

Transitional Functions: The Emergence of the Anticipatory Transition in Nineteenth-Century Sonatas

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Introduction

Scholars that specialize in form acknowledge that there are three distinctive sections of a sonata—exposition, development, and recapitulation—and each of those sections contain different thematic modules. In this paper, I focus on the thematic module known as the transition (TR), whose primary function is to take the music from point A to point B—the primary theme (P) to secondary theme (S). I examine musical concepts within the transition as it contains the melodic, rhythmic, and/or thematic material of a new subsequent theme. Seemingly, this concept builds on the notion of an independent transition as noted by Hepokoski and Darcy (2011, 95), but rather than the independent nature of the music looking backwards, the music in the transition foreshadows the music in subsequent modules as a main theme. This idea is an original concept I call an *anticipatory transition*. Different from Hepokoski and Darcy’s “The Developmental Transition” which discusses how motivic material in the P theme is seen again in the transition and then altered or develops the material much like a developmental section would. It is important to highlight that the anticipatory transition contains new material and that this theory builds on the independent transitions novelty. Hepokoski and Darcy share, “[any] aspect of the transition one wishes to emphasize, its seeming newness of tone and verve or its relatedness to certain features of past material,” insinuating that the TR contains elements of P that can be reworked, but not subsequent material (2011, 95, 97). Although, “the developmental transition” is similar to my original idea of “the anticipatory transition,” the main difference is that the former discusses how motivic material in the P theme is seen again in the transition and the latter explains how material in the TR comes back in a subsequent module as the main theme.

Hepokoski provides in brief from his book *A Sonata Theory Handbook* the different types of common transitions with specific regards to the “developmental transition,” as it emphasizes motivic development and harmonic action from P that is seen in the TR (2021, 60). Additionally, Hepokoski and Darcy discuss many different types of transitions, but each of those types are labeled in short as *independent*, *developmental*, and the *dissolving* types of transitions which either reuse P in some fashion or contain something new in the TR module, but do not anticipate any sort of melodic/thematic ideas (2011, 95-108).¹ The takeaway from these assertions is that these musical ideas derive from P that inform and affect

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the TR modules and with “independent” types, the new material in the TR does not come back in a subsequent module. This is contrary to my concept of the anticipatory transition as it oversees all musical aspects, as does Henrich Schenker’s theory of “linkage technique,” from the TR as a whole formal unit and examines how it is translated over to a subsequent module, namely the S or CL modules.² The anticipatory transition focuses on the overall transition or a significant phrase within the transition, not just smaller motivic units, which is different from Hepokoski and Darcy’s idea. It is also relevant to mention that Hepokoski and Darcy do state a “TR-like Fortspinnung,” and although this is similar to one of the methodologies proposed in my concept, it is different since Hepokoski and Darcy conclude with a denial of the Medial Caesura (MC) whereas the anticipatory transition presents a MC (2011, 46).

Background

As we delve deeper into the formal design, musical facets like smaller forms within the entire sonata form (for example a primary theme with an antecedent-consequent phrase) are more complex and may contain more idiosyncrasies than expected (Gjerdingen 1986, 25; Vande Moortele 2013, 408). Gjerdingen describes in their 1986 article “The Formation and Deformation of Classic/Romantic Phrase Schemata: A Theoretical Model and Historical Study,” that as scholars focus on the [classical] period, the more original and idiosyncratic those individual themes appear to be (1986, 25). In the same vein, Vande Moortele’s 2013 article, “In Search of Romantic Form: In Search of Romantic Form” discusses the problems of insufficient scholarship of romantic form results on theorizing based on classical norms—this proposes nineteenth-century works as a deformation or an idiosyncrasy to its formal design (2013, 408). Hepokoski and Darcy lay out the following model to describe the expected thematic module timeline in an eighteenth-century sonata exposition: primary theme → transition → secondary theme → closing—P-TR-S-CL (Hepokoski and Darcy 2011, 17).³

In Poundie L. Burstein’s 2020 book, *Journeys Through Galant Expositions* he suggests that sonata-form expositions containing these thematic modules also show “two resting points” (Burstein, 2020, 103 & 107): a MC (förmliche Absatz) following the TR, and an Essential Expositional Closure (EEC, förmliche Cadenz) after the S theme (Burstein, 2020, 340-341). Burstein summarizes Heinrich Christoph Koch’s approach to these phenomena (MC, EEC, including MC of recap and ESC) as “formal punctuation,” specifically the “final cadence” (cadential closures, musical breaks, and pauses) of each “period” (thematic section) all contribute to the structural foundation of each major section of the sonata (2020, 42). Additionally, Hepokoski and Darcy refer to the concept of formal punctuation as melodic punctuation (Hepokoski and Darcy 1997, 115).

It is essential to understand the structure and formal punctuation of the exposition because material that does not conform to this model is considered loosely organized (Caplin 1998) and a deformation to the formal structure of the sonata (Hepokoski and Darcy 2011, 11). Please note that Hepokoski and Darcy offer this idea of the “independent transition” which in essence is the same idea of the anticipatory transition by virtue of both concepts dealing with new material in the TR. The main difference is that the independent transition focuses on material preceding it, hence making new material in the TR independent, whereas the anticipatory transition focuses on the material succeeding it. For transparency, my original theory, the anticipatory transition, is a distinctive musical subject first presented in the TR module and then emerges as the main thematic unit in a subsequent formal module.

Theoretical Framework of the Anticipatory Transition

The anticipatory transition involves two main avenues through which a composer may create a new theme succeeding the TR. These two avenues are what I call “copy-and-paste” and “spun-out” anticipatory transitions, each of which lead into a new theme, a secondary or closing theme (or a hybrid of those two theme types).⁴ In further detail, the anticipatory transition has material that later returns, whether it is spun-out or pasted verbatim, as part of a new theme. The material can pertain to any musical aspect (such as rhythm, melody, or contour) and may be supported by other features like dynamics and/or harmony. The copy-and-paste anticipatory transition copies material in the transition and pastes those musical subjects in a subsequent module that results in its main theme. The spun-out anticipatory transition takes material in the transition and develops it into a new theme that is altered to a certain extent yet recognizable enough to be linked to the TR.

James MacKay (2004, 41-42) and Hepokoski and Darcy (2011, 11) state that any sort of atypicality to any of these musical concepts, including form, will be interpreted as an “deformation.” Rather than using “deformation,” which Hepokoski and Darcy do not entirely agree with (2011, 11), I will refer to these phenomena as an “idiosyncrasy” as a more up-to-date and appropriate term. Although, Hepokoski and Darcy’s concepts do not derive from nineteenth-century sonatas, it is still crucial for an analyst to understand these concepts to help contextualize what may be deemed a “deformation” or “idiosyncrasy” to be considered as a standard practice succeeding eighteenth-century works. This is important to discuss because there is a misconception that the transition has no function other than to shift the music from the primary theme to a secondary theme—and when this expectation is not followed, it is considered an

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idiosyncratic feature (Hepokoski and Darcy 2011, 101). However, closer examination of this specific type of compositional feature reveals that the transition has a much more complex function in some nineteenth-century sonata-form expositions—yielding a new function of the TR in Romantic-era sonatas.

Schenker explains the alteration of musical concepts like melody and rhythm is known as “linkage technique.” Linkage technique contributes to the development of new themes in subsequent thematic modules; for example, the Secondary or Closing theme (Smith 2007, 109), and this relates to Schmalfeldt’s adoption of Dahlhaus’s ideas to form as a process and the idea of “becoming” (2011, 9-10). In adopting and developing Schenker’s theory of linkage technique, it allows for the anticipatory transition to oversee musical concepts (like melody and rhythm) and tie those melodic/thematic features of the TR into a subsequent module. Thus, creating continuity and a sense of unity from one module to the next. Schmalfeldt’s book *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music* foregrounds this notion of processual form in late eighteenth-century works and nineteenth-century works.

My original idea of an anticipatory transition combines these two concepts by Schenker and Schmalfeldt into one, and through the dialogic framework of Hepokoski and Darcy, the material in the TR suggests a new function of the transition. Moreover, the notion of an independent transition is similar to the anticipatory transition, but the key takeaway is that my theory links the transition into a subsequent module, whereas the independent transition is in relation to the preceding modules. I will be focusing on compositions in the nineteenth-century repertoire, and I will utilize Hepokoski and Darcy’s concept of “dialogic form” as it constitutes a general framework, or rather a model (2011, 10). Additionally, Caplin, Hepokoski, and Webster assert that these models according to form constitute “generic norms, guidelines, possibilities, expectations, and limits of [a] given genre” (2010, 71-72). By using a dialogical model for analyzing eighteenth-century form, its accessibility and applicability becomes fundamental and easily comprehensible, and it also allows the analyst to discern the overall structure of the sonata—specifically each thematic module—despite any ambiguities presented (Schmalfeldt 2011, 17). Caplin notes that Classical and Romantic composers are more susceptible to experiment with the functionality of music, this as a result leads to less conventionality and in essence does not abide by a general framework. He also notes that Classical music provides a better sense of clarity, thus insinuating that the thematic modules are simpler for music theorists to analyze (1998, 3-4). This dialogic approach these formal theories derive from allows an analyst a general framework, or rather a specific set of rules and model they can use to instill in their analysis.

Overview of the Anticipatory Transition Research

To reiterate, the focus of my analyses is on the material within the transition and how it later appears—either pasted or spun-out—in subsequent thematic modules. In discussing my theory, I will focus on mid-nineteenth-century compositions by Charles Valentin-Alkan (1813-1888), Clara Wieck Schumann (1819-1896), and Frédéric Chopin (1810-1849).⁵ The research commenced with an interest in understudied composers where the paper focused on the works of Clara Schumann. As a result, the research branched into sonatas that were composed around the same period of time which then ties were made from Schumann to Chopin, and Chopin to Alkan, therefore these composers are the primary focus.

Focusing on sonatas from the early to mid-nineteenth century, I was able to connect Charles Alkan, Clara Schumann, and Frédéric Chopin, all of whom followed my anticipatory transition theory. From a historical perspective, Chopin moved to Paris in 1839 and became friends with Alkan, and it is evident that Chopin's musical associations greatly influenced Alkan's compositions (Im 2021, 21). Moreover, Schumann frequently performed Chopin's works in many of her recitals (Pettler 1980, 70-76). After analyzing their works, I discovered that they all exhibited this idiosyncratic trait in their compositions. The piano works of a French composer, a Polish-French composer, and a German woman composer/pianist portrayed interconnected yet idiosyncratic traits. Furthermore, the de-Germanization of these sonatas was likely influenced by a desire to challenge the norms and expectations established by early eighteenth-century German and Austrian composers. Building on this notion, these composers created a space for innovation and experimentation in their compositions. Additionally, as the nineteenth century progressed, composers embarked on an era of increased experimentation, paving the way for novel approaches in their compositions, striving to distinguish themselves (Brown 2013, 371). Consequently, the evolution of the sonata form was undoubtedly characterized by composers emphasizing originality over conformity (Brown 2013, 374).

These compositions highlight substantive aspects of the broader anticipatory transition concept such as: melodic and rhythmic development, alteration in accompaniment, and similar contour and melodic shapes.⁶ It is widely acknowledged that nineteenth-century sonatas tend to contain more formal ambiguities than earlier, eighteenth-century examples (Horton 2017, 1-2). However, late-eighteenth century sonatas are also prone to ambiguities and idiosyncrasies, and the prevalence of those elements in the late Classical and Romantic eras help support my main theory of the anticipatory transition

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(Hepokoski & Darcy 2011, 11). This is due to the general framework of a sonata where the anticipatory transition emerges. By understanding sonata-form structure, the TR is decipherable and the content within allows an opportunity to be examined thoroughly and considered for other functions such as my anticipatory transition concept. Below, I will discuss the two methods of composing an anticipatory transition—copy-and-paste and spun-out—in four musical examples, followed by my thoughts about the broader significance of the anticipatory transition in those pieces. The first methodology is a “copy-and-paste” anticipatory transition, where it takes a thematic unit presented within the TR and then presents it the same in a subsequent module. The second methodology is a “spun-out” anticipatory transition which takes a thematic unit presented in the TR and examines it developed in some fashion in a later thematic module—both methodologies present the idea in the TR, and it could be in either or both the S and CL themes.

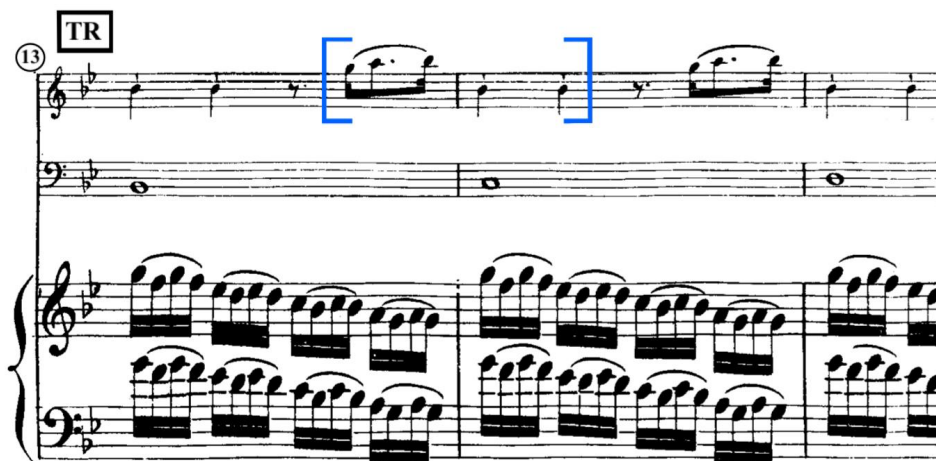
Copy-and-paste Anticipatory Transition in Charles Alkan

Charles-Valentin Alkan utilizes the copy-and-paste style anticipatory transition, which in this example the concept is presented in the exposition and in the recapitulation. Although the material in the exposition is a literal copy-and-paste, the recap applies a variation of the motive—resulting in both a copy-and-paste and spun-out anticipatory transition. In the exposition of Alkan’s Piano Trio in G minor Op. 30, he uses a motif that is presented in the transition and returns all throughout the first movement of the composition. The TR’s theme later becomes the thematic material in the closing section of the exposition and subsequently comes back redeveloped in the recapitulation. As Hepokoski and Darcy suggest, the significance of the TR module is to propel the *primary theme* into the *secondary theme*, and could potentially have thematic substance, but it does not characterize it as the main theme in later modules. Table 1 below outlines the formal structure of the exposition in this sonata to help better understand where the thematic modules begin and how they correspond to each other.

Table 1 below shows the beginnings and endings of each thematic module, which helps us decipher what material within the section supports the anticipatory transition. As shown in Example 1, the example is a copy-and-paste anticipatory transition meaning that the motive in the transition is presented the same in a different spot, specifically as the closing theme.

Thematic Modules	Key Area	Measures
Primary Theme (P Theme)	G Minor	Measures 1-12
Transition (TR)	G Minor → B-flat Major	Measures 13-19
Medial Caesura (MC) – with a MC fill	III: HC	Measures 16-19
Secondary Theme (S Theme)	B-flat Major	Measures 20-39
Essential Expositional Closure (EEC)	III: PAC	Measures 38-39
Closing Theme (CL)	B-flat Major	Measures 40-49

Table 1: Charles Alkan, Piano Trio No. 1 in G Minor Op. 30, Mvt. 1, Expositions formal outline.



Example 1: Charles Alkan, Piano Trio No. 1 in G Minor Op. 30, Mvt. 1, 13-14, TR melody.

Example 1 is an independent modulating transition due to the rhythmic and melodic differences it has in relationship to the primary theme. Understanding the structural framework of Alkan's exposition is important since it helps with having a clear distinction of the thematic modules through a dialogical perspective. Example 2 contains the motive of a 16th note-dotted 8th-16th note-and two quarter notes, and the closing theme presents the same motive in the cello while the piano and violin play a consistent moving 16th note theme.

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The image shows a musical score for Charles Alkan's Piano Trio No. 1 in G Minor, Op. 30, Movement 1, measures 40-41. The score is in G minor and 3/4 time. It features a cello (CL) melody in the upper right staff, a violin in the upper left staff, and piano accompaniment in the lower two staves. A box labeled 'CL' is placed above the first measure of the cello staff. A blue bracket highlights a specific melodic phrase in the cello staff across measures 40 and 41.

Example 2: Charles Alkan, Piano Trio No. 1 in G Minor Op. 30, Mvt. 1, 40-41, CL melody.

The violin presents the motive first in the transition and in the closing the cello takes over the motive. The cello takes over the thematic motive and almost functions as if it were trying to close the exposition since it is on the lower end of the instrument's tessitura and is easy to decipher in the CL module because of the copy-and-paste style.⁷ Alkan continues with the copy-and-paste methodology within the exposition, but proceeds and develops this motive into the recapitulation of the movement. He presents the copy-and-paste anticipatory transition throughout the exposition, but moving to the coda of the recapitulation, Alkan recomposes the motive and uses a “spun-out” anticipatory transition. It is recognizable as the new closing theme in the exposition and the recapitulation, then the motive develops rhythmically in the coda, and the TR motive is augmented in the very last two measures. Example 3 uses the same motive as a finale in the coda: Alkan keeps the rhythmic component going and passes it from the violin and cello to the piano.

Musical score for Example 3, measures 106-112. The score is in G minor, 3/4 time. It features a piano trio with violin, viola, and piano. The piano part is marked *al'8^{ve}*. The score shows a developed TR theme in the Codetta of the Recapitulation. Blue brackets highlight specific rhythmic patterns in the violin and piano parts.

Example 3: Charles Alkan, Piano Trio No. 1 in G Minor Op. 30, Mvt. 1, 106-112, developed TR theme in the Codetta of the Recapitulation.

Lastly, in Example 4, Alkan's last two measures are rhythmically enlarged which results as a spun-out anticipatory transition of the former motive.

Musical score for Example 4, measures 115-117. The score is in G minor, 3/4 time. It features a piano trio with violin, viola, and piano. The piano part is marked *al'8^{ve}*. The score shows a spun-out anticipatory transition of the former motive. Blue brackets highlight the rhythmically enlarged last two measures in the violin and piano parts.

Example 4: Charles Alkan, Piano Trio No. 1 in G Minor Op. 30, Mvt. 1, 115-117.

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Throughout the first movement, an anticipatory transition is used in a variety of ways. Alkan uses the copy-and-paste style of the anticipatory transition concept. This method is (quasi)identifiable because it is rhythmically developed and it is enlarged from its initial presentation, in addition to being placed in different sections such as the CL of the exposition and redeveloped in the recapitulation. Alkan's Piano Trio in G Minor is a clear-cut example of the copy-and-paste anticipatory transition.

Clara Schumann's Use of Anticipatory Transition

Clara Schumann uses the anticipatory transition in some of her own compositions. It is the focus of this section to bring to the forefront the style of a copy-and-paste anticipatory transition in Schumann's piano sonata and not the loosely-knit structure of this example. One of the main concerns in Schumann's piano music is that of formal structure and ambiguity to formal design as Stefaniak describes in his article "Clara Schumann's Interiorities and the Cutting Edge of Popular Pianism" (2017, 723).⁸ I examine the TR material which becomes a new theme in Schumann's works. In both of her works that I utilize in this paper, the TR module is "loosely organized," and the flexibility of the formal construction has allowed for more ideas to emerge, hence the anticipatory transition in both her sonata works (Caplin 1998, 17 & 19). Sock Siang Thia acknowledges the two distinct subjects (in Schumann's piano sonata), the first being in G minor which purports the idea of P theme material, and the second in E-flat major which insinuates the S theme (2014, 57-58). Although Thia does not refer to these sections as Hepokoski and Darcy would (P and S themes), these concepts are essentially one and the same.

Thematic Modules	Key Areas	Measures
Primary Theme	G Minor	Measures 1-14
Transition	G Minor → E-flat Major	Measures 15-25
Medial Caesura – with a MC fill	VI: HC	Measures 24-25
Secondary Theme	E-flat Major	Measures 26-70
Essential Expositional Closure	VI: PAC	Measure 70
Closing Theme	E-flat Major	Measures 70-89

Table 2: Clara Schumann, Piano Sonata in G Minor, Mvt. 1, Expositions formal outline.

Table 2 above shows each thematic module with respect to Hepokoski and Darcy's dialogic approach to sonata form.

While Thia presents the "first" and "second" subjects in her analyses, she fails to mention the TR module, but we can infer the location of the TR module through Hepokoski and Darcy. In *Elements*, the issue of where the TR module begins is a matter of importance, and thus the two theorists posit "Common Transition Strategies: The Independent and Developmental Types" to have a clearer sense of any TR ambiguities. Focusing on measure 15, the P theme is then restated, yet the material that follows begins to "dissolve" and move away from P. The *Elements* describes this phenomenon as a "dissolving restatement" as the melodic material of P is restated then transforms its harmonic proponents and causes tonal instability (Hepokoski and Darcy 2011, 100-101). Elora Grace Lencoski describes the material in the transition—reused in six different areas—does not uphold the expectations for a substantive TR (2019, 3). Arguably, the musical structure in the piano sonata adequately supports the notion of a TR that functions accordingly. In other words, there is a TR and the elements that constitute the TR are upheld according to Hepokoski and Darcy. In many cases it can be difficult to pinpoint exactly where the starting and ending areas of certain thematic modules are, but Jiaying Zhu's analysis of Schumann's piano sonata denies Grace's claim of a nonfunctional transition (a TR that does not conform to the expectations that are keen of a transition), and her analysis coincides with my argument and original concept of the anticipatory transition because of the same conclusions to the overall structure of the composition. The material within the TR, which Zhu identifies in the thematic timeline, returns into a later module (2016, 4). Zhu's contribution allows for my analysis of the formal structure to be confirmed, and as a result, the anticipatory transition is able to be fabricated.

Schumann's Piano Sonata in G minor embeds the concept of an anticipatory transition. In this case, it is in the style of a copy-and-paste that is brought back all throughout the exposition. The TR spans from measure 15-25. Material from the pickup to measure 18-20 is subsequently quoted in later themes. As Example 5 below shows, the TR material begins with a pickup note, followed by a rolled dominant seventh chord, then two articulated quarter notes, concluding with a descending eighth note line (blue brackets labeled A and B in Example 5). Transpositions of this motive make up the remainder of the TR. Subsequent quotations of this motive are the focus of the different thematic modules throughout the exposition.⁹

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The image shows a musical score for Clara Schumann's Piano Sonata in G Minor, first movement, measures 14 through 22. The score is written for piano and consists of two systems. The first system covers measures 14 to 18, and the second system covers measures 19 to 22. A box labeled 'TR' is placed above measures 14-18. A box labeled 'B' is placed above measures 19-20, and a box labeled 'A' is placed above measures 21-22. Blue brackets are drawn around measures 19 and 20, indicating the initial two units of the TR.

Example 5: Clara Schumann Piano Sonata in G Minor, Mvt. 1, 14-22, in blue brackets shows the initial two units of the TR.

This is first seen in the TR, which happens to be a dependent transition since it recycles material from the primary theme. The S theme begins in measure 26. Example 6 shows the copy-and-paste anticipatory transition and how it is reorganized in between the two secondary themes which are measures 33-43. In this instance, it is visible on the score how Schumann rearranges the order of the theme and by comparing Example 5 to Example 6 it demonstrates how Schumann plays and develops the theme in her own creative way. She takes two sections depicted in Example 5 that comprise the TR and rearranges them in Example 6. The ideas are the same with changes to harmonies and evidently the rearrangement of the sections of the TR (taking A and B and turning it into B and A, see Examples 5-6). The TR comprises measures 19 and 20 in Example 5, which contains two juxtaposing motives as examined earlier (Examples 5-6). It is evident that, in Example 6, the initial presentation (Example 5) is reorganized and altered slightly by the duration of the motive. Rather than a 1:1 measure ratio it is 2:2 and the harmonic rhythm continuously shrinks while being developed melodically and thematically.

Example 6: Clara Schumann Piano Sonata in G Minor, Mvt. 1, 31-43, in blue brackets shows the different units of the TR after S has begun.

Finally, at the very end of the exposition, beginning at measure 70, is where the CL module begins and concludes in the idea of the copy-and-paste anticipatory transition (Example 7).

Example 7: Clara Schumann Piano Sonata in G Minor, Mvt. 1, 67-74, in blue brackets shows the different units of the TR going into the CL and succeeding it.

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Considering the fact that once the theme from Example 5 is heard, this conditions the audience to anticipate a new theme since after each occurrence of Example 5 a new theme manifests.¹⁰ She uses this technique in a manner that serves to not confuse the listener, but to help guide their ears and to help them understand the music a little more in an informal way. Schumann almost blatantly highlights the anticipatory transition idea as she uses it in three different sections throughout the exposition.

Furthermore, Clara Schumann not only uses the copy-and-paste anticipatory transition technique, but in another piece, she utilizes the spun-out anticipatory transition to make a new theme.

Thematic Modules	Key Areas	Measures
Primary Theme	G Minor	Measures 1-21
Transition	G Minor → B-flat Major	Measures 22-44
Medial Caesura – with a MC fill	III: HC	Measures 41-44
Secondary Theme	B-flat Major	Measures 45-83
Essential Expositional Closure	III: PAC	Measure 84
Closing Theme	B-flat Major	Measures 84-89

Table 3: Clara Schumann, Piano Trio No. 1 in G Minor Op. 17, Mvt. 1, Expositions formal outline.

Table 3 above presents a clear P and S theme with the independent transition modulating from G minor to Bb major. In another of Schumann's notable compositions, her Piano Trio in G minor Op. 17., one issue that occurs in measures 30-32 (Example 8) is what the musical content succeeding the TR module is. In this instance, Schumann writes a melody that occurs in the TR module. A melody different from the P theme is presented—and not quite the S theme—but is connected to each other by virtue of contour and its melodic material which is altered slightly. The independent transition allows us to pinpoint where the TR is, and thus encapsulates the concept of an anticipatory transition because we can identify what materials are within the TR. The TR shares the characteristics of a new melody or theme and presents it as a new theme or is introduced in a later theme where it is recognizable. More often than not, these spun-out themes occur near the transition section of a given sonata. In Schumann's case, she composed a melody in the TR (Example 8) which is presented as the S theme (Example 9) with an alteration in the piano, but it is still recognizable when presented.

Example 8: Clara Schumann Piano Trio in G Minor, Op. 17, Mvt. 1, 26-37, in blue brackets shows the material of TR.

Example 9: Clara Schumann Piano Trio in G Minor, Op. 17, Mvt. 1, 44-50, in blue brackets shows the TR material that is developed.

Example 8 showcases the material in the TR and Example 9 is the spun-out anticipatory transition. Looking at how these two sections are different but how they are related through contour and melody is what makes this anticipatory transition most interesting. This theme is recognizable by looking at the emphasis of where the melody is stressed (example: beat one and beat two is where the

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melody is most noticeable) but is not rhythmically alike. An anticipatory transition does not need to be exactly the same but altered enough to be recognized as the anticipatory transition material.

In summary, Schumann's works produce both avenues of the anticipatory transition. The copy-and-paste and spun-out anticipatory transition is clear in her sonatas, and her compositional style demonstrates her command as a composer especially to formal structure. Clara Schumann's Piano Sonata and her Piano Trio, both in G minor, clearly present both methodologies of the anticipatory transition as each theme presented in the TR module has been spun-out or been copy-and-pasted later in the exposition of the sonata. After analyzing Schumann's piano sonata composed in 1841-42 it is clear that the idea of an anticipatory transition falls along the lines of a copy-and-paste, but redirecting the focus to her Piano Trio composed in 1846, she masked this concept by altering the melodies presented in the TR and S themes. The piano sonata's TR is a spun-out anticipatory transition, yet the two sections (Examples 5-7, A and B) that comprise the TR are restructured as the CL theme. Moreover, the Piano Trio Op. 17 showcases the melodic material in the TR module which unfolds to be the S theme, declaring it a spun-out anticipatory transition. It is apparent that with these alterations to the thematic modules, the anticipatory transitions material coincides with its subsequent themes by virtue of foreshadowing. Schumann composed liberally of the thematic modules after the transition, but as well as many other sections and labels. Schumann's examples contribute to the idea of an anticipatory transition where a rhythmic or melodic idea is presented in the TR module and then is either copy-and-pasted or spun-out into a new theme in a later module.

Spun-Out Anticipatory Transition in Frédéric Chopin

Another composer who uses this technique is Frédéric Chopin as he blends other musical elements into the mix which impart the anticipatory transition in more intricate ways. The method of an anticipatory transition is spun-out and concealed quite effectively, yet in a stately manner within Chopin's Piano Trio in G minor Op. 8. Chopin uses a combination of different musical concepts like melodic contour, shape, rhythm, and meter all of which contribute to the anticipatory transition concept and creates a new theme in a later module. The focus of Chopin's piano trio is how he blends different musical concepts within the TR and how he spins them into new themes throughout the exposition.

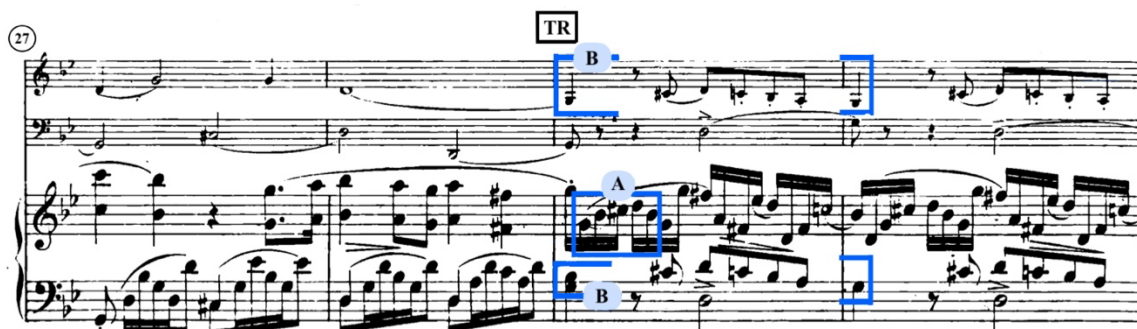
Thematic Modules	Key Areas	Measures
Primary Theme	G Minor	Measures 1-28
Transition	G Minor → B-flat Major	Measures 29-39
Medial Caesura – with a MC fill	i: HC	Measures 39-42
Closing-Zone Modules (c-zone)	G Minor → Eb Major → G Minor	Measures 43-70
“Essential Expositional Closure”	i: PAC	Measures 69-70
“Closing Theme”	G Minor	Measures 71-78

Table 4: Frédéric Chopin, Piano Trio No. 1 in G Minor Op. 8, Mvt. 1, Expositions formal outline.

Table 4 displays an approximate formal outline with respect to Andrew Aziz’s analysis (2015) and Hepokoski and Darcy’s approach in the *Elements*. As a final point to Table 4, acknowledging that the final two thematic modules, namely the “Essential Expositional Closure” and the “Closing Theme,” are labeled as such in an attempt to configure the formal outline to understand the overall structure of the exposition from a dialogical perspective.

Chopin’s TR, starting in measure 29, possesses the necessary elements such as a proper MC and a new thematic idea that is contrasting from P which in essence creates theme group 2. It is important to highlight that in Aziz’s 2015 article “The Evolution of Chopin Piano Sonatas: Excavating the Second Theme Group” proposes that the following theme group succeeding the MC in the Op. 8 does not abide by the rules Hepokoski and Darcy have to be considered the S theme, and the thematic material following the MC will be considered and referred to as a “closing gesture group,” essentially skipping over the S theme (2015, [2.4]). Furthermore, as the S theme is absent and the music moves to “c-zone modules,” the material in the TR anticipates the material into the subsequent module (Aziz 2015, [2.8]).

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Example 10: Frédéric Chopin, Piano Trio in G Minor, Op. 8, Mvt. 1, 27-30, two units of TR (A,B).



Example 11: Frédéric Chopin, Piano Trio in G Minor, Op. 8, Mvt. 1, 43-46, two units of TR developed in the CL gestures group.

The assemblage of concepts stated above, melodic contour and shape, and rhythm and meter are transformed and altered enough to be recognizable but spins out into what is considered the closing gestures group. Highlighting the examples within the transition, before the MC the violin and bass hand of the piano part contain the same rhythm (Example 10; Box “B”). The rhythmic motives are simplified inside CL gestures group (Example 11; Box “B”), but still maintain the basic foundation of that idea when it was initially presented in the TR, and keeping in mind that the rhythmic motive is passed from the violin to the cello. Along the same vein as rhythm, the piano right hand at the start of the TR undergoes a shift when it is presented in the “c-zone module.” The melodic material and contour of a rising four-note motive followed by the descent of a minor third is offset by a sixteenth note and because the notes are not identical and spun-out from the TR module (Example 10; Box “A”) to the subsequent module (Example 11; Box “A”).

The TR is essentially a spun-out anticipatory transition towards the c-zone module. Due to the ambiguous nature of the thematic modules, the S and CL modules are perceptively deceiving, but it can be concluded that the TR begins at measure 29 and that a MC occurs at measure 42 with a MC fill thus initiating the closing gestures at measure 43 (Aziz 2015, [2.7-2.8]). These two sections share

similar elements yet are not quite the same and it is important to bring to the forefront of how they correlate to each other. The notion of the anticipatory transition is executed quite clearly from an analytical sense and listeners' experience. Chopin uses a variety of musical concepts within the transition and recycles it into theme group 2 which after analysis becomes visible and recognizable throughout the entire sonata (the exposition and the recapitulation).

Conclusion

Throughout these four case studies—Alkan's piano trio, Schumann's piano sonata and piano trio, and Chopin's piano trio—there is a hidden sense of connectedness between the modules that share this idea of an anticipatory transition. The anticipatory transition concept—in which transition material is copy-and-pasted or spun-out in subsequent thematic modules—increases the complexity of how the transition functions in these nineteenth-century sonata expositions, the significance of which is downplayed by the term “deformation,” or more accurately an “idiosyncratic trait.” Through my analyses of anticipatory transitions in this paper, I hope to bring greater scholarly attention to the significance of transition material and its function(s) in the broader sonata exposition. My analyses demonstrate that such anticipatory transitions—though considered “idiosyncratic traits” or “aesthetics” that contribute to a loosely-knit formal structure, or lower-level defaults—offer a deeper sense of motivic/thematic unity within the sonata-form exposition (and in some cases the sonata as a whole).

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Notes

¹ As an added note, there are multitudes of concepts that contribute to the construction of transitions, or rather, other labels that help differentiate what type of transition a given example is analyzed as, but as a reminder most prospects are linking the primary module to the transition module and therefore allowed for my Anticipatory Transition theory to come into fruition.

² In Oswald Jonas's 1982 book, *Introduction to the Theory of Heinrich Schenker: the nature of the musical work of art*, shares that the concept of “Linkage Technique, mean[ing] that a new phrase takes as its initial idea the end of the immediately preceding one and then continues independently, either within the same formal unit: or to initiate a new section” (7-8). Essentially,

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linkage technique is an idea of musical repetition that links formal sections together and in effect allows for more continuity and cohesion in a given work.

³ The thematic module timeline is proposed by Hepokoski and Darcy in their textbook *Elements of Sonata Theory*.

⁴ This idea is similar to the Fortspinnung technique, but on a smaller scale. It can also be recognized as a *linking* anticipatory transition since the concept is very similar to Schenker's theory of linkage technique, but for now I will stick with spun-out.

⁵ In another example by Alkan, he composed "Symphony for Solo Piano Op. 39" in 1857. His composition shows elements of the anticipatory transition. With a long two-part transition and a V/V harmony supporting the S theme's melody it makes the music sound very unstable and difficult to decipher, but using Welborn's 1995 dissertation, his formal analyses align with the assertions I make about the symphony (1995, 43-47). Motivic elements in the two-part transition of the Op. 39 resonate with the S theme, but not so explicitly. Symphony for Solo Piano Op. 39 is not a transparent example of my anticipatory transition theory, but it is important to note that with further analysis, it can be perceived as such. As used in this paper, Alkan's Piano Trio recycles that motivic unit that becomes a later theme, a copy-and-paste style of the anticipatory transition which is reminiscent of the Symphony for Solo Piano Op. 39. As this project develops and I continue to research my anticipatory theory, I anticipate more examples will come to fruition in mid-to-late nineteenth century sonatas.

⁶ Melodic shapes and contour refers to how the melody looks despite the notes that are on the score.

⁷ The lower end of the ranges on the instruments being played creates a more stable and definitive closing statement. It helps ground the music more and inadvertently becomes louder because the cellos range and texture are dense, especially in that section. By using a different register of the instrument, it builds more color in the ensemble and makes for a more fitting cadence since it builds more stability and grounded-ness towards the EEC when it occurs.

⁸ Alexander Stefaniak's 2017 article "Clara Schumann's Interiorities and the Cutting Edge of Popular Pianism," discusses how certain elements in Clara Schumann's music are susceptible to ambiguities which in essence allows the postulation that she was able to make these elements in her more profound and showcased her expertise as a musician. Schumann was able to compose music in more eloquent ways and in many instances her music can build more character from her style. Stefaniak describes her music in a very theoretical way and implicitly states that she was ahead of her time and more so a pioneer of experimentation in some ways.

⁹ The analysis shows the beginning of the transition and two sections all bracketed in blue. Bracket A shows the first unit of the TR which is the pickup note(s), rolled dominant seventh chord, and the moving quarter notes (about a measure and a half), and Bracket B shows the descending eighth notes. These two sections comprise the transition and each section of the TR can be seen restructured later in the paper. It is also important to note that the TR begins with a dependent dissolving restatement concept that Hepokoski and Darcy note in their textbook *Elements*.

¹⁰ Anytime Example 5 (the transitions theme comprising section A and B together) is heard, the listener can expect to hear a new theme. Example 5 almost reacts as a prerequisite for subsequent themes to unfold in the overall form. As if Clara Schumann deliberately composes it to enact as an initiatory statement for subsequent thematic sections. Examples 5-7 illustrate the different moments in the piano sonata's exposition where the anticipatory transition material is present. To further elaborate, anytime the motive from the TR (Example 5) is heard, whether it is developed or reorganized, the listener can assume that a new theme is to come. As a side note, the second movement of Schumann's piano sonata does recycle this TR theme and is the

opening gesture in the second andante movement. This grants the TR module to higher status for an additional function as the material is used in a bigger development of the work rather than a simple motive in the expositions TR module.

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