

16

THE STRUCTURE OF FRANCK'S D MINOR SYMPHONY AND ITS HISTORICAL ANTECEDENTS

HENRI PETER VAN ALPHEN

VLPHEN002

A dissertation submitted in partial fulfilment of the requirements of the degree
of Master of Music

Faculty of the Humanities

University of Cape Town

2007

DECLARATION

This work has not been previously submitted in whole, or in part, for the award of any degree. It is my own work. Each significant contribution to, and quotation in, this dissertation from the work, or works, of other people has been attributed, and has been cited and referenced.

Signature: _____

Signed by candidate

Date: _____

15/02/2008

The copyright of this thesis vests in the author. No quotation from it or information derived from it is to be published without full acknowledgement of the source. The thesis is to be used for private study or non-commercial research purposes only.

Published by the University of Cape Town (UCT) in terms of the non-exclusive license granted to UCT by the author.

TT 780 944 FRAN (VANA)

838915

This work is dedicated to the memory of

STEPHANUS ZONDAGH

Late Professor of Organ at the University of Pretoria

whose dedication to the interpretation of César Franck's music has been a life-long
inspiration to the author

University of Cape Town

ACKNOWLEDGEMENTS

The author wishes to express his grateful thanks and appreciation to the following persons for their support and encouragement :

Professor Hendrik Hofmeyr, for his unstinting guidance

Allan Stephenson, for considerable help in typesetting the numerous music examples

Michelle Coppez, for assistance in translating an article in French

Johannes van Alphen, for financial support to acquire a computer and Sibelius 4 software

Catherine van Alphen, for her tremendous support in the workplace

Ann Sharfman, for continual support in so many ways

Rachelle Napier and Diana Spiegel, for keeping my health at optimum level

University of Cape Town

ABSTRACT

César Franck has often been regarded as the composer who most systematically applied the cyclic principle in composition. This study defines the various applications of this principle before describing specific instances in the works of Mozart, Beethoven, Schubert, Berlioz, Schumann and Liszt, as the historical antecedents to Franck's Symphony in D minor (1888). After an investigation of the motivic derivation and inter-relationships of the cyclic themes in Franck's Symphony, the manner in which the cyclic principle is applied in this work is discussed. Finally the overall formal structure is considered and a detailed analysis of the symphony follows to show the manifold ways in which thematic material is utilised to create an organically unified work.

University of Cape Town

CONTENTS

CHAPTER 1: HISTORICAL BACKGROUND	1
1.1 Franck's life	1
1.2 The reception of Franck's Symphony.....	7
CHAPTER 2: THE CYCLIC PRINCIPLE	9
2.1 The cyclic principle	9
2.2 Cyclic structure before the Classic/Romantic period	11
2.3 Cyclic works of the Classic/Romantic Period	12
CHAPTER 3: FRANCK'S SYMPHONY IN D MINOR	43
3.1 Franck's cyclic procedures.....	43
3.2 Overall structure of Franck's Symphony	60
3.3 Detailed analysis of Franck's Symphony	63
CHAPTER 4: SUMMARY AND CONCLUSION	111
APPENDIX: MAP OF FRANCK'S SYMPHONY IN D MINOR	117
BIBLIOGRAPHY	121

CHAPTER 1: HISTORICAL BACKGROUND

This chapter outlines the life of César Franck, culminating in the third¹ and final epoch of his life, the years of maturity in which he wrote his only symphony². In conclusion, the chapter will describe the reception of the symphony.

1.1 Franck's Life

César-Auguste Franck was born 10th December 1822 in Liège, Belgium. This city was, to quote Vincent d'Indy (1910:29), "peculiarly French ... in sentiment and language." Franck was French through-and-through and was to become a leading figure in the history of French music.

The young César was the son of Catherine and Nicholas-Joseph Franck, the father having great ambitions for César to become a child prodigy when at eight years his exceptional talent at playing the piano became evident. In the words of Laurence Davies (1973:xi), "...the grasping father wanted to withdraw him from the seclusion of the classroom and force him instead to don the mantle of the virtuoso, with the object of earning vast fees with which to support the family." Accordingly Nicholas-Joseph set himself up as his son's impresario until César's early twenties, when it finally dawned on the father that his son did not have the makings of a virtuoso.

The young César had piano lessons with Pierre-Joseph-Guillaume Zimmermann (known for being the teacher of the virtuoso Antoine-François Marmontel) and at thirteen years of age was allowed to study composition under Antonín Reicha, a contemporary of Beethoven, who matriculated in Bonn at the same time as the latter. Laurence Davies (1973:6) writes about Reicha: "A mystic who read Kant and advocated startling harmonic procedures (polytonality among them), it is not too difficult to see in Reicha the father César substituted for the abhorrent Nicholas-Joseph."

Although the lessons were shortlived - Reicha died soon after César became his pupil - the influence of Reicha made a lasting impression on Franck, especially in the use of mixed tonality and modal writing, and what Davies (1973:6) describes as "a fondness for audacious modulation."

In 1837 Nicholas-Joseph decided to move his family to Paris, taking on French nationality so that César could be enrolled at the famous Paris Conservatoire. Among Franck's teachers were Habaneck (whose conducting must have brought Franck into contact with the orchestral repertoire), Leborne (violin) and Benoist (organ). After studying for four years, Nicholas-Joseph made what Davies

¹ The division of Franck's compositions into three periods is taken from his first biographer, Vincent d'Indy (1910:102).

² A youthful *Première grande symphonie* in G, written in 1840 when Franck was 18 years of age, was performed by the Société d'Orléans on 16 February 1841. It remains unpublished.

(1973:9) calls “unquestionably his major blunder” by removing his son from the Conservatoire and forcing him to return to becoming a travelling virtuoso.

1.1.1 First period (1841 - 1858)

At this time, Franck was busy writing four remarkable trios : *Trois trios concertants*, Opus 1 (1841) and *Quatrième trio concertant*, Opus 2 (1842). D'Indy (1910:108-9) writes that Franck was studying Beethoven's quartets at the time and his writing is closely based on the late sonatas and quartets of this great composer.

The First Trio in F sharp major shows two remarkable features : the scherzo was in fact directly modelled on Beethoven's scherzos of the Opus 74 and Opus 131 Quartets, employing an ABABA form (also known as 'grand scherzo' form), and several themes from the first movement are treated cyclically in the later movements. (Davies 1970:54)

D'Indy (1910:110) records that Liszt was highly interested when Franck showed him these three trios. Through the good offices of Liszt, they were published both in France and Germany. Liszt was also impressed by the last movement of the third trio, and asked Franck to create it as a new, one-movement trio (which became the Fourth Trio, Opus 2). Davies (1970:55) writes, “...it is a most inventive and original work to have sprung from a mere eighteen-year-old.”

In 1846 it became clear that Franck was not suited to a career as a piano virtuoso. After suffering a nervous collapse, he dedicated himself to teaching and becoming a church organist.

Davies (1973:10) remarks that the next thirty years of his life “were lean years, and he almost failed to survive them.” He continued to suffer under the domination of his father for another two years, who forced his son to teach long hours to boost the family income, and above all, to pay off the failed publicity campaigns Nicholas-Joseph had undertaken. (Davies 1973:12)

Franck now tried his hand at oratorio, his first attempt being *Ruth*, which had two performances in 1845/6. The press slated the work, and again Franck suffered from nervous collapse. Liszt, being the generous musician that he was, “showed himself sincerely and deeply impressed, writing that he considered Franck one of the three greatest composers in the country.” (Davies 1973:15)

At the age of 26 Franck managed to rid himself of the yoke of his father by getting married to one of his pupils, Félicité Desmousseaux, whose parents were actors at the *Comédie Française*. The wedding took place during the *February Days* of the 1848 revolution, the parties negotiating barricades on their way to church. Franck set up his own home and soon afterwards became organist in the church in which he was married.

The organ now became the focus of his creativity. Composition, however, had to take second place at this time. The few attempts he made to compose for the organ were modest but already show Franck distancing himself from the style of the Paris organ world (Lefébure-Wély, Cavallo, Simon and Durand) who "entertained the bourgeois congregations of fashionable churches with operatic adaptations and improvised imitations of nature (with thunderstorms a speciality in recitals)." (Thomson 1990:639)

A more remarkable work for orchestra, his *Ce qu'on entend sur la montagne* (1845?–1847?), is regarded by some as a predecessor to Liszt's first symphonic poem (1847-1856), also based on Victor Hugo's poem of the same title, making Franck, rather than Liszt, the 'inventor' of this form.

Franck's family, in this case his in-laws, were not satisfied that he remained an obscure teacher and organist. They wanted him to gain recognition - and the way to achieve this in Paris at this time was through writing operas. Being of a kind, self-effacing nature, Franck was often in danger of being dominated by those - first his father, later his in-laws, wife and son - who could only see his talent in terms of commercial gain. His genius was unable to express itself under such conditions.

During the July Monarchy and the Second Empire, France went through an era of trivialities. The *Grand-opéra*, with Meyerbeer as its leading star, dominated the musical scene, giving little scope for composers of chamber and symphonic music to have their works heard.

Needless to say, Franck's writing of the opera *La Valet de Ferme* (1853) ended in disaster. Part of the problem lay in the poor libretto. It was not accepted for production, and the composer himself discarded it years later as "too bad to issue." (Davies 1973:24)

Thomson (1990:640) sums up this first epoch of Franck's life as a fallow period. An important influence during this time was Franck's hearing of the music of J.S. Bach, played by the great Belgian organist Lemmens at his recitals in Paris. This influence was profound, strengthening Franck's conviction that Classicism had a big role to play in the future of music, rather than the extremes of Romanticism explored by composers such as Wagner.

1.1.2 Second period (1858 - 1872)

D'Indy (1910 :127) characterises the second epoch of Franck's output as the period of religious composition. He produced religious works in the form of organ works, motets, two masses, vocal works, an oratorio and finally, in 1871, his "symphonic poem" *Rédemption* for soprano solo, chorus and orchestra (in fact an oratorio with an orchestral interlude).

Near the end of 1851 we see Franck promoted to a better post as organist, this time playing a beautiful organ made by Cavallé-Coll at Saint-Jean-Saint-Francois-au-Marais. This was followed with by his appointment in 1859 as organist of Sainte-Clotilde. The church boasted a magnificent three-manual instrument by Cavallé-Coll, which provided Franck with the catalyst for a sudden "quantum leap of creative energy." (Thomson 1990:640)

In spite of the fact that the second period is considered part of Franck's "lean times", this instrument inspired him to write his first major organ work, *Six pièces pour grand orgue* (1860 – 1862). These are also significant as marking the start of Franck's symphonic style of writing, which characterises the latter part of his second period. (D'Indy 1910:127)

Thomson (1990:640) describes the six pieces as showing a "new-found freedom of modulation [and] bringing the dimension of tonal colour so characteristic of his mature style." The second piece in the series is the the cyclic three-movement *Grande pièce symphonique*, an ambitious attempt to translate the symphonic writing of Beethoven onto the organ, a precursor of the symphonic thinking of his third, mature period.

The rest of the 1860s produced little other than mediocre church music. However, In *Rédemption* (1871) Franck devised a plan of using tonalities to express the changes in mood in the narrative of the work, moving into remote keys which the musicians of the day felt to be "unplayable." Due to this he rewrote sections in more "playable" keys, as well as improving the work at the same time. It is a pity the original version no longer exists, as the construction around a progression of keys (a concept that will re-surface in the Symphony) is lost. The first performance was marred by badly written parts, complaining musicians and a routine performance of the soloist - a dismal event altogether. Franck dedicated a great deal of time to writing large choral works, all of which were quite profitless to him in view of the lack of a sound French choral tradition. (Thomson 1990:640)

At the close of the second period of his life, in 1872, Franck was appointed professor of Organ at the Paris Conservatoire. This was a mark of recognition - at last - and gave him financial security that allowed him in the last eighteen years of his life to produce his greatest works.

1.1.3 Third period (1872 - 1890)

In Franck's third period we see a new creativity and a complete mastering of the art of composition. In addition, the establishment of the Société Nationale - an organisation to promote French composers of serious music, of which both Saint-Saëns and Franck were founder members - brought new opportunities for performance and a following of the public. Independently of this, two prominent conductors - Padeloup and Lamoureux - presented concerts of new works, again bringing further opportunities.

The Parisian public became interested in concert-going. This change, states Davies (1973:33) "was of immense material benefit to Franck It catapulted him right into the centre of musical activity and gave him the certainty that his works would be played and discussed."

Franck's compositional output now became prolific and varied. To the surprise of the circle of pupils and composers that surrounded him, he produced a symphonic poem *Les Éolides* (1876). This was an unexpected form for Franck to adopt, seeing that he had not put his hand to the symphonic poem since the unpublished and unperformed *Ce qu'on entend sur la montagne* about thirty years before. *Les Éolides* was followed in the years to come by *Le Chasseur Maudit* (1882), *Les Djinns* (1884) and *Psyché* (1887/8). Davies (1973:34) evaluates these as follows:

"Together these outpourings present us with a new Franck, less solemn and more animated; many still regard it as a pity he did not follow the course set out by them more conscientiously."

By this time - and more and more so towards the time of the writing of the Symphony in D minor (1886-8) - the influence of Wagner's *Tristan* and *The Ring* became pronounced. Chromaticism and a wide range of tonalities, with a preference of moving into keys with many sharps, became increasingly part of his musical vocabulary.

Franck's first public success was a performance in 1878 of his *Trois pièces* for organ, performed on the Cavallé-Coll organ in the Trocadéro Palace, as part of the International Exhibition held in Paris, for which they had been composed. (Thomson 1990:640)

In 1879, Franck finished his 'magnum opus' *The Beatitudes*. He had spent ten years on this work, and only sections of it were performed in his lifetime, under difficult conditions. *The Beatitudes* is a large-scale oratorio, consisting of a prologue and eight parts and taking over two hours to perform. It spans Franck's development as a composer over the crucial ten years during which he reached maturity as a composer. He considered this his greatest work, probably due to its religious nature.

One of Franck's most important and most inspired contributions has been in the realm of chamber music. His Piano Quintet (1879) firmly establishes his use of a germinative idea from which an entire work may be derived. We see this approach used extensively in such works as the Violin Sonata (1886), the Symphony (1886-8) and the Quartet (1889). Inextricably linked with the use of a germinative idea is Franck's extensive application of the cyclic principle - the recurrence of themes in more than one movement - in the structural organisation of his mature works. This aspect will be investigated in detail in the analysis of his Symphony in Chapter 3.

Franck's creative personality underwent a startling change at the time of writing the Quintet, which was to have a lasting effect on all the music he wrote subsequently : his music suddenly became palpably sensuous and passionate in character. The Quintet is thought to have been inspired by Augusta Holmès, who became a pupil of his around this time. Although his love for her was, by all accounts, platonic, it was as if Augusta's presence opened an entirely new vein of rich Romanticism in Franck's musical expression.

For the first time in years, Franck started writing again for the piano. It took him thirty years "to come to terms with the instrument which had been at the centre of his traumatic youth." (Thomson 1990:641) Now free from the yoke of mere virtuosity, the *Prélude, Choral et Fugue* (1884) and *Prélude, Aria et Final* (1886/7) are compositions reviving traditional forms in a new way for the piano.

In this vein we need to include Franck's *Variations symphoniques* (1885). In this work, for piano and orchestra, he brings together two forms : the concerto form and the variation form. According to Davies (1973:45), "This habit of harnessing together two previously independent conceptions is distinctively Franckian." We see the same procedure in the second movement of the Symphony, where the slow movement is combined with the scherzo, and in the first movement of the Quartet which combines sonata and *lied* forms.

Franck's D minor Symphony was written during the years 1886 - 1888. The history of this work will be discussed below.

Two important works were written at the end of his life, the String Quartet (1889) and the *Trois chorales* for organ (1890). These are masterpieces, a fitting close to his life which ended prematurely due to an accident. The Quartet was his first work to receive acclaim at first hearing, to which he responded by saying, "At last people are beginning to understand me !" (Davies 1973:39)

In the *Trois Chorales*, Franck returns to the *great variation* form of Beethoven. In the first of the three pieces, he develops the chorale in an 'evolutionary' manner. D'Indy (1910:201) quotes Franck as saying, "You will see the *real* chorale ... it is not the *Chorale* ; it is something that *grows out of the work* ."

Franck died on the 8th November 1890 at the age of sixty-eight, leaving behind a legacy of a small but inspired set of works from his mature period and a dedicated circle of pupils and friends who strove to promote Franck's approach to composition and music as an art. Several of these pupils, such as Vincent d'Indy, Ernest Chausson and Henri Duparc, became composers of note already in

his lifetime. His dedication to this circle of pupils and friends resulted in them regarding him as 'Father Franck.'

This circle became known as the 'Franckist movement' or 'Franckist school.' One of the prime activities of this movement was the establishment of the *Schola Cantorum*, a school of music to promote composition and performance of music of value, rather than the superficial approach that existed in the Paris Conservatoire. The activities of the movement included the teaching of Franck's principles of composition, specifically the extended use of traditional forms and the cyclic principle.

The impact of Franck on those around him, and on the re-awakening of French music of worth is aptly summed up by Rosa Newmarch in her introduction to d'Indy's biography (1910:6) "...the sane and lasting element in this French musical renaissance must be sought amid a group of quiet workers wholearnt their art from the most retiring and unpretentious of teachers - César Franck." She goes on to quote M. Romain Rolland (no references given) "...[Franck] found himself unintentionally the head of a school and the greatest educational force in contemporary French music."

1.2 The reception of Franck's Symphony

Due to the new opportunities that came into existence in the mid-1880s (see 1.1.3, page 4 above), there were three composers whose symphonies - in "pure symphonic form" (d'Indy 1910:172) - made an impact on the Paris public : Lalo's Symphony in G Minor (1886/7) ; Saint-Saëns's Symphony no 3 in C Minor (the so-called 'Organ' Symphony, ca 1886) and d'Indy's *Symphonie Cévenole* (1886).

Franck's Symphony in D Minor (completed 1888) received a first performance early in the year 1889. He would have liked Charles Lamoureux to conduct this performance, but this conductor, after the mishaps in producing Franck's *Les Éolides* in 1882, was unwilling. Franck presented his score to Jules Garcin, the head of the *Société des Concerts du Conservatoire*, who managed to overcome the resistance of the committee. (Vallas n.d., transl.1951:209-213).

According to Vallas, there were two opposing views about this first performance : the larger part of the audience (the regular subscribers) gave it an "ice-cold" reception; "the work seemed to have an audacity unwarranted in a practically unknown composer, whom at least one lady-subscriber thought to be a teacher of the harmonium !" (Vallas n.d., transl.1951:209-213). Franck's fellow composers disapproved of the symphony's departure from formalist rules.

A smaller part of the audience were Franck's pupils and the supporters of the *Société Nationale*, who were loud in their approval of the work, hailing it as "a revelation." Characteristically, Franck was unaware of the negative reception of the majority of the audience. He is reported to have said to his friend Paul Poujaud, "What a lovely sound it makes ! And what a splendid reception it had !" (Vallas n.d., transl.1951:209-213).

An interesting response is reported by d'Indy (1910:54), who asked a professor from the Conservatoire for his opinion of the Symphony. The professor is said to have replied, "*That, a symphony ? But, my dear Sir, whoever heard of writing for the cor anglais in a symphony ? Just mention a single symphony by Haydn or Beethoven introducing the cor anglais. There, well, you see - your Franck's music may be whatever you please, but it will never be a symphony !*" Clearly the professor was unaware of the use of a cor anglais in Haydn's 'Philosopher' Symphony (No.22 in B flat), in Berlioz's *Symphonie fantastique* and in the Saint-Saëns Third Symphony (the 'Organ' Symphony).

As happens so often in the history of composers, the tide turned after Franck's death. It became fashionable to claim to be a pupil of Franck, and his works became recognised as an important contribution to the development of French music. For many decades the Symphony was played regularly in concerts in France, England and the rest of Europe, and although its popularity has declined in recent decades, it still forms part of the standard symphonic repertoire today.

CHAPTER 2: THE CYCLIC PRINCIPLE

2.1 The cyclic principle

Randel (2003:231), in *The Harvard Dictionary of Music*, defines 'cyclic form' as, "Any musical form consisting of discrete movements in two or more of which the same or very similar thematic material is employed." This type of work was especially popular during the Romantic era.

However, the words 'the same or very similar thematic material' needs further elucidation as there are different types of cyclical devices used by composers of the Classical and Romantic periods. The most obvious recurrence of the same material is found in the motto, which is the direct quotation of a theme that appeared in a previous movement of the same work. Cyclic treatment of a higher order involves a transformation of thematic material rather than mere quotation. In this case, the initial theme can be varied in metre, tempo, rhythm, pitch, intervals and harmony to create a new variant of the initial theme. (Andriessen n.d.[after 1936]:32) However, there is also a middle ground between these two types: a motto often needs to change metre and take on a different tempo to fit into the new movement in which it appears, or may undergo other changes such as slight variation of intervals or rhythmic characteristics.

The important principle of the motto is that it is still recognisable when it re-appears in an altered form, whereas the transformed recurrence of a theme may sound like a new theme altogether. Reti (1961:281) writes that,

"... if on a melody of Beethoven, Schubert or Chopin only comparatively slight rhythmical changes are imposed, it becomes a completely different musical utterance.... A melody of the classic-romantic type, even through a minor alteration of accent, often changes its whole character and becomes an entirely new musical being: it is transformed."

The transformed theme relates to its original source, which lies "hidden" beneath a new surface. This principle of transforming themes was developed "...to its utmost concentration and widest expansion" in the music of Beethoven. (Reti 1961:281)

The two complimentary uses of the 'cyclic principle' - the motto and the transformation of a 'cyclic' theme - have different functions in a composition, although both have the effect of promoting unity between movements. In the case of the motto, it provides only a relative unity, in that a theme is repeated in a later movement and does not emerge out of the thematic discourse of the movement in which it appears. It is as if thoughts from earlier movements are recalled so that one can reflect on them again, usually before the close of the work.

It is the 'transformative' approach to cyclical treatment that has the potential to bring about a high degree of unity in a work, especially one in which every part of the composition relates to a common thread. A transformed theme can be used to give rise to the musical texture of a new movement of which it forms an integral part. Thus the creative potential of developing thematic material from one (or a group) of musical ideas in an entire work allows for a wide range of musical expression in a holistic, organic way.

Jim Samson in *Grove Music Online* (2007:28269) describes the history of Romanticism as a "significant change of focus" in the practice of composing, in that there was a definite move away from writing within a certain style or genre to creating works that are original in terms of idea and structure. This change brought a passion for creating "organically unified works" in which each composition is highly individual in its subject matter, the development of which builds a cohesive whole. If we consider Beethoven's symphonies, for example, it is remarkable how different in character each one is and how each symphony is conceived as a totality in its respective movements. It was particularly Beethoven who "promoted ... an increasingly influential view of *music as a discourse of ideas* as much as an object of beauty" (op.cit., italics by the author).

2.1.1 Thematic and motivic recurrences

Cyclic treatment can tend more towards thematic recurrences, i.e. the quoting or transforming of entire melodies or melodic phrases, or more towards motivic recurrences in which a small motive, usually a few notes, is repeatedly used in exact or transformed appearances. In the former, the motif is isolated, therefore used as a recognisable unit, whereas the latter can be integrated in new themes, as for example in Beethoven's Fifth Symphony.

Thematic recurrences function primarily on a macro-level in the structuring of a composition. These recurrences can be of the motto type (i.e. quotations) or of the transformative type, giving rise to variants to be used in other movements. These variants usually determine the musical discourse of the movements they appear in, and therefore play a distinctively *structural* role in a composition, linking movements together.

By contrast, motivic recurrences function principally on a micro-level, in that they provide the material to build up the musical fabric. They can function as a unifying element in themes from different movements that would otherwise have little in common as in, for example, Beethoven's Fifth Symphony where the '*destiny*' motive appears in a variety of forms in all movements of the work [see analysis below]. Usage of motivic recurrences can also be transformative, as for example in the symphonies of Brahms, or the tone poems of Liszt.

There is no clear dividing line between thematic and motivic recurrences - in fact, endless shades of usage will be found between the two.

2.1.2 The germ-motive

In Beethoven we see a further element that promotes unity of material in a musical work, namely the 'germ-motive' (also 'generative phrase' or 'germ-cell'). A composition can be built up out of one idea - a motive - from which the themes in the different movements, even the musical texture, can be derived.

Randel (2003:532) describes a motive as: "A short rhythmic or melodic idea that is sufficiently well defined to retain its identity when elaborated or transformed and combined with other material and that thus lends itself to serving as the basic element from which a complex texture or even a whole composition is created." According to Reti (1961:279), a motive can create, by means of thematic transformation, every smallest part of the building up of a movement - every phrase, bridging section and voice "becomes a separate, a new musical utterance based on a kernel identical to, or derived from the initial thought."

The germ-motive can play a decisive role in the linking of different movements, providing logical coherence in the entire fabric of the composition.

2.2 Cyclic structure before the Classic/Romantic Period

According to Randel (2003:231), the first large-scale examples of cyclic treatment are to be found in many masses of the 15th and 16th centuries. Apel (1970:509) in an earlier edition of the *Harvard Dictionary of Music* gives a more clearly delineated explanation of this treatment as it appears in the *cantus firmus* mass. He states that all movements are based on the same melody (often borrowed from a chant or other melody) that appears in the tenor part of the polyphonic texture; that in the *motto* mass, unification is generally achieved by the use of an identical motif at the beginning of each movement and that the *cyclic* mass combines the *motto* and *cantus firmus* methods, as for example in Dufay's *Missa Caput* (1440).

Hugh MacDonald in *Grove Music Online* (2007:7001) states that examples of cyclic treatment can be found in many instrumental sonatas, suites and canzonas of the early seventeenth century. He also states that in dance pairs of the early seventeenth century there are cases of thematic transformation, as for example in Bull's keyboard dances, where the melody of the galliard frequently was freely derived from that of the pavan.

2.3 Cyclic works of the Classic/Romantic period

Farlow (1969:2) maintains that in all its early appearances, as outlined above, 'cyclic treatment' was essentially employed in monothematic works. This study will focus on polythematic compositions based on sonata form as a multi-movement structure of the Classic/Romantic period, leading up to and including Franck's Symphony in D minor (1886-8). The historical survey that follows is a selection of the most important milestones of cyclic procedure.

It is generally held that cyclic treatment is a conscious, deliberate procedure used by composers in order to build a unified composition. Spink (1967:126), however, maintains that in many cases cyclic treatment may well have been the result of the subconscious of the composer at work rather than of a deliberate intention. Spink writes, "For in contemplating a work as a whole, it is very likely that some common denominator will run through it, whether the composer wills it or not." Whilst one cannot deny this possibility, it is very likely that composers regarded cyclic working as part of their craft and as such applied its procedures in as conscious a manner as the construction of their forms.

2.3.1 Mozart (1756 – 1791)

One can find a few works of Mozart that show the beginnings of cyclic procedure in the Classic Period. The Fantasy in C minor, K475 (1785) and Sonata, also in C minor, K 457 (probably 1784) show remarkable links. According to Köchel (1965:496 & 515), the Fantasy was intended by Mozart as an introduction to the Sonata for his pupil Therese von Trattner. The two autographs were in possession of JA Stumpf and these two works were first published together in Vienna in 1785.

The links between the opening themes of the Fantasy and Sonata are of a highly transformative nature (refer to Example 1 below). The tempo has changed from *Adagio* in the Fantasy to *Allegro molto* in the Sonata. Both start with ascending arpeggios in octaves, though decorated and returning to the initial note in the Fantasy. Both have a loud opening gesture (*fp* in the first work, *f* in the second) followed by two shorter, softer gestures (*p* and *pp* in the first, *p* in the second). In both, this series of gestures is repeated, with short rests within the series and a long rest before the repetition. In both cases the respective opening themes rise (melodically) from tonic to sub-mediante before falling rapidly to the leading note, over one bar in the Fantasy and over four bars in the Sonata. This is a striking instance of not overly apparent cross-referencing between movements.

Example 1a

Adagio

Mozart Fantasy in C minor, K475, bb.1-6 (Mozart 1955:218)

Example 1b

Sonata K 457

Allegro molto

Mozart Sonata in C minor, K457, bb.1-6 (Mozart 1955:228)

In the Fantasy, we can see part of the opening section returning after an Allegro and Andantino section as a kind of coda at the end of the work. This constitutes a cyclic reprise if one considers the work as a series of linked movements. The return (see Example 2) is exact in the first two bars, altered in tonality in the third and fourth bars and thereafter freely developed to the close of the work, using motives from the opening section:

Example 2

Mozart Fantasy in C minor, K475, bb.166-170 (Mozart 1955:218)

Farlow (1969:6-8) cites two examples of cyclic unity from the symphonic works of Mozart: an early Symphony, no. 22 in C major, K162b (1770) and Piano Concerto no. 24 in C minor, K491 (1786). In the symphony, the first four bars of the principal theme of the first movement re-appear (with some variation in bars 3 to 4) in the third movement, but transformed in metre and note values.

Example 3

(a) First movement (bars 1-4)

(b) Third movement (bars 1-4)

Mozart Symphony 22 in C major K162b, extrapolation of themes (Farlow 1969:6-8)

In the concerto, the principal theme of the first movement contains two motives, *a* (a rising arpeggio) and *b* (a diminished seventh interval):

Example 4a

First movement (bars 1-8)

Allegro

Mozart Piano Concerto no 24 in C minor K491, extrapolation of themes (Mozart 1978[1879]:55)

In the second movement, motive *a* appears, the intervals of the third and fourth being reversed, in different metre and note values:

Example 4b

Second movement (bars 1-4)

Larghetto



Mozart Piano Concerto no 24 in C minor K491, extrapolation of themes (Mozart 1978[1879]:89)

The theme of the third movement (*Allegretto*) overlaps motives *a* and *b*, the former reversed as in the second movement and the latter inverted (now a falling seventh):

Example 4c

Third movement (bars 1-8)

Allegretto

Mozart Piano Concerto no 24 in C minor K491, extrapolation of themes (Mozart 1978[1879]:99)

The use of repeated notes in both the above examples is also perhaps an intentional correspondence.

2.3.2 Beethoven (1770 – 1827)

The first composer to deliberately and extensively employ the possibilities offered in using the cyclical principle was Beethoven. The use of cyclic treatment can be seen more and more frequently as Beethoven's compositional style progresses.

Beethoven was a master of developing musical material, causing a radical expansion of the sonata and its allied forms. The structural risks inherent in this expansion needed to be countered by an increase in motivic and thematic unity within and between movements, which Beethoven achieved in the most original and creative way, bringing about a whole new era of compositional technique and form.

We find every type of cyclic treatment described above in Beethoven's works. Generations of composers after him have adopted his use of cyclic devices and developed them further in their own unique ways.

An early work of Beethoven, the *Sonata quasi una fantasia* in E flat major, Op 27 no 1 (1800-1), already shows cyclic thinking in that the last movement is interrupted by an exact recall (now in the

main key of the sonata) of the first six bars of the *Adagio* (in A flat major), followed by a one-bar extension and a cadenza-like passage leading to the closure of the movement.

2.3.2.1 Beethoven's Fifth Symphony

A supreme example of the cohesiveness of an entire work based on a 'germ cell' is Beethoven's Fifth Symphony in C minor, Opus 67 (1807-8).

The work opens with a motive about which Beethoven is purported to have said, "So pocht das Schicksal an die Pforte" ("So Fate knocks at the door"). (Scott 1974:170) As a result of this assertion, it has often been referred to as '*destiny* motive' (see Example 5 below).

This assertion originates from Anton Schindler, Beethoven's secretary and factotum. Schindler has been proven to be an unreliable source, given to fabrication and romanticising the composer's life. (Stadlen 1977:549-552) However, his account of Beethoven's life and artistic intentions enjoyed widespread currency during the nineteenth century, and Franck was probably familiar with it. Franck certainly subscribed to the Romantic notion of 'Fate.'

Example 5



Beethoven Symphony in C minor, Opus 67, first movement, bb 1-2, extrapolation of principal theme (Beethoven 1989[n.d.]:1)

The most obvious cyclic use of the *destiny* motive lies in its rhythm which forms the basis of the first movement and is then used in the third movement (a scherzo, though only marked *Allegro*) and again in the finale when the section of the scherzo that uses the *destiny* motive re-appears briefly before the recapitulation. In the scherzo, the *destiny* motive undergoes a time-signature change and the last note no longer falls a third, but remains on the same note. Note how the cyclic motive gives rise to a full melody, functioning as the second part of the scherzo's principal theme:

Example 6



Beethoven Symphony in C minor, Opus 67, third movement, bb 19-26, extrapolation of principal theme (Beethoven 1989[n.d.]:32)

Even in the slow movement (*Andante con moto*) an allusion to the *destiny* motive appears as a counterpoint to the second theme in bars 76 -77 (two appearances) and bars 88-98 (two further appearances followed by another seven slightly altered appearances).

Example 7

Beethoven Symphony in C minor, Opus 67, second movement, bb 76-78, extrapolation of thematic material (Beethoven 1989[n.d.]:20-21)

The cyclic motive re-appears nine times in the finale¹. As stated above, shortly before the recapitulation the theme containing the cyclic motive from the scherzo reappears, again in 3/4 time, as a brief reminiscence from the third movement. This interpolation requires a return to the scherzo tempo, and is simply 'pasted into' the discourse as a direct quotation. In the coda there is a final appearance of the cyclical motive (bars 363 to 378) in the contra-bassoon, cellos and basses, with the horns added in the last bars.

This symphony shows a very intense use of its cyclical motive, which is clearly recognisable and plays a significant role in each of the four movements.

Reti (1961:166) however, sees, in addition to the rhythmic recurrence, the melodic shape of the motive as being the source of *all* the themes of the work. The steps by which he draws these conclusions need some explanation.

The work starts with the opening statement based on the *destiny* motive. This is followed by the first theme of the *Allegro*:

Example 8

Beethoven Symphony in C minor, Opus 67, first movement, bb 6-21, extrapolation of principal themes (Beethoven 1989[n.d.]:1-2)

Reti creates a contour from the first eight bars of the first theme, taking the starting note, the highest (peak) note and the final note of each phrase. This yields two segments (*a1* and *b1*) which can be derived from the falling thirds (*a* and *b*) of the *destiny* motive:

¹ The re-appearances can be found in the trumpets, horns and timpani of bars 6 to 11 and 48 to 50 (in the exposition), 122 to 129 (in the development), 212 to 217, 257 to 261 and with the woodwinds in bars 308 to 310 (in the recapitulation).

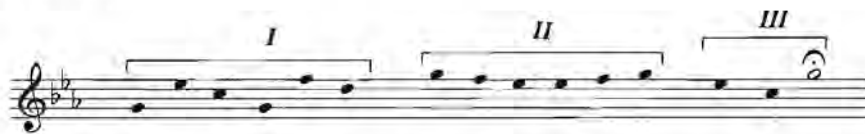
Example 9



Reti (1961:166, ex. 253)

To this contour, he adds two others derived from the next eight bars to arrive at three contours labelled I, II and III, which all have a definitive relationship to the *destiny* motive:

Example 10



Adapted from Reti (1961:166, ex. 254)

He then shows (p. 167) how the theme of the second movement, the *Andante con moto*, relates to these contours:

Example 11



Adapted from Reti (1961:167, ex. 255)

Following a similar procedure, the shape of the opening theme of the third movement (the scherzo), when compared with contour I, also reveals a definitive relationship:

Example 12



Reti (1961:168, ex. 257)

Finally, Reti shows how the principal theme of the finale - now in the triumphant tonic major - derives from contours III and II, completing his proposition that all the different movements originate directly from one musical thought:

Example 13

The image displays two systems of musical notation for piano accompaniment. The first system consists of two staves. The upper staff (treble clef) contains a melodic line with a bracket underneath labeled "III as used in the second movement". The lower staff (bass clef) contains a bass line with a bracket underneath labeled "II". The second system also consists of two staves. The upper staff has a melodic line with a bracket underneath labeled "III as used in the second movement". The lower staff has a bass line with a bracket underneath labeled "III as used in the second movement".

Reti (1961:187, ex 292)

For the full analysis of the Fifth Symphony the reader is referred to Reti's book *The Thematic Process in Music* (1961).

2.3.2.2 Beethoven's Ninth Symphony

Beethoven's Ninth Symphony in D minor, Opus 125 (1822-24) is well-known for the brief quotations from the first three movements in the fourth movement, the finale. These quotations have the effect of summarising the thematic development of the first three movements before concluding the work with a finale. Spink (1967:127) writes, "Obviously the finale is the natural place for retrospective quotations[This] points to a growing tendency to regard the finale as a summary - a sort of coda - of the whole work." With the Ninth Symphony, Beethoven established a procedure that was to be used again and again by the composers that followed him. Whilst Beethoven (and later Berlioz in his *Harold en Italie*) quoted themes briefly from previous movements and then 'rejected' them, later composers tended to integrate previous material into their finales, making them part of the discourse.

Farlow (1969:4) says that this direct quotation is a distinct innovation of Beethoven. As we have seen above, this device was used before Beethoven, so it would be more accurate to say that he was the first to exploit it in so striking a manner.

This literal transference of themes from previous movements to the last movement constitutes a motto-type cyclic device. This motto transference is extreme, in that 'blocks' of material from other movements are inserted 'wholesale' into the finale, as if one were 'cutting and pasting' rather than weaving the mottos into the texture of the last movement.

After hearing the opening statement and the *recitativo* in the 'cellos and basses in two iterations, the first eight bars of the first movement are repeated exactly, except that the dominant harmony is now in first inversion, giving it a fleeting feeling, as if merely a brief reflection in passing:

Example 14

Allegro ma non troppo

Tempo I

Beethoven Ninth Symphony, fourth movement, bb.30-40, extrapolation of thematic material (1989[n.d.]:167)

After a further *recitativo* section, Beethoven quotes the beginning of the fugal entries of the scherzo's first theme (bars 9 to 16), this time not in the home key of D minor as it appears in the second movement, but in its dominant key, A minor. After four bars a sudden shift is made to F major. Furthermore, the fugal entries are at the octave, no longer at the fifth as before, and they appear every two bars, not every four bars as in the scherzo.

If one examines the scherzo one notices that the theme undergoes a great deal of development. Close to the end of the scherzo (just before the trio), and at the beginning of the coda, one can see a similar development of the thematic material as in the quotation. However, the quotation is still a variant, and, unlike the others, has not been heard before.

Again the experience is of brief remembering, but this time a contracted, disjointed memory rather than a full one:

Example 15

Beethoven Ninth Symphony, fourth movement, bb.48-55, extrapolation of thematic material (1989[n.d.]:168)

After yet another, shorter *recitativo* Beethoven quotes only the first two bars of the third movement's principal theme (bars 3 and 4, including the first note of bar 5) in the original key:

Example 16

Beethoven Ninth Symphony, fourth movement, bb.63-65, extrapolation of thematic material (1989[n.d.]:168)

In transferring themes from previous movements to the last movement, each quotation requires a change of tempo to that of the movement from which it is taken.

As in the Fifth Symphony, there is a remarkable interconnectedness of the themes of all the movements of the Ninth Symphony, showing that Beethoven used both the transformative and motto approaches to cyclic treatment in the structuring of his last symphony. For a full explanation of the transformation of themes in the Ninth Symphony, the reader is referred to Reti's book (*op. cit.* pages 11 to 17 for the main themes, 17 to 30 for all the subsidiary themes)

2.3.3 Schubert's "Wanderer" Fantasy

Schubert for the most part seemed content to write compositions in the inherited sonata and symphony forms of his time, with occasional motto-type cyclic references in works such as the Piano Trio in E flat and the String Quartet in E. The "Wanderer" Fantasy in C major, D 760 (1822), is a remarkable exception in that he moves beyond the confines of accepted musical structures to create a work in four linked movements that correspond to the sections of a sonata movement.

A work for piano solo, Schubert wrote the "Wanderer" Fantasy in the same year as his B minor "Unfinished" Symphony. These works belong to a crisis-period of Schubert's life, which gave rise to compositions of "enormous musical tension, dramatic power and concise, bold formal

construction." (Badura-Skoda 1965:2) This title was not given by Schubert, but became common usage due to the use of a quotation from his song *Der Wanderer* as the basis of a set of variations in the slow movement.

The rhythmic figure which binds the whole work together comes from the opening of this quotation. This figure is used extensively in its original form in the first, second and last movements of the Fantasy, but undergoes transformation in the third, scherzo movement:

Example 17a



Schubert Fantasy in C major, Opus 15, first movement b.1 (Schubert 1965:3)

Example 17b



Schubert Fantasy in C major, Opus 15, third movement bb.3-4 (Schubert 1965:18)

The melodic transference of themes that further binds the work together show interesting adaptations and transformations. Particularly striking is the change of mood that goes with these thematic transferences, from the energetic and dramatic *Allegro con fuoco ma non troppo* theme to the lyricism of the E major variant (both in the first movement, C major), to the subdued, pensive beginning of the *Adagio* theme (second movement, C sharp minor); this is followed by the tense, conflict-ridden *Presto* theme (the third, scherzo movement, A flat major) and finally the bold, dramatic, fugal *Allegro* theme (fourth movement, C major):

Example 18a



Schubert Fantasy in C major, Opus 15, first movement bb.1-3 (Schubert 1965:3)

Example 18b

Schubert Fantasy in C major, Opus 15, first movement bb.47-48 (Schubert 1965:5)

Example 18c

Schubert Fantasy in C major, Opus 15, second movement bb.1-2 (Schubert 1965:12)

Example 18d

Schubert Fantasy in C major, Opus 15, third movement bb.1-7 (Schubert 1965:18)

Example 18e

Schubert Fantasy in C major, Opus 15, fourth movement bb.1-6 (Schubert 1965:26)

The ascending semitonal appoggiaturas in bars 2, 3, 5 and 6 of the opening statement of the first movement (labelled *a* in Example 18a above) play a significant motivic role in subsequent thematic developments. In the E major variant (see Example 18b above), the end figure '*a varied*' (leading note-supertonic-tonic) is simply an elaboration of '*a*' (leading note-tonic) from the opening statement. Towards the end of the second movement (*Adagio*) the leading note '*a*' appears in the arpeggio accompaniment to the concluding strains of the main theme (see Example 19 below). This very accompanying figure then becomes a feature of the first two bars, and bar 5, of the opening theme in the third movement (the scherzo - see Example 18d above). In the last

movement, the leading note motive appears in the fugal theme in bars 2 and 4 (see Example 18e above).

Example 19

Schubert Fantasy in C major, Opus 15, second movement bb. 55-56 (Schubert 1965:18)

The second themes in the first and third movements also feature the opening rhythmic figure, though reversing the rhythm from crotchet-quaver-quaver to quaver-quaver-crotchet. In the first movement, we see how the end figure of the variant in E major gives rise to the beginning of the second theme in E flat major (see Example 20 below). The trio theme of the scherzo is a transformation of this theme, transposed, rhythmically and metrically altered, and with the second- and third-last quavers of each bar omitted:

Example 20a

Schubert Fantasy in C major, Opus 15, first movement bb.47-48 (Schubert 1965:5)

Example 20b

Schubert Fantasy in C major, Opus 15, Second theme: first movement bb.112-115 (Schubert 1965:8)

Example 20c

Schubert Fantasy in C major, Opus 15, Trio theme: third movement bb.187-194 (Schubert 1965:23)

Paul Badura-Skoda (1965:2) writes that of even greater importance than the transformation of themes is

"...the creation and sovereign command of a new formal design. Here the classical order of movements - Allegro, Adagio, Scherzo, Finale - corresponds simultaneously to the principal sections of one larger sonata movement (exposition, development, recapitulation, coda). Within this framework the adagio functions as a free development, the scherzo takes on the character of a varied recapitulation in the sub-mediante, and the final allegro section presents a grand closing climax and a strengthening of the basic tonality (similar to the final sections of many Beethoven symphony or sonata movements)."

Schubert's revolutionary model of cyclic treatment had a great influence on the work of later composers, particularly in the form of Liszt's sonata and symphonic poems and Franck's striving for cyclic unity in his mature compositions. Hutchings (1973:149) maintains that "the work which most completely follows Schubert's example on a big scale is Franck's *Symphonic Variations*."

2.3.4 Berlioz (1803 – 1869)

2.3.4.1 Berlioz and the *idée fixe*

Berlioz plays an important role in the further development of cyclic procedure by "demonstrating the dramatic strength of a theme that recurs in all movements (the *idée fixe*) and is transformed in each movement according to its context." (Hugh MacDonald in *Grove Music On-line* 2001:28269). The *idée fixe* refers to a specific entity and can take on contrasting moods, following the course of a programme written by Berlioz to inform his listeners of the plot as it unfolds in each succeeding movement. Thus the same melody can express passion, the grace of a ball and a witches' Sabbath by undergoing slight changes to fit into a new movement, adapting to the metre, tempo and key as necessary or (occasionally) undergoing transformation, giving a completely different mood or character to match the narrative, but remaining clearly recognisable.

According to Hugh MacDonald in *Grove Music On-line* (2001:13701), the term *idée fixe* is literally the French for 'obsession' and was coined by Berlioz.

2.3.4.2 The *Symphonie fantastique*, opus 14 (1830)

In Berlioz's *Symphonie fantastique*, the *idée fixe* refers to an artist's beloved. Spink (1967:145-6) states that Berlioz tended to write his programmes, and therefore to add the *idée fixe*, after a great deal of the music of a particular work had already been written. In this symphony, some movements were written before as separate works, the *idée fixe* being simply 'implanted.' It is, therefore, 'to some extent a patchwork'.

In the first movement, 'Reveries and Passions,' the *idée fixe* serves as the main theme, appearing in several different forms in the course of the movement. It is a long melody of 40 bars, divisible in three parts. The characteristic motive of each part is labelled a, b and c:

Example 21

The image shows three staves of musical notation for the 'idée fixe' theme.
 - **Motive a:** The first staff, starting with a treble clef and a common time signature. It begins with a piano (*p*) dynamic and a *poco sf* (poco sforzando) dynamic. The melody is marked with slurs and accents.
 - **Motive b:** The second staff, continuing the melody. It starts with a *sf* (sforzando) dynamic and a *dolce* (softly) dynamic. It includes a *cresc. poco a poco* (crescendo poco a poco) marking.
 - **Motive c:** The third staff, featuring triplets and various dynamics. It starts with *poco f > p*, followed by *sf*, *ff*, and *sf*. It includes markings for *animato*, *rit.* (ritardando), *poco rit.*, and *a tempo*.

Berlioz *Symphonie fantastique*, Opus 14, first movement, bb.72-111, extrapolation of theme (Berlioz 1984[1900]:10)

The second movement, 'A Ball,' is a lyrical waltz in ternary form. There are only two appearances of the *idée fixe*. The first forms the middle section of the movement. Here the entire 40-bar melody from the first movement is given note-for-note (except for the second-last bar) but in 3/8 time:

Example 22

The image shows a single staff of musical notation for the 'idée fixe' theme in 3/8 time. It begins with a treble clef and a 3/8 time signature. The melody is marked with a piano (*p*) dynamic and *espress.* (espressivo).

Berlioz *Symphonie fantastique*, Opus 14, second movement, bb.121-128, extrapolation of theme (Berlioz 1984[1900]:40)

The second appearance comes towards the end of the coda, just before the final *con fuoco*. Here the *idée fixe* is slightly altered for effect in the seventh bar, and the closing phrase is cut short after five bars to lead back to the close.

Example 23

Berlioz *Symphonie fantastique*, Opus 14, second movement, bb.302-319, extrapolation of theme (Berlioz 1984[1900]:54-55)

In the third movement, 'In the country,' the peace is disturbed by a build-up towards the entry of the *idée fixe*. A passionate derivative of the *idée fixe*, accompanied by *tremolo très serré* ('very fast tremolo') in the upper strings, is played in the lower strings and bassoons, quietening down for the melody of the Beloved to appear in the upper woodwinds:

Example 24

Berlioz *Symphonie fantastique*, Opus 14, third movement, bb.87-93, extrapolation of thematic material (Berlioz 1984[1900]:66-67)

A full 24 bars of the original *idée fixe* are quoted, but it gets swamped at the end by the passionate derivative theme. An interpolation - a brief allusion - to the theme of the Beloved appears before the end over four bars in the woodwind, followed by motive *c* of the *idée fixe* (with strings) and two further phrases of motive *a* (see Example 21), after which the music leads back to the opening material of the movement.

Example 25

The image shows three systems of musical notation. The first system features a Flute (FL) part with a melodic line and a Violin 1 (Vln.1) part with a rhythmic accompaniment. The second system continues the Flute part and introduces a Violin 2 (Vln.2) part. The third system shows a Clarinet (Cl) part playing a melodic line, with Violin 1 (Vln.1) and Violin 2 (Vln.2) parts providing accompaniment. Dynamics include *p*, *sf*, and *p*. Performance markings include *7* (fingerings) and *legg.* (leggiero).

Berlioz *Symphonie fantastique*, Opus 14, third movement, bb.150-163, extrapolation of thematic material (Berlioz 1984[1900]:72-73)

The fourth movement, 'March to the scaffold,' is completely independent of the *idée fixe*, except nearly at the very end when the artist thinks of the Beloved shortly before the fall of the axe on the *fortissimo*. Only half the first phrase of the theme is heard, on a solitary clarinet:

Example 26

The image shows a single line of musical notation for a Clarinet (Cl). The music is in a minor key and features a melodic line with a dynamic range from *pp dolce assai ed appassionato* to *ff*. The notation includes slurs and dynamic markings.

Berlioz *Symphonie fantastique*, Opus 14, fourth movement, bb.164-169, extrapolation of theme (Berlioz 1984[1900]:95-96)

In the fifth (last) movement, 'A witches' Sabbath,' the *idée fixe* now appears transformed into a grotesque tune played on a shrill E flat clarinet: the Beloved is now a witch ! It appears twice in quick succession after an eerie opening, first only the first two phrases followed by a *fortissimo* passage and then almost the complete theme (only the last five bars are missing):

Example 27

Allegro (♩=112)

E♭ Cl

ppp

Berlioz *Symphonie fantastique*, Opus 14, fifth movement, bb.22-28, extrapolation of theme (Berlioz 1984[1900]:102)

The rest of the last movement is a continuation of the witches' Sabbath, using a funeral knell and the *Dies irae* melody treated in all kinds of ways: in diminution, in double-diminution, as a fugue subject and as counterpoint to other material from this movement. (Wallace 1967:25)

2.3.4.2 *Harold en Italie*, opus 16 (1834)

Harold en Italie is Berlioz's second symphony, in which we again see the use of an *idée fixe*, this time portraying the main character, Harold. This symphony makes use of a solo viola, often used to represent the hero. Although the work has a programme in mind, it is only alluded to in the headings of each movement.

In the first movement, 'Harold in the mountains,' the Harold theme appears briefly in the minor, set against the opening motive of the *Largo* introduction.

Example 28

Fl/O♭

mf

Via/Vlc/Cb

Berlioz *Harold en Italie*, Opus 16, first movement, bb.14-17, extrapolation of thematic material (Berlioz 1984[1900]:152-153)

The Harold theme's proper appearance, in the major as it will be used repeatedly afterwards in succeeding movements, comes in bar 38. It is a full eight-bar melody, played by the solo viola.

Example 29

Solo Viola

mf espress e largamente

Berlioz *Harold en Italie*, Opus 16, first movement, bb.38-45, extrapolation of theme (Berlioz 1984[1900]:155-156)

The *idée fixe* does not remain as a separate identity, however, but becomes woven into the texture of the *Largo*, first through a brief development (bars 54 to 63), later in canonic dialogue with the orchestra as a full eight-bar phrase (bars 73 – 80) and then through further development that leads to the *Allegro* section of the first movement. This section is in sonata form, and as soon as it reaches the coda (*poco animato*) the Harold theme reappears in fugato in 6/8 time (bars 324 to 352) and finally in rising four-note sequences leading to a climactic close.

Example 30

The image shows a musical score for Example 30, which is an extrapolation of thematic material from Berlioz's *Harold en Italie*. The score is written for Cello (Cb.) and Viola (Va.) in 6/8 time. The Cello part is marked *pp* and the Viola part is marked *pp*. The score shows the Harold theme in its original form and then in a development section.

Berlioz *Harold en Italie*, Opus 16, first movement bb.324-336, extrapolation of thematic material (Berlioz 1984[1900]:196)

The second movement, 'March of the Pilgrims,' starts with the pilgrims' *canto* (evening hymn) theme. After five lengthy phrases the Harold theme, now in altered rhythm in 2/4 time, is superimposed on the continuation of the hymn.

Example 31

The image shows a musical score for Example 31, which is an extrapolation of thematic material from Berlioz's *Harold en Italie*. The score is written for Solo Viola and Canto in 2/4 time. The Solo Viola part is marked *mf* and the Canto part is marked *mf*. The score shows the Harold theme in its original form and then in a development section.

Berlioz *Harold en Italie*, Opus 16, second movement bb.64-75, extrapolation of thematic material (Berlioz 1984[1900]:216)

The third movement, 'Serenade of an Abbruzzi-mountaineer to his sweetheart,' starts with a vigorous dance section, followed by an *Allegretto* theme in 6/8 time, in which the first four notes of the Harold theme appears, though the last interval is a falling fifth instead of a falling sixth. The Harold theme, in augmentation, is then combined with this *Allegretto* theme. It first appears incomplete, both as melody and as augmentation, and then as the complete eight-bar phrase of the first movement, with some changes to rhythm and melody.

Example 32

Berlioz *Harold en Italie*, Opus 16, third movement bb.65-71, extrapolation of thematic material (Berlioz 1984[1900]:238-239)

Further development of the *Allegretto* theme leads back to the original vigorous dance section. At the return of the *Allegretto*, the Harold theme is now heard high above the *Allegretto* theme on the flute and harp (in *flageolet* tones), still in augmentation.

In the fourth movement, Berlioz imitates the beginning of the finale of Beethoven's Ninth Symphony. After a loud and dramatic opening, themes from previous movements are briefly quoted and then interrupted by snatches of the opening music. The last theme to be quoted is the *idée fixe*, the same notes as the original, but in a different metre, transformed note values and with added 'sob' motifs:

Example 33

Berlioz *Harold en Italie*, Opus 16, fourth movement bb.80-109, extrapolation of thematic material (Berlioz 1984[1900]:265)

Then, soon after the recapitulation has begun, it is suddenly interrupted by virtual silence, followed by two strains of the Pilgrims' March (from the second movement) played off-stage by three strings. The viola plays a counterpoint to the second strain, in which only the falling third of the original *idée fixe* appears at the height of the phrase. As the viola plays a long *diminuendo*, it seems to try to play fragments of the Harold theme, but does not succeed, portraying the dying moments of Harold.

Example 34

The image shows a musical score for a Solo Viola. It consists of three staves of music. The first staff begins with the dynamic marking *ppp* and features a series of slurs over a sequence of notes. The second staff starts with *sf*, followed by *p* and *dim* markings, and continues with slurred phrases. The third staff shows further development of the melodic material with slurs and rests.

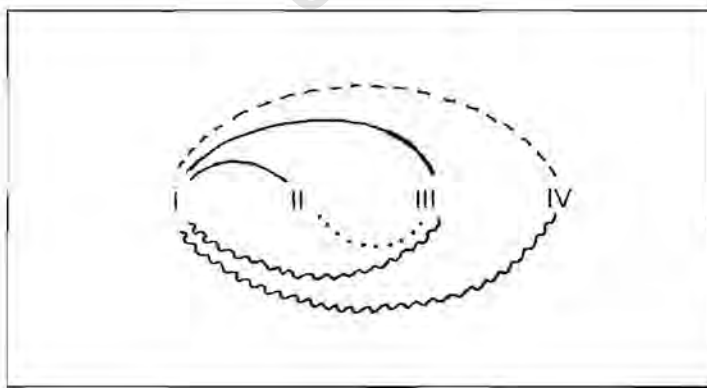
Berlioz *Harold en Italie*, Opus 16, fourth movement bb.484-501, extrapolation of theme (Berlioz 1984[1900]:265)

The motto usage in this work, more than in Beethoven's Ninth Symphony or even Berlioz's *Symphonie fantastique*, is integrated with the material of each individual movement, acting as a counter-theme rather than being 'pasted' in. The material of each movement is designed to accommodate the *idée fixe*.

2.3.5 Schumann's Symphony no. 4 in D minor, Opus 120 (1841, revised 1851)

Schumann (1810 – 1856) made use of the cyclic principle in several of his compositions, such as *Dichterliebe*, *Frauenliebe und –Leben*, the Piano Quintet, and, most notably, his Fourth Symphony. This work has many recurrences, not only of one theme but multiple themes or sections of themes. These themes can be labelled as Cyclic Themes I, II, III and IV, the last being a variant of the first.

Farlow (1969:150) points out that in this symphony movement four is bound only to movement one, while the second and third movements are linked to both the first movement and to themselves:



The first movement begins with a slow introduction section with the following theme (Cyclic Theme I), which is extended and developed over 21 bars:

Example 35

Ziemlich langsam

Vln. 1

f

pp

Vln. 2

f

pp

Cyclic Theme I

motive x

p cresc.

b

cresc.

sf

sf p

Schumann Fourth Symphony, first movement, bb.1-5, extrapolation of thematic material (Schumann 1980[1882]:310)

It is important to notice that the motive that is implicit in the opening statement (above), which can be labelled as *x*, acts as a 'building block' in the further development of themes and is sometimes used in an inverted form:

Example 36

motive x

motive x inverted

As the introduction proceeds, the first theme of the *Lebhaft* section is foreshadowed, the music resting on an elaborated dominant pedal point. The metre changes from 3/4 to 2/4 and speeds up to the first full statement of the *Lebhaft* theme, which can be labelled Cyclic Theme II as it will re-appear in a later movement:

Example 37

Vln. 1

f

motive x

Cyclic theme II

motive x

Schumann Fourth Symphony, first movement, bb.29-32, extrapolation of theme (Schumann 1980[1882]:313-314)

In the development section a new theme is heard, labelled Cyclic Theme III. It appears in two versions:

Example 38

Cyclic theme III - first version
Cyclic theme III - second version

Schumann Fourth Symphony, first movement, bb.121-124, 134-137, extrapolation of thematic material (Schumann 1980[1882]:325,327)

Note how the *b* phrase of the second version forms an inversion of the first four notes of motive *x*, if one lowers the D flat by an octave:

In the second movement, *Romanze*, after the statement of its first theme, Cyclic Theme I appears as a second theme to the movement. The first two phrases are exact quotations after which free extension and development of the theme takes place. The metre and tempo are identical to the Introduction of the first movement, but the theme is transposed to the key of A minor instead of D minor.

This theme is followed by an extended variant of Cyclic Theme I with a superimposed embroidered version played by a solo violin, labelled Cyclic Theme IV as it will re-appear in the third movement:

Example 39

Schumann Fourth Symphony, second movement, bb.26-30, extrapolation of thematic material (Schumann 1980[1882]: 357)

The Scherzo uses Cyclic Theme III (simplified into chords in both *a* and *b* phrases) as counterpoint to the first scherzo theme, which clearly is the inversion of motive *x* (except that the first interval is a fourth instead of a third). The scherzo theme is imitated in the bass voices:

Example 40

Scherzo: *Lebhaft* ($\text{♩} = 92$)

Schumann Fourth Symphony, third movement, bb.1-7, extrapolation of thematic material (Schumann 1980[1882]:360)

The Trio is a transformed version of Cyclic Theme IV in the *Lebhaft* tempo of this movement.

Example 41

Schumann Fourth Symphony, third movement, bb.65-72, extrapolation of thematic material (Schumann 1980[1882]:362)

As at the beginning of the symphony, the final movement begins with a slow introduction, but this time it uses the 'foreshadowing' fragment of the first movement's main theme (Cyclic Theme II, in the first violins) in combination with phrase *b* of the first movement's new theme (Cyclic Theme III) in the trombones and horns:

Example 42

Schumann Fourth Symphony, fourth movement, bb.1-4, extrapolation of thematic material (Schumann 1980[1882]:371)

This leads to the main part of the finale, starting with a combination of two themes from the first movement: the complete Cyclic Theme III (the 'new' theme that emerges in the development of the first movement) together with the first bar of the first movement's principal theme, Cyclic Theme II:

Example 43

Lebhaft.

Schumann Fourth Symphony, fourth movement, bb.17-18, extrapolation of thematic material (Schumann 1980[1882]:373)

In the development section Schumann builds a theme using the *b* phrase of Cyclic Theme III. This theme is treated in a freely fugal manner, with four entries followed by further elaboration:

Example 44

Schumann Fourth Symphony, fourth movement, bb.82-85, extrapolation of thematic material (Schumann 1980[1882]:384)

As can be seen from the above analysis, Schumann's Fourth Symphony is a magnificent example of a composer attaining thematic unity by means of the cyclic principle. This work holds a special place in the symphonic literature, as an example of a composition conceived as an organic whole.

2.3.6 Metamorphosis of themes in Liszt's B minor Sonata

Liszt (1811 – 1886) plays a pivotal role in the further development of the sonata form of the nineteenth century. Building on the mature style of Beethoven, Liszt established the concept of 'metamorphosis of themes' as a primary technique of composition. Here we see fairly radical transformations of thematic material becoming intentional practice, the effect being a new, highly transformative approach to achieving cyclical unity in compositions.

Liszt in his B minor Sonata (1853), like Schubert in his "Wanderer" Fantasy, writes a work that functions on two levels simultaneously. On one level, it follows the traditional four-movement sonata form, yet on another, Liszt has contracted the traditional four-movement form into one, extended movement in which each of the traditional movements takes on a particular role within a first-movement sonata-form: the first movement acting as an exposition, the slow movement as development and the scherzo and finale as extended recapitulation and coda. Allen Walker writes in *Grove Music Online* (2007:48265.17): "Liszt has composed 'a sonata across a sonata', possibly

the first time in musical history that such a thing had been attempted The material is constantly making contributions to two sonata forms simultaneously.” Walker’s claims are somewhat exaggerated; this ‘double-function’ structure as he calls it, clearly builds further on the pattern set by Schubert in his “Wanderer” Fantasy, a work with which Liszt was intimately acquainted, having transcribed it for pianoforte and orchestra in 1851.

Whereas Schubert based his *Fantasie* on a rhythmical motive which reappears cyclically in the different movements, Liszt uses a variety of themes which he tends to transform in a cyclical manner. It is interesting to note that Schubert’s motives undergo far more radical thematic transformation compared to Liszt’s. Liszt’s themes undergo fairly comprehensive transformation, but sufficiently retain the identity of the original so that it is still recognisable. Schubert’s transformation of his opening theme as first idea of the A flat major “recapitulation” section (see Examples 18a and 18d) is far more radical than anything attempted by Liszt.

Although there is no programme to this work, researchers have conjectured what the ‘hidden programme,’ that must certainly underlie his Sonata, could contain. This ‘hidden programme’ clearly gave rise to the transformations of themes in this work.²

The B minor Sonata opens with a brief introduction, acting as a kind of ‘prologue’ in which three main ‘characters’ make their appearance:

Example 45a



Liszt Sonata in B minor, bb.1-3, extrapolation of thematic material (Liszt 1975:5)

Example 45b



Liszt Sonata in B minor, bb.9-11, extrapolation of thematic material (Liszt 1975:5)

Example 45c



Liszt Sonata in B minor, bb.14-15, extrapolation of thematic material (Liszt 1975:5)

² For one of the fullest discussions of a possible programme, see Merrick (1987), *Revolution and Religion in the music of Liszt*, Chapter 14: Liszt’s Cross motif and the Piano Sonata in B minor.

Theme *a* appears at certain crucial points in the work where there is a transition from one section to the next. It seems to act like a beacon, leading one into new territory.

In the first movement proper, the first subject group, consisting of themes *b* and *c*, is thoroughly developed. At bar 32, a transformation of theme *b* is combined with a more radical transformation of the original, labelled *x* (compare *x* with theme *b* in Example 45b, in which the second note, high G, needs to be transposed an octave down). This radical transformation *x* then appears in the right hand, with theme *c* as counterpoint:

Example 46

Liszt Sonata in B minor, bb.32-33, extrapolation of thematic material (Liszt 1975:6)

After an extensive development of the thematic material of the first subject, theme *a* appears, marking the beginning of the second subject group, with its *Grandioso* theme:

Example 47

Liszt Sonata in B minor, bb.105-108 (Liszt 1975:10)

As part of the second subject group, a transformation of theme *c* in a lyrical form now appears. Hugh MacDonald in *Grove Music Online* (2001:28269) writes about this transformation: "Liszt achieved one of his most miraculous metamorphoses of musical character when a diabolic figure that appears in the bass near the beginning becomes a theme of infinite sweetness and longing":

Example 48

cantando espressivo

p

l'accompagnamento piano

pp

Liszt Sonata in B minor, bb.153-156 (Liszt 1975:12)

This new theme intermingles with fragments of theme *b*, leading to development, recapitulation and coda sections within the first movement, making full use of themes *b*, *c* and the *grandioso* theme.

The second movement begins *Andante sostenuto* but soon changes to *Quasi adagio*. In bar 335 the principal theme appears, a new theme not related in any way to the previous themes:

Example 49

Andante sostenuto

dolce

Liszt Sonata in B minor, bb.335-338 (Liszt 1975:21)

However, after its statement, all the themes from the first movement appear in succession: the transformed theme *c*, the *Grandioso* theme, transformations of theme *b* and finally theme *a*, indicating that a new section is about to begin. All these themes have had to be adapted to fit into the new musical environment, resulting in a substantial change of mood. The cyclic themes become interwoven with the fabric of the movement, functioning as a B-section, leading back to the principal theme. The themes undergo variation in the course of this movement, showing that they play an organic and integral role in the texture.

The next movement, *Allegro energico*, opens with a fugue using the combination of themes *b* and *c* as they appeared in the introduction as subject for a fugue. As stated before, this movement fulfils the function of an introduction to the recapitulation in the overall form of the work, and is, in fact, an elaboration of the opening introduction at the beginning of the sonata. It can also be seen as a scherzo section leading into the finale (the recapitulation proper). Liszt might have taken the "Wanderer" Fantasia as a model, as Schubert's final recapitulation is also fugal.

Example 50

Liszt Sonata in B minor, bb.460-469 (Liszt 1975:26)

In writing this fugue, Liszt develops themes *b* and *c* to such an extent that a great variety of transformations of the original themes are generated, including an inversion of theme *b*, heard against a variant of *b*:

Example 51

Liszt Sonata in B minor, bb.509-510 (Liszt 1975:28)

Soon, starting at bar 533, the fugue leads back into the recapitulation of the first subject in the overall form, leading to a review of all the main themes of the first movement: first theme *a* is heard twice in its entirety and then alternates with theme *b* building up to a brief return of theme *c*. The *Grandioso* theme appears next, now in B major (the home key, but in major mode), leading to the second subject *cantando espressivo* theme (see Example 48), the transformation of theme *c*.

At *Stretta quasi Presto*, this theme is gradually contracted in typical stretto technique. This gives way (at *Presto*) to varied expressions of theme *a*, once again indicating that the next, in this case final, section is to follow. At *Prestissimo*, the coda to the entire cycle begins with yet another variant of theme *b*:

Example 52

The image shows a musical score for Liszt's Sonata in B minor, measures 682-683. The score is in B minor and 2/4 time. The right hand part is marked 'Prestissimo' and 'ff fuocoso assai'. A bracket labeled 'transformed b' spans the first two measures of the right hand. The left hand part features chords and single notes with accents and slurs.

Liszt Sonata in B minor, bb.682-683 (Liszt 1975:37)

This leads to a climactic rendition of the *Grandioso* theme and a sudden silence, followed by a complete contrast: the *Andante sostenuto* theme, which therefore also receives cyclic treatment. The work ends with the three first themes, with which the work began, in reverse order: first c, then b and finally a.

From the above description of the thematic transformations that Liszt creates in his B minor Sonata, it can be seen that he built not only on Schubert's "Wanderer" Fantasy, but also on Beethoven's mature style and the motivic cyclic usage of Schumann. Liszt marks an important step in the development of the sonata, showing how dramatically themes can be transformed and woven into an extended, yet highly unified, form.

University of Cape Town

CHAPTER 3: FRANCK'S SYMPHONY IN D MINOR

3.1 Franck's cyclic procedures

The question to be researched in this dissertation is to what extent Franck followed earlier examples of the cyclic use of a 'motto' (i.e. quoting the same theme in different movements, albeit changing the metre and tempo) compared to transforming cyclic material and integrating it into the thematic discourse in other movements.

This will be followed by a complete analysis of Franck's Symphony, showing how the cyclic principle was employed and what, according to his closest pupil, Franck wished to convey by doing so.

Vallas (n.d., transl. 1951:213) provides a statement made by Franck about his symphony as recollected by Pierre de Bréville:

"The work is a classical symphony," he said. "At the end of the first movement there is a recapitulation, exactly as in other symphonies, for the purpose of more firmly establishing the main subjects, but here it is in an alien key. Then follow an *andante* and a *scherzo*. It was my great ambition to construct them in such a way that each beat of the *andante* movement should be exactly equal in length to one bar of the *scherzo*, with the intention that after the complete development of each section one could be superimposed on the other. I succeeded in solving that problem. The finale, just as in Beethoven's Ninth Symphony, recalls all the themes, but in my work they do not make their appearance as mere quotations. I have adopted another plan, and made each of them play an entirely new part in the music. It seems to me successful in practice, and I fancy you will be pleased!"

We will now consider the various aspects pertaining to Franck's Symphony which will elucidate his statement above and examine his compositional technique in detail.

3.1.1 The germ-cell (*cellule génératrice*)

One can see how Franck's admiration and detailed study of the works of Beethoven built the foundations of his own technique of composition. Franck adopted Beethoven's use of a brief germ-cell, typically only a few notes in length, to generate his mature works such as the Quintet (1879), Violin Sonata (1886), the Symphony (1888) and the Quartet (1889). This 'germinal idea' is like a small seed that can give rise to a full flowering plant (d'Indy 1910:189). Franck's germ-cell in the Symphony is a short three-note idea:

Example 53



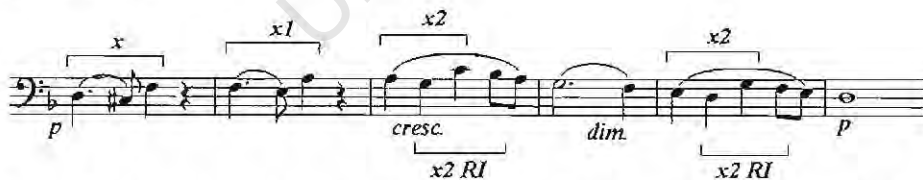
Franck Symphony in D minor, first movement, bar 1, extrapolation of theme (Franck 1987[n.d.]:1)

We have seen in Chapter 2 how Beethoven builds up his Fifth Symphony from a four-note germ-cell (the *destiny* motive). In his case the germ-cell forms the basis of the material of the first movement and is used cyclically in the succeeding movements, successfully bringing a unity to the whole work. Franck does the same, although the germ-cell is used more to build up themes which are cyclically treated than as an independent motif in itself, the only exception being its appearance in the coda of the last movement. Therefore one could say that Beethoven used a motivic approach to cyclic treatment whereas Franck takes a more thematic approach, mostly using whole themes for his cyclic treatment.

Andriessen (n.d., probably 1940's:30) defines a germ-cell, in the way that Franck uses it, as "an all-comprehending germ-cell from which various themes may emerge, differing in melody and rhythm, and yet at the same time betraying their common origin."

Gut (1991:72-73) remarks further on Franck's use of the germ-cell, saying that, when creating a melody from this generative idea, even if he repeats it three times in a row as in the first theme of the first movement, the cell "blends itself perfectly into the expansive texture," creating "a warm and generous melody." Each successive phrase is a variant of the germ-cell: *x1* is a sequence placed a third higher, in which the last interval is a perfect instead of a diminished fourth; *x2* again restates the contour of the germ-cell, but alters the first as well as the second interval. In addition, we find an interlocking retrograde inversion (labelled *RI*) of *x2* starting on its second note:

Example 54



Franck Symphony in D minor, first movement, bb.1-6, extrapolation of theme (Franck 1987[n.d.]:1)

3.1.2 Cyclic themes

If one looks carefully at the germ-cell, two intervals play a crucial role in its construction, which subsequently play an important role in the creation of themes that arise from it. Between the first two notes is a second, and between the first and third notes we find a third:

Example 57b

Cyclic Theme Ib, first theme of first movement:*Allegro non troppo*

Franck Symphony in D minor, first movement, bb.29-35, extrapolation of theme (Franck 1987[n.d.]:5)

Example 57c

Cyclic Theme II, second theme of first movement:*ff sostenuto*

Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

Example 57d

Cyclic Theme III, first theme of second movement:*Allegretto**C.A.**p cantabile*

Franck Symphony in D minor, second movement, bb.25-40, extrapolation of theme (Franck 1987[n.d.]:63-65)

In the examples above, one can see that Cyclic Theme Ia, from the introduction of the first movement, undergoes two transformations, bringing about two new themes each of which has its own identity: the principal theme of the Allegro of the first movement, i.e. Cyclic Theme Ib, and Cyclic Theme III, the principal theme of the second movement.

The principle here is that the new idea must have an independent identity from the original through undergoing sufficient change whilst at the same time still carrying certain characteristics that maintain its connection (Farlow 1969:84). In this case, both new themes open with the first notes of the germ-cell (albeit transposed and rhythmically altered in Cyclic Theme III), and both display a threefold structure (see discussion of 'threefoldness' on page 60). The themes "grow out of" the generating idea, using its variants to weave a full melody.

Cyclic Theme 1b ranges over 14 bars, with no less than five different sub-phrases, showing the fecundity of the germ-cell. The alteration of the tempo, from the original *Lento* to *Allegro non troppo*, immediately changes the mood and sets the new theme apart from the original. The differences in dynamics and articulation add further to this change in mood. The example below first gives the relevant parts of Cyclic Theme 1a¹ for comparison with the transformed Cyclic Theme 1b. Counter-motive *b*, which has the shape of a chromatic turning-note figure, is also indicated.

Example 58a: Cyclic Theme 1a

Franck Symphony in D minor, first movement, bb.1-12, extrapolation of theme (Franck 1987[n.d.]:1-2)

Example 58b: Cyclic Theme 1b

Franck Symphony in D minor, first movement, bb.29-43, extrapolation of theme (Franck 1987[n.d.]:5-6)

The first sub-phrase, labelled *a*, are the exact notes of bars 1 and 2 of Cyclic Theme 1a, played in a faster tempo. The second sub-phrase, *a2*, is a variant of *a*, in which the intervals are wider apart (the interval of the sixth featuring prominently). It is built on permutations of the interval sets that occur in *a*.² As is typical of Franck, the melody revolves around a limited number of pitches (A – B flat and D – C sharp). Sub-phrase *c2* utilises the falling thirds of the first bar of motive *c*, filling them in with passing notes, and continuing with a descending chromatic line, also derived from *c*. Motive *b1* is an elaboration of *b*, adding the central note of the changing-note figure at the beginning of the motive.

¹ As motive *d* does not appear in Cyclic Theme 1b, it is discussed later (see page 65, Example 83)

² Interval sets are described on pages 51 to 53.

The first three notes of sub-phrase *a3* are interesting in that they are a retrograde inversion of the second bar of *a*. Any three consecutive notes of *a3* form one of the interval sets (*X*, *X1* and *X2*) derived from the germ-cell. In the second bar of *a3* the retrograde inversion is now extended to a sixth and follows the same contours as the first bar:

Example 58c



Franck Symphony in D minor, first movement, bb.39-40, extrapolation of theme (Franck 1987[n.d.]:6)

Cyclic Theme III retains many of the characteristics of the germ-cell. The most important variations lie in the change of metre (from *C* to $3/4$ time) and the change from a fourth to a minor sixth in the second *x*. The key now is B flat minor, which has a very different 'colour' to the original D minor. The change of metre brings with it a change in accent, the strong beat now being the second note of the cell instead of the first. There is also a change of tempo from *Lento* to *Allegretto*. The cell is extended to return to its lowest note, as occurred in the third and fourth statements of *x* in Cyclic Theme Ia:

Example 59a: Cyclic Theme Ia



Franck Symphony in D minor, first movement, bb.1-6, extrapolation of theme (Franck 1987[n.d.]:1)

Example 59b: Cyclic Theme III

Allegretto



Franck Symphony in D minor, second movement, bb.25-32, extrapolation of theme (Franck 1987[n.d.]:63-64)

Cyclic Theme II (see Example 57c) is the second subject of the first movement, and is sometimes referred to as the "Faith" theme. Often considered a weak theme due to its pivoting around the same note A (sounded no fewer than eleven times in the first eight-bar phrase!), it is written in F major and conveys a joyful release (played fortissimo) from the build-up of tension that precedes it.

There are several allusions to the rhythm of this theme before it appears: in the *tremolo* quaver-crotchet-quaver rhythm (bar 13, see page 65, Example 83), the dominant-ninth figure of trombone II

and cor anglais (bar 28, page 66, Example 87) and segment c3 (bars 41 to 42, see page 47, Example 58b) of the *Allegro non troppo* first theme.

3.1.3 Similarities of shape

Several similarities can be found in the shapes of Franck's cyclic and other themes from his symphony. Firstly, motive *a3* from Cyclic Theme Ib and the opening of Cyclic Theme III both employ *x RI* on the first main beat and return to the lowest note to restate *x RI* with the fourth expanded to a sixth.

Example 60a



Cyclic Theme Ib, Franck Symphony in D minor, first movement, bb.39-40, extrapolation of theme (Franck 1987[n.d.]:5-6)

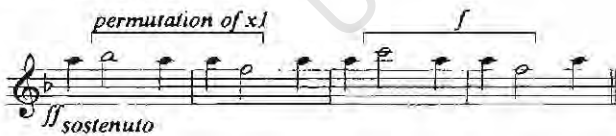
Example 60b



Cyclic Theme III, Franck Symphony in D minor, second movement, bb.17-20, extrapolation of theme (Franck 1987[n.d.]:63-64)

Secondly, the way in which the opening of Cyclic Themes III returns to the lowest note echoes the start of Cyclic Theme II, as indicated by the brackets in the following examples:

Example 61a



Cyclic Theme II, Franck Symphony in D minor, first movement, bb.129-132, extrapolation of thematic material (Franck 1987[n.d.]:16-17)

Example 61b



Cyclic Theme III, Franck Symphony in D minor, second movement, bb.17-20, extrapolation of thematic material (Franck 1987[n.d.]:63-64)

Both ideas correspond in contour to Franck's favourite wedge shape³ which can be shown diagrammatically as follows:

Example 61c: Diagram of wedges: Cyclic theme II

Franck *Symphony* in D minor, first movement, bb.129-132, extrapolation of thematic material (Franck 1987[n.d.]:16-17)

Example 61d: Diagram of wedges: Cyclic theme III

Franck *Symphony* in D minor, second movement, bb.17-20, extrapolation of theme (Franck 1987[n.d.]:62-63)

Thirdly, the first theme of the finale uses the same oscillation (*e*) and descent (*f*) as Cyclic Theme II:

Example 62a

Cyclic theme II, Franck *Symphony* in D minor, first movement, bb.129-132, extrapolation of thematic material (Franck 1987[n.d.]:16-17)

Example 62b

First theme, Franck *Symphony* in D minor, third movement, bb.7-8, extrapolation of thematic material (Franck 1987[n.d.]:101)

The first theme of the finale can be shown as a wedge shape in the following way:

Example 63: Diagram of wedge:

First theme, Franck *Symphony* in D minor, third movement, bb.7-8, extrapolation of thematic material (Franck 1987[n.d.]:101)

³ The motto from Franck's Quintet in F minor (1879) and his *Pastorale* from *Six pièces pour grand orgue* (1860-1862) are typical examples.

Descending chromatic scales consisting of at least four notes are featured in the latter part of all the cyclic themes, and chromaticism is also a feature of the counter-motive *b*:

Example 64a: Cyclic Theme Ia

Franck Symphony in D minor, first movement, bb.1-12, extrapolation of theme (Franck 1987[n.d.]:1)

Example 64b: Cyclic Theme Ib

Franck Symphony in D minor, first movement, bb.29-35, extrapolation of theme (Franck 1987[n.d.]:5)

Example 64c: Cyclic Theme II

Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

Example 64d: Cyclic Theme III

Franck Symphony in D minor, second movement, bb.25-32, extrapolation of theme (Franck 1987[n.d.]:63-64)

These scales and other figures employing chromatic movement, such as *b* and *b1*, appear throughout the symphony, often serving to intensify the expression.

3.1.4 Interval sets

To create organic unity, Franck uses the germ-cell not only as a melodic motive, but also as an interval set. The three forms of X in Cyclic Theme Ia from the introduction

Example 65

Franck Symphony in D minor, first movement, bb.1-6, extrapolation of theme (Franck 1987[n.d.]:1)

yield the respective interval sets of X , $X1$ and $X2$ as follows⁴:

If we look at the transformed Cyclic Theme 1b, we see that phrase $a2$ makes use of overlapping forms of X and $X1$, demonstrating the intimate relatedness of this theme with the germ-cell:

Example 66

Franck Symphony in D minor, first movement, bb.29-35, extrapolation of theme (Franck 1987[n.d.]:5)

The first ten notes of the continuation of the above theme show a chain of overlapping X cells. Virtually any three consecutive notes yield one of the forms of X :

Example 67

Franck Symphony in D minor, first movement, bb.39-43, extrapolation of theme (Franck 1987[n.d.]:6)

⁴ In examples, an inversion of an interval set is labelled *inv.* Intervals are indicated in brackets in semitones from the lowest upward.

Cyclic Theme II contains further X sets:

Example 68

ff *sostenuto*

X1 inv. (4+1) *X inv. (3+1)* *X (1+3)*

Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

The first ten notes of Cyclic Theme III again shows a chain of overlapping X and X1 cells. The second half of the theme also contains several X cells, shown below:

Example 69

Allegretto
C.A.
P cantabile *mf*

cantabile p f dim p

B phrase *X1 inv. (4+1)* *X2 (2+3)* *X2 (2+3)*

Franck Symphony in D minor, second movement, bb.25-40, extrapolation of theme (Franck 1987[n.d.]:63-65)

3.1.5 The triadic nature of Franck's themes

Franck's themes often contain triads in their structure. Cyclic Theme Ia shows this very clearly in its first two bars, where a D minor triad is outlined by the main beats:

Example 70

p cresc. dim.

Franck Symphony in D minor, first movement, bb.1-6, extrapolation of theme (Franck 1987[n.d.]:1)

The continuation of this theme, phrase c, starts with a B flat major triad:

Example 71



Franck Symphony in D minor, first movement, bb.6-8, extrapolation of theme (Franck 1987[n.d.]:1)

Cyclic Theme Ib opens with the same figure as Ia. The main beats at the start of phrase c2 again create a triad, using the exact same notes as the triad in the first two bars, only in reverse order. The notes on the beat in phrase a3 and the notes A, F and D in phrase c3 contain further triads:

Example 72

Franck Symphony in D minor, first movement, bb.29-43, extrapolation of theme (Franck 1987[n.d.]:5-6)

The triadic structure of the first four bars of Cyclic Theme II is evident:

Example 73

Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

Triadic relationships are also present in Cyclic Theme III. Interlocking tonic and dominant triads are outlined in the first four bars, and the second half of the theme is largely triadic:

Example 74

Franck Symphony in D minor, second movement, bb.25-40, extrapolation of theme (Franck 1987[n.d.]:63-65)

3.1.6 Appearances of the cyclic themes

As stated above, Cyclic Theme Ia appears in two transformations: as Cyclic Theme Ib - the Allegro theme of the first movement, and as Cyclic Theme III - the principal theme of the second movement. The latter provides a very definite link between the first two movements.

All three cyclic themes appear in the third (final) movement. Most unexpectedly, Franck uses Cyclic Theme III as the second subject of the finale, thereby linking the second and final movements. It now appears in B minor (in the second movement it was in B flat minor) and in the recapitulation in D minor, the home key of the symphony. Interestingly, the tonic notes of these three keys yield X (i.e. an interval set of B flat – B – D), probably not a coincidence in a composer who set great store by key relationships and planned them with great care.

Then, in the coda of the finale the other two cyclic themes appear, first Cyclic Theme II (now played pianissimo) and then Cyclic Theme Ia, now in the key of D major. Farlow (1969:86) claims that the latter theme occurs here in augmentation. However, the tempo has approximately doubled compared to the *Lento* opening of the work, so although it may appear to be augmentation due to the doubled note values, one actually hears the theme in its original tempo.

3.1.7 Franck's cyclic methods

As can be seen from the above, Franck employs both motivic recurrences, in which a small motive is used to build up new themes, as well as thematic recurrences, i.e. the quoting of entire melodies or melodic phrases.

We have already seen above how the germ-cell gives rise to Cyclic Theme I in two versions: the one in the introduction (part of which returns cyclically in the finale) and the other as the principal theme of the first movement. We have also seen above how Cyclic Theme III is related to Cyclic Theme I. Finally, we have shown how elements of Cyclic Theme II are related to the other themes through direct use of the same notes or intervals, through similarities in shape, as well as direct relationships through interval sets. These are examples of motivic recurrences, which may undergo variations of rhythm, tempo, time-signature, mode, intervals, melody and mood.

However, once created using characteristics derived from the same motive (the germ-cell), these themes are then treated as mottos. In the last movement, Cyclic Theme III is used as the second subject of the finale. It is quoted note-for-note, except that the key is now B minor (and in the recapitulation D minor) instead of B flat minor, and the tempo *Allegro non troppo* instead of *Allegretto*.

This is 'wholesale' transference of a theme into another movement, and is clearly designed to be perceived as such. The time signature of the finale is *Alla breve*, and Franck simply changes it to 3/4 time for each appearance of Cyclic Theme III, the tempo remaining constant (minim equals crotchet). It is interesting to note that the recurrence in the exposition it is marked *pianissimo* as opposed to *piano* in the original, whereas in the recapitulation it appears in a jubilant *fortissimo*.

However, varied fragments of Cyclic Theme III do appear in the course of the development (bars 214 to 235) of the finale, alternating with other themes rather than becoming part of the texture. These fragments create a melodic discourse in the movement, using alternation or juxtaposition to do so:

Example 75

The musical score for Example 75 consists of three staves of music. The first staff is marked 'Piu lento' and 'Ob.' with 'pp espress'. The second staff is marked 'tres long' and 'Tempo I. Allegro non troppo' with 'ppp' and 'pp espress.'. The third staff is marked 'C.A.' and '3'. The music features various rhythmic patterns, including dotted rhythms and triplets.

Franck Symphony in D minor, third movement, bb.212-235, extrapolation of thematic material (Franck 1987[n.d.]:125-127)

The dotted rhythm of the germ-cell is used in the transitional theme (bars 72 to 95) and the subsidiary motive with its counter-subject (bars 98 to 113), with their respective usage in the development (bars 187 to 208 and 212 to 217).⁵ These themes do not return in the recapitulation:

Example 76a

The musical score for Example 76a shows a single staff of music for the Cornet. The music is marked 'dolce cantabile' and features a dotted rhythm.

Franck Symphony in D minor, third movement, bb.72-75, extrapolation of theme (Franck 1987[n.d.]:108)

⁵ Further examples can be found in some of the part-writing of the exposition: see small references in bar 42 and bars 49 to 53.

Example 76b

The image shows a musical score for Example 76b. It consists of two staves. The top staff is for the Viola (Vla.) and is labeled 'counter-subject'. It contains a melodic line with a bracket above it. The bottom staff is for the Violin and Cello/Double Bass (Vlc/Cb) and is labeled 'subsidiary motive'. It contains a melodic line with a bracket above it. The key signature is one flat (B-flat major or D minor), and the time signature is 3/4. The music is in a minor mode.

Franck Symphony in D minor, third movement, bb.98-101, extrapolation of thematic material (Franck 1987[n.d.]:111)

In the coda of the finale, Cyclic Theme II appears first, note-for-note as in the first movement, only the key now is B flat major as opposed to the original F major. The full 16-bar melody is quoted, *pianissimo* as opposed to the *fortissimo* of the first movement.

It is followed by an echo of its first two bars leading to the return of Cyclic Theme Ia. This quotation, though note-for-note exactly as in the original, is now in the major mode. Although this is a motto-type recurrence, one cannot fail to notice a transformation of mood. Farlow (1969:100) says that the practice of starting a work in the minor and ending it in the major mode, "... satisfied the desire of the Romantics to achieve an apotheosis in the climax of their work, often symbolising such ideas as the victory of the individual after a struggle with fate or adversity." The interesting aspect in Franck's symphony is that the theme is played *pianissimo*, perhaps as a quiet acceptance of fate rather than a victory over it. Whichever way one looks at it, the change in mood is palpable.

Cyclic Theme Ia appears here in fragments, quoting one bar of the original at a time and only getting as far as the third bar. This entire procedure is repeated a semi-tone higher, in E flat major, modulating upwards to quoting the first four bars of Cyclic Theme II in E major. Through considerable chromatic modulations, the music arrives at the principal theme of the finale again (in D major, first inversion for 16 bars), closing in a fanfare-like ending.

From the above it can be seen that Franck uses the motivic approach for generating his cyclic themes, but uses a motto-type approach for quoting them in the finale. In the former, he follows the path set by Beethoven in his Fifth Symphony, and in the latter the path of Beethoven's Ninth Symphony (with the exception of using Cyclic Theme III as the second subject group of the finale).

3.1.8 Comparison between Beethoven's Fifth Symphony and Franck's Symphony in D minor

Gut (1991:65), writing at the time of the centenary of Franck's death, shows how closely Franck studied Beethoven's Fifth Symphony, building his own symphony in a similar way, though developing his own, extended cyclic structure.

First of all we can look at the overall similarities of the two symphonies, comparing their cyclic use, and then look at Gut's exact comparison of the two finales, showing that Franck seems to have used Beethoven's finale as a direct model.

3.1.8.1 Cyclic similarities

The following table is adapted from Gut (1991:65). The germ-cell in both cases is indicated by **x**. 'Th.' indicates which theme of the movement it functions as, whereas cyclic themes are indicated by 'C.Th.':

Beethoven Fifth Symphony	Franck Symphony in D minor
Mvt. I: x in Th. 1	Mvt. I: x in Th. 1 = C.Th. I Th. 2 = C.Th. II
Mvt. II	Mvt. II: x in Th. 1 = C.Th. III
Mvt. III: x in Th. 1 (second part)	[Mvt. III: combined with Mvt. II]
Mvt. IV: x	Mvt. III [= Mvt. IV] x in Th. 2 = C.Th. III
Coda: x	Coda: x

3.1.8.2 The finale of both symphonies

Gut (1991:70-72) has analysed in great detail the direct structural links between the finale of Beethoven's Fifth Symphony and that of Franck's Symphony in D minor, and feels that Franck must have used Beethoven's model:

Beethoven, Fifth Symphony (1808) Last Movement	Franck, Symphony (1886-1888) Last Movement
<i>Exposition</i>	<i>Exposition</i>
I 1. Th. 1 (new theme) x 2. Bridging theme	I 1. Th. I (new theme) 2. Bridging theme
II 3. Th. 2 + counter-th. x 4. Closing theme	3. Supplementary th. + counter th. II 4. Th. II (= C.Th. III) x
<i>Development</i>	<i>Development</i>
II Only on Th. II + counter theme x Repeat of section of Scherzo x	I 1. Th. I 2. Bridging theme 3. Supplementary th. + counter th.
<i>Recapitulation</i>	<i>Recapitulation</i>
I 1. Th. 1 x 2. Bridging theme	I 1. Th. 1 2. [no bridging theme]
II 3. Th. 2 + counter-th. x 4. Closing theme + Th. II (with its counter theme) x	3. [no supplementary th.] II 4. Th. II (= C.Th. III) x
<i>Coda</i>	<i>Coda</i>
1. Bridging theme 2. Closing theme x I 3. Th. I (with canon at the octave)	1. C.Th. II 2. C.Th. I + C.Th. II x I 3. Th. I (with canon at the octave)

From the above table, one can see the similarities of construction. Only one structural theme is used in both cases in the development section (Theme II in Beethoven and Theme I in Franck), and in each case the coda comprises three sections. However, Franck brings back Cyclic Themes II and I whereas Beethoven brings back the bridging and closing themes. Finally, both composers bring motive **x** before ending with the first theme of the finale employing a canon at the octave. In the end, says Gut (1991:70), the theme of the finale "triumphs over the germ-cell, eliminating it" from the discourse.

Looking at Gut's comparison critically, one could say that this construction of a finale in sonata-allegro form is fairly common, and that one could have used the finale of other works to compare with that of Franck. The use of a counter theme in the exposition and of ending the finale with Theme I in canon at the octave are the most outstanding similarities.

Gut (1991:72) also points out that whereas Beethoven cyclically repeats the germ-cell as a motive in his Fifth Symphony, Franck uses the germ-cell to build themes which he repeats cyclically in his Symphony. This is a crucial difference in treatment between the two composers.

3.2 Overall Structure

3.2.1 The idea behind Franck's Symphony

Vincent d'Indy (1910:172), probably the closest pupil of Franck, viewed the symphony as "a continual ascent towards gladness and light" and "likened the conflict of tonalities which runs through the whole work to 'two opposing forces struggling together until one finally conquers the other.'" (D'Indy, *Cours de Composition Musicale* Book 2, Part 2, p. 160, quoted by Shera 1936:314). Shera (1936:315) maintains that it was not difficult for Franck's pupils to see in the conflict a struggle between the forces of darkness and light. D'Indy (1910:173) refers to Cyclic Theme II as "...that motive which M. Ropartz has justly called 'the theme of faith.'"

Certainly the content of the symphony lends itself very naturally to viewing the above as the underlying 'idea.'

3.2.2 Threefold structure in Franck's Symphony

Although Franck was a Romantic composer in terms of expression and musical style, he was passionate about Classicism in terms of form from the greatest to the smallest details in his compositions. As Léon Vallas (n.d., trans. 1951:269) states:

"[Franck] cherished his liking for the models of symphonic construction left by the great masters; his instinct led towards extended compositions built on a vast, firm and solid plan 'sonata form' and 'lied form' appealed to him as the most suitable bases for his improvisations and elaborations of given themes. Their formal balance, settled a century back, seemed to him to be eternal ..."

Franck had a passion for building up the structures within his Symphony in a symmetrical way, one section balanced against another, mirroring each other. It is obvious that Franck, being highly religious and having spent such a great deal of his life as an organist, would have been influenced by the architecture of the cathedrals, the embodiment of symmetry in their construction. His ideal was "to secure the perfect harmony and solidity of a musical edifice." (d'Indy 1910:80)

This passion for symmetry shows itself in the *tripartite* overall structure of his symphony:

First Movement	-	Middle Movement (combination of slow movement and scherzo)	-	Last Movement
----------------	---	--	---	---------------

as well as in the structures within each movement:

First Movement : sonata-allegro form : exposition – development – recapitulation (followed by a coda which brings the discourse to a fitting conclusion)

Middle Movement : A – B – A *lied* form, where A is the traditional *Andante* movement, B is akin to the traditional *Scherzo* movement, to return to A as the traditional *Andante* movement. Interestingly, he combines the *Andante* with the *Scherzo* themes in the return to the A section, and adds a coda to conclude the middle movement.

Last Movement : sonata-allegro form : exposition – development – recapitulation (followed by a greatly extended coda)

and the structures of his themes in three gestures. These, however, do not adhere to the ABA structure, but are constructed of two short gestures (A and A1) followed by a longer one, either A2 or B. The cyclic themes demonstrate this most clearly:

Example 77a: Cyclic Theme Ia



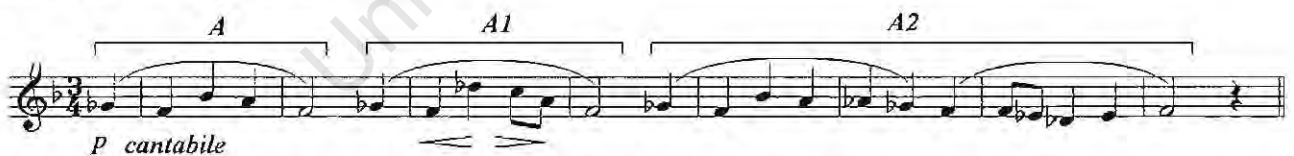
Franck Symphony in D minor, first movement, bb.1-6, extrapolation of theme (Franck 1987[n.d.]:1)

Example 77b: Cyclic Theme II



Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

Example 77c: Cyclic Theme III



Franck Symphony in D minor, second movement, bb.25-32, extrapolation of theme (Franck 1987[n.d.]:63-64)

Andriessen (n.d.:27-29) points out that this threefold structure of a melody is to be found in many examples from musical history and uses the subject of the Fugue in C minor from Part 1 of Bach's *Wohltemperiertes Klavier* to illustrate this:

Example 78



J.S. Bach *Das Wohltemperierte Klavier* Fugue in C minor BWV 847, bb.1-2, extrapolation of theme (Bach 1970:10)

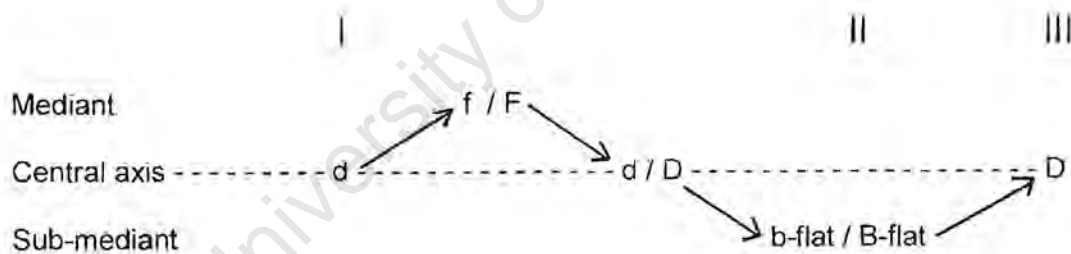
Andriessen (n.d.:29) states though that Franck was “by no means an analyst or an arithmetician - he was a poet. His preference for canonic and fugal combinations demonstrates his classical sense of melodic differentiation, his profound expressive power.”

All the above goes to show that Franck aimed to employ this threefold structuring principle throughout his symphony from the greatest, overarching form to the smallest details.

3.2.3 Tonal structure

César Franck was particularly concerned with the tonal structure of his symphony. The traditional antithesis of tonalities in the exposition, which is then reconciled in the recapitulation, was not only used, and extended, in the first movement, but was also applied to the symphony as a whole. (Shera 1936:1/315)

Gut (1991:74-75) shows how the overall tonalities of the symphony revolve around a central axis, D minor and major. In the first movement the tonality moves from D minor a third upwards to F minor and major, returning to the central axis. In the second movement, the tonality shifts down a third to B flat minor and major, and returns in the finale to D major. Once again, one can see a beautiful symmetry of design:



When we look at the interval sets generated by the progression from one tonic to the next, these tonal relationships all belong to the initial set developed from the germ cell:

3.3 Detailed analysis of Franck's Symphony

3.3.1 First movement

3.3.1.1 Introduction: *Lento*

In Franck's Symphony, the thematic development of the entire work begins from the very first notes of the *Lento*. This was fairly common practice in his day, as slow introductions often shaped material for the *Allegro* section that follows. Schumann's Fourth Symphony is an example of this, as can be seen in Chapter 2.

The opening phrase of Franck's Symphony appears to be an allusion to the famous *Muss es sein?* phrase from Beethoven's String Quartet in F, Opus 135 (1826). Under the title "Der schwer gefasste Entschluss" ("The Grave Decision"), Beethoven writes two motives corresponding to the question and answer, "Muss es sein?" ("Must it be?") and "Es muss sein!" ("It must be!"). As in his Fifth Symphony, these generating motives are associated with the concept of 'Fate.'

Example 79

Der schwer gefasste Entschluss

Muss es sein? Es muss sein! Es muss sein!

Beethoven String Quartet in F major, Op. 135, fourth movement bb.1-5 (Beethoven 1911:20)

These motives can be reduced to the interval sets X and X₂ used by Franck.

Similar motives appear in the opening theme of Liszt's *Les Préludes* (1855), and Scriabin's *Poème de l'Extase* (1908). A striking correspondence exists also between Franck's opening 'Fate' motive and the 'Fate' motive from Wagner's *Der Ring des Nibelungen* (1853-1874). (Demuth 1949:80)

Example 80a: Liszt's theme

Andante

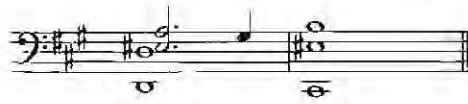
Liszt *Les préludes*, bb.3-6, extrapolation of theme (Liszt n.d.:1)

Example 80b: Scriabin's theme



Scriabin *Poème de l'extase*, bb.39-40 (Scriabin 1924:12)

Example 80c: Wagner's 'Fate' theme



Wagner *Siegfried*, table of motifs (n.d.:iii)

The opening bar of the Symphony states the generating cell (*cellule génératrice*) in unison (violas, cellos and basses). This simple, quiet statement forms the basis of the entire symphony. From this cell emerges a full introductory theme, Cyclic Theme Ia. We have already seen the threefold structure of this theme (above). The highest point of the theme (the note C) is reached in the third bar, from which it gradually winds its way back to the starting note (bar 6). The highest point is emphasized through the addition of diminished chords in the woodwinds, the crescendo and diminuendo effect once again simulating an arch-like pattern. These diminished chords sound a figure that will re-appear again in the course of the movement (labelled *b* as before). Notice also the six-bar phrase, unusual in Franck's writing, which tends repetitively to four-bar phrases.

Example 81

Lento

Franck *Symphony in D minor*, first movement, bb.1-6, extrapolation of thematic material (Franck 1987[n.d.]:1)

If we accept the view of the 'idea' underlying this symphony (see page 60 above), we could see this opening statement - in its dark tonal colours in the key of D minor - as the embodiment of fate. This is answered by what Shera (1936:315) names a 'consoling phrase' of seven bars (labelled *c* and *c1*), overlapping with the six-bar phrase.

Example 82

Franck *Symphony in D minor*, first movement, bb.6-12, extrapolation of theme (Franck 1987[n.d.]:1-2)

This phrase will generate further musical material, as will be shown as we proceed. The triadic nature of the first three notes can be seen as an inversion of the triads of the opening theme, Cyclic Theme Ia (see Examples 70 and 71). A direct connection with the germ-cell can be found in bars 7 and 11 in the use of the dotted rhythm. Remarkable are the chromatic modulations to the dominant seventh at the end of the opening phrase (bar 8) and again at the end of the closing phrase (bar 12). Again, note the irregular phrase structure of three-plus-four bars.

Now Franck introduces another *motif* (labelled *d*) - still part of the first theme group in D minor - consisting of rising thirds (beats 1 and 2 of bar 13), outlining a triad in root position, as in the opening theme (see Example 70). The rising thirds figure has a characteristic quaver-crotchet-quaver rhythm, followed by descending semitones (beats 3 and 4 of bar 13). This four-bar phrase uses an arch-like *crescendo* and *decrescendo* effect, moving in ascending sequences. It is a return to the dark tonal colours of the opening 6 bars, this time using a *tremolo* effect in the violas and cellos to heighten the intensity of the drama:

Example 83

The image shows a musical score for Example 83, consisting of two staves. The first staff is in D minor (one flat) and 3/4 time. It begins with a piano (*pp*) dynamic and a tremolo effect. The first four bars of the phrase are marked with a bracket and the letter 'd'. An arrow points to the descending semitones in the second and third bars, labeled 'falling semitones'. The second staff continues the phrase, marked with a *cresc* (crescendo) dynamic. The score is watermarked with 'University of Cape Town'.

Franck Symphony in D minor, first movement, bb.13-16, extrapolation of thematic material (Franck 1987[n.d.]:2-3)

Important to notice is that the quaver-crotchet-quaver rhythm is the first appearance of the rhythm of Cyclic Theme II (crotchet-minim-crotchet, but in the faster tempo of *Allegro non troppo*).

In bar 16, a counterpoint derived from the descending notes of the *d* motive (bar 13 above), is now added in inversion in the form of rising diminished chords, played by woodwind and horns:

Example 84



Franck Symphony in D minor, first movement, b.16, extrapolation of thematic material (Franck 1987[n.d.]:3)

The following four-bar phrases restate motives *a* and *a1* of Cyclic Theme Ia (*a1* being shortened to 2 bars), combined with the *tremolo* motive *d*, now in its ascending form, in intervals of a tone followed by two semitones (see bar 17 below). Note the slight alteration of motive *d* in bars 19 and 23, which echo motive *b* in Example 64a above:

Example 85



Franck Symphony in D minor, first movement, b.17,19, 23; extrapolation of thematic material (Franck 1987[n.d.]:3-4)

In the last of the four-bar phrases, motive *a* undergoes a transformation, the rhythm being maintained but the contour now being freely inverted. Thematically the intervals still derive from *x* (consisting of 1 and 4 semitones, but in reverse order and in a single direction) and keep to the characteristic range of the fourth. This "inversion" appears in ascending sequences in bars 26 and 27.

Example 86



Franck Symphony in D minor, first movement, bb.25-28, extrapolation of thematic material (Franck 1987[n.d.]:4)

The Lento section reaches a massive climax in bar 28, in which an oscillating motive *e*, played by the second trombone and cor anglais, creates for a moment a very prominent dominant minor-ninth chord. The rhythm, intervals and even the notes of *e* already presage the first bar of Cyclic Theme II:

Example 87



Franck Symphony in D minor, first movement, b.28, extrapolation of thematic material (Franck 1987[n.d.]:4)

3.3.1.2 Exposition: *Allegro non troppo*

The first theme of the exposition, Cyclic Theme Ib, consists of no fewer than six phrases, each with motives designed to generate further themes as well as material for development.

The germ-cell is now used in a much faster tempo (*Allegro non troppo*) and in a different time signature (*Alla breve*). It appears again in unison, this time played *fortissimo* by the full string section. The opening two bars (29 and 30) are followed by a radical transformation of motive *a*, labelled *a2*:

Example 88

Allegro non troppo



Franck Symphony in D minor, first movement, bb.29-32, extrapolation of theme (Franck 1987[n.d.]:5)

The following two three-bar phrases use one of Franck's favourite devices: canonic imitation. The falling thirds of motive *c* in bar 6 of Cyclic Theme Ia (see Example 64a above), now appear with added passing notes in a double-dotted rhythm (labelled motive *c2*). Again, as explained in connection with motive *c*, the first three double-dotted notes form an inversion of the triad of the beginning of Cyclic Theme Ia (see Examples 70 and 71). The figure in the last bar of this phrase (labelled *b1*) will be used in several places later in this work:

Example 89

Franck Symphony in D minor, first movement, bb.33-35, extrapolation of thematic material (Franck 1987[n.d.]:5)

The above two transformations are telling examples of César Franck's practice of one theme giving rise to others.

The next phrase (labelled *a3*, bars 39 and 40) uses the dotted rhythm of the germ-cell, and the arch-like *crescendo – diminuendo* dynamics of motive *d* (bars 13 – 15). This will also be used again at a later stage:

Example 90



Franck Symphony in D minor, first movement, bb.39-40, extrapolation of thematic material (Franck 1987[n.d.]:6)

This is immediately followed by a phrase of two bars (motive *c3*), acting as a 'closing phrase' to bars 39 and 40. The rhythm of motive *c3* is an augmentation of motive *d* (bar 13, see Example 83) and in this case the motive begins using chromatic steps followed by diatonic (compare with examples on page 51):

Example 91



Franck Symphony in D minor, first movement, bb.41-43, extrapolation of thematic material (Franck 1987[n.d.]:6)

The final phrase repeats motive *a2* twice against a counter-subject starting with a semi-tone figure and a note tied over the bar-line. Both phrases again use the *crescendo – decrescendo* dynamic effect, in the case of the counter-subject emphasizing the highest, central note in an arch-like bow:

Example 92

Musical notation for Example 92, showing a piano accompaniment in D minor. The notation is on two staves (treble and bass clefs). The top staff (treble clef) starts at bar 43 and contains a melodic line with notes G4, A4, Bb4, C5, Bb4, A4. It is marked with a dynamic of *p espress.* and has a slur labeled "counter-subject of a2". The bottom staff (bass clef) contains a counter-subject with notes G3, A3, Bb3, C4, Bb3, A3. It is marked with a dynamic of *p* and has a slur labeled *a2*.

Franck Symphony in D minor, first movement, bb.43-44, extrapolation of thematic material (Franck 1987[n.d.]:6)

This leads to a rather abrupt final cadence (bars 47 and 48) of the first subject group, during which the music modulates away from D minor ending up on a C major chord, the dominant of the F minor key of the next section.

3.3.1.3 Repeat of the first subject group

Franck now decides to repeat the musical discourse thus far. The principle of the classical sonata or first movement form that the exposition should be repeated before moving on to the development section had largely been abandoned in the late nineteenth century, but Franck chooses to do a

repetition at this point of all the thematic material of the first subject group, before he moves on to building the climax of the exposition in the jubilant second subject.

He does this for good reason. He wishes to build up the drama more intensely before reaching the liberating second subject. To repeat such a moment of triumphant release would be anti-climactic, and therefore he only repeats the build-up of the first subject material, rather than the whole exposition.

Franck writes the entire repetition in the altered mediant key of F minor. (See interval set relationship on page 62). Franck concerned himself enormously with the tonal colours of different keys. It would have been superfluous to restate the whole development up to this point in the same key of D minor, especially as he established the D minor tonality very definitely in the build-up of one motive to the next. The choice of F minor – with its four flats – being a minor third higher than the key of D minor, raises the dramatic impact to a higher level, adding a new tonal colour to the entire discourse that has gone before.

The repetition is exact, except for the addition of the bassoons in the *tremolo* motive *d*, emphasizing the quaver-crotchet-quaver motive and adding drive to the forward movement of the build-up.

3.3.1.4 The exposition continued

At bar 95 the key signature changes from F minor to F major. In terms of structural analyses, we now have something of a dilemma: Shera (1936:316) views the transition leading to the second subject group as a mere four bars (95 – 98), followed by a 'first group' of the second subject. Gut (1991:61) views the transition as a full 34 bars (95 – 128) leading to the Cyclic Theme II in bar 129.

Shera's reasoning is two-fold: firstly, Franck marks a *poco rallentando* towards the end of bars 95 to 98, returning to the main tempo immediately in the next bar (99), therefore indicating bars 95 to 98 as the transition; secondly, the theme from bar 99 onwards is in F major, the relative major of D minor, which indicates that the second subject has started.

Gut's reasoning probably is that, because of the extended first-movement form in which every part has multiple themes, Franck now brings in a bridging theme which prepares the way for the climactic Cyclic Theme II (which he regards as the second subject). This bridging theme soon transforms into *marcato* figuration, building up the tension leading to the second subject. Besides, M. Sérieyx has it on record that d'Indy concurred with this view, and as d'Indy was Franck's closest pupil, one can assume it comes from Franck himself. (Shera 1936:316).

Both points of view have their merits, but it is the writer's opinion that Gut's view is more acceptable, as, if one regards bars 95 to 98 already as the second subject and performs it accordingly, these bars would gain too much importance and detract from the climactic Cyclic Theme II.

The transition (bars 95 to 98) continues the thematic material of the counter-subject to *a1*, ending on the dominant of F major. The bridging theme stretches over twelve bars, in three four-bar phrases. The first phrase (bars 99 to 102), labelled *molto cantabile*, employs canonic imitation. To begin with, this phrase remains in the range of a fourth, as with cell *x*, but then extends freely to the range of a sixth, as we have seen in Cyclic Theme Ib (see *a3* in Example 90) and will see again in the second movement (Cyclic Theme III). Both lines feature prominent use of *X* cells:

Example 93

Franck Symphony in D minor, first movement, bb.99-102, extrapolation of thematic material (Franck 1987[n.d.]:13)

The second phrase (bars 103 to 106) continues to employ canonic imitation, but now the motivic material (labelled *b2*) is drawn from a combination of the rhythm of germ-cell *x* (compare with phrase *a3* of Example 67) and the filled-in diminished third of motive *b* (see Example 81). It is a typical example of Franck's 'centralisation' of a note within a motive, starting and returning to the same note, in this case again in an arch-like structure with the expressive *crescendo* and *decrescendo* effect. Furthermore, the cellos and basses use the rhythm of phrase *c3* (see Example 91), to also outline a three-note chromatic cluster (D – D flat – C), holding back the tension by means of returning continually to the note F, as a kind of pedal point. At the same time the other parts are gradually building up the tension:

Example 94

Franck Symphony in D minor, first movement, bb.103-105, extrapolation of thematic material (Franck 1987[n.d.]:13-14)

In the third phrase (bars 107 to 110), segments of *b2* are repeated over two bars, followed by an upward sweep, reaching a high point over the dominant seventh of D flat major:

Example 95

Franck Symphony in D minor, first movement, bb.107-110, extrapolation of thematic material (Franck 1987[n.d.]:14)

In bar 111 there is a sudden diminuendo, as a release, from which the tension gradually builds up again. Here part of the bridging theme is repeated, now in D flat major (see interval set relationship in Example 96 below). The first six bars are a direct repetition, though the bass line in bar 116 (varying *b2*) already starts propelling the movement upwards.

Example 96

Now a *marcato* theme (labelled *c4*) emerges, related to *c2*, but now inverted, in augmentation and single-dotted rather than double-dotted. The tonality has risen to E flat major, and there is considerable drive building up towards the entry of the second subject.

The tension is heightened by a counter figure to the rising *marcato* theme, moving in contrary motion downwards. It consists of falling arpeggios in the woodwinds:

Example 97

Franck Symphony in D minor, first movement, bb.119-120, extrapolation of thematic material (Franck 1987[n.d.]:15)

In the next eight bars, the music modulates a further step upwards to the key of F major, the first four bars using *b2*, followed by the marcato theme with its counter figure. A continual *crescendo* and intensification of the orchestration rushes the music on to the entry of the second subject (i.e. Cyclic Theme II), which, in Demuth's (1949:81) words, is "announced on the full orchestra in a shout of triumph."

Example 98

Franck Symphony in D minor, first movement, bb.129-136, extrapolation of theme (Franck 1987[n.d.]:16-17)

This second theme is repeated in full, leading to a climax in what could be described as a closing section. This new section shows some relationships to previous material, in that the arpeggio-figures (see Example 99a) can be said to be derived from the falling and rising triad notes of Cyclic Theme II (see Example 98) or more directly from bar 6 of Cyclic Theme Ia see Example 99b) and the rising semitones in the bass parts from the rhythm of the germ-cell. Furthermore, the first and second trombones twice play a figure (see Example 99c) that moves upward one tone followed by semi-tones, as in the numerous semitone patterns heard before (see bar 135 in Example 98, for example), using an augmentation of the syncopation heard in Cyclic Theme II.

Example 99a

Franck Symphony in D minor, first movement, bb.145-148, extrapolation of thematic material (Franck 1987[n.d.]:19)

Example 99b

Franck Symphony in D minor, first movement, bb.6-8, extrapolation of thematic material (Franck 1987[n.d.]:1)

Example 99c

147 trombones

Franck Symphony in D minor, first movement, bb.147-149, extrapolation of thematic material (Franck 1987[n.d.]:19)

At the height of the climax an appoggiatura is introduced at the outset of the arpeggio figures. An interesting process of metamorphosis now takes place from this nuance: note its altered imitation in the bass line and the new melody that emerges from it as a 'link' theme. This theme, which can be seen as an elaboration of the counter-motive *b* from Cyclic Theme 1a, appears twice in the Violin I part, imitated by the cellos and basses, in a four-bar phrase:

Example 100

Franck Symphony in D minor, first movement, bb.157-164, extrapolation of thematic material (Franck 1987[n.d.]:20-21)

The first four notes of this 'link' theme (see Example 101a below) undergo a slight metamorphosis (the first note is altered so that it can be tied over to the second) and are then played by two pairs of instruments (see Example 101b). After a few repetitions, the phrase leads to a plagal cadence ending with a 'link figure' (Example 101c), an augmentation and slight alteration of the upper voice in bar 164 (see 'link figure' in Example 100 above):

Example 101a



Franck Symphony in D minor, first movement, bb.161-162, extrapolation of thematic material (Franck 1987[n.d.]:20-21)

Example 101b



Franck Symphony in D minor, first movement, bb.165-166, extrapolation of thematic material (Franck 1987[n.d.]:21)

Example 101c



Franck Symphony in D minor, first movement, bb.171-172, extrapolation of thematic material (Franck 1987[n.d.]:21)

One could say that the link section proper starts at the conclusion of the plagal cadence (bar 171). The 'link figure' is played twice, followed by an interpolation of the first four bars of Cyclic Theme II, ending on a pause:

Example 102



Franck Symphony in D minor, first movement, bb.175-178, extrapolation of thematic material (Franck 1987[n.d.]:22)

This procedure is repeated another two times in different keys, the last being divided into two two-bar segments, each ending with its own pause, giving the effect of continually slowing down the pace. The tempo of the movement is resumed again, now repeating a one-bar segment of Cyclic Theme II in descending voices until the cellos play the first two bars in full, followed by an intervallic alteration of these two bars.

This is a very effective lead into the development section, getting the momentum going after the numerous pauses that brought everything to a halt. The entire link section is a continual modulation away from the plagal cadence in F major, towards the distant key of A flat minor, marking the start of the development section of the first movement.

3.3.1.5 Development

Demuth (1949:81) comments that the development section is “long and complete,” consisting of a discussion between the two main themes, i.e. Cyclic Themes Ib and II.

The development begins in A flat minor. The interval set relationships of this key change (from F major at the beginning of the link section, bar 171) are as follows:

Example 103

Example 103 shows two staves of musical notation. The top staff is a treble clef with a key signature of two flats (B-flat and E-flat) and a 2/4 time signature. It contains a single chord. The bottom staff is also a treble clef with the same key signature and time signature, showing three chords. Above the first chord is the label $X \text{ inv.}(3+1)$, above the second is $X (1+3)$, and above the third is $X (1+3)$.

The lead into the development brings one headlong into “a sort of triple-fugue” (Wallace 1967:52). The principal theme of the *Allegro non troppo* (Cyclic Theme Ib) is quoted in its seven-bar phrase exactly as in the exposition, except now in the key of A flat minor. Sections *a* and *a1* of this theme are two bars each, section *c2* three bars, as before.

As counterpoint against sections *a* and *a1*, the violas continue to play the smallest segment of Cyclic Theme II as at the end of the link section, while the clarinets and bassoons quote the tone plus two semitones figure from the rising *tremolos* in the introduction (bar 17, see Example 85 above).

As counterpoint against section *c2*, the cellos and basses take over the segment from the violas, extending it to a two-bar quotation from the Cyclic Theme II. The seven-bar phrase closes with motive *b1* (as in Example 89 above), producing a cadence leading to C flat major (enharmonically B major) of bar 206.

Example 104

Example 104 shows a complex musical score with four staves. The top staff is labeled *V.I.* and contains a melodic line with eighth and sixteenth notes. The second staff is labeled *Cl. & Fg.* and contains a rhythmic pattern of eighth notes. The third staff is labeled *Va.* and contains a melodic line with eighth notes. The bottom staff is labeled *Vc.* and contains a rhythmic pattern of eighth notes. The key signature is two flats and the time signature is 2/4.

Franck Symphony in D minor, first movement, bb.199-206, extrapolation of thematic material (Franck 1987[n.d.]:23-24)

Now the whole seven-bar procedure is repeated three semitones higher in B major, which becomes B minor after two bars. The viola segment has been altered to quaver alternations of the first two notes. This repetition of the seven-bar phrase is, of course, to build tension towards the first climax of the development.

This second seven-bar phrase ends on a cadence that brings back the home key, D major, completing the modulatory circle of three semitone intervals from D minor to F minor/major, A flat minor, B major/minor returning finally to D major. A series of descending scales - a transformation of *c* (from Cyclic Theme 1a) - on a pedal point D lead the movement forward.

Example 105

Franck Symphony in D minor, first movement, bb.213-217, extrapolation of thematic material (Franck 1987[n.d.]:25-26)

The descending scale figure now metamorphoses into a melodic phrase that combines patterns of *c* with the germ cell *x* (see Example 106 below). This is treated in canon between upper and lower voices. In addition, the brass instruments accompany this with the rhythm of the germ cell. These elements lead up to the climax on bar 225, preceded by a melodic sequence again moving upwards by a three-semitonal interval (F, A flat, C flat):

Example 106a

Franck Symphony in D minor, first movement, bb.221-225, extrapolation of thematic material (Franck 1987[n.d.]:27)

The interval sets of this melodic phrase revolve around X2:

Example 106b

Now theme *c* appears in its original version (opening phrase only), briefly releasing the tension built up. This theme is not in augmentation of the original *c* as the minims approximate the pace of this theme in the introduction (Tovey 1935:64):

Example 107

Franck Symphony in D minor, first movement, bb.227-231, extrapolation of thematic material (Franck 1987[n.d.]:27-28)

Theme *c* is repeated and then shortened, undergoing intervallic alterations. This is followed by a process of diminution to crotchets and finally double-diminution to quavers, leading the music to start a new build-up towards the second (central) climax of the development section.

This build-up commences with theme *a2* together with its counter-subject (from bar 43 of the exposition, see Example 92). Theme *a2* is then restated (bar 247 to 248, cello part) but with *appoggiaturas* on the crotchets, bringing about a continuous flow of quavers:

Example 108

Franck Symphony in D minor, first movement, bb.245-248, extrapolation of thematic material (Franck 1987[n.d.]:29-30)

Now continual modulation takes place, again raising the key in three-semitone intervals (B flat – D flat – E), alternating the head-motive of Cyclic Theme II with the shortened two-bar sections of theme c. When E major is reached, a four-bar phrase of Cyclic Theme II is heard.

The same procedure is now followed as from bar 285, this time contracted: there is no alternation, and the two head-motives follow each other immediately, flowing into the four-bar phrase of Cyclic Theme II. Semitone movement in the other parts bring about continual modulation (E – F sharp – A flat – C in eight bars).

At this point (bar 305), germ-cell *x* makes its appearance, at first *pianissimo* but gradually growing in dynamics as the motive is extended. Each statement is alternated with the head-motive of theme II:

Example 111

The musical score for Example 111 is presented in two systems. The first system begins at bar 305 and spans eight bars. The upper staff (treble clef) features 'Cyclic Theme II' starting in bar 306, marked *espress*. The lower staff (bass clef) features 'Germ-cell x' starting in bar 305, marked *p*. The score shows two instances of 'two overlapping x cells' in the bass line, one in bar 310 and another in bar 314. The dynamics progress from *p* to *mf*. The second system shows a continuation of the bass line with 'Germ-cell x' in bar 317.

Franck Symphony in D minor, first movement, bb.305-316, extrapolation of thematic material (Franck 1987[n.d.]:36-37)

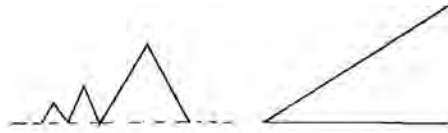
At bar 317, the head-motive of theme II makes a final six-bar bid for supremacy in which it exaggerates its first interval (a sixth instead of a third). At the same time, the bass instruments of the orchestra (trombones, tuba, bass-clarinets and double-basses) move in semi-tones towards a strong statement of germ-cell *x*, this time in genuine augmentation. In the midst of all this, the violas and cellos are trying to make themselves heard with a semitone phrase:

Example 112

The musical score for Example 112 is presented in a single system starting at bar 317. The upper staff (treble clef) features 'Cyclic Theme II' with a 'sempre cresc.' marking. The lower staff (bass clef) features 'Germ-cell x' in augmentation, marked *x in augmentation*. The score shows a six-bar phrase of the head-motive of theme II in the upper staff, with the first interval exaggerated from a third to a sixth.

Franck Symphony in D minor, first movement, bb.317-322, extrapolation of thematic material (Franck 1987[n.d.]:37-38)

The shape of the above elaboration of Cyclic Theme II is typical of Franck, yielding yet another wedge-shape:



This brings us to the third and final climax of the development section, preceded by the return to the tonic key in bar 319. The statement of the tonic chord is, however, postponed until the first bar of the recapitulation.

Two new phrases appear, one in the bass-instruments of the orchestra (trombones, tuba, bass-clarinet and double-basses, as before) playing a descending four-note figure derived from c_2 , now step-wise in minims, and the other in the upper voices (violins, flutes and oboes) playing a quaver figure, the first bar of which is derived from theme II, a contraction of the ascending and descending thirds. In fact, this quaver figure has appeared before, during the first statement of Cyclic Theme II, in the cello part, bowed in pairs (see bars 129 to 136). As before, the violas and cellos continue their semitone phrase, alluding to theme II in the second bar:

Example 113



Franck Symphony in D minor, first movement, bb.323-324, extrapolation of thematic material (Franck 1987[n.d.]:38)

At bar 327 the descending four-note figure appears in diminution, now in crotchets, the violins and violas then taking the quaver-figure downwards into the recapitulation.

3.3.1.6 Recapitulation

The climactic tension continues as the recapitulation goes back to the very beginning of the work, with the introduction returning in the home key of D minor in a contracted form. Cyclic Theme Ia is now played *fortissimo* and in canon (at the octave, on the half-bar), combined with a variation of the *tremolo* figure that only appeared later in the introduction, but which shares a turn-like character with the motive *b* it replaces. Note how the ending figure is effectively repeated in the highest and lowest voices:

Example 114

The image shows a musical score for Example 114, consisting of three staves. The top staff is for Violin I, starting at measure 331. The middle staff is for Trumpets, and the bottom staff is for Trombones & Cellos/Basses. The score includes several 'ending figure' annotations with brackets indicating the specific measures. The key signature is D minor, and the time signature is 4/4.

Franck Symphony in D minor, first movement, bb.331-338, extrapolation of thematic material (Franck 1987[n.d.]:39-40)

By rights, theme *c* from the introduction should follow now, but Franck "suppresses" it, to use Gut's term (1991:61), probably to avoid a dragging out of the first movement by too lengthy a recapitulation.

Spink (1967:122) says that this shortening of the recapitulation is necessary as "the dramatic concept of the sonata, which saw the recapitulation as a resolution of conflicts undergone in the development could not tolerate going through the experience [of the entire exposition] again."

The entire seven-bar canon is now repeated in the key of B minor (three semitones lower), leading to the last four bars of the introduction in which the 'inversion' of germ-cell *x* again appears in ascending sequences (see Example 86), culminating in the dominant-minor-ninth chord as before (see Example 87).

The return of the *Allegro non troppo* proceeds as before, except for the addition of two quaver figures: in bars 349 and 350 brief, altered segments from bar 323 (see Example 113, upper voices) in combination with germ-cell *x* and in bars 353 to 358 two sets of quaver figures as counterpoints to theme *c*2. Astonishing is Franck's choice of key, E flat minor: in the exposition the D minor of the introduction was continued in the *Allegro non troppo*. One can only assume he changes this relationship for colouristic reasons, adding nuance to what would otherwise be too mechanical a repetition, but the X-cells generated by the relationship with the tonic of the preceding key might again have influenced the choice:

Example 115

The image shows a musical score for Example 115, consisting of two staves. The top staff shows a sequence of three chords: a D minor triad, a D minor triad with a sharp sign, and a D minor triad with a flat sign. The bottom staff shows three instances of the X(1+3) figure, each consisting of a quarter note followed by a beamed eighth-note pair.

In fact, from the start of the recapitulation, the keys themselves yield X inverted (D minor – B minor – E flat minor).

Contrary to the structure of the exposition, Franck now inserts a brief 'development' of Cyclic Theme Ib. This interpolation brings emphasis to germ-cell *x* and theme *c2* and establishes G minor as the tonality, necessary for continuing the recapitulation later, and also generating similar X set relationships as the preceding modulation, being again four semitones upwards. Both these themes are treated canonically (see example below).

The figure used in the accompaniment – for one bar in the first violins, then in the violas and cellos – acts as an elaborated pedal note D. It is derived from the last bar of theme *c2*, labelled *b1* (bar 360 below in the recapitulation; see Example 89 for the original in the exposition) and can be related to the bass pattern in the second phrase of the transition in the exposition (see Example 94). This figure undergoes diminution and an articulation change:

Example 116

The musical score for Example 116 shows three staves: Violin I (Vln. I), Cor Anglais (Cor Angl.), and Violoncello/Contrabasso (Vlc/Cb.). The key signature is D minor (three flats). The score begins at bar 360, marked with a bracketed section labeled 'b1'. The Violin I part starts with a fortissimo (*ff*) dynamic, followed by a diminuendo (*dim*) and then a piano (*p*) dynamic. The Cor Anglais part enters with a piano (*p*) dynamic. The Violoncello/Contrabasso part provides a steady accompaniment of eighth notes. The dynamics for all parts eventually lead to a crescendo (*cresc.*).

Franck Symphony in D minor, first movement, bb.360-365, extrapolation of thematic material (Franck 1987[n.d.]:43)

The sudden *piano* at the beginning of this interpolation gradually rises in dynamics together with the four repetitions of theme *c2*, each a fourth higher than the previous, reaching a high B flat again in a *fortissimo* climax.

At bar 375 the recapitulation proper continues further, themes *a3*, *c3* (extended) and *a2* with its counter-subject appearing in their correct order, returning to D minor. Now the key changes to D major (bar 385) in preparation for the bridging theme.

There is now an exact repeat of the bridging theme, the lead up to and exclaiming of Cyclic Theme II (also in D major, assisted this time by the trumpets), the falling and rising arpeggios leading to the climax and the winding down to the link section. The 'link figure' is heard again, as also the four bars of Cyclic Theme II, ending with the first fermata at bar 468. Instead of continued repetitions of

Cyclic Theme II, Franck now inserts four bars reminiscent of the counter-subject of *a2* (bars 387-388), leading into the coda.

3.3.1.7 Coda

Spink (1967:123) writes that, "a coda.... is both development and recapitulation." Franck does not work directly with his main themes in the coda until the last nine bars, in which he ends the movement with the opening statement of germ-cell *x*. He rather uses elements from the main themes, as will be shown below, which are considerably developed (only the counter-subject to *a2* appears as before, though it also undergoes variation) as preparation for the final statement of germ-cell *x* from the opening.

The coda begins with the 'link figure' heard some bars before. A new motive is introduced in the bass instruments of the orchestra which plays quite a dominant role in the first half of the coda. Its first bar is derived from the head-motive of Cyclic Theme II, the second from the last three notes of theme *c* (see bar 8, with upbeat, Example 58a). Typical of the second bar is the semitone interval.

Initially against this 'new motive' are two others: the first violins, flutes and oboes still play the 'link figure' which is then immediately varied into semitonal motives, while the cor anglais, clarinets and violas play a derivative of the counter-subject of *a2*.

Example 117

Franck Symphony in D minor, first movement, bb.477-480, extrapolation of thematic material (Franck 1987[n.d.]:56)

Then, from bar 485, two different motives play against the 'new motive': the first violins (and later the flutes and oboes) bring in a variation on the quaver figure (see Example 113) while the middle-voiced instruments play a descending semitone figure, the first note clashing with the first violins.

Example 118

Franck Symphony in D minor, first movement, bb.485-486, extrapolation of thematic material (Franck 1987[n.d.]:57)

From bar 493, no fewer than four different motives are combined: the upper voices have the well-known counter-subject to *a*₂, the bass instruments the 'new motive,' while the middle voices play harmony notes in motives that are made up of semitones and whole tones:

Example 119

Franck Symphony in D minor, first movement, bb.493-494, extrapolation of thematic material (Franck 1987[n.d.]:58)

From bar 501, the music keeps on intensifying. The bass instruments now leave the 'new motive,' playing instead the counter-subject to *a*₂, against a semitone figuration related to motive *b*, in a kind of 'question' and 'answer' phrasing. Emphasis is added to the 'answer' notes by the addition of the entire woodwind and brass sections, giving a strikingly dramatic effect:

Example 120

Franck Symphony in D minor, first movement, bb.501-504, extrapolation of thematic material (Franck 1987[n.d.]:59)

At bar 505, this 'question' and 'answer' phrasing is varied, all the voices playing together now. Tension is increased by the dissonance of C sharp in the violins and D in the flutes, oboes and bass clarinet in the second beat of bars 506 and 508. At the same time, the bass instruments are

playing an inversion of the counter-subject to *a2*, though not a literal inversion as the second bar descends in the same pattern as the first bar:

Example 121

505
Fl. *Fl.*
V.I. 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3
bass instr.

Franck Symphony in D minor, first movement, bb.505-508, extrapolation of thematic material (Franck 1987[n.d.]:59)

From bar 509 the first bar of the inverted counter-subject to *a2* becomes the focal point for four bars, playing against held notes D, leading to the closing nine bars of the movement. These nine bars return to the tempo of the opening: *Lento*. Here we find the germ-cell *x* augmented, played twice in imitation at the triple octave, the third entry leading to the magnificent D major chord ending.

Example 122

513 *Lento*

Franck Symphony in D minor, first movement, bb.513-521, extrapolation of thematic material (Franck 1987[n.d.]:60)

3.3.2 Second movement: *Allegretto*

The second movement is a combination of the two middle movements - the slow movement and scherzo - of a symphony. As quoted at the beginning of Chapter Three, Franck (1888) himself explained its structure as follows:

"Then follow an *andante* and a *scherzo*. It was my great ambition to construct them in such a way that each beat of the *andante* movement should be exactly equal in length to one bar of the *scherzo*, with the intention that after the complete development of each section one could be superimposed on the other. I succeeded in solving that problem." (Vallas, n.d., transl. 1951:213)

This was an ingenious, yet also very effective, innovation by Franck. The cohesion that this combination brings adds yet another dimension to the desire in the nineteenth century to unify musical works as much as possible.

According to Gut (1991:61), this middle movement is in large A–B–A form, A being the traditional *andante* movement and B the traditional *scherzo* movement (see map of entire symphony, Appendix). The sections are linked by transitions.

The second movement is in the tonality of B flat, both minor and major, the sub-mediante to D minor. It starts in B flat minor with a theme that Franck is said to have intimated to Louis de Serres “was inspired by the thought of ‘a procession of olden times.’” (Davies 1970:238)

The tempo is given as *Allegretto*, normally speaking not slow enough for a slow movement, and not fast enough for a scherzo. However, as the time signature remains 3/4 throughout, the bar in the slow movement feels slow enough and the quaver-triplet figure of each beat in the scherzo sounds like the rapid 3/4 bar of the traditional scherzo.

3.3.2.1 The *Andante* section

The first sixteen bars of this movement start with what Gulke (1971:263) calls a “Leerforme” (German for an “empty form”). This means one does not hear a theme, only the ‘groundwork’ or ‘foundations’ of a theme which only reveals itself later. Played by the harp and *pizzicato* strings, this ‘groundwork’ is nevertheless melodic, giving an idea of the melody that will appear. Both *a* and *b* phrases of the melody are played in these sixteen bars opening the movement.

At bar 17 the first theme of this movement (Cyclic Theme III) appears, played by a cor anglais:

Example 123: Cyclic Theme III

The musical score for Cyclic Theme III is presented in two staves. The first staff, labeled 'FIRST PHRASE' and 'SECOND PHRASE', shows a melodic line in 3/4 time with a piano (*p*) dynamic and a *cantabile* marking. The second staff continues the melody with dynamics ranging from *p* to *f* and *dim.*, ending with a *p* dynamic. The key signature is B-flat major.

Franck Symphony in D minor, second movement, bb.25-40, extrapolation of theme (Franck 1987[n.d.]:63-65)

This theme is derived from Cyclic Theme Ia (see example below), specifically from the germ-cell *x*, though one could consider bars 3 and 4 (in phrase *a1*) to be closer in shape. Phrase *a3* of Cyclic Theme Ib has the rising sixth (see example below). The *b* phrase flows directly from the first eight bars and makes abundant use of falling thirds (in one case filled in) and twice of rising sixths. Cyclic Theme Ia is given first, for comparison:

Example 125b: Second theme of second movement

The image shows two staves of music in D minor. The top staff is labeled 'FIRST PHRASE' and the bottom staff is labeled 'SECOND PHRASE'. Brackets above the first staff indicate intervals: 'derived from Cyclic Th II' under the first two bars, and another bracket under the next two bars. A long bracket spans the entire first phrase. The second staff has a bracket labeled 'inverted trombone figure' under its first two bars. A long bracket spans the entire second phrase.

Franck Symphony in D minor, second movement, bb.49-64, extrapolation of theme (Franck 1987[n.d.]:65-69)

In the second theme, the interval set relationships are, interestingly enough, more apparent between phrases than within phrases:

Example 125c

The image shows two staves of music. The top staff is labeled 'First phrase' and the bottom staff is labeled 'Second phrase'. Brackets above the first staff indicate interval sets: 'X2 inv. (3+2)' under the first two bars and 'X2 (2+3)' under the next two bars. Brackets above the second staff indicate interval sets: 'X2 (2+3)' under the first two bars, 'X2 (2+3)' under the next two bars, 'X1 (1+4)' under the next two bars, and 'X2 (2+3)' under the final two bars. A bracket below the second staff indicates 'X2 inv. (3+2)' under the final two bars.

In the further elaboration of the second theme, from bar 65, an allusion to germ-cell *x* appears in bars 70 to 71, played by the bass clarinet:

Example 126

The image shows a single staff of music for the bass clarinet. The staff is labeled 'B. Cl.' and 'p'. The music consists of a few notes in a descending sequence.

Franck Symphony in D minor, second movement, bb.70-71, extrapolation of thematic material (Franck 1987[n.d.]:70)

The second theme closes with three rising sequences of the first two bars of the first phrase. A brief return to the first theme completes the traditional ABA structure of the 'slow movement'. Only eight bars of the first theme, plus an extension of another two bars, are played, with a pause at the end of each phrase. The pauses bring the forward movement of the music to a halt, indicating that the 'slow movement' section is now completed.

3.3.2.2 Transition

After the last pause there is a transition section to the 'scherzo'. The strings are asked to attach mutes and a two-bar triplet phrase is heard, played in repeated notes, by the first violins. This

phrase is the first part of the 'scherzo' theme, yet to be revealed in full. We are now in G minor. The triplet phrase is answered by a contracted version of the second theme's first five notes (*p espressivo*):

Example 127



Franck Symphony in D minor, second movement, bb.97-100, extrapolation of thematic material (Franck 1987[n.d.]:74)

The same procedure is repeated again, except that it ends in a chromatic modulation. The next four-bar phrase varies the second theme derivation, gradually modulating back to the dominant of G minor, bringing the transition section to an end.

3.3.2.3 'Scherzo-trio-scherzo'

Now the 'scherzo' theme proper sets in. It is an eight-bar theme, sub-divided into four phrases of two bars each. The ternary principle is again noticeable in the structure, as A (first phrase) – A (second phrase) – A₁ (third and fourth phrases):

Example 128

The musical notation for Example 128 is in G minor (one flat) and 3/4 time. It is an eight-bar theme divided into four phrases of two bars each. The first phrase is marked 'pp'. The second phrase is marked as being equal to the first. The third and fourth phrases are marked as being equal to the first. The piece concludes with a double bar line.

Franck Symphony in D minor, second movement, bb.109-116, extrapolation of thematic material (Franck 1987[n.d.]:75-77)

This 'scherzo' theme bears a somewhat hidden relationship to the first theme of the movement. If we compare the two, we see that characteristic intervals from the first theme can be found in abundance in the 'scherzo' theme. This intervallic relationship shows Franck as "one of the few real masters of the classical variation form" (Tovey 1935:67), in which the variation does not have an obvious similarity, yet sounds familiar:

Example 129a

Franck Symphony in D minor, second movement, bb.17-20, extrapolation of theme (Franck 1987[n.d.]:62)

Example 129b

Franck Symphony in D minor, second movement, bb.109-110, extrapolation of thematic material (Franck 1987[n.d.]:75-77)

Looking at interval set analysis of the 'scherzo' theme (see Example 128), many relationships can be found to germ-cell x :

Example 129c: first phrase

Example 129d: third phrase

Example 129e: fourth phrase

We can see how thoroughly Franck integrates the themes from one section of a movement to another: bars 33 and 34 of the first theme of the movement (see Example 130a below, *b*-phrase of Cyclic Theme III), give rise to the rhythm of the accompaniment of the scherzo theme (see Example 130b below), varied to quavers with rests. Subsequently a motive derived from these bars, varied

by interval (a fourth down as opposed to a third down in the original), appears as a counterpoint to the scherzo theme:

Example 130a: bars 33-34 of Cyclic Theme III



Franck Symphony in D minor, second movement, bb.33-34, extrapolation of thematic material (Franck 1987[n.d.]:64)

Example 130b:



Franck Symphony in D minor, second movement, bb.109-112, extrapolation of thematic material (Franck 1987[n.d.]:76)

In the next eight-bar phrase, the 'scherzo' theme is heard again. The accompaniment is now elaborated by adding the motive from bars 33 and 34 three times, in its original note values but varied in that the upbeats are tied over and accentuated, the intervals varied as before except in the last motive (a third up as opposed to a third down in the original):

Example 130b: second eight-bar phrase of 'Scherzo'

Franck Symphony in D minor, second movement, bb.117-124, extrapolation of thematic material (Franck 1987[n.d.]:77-78)

The last eight-bar phrase begins with a little two-part imitative passage on a figure that begins and ends with an X set, and contains a chromatic turning motive derived from *b*:

Example 131

The image shows two systems of musical notation. The first system consists of two staves. The upper staff contains several triplet markings (indicated by a '3' above the notes) and a bracket labeled 'b R' spanning a group of notes. The lower staff also features triplet markings and two instances of a bracket labeled 'b1' under specific notes. The second system also consists of two staves. The upper staff has three brackets labeled 'X1 (1+4)', 'X2 (2+3)', and 'X (1+3)'. The lower staff has four brackets labeled 'X2 (2+3)', 'X1 (1+4)', 'X2 (2+3)', and 'X1 (1+4)'.

Franck Symphony in D minor, second movement, bb.125-128, extrapolation of thematic material (Franck 1987[n.d.]:78-79)

This imitative passage leads to a high point in bar 129, followed by a gradual descent and the closing of the 'scherzo' section with a perfect cadence. A further two bars repeat the last triplet arpeggio figure in anticipation of the next section of the movement.

The trio has an ABA structure, the first A played twice (see Example 132a below), the B part bringing back motive *b* (from Cyclic Theme 1a - see Example 81), adding a varied phrase *c* from Cyclic Theme 1a as counterpoint (see Example 132b below). The triplet figure from before continues almost throughout the entire trio as an accompaniment, adding a quiet vivacity to the music.

Example 132a: A section of Trio

The image shows two staves of musical notation. The upper staff is marked 'Cl. espress. dolce' and contains a melodic line with a bracket labeled 'motive b1 inverted' above it. The lower staff contains a bass line with several triplet markings and brackets labeled 'X (1+3)', 'X inv. (3+1)', and 'X1 (1+4)'.

Franck Symphony in D minor, second movement, bb.135-142, extrapolation of theme (Franck 1987[n.d.]:80-82)

Example 132b: B section of Trio

musical notation for Example 132b: B section of Trio. The notation includes a piano melody in 3/4 time, starting with *motive b extended* and *varied c theme*. The bottom staff shows a bass line with *motive b varied*. Dynamics include *mf* and *p espress.*. Below the main notation is a single-line melodic fragment with *X1 inv. (4+1)* and *X1 (1+4)* annotations.

Franck Symphony in D minor, second movement, bb.151-154, extrapolation of thematic material (Franck 1987[n.d.]:83-84)

The B section of the trio ends with a variant of the A section, now incorporating chromatic elements used in the B section. This is followed by a bridging motif which leads to the restatement of the A section.

Example 133a

musical notation for Example 133a: A single-line melodic fragment in 3/4 time, labeled *varied A section theme*.

Franck Symphony in D minor, second movement, bb.159-160, extrapolation of thematic material (Franck 1987[n.d.]:85)

Example 133b

musical notation for Example 133b: A single-line melodic fragment in 3/4 time, labeled *repeat of varied A section theme* and *bridging motif*. Below it is a single-line melodic fragment with *X inv. (3+1)*, *X2 inv. (3+2)*, and *X2 inv. (3+2)* annotations.

Franck Symphony in D minor, second movement, bb.161-164, extrapolation of thematic material (Franck 1987[n.d.]:85)

After the restatement of the A section, the little 'bridging' motif above is used again to bring in the return of the 'scherzo'. Only the first eight-bar phrase of the 'scherzo' is played exactly as before (bb.109-116), followed by another transition.

3.3.2.4 Transition

In this transition section, Franck anticipates the combining of the first theme of the movement with the 'scherzo' theme. He does this by citing a four-bar fragment of this combination, followed by a *pizzicato* cadence, leading to a repetition of the fragment in C minor.

Example 134

Franck Symphony in D minor, second movement, bb.184-188, extrapolation of thematic material (Franck 1987[n.d.]:89-90)

A new two-bar rhythmic figure is heard three times as the music passes through a number of keys back to the B flat minor of the beginning of the movement:

Example 135

Franck Symphony in D minor, second movement, bb.191-193, extrapolation of thematic material (Franck 1987[n.d.]:90-91)

3.3.2.5 *Andante* and 'Scherzo' combined

Now comes the great moment in which the *andante* theme is combined with bars 117-132 of the 'scherzo.' Note how when the *b* part of the first theme begins, the little fugal passage of the 'scherzo' from before (bars 125 to 128; see Example 131 above) fits perfectly in the design.

Example 136

The musical score for Example 136 is a piano arrangement of Franck's Symphony in D minor, second movement. It is written in 3/4 time and D minor. The score is divided into four systems. The first system is labeled 'C.A' and includes 'V.1' and 'V.2'. The melody in the right hand consists of eighth and quarter notes, often grouped in triplets. The violin parts in the left hand play rhythmic patterns, also frequently in triplets. The second system has a '7' above the first measure. The third system has a '3' above the first measure. The fourth system includes dynamic markings 'dim' and 'pp'.

Franck Symphony in D minor, second movement, bb.200-215, extrapolation of thematic material (Franck 1987[n.d.]:92-94)

The last two bars of the melody in the example above are utilised to lead towards a transition to the coda. This transition cites the second theme of the *andante*, which comes to a pause twice. At each pause, it is interrupted by the first four bars of the trio theme.

The coda is fairly extensive, and modulates a great deal more than any of the rest of this movement. It continues with the second theme of the *andante* from where it left off at the last pause. The full second theme is reprised with minor alterations.

Some intricate part-writing elaborates the middle section of the second theme. An inversion of motive *b* from Cyclic Theme 1a (see Example 81) is used against a triplet version of *b* in the middle voice, which has some affinity with the upbeat of the 'scherzo' theme, and a bass line consisting of variants of *X*:

Example 137

The musical score for Example 137 consists of two staves: a treble clef staff (piano) and a bass clef staff (bass). The key signature is two flats (B-flat and E-flat), and the time signature is 3/4. The score is annotated with various thematic elements:

- Top Staff (Piano):**
 - Starts with a dynamic marking *f*.
 - Annotations include: *X* (over the first two notes), *X filled in* (over the next two notes), *b inverted* (over the next two notes), *b inverted* (over the next two notes), and *varied b* (over the final two notes).
 - Dynamic markings include *ff* and *ff* with a triplet symbol (*ff³*).
- Bottom Staff (Bass):**
 - Annotations include: *X filled in* (under the first two notes), *XI* (under the next two notes), *XI inv.* (under the next two notes), *X* (under the next two notes), and *XI inv.* (under the final two notes).

Franck Symphony in D minor, second movement, bb.244-247, extrapolation of thematic material (Franck 1987[n.d.]:98-99)

The second-last bar of the second theme is repeated three times before leading, by means of a plagal cadence, to the conclusion of the movement.

3.3.3 Third Movement: *Allegro non troppo*

Spink (1967:127) states that Beethoven's Piano Sonata Op 27 no 1 and the Ninth Symphony, "point to a growing tendency to regard the finale as a summary - a sort of coda - of the whole work. We shall find this again and again with composers after Beethoven". This statement is certainly true of Franck's finale, in which all three cyclic themes from the first two movements are used extensively, often quoted as whole themes, or as fragments (sometimes juxtaposed), and providing elements for the construction of new material.

Instances of all these practices will be described below, but the important point is that Franck succeeds in creating a highly unified work in which everything culminates in the final movement. Davies (1970:239) confirms this, stating that, "...it is this last movement that has done most to win the Symphony its universal appeal."

The finale is written in sonata-allegro form, and employs the cyclic procedure within this form in a masterly way. It is written in D, the home key, now in its major mode. The time signature is *alla breve*, so that the movement of two minims in a bar gives a fast, forward-moving pace.

3.3.3.1 Exposition

The finale opens with six bars of introduction, with crashing chords that hark back to the beginning of the *Allegro non troppo* of the first movement (bars 31 and 32). The first theme appears in the cellos and bassoons, a classic eight-bar phrase consisting of two four-bar phrases *a* and *b*, featuring X sets (see Example 139a). As noted before, the contours of this theme forms wedge shapes, so typical of Franck's compositional style (Example 139b):

Example 139a

Allegro non troppo

The musical notation shows two phrases, *a* and *b*, in bass clef with a key signature of two sharps (D minor). Phrase *a* is marked *p dolce cantabile* and phrase *b* is marked *cresc.*. Below the notation, X sets are identified: *X2 (2+3)* for the first four notes of *a*, *X1 inv. (4+1)* for the last three notes of *a*, *X1 (1+4)* for the first four notes of *b*, *X2 inv. (3+2)* for the last three notes of *b*, and *X1 inv. (4+1)* for the final two notes of *b*.

Franck *Symphony in D minor*, third movement, bb.7-14, extrapolation of theme (Franck 1987[n.d.]:101-102)

Example 139b:

The wedge shape of the beginning of the *a* phrase:

The musical notation shows the first four notes of phrase *a* in bass clef, marked *p dolce cantabile*. To the right, two diagrams illustrate the contour: a downward-pointing wedge and an upward-pointing wedge.

First theme, Franck *Symphony in D minor*, third movement, bb.7-8, extrapolation of thematic material (Franck 1987[n.d.]:101)

The wedge shape of the *b* phrase :

The musical notation shows the last four notes of phrase *b* in bass clef, marked *cresc.*. To the right, two diagrams illustrate the contour: a downward-pointing wedge and an upward-pointing wedge.

First theme, Franck *Symphony in D minor*, third movement, bb.11-14, extrapolation of thematic material (Franck 1987[n.d.]:102)

Phrase *a* is developed from the beginning of phrase *c1* of Cyclic Theme 1a (bars 9 and 10):

Example 140

The musical notation shows a section of phrase *c1* in treble clef with a key signature of two flats (B-flat major). The notes are: B-flat, A, G, F, E, D, C, B-flat.

Franck *Symphony in D minor*, first movement, bb.9-10, extrapolation of theme (Franck 1987[n.d.]:1-2)

Phrase *b* is derived from the first nine notes of the first theme (Cyclic Theme III) of the second movement, which employs the exact same X sets in the construction of its wedge shape (cf. Example 139a):

Example 141a

Franck Symphony in D minor, third movement, bb.11-14, extrapolation of theme (Franck 1987[n.d.]:102)

Example 141b

Franck Symphony in D minor, second movement, bb.17-20, extrapolation of theme (Franck 1987[n.d.]:62)

The descending seconds, a third apart, of the second and fourth bars of phrase *b* can also be found in the second theme of the second movement:

Example 142

Franck Symphony in D minor, second movement, bb.49-52, extrapolation of theme (Franck 1987[n.d.]:65-66)

This eight-bar statement is followed by a repeat of the *a* phrase, followed by a new eight-bar phrase, labelled *c*, which appears in the first violins. The first two bars of this phrase takes its contour from the *b* phrase (see Example 139 above), extending the ascending fourth to a fifth and then a sixth, as happens in *b*, and finally to an octave. One could see a slight resemblance of the last bar of the *c* phrase with the descending semitone figure in Cyclic Theme III:

Example 143a

Franck Symphony in D minor, third movement, bb.19-26, extrapolation of theme (Franck 1987[n.d.]:102-103)

Example 143b

Cyclic Theme III

Franck Symphony in D minor, second movement, bb.21-22, extrapolation of thematic material (Franck 1987[n.d.]:62-63)

The wedge formation in phrase *c* is an extension of that of phrase *b*, yet another instance of Franck writing a melody in a wedge shape, comparable with Cyclic Theme III (see Example 61d):



Phrase *c* is varied over the next ten bars, leading back to phrase *a*, this time provided with a descending figure in the bass (Example 144), a variation of the 'ending figure' of Cyclic Theme Ia (see Example 114). This figure metamorphoses as it accompanies the *b* phrase (see Example 145a below), again producing a wedge shape.

Example 144

Franck Symphony in D minor, third movement, bb.37-40, extrapolation of thematic material (Franck 1987[n.d.]:104-105)

As the principal theme continues, a small semitonal figure in a dotted rhythm is added to the texture. This figure becomes more prominent when the principal theme moves to its *c* phrase and demonstrates a subtle use of the rhythm of the germ-cell in the part-writing.

Example 145a

Franck Symphony in D minor, third movement, bb.41-44, extrapolation of thematic material (Franck 1987[n.d.]:105)

Example 145b

The musical score for Example 145b is a piano excerpt. The upper staff (treble clef) features a melodic line with a 'semitonal figure' marked *pp* (pianissimo) and a 'varied' phrase marked *f* (forte). The lower staff (bass clef) features a bass line marked *espress. e marcato* (expressive and marked). A 'c phrase' is indicated between the two staves. The key signature is D minor (two flats).

Franck Symphony in D minor, third movement, bb.49-52, extrapolation of thematic material (Franck 1987[n.d.]:106)

Over the next nineteen bars, phrase *c* undergoes a great deal of development, bringing the music to a climax. From this high point there are a series of contrary motions, first in arpeggios of a dominant-major-ninth chord, and then as the music quietens down in closer arpeggios that modulate towards the key of B major, announcing a *dolce cantabile* theme.

There is some argument among writers as to whether this next theme is actually the second theme of the movement, as Tovey (1935:68) and Demuth (1949:83) have it, or whether it is a transition or 'bridging' theme, as Gut maintains (1991:69). Those that vouch for it being the second theme probably regard B major as an altered sub-median, whilst Gut sees the second theme as Cyclic Theme III which appears later in B minor, the correct relative minor of D major.

However, there is a further consideration. The theme we are looking at does not appear in the recapitulation, where Cyclic Theme III immediately follows the first theme and is clearly treated as the second theme.

We will therefore follow Gut's analysis, accepting the *dolce cantabile* theme as a bridging theme:

Example 146

The musical score for Example 146 is a piano excerpt. The upper staff (treble clef) is labeled 'Brass' and features a melodic line with a 'p dolce cantabile' (piano dolce cantabile) marking. The lower staff (bass clef) is labeled 'Strings & W.W.' (Strings and Woodwinds) and features a bass line. The key signature is D major (two sharps). The score includes several annotations: 'X1 (1+4)' and 'X2 (2+3)' above the upper staff, and 'X inv. (3+1)' below the upper staff. Below the lower staff, there are two 'X2 (2+3)' annotations.

Franck Symphony in D minor, third movement, bb.72-79, extrapolation of thematic material (Franck 1987[n.d.]:108-109)

As pointed out before, a subtle transformation of the rhythm of the germ-cell can be found particularly in the rhythm of the bridging theme (see bar 73 in Example 146 above) and the subsidiary motive with its counter-subject (bars 98 to 101, see example below).

The coming of the subsidiary motive and its counter-subject is foreshadowed (see bars 92-93 below) in the bridging section.

Example 147

The image shows two staves of musical notation. The top staff is in bass clef with a key signature of two sharps (D minor). It contains a melodic line with a bracket above it labeled 'b retrogr. inv.'. The bottom staff is also in bass clef with the same key signature, containing a rhythmic pattern with a bracket above it labeled 'X2 (2+3)'. There are two such brackets on the bottom staff, indicating a transformation of the rhythm.

Franck Symphony in D minor, third movement, bb.92-93, extrapolation of thematic material (Franck 1987[n.d.]:110)

The subsidiary motive and its counter-subject (see bars 98-101 below) are, in fact, transformations of the bridging theme. Their turning, semitonal motion also relates them to motive *b* from the beginning of the work (see Example 81).

The subsidiary motive is developed over eight bars, followed by a four-bar link. Two motives, to be used again later in the finale, make their appearance in the link: in the viola part a reference to the Cyclic Theme II crotchet-minim-crotchet rhythm, and in the cello/bass parts a motive, based on *b*1, that later serves as a 'ground-bass':

Example 148

The image shows two staves of musical notation. The top staff is labeled 'Vla counter-motive' and the bottom staff is labeled 'Vlc/Cb1 subsidiary motive'. The top staff has a dynamic marking of 'ppp' and the bottom staff has 'pp molto legato'. Both staves have a 'poco cresc.' marking. Below the main notation is a section labeled 'Link' with 'Cyclic Th II' and 'b1 as ground-bass motive'. The 'Link' section has a dynamic marking of 'molto dim.' and 'ppp'. At the bottom is a section labeled 'X2 inv. (3+2)' with two brackets above it, indicating a transformation of the rhythm.

Franck Symphony in D minor, third movement, bb.98-109, extrapolation of thematic material (Franck 1987[n.d.]:111-112)

The triplet figure in bar 109 is important to note, as it will play a role later. The entire subsidiary idea and its link are repeated with an additional voice and some alterations, notably the use of triplets again. The link is extended, the triplets leading to the entry of the second theme, where they become part of the accompaniment throughout.

Now follows the entry of the second theme, which is a recurrence of Cyclic Theme III, the principal theme of the second movement. The *cor anglais* again plays this theme, accompanied as before by harp and strings (this time not *pizzicato*), with some added harmony parts and the triplet figure. As stated before, Franck simply changes the time signature from *alla breve* to 3/4 time for the appearance of Cyclic Theme III, the tempo remaining constant (minim equals crotchet). The first flute joins the *cor anglais* in the *b* section of the theme.

The triplet figure reminds one of the scherzo theme, though only here and there a similarity with a pattern from this theme can be heard:

Example 149



Franck Symphony in D minor, third movement, bb.127-131, extrapolation of thematic material (Franck 1987[n.d.]:114)

3.3.3.2 Development

On completion of the second theme, the development section immediately sets in, the time signature reverting to *alla breve*. From the B minor of the second theme, we now move into B major for the entry of the first theme of the finale. Once the first four bars have been stated, they are immediately repeated, but now in close canon, at the half-bar. This procedure is repeated in G major. A brief link modulates to E flat major in which the full theme (*a* and *b* phrases) appears, the *b* phrase treated in canon (on the bar). The respective key changes yield the following *X* sets:

Example 150



The tension now builds up, utilising repetitions of the first two bars of the *a* phrase in different keys. This is heightened by a variation of the *a* phrase (see Example 151 below), which is treated in close canon, repeated and then used in smaller segments, leading towards a climax:

Example 151

Franck Symphony in D minor, third movement, bb.176-186, extrapolation of thematic material (Franck 1987[n.d.]:121-122)

At the height of this build-up, the bridging theme (see Example 146 above) enters, "one of the most glorious climaxes in music," according to Demuth (1949:83). Two complete statements are made, the second bringing in the triplet figure as before from bar 91. The music gradually winds down, only the first part of the bridging theme being used repeatedly till it breaks off into a pause.

We now have a *più lento* section, in which fragments of the subsidiary theme, with its counter-subject, and Cyclic Theme III alternate. The purpose of these fragments is to juxtapose the two themes, the subsidiary theme characterised by 'sturm und drang,' and Cyclic Theme III by sublimated feeling and equipoise. The transformation of Cyclic Theme III in these fragments has already been described (see Example 75). Each juxtaposition ends in a pause, the third time a long pause, bringing everything to a complete halt:

Example 152

Franck Symphony in D minor, third movement, bb.212-227, extrapolation of thematic material (Franck 1987[n.d.]:125-126)

As the movement starts to pick up the tempo again, the subsidiary theme and its counter-subject are now replaced by the 'link' phrase from bars 106 to 109 (see Example 148). This phrase consists of a 'ground bass' motive, superimposed on a descending semitone figure in the crotchet-minim-crotchet rhythm of Cyclic Theme II. The ground bass motive now acts as an elaborated pedal point on G (sub-dominant of the home key), ensuring that the forward movement only builds up gradually.

A further two fragments of Cyclic Theme III are used, the first a repetition of the third fragment above (bars 224-225), the second a combination of the second and third fragments above, alternating with the link material:

Example 153

Tempo I. Allegro non troppo

Cor A. *pp espress*

Vln. I *pp* 'link' motive

Vlc/Cb *b1 as ground-bass motive*

Franck Symphony in D minor, third movement, bb.228-235, extrapolation of thematic material (Franck 1987[n.d.]:127)

After this, Cyclic Theme III is left out of the discourse and the new material, with its powerful driving force, takes over completely.

The link phrase now rises in sequences, jumping a minor third at a time. However, in its third phrase (see Example 154 below) the link phrase is shortened. It then undergoes diminution in rhythm and in bar 244 and 245, the bass line moves down till it reaches the note A, which becomes a pedal note on the dominant of D major, preparing for the recapitulation.

Example 154

Vln. I *pp* *shortened* *motive b* *diminution* *cresc.*

Vlc/Cb *shortened* *diminution* *dominant pedal*

Franck Symphony in D minor, third movement, bb.240-246, extrapolation of thematic material (Franck 1987[n.d.]:128)

Above the pedal note A, the full eight bars of the subsidiary motive and its counter-subject return, followed by its link (see Example 148). We have here an exact repetition of previous material,

except that the subsidiary theme has been elaborated with triplets in its fifth, seventh and twelfth bars (see Example 155 below). The quaver motive (a continuation of the diminution above) continues to run through the texture.

Example 155

The image shows two systems of musical notation for Example 155. The first system consists of three staves: a treble clef staff labeled 'counter-subject', a bass clef staff labeled 'subsidiary motive', and a lower bass clef staff with a pedal point. The counter-subject and subsidiary motive are both marked 'poco cresc.'. The second system also consists of three staves, with the top staff labeled 'Link' and the bottom staff labeled 'b1 as 'ground-bass' motive'. The 'Link' section features complex rhythmic patterns with triplets and arpeggios.

Franck Symphony in D minor, third movement, bb.246-257, extrapolation of thematic material (Franck 1987[n.d.]:128-130)

The pedal note A, however, does not remain static. From bar 256 (see last two bars of 'link' above) it begins to turn around itself, centred around the note A. This is thematic variation of the ground-bass motive from before. Soon the bass instruments leave the pedal note and move upwards sequentially, together with the upper voices, leading to chordal triplets in the upper voices and arpeggio passages in the lower. All of this builds up towards the climactic arrival of the recapitulation.

Example 156

The image shows a single system of musical notation for Example 156, consisting of two staves: a treble clef staff and a bass clef staff. Both staves feature complex rhythmic patterns with numerous triplets and arpeggios, building up towards a climactic arrival.

Franck Symphony in D minor, third movement, bb.258-263, extrapolation of thematic material (Franck 1987[n.d.]:130-131)

3.3.3.3 Recapitulation

The recapitulation is brief and to the point. Only the first and second themes appear here, in the home keys of D major and D minor respectively. Neither the transition theme nor the subsidiary motive are recapitulated, having already played a substantial role in the development section.

The recapitulation of the first theme is exact, except that it is orchestrated more fully. Franck places the main theme in both the upper voices and the bass instruments, the middle voices carrying the harmonies. Only two bars are added at the end to lengthen the link to the second theme to four bars in total (bars 296 to 299).

The second theme (Cyclic Theme III) starts on a dominant pedal bass, which gives it a sensation of fluidity rather than finality, leading the movement forward. The first and second violins accompany the theme with rapid, flowing semiquavers, mostly in broken chords, enhancing the onward movement. In the *b* phrase of the second theme, the first section of the cello counter-theme, as in the second movement, accompanies the main melody, but only for four bars.

Demuth (1949:83) maintains that "the magnificence of [this] *fortissimo* statement" of the second theme (Cyclic Theme III) overshadows the previous climax of the transition theme (bar 187 onwards), effectively saying that this is the greatest climax of the entire work. The entire recapitulation is climactic, however, leading to a quiet, retrospective coda, except for the conclusion of the work where the first theme of the finale re-appears triumphantly.

3.3.3.4 Coda

Wallace (1967:56) calls the coda "a masterpiece of musical craftsmanship." Whereas the exposition and recapitulation specifically brought back material from the second movement (Cyclic Theme III), the coda sees the return of the two main themes of the first movement - Cyclic Themes Ia and II - in reverse order: first theme II, then theme Ia. The cyclic procedure in the finale thus moves 'backwards' through the entire work, till we reach the beginning again.

As stated before, Gut (1991:70) says that in the end the theme of the finale "triumphs over the germ-cell, eliminating it" from the discourse. This is interesting in terms of the 'idea' behind the symphony, that the 'struggle' which is signified by the germ-cell *x*, is overcome by the exuberance of the finale's first theme, itself a transformation from the theme arising from this cell in the introduction of the first movement.

The coda begins with a transitional passage (Example 157b) utilising the notes from the highest point of the second theme in the recapitulation (Example 157a):

Example 157a

end of second theme

Interval sets: $X2 (2+3)$, $X \text{ inv. } (3+1)$, $X (1+3)$, $X1 (1+4)$

Franck Symphony in D minor, third movement, bb.312-315, extrapolation of thematic material (Franck 1987[n.d.]:137)

Example 157b

coda

pp

(all interval sets in this example are X1 or X1 inverted)

Franck Symphony in D minor, third movement, bb.318-321, extrapolation of thematic material (Franck 1987[n.d.]:138)

Three *pianissimo* four-bar phrases use this transitional figure, harmonised with dominant ninth-chords (sometimes in sliding parallel motion foreshadowing Debussy), moving from D major to B flat major. The full Cyclic Theme II is now given exactly as in the original statement in the first movement (with repetition), but *pianissimo* instead of the earlier jubilant *fortissimo*.

A four-bar link, using the beginning of the theme, modulates back to the home key, D major. Now Franck introduces a variant of the ground-bass figure, this time not as a pedal point around the note G (see Example 153), but as a wedge built on F sharp, bass of an elaborated first inversion of the tonic in the home key, D major. The wedge is identical in shape to the one formed by the head-motive of Cyclic Theme II when stripped of its repetitive elements:

Example 158

ff sostenuto

Franck Symphony in D minor, first movement, bb.129-132, extrapolation of thematic material (Franck 1987[n.d.]:16-17)

This ground-bass carries the discourse over the next fifty bars: the return of Cyclic Theme Ia, which is juxtaposed with Cyclic Theme II (not carried by the ground-bass), and the first two bars of the final entry of the finale's first theme.

Example 159

a tempo

variant of ground-bass motive



This entire procedure is repeated a semi-tone higher, in E flat major, modulating upwards to E major. Now there are two 'intrusions' of the first theme of the movement, heralding its coming. These intrusions are the first two bars of the theme, alternating with two-bar fragments of Cyclic Theme II. This alternation is repeated in A flat major, followed by a harmonic progression using the first bar of Cyclic Theme II four times to reach the full entry, in D major, of the first theme of the movement.

This statement of the first theme of the movement avoids the root position of the tonic chord, relying heavily on first inversions right up to just before the end, creating a continual sensation of expectancy, so that only when the first theme makes its closing, all-conquering statement, the power and finality of the root position is reached.

In this restatement of the first theme, the *a* and *b* phrases are complete, with the addition of the first four bars of *a*, as in the opening of the movement. Only a section of the varied *c* phrase from before (bars 31 to 34) is utilised, during which a radical *crescendo* is made towards *fortissimo* within four bars. These four bars are then repeated over alternating dominant and supertonic harmony, adding a descending figure in the bass voices that was utilised before in the restatement of *a* in the exposition (see Example 144 above). Only the first four notes of this descending figure are now used, and it is also inverted:

Example 161

The musical score for Example 161 consists of two staves. The top staff is for brass, marked 'brass' and 'ff', and contains a descending figure of four notes: D5, C#5, B4, A4. The bottom staff is for piano, marked 'ff', and contains a descending figure of four notes: D4, C#4, B3, A3. The score is in D major and 4/4 time.

Franck Symphony in D minor, third movement, bb.414-417, extrapolation of thematic material (Franck 1987[n.d.]:149)

The notes of the high voices in the example above give rise to a figure in diminution, heard against the supertonic of D with bass pattern as follows:

Example 162

Franck Symphony in D minor, third movement, bb.418-421, extrapolation of thematic material (Franck 1987[n.d.]:149)

This four-bar phrase moves to the sub-dominant, culminating in the final statement, in a canon two bars apart, of the first theme of the movement (see Example 163 below). The bass figure of Example 161 is used as a counterpoint to the canon, and undergoes diminution in bars 434 to 435. In these bars an additional quaver passage in the violas, related to the bass figure, heightens the intensity towards the fanfare-like ending of the final chord:

Example 163

Franck Symphony in D minor, third movement, bb.426-440, extrapolation of thematic material (Franck 1987[n.d.]:150-151)

CHAPTER 4: SUMMARY AND CONCLUSION

4.1 Franck and his predecessors

Franck was well versed in the work of J.S. Bach and made prodigious use of counterpoint, imitation, fugal writing and canon in his works. However, he applied these contrapuntal devices more in the way in which Beethoven did, as part of the texture of a movement and more for their expressive values. (D'Indy 1910:240) Franck's use of many of these devices have been described in the detailed analysis of his symphony in Chapter 3. His admiration for Bach led him, as it had led other Romantics, to a more integrated approach to symphonic writing in an attempt to create an organic whole in which all the components are interrelated.

Franck's concept of the symphony as cyclic whole was based on developments introduced by Beethoven, and carried further by Schumann and Liszt, as described in Chapter 2. Franck studied Beethoven intensively and modelled his own compositional technique very closely on the latter's, both in terms of form and cyclic procedure as well as in terms of development of material in a composition.

Gut's comparisons between the structure of Beethoven's Fifth Symphony and Franck's Symphony (see pages 58 to 59) show how Franck seemed to have needed a model on which to build the dramatic discourse of his own symphony. Although he did not follow the model slavishly, the similarities are remarkable:

1. the use of a germ-cell, linked to the idea of 'destiny,' from which the greater part of the melodic material of the symphony is drawn
2. the re-appearances of the germ-cell in the same manner as in Beethoven
3. the principle of linking movements through transferring thematic material from one movement to the next (although Franck transfers themes, rather than motives as in Beethoven)
4. in the case of the finale, the almost identical articulation of the different sections of the sonata-allegro form.

As a whole, the greatest differences lie in the first movement, which:

1. starts with a slow introductory statement of the first theme
2. repeats only the first part of the exposition, in the mediant key of F minor
3. presages the development, recapitulation and coda sections each time by slowing down to a varying number of pauses (three before the development, two *tenutos*

before the build-up to the recapitulation and two pauses before the coda) ; each time Franck uses small fragments of his cyclic themes in the slowing down process

and in the combining of the traditional slow movement and scherzo into one integrated movement.

Franck does not mention his reliance on Beethoven's Fifth Symphony in his description of his own symphony, as recollected by Pierre de Bréville (see page 43), yet there is a far greater drawing on this model than on the Ninth Symphony, which he does mention.

Franck used Beethoven's Ninth Symphony as a model for cyclic procedure in the finale. As quoted before, Franck himself says that his finale recalls all the themes, as in Beethoven's Ninth Symphony, but that in his work they play an entirely different role. Instead of simply stating and immediately rejecting the themes from previous movements as in Beethoven's Ninth, Franck made them part of the thematic discourse of the movement. He utilises Cyclic Theme III as the second theme of the finale, and fragments as well as whole sections of Cyclic Themes I and II in the coda. Here Cyclic Theme II is stated in full, with repetition as in the first movement, followed by Cyclic Theme I, in three fragments, representing respectively the first three bars of the original. This is followed by a juxtaposition of these two themes. Finally, Cyclic Theme I is 'eliminated,' the first theme of the finale taking its place in juxtaposition with Cyclic Theme II. In the end, Cyclic Theme II also disappears, and the first theme of the finale brings the work to a triumphant close (see detailed description in Chapter 3, pages 110-112). While this might at first glance appear as a rather random insertion of material from elsewhere into an independent movement, the close motivic interrelation among all the themes of the work serves to integrate the transplanted material seamlessly into the musical argument.

It is possible that Schubert's "Wanderer" Fantasy showed Franck how systematically the cyclic principle could be applied, whilst in no way interfering with the depth of content of the work.

The high level of unification which the Fantasy achieved through consistent cyclic treatment was later taken up by both Liszt and Franck in their compositions.

Considering Berlioz's use of an *idée fixe*, Franck must surely have learnt some of the possibilities of varying themes from one movement to the next. The transferences of the *idée fixe* into differing metres, for example, can be seen in Franck's transformation of Cyclic Theme Ia of the first movement into Cyclic Theme III of the second movement (from C – time to 3/4 – time ; see page 48, Examples 59a and 59b), although the transformation is far more radical than in Berlioz's works.

It is known that Franck possessed scores of Schumann's works, which he often used to show to his pupils when they were confronted by difficult challenges in composition (d'Indy 1910:242). Undoubtedly Schumann's symphonies - and particularly the Fourth in which cyclic recurrences were

not only limited to the last movement, but were also used in the middle movements (see pages 32 and 34-35) - had a strong influence on Franck, whose cyclic recurrences across the movements of his symphony are similar to Schumann's. Franck undoubtedly admired the motivic integration among themes in Schumann's Fourth Symphony, as shown in Chapter 2 (see pages 32-36), applying the same principle in his own way in his Symphony.

The fact that Schumann integrates his themes into the new environments in which they recur, was taken up by Franck in the second movement, where the first theme of this movement - a variation of Cyclic Theme I (a and b versions) from the first movement - completely fills out the first theme section. For the rest, Franck uses the motto approach, in which there is little or no integration into the new environment, except when quoting fragments of themes (see especially the development section of the finale, pages 102-105)

In Chapter 2 (see pages 36-41), we have seen the radical steps by which Liszt applies his practice of *Transformation of Themes*. This practice seems to have played a less direct role in the forming of Franck's style, possibly because Franck was relatively conservative in his musical expression. Franck's creation of new themes uses the principle of variation rather than transformation as in Liszt who, in his Sonata in B minor for example, can change the 'aggressive' theme *c* into a lyrical, tender theme (labelled as 'lyrical transformation of theme *c*'; see page 39, Example 48).

An idea Franck may have gleaned from Liszt's Sonata is the order of cyclic returns from previous movements. In Liszt's coda the themes are quoted in reverse order: first theme *c*, then theme *b*, the work closing with the theme it opened with, theme *a*. Franck follows a similar procedure in the finale of his symphony: Cyclic Theme III is the second subject of the finale and after hearing it again in the recapitulation, the coda turns to Cyclic Theme II and finally Cyclic Theme I. However, Franck then ends his symphony with the first theme of the finale.

4.2 Franck's classicism

Franck is said to have stated that his work is a classical symphony (see Pierre de Bréville's recollection of Franck's statement on page 43). This standpoint was part of the counter-movement at the time to the excesses of Wagner's style, as well as to the dominance of generally poor-quality opera in France. In the works of Saint-Saëns, Lalo and Franck we see a return to the balance of construction of the Classical period.

Franck saw great potential for the further development of music in the classical forms of the past. He proved this in his works, in which he creatively developed the classical forms further. An example of this in Franck's Symphony is the ingenious combining of the second movement's first theme with the 'scherzo' theme. This is Franck's own innovation, and shows a high degree of

forward planning. A similar example of this already existed, however, in Schumann's Quintet, Opus 44 (1842), a work Franck would probably have studied in preparation for writing his own Quintet. In this work, Schumann combines the first themes of movements one and four in a double fugue in the coda of the finale. (Schumann n.d.:77) Similarly, in his Fourth Symphony, two ideas were designed as contrapuntally combinable, but not used as such in the final version.

Rosa Newmarch in her introduction to D'Indy's biography of Franck, writes, "The performance of a representative work by César Franck has an immense concern for the student of musical history, because he has solved, more successfully perhaps than any composer of his day, the question of the enlargement and revivification of classical forms ..." (D'Indy1910:7)

It is remarkable that the developments we see in Beethoven were used relatively conservatively by the composers that followed him. Berlioz, for all the drama in his music, kept very closely to the traditional forms of his day, his *idée fixe* being for the most part 'pasted in.' The most daring was Liszt in his significantly large-scale, radical transformations in themes and development of material.

Franck was likewise conservative. If one examines Franck's use of cyclic devices, whilst he devises his cyclic themes from a germ-cell, essentially creating variations from the same source, they are subsequently treated as mottos i.e. are used virtually intact in other movements, not undergoing noteworthy further variation. In fact, they then play their respective roles in the traditional sonata forms, as first themes, second themes, bridging and transition themes and, in some cases, may undergo intra-movement development as was common practice.

In spite of this relatively conservative approach to the cyclic application of his themes, his use of cyclic recurrences is consistent to a degree which is only paralleled among his predecessors by Schumann in his Fourth Symphony. There are many examples in Franck of development of themes (both intra- and inter-movement) that have been described in Chapter 3. Though not as wide-ranging perhaps as Beethoven's thematic development, the Franck Symphony displays a high level of unification in every respect.

Franck made specific contributions towards the further development of the symphony. Following the traditions of Beethoven, voice-leading, counterpoint, imitation between voices, and canon have been elaborated to a high degree, complementing, enriching and, at times, superseding a vertical approach to composing and giving melody the dominant role. Franck's dictum was that counterpoint should not be merely mechanical, but "melodic and intelligent." (D'Indy 1910:240)

It may be argued that Franck's Symphony is too contrived, too laden with technical devices in his efforts to bring back a classical approach to composing. Whilst there are weaknesses, such as the endless use of four-bar phrases and a certain ponderousness at times, these are overcome by the

high level of inspiration and a balance between form and content - the requirement for any great work of art.

D'Indy (1910:75) has the following to say on this matter:

"Franck never considered that manifestation of a work which we call *form* as anything but the *corporeal* part of the entity of an art work ("l'être œuvre d'art"), destined to serve as the visible outer covering of the *idea*, which he called "the soul of the music." We shall see, in fact, how in his works the form is modified according to the nature of the idea, while still remaining firmly based upon those great foundations which constitute the natural tradition of all art."

4.3 Franck's style in the history of the symphony

Spink (1967:139) contrasts the more 'lyric' composers (Schubert, Schumann, Chopin) with the more 'dramatic' composers (Berlioz, Liszt and Wagner) of the Romantic period. The 'lyric' composers tending towards the more static forms (predominantly lied & rondo), the 'dramatic' towards the more developmental forms (predominantly sonata-allegro).

Interestingly, Franck's symphony belongs more to the 'dramatic' type, portraying a human 'struggle' born out of a belief in a fate that needs to be overcome (signified by Cyclic Theme I) which is challenged by the 'Faith' theme in the first movement. However, his music tends to be more 'lyric' than 'dramatic', due to his extensive melodies that sing even in the more 'dramatic' moments.

The contrast between 'lyric' and 'dramatic' composers is further illustrated by dividing the Romantic composers according to Austrian and German 'schools':

AUSTRIAN	GERMAN
Schubert	Beethoven
Bruckner	Brahms
Mahler	Wagner

Clearly Franck inclined towards the expansive, lyrical approach to symphonic writing found in the works of Austrian composers such as Schubert and Bruckner, rather than the motivic approach of the German symphonic school exemplified by Beethoven and Brahms. In fact he shares a certain 'static,' ponderous quality with Bruckner.

4.4 Franck's contribution to the development of the symphony

In conclusion, one can say that Franck played a significant role in the development of the symphony. Even though he only wrote one symphony, it is a masterpiece in terms of structure and cohesion. The use of a germ-cell which gives birth to his themes, his consistent application of the cyclic principle to unify the symphony's structure, the derivations and variations of his themes, the polyphonic devices that he employs to enrich the texture, and his innovative manipulation of form (whilst retaining tradition) all speak of the greatness of this work.

It is no wonder that Franck's mature works, of which the Symphony is but one, had such a profound impact on the circle of pupils and friends by whom he was surrounded. Though serious in temperament, the Symphony was immensely popular for many years after his death, and although this popularity has diminished over the years, it is still part of the symphonic repertoire today. This is mainly due to the inspired nature of the music, the idea of its 'dramatic' plot, and the magnificent finale which "has done most to win the Symphony its universal appeal." (Davies 1970:239)

In Chapter 1, Franck's life is described as a struggle against the unreceptive musical environment in which he found himself, contrasted by his innately naive, sincere attitude, which ultimately did so much to overcome this struggle. Seen in this way, the 'idea' underlying his symphony expresses his own life experience of an adverse destiny overcome by strong faith.

Franck's sincerity and passion for expressing the beautiful in music, won him a circle of dedicated pupils and friends, which became known as the 'Franckist' school. It is through the devoted, life-long efforts of these adherents that Franck's works made a particular contribution to music in his adopted country, expressed in the following way by Vallas (undated, translated 1951:275): "[Franckism] did much to change the whole course of musical life and thought in France by rescuing that country's composers from the too exclusive devotion to the superficial art of opera, and by restoring to them the ideals of the great non-theatrical composers - the ideals of the symphony, the noblest and most independent of all expressive forms."

Not only the Symphony, but the great masterpieces of César Franck's maturity - the symphonic poems (*Les Eolides*, *Le Chasseur maudit*, *Les Djinns* and *Psyché*), the *Variations symphonique*, his magnificent chamber works (the *Quintet*, the *Violin Sonata* and the *Quartet*) and finally his *Trois chorales* for organ - brought about this change, paving the way for new generations of composers such as Chausson, d'Indy, Dukas, Roussel, Debussy and ultimately Messiaen.

MAP OF FRANCK'S SYMPHONY IN D MINOR

MOVEMENT I - Sonata-Allegro form

EXPOSITION

<i>Lento</i>	bb.1-28	Cyclic Theme Ia (<i>a,b,c,d</i>)	germ-cell <i>x</i> generates <i>a,b,c,d</i> ; (introduction)	D minor
<i>Allegro non troppo</i>	bb.29-42 bb.43-48	Cyclic Theme Ib (<i>a,a2,c2,a3,c3</i>) <i>a2</i> + counter-subject	transformation of Cyclic Theme Ia	D minor D minor
<i>Lento</i>	bb.49-76	Cyclic Theme I (<i>a,b,c,d</i>)	repetition of bb.1-28	F minor
<i>Allegro non troppo</i>	bb.77-90 bb.91-98	Cyclic Theme I (<i>a,a2,c2,a3,c3</i>) <i>a2</i> + counter-subject	repetition of bb.29-42 repetition & extension of bb.43-48	F minor modulates
	bb.99-128	bridging theme + marcato figure	lead-up to Cyclic Theme II	F major
	bb.129-178 bb.179-190	Cyclic Theme II + extension link to development	second subject group utilises fragments of C.Th. II; pauses.	F major modulates

DEVELOPMENT

	bb.191-284	development based on Cyclic Theme I (<i>a,a2,c2,c,a2</i> + countersubject); Cyclic Theme II (fragments)		various
	bb.285-330	development based on alternation of Cyclic Theme II and I; lead-up to recapitulation		various/D minor

RECAPITULATION

<i>Lento</i>	bb.331-348	Cyclic Theme Ia (<i>a,a1,b,d</i>);	contracted version of bb.1-28; <i>a,a1</i> in canon; <i>b</i> and <i>d</i> integrated	D minor
<i>Allegro</i>	bb.349-380	Cyclic Theme Ib (<i>a,a2,c2,a3,c3</i>)	varied version of bb.29-42; <i>a,c2</i> in canon	E flat minor/ G minor
	bb.381-388	<i>a2</i> + counter-subject	repetition of bb. 91-98	D minor

	bb.389-418 bb.419-468 bb.469-472	bridging theme + marcato figure; lead-up to Cyclic Theme II; repetition of bb.99-128 Cyclic Theme II + extension; repetition of bb. 129-178; ends in pause. link to coda; utilises semitone figure; pause; shortened repetition of bb.179-190	D major D major modulates
CODA			
	bb.473-512	further development of rhythm of Cyclic Theme II and theme a2 + counter-subject from Cyclic Theme Ib	modulates, then D minor
<i>Lento</i>	bb.513-521	Cyclic Theme Ia (germ-cell x only) in canon (in sub-dominant of D minor), leading to ending	D major
MOVEMENT II - combined <i>lied</i> and <i>scherzo</i> form			
'ANDANTE' section			
<i>Allegretto</i>	bb.1-48	Cyclic Theme III (first theme of the ' <i>andante</i> ')	B-flat minor
	bb.49-86	second theme of the ' <i>andante</i> '	B-flat major
	bb.87-96	Cyclic Theme III shortened (return of first theme of ' <i>andante</i> ')	B-flat minor, modulating to G minor
TRANSITION section			
	bb.97-108	twice alternation of first two bars of <i>scherzo</i> theme with varied first two bars of second theme of ' <i>andante</i> '; varied second theme continued	G minor
'SCHERZO' section			
	bb.109-134	<i>scherzo</i> theme (a,a,b,c) ; varied fragments from Cyclic Theme III (b phrase)	G minor
	bb.135-175	trio theme (a,b,a)	E flat major
	bb.176-183	<i>scherzo</i> theme (a,a,b,c)	G minor

TRANSITION section

bb.184-199	<i>scherzo</i> theme combined (twice) with fragment of Cyclic Theme III (<i>a</i> phrase)	G minor
------------	--	---------

'ANDANTE' section

bb.200-221	Cyclic Theme III (entire first theme of ' <i>andante</i> ') combined with <i>scherzo</i> theme	B flat minor
bb.222-237	second theme of the ' <i>andante</i> ' (<i>a</i> phrase only) alternating with trio theme; pauses	B major

[CODA]

bb.238-262	second theme continued (<i>b</i> and <i>c</i> phrases)	modulates to B flat major
------------	---	------------------------------

MOVEMENT III - Sonata-Allegro form

EXPOSITION

<i>Allegro non troppo</i>	bb.1-71	first theme of the movement (<i>a, b, c</i> phrases)	D major
	bb.72-97	bridging theme (<i>a, b</i> phrases)	B major
	bb.98-124	subsidiary motive with counter-subject	B minor
	bb.125-140	second subject of movement : Cyclic Theme III	B minor

DEVELOPMENT

	bb.141-186	development of first theme : <i>a</i> and <i>b</i> phrases, each in canon; motive derived from <i>a</i> leading to entry of bridging theme	various keys
	bb.187-211	statement and development of bridging theme, leading to a pause	various keys
<i>Più lento</i>	bb. 212-227	transition section : fragments of subsidiary motive with counter-subject and Cyclic Theme III alternate, coming to a pause three times	G minor

<i>Tempo I</i>	bb.228-267	two further sets of fragments followed by development of subsidiary motive with counter-subject	G minor/pedal point on A
RECAPITULATION			
	bb.268-299 bb.300-317	repeat of first theme as in exposition repeat of second theme (Cyclic Theme III) as in exposition but accompanying voices elaborated	D major D minor - F major - D major
CODA			
	bb.318-349	return of Cyclic Theme II (full 16 bars from movement I)	B-flat major
	bb.350-385	return of Cyclic Theme I (<i>a, a1</i> phrases) over ground-bass motive, alternating with Cyclic Theme II (first four bars)	D major/E flat major/E major
	bb.386-397	first theme of movement (first two bars) alternates with Cyclic Theme II (first two bars), link based on latter	E major/A flat major/modulates
	bb.398-425	first theme of movement (full return : <i>a, b, c</i>)	D major
	bb.426-440	first theme of movement (<i>a</i> only) in canon, close of work	D major

BIBLIOGRAPHY

MUSICAL SCORES

- Bach, J.S. 1970. *Das Wohltemperierte Klavier*, Volume I. Von Irmer, O. Munich – Duisburg: G. Henle.
- Beethoven, L. van. 1989. *Fifth Symphony in C minor Op. 67*. Full score. Toronto: Dover. Reprint of original publication by Henry Litolf, Braunschweig, n.d.
- Beethoven, L. van. 1989. *Ninth Symphony in D minor, Op. 125*. Full score. Toronto: Dover. Reprint of original publication by Henry Litolf, Braunschweig, n.d.
- Beethoven, L. van. 1911. *String Quartet in F major, Op. 135*. Miniature score. London: Eulenburg.
- Berlioz, H. 1984. *Symphonie fantastique Op.14*. Full score. Toronto: Dover. Reprint of original publication by Breitkopf & Härtel, Leipzig 1900-10.
- Berlioz, H. 1984. *Harold en Italie Op. 16*. Full score. Toronto: Dover. Reprint of original publication by Breitkopf & Härtel, Leipzig 1900-10.
- Franck, C. 1987. *Symphony in D minor*. Full score. Toronto: Dover. Unaltered and unabridged reprint of original publication by J. Hamelle, Paris, n.d.
- Liszt, F. 1975. *B minor Sonata*. Piano. Munich: G. Henle
- Liszt, F. n.d. *Les préludes*. Miniature score. Vienna: Wiener Philharmonischer Verlag.
- Mozart, W.A. 1955. *Fantasie K475 and Sonata K457*. Piano. Lampe, W. Munich: G. Henle.
- Mozart, W.A. 1978. *Piano Concerto no 24 in C minor K491*. Full score. New York: Dover. Reprint of original publication by Breitkopf & Härtel, 1879.
- Schubert, F. 1965. *Wanderer Fantasie D 760 (Fantasy in C Major)*. Vienna: Wiener Urtext.
- Schumann, R. 1980. *Symphony no. 4 in D minor Op. 120*. Full score. Toronto: Dover. Reprint of original publication by Breitkopf & Härtel, Leipzig 1882.
- Schumann, R. n.d. *Pianoforte-Quintett in E-flat major, opus 44*. Leipzig: Ernst Eulenburg.
- Scriabin, A. 1924. *Le poème de l'extase, Op. 54*. Leipzig: Ernst Eulenburg.
- Wagner, R. n.d. *Siegfried (Part 3 of Der Ring des Nibelungen)*. Piano score. Mainz: B. Schott.

TEXTS

- Andriessen, H. n.d. *César Franck*. Translated W.A.G. Doyle-Davidson. London: Sidgwick and Jackson.
- Apel, W. 1970. *Harvard Dictionary of Music*. London: Heinemann.
- Badura-Skoda, P. 1965. Editor's Preface in Schubert, F. 1822. *Wanderer Fantasie D 760 (Fantasy in C Major)*. Vienna: Wiener Urtext.

- D'Indy, V. n.d., translated 1910. *César Franck*; a translation from the French with an introduction by Rosa Newmarch. London: John Lane, The Bodley Head. Republication by Dover Publications, 1965.
- Davies, L. 1970. *César Franck and his Circle*. London: Barrie & Jenkins.
- Davies, L. 1973. *Franck*. The Master Musicians Series. London: J.M. Dent.
- Demuth, N. 1949. *César Franck*. London: Dobson.
- Farlow, B. 1969. Thematic Unity in Selected Nonprogrammatic Symphonies of the 19th Century. PhD dissertation, Music: University of North Carolina.
- Grove Music On-line [Electronic] <http://www.grovemusic.com/shared/view/article>
- Gulke, P. 1971. Wider die Übermacht des Thematischen. Zum Verständnis César Francks anhand seiner d-Moll Sinfonie. *Beiträge zur Musikwissenschaft*. 13(4):261-71.
- Gut, S. 1991. Y'a-t-il un modèle beethovenien pour la symphonie de Franck ? *Revue européenne d'études musicales*. 1(91):59-79. [Translation of sections by HP van Alphen, assisted by Michelle Coppez].
- Hutchings, A. 1973. *Schubert*. London: JM Dent.
- Kentner, L. 1970. *Franz Liszt - The Man and his Music*, Ed. Alan Walker. London: Barrie & Jenkins.
- Köchel, L.R. von 1862. *Chronologisch-thematisches Verzeichnis sämtlicher Tonwerke Wolfgang Amadé Mozarts*, seventh edition, 1965. Wiesbaden: Breitkopf & Härtel.
- Leichtentritt, H. 1951. *Musical Form*. Cambridge, Massachusetts: Harvard University Press.
- Longyear, R.M. 1973. *Nineteenth-Century Romanticism in Music*, second edition [1969]. Englewood Cliffs, NJ: Prentice Hall.
- Merrick, P. 1987. *Revolution and Religion in the Music of Liszt*. Cambridge: Cambridge University Press.
- Randel, D.M. [Ed.] 2003. *The Harvard Dictionary of Music*, fourth edition. Cambridge, Massachusetts: Harvard University Press.
- Reti, R. 1961. *The Thematic Process in Music*. London: Faber & Faber.
- Scott, M.M. 1974. *Beethoven*. London: JM Dent.
- Schmierer, E. 2001. Nationalismus und Kosmopolitismus: Französische Symphonik nach 1871. *Jahrbuch des Staatlichen Instituts für Musikforschung Preussischer Kulturbesitz, 2001*. ISSN 0572-6239: 92-109.
- Shera, F.H. 1936. César Franck's Symphony in D Minor. *The Musical Times*. 77(1118):314-17. [Electronic]. Available from <http://links.istor.org>
- Shera, F.H. 1936. César Franck's Symphony in D Minor (Concluded). *The Musical Times*. 77(1119):410-12. [Electronic]. Available from <http://links.istor.org>
- Stadlen, P. 1977. Schindler's Beethoven Forgeries. *The Musical Times*. 118(1613):549-52 [Electronic]. Available from <http://links.istor.org>

- Thomson, A. 1990. César Franck: Mind, Flesh and Spirit. *The Musical Times*. 131(1774):639-41. [Electronic]. Available from <http://links.jstor.org>
- Tovey, D. 1935. *Essays in Musical Analysis - Volume II*. London: Oxford University Press.
- Vallas, L. n.d., translated 1951. *César Franck*. Translated by Hubert Foss. London: Harrap (originally *La véritable histoire de César Franck*, Paris: Flammarion).
- Wallace, J.D. 1967. *The Nineteenth-Century Symphony in France: Some Selected Works*. MA thesis, Music Theory: Texas Christian University.

University of Cape Town

