

The Bruckner Problem and The Study of Musical Form: Reappraising Textual Multiplicity from a Two- Dimensional Dialogic Perspective

O “Bruckner problem” e o estudo da forma musical: reavaliando a multiplicidade textual a partir de uma perspectiva dialógica bidimensional

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Abstract: This study proposes an analytical methodology and theoretical framework that seeks to turn the textual multiplicity often associated with Bruckner’s large-scale works (a scholarly issue often referred to as the “Bruckner Problem”) into a Bruckner Potential. Because textual multiplicity does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his oeuvre. The present study circumvents this shortcoming by conceiving formal-expressive meaning in Bruckner’s symphonies as growing out of a two-dimensional dialogue comprising 1) an *outward dialogue*, characterized by the interplay between a given version of a Bruckner symphony and its implied genre (in this case, sonata form); and 2) an *inward dialogue*, characterized by the interplay among the various individualized realizations of a single Bruckner symphony. The analytical method is exemplified through a brief comparison of two renditions of the slow movement of Bruckner’s First Symphony, WAB 101 and a detailed consideration of each of the surviving realizations of the slow movement of his Third Symphony, WAB 103.

Keywords: Bruckner Problem. Musical Form. Dialogical Form. Bruckner’s Symphonies. Musical Text.



Part I. Methodology and Theoretical Framework

Cambia lo superficial,
cambia también lo profundo,
cambia el modo de pensar,
cambia todo en este mundo.

— Julio Numhauser, *Todo Cambia*

1.1 Introduction: The Thinking behind the Bruckner Problem is the Problem

The reception history of Anton Bruckner's music is arguably more complex and contentious than that of most other composers, often leading to strong disagreements and passionate disputes among scholars, performers, and audiences. Since Bruckner's lifetime, and to an extent unparalleled among other regularly performed 18th- and 19th- century composers, doubts have persistently been cast over both his competence as composer and the merits of his music. A salient feature in this regard is the controversy surrounding what English-speaking scholars refer to, after the influential British Bruckner apologist Deryck Cooke (1969), as the "Bruckner problem."¹ Two interrelated factors are central to this issue: First, although Bruckner's mature compositional output (from 1863 on)² comprises only a relatively small number of large-scale pieces, these works have survived—due to Bruckner's penchant for reworking his own oeuvre³—in

¹ Critical appraisals of Cooke's argument can be found in Horton 2004, p. 11–15; and Gault 2011, p. 243–248.

² My use of the term "mature compositional output" does not aim to advance the idea of a cohesive group of pieces in terms of style that contrasts, as such, with an earlier set of pieces. Instead, I attempt to foreground that portion of Bruckner's output that has received the greatest attention from performers, scholars, and audiences. This period corresponds to Bruckner's compositional production after finishing his formal music instruction, a time that, as Paul Hawkshaw explains, the composer himself identified as "the beginning of his career as a professional composer" (2001, p. 25).

³ To be sure, Bruckner was neither the first nor the last composer to rework his own oeuvre; like other composers, he often made minor adjustments to his scores (e.g., orchestration or other non-structural changes). However, his lifelong penchant for major compositional reshaping led to an unusual proliferation of distinct realizations of a large number of works. The many variants that Bruckner produced of his symphonies are, indeed, the best evidence of his penchant for compositional reworking. However, he approached many of his smaller and early (non-symphonic) works with this same critical compositional attitude. See, for example, the *Kronstorfer Messe*, WAB 146 (1843–1844; sometimes known as the "Messe ohne Gloria und Credo"), and the "Messe ohne Kyrie und Gloria für den Gründonnerstag," WAB 9 (1844; also known as [Missa brevis] *Christus factus est*). These make use of different realizations of the same Sanctus. *Am Grabe*,

a variety of realizations. Second, throughout Bruckner's life and up to the advent of the *Neue Bruckner-Gesamtausgabe* (henceforth NGA)⁴ in the 1950s, Bruckner's music was regularly performed and published⁵ in retouched, heavily edited, or sometimes even recomposed renditions that his pupils and advocates felt compelled to bring about.⁶ These two factors—Bruckner's revamping attitude towards composition, and an exceptionally interventionist editorial practice—have combined to produce a *sui generis* textual corpus from which Bruckner symphonies have emerged as boundaryless, multidimensional works that question the very concept of the self-contained composition, conspicuously

WAB 2 (1861) is a later variant of the earlier *Vor Arneths Grab*, WAB 53 (1854). Other early works existing in two or more renditions include the *Pange lingua*, WAB 31 (1835 and 1891; the first is Bruckner's earliest extant piece); *An dem Feste*, WAB 59 (1843 and 1893; the second in this case being the *Tafellied*, WAB 86 [WAB 59c in the new revised catalogue]); the five *Tantum ergo* settings, WAB 41 and 42 (1846 and 1888; WAB 41,1 and 41,2 and WAB 42,1 and 42,2, respectively, in the new revised catalogue); and *Iam lucis orto sidere*, WAB 18 (also known as *In Sanctum Angelum custodem*; two realizations from 1868, and a third from 1886).

NB: WAB numbers refer to Renate Grasberger's systematic catalogue of Bruckner's works (see Grasberger 1977). An updated version of this catalogue was prepared by Dominique Ehrenbaum and was included in Hinrichsen 2010. A thorough revision of Grasberger's catalogue was begun by the Austrian musicologist Erich Wolfgang Partsch; following his death in 2014, arrangements were made by the Musicology Department of the Austrian Academy of Sciences for its completion and publication. This new revised version of the catalogue was completed in 2020 under the leadership of Robert Klugseder and is available at the Web portal *Bruckner-online* (<<http://www.bruckner-online.at>>).

⁴ See Nowak et al., 1951ff.

⁵ Since the 1950s the prevalent practice has been to publish only authorial renditions of Bruckner's symphonies. (According to the text-critical practice of the NGA, a textual source attains authorial status when material evidence—e.g., extant music manuscripts and letters—proves beyond a doubt that it was *produced or approved* by the composer himself.) Regarding performing practices, we can notice a trend rather than an accepted custom: although most conductors since the 1950s have turned to the NGA's scores, a good number of earlier conductors (those already well established by the 1950s) continued to perform late-19th and early 20th-century editions of Bruckner's works (which in many cases deviate considerably from those of the NGA) well into the 1990s (and even to some extent today).

⁶ See, e.g., the following versions: Franz Schalk's WAB 105, Ferdinand Löwe's WAB 109, and Robert Haas's WAB 102 and 108. See, also, those by Gustav Mahler of WAB 104 and Wilhelm Furtwängler of WAB 108, which have not yet been published in score format but have been recorded (useful information on these and many other recordings is available at Bruckner-collector John F. Berky's website <abruckner.com>).

failing to conform to traditional ideas about the construction and ontological status of musical works.⁷

This important aspect of his oeuvre does not sit comfortably with conventional ways of thinking about the “classical” canon, which, by and large, still tend to be grounded in overtly romantic and modernist aesthetic perspectives. For example, the idea that musical geniuses craft perfect, self-contained works as part of a singlehanded creative endeavor continue to hold sway in the world of classical music. Since it follows from such an idea that truly great artworks should not exist in various versions, contain variants or result from a collective endeavor involving multiple creative agents, it became all too easy within the comfort zone of institutionalized knowledge, to approach textual multiplicity in Bruckner’s works with a stance of implicit condescension towards the composer. In this climate, it is unsurprising that many Bruckner scholars devoted themselves to the task of distancing Bruckner’s works from any perceived anomaly within the prevailing ideology.⁸ It is also no surprise, that performers, musicologists, and analysts tend to disagree widely on the philological and editorial practices that should guide research into Bruckner’s symphonies.⁹ As Benjamin Korstvedt notes, “textual matters loom large with Bruckner. Not only have they been considered and reconsidered by generations of Bruckner scholars, but anyone [...] approaching this repertory soon runs into the ‘Bruckner problem.’” (2004, p. 121).

Today, however, our greater knowledge of the complex circumstances surrounding the texts of Bruckner’s works prohibits shortcuts or simplistic solutions like some proposed in the past.¹⁰ Moreover, the textual modifications (by both Bruckner and others) are too extensive and significant (both compositionally and historically) to be dismissed or downplayed in any critical

⁷ Valuable lists of different realizations of Bruckner’s symphonies are found in Carragan 2017 and 2020; Gault 2011, p. 253–257; and the websites maintained by David Griegel and José Oscar Marquez (see the list of references). A comprehensive list of published scores of Bruckner’s symphonies is found in Walker; Howie 2005, p. 25–31.

⁸ In this connection, think, for example, in Robert Haas’ editorial intervention of Bruckner’s Second Symphony, which he describes as “the restoration of textual intention according to Bruckner’s true meaning.” (1938, p. 1*; quoted [and translated] in Gault 2011, p. 219).

⁹ On contemporary and historical trends on this matter, see Gault 2011, p. 212–228 and 236–252; Horton 2004, p. 11–16; Korstvedt 2004, p. 121–137; Wagner 1981, p. 15.

¹⁰ A classic example is Cooke 1969.

assessment.¹¹ To be sure, multiple editions of the same numbered symphony, often with significant textual differences, certainly pose a logistical challenge for performers (especially conductors), who are forced to choose among the available alternatives. But textual multiplicity need not be assessed pejoratively: performers may, for example, take textual diversity as an opportunity to counteract the loss of spontaneity that playing the same works season after season brings about. Similarly, Bruckner's penchant for compositional reworking provides an excellent opportunity for musicologists and analysts to enliven their engagement with music, forcing them to confront the dynamic and collective processes that music making involves.

That being the case, the issue under inquiry should be less how to come up with a "solution" to an anomaly in Bruckner's music (i.e., the "Bruckner problem"), and more how to embrace his oeuvre's challenge (i.e., the "Bruckner challenge") to notions about music (e.g., musical "authenticity," "authorship," and "genius") that have been pivotal in shaping the discourses and practices from which textual multiplicity has been tackled.¹² This opens a space for a new approach to textual multiplicity in Bruckner's and others' music, one that moves away from the traditional argumentative boundaries, reconfiguring the epistemological frame of inquiry, towards the ultimate goal of advancing an alternative interpretation in which the "Bruckner problem" becomes the "Bruckner potential."

An appropriate response to the challenges posed by the textual characteristics of Bruckner's symphonies requires a great deal of conceptual rethinking. Both favorable and negative trends in the historic reception of a composer's music are inseparable from the analytical and aesthetic premises on which they build. Therefore, articulating a coherent, critical alternative to the ongoing tendency (even among Bruckner advocates) to construe his oeuvre as "problematic" in a pejorative sense entails breaking from its concomitant premises. Moved by a shared conviction with Julian Horton, who states that "critical difficulties are best addressed as part of a general nexus of analytical, textual, philosophical, historical and social matters," (2004, p. ix) I posit the

¹¹ Along these lines, see the critical reappraisal in Korstvedt 2004, p. 132–137, of the often criticized early published editions of Bruckner's symphonies. See also Aldeborgh 1996, p. 1–12.

¹² See Venegas 2017, p. 75–76.

foundational feature of my enterprise: the inextricable interpretative bond between my analytical apparatus and my critical assessment of the “Bruckner Problem.” Despite my frequent focus on music-theoretical details throughout the article’s second part (and also the last section of the first), my purpose is to address issues that go beyond the strictly theoretical and that infuse the entire field of Bruckner studies. Moreover, given that the intellectual framework underlying past engagements with the “Bruckner Problem” have, to a great extent, a bearing on any other composer’s music, my larger aim is to articulate a new way of thinking about composers’ artistic endeavors.¹³

1.2.1 Text-Critical Issues: The Work as Process (*Umarbeitungen*)

El concepto de *texto definitivo* no corresponde sino a la religión o al cansancio.

—Jorge Luis Borges, *Las versiones homéricas*

For any meaningful discussion of Bruckner’s symphonies to take place, it is essential to clarify in advance which written texts are being referred to.¹⁴

¹³ It is worth noting that the epistemological framework underlying the “Bruckner Problem” was germane to the intellectual climate of 19th-century Europe and, most importantly, the agenda of the nascent academic discipline of modern musicology. Thus, the articulatory role that it has played in the reception history of Bruckner’s and other’s music is paramount: it is part of the epistemic core from which institutionalized European music has disciplined hearing and thinking habits, as well as secured its hegemony, for about two centuries.

¹⁴ If, as Richard Taruskin (2009, p. I: xiv) argues, dissemination “primarily through the medium of writing” is what gives a coherent, complete shape to Western classical music, then the written text is central to its critical study, including the music-theoretical questions on which this article builds, along with their associated analytical tools. Therefore, throughout this article, I will deal by and large with musical works in their philological sense, that is, as recorded through musical notation in written texts. In doing so, I will pursue an analytical perspective that intersects significantly with textual criticism and hermeneutics, so establishing a theoretical discourse continuous with music philology (for a thorough discussion on music philology, see Feder 2011).

My emphasis on the written text does not mean that I am not interested in music’s aurality. Ultimately, any hypothesis about a written text involving musical notation must be tested and judged against that text’s implicit aurality. It is also important to keep in mind that there is a distinction between work and text. As James Grier (2001) points out, “a written text is not self-sufficient; text and work are not synonymous. For most of the Western art tradition, the act of creating a musical work consists of two stages, composing (usually synonymous with the inscription of the score) and performance. These two steps create a distinction between the work, which depends equally on the score and performance for its existence, and the text, either written (a score) or sounding (a performance) that defines a particular state of the work.”

Defining what constitutes the written text(s) of a musical work is a challenging and risky task, though. Any claim about what qualifies as a work's written text is implicitly dependent on a prior conceptualization of that work.¹⁵ In proposing a reorientation to the way textual multiplicity in Bruckner's music is approached, I have chosen to refrain from looking at the Bruckner work as reducible to a pure and static, "authentic" state.¹⁶ I include, then, as written texts of a single musical work "by" Bruckner (e.g., one of "his" symphonies), the composer's finished manuscript score(s) (i.e., manuscript scores indicated by the composer as finished), as well as any other written state of the same musical work, whether authored by Bruckner or someone else (either single- or co-authored). This means that to the written texts concomitant to any past or present conceptions of an official version (*Fassung*) of a work by Bruckner, I add, others: for example, those found in texts deemed as "variants" or "corrections," (Cohrs 2009) as well as those represented by sketches, drafts, copies, *Stichvorlagen* (i.e., models used during the engraving process), and printed editions (brought about with or without Bruckner's consent). Two aspects of this work's all-inclusive textual corpus are crucial to my approach: 1) none of the textual corpus' constituent elements (individual texts) can claim priority as the work's defining text: since all texts concomitant to a work's composition- and editorial-history are part of that work's formative process, then none of the above-mentioned textual states is identical to (or gives as full account of) the work's shaping process; and 2) the work (as the sum of its individual states) is, then, indistinguishable from its shaping process.

In proposing this extended textual corpus as an object of study, I am seeking to accomplish two goals: 1) an unpacking, via an archeology of form, of the formal meanings residing in the various layers comprising the work's

¹⁵ This means, for example, that the premise "*Urtext* edition = *the work's text*" on which a good number of performers still operate today, is valid only within the ideological framework of an implicit conception of the work that substantiates it. For a critical view of what an *Urtext* edition is, see Feder 2011, p. 154–155.

¹⁶ Along similar lines, Julian Horton (2004), for example, commenting on the first printed edition's added dynamic, tempo, and expression markings, points out, that "at least for the Second, Third, Fourth, Seventh, and Eight Symphonies, all of which were published during Bruckner's lifetime and involved varying levels of collaboration or interventions, any concept of a single authoritative text must be abandoned, and we become committed to an irreducible pluralism" (p. 13).

compositional process, as conveyed in its written states; and 2) from an analytical perspective, an approach to the aesthetic dimension of the work as a historically unfolding entity—an aspect of musical works that I believe is all too often disregarded in the music theory/analysis literature.

Envisioned as a potentially boundless, historically and collectively shaped endeavor, the work encompasses everything that is considered to be it (or part of it) by those who participate in its ongoing formation. This perspective raises a methodological question: If the work is conceptualized as a potentially never-ending formative process, how can one meaningfully study its textual mass without getting caught in the impractical vastness, and inapprehensible plurality of its details? Or if the work is pictured as an expanding network of nodes representing the various states of the work (e.g., genre-contextualized extemporizations, written texts, performances, and all sorts of interpretations), how can one, as analyst, navigate that network without losing a minimal sense of direction?

In this regard, rather than attempting a transcendent account of the work, I propose to approach the matter from the subjective experience of an individual who takes part in the work-shaping process (i.e., a transformative agent). Along those lines, when inquiring into what the work's written states mean *en masse*, the core question is which states will comprise the subjective experience. Building on the answer to this question, the analyst can establish a much narrower network, one functioning as a subjective epistemic context that makes meaningful (and hopefully appealing) the aesthetic experience of the work as a process. In this article's second part, for example, I am mainly interested in issues of large-scale form (i.e., the larger-scale coordination of the work's tonal, thematic, and rhetorical layouts) and its expressive and dramatic import. Therefore, I will limit the scope to those states to which we can ascribe the attribute of large-scale form. This means I will not deal with sketches or drafts containing states in which the larger context of the work's formal sections is not yet explicit. Therefore, the epistemic grid in my analyses will be that of an ideal listener who is only familiar with states in which large-scale form already is an ostensible attribute of the work. I will further limit my object of study to two kinds of text that the ideal listener ought to be familiar with: manuscripts closely related to Bruckner's agency, and published and unpublished editions that have

played a significant role in the reception history of his music.¹⁷ This limitation seems reasonable given my interest in compositional processes and reception history.¹⁸

1.2.2 Text-Critical Issues: Organizing and Labeling System¹⁹

In order to consistently distinguish among the various textual states of a single symphony, the following organizing system and nomenclature will be observed throughout this article:

In accordance with the proposed scope of textual sources, two text-state types are discerned on the basis of the text-critical distinction between source and edition: textual states found in 1) the various kinds of manuscripts prepared by Bruckner, his copyists, and other collaborators; and 2) the editions (published and unpublished) based on these manuscripts.²⁰ A textual state belonging to the first type (i.e., manuscripts) will be identified through the name prefix and call number given by the institution that, at present, owns the physical document containing the textual state. For example, the textual state found in the 1866 autograph score that Bruckner left incomplete when working on the Adagio of WAB 101 (today preserved at the Österreichische Nationalbibliothek in Vienna), is identified as Mus. Hs. 40.4000/5, folios 109r–118v.

¹⁷ One exception to this criterion is adaptations and transcriptions (*Bearbeitungen*) for instruments other than those indicated by Bruckner himself (e.g., the two- and four-hand piano reductions by which Bruckner's contemporaries often got to know the symphonies). Nevertheless, the distinction of such arrangements from orchestral scores normally has no relevance to large-scale form.

¹⁸ The sounding texts produced during a work's actual performances are indeed central in shaping (through live concerts and recordings) the listener's idea of it. The inclusion of these texts here, however, would unnecessarily complicate (and thus obscure) the presentation of the method. If desired, the scope of the proposed textual corpus can be expanded or reduced to accommodate individual cases (i.e., texts familiar to a given listener) without changing the underlying analytical method.

¹⁹ This organizing and labelling system is an abridged version of that found in Venegas 2017, p. 80–82, here adapted to account only for the textual characteristics displayed by the examples used in the article's second part.

²⁰ Since these are not facsimile editions of the source documents, type 2 textual states cannot be equated with the type 1 textual states on which they are based.

Since it is not unusual to find two or more type 1 texts prepared around the same time and containing essentially the same reading (e.g., a composition score, its authorial fair copy, and yet another copy prepared by a copyist), it seems both intuitive and practical to group them under a single category. I will use the German word *Zustand* to designate such a textual-state grouping category. For convenience, its initial ("Z") will follow the year in which texts comprising the *Zustand* were prepared (e.g., 1872Z). When two or more *Zustände* are identified with the same year number, lower case letters in alphabetical order denoting the chronology of the *Zustände* are used to distinguish them (e.g., 1872aZ, and 1872bZ).

Textual states belonging to the second type (i.e., editions) are identified by the last name of the editor (placed within square brackets) following the information that specifies the edition's *Zustand* source: e.g., 1872aZ[Haas].²¹

I now put aside textual matters for a moment, and turn to addressing formal-theoretical issues in detail before moving on into the analytical portion of this article.

1.3.1 Formal-Theoretical Backdrop: Hepokoski and Darcy's Dialogical Approach and the Theory of Deformation

My perspective on matters of musical form builds primarily on the dialogical approach of James Hepokoski and Warren Darcy.²² It also draws on William Caplin's form-functional perspective,²³ especially when dealing with small- and medium-scale formal units. Since the theoretical systems developed by these authors have become *lingua franca* for theorist and analysts of tonal music, I will presuppose that the reader is familiar with their theoretical

²¹ When the editor has based an entire edition on a single manuscript (i.e., a single type 1 textual state), I will adhere to my method of indicating the edition's sources through the involved *Zustand* in order to avoid indicating the edition's source by way of the name prefix and call number of the manuscript. This means that, in these cases, the textual state is undistinguishable from the *Zustand* to which it belongs.

²² See Hepokoski; Darcy 2006.

²³ See Caplin 1998 and Caplin 2009, p. 21–40. Caplin's form-functional perspective builds on the concept of formal function first advanced by Arnold Schoenberg and further developed by his pupil Erwin Ratz (see Schoenberg 1967 and Ratz 1973).

apparatuses and the technical vocabulary they deploy. Before moving forward, though, a word on methodological issues and key concepts related to their work is needed.

To be sure, the fact that Hepokoski and Darcy's, and Caplin's treatises on form are exclusively concerned with the repertoire of high Classicism²⁴ may raise methodological concerns when it comes to applying their ideas to the analysis of Bruckner's music (or any other post-Beethovenian repertoire). Nevertheless, it is a fact too that Bruckner's music (and also a great portion of the mid- and late-Romantic repertoire) displays, at least at the technical level, a number of formal traits continuous with those of Classical music.²⁵ Moreover, the issue at stake has not passed unnoticed to the scholarly community: In the last ten years, many thorough reflections have come to light on the pertinence of using Hepokoski and Darcy's, and Caplin's analytical systems as 1) the foundation for analyzing post-Beethovenian repertoires (within and outside the Austro-Germanic sphere of influence) or 2) stepping-stones in building a full-blown theory of romantic form.²⁶ As a result, we have deepened our understanding of the strengths, limitations and potential of these author's work for analyzing the highly individualized forms of late Romanticism. Consequentially, and as proved by the quality and quantity of studies devoted to nineteenth-century music that draw on Hepokoski and Darcy's, and Caplin's work,²⁷ we have developed an acute and informed judgment for making decisions about what is useful and what is not, as well as what needs to be adapted or nuanced, when applying their ideas to post-classical repertoires. Thus, absent a theory of romantic form and despite

²⁴ In Hepokoski; Darcy 2006, the authors do engage with post-Beethoven repertory (e.g., Schubert's, Mendelssohn's, and Brahms's music); however, their discussions of that repertoire are mostly confined to footnotes.

²⁵ For example: 1) a conspicuous deployment of conventional small- and medium-scale syntactical arrangements (e.g., sentential and small-ternary structures) either as actual compositional realizations of conventional formal types or as norm-defining springboards for variants and deviations, 2) a marked reliance on a limited repertoire of large-scale formal plans (e.g., sonata form), and 3) the articulation of these through tonal means (e.g., cadences).

²⁶ See, e.g., Horton 2005, 2011 and 2004, p. 95–96 and 152–156. See also Wingfield 2008, Vande Moortele 2013, Neuwirth 2011, and Horton; Wingfield 2012. For a critical summary of these authors' critique to Hepokoski and Darcy's approach and a response focused on Bruckner's music, see Venegas 2017, p. 85–106.

²⁷ See, e.g., Monahan 2015, Davis 2017, Vande Moortele, 2017, Horton 2017, Pomeroy 2011, Schmalfeldt 2011, Darcy 1997, and Hepokoski 2012 and 2021, p. 233–265.

one's individual stance as to what extent late-18th-century hearing habits play a role in mid-to-late 19th-century music, it seems methodologically reasonable and analytically compelling to build upon the premise that, if handled with caution, the ideas of Hepokoski, Darcy, and Caplin, as different as they are, can effectively complement each other and together constitute powerful tools in interpreting Bruckner's music.

As mentioned above, my perspective on musical matters builds primarily on Hepokoski and Darcy's *dialogic* conception of musical form.²⁸ Central to these author's perspective is the premise that the work's meaning resides in two simultaneous (and potentially interactive) dimensions. On the one hand, the features that are specific to a given work alone (its idiosyncrasies) are the source of its *immanent meaning*. On the other hand, the features that a work shares with other works give rise to its *relational meaning*.²⁹ It is crucial to note here that immanent and relational meanings work hand in hand: Only through comparing a work's similarities and dissimilarities to other works can one grasp what is unique about a given work (i.e., its particular realization within broader regulating practices) and make sense of it within a larger communicative musical system.

If, as Hepokoski Darcy propose, the work's meaning extends beyond the constrains of its acoustic structure, "for the purpose of structural analysis [...] [music] exists most substantially in the ongoing dialogue that it may be understood to pursue with its stated or implied [formal] genre," (2006, p. 605) and thus, "perceptions of form are as much a collaborative enterprise of the listener or analyst as they are of the composer" (Hepokoski 2009b, p. 71). Along these lines, to approach a work as if it were "a monadic entity to be considered only in terms of its own internal events is," as Hepokoski argues, "methodologically naïve" (2009a, p. 181).³⁰ Thus, the concept of *dialogical form*

²⁸ On the dialogic approach and its intellectual background, see Hepokoski; Darcy 2006, p. 603–610.

²⁹ On immanent and relational meaning, see Hepokoski 2012, p. 221; and 2009a, p. 182.

³⁰ When it comes to the assessment of the multiple (even contradictory) strata of meanings to be drawn from a musical work, analytical approaches concerned only with a work's immanent meaning are valid to the extent that musical works are capable of producing answers to virtually any question. Nonetheless, as Hepokoski and Darcy state, "shallow questions call for shallow answers" (2006, p. 608), and thus, such approaches all too often produce analytical commentary flawed by questionable assumptions, "stopping short of addressing more complete and

(i.e., “interpreting a work as participating in a dialogue with established traditions” [Hepokoski 2012, p. 220]) should be understood first as the conceptual bridge between generative and conformational approaches³¹; and second, as a critical reaction to previous modes of analytical inquiry—a reaction that seeks to propose a new standpoint from which “more informed, more text-adequate, more historically relevant, and more appropriate questions” can be posed (Hepokoski 2009c, p. 106).³²

It might be thought that the dialogical approach is ultimately a sophisticated conformational approach. However, conceiving a work’s form *as a dialogue* between that work and the norms of the implied formal genre at hand (e.g., sonata form) precludes by definition the idea that the work’s form needs to conform to an ideal model.³³ In the process of making choices (the compositional process), a composer can decide, for example, to “override all of the default options entirely, thus refusing to follow any of the options that were socially provided” (Hepokoski; Darcy 2006, p. 609). In fact, as Hepokoski and Darcy point out,

on both the production and reception side of things, as part of the compositional “game” it was *expected* (“normative”) that, within the then-current boundaries of taste and decorum, a composer would apply conceptual force here and there to strain or alter what is otherwise a bland or neutral set of conventional options and procedures [...]. Applying such forces and purposeful generic “misshapings” is just what can give a composition

productive questions of form, including such matters as [...] the relation between historically produced musical structures and a responsible, critical hermeneutics” (Hepokoski 2009c, p. 106).

³¹ On the distinction between generative and conformational approaches, see Bonds 1991, p. 1–14.

³² Worth pointing out is that Hepokoski and Darcy’s concept of dialogical form is not entirely new to music-theoretical discussions: as Janet Schmalfeldt points out, the idea of dialogical form might be seen “as an attractive new expansion of an old idea, one that Adorno in particular developed dialectically through his notion of mediation (*Vermittlung*)” (2011, p. 16)—on Adorno’s notion of mediation, see *ibid.*, p. 30–31. It is, nonetheless, thanks to the more systematic formulation of Hepokoski and Darcy that the dialogical approach has made a significant impact on the mainstream music-theoretical discourse (though more so in North America than in Europe and Latin America).

³³ On the distinction between dialogic and conformational approaches, see Hepokoski; Darcy 2016, p. 10–11 and 615–616; and Hepokoski, 2009b, p. 72. See also the discussion on conformational approaches to form and Sonata Theory in Straus 2006, p. 126–136, especially 128–129 n39.

personality, memorability, appeal, interest, [and] expressive power (ibid., p. 617).

Thus, an important aspect of generic expectation is the assumption that the exemplars from which a formal genre is reconstructed do not need to correspond at every moment to the genre's norms. Consequently, as paradoxical as this might be, instances of the counter-generic are not only relatively frequent occurrences but even desirable effects within generic exemplars.³⁴ In Hepokoski and Darcy's dialogic approach, when such instances occur, the composer is said to have chosen to produce a deformation: the "stretching or distortion of a norm beyond its understood limits" (2006, p. 11).³⁵ In their work's strictly analytical-hermeneutic context, the term deformation carries no evaluatively negative connotations. Instead, it identifies a compositional device meant to produce an intentional expressive effect, one that "lies in the tension between the limits of a competent listener's field of generic expectations and what is made to occur—or not to occur—in actual sound" (ibid., p. 614).³⁶

Genres change over time, and so do the aesthetic concerns that frame them. The relation between norm and exception, and the structural importance allotted to deformational procedures within genres, are both contingent upon their historical context. Therefore, hearing Bruckner's sonata-form movements dialogically and as genre exemplars means situating them in their contemporaneous aesthetic context. Along these lines, Hepokoski suggests three factors as fundamental to understanding the mid- and late-nineteenth-century symphonic genre: 1) "the emergence of the academic recognition and honouring" of the Austro-German sonata construct; 2) a marked preoccupation with the idea of tradition—"or, more to the point, the struggle over the presumed ownership of that tradition"; and 3) a compositional practice characterized by "*ad hoc* designs" and "individualized shapes" (2002, p. 424–425 and 447). Developing this characterization of symphonic practice in the second half of the 19th century, Hepokoski has advanced a theory of *sonata deformation*, which allows for a more

³⁴ Along similar lines, Kofi Agawu states that "the postulation of a summary Classic style [...] must yield in actual execution to the prospect of a dialectical interplay between norm and realization" (1991, p. 127).

³⁵ On deformation, see Hepokoski; Darcy, p. 614–621.

³⁶ On connotations of the term deformation that Sonata Theory avoids using, see ibid., p. 11 n22.

nanced and historically informed understanding of 19th-century formal procedures:

A sonata deformation is an individual work in dialogue primarily with sonata norms even though certain central features of the sonata-concept have been reshaped, exaggerated, marginalized or overridden altogether. What is presented on the musical surface of a composition (what one hears) may not be a sonata in any ‘textbook’ sense, and yet the work may still encourage, even demand, the application of one’s knowledge of traditional sonata procedures as a rule for analysis and interpretation (Hepokoski 2002, p. 447).

At the core of sonata-deformation theory’s hermeneutic framework is an emphasis on the play between tradition as a regulative principle and individuality as the trademark of compositional practice. Given the necessary presence of generic markers to set the sonata dialogue in motion, the matter is less about whether the piece “is” a sonata or not—in a conformational sense—than about following its ongoing dialogue with sonata-generic expectations. According to this view, 19th-century sonatas—as opposed to classical ones—are the result of a characteristic “disassociation of style and form” (Horton; Wingfield 2012, p. 83): a compulsive, centrifugal striving for individuality dialectically coupled with a self-conscious, centripetal sense of belonging.

1.3.2 A Two-Dimensional Dialogic Approach: Outward vs Inward Dialogue

Due to its predisposition towards both musical detail and larger issues of cultural meaning, Hepokoski and Darcy’s approach to musical form is an invaluable tool in accounting for the highly individualized formal practices of 19th-century composers and their participation in a larger communicative system. In this sense, the role that their perspective might play in providing clues to Bruckner’s formal procedures should not be downplayed. However, even though Hepokoski and Darcy’s dialogic approach overcomes the analytical shortcomings of traditional assessments of Bruckner’s forms, their approach is not explicitly concerned with textual multiplicity. Thus, advancing a counterdiscourse to the “Bruckner problem” from Hepokoski and Darcy’s perspective will require further theorizing.

Along these lines, I propose conceiving formal-expressive meaning in Bruckner’s symphonies as growing out of a *two-dimensional* dialogic synergy involving two kinds of dialogic interlocutors for each version of a given work:

On the one hand is the dialogic principle of Hepokoski and Darcy, in which each individual *Zustand* interacts with its implied formal genre. I characterize this kind of dialogue as fundamentally *public* insofar as it arises from the interplay between the individual exemplar and its collective counterpart, a larger established repertoire (the exemplar's otherness, so to speak). Consequently, I designate this dialogic dimension as the *outward dialogue*. On the other hand, I suggest considering a second kind of dialogue; one among the various *Zustände* adding up to the shaping process of a single Bruckner symphony. I characterize this second dialogic dimension as fundamentally *private* insofar as its capacity to produce meaning is not contingent on the interaction of the individual exemplar with outside *others* (i.e., other generic exemplars) but instead with its many *selves* (its alter egos, so to speak). Accordingly, I designate this dialogic dimension as the *inward dialogue*. In accordance with the view advanced in section 1.2.1, the movement's inward space is thus composed-out by multiple creative agents. Working hand-in-hand, the movement's multiple creative agents then bring about the network of *Zustände* that comprise the movement's evolving *Anlage*: a collectively-composed meta-text that both enables and constrains (regulates) interpretations of the movement's immanent meaning.

From a hermeneutic standpoint, the compound dialogic approach that I am describing has the advantage of both accounting for Bruckner's formal idiosyncrasies (outward dialogue) and turning the "Bruckner Problem" into a Bruckner Potential (inward dialogue): by establishing a conceptual frame that both arises from and substantiates a much-needed distancing from the Bruckner Problem, my two-dimensional dialogic approach provides an analytical tool that clears the way for a more nuanced and sympathetic understanding of Bruckner's symphonic forms and their textual characteristics.

Part II. The Analyses

So one might say that I'm looking at history not as an antiquarian, who is interested in finding out and giving a precisely accurate account of what the thinking of the seventeenth century was—I don't mean to demean that activity, it's just not mine—but rather from the point of view of, let's say, an art lover, who wants to look at the seventeenth century to find in it things that are of particular value, and that obtain part of their value in part because of the perspective with which he approaches them.

—Noam Chomsky, *Human Nature: Justice vs. Power*

2.1 An Introductory Example: WAB 101/II-1866aZ&1866bZ

Before discussing in detail the article's central example (WAB 103/II), I will introduce my two-dimensional dialogic approach with reference to a simpler example, WAB 101/II with its two earliest *Zustände*. This will provide a concise demonstration of the interpretative potential of my approach.

Over the years, Bruckner wrote many *Zustände* of the slow movement of his first Symphony (WAB 101/II).³⁷ The earliest two were both finished on 1866, thus, I identified them as WAB 101/II-1866aZ and 1866bZ.³⁸ As shown in Figs. 1 and 2, there is one major difference between the overall form of the two *Zustände*: the excision of the developmental space in WAB 101/II-1866bZ, a change that entails a shift from a Type 3 to a Type 1 sonata.³⁹

| Exposition [mm. 1–49] | | (Episode + RT) [mm. 50–67] | Development [mm. 68–119] | Recapitulation (unfinished) [mm. 119–...] | |
|--|--|-------------------------------|------------------------------|---|---|
| First Part (P-TR) [mm. 1–30] II:TA MC | Second Part (S) [mm. 30–49] V:PAC EEC | 3 4 | Fully Rotational (P-S) | First Part (P-TR) [mm. 119–148] V:TA MC? | Second Part (S) [mm. 148–...] (incomplete) |

Figure 1: WAB 101/II-1866aZ: Form⁴⁰

³⁷ On WAB 101, see Grandjean1991, Howie 2002, p. 1: 129–130 and 194–197, Harten 1996, p. 412–414, and Steinbeck 2010.

³⁸ For a thorough description of the textual sources corresponding to WAB 101/II-1866aZ and 1866bZ and their compositional chronology, see Venegas 2017, p. 132–135.

³⁹ For a detailed discussion on the formal organization of WAB 101/II-1866aZ and 1886bZ, see Ibid., 136–142.

⁴⁰ In both Figs. 1 and 2, the abbreviation TA stands for “Tonic Arrival” (see list of abbreviations on p. 237).

| Exposition (failed) + RT [mm. 1–115] | | | Recapitulation [mm. 115–167] | | |
|--|---------------------------------|--|--|--|-------------------------|
| First Part (P-TR) [mm. 1–30] II:TA MC | S ^{1.1} [mm. 30–43] | Second Part S ^{1.2} + RT [mm. 44–115] | First Part (P-TR) [mm. 115–141] V:TA MC | Second Part (S) [mm. 141–158] I:PAC ESC | Anhang [mm. 158–167] |

Figure 2: WAB 101/II-1866bZ: Form

This, however, is not the only significant difference. Whereas in 1866aZ a strongly articulated EEC establishes a clear boundary between the end of the exposition and the beginning of an episode, this strong formal articulation is bypassed in 1866bZ. Here, the presumptive EEC's cadential dominant is interrupted by the entrance of a large module (S^{1.2}, in an expanded small ternary form) comprising a thematic trope of material from the episode of 1866aZ and newly composed material. As shown by the double arrow in Fig. 3, this process results from the relocation, within the piece's temporal grid, of material (X) from the episode. This revising technique, which I characterize as form-functional transformation via temporal relocation,⁴¹ here comprises a move from developmental (post-EEC) space to expositional (pre-EEC) space.

⁴¹ This technique is related to, though distinct from, the phenomenon Janet Schmalfeldt and William Caplin (among others) refer to as "formal reinterpretation." As Caplin explains, in some cases "a given group can at first be understood as expressing a particular function but then be reinterpreted as another function" (1998, p. 4). One classic example of this situation is when a perceived continuation function retrospectively becomes cadential function. Such *formal reinterpretation* is defined by Schmalfeldt as "the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context" (2011, p. 9).

Perhaps only implied in the latter quote, but central to Schmalfeldt's conception, is that, at the moment of form-functional transformation (when one function becomes another one), the confirmation (or full realization) of the initial form-functional perception is still nothing but a prospection. This means that the two formal functions involved in the reinterpretation cannot be thought of as self-sufficient, fully realized sound events. As Schmalfeldt rightly points out, "at the moment when one grasps that becoming has united a concept and its opposite [i.e., the two formal functions] [...] then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And what has become is a new moment—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical determinations, in the sense that the one cannot be thought, or posited, outside the context of the other" (ibid., 10). This certainly does not extend to the instances of form-functional transformation often found in the inward space of Bruckner's works. On the one hand, the instances to which Schmalfeldt refers occur within a linear, one-dimensional space, and thus entail a *diachronic* experience of the form-functional transformation. On the other, the form-

From the perspective of the movement’s outward dialogue, one immediate expressive consequence of failing to attain EEC in 1866bZ is the dramatization of the ESC. The dialogical synergy of the movement’s inward and outward dialogues further heightens this dramatic trajectory: From a rotational perspective, the episode in 1866aZ may be characterized as a pararotational space, that is, an action zone comprised of thematic material neither present in the referential rotation nor substituting for (writing over) any component of that rotation. The transference of material from episode to exposition in WAB 1866bZ may then be expressively construed as a rotational disruption: in the movement’s inward space, the impression is that material from outside the movement’s rotational limits managed to break the expositional bounds before S was able to secure the EEC, which ultimately produces a failed exposition. Within such a dramatic scenario, completion of a successful sonata trajectory (attainment of ESC) would require the removal of the pararotational element from the recapitulation. And indeed, the recapitulatory S space becomes the site of high drama: as if having called for backups, it is reinforced by a marching troop of brasses (m. 151). Thus it builds momentum to overcome the intrusive “other,” and achieve a hard-won ESC.

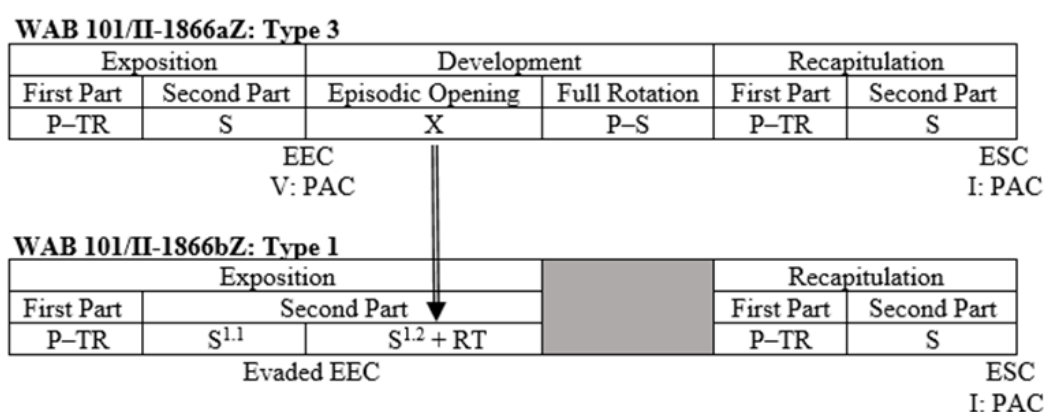


Figure 3: WAB 101/II: Form-Functional Transformation via Temporal Relocation

functional transformation shown in Fig. 3 occurs within a multidimensional space (the work’s evolving *Anlage*) that comprises competing form-functional perceptions fully realized in actual sound, and thus entails a *synchronic* experience of two paradigmatically related modules.

2.2 Symphony in D minor, WAB 103/II

I move now to this article's central piece, the slow movement of Bruckner's Third Symphony (WAB 103/II). This movement is one of the most extreme examples of textual multiplicity in Bruckner's symphonic movements. No other slow movement exhibits such drastic differences between its first and last *Zustände*. Let us then begin by defining the textual corpus we are dealing with.

2.2.1 The Textual Corpus: *Zustände* and Formal Stages

Between 1872 and 1889 Bruckner produced six manuscript *Zustände* of this movement: WAB 103/II-1873Z, 1874Z, 1876Z, 1877Z, 1878Z, and 1889Z.⁴² Additionally, two editions of WAB 103 were published during Bruckner's lifetime: the first one (Bruckner's first published symphony) was based on 1878Z; the second on 1889Z, but including changes made (possibly) by Joseph Schalk.⁴³ In total, then, eight *Zustände* came about before Bruckner's death.

During the course of the 20th Century, five editions of WAB 103 were published as part of the AGA (i.e., *Alte Bruckner-Gesamtausgabe*) and NGA series: four of them (based on 1873Z, 1876Z, 1877Z, and 1889Z, respectively) were edited by Leopold Nowak,⁴⁴ and the remaining one (based on 1878Z) by Fritz Oeser.⁴⁵ Finally, William Carragan has prepared an edition based on 1874Z—the only manuscript *Zustand* that remained unedited—which has not yet been published,

⁴² On the textual states comprising each of these six *Zustände*, see Thomas Röder's voluminous critical report on WAB 103 (Röder 1997, *passim*; especially the summary in p. 18–19).

⁴³ Rättig; Bruckner 1879—henceforth WAB 103-1878Z[Rättig]; and Schalk 1890—henceforth WAB 103-1889Z[Schalk].

⁴⁴ These are: Nowak 1977—henceforth WAB 103-1873Z[Nowak]; Nowak 1980—henceforth WAB 103-1876Z[Nowak]; Nowak 1981—henceforth WAB 103-1877Z[Nowak]; and Nowak 1959—henceforth WAB 103-1889Z[Nowak].

⁴⁵ Oeser 1950—henceforth WAB 103-1878Z[Oeser]. In 1944, Robert Haas prepared an edition of WAB 103 for the AGA based on a manuscript belonging to 1873Z (II Co 2 [Bayreuth, Nationalarchiv der Richard-Wagner-Stiftung; henceforth B-NRWS). Haas's edition was performed on December 1, 1946 by the Orchester der Bühnen der Landhauptstadt Dresden under the baton of Joseph Keilberth. That performance represented both the premiere of 1873Z and the first and last performance of Haas's edition. Haas's edition was never published, and, aside from an extant uncorrected set of proofs, all of its material (including the engravings) were lost during the Second World War.

but was recorded in 2011 and 2014.⁴⁶ In sum, for the purposes of this article, the textual corpus of WAB 103/II comprises no less than fourteen *Zustände*.⁴⁷

| Zustand | Sonata Type | Stage |
|---|---|--------|
| WAB 103/II-1873Z[Nowak] ^A | Type 3 with <i>Vollendung</i> | Early |
| WAB 103/II-1874Z[Carragan] ^C | | |
| WAB 103/II-1876Z[Nowak] ^D | | |
| WAB 103/II-1877Z[Nowak] ^E | | |
| WAB 103/II-1878Z[Oeser] ^F | Type 2 with <i>Vollendung</i> | Middle |
| WAB 103/II-1889Z[Nowak] ^G | <i>Outward dialogue</i> : Type 3 (truncated recapitulation) with coda and/or <i>Inward dialogue</i> : aborted Type 3 (no recapitulation) with <i>Vollendung</i> | Late |
| WAB 103/II-1889Z[Schalk] ^H | | |

^A Edition based on the 1874 signed score copy that Bruckner presented as a gift to Richard Wagner (II Co 2 [B-NRWS])

^C Edition based on the 1874 score copy that Bruckner kept to himself, which contains autograph additions (Mus. Hs. 6033 [V-ÖN])

^D Bruckner detached several pages from the extant autograph score comprising 1876Z (A 173 [V-GM]) and used them as part of an autograph score belonging to 1877Z (Mus. Hs. 19.475 [V-ÖN]). While preparing WAB 103/II-1876Z[Nowak], the editor identified the exported pages and restored the original form of A 173 (V-ÖN).

^E Edition based on the final form of the 1873–1878 autograph score (Mus. Hs. 19.475 [V-ÖN]).

^F Edition based on the *Stichvorlage* prepared by Bruckner and an unknown copyist (Mus. Hs. 34.611 [V-ÖN]) for the first published edition (WAB 103/II-1878Z[Röttig]).

^G Edition based on the *Stichvorlage* (Mus. Hs. 6081 [V-ÖN]) prepared by Bruckner for the second published edition (WAB 103/II-1889Z[Schalk]).

^H Edition based on the same *Stichvorlage* than WAB 103/II-1889Z[Nowak], but including various changes made (possibly by Joseph Schalk) before the final printing.

Table 1: Textual Sources of WAB 103/II

But there is no need here to consider all fourteen *Zustände* in detail: all manuscript *Zustände* of WAB 103/II have served at some point as the basis of an edition, and with one exception (WAB 103/II-1889Z[Schalk]) the textual readings of these editions faithfully follow the manuscript sources. We can therefore make the textual corpus at hand more manageable by confining our study to the edited

⁴⁶ See Gerd Schaller and the Philharmonie Festiva (Profil, CD PH 12022 [2011]) and Warren Cohen and the MusicaNova Orchestra (MusicaNova CD). On Carragan’s edition (henceforth WAB 103-1874Z[Carragan]), see Carragan 2013.

⁴⁷ Even this number could be greatly expanded if one were to add the many reprints published since 1903 by publishing houses other than the Musikwissenschaftlicher Verlag. A comprehensive list of the scores of WAB 103 published after Bruckner’s death can be found in Röder 1997, p. 346–362.

scores. This will suffice for the specific analytical focus of this section, which is on the synergy between large-scale form and textual multiplicity. We can narrow the textual scope further by setting aside one of the two editions based on 1878Z (Rättig and Oeser), since, as Gault states, “Oeser’s edition is [...] a reissue of the 1879 Rättig printing with errors corrected” (2011, p. 239). Oeser also has the advantage of being more easily accessible as both score and recording.⁴⁸

Proceeding in this way, we can trim the textual corpus of WAB 103/II to seven distinct *Zustände*, which function here as the movement’s evolving *Anlage*. Using formal type as a criterion, I have organized the seven under the three broader formal stages shown in Table 1: 1) an early stage comprising WAB 103/II-1873z[Nowak], 1874Z[Carragan], and 1876Z[Nowak]; 2) an intermediate stage containing WAB 103/II-1877Z[Nowak] and 1878z[Oeser]; and 3) a late stage comprising WAB 103/II-1889Z[Nowak]&[Schalk].

2.2.2 Late Stage (WAB 103/II-1889Z[Nowak]&[Schalk]): Outward Form

Among the different *Zustände*, those of the last formal stage are especially interesting in terms of their formal organization (see Figs. 4 and 5). From the perspective of the movement’s *outward dialogue*, WAB 103/II-1889Z[Nowak]&[Schalk] may be parsed into four large-scale formal spaces: 1) a four-key (!) two-part exposition; 2) an S-based development (half rotation); 3) a truncated recapitulation (aborted before moving beyond the P-theme space);⁴⁹ and 4) a 23-measure coda.

From a structural-expressive viewpoint, the truncated recapitulation constitutes an unexpected turn in the movement’s dramatic trajectory: the absence of recapitulatory S- and C-spaces thwarts the attainment of ESC, thus producing a *sonata failure*. Interestingly, the lack of the recapitulatory second part in 1889Z rules out not only *attaining* ESC but even *the very possibility of attempting* it. This compositional strategy conveys a distinctive dramatic effect: the movement’s implicit *persona* (the sonata itself),⁵⁰ so to speak, prematurely

⁴⁸ There are no recordings based on WAB 103-1878Z[Rättig].

⁴⁹ On recapitulations with suppressed S/C space, see Hepokoski; Darcy 2006, p. 247–249, and Caplin 1998, p. 216.

⁵⁰ On the work/movement-persona, see Monahan 2013, especially p. 328–329.

concedes either the inability to deliver or lack of interest in accomplishing a successful sonata trajectory, and thus decides to pursue a different path (one entailing a structural deformation). To distinguish this specific dramatic trajectory (no recapitulatory S-space) from milder instances of sonata failure, I characterize it as an instance of *premature failure*. Inasmuch as the conditions of sonata failure can be said to have been prematurely accepted or foreshadowed, this entails, both expressively and structurally, a trajectory of *collapse*.

Part I
1 17 23 29
P TR
(I-^bVI-IV^b-I)
Tonic
Plagal Prolongation
V: HC
MC'

Part II
41 73 86
S^{1.1} S^{1.2} C
II[#]: PAC
EEC

I V ^bIII II[#] = (V/V)

Figure 4: WAB 103/II-1889Z[Nowak]&[Schalk]: Exposition

| Exposition (mm. 1–96) | | Development (mm. 96–153) | Truncated Recapitulation (mm. 154–199) | Coda (mm. 200–222) |
|------------------------------------|---|-----------------------------|--|-----------------------|
| First Part (P/TR) (mm. 1–40) | Second Part (S/C) (mm. 41–96) II:PAC EEC | Half Rotation (S/C) | First Part (P) No S = No ESC (Premature Sonata Failure) | (P) |

Figure 5: WAB 103/II-1889Z[Nowak]&[Schalk]: Overall Outward Form

The form displayed in the outward dimension of 1889Z is indeed striking. The excision of S/C-space, and the unsettlingly developmental character when P material returns in mm. 154ff raise more questions than answers. Because WAB 103/II-1889Z constitutes just one slice of the movement's inward identity, a consideration of all its previous *Zustände* may help us find some clues as to the broader formal meaning of this truncated structure. Before further discussion of the outward form of 1889Z, I will explore an alternative interpretation that shifts the focus from the outwardness of the specific *Zustand* to the inwardness of the movement's multiple versions.

2.2.3 WAB 103/II: Inward Space

2.2.3.1 Early Stage: 1873Z[Nowak]

As shown in Fig. 6, the earliest *Zustand* of the movement (1873Z[Nowak]) is in dialogue with the Type 3 sonata. Here, however, a peculiar formal twist problematizes (deforms) an otherwise straightforward form: following the end of the recapitulation, an appended formal space encompasses an extended iteration of the P-theme followed by a coda. As this appendage appears in nearly all of Bruckner's slow movements from WAB 102 on,⁵¹ a brief digression to consider its characteristic features and formal function is in order.

| Exposition (mm. 1–88) | | Development (mm. 89–128) | Recapitulation (mm. 129–224) | | Vollendung (mm. 225–278) | |
|------------------------------------|-------------------------------------|-----------------------------|------------------------------------|----------------------------------|--|---------------------------|
| First Part (P/TR) (mm. 1–32) | Second Part (S/C) (mm. 33–88) | Half Rotation (S/C) | Frist Part (P/TR) (mm. 129–160) | Second Part (S) (mm. 161–224) | P ^{voll} (P) (mm. 225–256) | Coda (P) (mm. 257–278) |

Figure 6: WAB 103/II-1873Z[Nowak]: Overall Form

----(*A Momentary Lapse of Reason: The Vollendung as an Illusory State of Fulfillment*)----

At its most characteristic, this formal idiom comprises a two-stage process. The first stage is the above-mentioned third and final extended presentation of the P-theme. This P-based zone is distinguished from those in the exposition and recapitulation by its steady process of goal-directed textural, dynamic, and harmonic intensification (*Steigerung*).⁵²

Dramatically speaking, the P-based insertion as a whole, and its climax or apex in particular, are central to Bruckner's mature slow-movement formal conception. In WAB 103/II-1873Z, for example, the recapitulation, despite engaging S modules, is unable to secure the tonic, let alone attain ESC.⁵³ The

⁵¹ The main exception is the Sixth Symphony, whose recapitulatory P-theme nonetheless draws on rhetorical aspects characteristic of this post-recapitulatory thematic iteration.

⁵² The only exception is WAB 102/II, which exhibits the process in an early, incompletely realized variant. Here the two P-modules are treated separately (P^{1.1}, mm. 150ff; P^{1.2}, mm. 170ff); moreover, neither module gathers momentum towards a climactic apotheosis as the Adagios from WAB 103 onwards do.

⁵³ Note that the recapitulatory S^{1.1} "plugs into" the home-key tonic at m. 177. Attainment of this tonal level nonetheless fails to secure a corresponding authentic cadence. See also mm. 213–224

resulting nonresolving recapitulation (“failed sonata”) then places the burden of restoring and securing the tonic on the next available formal space: the P-based *Steigerung*, lying beyond the boundary of the sonata process. As Warren Darcy writes in connection with the Bruckner's outer movements, once sonata failure has occurred, “the coda is the music’s final chance to attain the redemption that traditional sonata methods have been unable to secure [...]. It is a ‘do or die’ situation: somehow the music must draw strength from outside the sonata form proper and, in a sense, transcend that form in order to achieve a breakthrough from darkness into light” (1997, p. 275–276). Similarly, in the context of 1873Z, the recapitulation’s generic failure triggers a new rotation and a renewed opportunity to achieve structural completion. As it turns out, though, this proves incapable of accomplishing its task, and in the end only succeeds in sealing the movement’s tragic fate.

The P-based *Steigerung*, however, leaves a strong mark on the movement’s unfolding drama: In attempting to deliver generic completion, it gradually builds momentum towards a dramatic apex (see mm. 233–240), which rescues the movement’s trajectory from the lost path of the preceding failed recapitulation. In the midst of a triumphant tutti *fortissimo*, the immediate impression created is that of finally having attained the movement’s long-delayed dramatic completion; a moment of revelation, in which the sonorous splendor of the redemptive brass choir leads the orchestral body’s sublime breakthrough into the light.⁵⁴

Dramatic fulfillment, however, is a delusion. As became Bruckner's custom in these P-based *Steigerungen*, the climax in 1873Z is supported by a 6/4 chord in C major.⁵⁵ Since both key and chordal inversion are harmonically irrational in this context, I construe the *Steigerung*'s dramatic apex as a

(S^{1,2}), and compare with mm. 65ff (their expositional equivalent), which eventually do succeed in articulating EEC (PAC at m. 78).

⁵⁴ The deployment of this post-recapitulatory P-based *Steigerung* infuses Bruckner’s Adagios with a broader ritualistic narrative characterized by the emergence of gradually intensified rebeginnings. Here, each return to the P-theme is a structural pillar within a sonata-formal dramatic trajectory in which a process of gradual revelation fuels the large-scale teleological drive underlying Bruckner’s Adagios from WAB 102 onwards.

⁵⁵ See, the C-major 6/4s in WAB 104, 105, and 107. In WAB 108 (1887Z), the C-major chord appears in first inversion.

momentary “lapse of reason”: a temporary, illusory state of fulfillment, or vision of an ideal world yet to come.⁵⁶

Following the P-based *Steigerung* comes the second stage of the movement’s conclusion, the coda proper, a shorter segment of recessive character that compensates for the monumental, energy-gaining profile of the first stage. It is at the end of this section that the movement finally restores the home-key tonic. Cadential confirmation (mm. 271–273) brings no sense of overcoming, though; instead, an atmosphere of benediction or peaceful resignation.⁵⁷

Although locally the P-based *Steigerung* and coda are distinct units, at a higher level they combine to form a single formal section (equivalent to exposition, development, or recapitulation). I characterize this large-scale formal space as the *Vollendung* (completion). Furthermore, in order to differentiate the role of the P-theme in its first part from those in the exposition and recapitulation, I add a new term to Hepokoski and Darcy’s standard Sonata Theory terminology: P^{voll}, or the *Vollendungshauptthema*, to capture its effect of a climactic, cathartic version of the P-theme.⁵⁸

An important rhetorical aspect of the P^{voll} is its dialogical engagement with the large-scale architectural principle of rotation, which, as Hepokoski and Darcy explain, “underpins a generous diversity of forms that may be distinguished from one another on more surface-oriented levels” (2006, p. 612). It is precisely

⁵⁶ C major, the breakthrough key, is alien to the home key of the Adagios of WAB 103 (E-flat major), 107 (C-sharp minor), and 108 (D-flat major), the three clearest examples of the *Steigerung*/dramatic trajectory I am describing here. This suggests that a pitch-specific association of C major with the idea of transcendence, regardless of the surrounding context, is central to the formal content and expressive import of the P-based *Steigerung*.

⁵⁷ More to the point, as Constantin Floros notes, “towards the end of the Adagio, Bruckner quotes the sleep motif from Wagner’s *Walküre* [mm. 266–269], surely no coincidence: my sense is that the quotation refers to the memory of the deceased mother [i.e., Bruckner’s mother], conveying the concrete meaning of ‘Rest in peace.’” (2011, p. 116). Floros’s argument is compelling, all the more so considering that Bruckner explicitly associated the S-theme (S^{1.1}) of WAB 103/II with the memory of his mother: According to Josef Kluger (Bruckner’s late-in-life friend), Bruckner wrote the Andante theme (mm. 33–64) of the slow movement’s S-space on October 15, 1872, in memory of his mother—who had died almost 12 years before, on November 11, 1860 (see Howie 2002, p. 1: 272, and Göllicher; Auer 1922–1937, p. 4/1: 260ff). NB: October 15th is the feast day of St. Teresa of Avila in the Christian calendar of saints; accordingly, it was the name day of Bruckner’s mother, Theresia Helm.

⁵⁸ For a paradigmatic example of the Brucknerian *Vollendung*, see the slow movement of WAB 107 (P^{voll}, mm. 157–193; coda, mm. 193–219).

the presence of this phenomenon that explains the prevailing analytical tradition of associating Bruckner's slow movements with such circular-oriented forms as 5-part rondo, song form, and double variations. Although some such forms (e.g., Type 4 sonata-rondo hybrids) are indeed part of the dialogic environment of many Bruckner slow movements, I view the generic expectations of the Type 3 sonata as more fundamental for WAB 103/II.⁵⁹

2.2.3.2 Middle and Late Stages: 1877Z & 1879Z, and 1889Z

To resume tracing the movement's compositional history, we may bypass 1874Z[Carragan] and 1876Z[Nowak], and move directly to its middle stage. As Fig. 7 illustrates, the modifications found in 1874Z and 1876Z⁶⁰ do not fundamentally alter the overall plan of 1873Z. A completely different situation, however, is encountered in 1877Z[Nowak] and 1878Z[Oeser], where the modifications involve extensive formal reworking: Bruckner makes a huge cut from the beginning of the recapitulation (deleting the P-theme, the transition, and the beginning of the S-theme – mm.132–183 in 1876Z[Nowak]), the drastic result of which is to alter the sonata from Type 3 to Type 2.⁶¹ In light of these cuts, the modifications of the late stage (1889Z[Nowak]&[Schalk]) represent a further step along the same path. As shown at the bottom of Fig. 7, Bruckner essentially took apart what in 1877Z and 1878Z functions as the Type 2 sonata's Tonal

⁵⁹ WAB 103/II-1873Z[Nowak] presents three potential interpretative choices: 1) the first stage of the *Vollendung* might be interpreted as the fifth part of a 5-part song form (A-B-A'-B'-A'') with coda; 2) the *Vollendung*'s P-theme may be thought of as the final iteration of a Type 4 sonata-rondo refrain (P^{rf}); and 3) the P^{voll} may be thought of as a "parageneric space" that does not fundamentally challenge the movement's Type 3 status. The first interpretation (5-part song form) is unpersuasive, in the light of the movement's strong sonata-generic markers (among other features, the S-based developmental half-rotation, mm. 89–128). Between the second and third interpretations, the latter seems stronger, given the lack of a P-theme return immediately after the exposition, and the general absence of any rondo-like character.

⁶⁰ The changes are more extensive in 1876Z[Nowak], which is 11 measures longer than its predecessors and includes important textural modifications (see, e.g., the violins' descending pattern, mm. 230ff, recalling the overture to Wagner's *Tannhäuser*).

⁶¹ On the Type 2 sonata, see Hepokoski; Darcy 2006, p. 353–387. This sonata type, although rare by this time, is found in at least one other movement by Bruckner, the finale of the Seventh Symphony.

Resolution.⁶² As a result, in the inward form of 1889Z, the end of the development connects directly to the *Vollendung*, completely bypassing the recapitulatory space and thus consummating a carefully scaffolded process of recapitulatory disintegration.

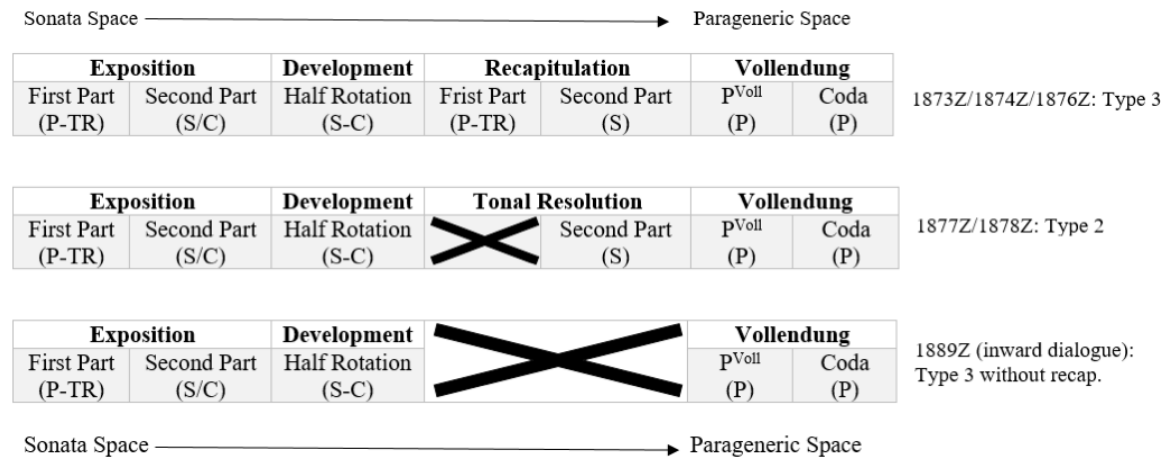


Figure 7: Recapitulatory Disintegration in WAB 103/II

2.2.4 The Region of Dialogical Play: Synergies in 1889Z[Nowak]&[Schalk]

In the early and middle stages of the movement's compositional history, the non-resolving recapitulation transfers the burden of resolution to the *Vollendung*. In its late stage (inward space), the absence of recapitulatory space does nothing to change that: just as in 1873Z, the *Vollendung* in 1889Z fails to provide a parageneric solution to the sonata-formal crisis, thus sealing the movement's fate. The absent recapitulation entails a modification of the movement's expressive narrative, though; a twist, whose expressive import is best captured by a comparison of inward and outward forms in the movement's late stage.

As shown in Fig. 8, interpretation of formal functionality in 1889Z[Nowak]&[Schalk] depends upon which dialogic dimension is in play. While the sonata-formal crisis in the *outward dialogue* takes shape only *after* the recapitulation begins, in the *inward dialogue* this crisis is triggered by suppressing the recapitulation altogether. Thus, although both dialogic dimensions produce

⁶² On tonal resolution, see *ibid.*, 353–355 and 380. To be more precise, Bruckner deleted mm. 136–143 and 166–181, and recomposed mm. 144–165 in 1878Z[Oeser].

a “prematurely failed” sonata process, in the inward dialogue the entire sonata (as opposed to only the recapitulation) is aborted. As a result, inward and outward dialogic perspectives each carry their own interpretative implications.

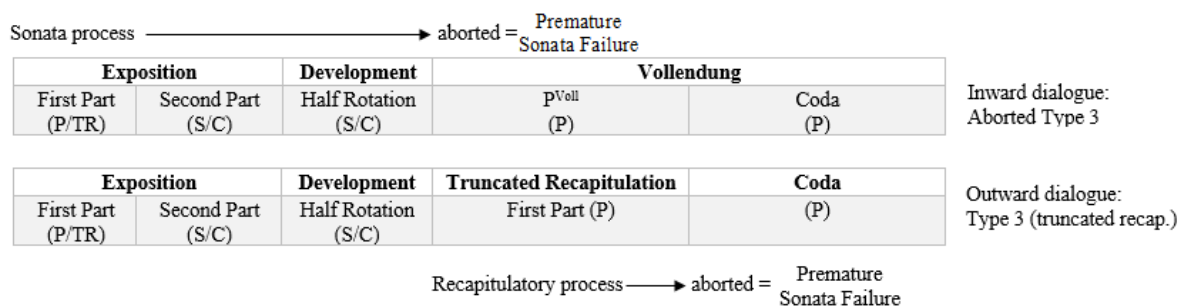


Figure 8: WAB 103/II-1889Z[Nowak]&[Schalk]: Processes of Sonata Failure

It does not seem too far-fetched to suppose that, for a particular listener with knowledge of both sonata-generic expectations (the outward regulative principle) and the movement’s compositional history (the evolving *Anlage* or inward regulative principle), the experience of 1889Z[Nowak]&[Schalk] will subsume both dialogical dimensions. If so, the resulting two-dimensional dialogue would inhabit a conceptual space between the two kinds of dialogue, a zone of interaction that I characterize as a *region of dialogical play*.⁶³

This space of interpretative confluence is of special interest when the overlapping interpretations are not the same, thus yielding a compound, richer interpretation. In the case of 1889Z, the two intersecting interpretations—truncated recapitulation and truncated sonata—reinforce a dramatic trajectory characterized by the exacerbation of sonata-failure conditions. As Hepokoski and Darcy explain, “the demonstration of ‘sonata failure’ became an increasingly attractive option in the hands of nineteenth-century composers who, for one reason or another, wished to suggest the inadequacy of the Enlightenment-grounded solutions provided by generic sonata practice” (2006, p. 254). From a broader interpretative perspective, then, sonata failure is far from signifying a lack of strength or self-assurance, even though it is construed within the music’s drama as the movement’s inability to attain generic completion. Following this

⁶³ My concept adapts Kofi Agawu’s *region of play*, in his semiotic theory of Classical-period music, where it characterizes the zone of interaction between structural (harmonic) and expressive (topical) dimensions. Agawu (after Roman Jakobson) refers to these respectively as *introversive* and *extroversive* semiosis (see Agawu 1991, p. 23–25 and 127–134). In my adaptation, these translate to inward and outward formal dialogues.

logic, in WAB 103/II the connection between the exacerbation of sonata-failure conditions, compositional reworking and textual multiplicity takes on a larger significance for the assessment of Bruckner's oeuvre: Since the gradually reinforced sonata-failure trajectory of WAB 103/II is contingent upon compositional reworking, we may as well take Bruckner's penchant for revision (often casted in a negative light as his "weakness") and construe it as one of his foremost acts of self-determination.

2.3 Closing Remarks

As noted in the introduction (section 1.1), the textual idiosyncrasies of Bruckner's symphonies loom large in his music's reception history. Because the textual multiplicity often associated with his works does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under philological, text-critical, and aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his's oeuvre. By adopting a broader outlook on the actors and processes involved in the formation of musical works, I laid in this article's first part the conceptual groundwork for a radical break from the traditional framing of the "Bruckner Problem," which, implicitly or explicitly, construe Bruckner's music as somewhat defective. It is my conviction that textual multiplicity represents an excellent opportunity for musical analysts to engage with the endeavors of composers and editors, both in terms of processes and outcomes. Building on that credo, and my two-dimensional dialogic approach to formal matters, I have shown in this article's second part that it is possible to account for both 1) the dialogic synergies between different *Zustände* of a single Bruckner movement and a larger established repertoire, and 2) the formal/expressive trajectory (the evolving *Anlage*) created by the multiple *Zustände* of one individual movement.

In the present study, I have focused solely in two Bruckner's slow movements for practical reasons (WAB 101/II and WAB 103/II). The ideas here presented, however, could just as well be applied to any of his (or other composer's) works, a much-needed task that will hopefully lead us to a better grasp of Bruckner's compositional world, and thus, to a more nuanced and sympathetic understanding of his symphonic forms, their textual characteristics and the dynamic and collective processes that music making involves.

List of Abbreviations

| | |
|--|---|
| AGA = Alte Bruckner-Gesamtausgabe | PAC = perfect authentic cadence |
| B-NRWS = Bayreuth, Nationalarchiv der Richard-Wagner-Stiftung | P ^{voll} = <i>Vollendung's</i> P-based <i>Steigerung</i> |
| C = Closing theme | RT = Retransition |
| EEC = Essential Expository Closure | S = Secondary theme |
| ESC = Essential Structural Closure | TA = tonic arrival |
| MC = Medial Caesura | TR = Transition |
| NGA = Neue Bruckner-Gesamtausgabe | V-GM = Vienna, Gesellschaft der Musikfreunde |
| ÖAW = Österreichische Akademie der Wissenschaften | V-ÖN = Vienna, Österreichische Nationalbibliothek |
| P = Primary theme | WAB = Werkverzeichnis Anton Bruckner |
| | Z = <i>Zustan</i> |

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