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Brahms's Fugal Sonata Finales.

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BRAHMS'S FUGAL SONATA FINALES

A Monograph

**Submitted to the Graduate Faculty of the
Louisiana State University and
Agricultural and Mechanical College
in partial fulfillment of the
requirements for the degree of
Doctor of Musical Arts**

in

The School of Music

by

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B.M., University of Missouri at Kansas City, 1986

M.A., University of Denver, 1989

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DEDICATION

This monograph is dedicated to my husband, Joe Cosgrove, a man of infinite patience and loyalty, and to my three beloved daughters, Chrissie, Stephanie, and Emily Rose.

ACKNOWLEDGEMENTS

I am deeply indebted and forever grateful to Dr. Richard Kaplan for his incalculable contribution to the writing of this monograph, and to Professor Dennis Parker, for his monumental role in shaping me as a musician.

I would also like to thank the other members of my committee, Dr. William Grimes and Dr. Griffin Campbell, for their help and encouragement.

PREFACE

Chapters 2 and 3 of this monograph are intended to be read with the scores of Brahms's Cello Sonata in E Minor, op. 38, and Brahms's String Quintet in F Major, op. 88 in hand. Only musical examples that illustrate an analytical point are provided.

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ABSTRACT

The final movements of Brahms's Cello Sonata in E Minor, Op. 38 and String Quintet in F Major, Op. 88 epitomize Tovey's description of Brahms's style, "from the outset almost evenly balanced between the most dramatic sonata form and the highest polyphony," in combining fugue with sonata form.

Although previous authors have discussed Brahms's treatment of various genres, and there are multiple studies of individual movements of Brahms's chamber music, there has been no specific genre study of Brahms's fugal sonata movements. These two movements represent a unique and important aspect of Brahms's music in that they most explicitly illustrate the balance between counterpoint and sonata form.

Brahms systematically explores certain types of compositional issues throughout his career, as exemplified by the twenty-year span encompassing the composition of the Sonata (1862-65) and the Quintet (1882). The first chapter of this monograph documents the significance of these issues, as follows: 1) Brahms was a traditionalist, but although he revered his predecessors, and his music represents a vital continuation of the classical tradition, he was also subtly progressive; 2) Brahms made prodigious use of counterpoint in his music; 3) Brahms had an affinity

for early music; and, 4) Brahms often alluded to the music of other composers.

The final two chapters of this monograph consist of analytical investigations of the two movements, illustrating the highly concentrated way in which they address all these issues. Although the two movements are outwardly similar in format, each achieves its own unique solutions to the compositional problems inherent in that format.

CHAPTER 1

BRAHMS'S FUGAL SONATA FINALES: HIS STYLE EPITOMIZED

Introduction

The final movements of Brahms's Cello Sonata in E Minor, op. 38 and String Quintet in F Major, op. 88 epitomize Tovey's description of Brahms's style, "from the outset almost evenly balanced between the most dramatic sonata form and the highest polyphony,"¹ in combining fugue with sonata form.

Although previous authors have discussed Brahms's treatment of various genres,² and there are multiple studies of individual movements of Brahms's chamber

¹Donald Francis Tovey, "Brahms Chamber Music," in *The Main Stream of Music and Other Essays* (New York: Oxford University Press, 1949), 221.

²For example, Arno Mitschka, "Der Sonatensatz in den Werken von Johannes Brahms" (Ph.D. diss., Johannes-Gutenberg-Universität, Mainz, 1961); Werner Czesla, "Studien zum Finale in der Kammermusik von Johannes Brahms" (Ph.D. diss., Rheinische-Friedrichs-Wilhelms-Universität, Bonn, 1968); Elaine R. Sisman, "Brahms's Slow Movements: Reinventing the 'Closed Forms'," in *Brahms Studies: Analytical and Historical Perspectives*, ed. George S. Bozarth (New York: Oxford University Press, 1990): 79-103; and Sisman, "Brahms and the Variation Canon," in *19th-Century Music* 14: 132-153. Two articles addressing problems in Brahms's sonata forms specifically from a Schenkerian perspective are Peter H. Smith, "Brahms and Schenker: A Mutual Response to Sonata Form," *Music Theory Spectrum* 16 (1994): 77-103; and Smith, "Liquidation, Augmentation, and Brahms's Recapitulatory Overlaps," *19th-Century Music* 17 (1994): 237-261.

music,¹ there has been no specific genre study of Brahms's fugal sonata movements. These two movements represent a unique and important aspect of Brahms's music in that they explicitly illustrate the balance between counterpoint and sonata form. Moreover, aside from their formal similarities, these two movements also illustrate Brahms's practice of alluding to music of other composers.² The purpose of the monograph, then, is to establish the relationships between Brahms's highly contrapuntal style, his regard for the music of earlier composers, and his systematic exploitation of the possibilities inherent in sonata form, and to show how these three strands interweave in the finale movements of the Sonata and the Quintet.

¹For example, Harold Truscott, "Brahms and Sonata Style," *The Music Review* 25 (1964): 186-201 [on the first movement of the Sextet in B-flat, op. 18]; Allen Forte, "Motivic Design and Structural Levels in the First Movement of Brahms's String Quartet in C Minor," in *The Musical Quarterly* 69 (1983): 471-502 [reprinted in *Brahms 2: Biographical, Documentary and Analytical Studies*, ed. Michael Musgrave (Cambridge: Cambridge University Press, 1987), 165-196]; and Roger Graybill, "Harmonic Circularity in Brahms's F Major Cello Sonata: An Alternative to Schenker's Reading in *Free Composition*," *Music Theory Spectrum* 10 (1988): 186-201.

²See Kenneth Ross Hull, "Brahms the Allusive: Extra-Compositional Reference in the Instrumental Music of Johannes Brahms" (Ph.D. diss., Princeton University, 1989).

Brahms the Traditionalist

Brahms has been labelled "the great classicist" of the nineteenth century.⁷ Graybill further describes Brahms's relation to the classical tradition, stating that "Brahms was keenly aware of his place within this tradition, and drew much of his inspiration from it."⁸ Brahms's reverence for the music of Haydn, Mozart, Beethoven, and Schubert, and the inspiration he drew from these composers, is indicated most significantly by his extensive use of sonata form.⁹ Brahms's instrumental compositions were of critical importance in the continuation of this tradition because of the revitalization of forms (such as sonata) less used in the Romantic era, with its stress on program, text, and miniature music.¹⁰ Indeed, Tovey asserts that "Brahms's music ... showed a mastery of classical technique unknown since Beethoven."¹¹

⁷Musgrave, *The Music of Brahms* (London: Routledge and Kegan Paul, 1985), 1.

⁸Graybill, "Brahms's Three-Key Expositions: Their Place Within the Classical Tradition" (Ph.D. diss., Yale University, 1983), 1.

⁹Graybill, "Brahms's Three-Key Expositions," i. James Webster, "Schubert's Sonata Form and Brahms's First Maturity," *19th-Century Music* 2 (1978): 18-35, and 3 (1979): 52-71, describes the influence of the music of Schubert on Brahms.

¹⁰Musgrave, *The Music of Brahms*, 89.

¹¹Tovey, "Brahms Chamber Music," 225.

Brahms's devotion to sonata form is best demonstrated by the number of works in which it is employed, including more than one-third of his music with opus numbers, or one quarter of the total of his surviving works: thirty-eight instrumental works with the sonata idea.¹⁰

However, in contrast to this image of Brahms as a traditionalist, there is also a conflicting view according to which he was subtly progressive, creating new contributions to music beneath the conventional surface.¹¹ It is reasonable to view Brahms's music, then, as a blend of the reverently traditional and the subtly progressive, as he provided continuity with the past in the harmonic language of his present. Even in Brahms's pervasive use of the highly Classical sonata form, he "... did not view sonata form merely as a pre-existing formal shell. He constantly toyed with its limits, and at times verged on creating new forms altogether, even while adhering to the dramatic sonata style. Indeed, there is something heroic in his willingness to experiment to the degree that he did,

¹⁰William S. Newman, *The Sonata Since Beethoven*, 3rd ed. (New York and London: W.W. Norton, 1983), 321.

¹¹Musgrave, *The Music of Brahms*, 1. Also, see Arnold Schoenberg, "Brahms the Progressive," in *Style and Idea*, ed. Leonard Stein (Berkeley and Los Angeles: University of California Press, 1984), 398-441.

given his commitment to the tradition of the masters who preceded him."¹²

Brahms the Contrapuntalist

Brahms not only was aware of his place within the Classical tradition, but drew much inspiration from Renaissance and Baroque music. Counterpoint, one of the most consistently important aspects of this music, was of constant and tremendous significance in Brahms's music and in his musical thinking. Brahms's personal study, *Octaven u. Quinten u. A.*, illustrates this significance. The title of this study aptly describes its contents: 140 examples of successive octaves and fifths and related progressions found in works by many composers, and Brahms's critical comments on these progressions.¹³ Schenker argues that this study must have been important to Brahms, or he would have destroyed it as he did anything else he deemed unworthy of public examination. According to Schenker, this demonstrates that Brahms must have wanted "posterity" to know "his deep concern for his art, how diligent he was, even to the extent of studying detailed questions of voice leading".¹⁴ Mast concludes that this diligence and concern

¹²Graybill, "Brahms's Three-Key Expositions," 362.

¹³Paul Mast, "Brahms's Study, *Octaven u. Quinten u. A.*, with Schenker's Commentary Translated," *The Music Forum* 5 (1980): 1.

¹⁴*Ibid.*, 142.

proves Brahms's devotion to the development of his contrapuntal technique.¹⁵ Mast uses the following evidence to date the study: 1) the publication dates indicated by Brahms, 2) certain aspects of the physical appearance of the autograph (including types of paper), and 3) biographical information relevant to works represented by examples in the study. This evidence leads Mast to deduce that it was set down at two or three different times, and that it was accomplished over many years of reflection, thus verifying Brahms's "lifelong dedication to the heart of contrapuntal composition."¹⁶

Brahms's correspondence with Joseph Joachim provides further evidence of the significance the study of counterpoint held for him. Brahms and Joachim exchanged exercises in counterpoint and reciprocal criticism of these exercises through a series of letters beginning in 1856. In one such letter from February 26, 1856, Brahms reminds Joachim of the plan for the two to send each other contrapuntal exercises, and exhorts him to carry out this plan. The plan was to send the exercises back and forth in a fortnight, with remarks and with the writer's own work, this to continue "for a good long time, until we both become really clever." Brahms stated that these exercises

¹⁵Ibid., 1.

¹⁶Ibid., 162-166.

would teach himself and Joachim "better than any professor," and was highly enthusiastic about the idea. He urged Joachim to reply not just in words, but with the first exercise.¹⁷ In a recent study, David Brodbeck carefully traces the progress of the Brahms-Joachim counterpoint exchange.¹⁸ From the period dating from February 26 through July 22, 1856, Brahms and Joachim exchanged eighteen letters which included regular, augmentation, double, circle, and inversion canons for up to seven voices, and complete fugues as well as fugue subjects with answers. After a lapse of three months, the counterpoint exchange was reinstituted on October 19, 1856. This new set of exchanges, continuing through December 5, 1857, included twelve letters. However, these twelve letters were mostly a series of encouragements from Brahms to Joachim to resume the exercises and held very little music. Finally, a short renewal of the exchange occurred in September and October of 1861, but here again, the correspondence did not include many actual counterpoint exercises. Therefore, the first series of exchanges

¹⁷Nora Bickley, trans. and ed., *Letters From and To Joseph Joachim* (London: Macmillan, 1914; reprint, New York: Vienna House 1972), 120.

¹⁸David Brodbeck, "The Brahms-Joachim Counterpoint Exchange; or, Robert, Clara, and 'the Best Harmony between Jos. and Joh.'," in *Brahms Studies 1*, ed. David Brodbeck (Lincoln and London: University of Nebraska Press, 1994), 30-80.

(February 26 through July 22, 1856) encompassed the greatest body of contrapuntal exercises."¹⁹

Given Brahms's enthusiasm for the study of counterpoint, as illustrated by *Octaven u. Quinten u. A.* and by the exchange of contrapuntal exercises in his correspondence with Joachim, the extensive appearance of strict contrapuntal procedures in its many forms in Brahms's music is hardly surprising. Brahms's music includes many works that are inherently contrapuntal, such as those specifically entitled Canon and Fugue. This indicates a greater extent of systematic contrapuntal technique than that found in the work of almost any other mid-19th Century composer.

It is significant that Brahms wrote much of his most studied contrapuntal music early in his career; while the dates of these works range from 1854 to 1877, most of the free-standing canons and fugues appeared in the late 1850's and early 1860's. An interesting correlation can be drawn between this time period and the period in which Brahms and Joachim were exchanging counterpoint exercises (1856-1861; see pp. 6-8, above). Brahms's free-standing canons and fugues are shown in Table 1.1 (see p. 9, below).

Strict counterpoint is a hallmark of Brahms's style even in works not considered inherently contrapuntal. In

¹⁹Ibid., 34-37, and 62-63.

the instrumental music, this is especially apparent in two extensive fugatos: the Piano Concerto No. 1 in D Minor, op. 15, third movement (beginning in m. 238), and the

Table 1.1: Canons and Fugues

Canons

op. 29/2	Motet, Schaffe in mir, Gott, ein rein Herz (Mvts. 1 & 3 pt.1)	1860
Op. 30	Geistliches Lied	1856
Op. 37	Drei geistliche Chöre	1859/1863
Op. 44	Zwölf Lieder und Romanzen: Marznacht (#12)	1859-1860
Op. 113	Dreizehn Kanons	1859-1863?
WoO 25	Mir lächelt kein Frühling	1877?
WoO 26	O wie sanft	[Late 1860's- early 1870's]
WoO 27	Spruch--In dieser Welt des Trugs	1854-55?
WoO 28	Töne, lindernder Klang	[Late 1850's- early 1860's]
WoO 29	Wann?	?
WoO 30	Zu Rauch muss werden	?

Fugues

Op. 24	Variations and Fugue on a Theme by Handel (Finale)	1861
Op. 29/1	Motet: Es ist das Heil uns kommen her (m. 11-end)	1860
Op. 29/2	Motet: Schaffe in mir, Gott, ein rein Herz (Mvts. 2 & 3 pt.2)	1860
Op. 45	Ein deutsches Requiem (Mvts. 3 & 6)	1866
Op. 74/1	Motet: Warum ist das Licht gegeben dem Mühseligen? (Mvt. 1)	1877
WoO 7	Chorale Prelude and Fugue: O Traurigkeit, o Herzleid	1858
WoO 8	Fugue for Organ in A-flat Minor	1856
WoO 9	Prelude and Fugue in A Minor	1856
WoO 10	Prelude and Fugue in G Minor	1857

original version of the Piano Trio in B Major, op. 8, first movement (mm. 354-395).

Certainly the most prominent form of counterpoint in Brahms's music, however, is canonic imitation, which can be found not only in the free-standing canons cited above, but throughout his work, and nowhere in greater concentration than in his chamber music in sonata form.²⁰ Although standard canons at the unison and fifth permeate Brahms's music, multiple examples of three special types of canons are also of particular import in his music: 1) stretto canon, in which the imitative entrances of successive phrases occur at increasing rates of speed; 2) double canon, in which more than one canon occurs simultaneously; and 3) most exceptionally and prodigiously, inversion canon, in which imitation involves literal intervallic inversion.²¹ The following four examples are representative of these extraordinary types of canons as they appear throughout all of Brahms's creative periods.

The fourth movement of the Sextet No. 1 in B-Flat Major, op. 18 exhibits a double stretto canon in the

²⁰Jürgen Wetschky, *Die Kanontechnik in der Instrumentalmusik von Johannes Brahms*, Kölner Beiträge zur Musikforschung 35 (Regensburg, Gustav Bosse Verlag, 1967), 233, states that other than in the free-standing canons, 65% of Brahms's canons are found in his chamber music.

²¹As Wetschky points out (*Die Kanontechnik*, 198), inversion canons are more common in Brahms's instrumental music than any except those at the unison/octave or at the fifth.

development section between the violins and cellos and between the two violas at a perfect fifth below.²² The stretto occurs in this way: in measure 180, the canons occur a measure apart, with half notes and quarter notes in the violins and cellos; in measure 184, the rhythm is compressed, with quarter notes and eighth notes in the outer voices and the original viola passage fragmented, the canons thus occurring here a half measure apart (see Example 1.1).



Example 1.1: Sextet No. 1, op.18/IV, mm. 180-188

An extraordinarily complex stretto canon occurs in the retransition from the first movement of the Quartet No. 3 for Piano and Strings in C Minor, op. 60 (see Example 1.2, pp. 12-13). Canonic imitation begins in measure 176 between the violin and viola at the octave, three beats (or

²²This and the following two examples are also discussed by Wetschky (*Die Kanontechnik*, pp. 58-59, 114-116, and 88, respectively).

one measure) apart. In measure 185, the imitation occurs two beats apart at the tenth, and at measure 191, a quarter note apart at the sixth with an added entry in the piano right hand.²³

Example 1.2: Piano Quartet No. 3, op. 60/I, mm. 176-194
(example con'd.)

²³This canon is also described in James T. Smitherman, "Of Variations and Themes: A Study of the First Movement of Brahms's Piano Quartet in C Minor, Opus 60" (M.M. thesis, Louisiana State University, 1992), p. 34.

poco a poco cresc.

poco a poco cresc.

poco a poco cresc.

poco a poco cresc.

sempre più f agitato

sempre più f agitato

sempre più f agitato

sempre più f agitato

The next two examples reflect Brahms's predilection for the inversion canon. The first movement of the Sextet No. 2 in G Major, op. 36 includes a double inversion canon in the second ending which serves as a transition to the development (see Example 1.3, p. 14).

The second movement of the Trio No. 2 for Piano, Violin, and Cello in C Major, op. 87 features inversion canon as an important formal device. The movement is a



Example 1.3: Sextet No. 2, op. 36/I, mm. 217-238

theme and variations; the theme ends with a pair of phrases (mm. 21-24, and mm. 24-27) the second of which is a literal inversion of the first (see Example 1.4, p. 15). The ending of each variation is a transformation of these two phrases; the second phrase in each case is an inversion of the first.²⁴

²⁴Wetschky also mentions the inversion canon found in the coda of this movement (*Die Kanontechnik*, pp. 135-136);



Example 1.4: Piano Trio No. 2, op. 87/11, mm. 21-27

These examples of canonic imitation are a small sample of the monumental number of canons found throughout Brahms's chamber music. The following list is a representative collection of further examples of this vital Brahmsian compositional procedure (divided into the categories of standard, stretto, and inversion canons): 1a) standard canons: the Horn Trio, op. 40, first movement, measure 29, and third movement, measure 19, and the String Quartet op. 51, No. 2, second movement, measure 43; 2) stretto canons: the Clarinet Sonata op. 120, No. 1, first movement, measures 68 and 183; and 3) inversion canons: the Piano Quintet, op. 34, first movement, measure 137, the Clarinet Trio, op. 114, first movement, measure 52, and fourth movement, measure 45, and the Clarinet Sonata op. 120, No. 1, first movement, measure 214.

however, he makes no note of the inversionally related phrase pairs that end the theme and each variation.

Brahms and his Predecessors

Brahms's use of older genres such as fugue and motet, as well as other antiquated forms such as chorale prelude and passacaglia (for example, the Eleven Chorale Preludes, op. 122, and the passacaglias found in the last movements of the Variations on a Theme of Haydn, op. 56, the Neue Liebeslieder-Walzer, op. 65, and the Symphony No. 4, op. 98) illuminates his reverence for the music of his predecessors. Brahms's extensive early music library further documents this reverence,²⁵ although his contemporaries regarded his interest in early music as eccentric. The definition of "early music" in the context of Brahms's life embodies the mid-to-late Renaissance in Italy and Germany, encompassing such composers as Isaac, Senfl, Palestrina, Lasso, Eccard, and Praetorius, and extending to Baroque composers such as Bach and Handel.²⁶

The music of Haydn, Mozart, and Beethoven was also of great interest to Brahms, and this music was accepted by performers and audiences of his time. By contrast, the neglect of early music at this time presented difficulties in producing performances; many times, editions had to be

²⁵Virginia Hancock, *Brahms's Choral Compositions and His Library of Early Music* (Ann Arbor: UMI Research Press, 1983).

²⁶Ibid., 5.

made, performers to be convinced, and audiences recruited.²⁷ Nevertheless, there was a trend towards early music revival during Brahms's lifetime, and in particular a revival of Bach's music was underway by 1850.²⁸ In Leipzig in the latter half of the 1830's, Mendelssohn had campaigned for the recognition of forgotten eighteenth-century works, introducing Bach's orchestral suites into the civic concert hall. Also, in the winter season of 1837-1838, Mendelssohn initiated the "historical concerts," which consisted of music from Bach up the time of the concerts and included music of Handel, Viotti, Haydn, Cimarosa, Naumann, Righini, Mozart, Salieri, Méhul, B.H. Romberg, Beethoven, and Abbé Vogler.²⁹ The founding of the Bach-Gesellschaft on the centenary of Bach's death (1850) to publish a complete critical edition of his works further established the revival of Bach's music. The Bach-Gesellschaft edition first appeared in 1851, with additional volumes coming out approximately once a year.³⁰ Brahms had an interest in the preservation of early music as well as in the promotion of

²⁷Ibid.

²⁸Ibid., 6.

²⁹Karl-Heinz Kohler, "Mendelssohn (-Bartholdy), (Jakob-Ludwig) Felix," *The New Grove Dictionary of Music and Musicians* v. 12 (London: Macmillan Publishers, 1980), 139.

³⁰Malcolm Boyd, "Bach," *The New Grove Dictionary of Music and Musicians*, v. 1 (London: Macmillan Publishers, 1980), 881.

early music performance. Hancock describes Brahms's library as "a considerable collection of Renaissance and Baroque music, much of which he copied himself, and also a number of books and journals on the subject."¹¹

The library consists of abschriften, or handwritten copies, and printed books and music. The following categories of abschriften included in Brahms's library illustrate Brahms's diligence in preserving early music, the first four categories being works that Brahms wrote out himself: 1) works not available in a modern edition, 2) works for which Brahms lacked money, 3) works handwritten in order to study the techniques of notation or making scores from part books, 4) short extracts to add to *Octaven u. Quinten u. A.*, 5) works that were handwritten gifts from friends, and 6) works handwritten by unknown copyists.¹²

This list of abschriften demonstrates Brahms's veneration for the music of his predecessors, in that if a work was not available in a modern edition, Brahms would create one, and if he did not have the money for a work, he would write it out himself. His esteem for early composers is revealed through his aspiration to emulate these composers through studying their techniques (for example, counterpoint). Brahms highly appreciated a gift of early

¹¹Hancock, *Brahms's Choral Compositions*, 8.

¹²*Ibid.*, 11.

music from a friend, whether handwritten or printed. In a letter sent from Berlin in April, 1896, Joachim inquired if Brahms owned Haydn's "The Ten Commandments arranged as Canons" in the old Härtel edition. Joachim offered this to Brahms if Brahms didn't own it, as proof that he "thinks always" of Brahms. Brahms's grateful response came from Vienna, April 10, 1896, in which he replied that he owned Haydn's canons only in his own writing, and the old edition would be "doubly welcome, coming from ... Joachim".

Brahms the Allusive

Hull defines allusion as "an intentional, extra-compositional reference made by means of a resemblance," and as "a stylistic device used by a composer to direct attention to the passage which is alluded to and the context it appears in, the recognition of which should contribute to the listener's understanding of the music."³⁴ Allusion also illustrates the influence of Brahms's predecessors on his musical thinking. It is Rosen's belief that in order to appreciate Brahms's music, one must be aware of what influenced it. Rosen further contends that "Brahms was a master of allusion, and generally intended his references to be heard".³⁵ Hull concurs with Rosen,

³⁴Bickley, *Letters to and from Joachim*, 452-453.

³⁵Hull, "Brahms the Allusive," 7.

³⁶Charles Rosen, "Influence: Plagiarism and Inspiration," *19th-Century Music* 4 (1980-81): 91-94.

stating that there are "many instances throughout the instrumental music (of Brahms) ... of thematic resemblances to the music of Brahms's predecessors. Many of these resemblances are neither fortuitous resemblances nor simple borrowings, but purposeful references of significance for our understanding of the pieces which contain them."³⁶

Hull's criteria for establishing the validity of an allusion are the following: 1) exactitude, meaning the degree of precision of the allusion, 2) singularity, meaning the degree of distinctiveness of the allusion, 3) multiplicity, meaning the number of points of resemblance, 4) historical plausibility, meaning the connection between the composer and the work the composer referred to for that particular allusion, 5) prominence, meaning the importance of the structural, melodic, and rhythmic roles of the passage alluded to in both works, 6) integrity, meaning the degree of structural, melodic, and/or rhythmic coherence of the unit in both works, and 7) function, meaning the extra-musical association of the allusion.³⁷ The variety and range of Brahms's allusions is quite broad, and may take any one or combination of the following forms: stylistic, structural, textural, thematic, and motivic.³⁸

³⁶Hull, "Brahms the Allusive", iii.

³⁷Ibid., 62-90.

³⁸Ibid., 3-5.

The fact that Brahms was well aware of these allusions is exemplified in this famous anecdote:

"When a musical wiseacre of his acquaintance expressed his enthusiasm over the C Minor Symphony and added that it was only regrettable that the theme of the finale was so like the one in the ninth symphony, Brahms looked the gentleman up and down and replied rudely: 'Yes, and still more regrettable that any ass can see it at once.'"³⁹

Thus, Brahms's indebtedness to his predecessors extends to the art of allusion; Brahms alluded to music of other composers extensively, in stylistic, structural, textural, thematic, and/or motivic forms, and Brahms was fully cognizant of these allusions.

Precedents to the Fugal Sonata Combination

Brahms's composition of the fugal sonata finale movements of the op. 38 Cello Sonata and the op. 88 String Quintet is a logical result of his predilection for sonata forms along with his willingness to manipulate these forms to create innovative structures, the thorough integration of counterpoint into his musical style, and his esteem for and allusion to the music of his predecessors.

Because of Brahms's regard for earlier music, it is realistic to regard certain movements in the chamber music of Haydn, Mozart and Beethoven as precedents or even

³⁹Max Kalbeck, *Johannes Brahms*, v. 3/1 (Berlin: Deutsche Brahms Gesellschaft, 2nd ed., 1912-1913), 109. Translation as given in Hull, "Brahms the Allusive," 14.

prototypes for the combination of sonata and fugue in Brahms's Sonata and Quintet.

Three of Haydn's "Sun" Quartets, op. 20, written in 1772, conclude with Fugues: Nos. 2, 5, and 6. These strictly fugal finales might logically have served as inspiration for Mozart's Quartets in F Major, K. 168, and D Minor, K. 173, which were written only one year later in 1773 and also conclude with fugues. Mozart again incorporated fugue into his chamber music in the finale of the Quartet in G Major, K. 387, but this time the fugue is fused with sonata form. This movement is especially interesting in that it is a double fugue, by virtue of the fact that the second theme group is also a fugue with its own subject and structure. This quartet is the first of the six dedicated to Haydn, which Mozart composed in 1782-85 after being impressed by Haydn's op. 33 Quartets, composed in 1781. Thus, the fugal sonata finale in K. 387 was most likely influenced by both the op. 20 and the op. 33 Quartets of Haydn. There is further logic in Mozart's writing fugues at this time, as there was a revival in fugal writing (perhaps led by Albrechtsberger) currently underway. In fact, Mozart also transcribed five Bach fugues for string quartet in 1782.

Just as Haydn influenced Mozart in chamber music fugal writing, Mozart may have had some influence on Beethoven in this area, as Beethoven had already written out a copy of

Mozart's K. 387 by the time he composed his op. 18 quartets."⁴⁰

Beethoven made extensive use of fugue in his chamber music, but only two works employ the fugal-sonata combination. These two are the Quartet in C Minor, op. 18/4 (in which, interestingly, the fugal sonata constitutes the scherzo/slow movement rather than the finale), and the finale of the third "Rasoumovsky" Quartet in C Major, op. 59/3.⁴¹ In each of these two works, the first group consists of a fugal exposition which recapitulates with a new countersubject.

The analyses of the finales of Brahms's Sonata and the Quintet in the next two chapters will show that, although Brahms's fugal sonata finales were influenced by these precedents, and there are definite formal similarities between these precedents and Brahms's works, Brahms developed innovative solutions to the problems created by the mixture of these two genres.

Conclusion

Brahms's fugal sonata finales are of great consequence to the understanding of his music because they are emblematic of so many fundamental components of his

⁴⁰Paul Griffiths, *The String Quartet* (London: Thames and Hudson, 1983), 88-89.

⁴¹Joseph Kerman, *The Beethoven Quartets* (New York and London: W.W. Norton, 1966; published as Norton Paperback by arrangement with Alfred A. Knopf, Inc., 1979), 144.

compositional style. Brahms's awareness of his place within the Classical tradition, and the inspiration that he drew from it, resulted in his revitalization of Classical forms. The prevalence of sonata form in Brahms's music was of critical importance in maintaining the continuity of the Classical tradition during Brahms's time. Brahms's experimental attitude toward expanding the limits of sonata form created innovative structures within traditional forms.

Moreover, Brahms was also greatly influenced by Baroque music, the effect of which is seen especially in the tremendous significance of counterpoint in Brahms's music and in his musical thinking. The impact of counterpoint on Brahms's musical thinking is revealed through his personal study of contrapuntal techniques, *Octaven u. Quinten u. A.*, and through his exchange of contrapuntal exercises with Joachim. The central role of counterpoint in Brahms's music is demonstrated by his extensive employment of strict contrapuntal procedures, both in works that are inherently contrapuntal such as those bearing the titles of Canon and Fugue, and within works that are not regarded as inherently contrapuntal.

In their combination of fugue and sonata form and their prominent use of allusion, the final movements of Brahms's Cello Sonata, op. 38 and String Quintet, op. 88 epitomize his approach to sonata form, his thorough

exploitation of counterpoint, and his respect for the music of his predecessors. The two remaining chapters will address these issues in detail in each of the two movements.

CHAPTER 2

SONATA NO. 1 FOR PIANOFORTE AND VIOLONCELLO, OP. 38, THIRD MOVEMENT

Sonata Overview

The last movement of Brahms's Cello Sonata in E Minor, op. 38 (1862-1865), is a masterful synthesis of Baroque, Classical, and Romantic compositional styles. This combination grows out of Brahms's use of form, allusion, and genre in all three movements of the sonata.

Formal Structure

The Sonata's last movement is formally reminiscent of the final movements of Mozart's String Quartet in G Major, K. 387 and Beethoven's "Rasoumovsky" String Quartet in C Major, op. 59, No. 3, in its use of a fugal exposition as the first theme group of the sonata form (see Table 2.1, p. 27).

The use of a fugal exposition as the first group of the overall sonata form of this movement creates what Geiringer describes as "romantic feeling and severe construction ... perfectly balanced."¹ As Table 2.1 shows, the sonata structure of this movement is highly irregular. The basis for these formal irregularities will be addressed later in this chapter.

¹Karl Geiringer, *Brahms: His Life and Work*, 2nd ed. (New York: Oxford University Press, 1947), 230.

Table 2.1: Sonata Finale Form Chart

Mm. 1-74	Exposition
1-30	First Group-Fugal Expo. (in e)
31-43	Transition A
44-52	Transition B
53-75	Second Group (in G)
Mm. 75-122	Development
76-90	Section 1
91-115	Section 2
115-122	Retransition (B pedal)
Mm. 123-198	Recapitulation
122-131	Second Group (in B)
132-174	First Group (in e; starting on answer)
158-174	Transition A
175-198	Coda

Allusion and Genre

In addition to the combination of fugue within sonata form, Brahms's use of allusion further illustrates the pervasiveness of the influence of different musical eras within the Cello Sonata. Klenz has drawn some intriguing parallels between the first movement of Brahms's sonata and Bernhard Romberg's Cello Sonata in E Minor, op. 38.¹ Also, Mitschka points out that the opening of the first group of Brahms's first movement is derived from the inverted main

¹William Klenz, "Brahms, Opus 38: Piracy, Pillage, Plagiarism, or Parody?" *The Music Review* 34 (1973): 39-50. Note that these two works share both key and opus number.

subject (omitting the first note) of Bach's *The Art of Fugue* (see Example 2.1).¹



Example 2.1: Head Motive of op. 38/1
and the Inverted *Art of Fugue* Main Subject

Many authors have also recognized in the subject of Brahms's fugal finale an allusion to the subject of Contrapunctus 13 from *The Art of Fugue*.⁴ The two subjects have a number of striking similarities in both melody and rhythm. Melodically, each begins with a descending octave leap and continues in a similar ascending sequential contour. Rhythmically, the second beat of each measure is a quarter note tied to the first of a string of triplet eighth notes (see Example 2.2, p. 29).⁵ Brahms's reverence

¹Arno Mitschka, "Der Sonatensatz in den Werken von Johannes Brahms" (Ph.D. diss., Johannes-Gutenberg-Universität, 1961), 248.

⁴For example, Karl Geiringer, *Brahms*, 230; Michael Musgrave, *The Music of Brahms* (London: Routledge and Kegan Paul, 1985), 106; and, William S. Newman, *The Sonata Since Beethoven*, 3rd ed. (N.Y. and London: W.W. Norton, 1983), 339.

⁵Czesla (p. 163) mentions a strong affinity in contour in the opening themes of the first and third movements of the Sonata. Both Czesla (p. 163) and Mitschka (p. 248)

for Bach and his study of Bach's fugal technique historically validate this allusion.



**Example 2.2: Subjects from op. 38/III and
The Art of Fugue/Contrapunctus 13**

Historical mixture--that is, the use of compositional techniques and trends from two or more musical eras within the same work--is also evident in the use of older genres in this sonata. The second movement is a minuet, a dance of Baroque origin used pervasively in Classical instrumental works but little used by Romantic composers, who more often used scherzos as dance movements. Also interesting is the absence of a slow movement in the Sonata.

Brahms further establishes historical mixture in this work in the last movement, a combination of Baroque fugue and Classical sonata composed using Romantic harmonic language.

have suggested further cyclical relationships in similarities in contour of the principal themes of each movement.

The use of fugue and other strict contrapuntal procedures is significant in a work in which the presence of the Baroque era is so evident. The following discussion details these contrapuntal procedures.

Counterpoint

Fugal Procedures

The fugal exposition that comprises the first group of the overall sonata form is shown in Table 2.2:

Table 2.2: Form of the Sonata Fugal Exposition

	m. 1	m. 5	m. 9	m. 16
Cello		ans.	c.s. 1	c.s. 2
Piano R.H.			subj.	c.s. 1
Piano L.H.	subj.	c.s. 1	c.s. 2	subj.

The fugal exposition, in three voices, encompasses a subject and two countersubjects occurring in four entrances. The extension of the third voice (mm. 13-15) is motivically derived from the last bar of the statement (m. 12). This derivation employs pitch inversion as well as invertible counterpoint (that is, the exchange of material between voices), devices which will figure prominently throughout the movement. An episode (mm. 20-25) at the completion of all statements of the subject combines countersubject 1 in the cello and countersubject 2 and its inversion in the piano; its continuation, closing the first group, consists of a fragmentary statement of subject material, with the octaves in the cello. As is typical in Brahms's music, a sense of *accelerando* is achieved through the speeding up of

rhythmic units to mark an arrival or an important formal division. This increasing rate of speed creates the expectation of an important new section; Brahms fulfills this expectation with the cadence marking the end of the first group and the beginning of the first part of the transition at measure 31.

Canonic Procedures

While fugal procedure is confined to the first group, Brahms implements strict contrapuntal procedures extensively in the sonata's remaining formal units (that is, the transition, second theme group, and the development), in the form of various canonic treatments of the fugal material.

Transition A (mm. 31-43) consists of subject material in inversion canon, and Transition B (mm. 44-52) consists of inverted subject material in a canon at the ninth.

Theme 2 alternates distinct ideas based on varied versions of countersubject 1. The first idea (mm. 53-54) consists of an inversion canon of countersubject 1 material in the piano. The right hand of the piano is written in an unusual notation, with both upward and downward stems. In this way, Brahms illuminates the outline of the canonic inversion imbedded within the triplets found also in the cello line.

The second idea (mm. 55-58) is a soaring cello melody which is actually an augmentation of countersubject 1 (see Example 2.3).

The image shows a musical score with three staves. The top staff is labeled 'M.M. 5-6 C.S. 1.' and contains a melodic line. The middle staff is labeled 'M.M. 53-54 TH. 2.A' and contains a melodic line. The bottom staff is labeled 'M.M. 55-56 TH. 2.B' and contains a melodic line. Vertical lines connect the notes across the staves, indicating counterpoint or augmentation.

Example 2.3: op. 38/III, c.s. 1 and Theme 2

The development (mm. 76-122) consists of two major sections and a retransition. The first of these sections (mm. 76-90) is based on subject material, with the placement of the octaves and triplets of the subject altered so that they occur simultaneously. In the first phrase (mm. 76-79), the octaves in the left hand of the piano and the triplets are treated canonically starting in the cello and followed at the octave in the right hand of the piano at two-beat intervals. The next phrase employs invertible counterpoint (compare m. 76 to m. 80 ff.).

Like the first section of the development, the second major section also features canon in each phrase: the first phrase (mm. 90-94) is made up of subject material in a canon at the ninth; the second phrase (mm. 95-98) is

comprised of countersubject 2 material in a canon at the octave. The second period (m. 99 ff.) is a sequence of this same material.

The retransition (mm. 115-122) is also canonic and consists of subject material. A discussion of the central role of the retransition in defining the form of this movement is reserved for later in this chapter.

The prominence of canonic procedures throughout the various sections of the movement outside the fugal exposition is significant, then, in that the entire finale has its foundation in contrapuntal procedures. The application of inversion and invertible counterpoint is extensive in both fugal and canonic sections.

The derivation of all the canonic material from either the fugue subject or one of the two countersubjects is an important feature of this movement. The next section of this chapter will explore in greater depth the ramifications of motivic interrelationships in the finale of the Sonata.

Thematic Economy and Continuity

One of the most significant aspects of this movement is the way in which Brahms uses subject and countersubject as the basis for every theme and virtually all accompanimental materials throughout the entire movement. Schoenberg's term for Brahms's method of thematic continuity and economy is "developing variation," which means that "variation of

the features of a basic unit produces all the thematic formulations which provide for fluency, contrasts, variety, logic, and unity on the one hand, and character, mood, expression, and every needed differentiation, on the other hand--thus elaborating the *idea* of a piece."

I have already mentioned the derivation of each of the canons from subject or countersubject material (see p. 33, above). The economy of material is already evident in the fugal exposition; there is no free material, even in the extension of the third statement of the subject (mm. 13-15), which is based on measure 12 (see p. 30, above). Thus, the fugal exposition, both sections of the transition, the second group, and the development all display a high degree of thematic unity and economy.

Although no extraneous material has been included up to the second theme group (mm. 53-75), this seems to be the most logical place for the inclusion of new material. However, instead of new thematic material, the second group (in G, the relative major), is actually based on the material of countersubject 1. (Countersubject 1 is perhaps used here to offset the extensive use of subject material in the transition while continuing the use of only fugal material.) Thus the second group maintains the pattern of

⁶Arnold Schoenberg, *Style and Idea*, ed. Leonard Stein, trans. Leo Black (Berkeley and Los Angeles: University of California Press, 1984), 397.

"developing variation" set forth by Brahms throughout the movement. The development and recapitulation likewise maintain this thematic economy and continuity.

The coda (mm. 175-198) is more homophonic in texture than most of the rest of the movement, but is also derived from subject and countersubject material. The climax is reached with the fortissimo at measure 189; cello and piano alternate triple and duple divisions of the beat demonstrating for the last time the typical Brahmsian three-against-two rhythm found throughout this movement.

Thus, all the way through to the end of the movement Brahms uses no other material than that which started the movement, the subject and countersubjects of the fugal exposition.

The fugal exposition, then, is vital in its function as motivic source material for the movement as a whole. It is also significant in its formal function within the sonata form movement, and the ways in which Brahms assimilates these two organizing principles.

Fugue and Sonata: Formal Irregularities Produced through Formal Integration

None of the works that serve as precedents to Brahms's integration of fugue and sonata (see Chapter 1, pp. 21-23) begins the recapitulation with a literal reprise of the fugal exposition. Although sonata form requires some form of reprise, it is rare to reiterate the beginning of a fugue. Brahms solves this problem by creating an

exceptionally unconventional recapitulation with respect to both ordering and tonal structure (see Table 2.1, p. 27). This solution involves the unique function of the second theme group in this movement.

Perhaps because of the second theme group's pivotal role in the formal design of this work, Brahms prepares it in a special manner in Transition B. In measure 42, alternating C pedal octaves are initiated which will continue and become important in Transition B, and even more significant as a formal device later in the movement.⁷

The alternating octave motive reappears in the retransition in measure 115, this time on B. The ascending alternating octaves in the piano left hand are moved to the piano right hand in measure 119, this time descending (and thus inverted in two senses). Both in the exposition and the end of the development, this alternating octave motive prepares the entry of the second theme group (compare mm. 42-52 and mm. 115-122). Therefore, the recapitulation begins with the second group (mm. 123-131). Although it is highly unusual to reorder the themes in this way, it is logical that Brahms follows the octave accompanimental motive with the second theme group because of the way in

⁷Octaves first become important as the initiating motive of the subject. The octave, therefore, continues to play a significant role not only in delineating the form of the movement, but also as another tool in preserving thematic unity through "developing variation."

which this passage functioned structurally in the exposition.

The beginning of the recapitulation is also very unusual in its B-major tonality. Although an argument can be made that the second group at this point at least fulfills the sonata convention that it be different in tonality than in the exposition, it is problematic whether the major dominant (B major) of the recapitulation is closer to the tonic than the relative major (G major) of the exposition. The use of a pedal that functions as the dominant of the primary tonic of a movement (in this case, B as the dominant of E), is typical in a retransition, but here the logical arrival of E minor does not occur; instead B is simply continued at the recapitulation as a local tonic bass note.⁴ At the cadence in measure 132, B is reinterpreted as the dominant of E minor, facilitating the delayed arrival of the first group on B, and therefore on the answer rather than the subject.⁵ In this way, Brahms avoids a direct reprise of the subject on the tonic. At

⁴For discussion of another instance in which Brahms recapitulates the second group in the major dominant of a minor-key movement, see James T. Smitherman, "Of Variations and Themes: A Study of the First Movement of Brahms's Piano Quartet in C Minor, Opus 60" (M.M. thesis, Louisiana State University, 1992).

⁵B major is also an important tonal area in the closing in the exposition of the first movement of the Sonata. Consequently, the tonal structure of the finale produces a cyclic relation to complement other aspects of cyclicism discussed elsewhere in this chapter.

the same time, the subject does not reappear by itself, but with the countersubject in place along with the answer.

The rest of the recapitulation corresponds precisely to the exposition (compare mm. 5-75 to mm. 132-174) until the preparation of the coda. The reordering of the recapitulation and the early placement of the second group resulting from that reordering necessitate the inclusion of a new section in its previous place; a coda is therefore necessary in order to provide a satisfactory ending. The recapitulation diverges from the exposition beginning in measure 169 (cf. m. 42), where similar material still occurs, but on a different pitch level. The octave pedal motive initiated in measure 42 in the exposition also emerges here in measure 169, on A-sharp. The structural importance of the octave motive is also evident here, but instead of preparing the second group as it did before, all structural similarities to the exposition disappear at measure 171, as Brahms provides a new bridge to the coda using a fragment of the preceding passage.

Conclusion

Brahms's Cello Sonata, op. 38, then, is a fascinating study in historical mixture resulting from his manipulation of form, allusion, and genre. Evidence of allusion, including two references to Bach's *The Art of Fugue*, is found in the first and third movements. The second-movement minuet exhibits historical mixture with regard to

genre. However, the ramifications of formal manipulation are most meaningful in the fusion of fugue and sonata form in the last movement.

The fugue exposition in this movement plays a pivotal role in three respects: 1) the abundance of contrapuntal procedure, both fugal and canonic, penetrating the entire fabric of the movement; 2) the use of subject and countersubject material as the motivic basis for virtually all other material in the movement; and 3) the formal irregularities produced through the integration of the fugue exposition within the sonata form.

Brahms's unique solutions to the problems produced by the fusion of two formal principles concern themselves with matters of ordering and tonal structure in the recapitulation. These solutions create an innovative, integrated formal structure that at the same time functions within the Sonata's overall context of historical mixture.

CHAPTER 3

QUINTET NO. 1 FOR TWO VIOLINS, TWO VIOLAS AND VIOLONCELLO, OP. 88, THIRD MOVEMENT

Quintet Overview

Tovey describes the formal structure of the last movement of the String Quintet in F Major, op. 88 as "tersest sonata form with closest fugal polyphony."¹ The overall form of the movement, as Tovey implies, is similar to those of the finale movements of Mozart's K. 387 Quartet, Beethoven's Quartet, op. 59/3, and, most important to the present discussion, Brahms's own Cello Sonata, op. 38. As we have seen, all these movements integrate sonata form and fugue, with a fugal exposition forming the sonata's first theme group. The solutions to the compositional problems created by this formal integration are quite different in the Quintet from those achieved in the other movements of comparable formal structure, however, and these solutions are the basis of this chapter. For the sake of clarity and easy comparison, the analysis of Quintet finale will have the same basic framework as that of the Sonata finale.

¹Donald Francis Tovey, "Brahms Chamber Music," in *The Main Stream of Music and Other Essays* (New York: Oxford University Press, 1949), 259.

Formal Structure

Sonata form in the Quintet finale is more straightforward than that found in the Cello Sonata, op. 38 finale, following conventional formal ordering in the recapitulation. However, as Table 3.1 shows, the tonal structure of this movement is irregular. An exploration of the ramifications of tonal structures and relationships is reserved for later in this chapter.

Table 3.1: Quintet Finale Form Chart

Mm. 1-63	Exposition
1-22	First Group (In F)
23-29	Counterstatement/Transition A
29-34	Transition B
35-54	Second Group (In A)
55-63	Codetta/Transition
Mm. 64-97	Development
64-80	Section 1
81-90	Section 2
91-97	Retransition (C Pedal)
Mm. 98-185	Recapitulation
98-113	First Group (In F)
113-119	Counterstatement/Transition A
120-125	Transition B
126-145	Second Group (In F)
146-185	Coda

Allusion

The finale of Beethoven's "Rasoumovsky" Quartet op. 59/3 and the Quintet finale are similar not only in form but in material. Redlich states that the Brahms Quintet finale is "probably a deliberate allusion" to Beethoven's

op. 59/3 finale,³ and Musgrave agrees, providing support for the validity of the allusion with the observation that Brahms knew Beethoven's quartet well from playing piano transcriptions of it in his early years.⁴

Mason believes that Brahms's finale surpasses that of Beethoven in thematic unity, as the four bars of the fugal subject are present in their original form, as a variation of the original form, or as a countermelody to new material throughout the movement.⁵ This observation reveals that, like the Sonata finale, the Quintet finale displays a high degree of thematic unity, but in a different way. A later section of this chapter will provide further exploration of the issue of thematic unity as it relates to the Quintet finale.

The last movement of the Quintet, then, is in several ways comparable to but different from that of the Sonata; these include overall formal structure, use of allusion, and thematic unity.

³Hans F. Redlich, "Bruckner and Brahms Quintets in F," *Music and Letters* 36 (1955): 258.

⁴Michael Musgrave, *The Music of Brahms* (London: Routledge and Kegan Paul, 1985), 201. Karl Geiringer, *Brahms: His Life and Work*, 2nd ed. (New York: Oxford University Press, 1947), 238, and Daniel Gregory Mason, *The Chamber Music of Brahms* (Freeport, New York: Books for Library Press, 1933; reprint, 1970), 155, also refer to Beethoven's op. 59/3 finale as the source for the finale of the Quintet.

⁵Mason, *Chamber Music*, 155.

Counterpoint

Fugal Procedures

Fugal writing is interwoven throughout the framework of the overall sonata form of this movement and particularly in the first theme group, which, as we have discussed, consists of a fugal exposition. The structure of this exposition is shown in Table 3.2.

Table 3.2: Quintet Fugal Exposition Form Chart

	m.1	m.5	m.9	m.13
Vln.1			subj.	cs.
Vln.2		ans.	cs.	
Vla.1	subj.	cs.		
Vla.2/Vcl.				ans.
	I	IV	I	IV

The five instruments of the quintet constitute four voices in the fugal exposition, with the second viola and cello comprising the lowest voice doubled at the octave. In contrast to the Sonata fugal exposition, the Quintet fugal exposition contains only one countersubject. The two fugue subjects themselves are quite similar in structure: each features a head motive that serves as a unifying device throughout the movement, followed by a series of running eighth notes. In the Sonata, the head motive consists of an octave leap of two notes, and in the Quintet, of two punctuating chords; in each, the two events are on consecutive beats.

A very unusual aspect of the Quintet fugue lies in Brahms's use of the subdominant for the answer, as the

pitch levels of the running eighth notes show (see Table 3.2). Consideration of the entire subject, however, including the two initiating chords of the head motive, shows this to be a variant of the standard subject-tonal answer relationship, as the tonal structure formed by these chords (I^6-V in the subject, and V^6-I in the answer) makes clear.

Brahms also incorporates fugal procedure in the second theme group (m. 35 ff.), where the fugue subject and answer serve as accompanimental material, and in the first section of the development (m. 64 ff.), where there is a transformation of subject and answer (see p. 47, below).

Canonic Procedures

The analysis of the Sonata finale in Chapter 2 demonstrated that canonic procedures were present throughout all sections of the movement other than the fugal exposition. Although canonic imitation is also of great import in the last movement of the Quintet, it is present in a lesser degree than in the Sonata finale.

In the Sonata, we found extensive exploitation of canonic imitation in the transitional sections and second group; in the Quintet, canonic activity is concentrated in the second section of the development.

The first canon (mm. 81-90), based on subject material, consists of imitation between the second violin

and cello at the compound fifth below, with a hint of parallel tenths in the first violin.

The next canon, which also treats subject material, begins with the upbeats to measure 83. In this canon the first violin and the two violas form one group, imitated at the fifth below by the second violin and cello. Both *dux* and *comes* are doubled at a tenth below: the first violin and first viola, in octaves, by the second viola, and the second violin by the cello a compound tenth below. A double inversion canon comprised of countersubject material, beginning with the upbeats to measure 88, provides the climax of the development and leads to the retransition. The retransition (mm. 91-97) continues treatment of the same material, and features a descending-fifth sequential canon in the second violin and first viola over a dominant pedal. The use of the subject as the motivic underpinning of the development section is typical of its pervasive role throughout the movement as a whole.

Thematic Economy and Continuity

As we have discussed, the Quintet is comparable to the Sonata in that the subject and, to a lesser extent, the countersubject of the fugal exposition are present in some form throughout the movement. However, Brahms creates thematic unity in the Quintet finale in a different way from that of the Sonata finale; in the Sonata, virtually all materials of the movement are generated from the fugal

exposition, whereas in the Quintet, material from the exposition (most prominently the subject itself) is used as either a source of motivic derivation or an accompaniment in every area of the movement.

The first illustration of this network of thematic and motivic relationships is Transition A (mm. 23-29), in which elements of both subject and countersubject are incorporated through the inclusion of the melodic outline of the subject with the strong beats elongated in the rhythm of the countersubject. The upward stems in Example 3.1 illustrate the embedded subject (mm. 23-26), which contains only one pitch substitution, that of G for E in measure 24:



Example 3.1: Transition A, mm.23-26

Transition B (mm. 29-34) is derived from measure 23, as evidenced by the continued (though fragmented) presence of the countersubject's dotted rhythm and the four-note upbeat figure. Derivation from measure 23 thus implies an indirect derivation from the subject and the countersubject.

In contrast to the way in which Brahms created thematic unity in the finale of the Sonata, the second theme of the Quintet finale (mm. 35-54) is not generated from the material of the fugal exposition. Instead, at the second theme group, the fugal subject and answer (on the dominant this time, and featuring a new "tail") provide a countermelody to the second theme.

The weaving of the subject through the fabric of the movement as a transformational device intensifies in the development. To a lesser extent, the countersubject and second theme also continue to have influence, but motivic derivation from the subject is the most intensive.

The first principal section of the development (mm. 64-80) combines the melodic outline of the subject with the triplets and legato articulation of the second theme. This theme is treated fugally as well, with the answer on the local minor dominant.

In the second large section of the development, Brahms returns to the original articulation of a now fragmented subject, elongating the strong beats after the three eighth note upbeats as in the first part of the transition (see Example 3.2).



Example 3.2: Development Section 2, mm. 81-82

In passages such as this and the transition (see p. 46, above), Brahms transforms the subject by elongating its strong beats. At the opening of the coda (m. 146), Brahms elongates and fills in the upbeats chromatically instead, stretching them out for two $9/8$ bars. Upward stems illuminate the outline of the original subject within the transformation in Example 3.3:



Example 3.3: Coda, mm. 146-150

The process of derivation of material from the fugue subject extends to the very ending of the piece (mm. 181-185), which consists of alternating dominant and tonic chords (the final appearance of the punctuating chords of the head motive) combined with the subject's three eighth-note upbeats; thus the integration of motive and theme continues to the very end of the movement.

A comparison of the two movements under consideration shows perhaps a greater degree of economy of material in the Sonata finale, in that its opening material is not only prominent throughout the movement but also serves as the source from which all other materials are derived.

Nonetheless, the fugal exposition of the Quintet finale serves an analogous function not only in its motivic penetration throughout the movement, but also in the manner in which it effects the movement's formal structure. The following discussion addresses Brahms's solutions to the fugal-sonata combination as they apply to the final movement of the Quintet.

**Fugue within Sonata: Formal Irregularities
Produced through Formal Integration**

As in the Sonata, the fugal-sonata combination in the last movement of the Quintet entails certain formal irregularities. As in the other fugal-sonata movements cited (Mozart's Quartet, K. 387, last movement; Beethoven's Quartets, op. 18/4, second movement, and op. 59/3, last movement; and Brahms's Cello Sonata, op. 38, last movement) Brahms avoids a direct reprise of the first group to prevent a literal repetition of the fugal exposition. The unusual opening of the recapitulation represents Brahms's unique solution to this problem.

The construction of the first group in the Quintet's recapitulation differs markedly from that of the exposition; it is comprised of alternating two-bar units within the larger framework of a sequence of four-measure members. The recapitulation (upbeats to m. 98; cf. m. 14 in the exposition) opens with a passage analogous to the entrance of the fourth voice in the exposition, but on the tonic, in contrast to its occurrence on the subdominant in

the exposition; thus the return of the tonic and a portion of the first theme group is sufficient to provide a sense of recapitulation while preventing the problematic reiteration of the opening. The next two-bar unit (mm. 100-101) derives its material from the third measure of the countersubject, compensating for the brevity of the recapitulation of the fugal subject. The emergence of subject and countersubject material within these alternating two-bar units yields the inclusion of all the components of the fugal exposition within four measures. In a striking display of invertible counterpoint within a single subject statement, Brahms moves the subject into the highest voice in measure 99; measures 98-99 thus become a condensed subject statement.

Material in measures 100-101 is highly imitative and of great rhythmic intensity, with entrances only a quarter note apart. These two measures also display invertible counterpoint and canonic inversion. Measures 102-105 form a sequence of measures 98-101 at the interval of a third above, and thus tonicize A, underscoring the structural importance of A-major harmony for the Quintet as a whole.⁵ Finally, notice that measures 102-103 apply invertible counterpoint once more to the first statement in measures

⁵For further treatment of A major as an important cyclical element, see "Coherence Through Tonal Structure," pp. 52-56, below.

98-99, thus forming a sequence incorporating invertible counterpoint *within* invertible counterpoint.

The irregularities found in the opening of the recapitulation are offset by formal parallels and the cohesion brought about by these parallels. After the altered and condensed first theme group, the recapitulation matches the exposition structurally (cf. mm. 106-112 and 16-22), with the exception of slight alterations in Transition A necessary to prepare F Major for the second theme group. These alterations are an additional measure in the transition forming a descending-fifth sequence (cf. mm. 26 and 116-117) and a tonal alteration in the second part of the transition; the remainder of the transition and the entire second group (mm. 146-185) are structurally identical to the exposition.

The structural similarities of the recapitulation to the exposition break down with the arrival of the coda in place of the exposition's codetta. The coda introduces chromaticism as an essential element in two respects: as a unifying tool, and as an elongational device. Motivic relations in the coda are based on chromatic alteration and elongation of the subject (see p. 48, above). As well as the chromatically transformed subdominant subject described above, the coda contains a new cello countermelody in measures 149-151 which further establishes its chromatic nature. Chromaticism has already been a significant

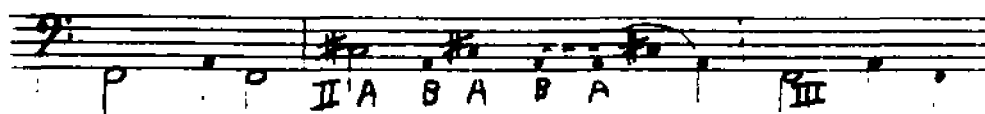
feature of previous passages in the movement, notably in ascending chromatic gestures in the bass lines of measures 57-62 and 120-125. A parallel can be drawn between these gestures and the ascending chromatic line beginning on C in measure 167. Although the ascending scalar motions found in measures 21-22 and measures 111-112 in the outer sections of this movement are less chromatic than the passages cited above, these motions are also related to measure 167 in that each of them prepares the arrival of some form of Transition A; in the coda, Transition A material arrives in measure 174. The coda thus draws together the entire movement through transformed incorporation of these important elements: ascending chromaticism, the subject itself, and the first part of the transition. Thus, chromaticism serves as an additional unifying feature throughout the finale, culminating--like the process of motivic derivation--in the coda.

Coherence Through Tonal Structure

Systematic structural synthesis also emerges in a larger context through tonal relationships among the movements of the Quintet.⁶ Brahms draws the three movements of the Quintet together through a network of major mediant relationships. Rather than the more

⁶Tonal relationships in the Quintet are briefly discussed by the following: Mason, *Chamber Music*, 149-153, Musgrave, *Brahms*, 201-202, and Redlich, "Bruckner and Brahms Quintets": 258.

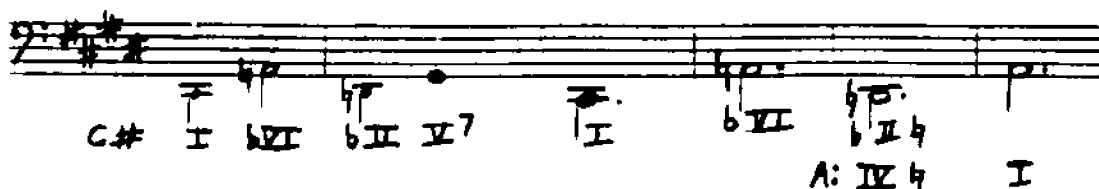
conventional use of the dominant for the second theme group of Classical-tradition sonata forms, Brahms writes the second groups of both the first and last movements in A major, the major mediant. The principal tonality of the second movement is C-sharp, with A major continuing to be prominent; thus, motion by major third unifies the Quintet as a whole:



Example 3.4: Overall Tonal Structure of the Quintet

Example 3.4 illustrates the highly irregular formal and tonal aspects of the middle movement. This movement comprises five sections in alternating slow and fast tempos, thus performing the function of both slow movement and scherzo. The first and third sections are modally mixed, starting in C-sharp major, but quickly establishing C-sharp minor by the fifth measure. The second and fourth sections are in A major. C-sharp is the logical tonality for the fifth section, but surprisingly, this final section begins and closes in A major, although it does return to C-sharp in measure 174. The final section thus incorporates all the keys that are crucial within the movement. The cadences at the end (beginning in m. 196) deceive us into assuming that C-sharp will in fact close the movement; nevertheless, the movement ends with a plagal cadence in A.

The harmonic structure of the movement is shown in Example 3.5:



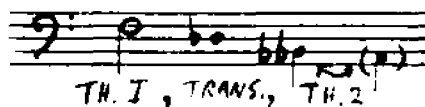
Example 3.5: Quintet, Movement II, mm. 196-208

The last chord of the second movement, A major, and the first chord of the last movement, F major in first inversion rather than the more usual tonic root position, retain the same bass note; thus Brahms creates a smooth transition between movements.

The last movement also re-emphasizes A major in a special way in the recapitulation: Brahms provides one last reference to this harmony in the altered first theme group of the recapitulation (see p. 50, above). Major mediant relationships thus interlock the various tonal strands of the Quintet within and between movements.

It is interesting to note, moreover, that the major-third chain formed by F, A, and C-sharp is not confined to the Quintet. Brahms uses these same tonalities in a different but equally ingenious way in the Symphony No. 3 in F Major, op. 90, written in 1883, only a year after the Quintet. The proximity of date and identity of key suggest that use of the same unusual tonal structures in these

works is not coincidental, but purposeful. The first movement of the Third Symphony is a particularly inventive example of the formal adaptation Graybill describes as the three-key exposition,⁷ with D-flat major serving as a transitional tonality in a sequential motion leading from F to A (B-double flat), the key of the second group.⁸ These tonal relationships are illustrated in Example 3.6:



Example 3.6: Symphony No. 3/I, Exposition Tonal Structure

Formal and tonal parallels can also be drawn between the Quintet and Brahms's Violin Sonata in A Major, op. 100, which was written in 1886, only four years after the Quintet and three years after the Third Symphony. The Violin Sonata is a three-movement work with a middle movement comprising five sections in alternating slow and fast tempos; the formal similarity to the Quintet, especially the layout of the second movement, is striking. Moreover, the three movements of the Violin Sonata share two of the priority harmonies from the Quintet and the Symphony, A and F; additionally, D, the secondary tonality

⁷Roger Carper Graybill, "Brahms's Three-Key Expositions: Their Place Within the Classical Tradition" (Ph.D. diss., Yale University, 1983).

⁸Ibid., 72-73.

in the middle movement of the Violin Sonata, is also the tonality of the second group in the recapitulation of the first movement of the Quintet. The overall tonal structure of the Violin Sonata is shown in Example 3.7; comparison with Example 3.5 will reveal the parallels with the Quintet, especially in the second movement.



Example 3.7: Violin Sonata, op. 100, Tonal Structure

The Quintet, the Symphony, and the Violin Sonata, all written within a span of four years, thus all reveal striking tonal similarities, while the Quintet and the Violin Sonata reveal formal similarities as well. These works exhibit similar types of compositional problem-solving which we can reasonably assume are purposeful rather than random.

Conclusion

Analysis of the finales of the Sonata and Quintet demonstrates that they are representative of unique and significant facets of Brahms's compositional style. These facets are: 1) the manner in which Brahms's reverence for his musical predecessors influenced his compositions, as manifested in the importance of traditional forms, allusion, and strict counterpoint in his works; 2) economy of material resulting in thematic unity; and, 3) the

integration and transformation of formal and tonal structures within and between works. These aspects symbolize how critical these forms of synthesis are in the understanding of Brahms's music.

Although both movements are emblematic of Brahms's stylistic characteristics as listed above, each involves an original manifestation of these characteristics. The contrasting methods by which contrapuntal procedures, thematic economy and unity, and solutions to formal problems are applied in the two movements are best exemplified by Brahms's distinct treatment of each of the second theme groups.

For example, the Sonata finale displays more canonic imitation (which is present throughout the movement, except in the fugue exposition), while the Quintet finale displays more fugal imitation (which, in contrast to the Sonata, is found in areas other than the fugue exposition). This differentiation in the prevalence of one type of contrapuntal procedure over the other is reflected in the second theme group of each finale, which exhibits canonic imitation in the Sonata, and fugal imitation in the Quintet.

Also, Brahms achieves thematic economy and continuity in different ways in the two second theme groups, thus mirroring the two movements' dissimilar strategies. In the Sonata, fugal materials serve as the source for motivic

derivation in every other area of the movement. By contrast, the Quintet finale incorporates some form of the subject as thematic or accompanimental material throughout the movement. Unlike the Sonata finale second group, melodic material of the second group of the Quintet finale is new; nevertheless, the fugue subject acts as accompaniment to the second theme.

Further, the second theme groups illustrate Brahms's diverse compositional strategies in the solutions he sets forth to formal problems created by the integration of fugue and sonata formal structures. In the more irregular Sonata finale, the second group plays a pivotal role in the reordering of the recapitulation, where it is positioned at the beginning. In the more formally straightforward Quintet finale, Brahms solves the problem of fugue reiteration in a different way, by condensing and altering the structure of the first group while leaving the second group in its more conventional position.

Brahms systematically explores certain types of compositional issues throughout his career, as exemplified by the twenty-year span encompassing the composition of the Sonata (1862-65) and the Quintet (1882). The first chapter of this monograph documents the significance of these issues, as follows: 1) Brahms was a traditionalist, but although he revered his predecessors, and his music was notable in its continuation of the classical tradition, he

was also subtly progressive; 2) Brahms made prodigious use of counterpoint in his music; 3) Brahms had an affinity for early music; and, 4) Brahms often alluded to the music of other composers.

The two movements investigated in this monograph present all of these issues in a highly concentrated way. Additionally, and even more intriguingly, although the two movements are outwardly similar in format, each achieves its own unique solutions to that format's inherent compositional problems. In examining these two solutions in detail, we have gained a new perspective on the influence of Brahms's musical inheritance on his compositional style, and on his overall musical thinking.

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DOCTORAL EXAMINATION AND DISSERTATION REPORT

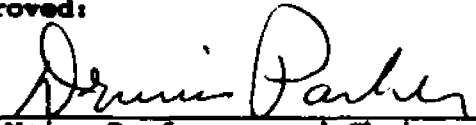
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Dean of the Graduate School

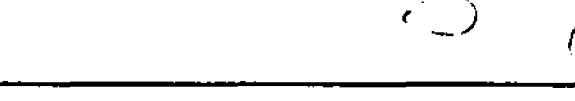
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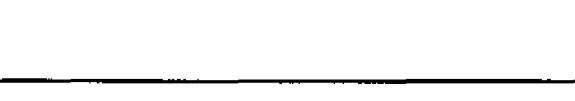




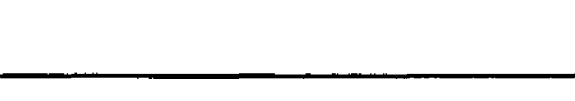












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