polyphony, and perhaps extra-musical impulses. Regardless of the apparent saturation of *Siegfrieds des Weltenhortes* material, P and TR motivic content frequently appear, though in a secondary context,⁷⁰ allowing for a more general interpretation of the developmental space of this sonata conforming to

⁶⁶ Hepokoski, *Sibelius*, 6–7

⁶⁷ Hepokoski, “Beethoven,” 451

⁶⁸ *Ibid.*, 451

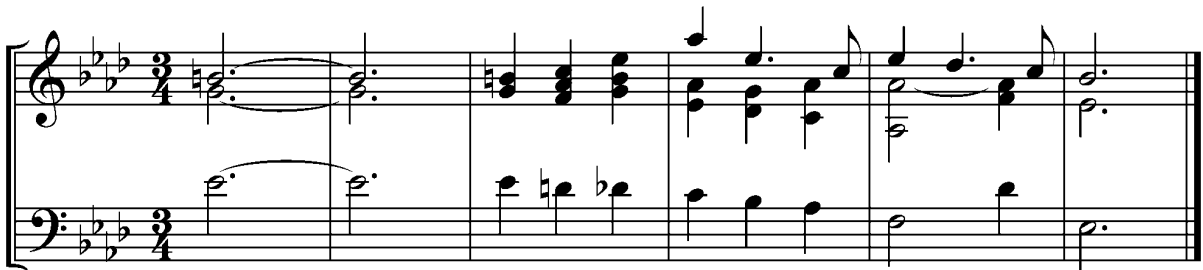
⁶⁹ Hepokoski identified this technique as a common 19th century sonata deformation family, and observes its use in the *Siegfried Idyll* and in Strauss tone poems. James Hepokoski, “Framing Till Eulenspiegel,” *19th-Century Music* vol. 30, no. 1 (2006): 32.

⁷⁰ beginning in measure 200

Hepokoski and Darcy's principles of rotational form, as P material finds itself at the beginning of the second broad rotation.

This first episode can be further divided into two broad subsections, differentiated primarily based on instrumentation, but also by aspects of relative tonal stability and motivic content. The first part spans from the initial *Leicht bewegt*, scored almost exclusively for winds, in m. 148 to a resting on V/V in m. 180, in which all rhythmic activity halts except for the falling, and energy depleting, sixteenth-notes in the first clarinet. The second section again is based primarily on *Siegfrieds des Weltenhortes*, though now it is presented in the string choir, at least initially. As energy is regained, instrumentation becomes thicker. Another differing aspect of this second section of the first episode is the lack of tonal stability.

Example 6; *Leicht bewegt*, m 148, *Siegfrieds des Weltenhortes* in 3

The image shows a musical score for two staves, treble and bass clef, in 3/4 time. The key signature has three flats (B-flat, E-flat, A-flat). The score consists of six measures. The first two measures feature a complex chordal structure in the treble clef with a melodic line in the bass clef. The third measure has a similar chordal structure. The fourth measure has a more active melodic line in the treble clef. The fifth and sixth measures show a continuation of the melodic line in the treble clef and a more active bass line.

The wind dominated section, though still unstable, contains a relatively steady gaze towards A-flat as tonic. But in the second section, the sequences become more adventurous, exploring more distant tonal regions. Also, as stated above, the more complete TR form of the *Friedensmelodie* appears, timidly, in m. 201 in the oboe, in subtle counterpoint to the *Siegfrieds des Weltenhortes* sequencing. The incessant sequencing of *Siegfrieds des Weltenhortes*, and the first episode of the development, ends with a medial-caesura-like moment in m. 257, changing key to C major. This medial-caesura-like ending, along with other aspects of the structure of Ep

1, may lead us to interpret this as fulfilling many of the expectations of a sonata rotation, specifically the roles of a P and TR. Both are highly motivically related, as is common between P and TR in many sonata expositions. The first section of Ep 1 merely presents the *Siegfrieds des Weltenhortes*, while the second section develops this idea, and also in some sense compares it to expositional TR material, as if weighing the value of the initial expositional TR, and ultimately gains energy and ends at a MC reminiscent point, perhaps intentionally placing the first episode into dialogue with expositional writing of a sonata.

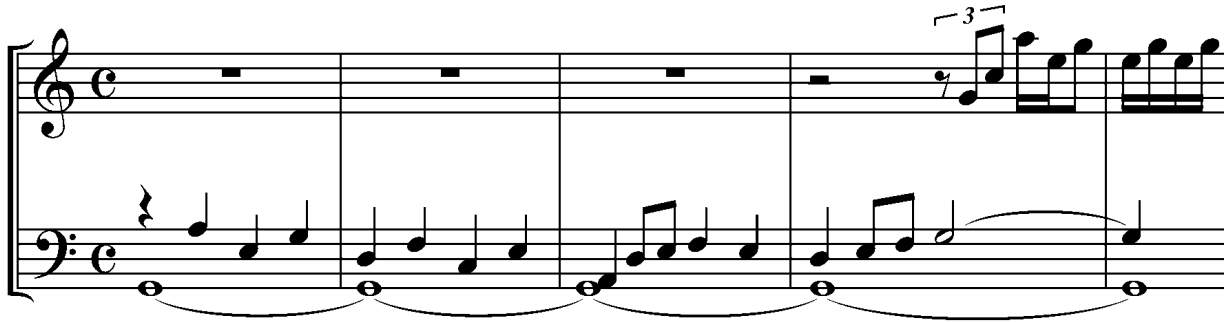
The *Lebhaft* (as seen in Example 8) begins the second major episode, which sounds over a dominant G pedal, strongly implying the tonality of C major, and perhaps can be heard in a similar mode to a dominant pedal that frequently precedes a recapitulation. The texture in the second episode gradually gains energy (as seen in Example 9), searching for a cadence in C, though this never materializes. Instead, in m. 286, C major is abandoned in favor of E. The abandonment of C major marks the end of the second episode. What immediately follows is an example of Wagner's command of contrapuntal writing, during which *Siegfrieds des Weltenhortes*, the *Friedensmelodie*, and the *Schlummermotiv* appear together in a moment of leitmotivic polyphony, similar in grandeur to a passage, beginning in measure 151, in Prelude to Act 1 of *Der Meistersinger*. The music returns to C major, the tonality of the second episode, continuing in a texture similar to that of the preceding E major material, but now set apart through the introduction of the trumpet, which plays a simplified version of the woodbird's music from Act II of *Siegfried*, as seen in Example 10. This is combined with *Siegfried des Weltenhortes*, adding another layer to this thematically dense section, marking the end of developmental space in this sonata deformation. As in the first appearance of the second episode, a cadence in C is avoided; instead the texture of the second episode dissolves into the caesura-fill

material (m. 308= m. 50) initiating a return to S material, though now sounding in E major (tonic), marking the beginning of what Hepokoski and Darcy call “tonal resolution” in Type 2 Sonatas.

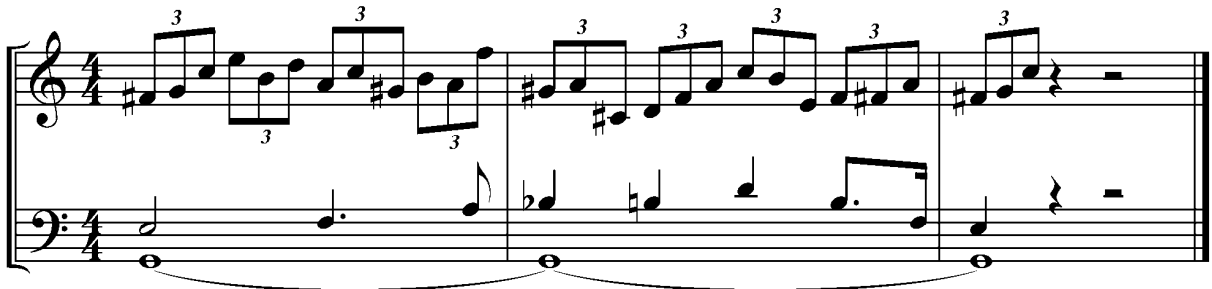
Example 7; Transition to development; mm 140–144

The musical score for Example 7, Transition to development; mm 140–144, is presented in two systems. The key signature is E major (one sharp) and the time signature is 4/4. The score includes staves for Winds, Violin 1, Violin 2, Viola, and Cello. The Winds part consists of sustained chords in the right hand and single notes in the left hand. Violin 1 and Violin 2 play a rhythmic eighth-note pattern. Viola and Cello play a similar pattern, with the Cello marked 'pizz.' (pizzicato). The score concludes with a double bar line.

Example 8; Second episode, *Lebhaft*; mm. 359–363



Example 9; dissolution of second episode, mm. 275–278



Example 10; Trumpet Call, mm. 297–304



The “tonal resolution” begins, as would be expected in a Type 2 Sonata, with a presentation of S in the tonic (E major), though in this work S material is frequently altered and augmented in the second rotation. The general outline of S remains unchanged in the second rotation, except for the introduction of elements of thematic material from the first expositional episode. S space secures the ESC through an IAC, though in the second rotation. Again, an ambiguous section with regard to formal functions occurs following the ESC. Instead of a repetition of C-material, as would be expected in a normative sonata, a presentation of TR-like

material follows over a tonic (E) pedal, resting peacefully in the tonic. Perhaps, initially, in a synchronic context, this section could be heard as an example of what Hepokoski and Darcy call a Coda-Rhetoric Interpolation (CRI).⁷¹ In Sonata Theory, CRIs occur when coda-like material, frequently based on P, precedes the final modules, frequently all or part of C, in recapitulatory space. This interpretation seems reasonable, since C has been omitted immediately following the ESC, and the tonal resolution has not yet retraced analogous moments of the exposition. This designation of CRI, though, would imply that C would return later in a relatively complete form – this does not occur in a fashion that would indicate a closed C module, much as C in the first rotation lacks a definite ending. However, C material does return in a fragmentary manner in mm. 373–382. The lack of a satisfactory presentation of C during the “tonal resolution” would indicate that this potential CRI following the ESC could be better understood as existing outside of sonata-space, and could be heard instead as part of the coda. In this coda, essentially all non-S material returns in some fashion, recalling an echo of the preceding measures of music, which Tovey describes poetically: “the horns croon the old cradle-song until the Hope of the World is safe in sleep.”⁷² As can be seen in Figure 3, coda-space begins and ends in P/TR material, and moves in an arch-like fashion to developmental episodes, back to expositional closing material, returning to a developmental episode, finally resting in the security of the tonic and the opening primary thematic material of the *Siegfried Idyll*, ending this domestic sonata deformation.

⁷¹ Hepokoski and Darcy, *Sonata Theory*, 288

⁷² Tovey, *Essays*, 132

m: 351	366	373	388	393
P/TR	Ep 2	C	Ep 1	P/TR
E: I	\flat VI ⁶	I	I	I

Figure 3; Thematic and tonal overview of Coda-Space

Even though this work deviates in multiple ways from what is normally identified as a “traditional” sonata (Hepokoski and Darcy’s Type 3) a quick glance reveals it to be nothing more than a deformation of the less common Type 2 sonata. This sonata-informed writing even gained recognition from Cosima Wagner, who proclaimed her beloved *Idyll* as a “very accomplished symphonic movement.”⁷³ Hepokoski and Darcy’s understanding of formal practice in the 18th, 19th, and 20th centuries aids in such a formal analysis, particularly in regard to how their notion of deformation allows moments that evade a clear “textbook” explanation to be explained within a framework that still captures the sonata-ness of the piece. This brings us back to Wagner’s exclamation from the opening of this paper; “were there no Form, there would certainly be no artworks, but quite certainly no art-judges either.”⁷⁴ This statement not only reveals issues that confronted 19th-century musicians but continues to have relevance to the present as it provokes valuable questions into the nature and purpose of formal analysis; namely, why should we, as musicians, wish to examine musical form, and why are we almost always attracted to works that seem, at least initially, to have abandoned conventional forms?

⁷³ Voss, *Instrumentalmusik*, 110. “Sehr ausgeführten symphonischen Satz”

⁷⁴ Wagner, “Liszt,” 242

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