Redemption Paradigm and Major Mode Composition: Some Remarks on the Tonal Structure of the First Movements of the Symphonies of Brahms, Sibelius and Shostakovich

Kerri Kotta

In music, the concept of the redemption paradigm usually refers to a certain narrative trajectory in which the minor mode dominating most of the work is finally replaced by the major, constituting a *telos* of the whole composition. One of the typical manifestations of the redemption paradigm usually occurs in sonata movements in a minor key: the secondary theme, which first appears usually in the relative major, finally closes the movement by recapitulating in the tonic major. The redemption paradigm can also determine the narrative trajectory of a whole cycle based on the minor mode. In such a case, it is the last movement, which finally replaces the tonic minor with the tonic major and stabilizes the latter as the new harmonic centre.
Although the redemption paradigm as a rhetorical principle is originally related to works in a minor key, its manifestations are also not uncommon in compositions in the major mode. According to Darcy the manifestations of the latter lie in purging 'the piece of minor-mode elements such as $\flat\hat{3}$, $\flat\hat{6}$, $\flat\hat{7}$, or $\flat\hat{2}$. In such a case, the first movement ends in major, and the two middle movements often restore the minor scale degrees, suggesting that the first movement's apparent "success" was either temporary or an illusion' (Darcy 1997: 259). In such works, the major is usually established only towards the end of the finale, the beginning of which is often also in the minor.

Darcy primarily emphasizes the importance of the interior movements and finale in articulating the narrative trajectory of the redemption paradigm in major-mode works. However, the first movement, although closing in the tonic major, does not remain unaffected. I shall try to demonstrate that such movements follow a certain path, which, in terms of tonal structure, can be described as a gradual weakening of the impact of the tonic major. This weakening process reaches its culmination at the beginning of the recapitulation, where the harmony is no longer capable of functioning as a tonic. Indeed, this process may manifest itself in a number of ways. In some cases, the major tonic has become unthinkable as the harmonic goal of the previous harmonic process and is therefore replaced by another harmony. Even if the tonic returns, its status as a structural tonic at the point where the recapitulation begins is far from obvious.

As a result, it is the recapitulation, which has to bear the whole weight of the structural restoration of the tonic major. Although the tonic may be stabilized to some extent in the second half of the recapitulation, its deep-structural articulation remains unattainable even here as well. If the first movement fails to achieve the true *telos*, this 'failure' necessitates further attempts in subsequent movements and is, in fact, their *raison d'être*.

Let us now consider the first movement of Brahms's Third Symphony in F major, which, according to Darcy, is the *locus classicus* of the redemption paradigm determining the rhetorical layout of the major mode work. The movement is written in sonata form. Although the voice-leading structure of the movement can be seen as supporting a 3-line

(ex. 1a), its composing-out in many ways destabilizes rather than strengthens F major as tonic harmony.

In the deep middleground, the tones of F major tonic harmony are prolonged through neighbour-note figures producing an E flat minor harmony. That harmony resolving back to F major gives rise to a deep-level Phrygian cadence which articulates F major as the dominant of B flat major/minor rather than the tonic (ex. 1b and c).[1] Thus, the structural superiority of the F major triad is questioned already in the deepest imaginable level of the voice leading structure, i.e. in the first level where, according to Schenker, the individual features of the work manifest themselves. Moreover, the location of E flat Phrygian harmony at the end of the development also indicates that it displaces the structural dominant supporting the interruption inherent to many works written in sonata form. Since interruption is a device which ultimately reinforces the tonic, its absence can be taken as a further confirmation that 'something is wrong' with F major as a tonic harmony in this movement.

Example 1: Brahms, Third Symphony, first movement, background and deep middlegrounds

Example 2 provides a more detailed overview of the voice-leading structure of the movement. It demonstrates how F major, which is prepared by an altered subdominant, cadential six-four and by the dominant, in bars 182, 183 and 199 respectively, is finally re-established as a tonic harmony in the coda. Thus, the coda, in a sense, can be understood as a reaction which counterbalances the voice-leading procedure that undermined the superiority of the tonic major in the development.

Example 2: Brahms; Third Symphony, first movement, middleground

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[1]	A similar understanding of the harmony of the final bars of the development and the beginning of the recapitulation can be found in Frisch 2003: 97–98.

Closer to the foreground, it can be seen that F major is inflected by the elements of F minor almost immediately at the outset. For example, A flat, the lowered third of the tonic, appears in bars 2 and 4–6 (ex. 3f and g). It is quite remarkable that whenever A flat as a foreign tone appears it is followed by an almost immediate attempt to integrate it into the context of F major. It is especially clear when we look at what happens from bar 4 onwards. In bar 4, A flat appears as the lowered third of the tonic triad, thus directly opposing F major. In bar 5, it is accompanied by D flat, the lowered sixth, making the influence of F minor even stronger (ex. 3f). Finally, an inversion of a diminished seventh chord in bar 6 resolving to the dominant sixth-chord of F major in bar 7 makes it clear that, in the larger context, A flat should be simply understood as a chromatic passing tone between A and G in bars 1 and 7 respectively (ex. 3e). In other words, the conflicting A flat in bar 4 is followed by its harmonic 'explanation' in bar 6. As a result, the A flat that first appears as a 'problematic' tone ultimately helps to prepare the dominant of F major. Such a feature – first to weaken and then strengthen the basic harmony – also accompanies the use of $\flat\hat{3}$ in other works based on the narrative trajectory of the redemption paradigm.

Returning to the beginning, a certain harmonic ambiguity can be also observed in the opening motto, bars 1–3. In bar 2, A flat appears as a member of an auxiliary dominant, a diminished seventh chord (the same as in bar 6). Instead of resolving to a first inversion dominant chord (as in bar 7) it returns to the tonic in bar 3. Such a resolution reinterprets the meaning of the chord, which should now be understood as an altered subdominant chord, a neighbour harmony to the tonic. In this harmonic context, A flat represents the raised second scale degree and should be enharmonically respelled as G sharp (ex. 3g). Although the situation here is somewhat different, the stages of the unfolding of harmony associated with the appearance of A flat are analogous to those described in the previous paragraph. A flat first appears as a member of a harmony, which leads away from F major tonic; then, however, respelled as G sharp, it changes the function of the chord, which now moves most naturally towards the tonic. Again, the structural significance of F major as the tonic is first undermined and then restored.

Example 3: Brahms; Third Symphony, first movement, exposition, main theme

Although the main theme, closing with a perfect authentic cadence in bars 14–15, finally succeeds in stabilizing F major (ex. 3), the sudden leap to D flat major in the transition (D flat harmony in bar 23 can be seen as ♭VI of F minor; ex. 4c) reactivates F minor. D flat major supports A flat in the structural upper voice, whose appearance is, analogously to the previous instances, followed by its enharmonic reinterpretation (G sharp). Here, the G sharp is not so much related to the restoration of F major as to the initial tone of the structural upper voice, the *Kopfton* A. By looking at the structural upper voice, it can be seen that A in bar 15 is replaced by A flat in bar 23. The latter is enharmonically respelled as G sharp in bar 30, causing the structural upper voice to move back to A again in bar 31. Thus, the motif A–A flat →G sharp–A, which first appears in the structural upper voice in bars 1–3 (ex. 3g), is enlarged over the span of the whole transition in bars 15–31 (ex. 4b and c).

Example 4: Brahms; Third Symphony, first movement, exposition, transition

A major, which articulates the beginning of the secondary theme, eliminates the inflections of F minor, albeit briefly. Example 5 demonstrates how A major becomes progressively 're-contaminated' with elements of the minor during the unfolding of the secondary theme. The impact of the minor mode is, albeit subtly and indirectly, first manifested through the sudden entrance of C sharp major which, in the context of A

major, represents ♯III (bar 44 of ex. 5g). However, III as a major harmony is inherent to the minor rather than the major mode. Moreover, the aforementioned C sharp major harmony can be enharmonically respelled as D flat major harmony, which, as already mentioned, can also be understood as ♭VI of F minor.

The next reference to the minor can be found in bars 56–60 (ex. 5g). In bar 56, F sharp (♯$\hat{6}$) is replaced with F natural (♮$\hat{6}$), which has been suspended throughout most of the voice exchange prolonging the dominant harmony. This voice exchange, highlighting the features of minor rather than major, helps to prepare C natural, supporting the first inversion A minor triad in bar 61. From this point forward, the impact of A major seems to be completely lost. A short excursion to E minor finally replaces G sharp, the last remaining sharp of the key signature of A major, with G natural in bar 62. Unable to restore A major, the secondary theme closes passionately in A minor in bar 70.

The structural upper voice of the secondary theme is articulated through a variant of the aforementioned motif A–A♭→G♯–A, which occurs here in a shortened form A–G♯–A (ex. 5a). Owing to the lack of A flat, the motif has lost its ambiguity and appears as a simple neighbour-note figure. As such, it does not undermine but rather strengthens the structural superiority of A. Thus, a paradoxical situation appears in which the collapse of the first main tonality of the secondary theme (A major) is accompanied by the structural strengthening of *Kopfton* A.

Example 5: Brahms: Third Symphony, first movement, exposition, secondary theme

The beginning of the development in a certain way retraces the tonal structure of the secondary theme of the exposition, albeit in reverse order: here, A minor is replaced by A major. It must also be emphasized that, during the replacement, the structural upper voice is prolonged through the motif A–A♭→G♯–A again (bars 71–90 of ex. 6g). Appearing within the prolongation of A minor/major in bars 71–90, C sharp minor in bar 77 (respelled as D flat minor in ex. 6g) can be seen as a counterpart to the C sharp major harmony that appears in the similar harmonic context (i.e. within the prolongation of A minor/major harmony) of the secondary theme in bar 44.

However, the purpose of the development as a whole is not to establish a minor mode as a new harmonic centre (as in the case of the secondary theme), but rather to weaken F major as tonic harmony. This 'weakening' effect is achieved primarily by means of the goal harmony of the development, E flat major/minor, which dominates bars 101–119 (ex. 6c–f). At the deep-structural level, this E flat major/minor harmony, juxtaposed with F major, begins to function as its neighbour-chord. As such, it certainly prolongs F major, but paradoxically also places it in a harmonic context in which F major begins to lose its tonic function. Indeed, as already proposed, the F major chord at the beginning of the recapitulation (bar 120) might be heard to function as the dominant of B flat major/minor rather than as an F major tonic (ex. 6a–f).

Example 6: Brahms: Third Symphony, first movement, development

Thus, the returning F major at the beginning of the recapitulation may not represent a usual – i.e. harmonically well prepared – return. The restoration of F major as the tonic

harmony, paradoxically, needs the support of the aforementioned motif of the structural upper voice A–A♭→G♯–A. The paradox resides in the A flat which, as already explained, was used in the exposition to destabilize F major, but which, now in the recapitulation, opposes the interpretation of the F major triad as a dominant harmony. Thus, by resisting the F major triad as a dominant harmony, A flat helps to restore its 'tonicness', albeit indirectly. In preparing the basic idea of the main theme of the recapitulation, the music has to employ, unlike the exposition, two mottos, the first of which ratchets the music to D flat major, i.e. ♭VI of F minor in bar 122, and the second back to F major in bar 124 (ex. 7). Similarly to bars 2–3, the dominance of the F major tonic in bar 124 is strengthened by the preceding chord, the altered subdominant harmony, accompanied by the enharmonic replacement of A♭→G♯ in the structural upper voice in bar 123 (compare ex. 3g and 7).

Example 7: Brahms: Third Symphony, first movement, beginning of the recapitulation

As a result, the main theme at the beginning of the recapitulation does not create the impression of a long-awaited return, but of an obtrusive and heroic gesture, a *deus ex machina*, which restores F major as tonic harmony only by means of its 'internal harmonic resources', i.e. the perfect authentic cadence closing the main theme. The subsequent formal sections, transition and secondary theme, in their own way try to confirm the unexpected – and therefore, in a larger context, still unstable – F major. In both sections, the structural upper voice at its deepest level is articulated by the descending third-lines prolonging the *Kopfton* A. As such, they predict the final descent of the fundamental line. However, unlike the latter, the 3-lines are not supported by I–V–I in the bass. In the transition, the descending third A–G–F sharp is supported by F–A–D and, in the secondary theme, the descending third A–G–F instead is supported by D–A–D (ex. 8 and 9). Unable to perform the perfect authentic cadence in the main key, the recapitulation fails to sufficiently articulate F major, representing, as such, an example of the nonresolving recapitulation (Hepokoski 2002).

Example 8: Brahms: Third Symphony, first movement, recapitulation, transition

Example 9: Brahms: Third Symphony, first movement, recapitulation, secondary theme

The reading discussed so far is based on the assumption that it is the E flat major/minor harmony in bars 101–119, which replaces the expected F major dominant and, consequently, the interruption at the end of the development. As a replacement of the interrupting dominant, the E flat major/minor harmony was considered to be the first harmony appearing in the middleground (ex.1c). However, there exists another, equally convincing interpretation, in which the F major harmony supporting the main theme of the recapitulation is not seen as an insufficiently articulated return, but part of a larger harmonic prolongation that connects the secondary themes of the exposition and recapitulation, i.e. the A major/minor harmony in bars 36–70 and the D major/minor harmony in bars 149–179.

Example 10 clarifies this alternative reading. According to the example, the structural dominant arrives in bar 183 as cadential 6/4 being suspended over a couple of measures before resolving to V in bar 199 (ex. 10b). In its turn, the cadential 6/4 is prepared by a predominant harmony in bar 182, which results in the emergence of the aforementioned motif A–A♭→G♯–A in the structural upper voice (ex. 10c–d). The D major/minor harmony in bars 149–181 representing the secondary theme of the recapitulation can be seen as a part of a deeper level harmonic prolongation based on the bass arpeggiation F–D–B that connects the initial tonic with the predominant in bar 182 (ex. 10e). In this context, the A major/minor harmony representing the secondary theme of the exposition in bars 36–70 begins to act as a preparatory dominant to the D major/minor (ex. 10f). Consequently, the F major in bars 120–136, emerging within a deep-level descent A–F–D that connects the D major/minor dominant with its tonic, should be seen as iii of D minor rather than that of I of F major (ex. 10f–h). Compared to the first interpretation – the F major as a quasi-dominant of B flat major –, the alternative interpretation proposed here explains the transient nature of the F major at the beginning of the recapitulation equally well.

Example 10: Brahms: Third Symphony, first movement, an alternative reading

Either to see the F major at the beginning of the recapitulation as a quasi-dominant to B flat major/minor or as a part of the deep level bass arpeggiation A–F–D – in both cases, the F major sonority fails to secure the main tonality of the work in the recapitulation. Thus, the whole burden is left for the coda, which should typically begin at the point where the tonic is safely anchored. The beginning of the coda (bar 183), rhetorically quite similar to the beginning of the recapitulation, marks the arrival of the structural dominant. After the resolution of the cadential 6/4 to V in bar 199, the harmony begins to feature post-cadential qualities, even before the arrival of the structural tonic, the complete manifestation of which takes place over a relatively large span. As a result, a strange situation arises. The boundaries of tonal structure (*Ursatz*) and form seem to be 'doubly divergent'. First, the coda as a formal section begins before the final descent of the *Urlinie*. Secondly, it is the structural dominant and not the following tonic, which finally initiates the coda rhetoric. In terms of semantic interpretation, a coda often refers to the 'musical past'. It is the formal section where the motifs from the previous sections appear

as if from a distance. By placing the final descent into a musical 'past' (or a distant 'future'?), Brahms separates it from the rest of the movement, thus revealing the F major tonic at the end of the first movement as an as yet 'unattainable reality'.

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At first glance it seems that the first movement of the Fifth Symphony of Sibelius is quite different from the first movement of the Third Symphony of Brahms. Yet, notwithstanding the differences, both works share certain similar features of tonal structure, which can be related to the composing out of the narrative trajectory of the redemption paradigm.

First, a few words should be said about the unusual form of the first movement of Sibelius's Fifth Symphony.[2] As is well known, it essentially consists of two 'movements': a slow 'first movement' containing some inherent characteristics of sonata form followed by a 'scherzo'. The 'first movement' and 'scherzo' are not separated by a caesura, but the latter grows organically out of the former. As a result, the boundaries between the two 'movements' are not clearly articulated either thematically or structurally: the 'scherzo' introduces a new character while being based on the thematic and structural ideas of the 'first movement'.[3] In the following analysis, I will concentrate mostly on the 'first movement' and the beginning of the 'scherzo' i.e. bars 1–218 which, in terms of tonal structure, can be seen as a whole. I will show that a number of the more important tonal processes initiated in the slow 'first movement' reach their goals during the first hundred bars of the second part, the 'scherzo', i.e. outside the 'first movement'.

As in the first movement of Brahms's Third Symphony, the background tonal structure of bars 1–218 of the first movement of Sibelius's Fifth Symphony can be seen as a 3-line (ex. 11a).[4] On the next level, the *Kopfton* G is prolonged through a neighbour-note figure G–F♯–G supported by a harmonic progression I–♭VI–I (ex. 11b). This neighbour-note figure can be likened to the shortened variant of the motif A–A♭→G♯–A discussed above, which articulates the structural upper voice of the first movement of Brahms's Third Symphony at many different levels. Transposed down by a major second, the motif appears as G–G♭→F♯–G. The shortened version of this – G–F♯–G (ex. 11b) – is enlarged into its full shape on the next, lower level of the voice-leading structure (ex. 11c). Thus, the deepest levels immediately after the *Ursatz* are articulated through the

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2   The unusual form of the first movement of Sibelius's Fifth Symphony is discussed by many authors. See for example Murtomäki 1993: 152–174, and Hepokoski 1993 or 1998: 213–236.

3   Here it is worth recalling that the redemption paradigm in major mode works originally defines the narrative trajectory of the whole cycle of sonata movements. Therefore, the fusion of movements can be at least in part related to the use of the redemption paradigm.

4   Although Murtomäki sketches the voice-leading structure of the movement only in part in his book on Sibelius symphonies, it is evident that, notwithstanding the prominence of B♭ ($\hat{5}$) in the upper voice, he sees the first movement also as a third-line (Murtomäki 1993: 154–174).

motif, which first destabilizes and then reinforces E flat major, the main tonality of the work.[5]

Example 11: Sibelius: Fifth Symphony, first movement, background and deep middlegrounds[6]
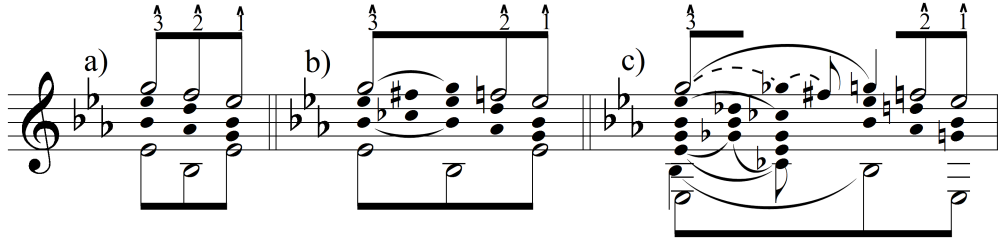
Example 12 provides a more detailed overview of the voice leading structure of bars 1–218. Here, two aspects merit attention. First, the deep-level motif G–G♭→F♯–G articulating the structural upper voice in bars 1–158 (ex. 11c and 12) is constantly repeated at lower levels of the voice-leading structure, namely in bars 1–18, 18–31 and 18–51. It is also remarkable that two of the lower level repetitions of this deep-level motif are followed by the descending third G–F–E flat (bars 31–45 and 51–67). As such, these third-progressions predict the final descent, which follows the deep-level motif in bars 158–218. Secondly, the divergence between the boundaries of tonal structure and form discussed in relation to the final descent of the *Urlinie* in the first movement of Brahms's Third Symphony becomes even more pronounced in the first movement of Sibelius's Fifth Symphony. For example, the beginning of the second exposition in bar 41 marks a relatively unimportant intermediate stop in a larger harmonic process which connects a G major sixth-chord with an E flat major sixth-chord in bars 18–51. The beginning of the second exposition does not coincide with the entrances of the structurally most prominent tones of the aforementioned harmonic process, i.e. G–F♯–G in the upper voice supported by B–A–G in the bass (bars 18, 30, and 51). Actually, it articulates the region in which the tones prolonging the intermediate sixth-chord A–C–F♯ in bar 30 mingle with the tones anticipating the incoming E flat major sixth-chord in bar 51, representing as such a transitional stage in the harmonic process. A somewhat similar situation arises in the recapitulation, the beginning of which in bar 106 is not articulated by the expected change of harmony (the harmony is maintained up to bar 115). Such non-congruence, which releases the form from strict harmonic or contrapuntal constraints, prepares the transition to the 'scherzo' without formally closing the 'first movement'.

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[5]   E flat major is inflected by minor mode elements by introducing ♭$\hat{3}$ and ♭VI. It is reinforced by the enharmonic ♭$\hat{3}$→♯$\hat{2}$ of the structural upper voice which reinterprets ♭VI as an augmented sixth-chord and causes the latter to move directly to a cadential six-four chord of E flat major.

[6]   A dotted slur connecting G natural with G flat in the upper voice in example 11c is used to emphasize that both pitches represent the same diatonic pitch class, and therefore G – G flat does not feature a motion on a *diatonic* level. It is important to reiterate that, in the motif like this, a real motion from one diatonic pitch class to another always takes place only through enharmonic reinterpretation – in this case G flat → F sharp –, i.e. paradoxically in the way which shows no actual pitch change.

Example 12: Sibelius: Fifth Symphony, first movement, middleground

Examples 13–17 sketch the voice-leading of different formal sections in more detail. Here, a number of similarities with the tonal structure of the first movement of Brahms's Third Symphony demand attention. In both works, the tonic major is both established and destabilized in the main theme. In Sibelius, this undermining of the major tonic occurs at the end of the section in bar 11 where the arrival of the structural tonic coincides with the replacement of ♮$\hat{3}$ with ♭$\hat{3}$ in the upper voice (ex. 13). In both works, ♭$\hat{3}$ is enharmonically respelled as ♯$\hat{2}$ in the transition (ex. 4 and 14). As in the Brahms, the beginning of the secondary theme is articulated by the returning ♮$\hat{3}$, which is then prolonged through the simple neighbour-note figure, a variant of the motif lacking the tonal ambiguity inherent in the transition (ex. 16). The second exposition, in a varied way, retraces the path of the first exposition: the end of the returning main theme is accompanied by the replacement of ♮$\hat{3}$→♭$\hat{3}$ in bar 45, and the transition by the enharmonic ♭$\hat{3}$→♯$\hat{2}$ in bar 46 (ex. 15e). In comparison with the first exposition, the secondary theme of the second exposition displays a different structure, since the descending third G–F–E flat is based on a static G in the bass (ex. 17).

Example 13: Sibelius: Fifth Symphony, first movement, exposition I, main theme

Example 14: Sibelius: Fifth Symphony, first movement, exposition I, transition

Example 15: Sibelius: Fifth Symphony, first movement, bars 18–51

Example 16: Sibelius: Fifth Symphony, first movement, exposition I, secondary theme

Example 17: Sibelius: Fifth Symphony, first movement, exposition II, secondary theme

Example 18 outlines the voice-leading structure of the development and the beginning of the recapitulation. Analogously to Brahms, the last bars of Sibelius's development prolongs ♭VII (D flat minor), therefore making it impossible to return to E flat major as tonic harmony. As discussed above, Brahms employs the perfect authentic cadence of the following main theme in order to re-establish the main key of the work. Sibelius chooses another path, reinforcing the predominant qualities of ♭VII by resolving it to V of C flat/B major in bar 115. The further resolution of V to I in bar 142 marks the complete victory of C flat/B major. The process of constant replacement of the high *Kopfton* G by

its lower counterpart G flat in the structural upper voice, which takes place throughout the movement, reaches its zenith here.

Thus, Sibelius, unlike Brahms, abandons the tonic and replaces it with its substitution, ♭VI at the beginning of the recapitulation. Yet, even this 'new tonic' is not fully articulated within the slow 'first movement': the arrival of $\hat{2}$ of the deep level 3-line E♭-D♭-C♭ (bars 1–142; ex. 12) supported by the dominant also 'switches on' the 'scherzo' in bar 115. Here we can call attention to a further analogy with the Brahms: recall that in the Brahms, the final descent of the *Urlinie* was articulated outside the main body of the movement by introducing the coda rhetoric precisely at the point of arrival of $\hat{2}$ of the *Urlinie*. By suspending the final descents of both C♭ and E♭ 3-lines (bars 1–142 and 1–218 respectively) until the beginning of the next 'movement', where they cannot possibly function as unambiguous structural closures, Sibelius suggests that the proposed endings do not represent the real completion, but an intermediate stage towards the actual goal, the *telos*.

Example 18: Sibelius: Fifth Symphony, first movement, bars 66–142

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Compared to Brahms and Sibelius, Shostakovich in the first movement of his Seventh Symphony adopts a somewhat different approach in order to increase the impact of the minor mode. Like Brahms and Sibelius, Shostakovich also occasionally replaces the *Kopfton* (♮$\hat{3}$) with its lowered counterpart (♭$\hat{3}$). However, this ♭$\hat{3}$ is not enharmonically reinterpreted as ♯$\hat{2}$ moving back to ♮$\hat{3}$, but continues down through $\hat{2}$ to $\hat{1}$ as a motion

into the inner voice, while the arrival of $\hat{1}$ in this third-progression coincides with the restoration of ♮$\hat{3}$ in the structural upper voice (ex. 19a).

Example 19: Shostakovich: Seventh Symphony, first movement; motif and deep middlegrounds

First presented in the main theme (bars 12–36, ex. 20d, e), the motif also shapes the upper voice of the following transition (bars 36–49, ex. 21d, e) and finally the entire first movement (bars 1–661, ex. 19b, c).[7] As in the Brahms and Sibelius pieces discussed above, the secondary theme of the exposition restores the major *Kopfton*, though not until just before the very end of the section (bar 143, ex. 22), and does not contain elements of C minor in the deep-level voice leading structure. At the same time, the design of the structural upper voice of the secondary theme seems to bear a certain similarity to the layout of the upper voice of previous formal sections, namely the main theme and transition. Its structure is also based on a descending-third line (D–C–B), the last tone of which coincides with the restoration of the ♮$\hat{3}$ (ex. 22).

Example 20: Shostakovich: Seventh Symphony, first movement, exposition, main theme

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7   Articulating progressively higher levels of the structural upper voice, such a motif can be related to the rebirth paradigm developed by Darcy. 'The rebirth paradigm… derives from the concept of teleological genesis. According to the rebirth paradigm, a symphonic movement passes through a series of metaphorical "deaths" and "rebirths" on its way toward a final revelation; each rebirth signifies a higher level of understanding.' (Darcy 1997: 262) Here, the descent to $\hat{1}$ may signify 'death' whereas the simultaneous restoration of ♮$\hat{3}$ signifies 'rebirth'.

Example 21: Shostakovich: Seventh Symphony, first movement, exposition, transition

Example 22: Shostakovich: Seventh Symphony, first movement, exposition; secondary theme

From the development onwards, the music turns decisively to the flat side, initiated by a chromatic shift which replaces E major with E flat major in bar 149 (ex. 23). The next almost three hundred bars feature the dynamically growing and constantly repeated 'theme of invasion', which finally 'hits a wall', the 'episode of resistance' in bar 429. It is characteristic that the beginning of the episode is articulated through A major, a tonality a tritone away from E flat major. As such, it also restores the *Kopfton* E in the structural upper voice. What follows is the constant 'battle' between the keys which alternately highlight the ♮$\hat{3}$ and ♭$\hat{3}$.[8]

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[8]   It should be noted that my reading somewhat differs from that of Jackson (1998: 619). In Jackson, the bass line of the development is based on an ascending third E♭–F–G, which is further elaborated as E♭–A–F–F♯–A♭–G. Jackson sees A (episode of resistance) as a preparation of subdominant harmony

Example 23: Shostakovich: Seventh Symphony, first movement, development

The overtly tragic recapitulation establishes C minor with all its might. Similarly to the Brahms and Sibelius movements discussed above, the logic of the musical development has made it impossible to return to an unquestioned tonic. In a larger context, C minor at the beginning of the recapitulation can be seen as a result of a certain treatment of the previously discussed two-voice motif that articulates the structural upper voice of many formal sections and of the entire movement (ex. 19). In this motif, the last tone of the motion into the inner voice E–E♭–D–C, as a rule, was accompanied by the restoration of the *Kopfton* E in the structural upper voice. However, at the beginning of the recapitulation, the arrival of the last tone of the motion into the inner voice (C), which unfolds over the huge span of the exposition and development in bars 1–498 (ex. 19c), activates another similar descent, which articulates the upper voice of the whole movement (ex. 19b). The beginning of the recapitulation thus coincides with the arrival of the last tone C of the lower-level descent and the second tone E flat of the higher-level descent as shown in example 24.

Example 24: Motif articulating the structural upper voice in the first movement of Shostakovich's Seventh Symphony

The impact of the minor mode is so overwhelming that it cannot be overcome throughout the recapitulation in its entirety. The secondary theme in F sharp major/minor can be

arriving as IV in bar 464. Since IV of bar 464 is not sufficiently supported by the bass, I prefer to see bars 429–475 as being based on a deep level arpeggiation of a diminished harmony A–G♭/F♯–E♭ prolonging, in its turn, the same static E♭ which was first introduced at the beginning of the development in bar 149 (see ex. 23d, e).

explained as a deep-level representative of the Neapolitan harmony preparing $\hat{2}$ within the *Urlinie* (ex. 25). The arrival of $\hat{2}$ of the fundamental line in bar 613 is again accompanied by a certain treatment of form that resembles that of Brahms. In Shostakovich, the final descent is interrupted by two relatively well-developed interpolations in bars 615–633 and 636–658. These interpolations are clearly isolated from the main course of the music (i.e. the musical 'present') by the 'framing' horn signals which represent $\hat{2}$ in the *Urlinie* and introduce and close the interpolations in bars 614, 635 and 660. The first interpolation is based on the material of the main theme; because it begins *piano* it may be understood as reminiscence rather than a true return. The second interpolation recalls material from the second part of the secondary theme of the exposition. Embedded in the context of a thematically much-transformed recapitulation, this material no longer serves to achieve closure (as it did in the exposition). Thus, by cancelling the musical 'present', these interpolations already represent coda rhetoric, which, analogously to Brahms, is introduced before the actual final descent of the *Urlinie*.

Example 25

It can be concluded that the first movement of the sonata cycle based, as a whole, on the major mode and following the narrative trajectory of the redemption paradigm displays certain characteristics in terms of tonal structure. First, the structural upper voice of such movements reveals a constant 'battle' between the major and minor *Kopfton*. The latter can appear as an enharmonic equivalent of the raised lower neighbour of the major *Kopfton* (Brahms and Sibelius), or as a chromatic passing tone between $\hat{3}$ and $\hat{2}$ of the descending 3-line (Shostakovich). Secondly, such movements usually lack an interruption, i.e., are undivided structures. In the works discussed here this may happen for one of two reasons. Either, $\flat\hat{3}$ is followed by enharmonic $\sharp\hat{2}$ which 'pushes' the structural upper voice back to $\natural\hat{3}$ and, therefore, does not allow it to continue downwards (Brahms and Sibelius). Alternatively, the arrival of the last tone of the motion into the inner voice does not restore the major *Kopfton* in the structural upper voice, as happens in the first half of the movement, but activates another similar motion. As a result, the last tone of the first descent coincides with the second, chromatic passing tone of the second descent. Thus, the dominant supporting $\hat{2}$ and preceding $\hat{1}$ of the first descent no longer functions as an interruption since it does not prepare the 'return', i.e. the restoration of the major *Kopfton* in the structural upper voice (Shostakovich).

However, most characteristic of the works discussed here is the considerable deformation of the recapitulation. Owing to the lack of interruption and proper preparation of the tonic major, the beginnings of the recapitulations of such movements no longer articulate the tonic major as unquestionably the main key of the work. In Brahms, the major *Kopfton*

and F-major triad are restored at the beginning of the recapitulation, but the latter displays off-tonic harmony, the dominant of B flat major/minor or – according to the alternative interpretation – a passing harmony in a larger harmonic progression connecting D minor dominant to its tonic. In Sibelius and Shostakovich, the beginning of the recapitulation marks the zenith of the flat side of the work, i.e. the place, in which the main tonality of the work is deflected to the minor to its greatest extent (with $\flat\hat{3}$ in the structural upper voice). Also common to the works discussed here is that they do not re-establish the tonic major sufficiently within the movement, i.e., within the sonata space. In Brahms and Shostakovich, the arrival of the structural dominant and $\hat{2}$ of *Urlinie* activates the coda rhetoric, which articulates the final descent as an event taking place in a musical 'past' or a distant 'future'. In Sibelius, the arrival of $\hat{2}$ of the deep-level descending-third line E flat–D flat–C flat similarly cancels the 'first movement' and introduces the 'scherzo'. Here, again, both the suggested tonalities of the 'first movement', E flat and C flat major, are sufficiently established only in the 'second movement', the 'scherzo' – E flat major in bar 218 and C flat in bar 142.

The structural characteristics described above allow us to understand the redemption paradigm in major-mode compositions as a specific interplay of tonal structure and form. In the works discussed above, voice leading structure tends to progressively lose its capacity to reflect and sufficiently articulate formal boundaries as the work progresses. For example, in the alternative reading of the first movement of Brahms's Third symphony (ex. 10), the F major harmony articulating the beginning of the recapitulation and the 'tight-knit' main theme respectively proves to be subordinate to the A major/minor and D major/minor harmonies, which articulate the secondary themes of the exposition and recapitulation, i.e., the areas representing looser formal sections of the piece (ex. 10f–h, bars 36–181). In Sibelius, the discrepancy between the voice leading structure and form becomes a norm from the second exposition onward where the beginnings and endings of the main formal sections do not coincide with the structurally prominent harmonies (ex. 12, from bar 41 onward). In Shostakovich, the tragic appearance of the beginning of the recapitulation is also caused by the structural upper's voice chromatic passing note E flat, which, in a sense, can be paralleled with that of the passing F major harmony articulating the beginning of the recapitulation in the first movement of Brahms's Third symphony, or the incomplete neighbour F flat dominating the upper voice at the end of the development and the beginning of the recapitulation of the first movement of Sibelius's Fifth symphony (compare bar 498 of ex. 19, bar 120 of ex. 10f–h and bars 104–114 of ex. 12).

The growing discrepancy between form and voice-leading structure reaches its apogee in the final descent, which in terms of surface rhetoric does not result in a conventional ending gesture. In Brahms, cadential 6/4 introducing the structural dominant in bar 183 resolves finally to V in bar 199, in which, together with the subsequent bars, there is considerable melodic activity, but, quite interestingly, avoids a clear articulation of $\hat{2}$, which arrives only in bar 201, now supported by the third inversion of V. All these factors create the misguided impression of an evaded cadence. In Sibelius, the cadences in C flat and E flat major (ex. 12, bars 142 and 218) that articulate the most important endings of the movement introduce no change in character and do not interrupt the energetic pace of music, which makes them stand out as intermediate stops rather than

fundamental closing gestures. In Shostakovich, the cadence rhetoric is lacking altogether – as already mentioned, the horn signals that represent the structural dominant herald the beginning and end of the extended interpolation in bars 614–660, a rhetorically different gesture compared to a normative cadence.

To summarize: unlike minor mode compositions where the anticipation of finale's 'redeeming' major in the first movement questions the status of the hitherto dominating minor, the redemption narrative in the first movement of major mode compositions is reflected in a composing out of a fundamental structure, which is gradually 'detached' from the form. This results in a growing number of deviations from the norm, including undivided tonal structure, harmonically unstable recapitulation and, last but not least, 'rhetorically corrupted' final descent. Unable to articulate formal boundaries, the harmony based on the major mode consequently loses its 'redeeming' power, which it may regain in subsequent movements.

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Kerri Kotta
Kerri Kotta works currently as a head of music theory section and associate professor at the Estonian Academy of Music and Theatre. In 2007 he received MA in composition and in 2004 PhD in musicology in EAMT. In 1994-2004 he has taught at Tallinn University and since 2004 at EAMT. Kerri Kotta's research interests include Schenkerian analysis, theories of form, and Estonian music. He has been also active as a composer. He is a chairman of the Estonian Musicological Society and Estonian Arnold Schoenberg Society, and also works as a managing director of the International Eduard Tubin

Society. The detailed CV of Kerri Kotta can be accessed at Estonian Research Portal:
https://www.etis.ee/portaal/isikuCV.aspx?PersonVID=36916&lang=en