

A "Two-dimensional" Piano Sonata?

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George Enescu's D major piano sonata Op. 24 is regarded by the Romanian school of form-analytical thought as a structurally complex work. Composed in 1933 and revised in 1935 (revisions which pertain to the more sophisticated sections, the second and third movements), this sonata continues to pose challenges for the public and analysts, especially when encountered by auditory means alone, so Pascal Bentoiu: 'Here too, Enescu pays a price for his unyielding complexity [and] only [...] *dozens* of hearings can bring the listener anywhere near the depths of its treasure'.¹ In assessing this sonata's form, Ștefan Niculescu's 1956 text in *Muzica* starts from the description of a relationship of dependence and thus, from a separation between *researcher* and *soloist*:

The explanation of a work of great value, no matter how competent it may be, cannot convey verbally what was intended to be expressed musically. The true meaning of the work is gained

¹ The analyst Pascal Bentoiu deemed these revisions as unimportant: 'The second and third movements bear also certain dates of revision: the Andantino is dated May 2, 1935, and the finale May 11 of the same year. I conclude that the revisions were rather unimportant, since for twenty-two pages (in manuscript) of the finale the composer needed only nine days; for the second movement, he probably used a comparable time, while the first— it seems— did not need any kind of revision. [...] Perhaps in 1935 it was a matter of simply recopying it, with minimal interventions in the text'. Bentoiu, Pascal, *Masterworks of George Enescu: a Detailed Analysis* (Plymouth: Scarecrow Press, 2010/ translation of *Capodopere enesciene*, Bucharest: Editura muzicală a U.C.M.R., 1984), p. 328. According to Bentoiu, this Enescian score is 'so rich that only [...] *dozens* of hearings can bring the listener anywhere near the depths of its treasure'. *Ibid.*, p. 327.

through listening and re-listening under optimal interpretive conditions. However, the audition does not exclude thorough research; on the contrary, it implies it, because the research not only facilitates understanding the work but can also contribute to grasping the nuances of a great artistic personality.¹

The current article examines the form through both lenses simultaneously, as soloist and scholar, and highlights form features previously unexplored by Niculescu and Bentoiu which could explain previous reactions to this sonata as being a 'brilliant chaos'.² With these differences in mind, 1., I find evidence in newer theories of form and illustrate their efficacy, but also 2., highlight features that set Enescu apart from the Romantic model of structuring that likely inspired this sonata. This propels me to 3., develop a new terminology and propose a superior schematic coding system to those in earlier research. Although 4., offer a more dependable precision analysis at the movement level, 5. I recognise that the conciliatory aspect of an overarching structure identified in my research (at this point, it would be enough to think of a construction such as the Gate Towers, Abu Dhabi, UAE or the Marina Bay Sands, Singapore, examples of how an overarching architecture can unify distinct blocks into a cohesive, integrated design) remains consistent regardless of the internal interpretations.

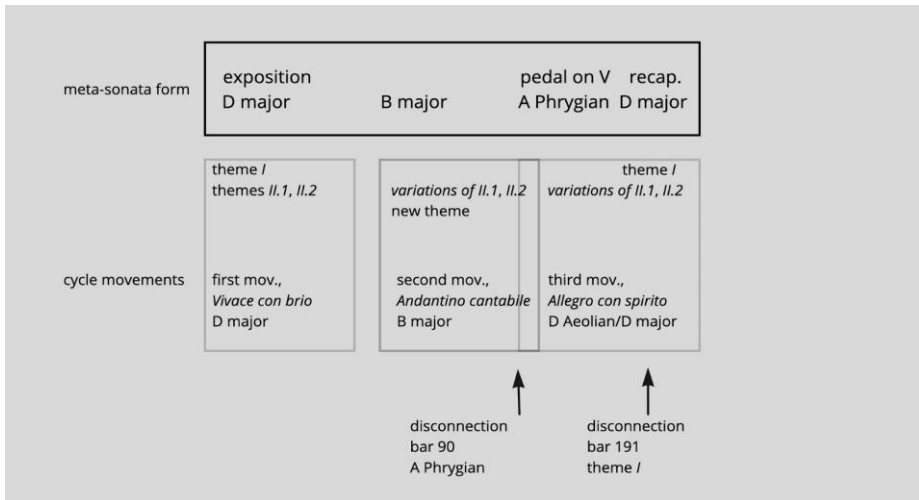
Upon performing this work, the following two moments (ex. 1) may appear as disconnections in the local musical flow: 1., the ending of the second movement on the dominant of the cycle's tonality instead of on B major, the tonality of the movement's onset and 2., the reappearance of the first movement's onset theme in the culmination of

¹ Niculescu, Ștefan, *Sonata a III-a pentru pian de George Enescu*, *Muzica* 6.8 (1956), pp. 12–24. Translation mine. Original in Romanian: 'Explicarea unei opere de mare valoare, oricât de competentă ar fi, nu izbuteste să ne redea exclusiv verbal, ceea ce a fost sortit să fie exprimat muzical. Adevăratul sens al operei se capătă prin audierea și reaudierea ei în condiții de interpretare optimă. Acest lucru însă nu exclude cercetarea amănunțită, ci dimpotrivă o implică, pentru că o astfel de cercetare nu numai că ușurează înțelegerea operei, dar poate contribui la fixarea particularităților unei mari personalități artistice'.

² Pascal Bentoiu characterises this sonata as a cycle of 'uncommon forms' and 'brilliant chaos'. Bentoiu, *Masterworks ...*, p. 331; Bentoiu, Pascal, *Breviar Enescian* ed. by Matei Banica (București: Editura Muzicală Grafoart, 2014 / first edition 2005), p. 128; Translation mine; Original in Romanian: 'dezordine genială'.

the development of the third movement. Why do these moments discontinue an otherwise meticulous sonata-movement inner organisation?

Ex. 1, Op. 24, D major *Sonata*. Simplified mapping:



The first disconnection happens gradually and results in two intermingled autonomous second and third movements which end and begin unexpectedly from the perspective of the sonata tonal path. The third movement starts by taking over *Andantino's* second movement as of bar 90 with a long-lasting, yet, unitary process of formation of its first sonata theme and by enforcing a curious A Phrygian atmosphere on the B major *Andantino's* last section (material grey-marked in ex. 2). At the same time, *Andantino's* highly provisional home-coming B major chord extends into the third movement in defiance of a double line and requested ten-second silence (as a dominant minor eleventh chord in *pensiero, nostalgico* in bar 84, as a transit root-position chord in bars 90 and 91 and as a six-four chord with the indication *lontano* in bars 94, 95, and 7–8 of the third movement (yellow-marked in ex. 2).

Ex. 2, intermingled and autonomous second and third movements:



The second disconnection feels sudden: the development of the third movement recalls the cycle's onset theme, a theme which, as Pascal Bentoiu observes, 'sticks to our memory as the most characteristic, a true emblem of the entire sonata' (ex. 3).¹

Ex. 3: *Vivace con brio's* first theme ('I')

The musical score for Ex. 3 is presented in three systems. The first system (measures 1-3) features a triplet of eighth notes in the right hand and a bass line. The second system (measures 4-6) continues the triplet and adds a melodic line in the right hand. The third system (measures 7-8) shows the end of the phrase with a whole note chord in the right hand and a bass line.

In *Formenlehre's* light (traditional twentieth century sonata theory built on the observation and generalisation of form phenomena present in popular Viennese-classical works), the impact of these two disconnections is a local one. *Andantino's* open end is for Niculescu a 'short coda', 'a last thematic labour with no other purpose than to tie in the second and third movement'.² The display of *I* in the third movement in bar 191 is, in the interpretation of Niculescu and Bentoiu a rhetorical gesture, merely a replacement for the repetitive, rondo material of the third movement and, at the same time, a 'long-awaited moment of liberation' which crowns the development of the third movement).³

¹ Bentoiu feels that the first theme *I* is 'the character with the strongest personality. [*I*] sticks to our memory as the most characteristic, a true emblem of the entire sonata' and that its 'return above the finale, in the same glorious D major, will provide the long-awaited moment of liberation'. Bentoiu, *Masterworks ...*, p. 329.

² Niculescu, Ștefan, *Sonata a III-a pentru pian ...*, pp. 19 and 17. Translation mine. Original in Romanian: 'o scurtă codă' and 'o ultima prelucrare tematică, ce nu are alt scop decât sa lege partea II de partea III'.

³ 'The reprise is realised by replacing the refrain with theme I of the first movement'. Niculescu, *Sonata a III-a pentru pian ...*, p. 22. Translation mine. Original in Romanian: ' 8

However, today's advancements in form theory encourage a fundamentally different interpretation of the two disconnections. They serve a higher level of form complexity, a musical discourse with more than one unfolding rate. The music will likely be understood as developing simultaneous layers, albeit, differently paced in revealing their logic over time. One cannot help but to check to what extent Enescu's form matches the profile of a *two-dimensional sonata*, the common denominator between several romantic sonata cycles with a single-movement appearance by Liszt, Strauss, Schoenberg, and Zemlinsky highlighted by Steven Vande Moortele.¹ Enescu's sonata could relate to this tradition of Viennese two-dimensionality derived from Schubert via Enescu's professor Joseph Hellmesberger and Franz Liszt.² Ex. 4 juxtaposes the characteristics of Enescu's work and those of Liszt's B minor piano sonata S. 178, a two-dimensional sonata paradigm according to Vande Moortele.

Ex. 4, a comparison with Liszt's B minor piano sonata S. 178:

Only in Liszt	Common ground	Only in Enescu
Non-autonomous cycle movements (incomplete or commonly non-recognisable schemata)	Cycle movements (with different degrees of autonomy)	Autonomous cycle movements (recognisable schemata) ⁹
Primordial overarching form (According to the analysis of Vande Moortele)	Overarching sonata form (with different degrees of fluency)	Meta-structure (explained below)
Interpolated units and exocyclic units (Vande Moortele)	Disconnections between two dimensions	It can be interpreted as having no exocyclic units
Motivic transformation used via direct and indirect integration (Vande Moortele)	Strategies for minimising disconnections between two dimensions	Transformational extremely extensive; modal functional swinging

Repriza se face prin înlocuirea refrenului cu tema I a primei parti [...]. Bentoiu, too, argues that this first theme of the first movement displayed in the third movement comes to replace other materials which have been 'sufficiently solicited so far' and as a rhetorical gesture. Bentoiu, *Masterworks ...*, p. 342

¹ Vande Moortele, Steven, *Two-dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009).

² Hellmesberger and Liszt collaborate closely. In 1851, Liszt's transcription of Wanderer in C major for orchestra, S. 366 was performed in Vienna under Joseph Hellmesberger/Gesellschaft der Musikfreunde. Arnold, Ben ed., *The Liszt Companion* (Westport, CT: Greenwood Press, 2002), p. 314.

Briefly summarised, Vande Moortele's theory stipulates that a work is two-dimensional sonata if its movement and overarching modes of organisation progress at a different pacing while recalling the sonata structuring. The two dimensions, the movement form and the cycle form 'coincide only when the relationship between the form and the cycle is one of identification' and thus, their merging always results in 'formal disconnections', namely in self-contained 'interpolated' and 'exocyclic' units.¹ The interpolation 'differs from the immediately preceding formal unit of the overarching form in tempo, meter, and key' [...] and generate[s] an impression of well-roundedness similar to that of an "ordinary" movement'.² 'When a movement of the cycle is interpolated into the overarching sonata form, the two dimensions do not coincide but stand next to each other [and] for the duration of the interpolation the overarching sonata form is suspended, to resume only when the interpolation is over'. [Exocyclic units, conversely,] 'belong exclusively to the overarching sonata form and play no role in the sonata cycle'.³

Vande Moortele further mentions that composers try to balance the two out-of-sync structural dimensions, minimise their disconnections through 'integration processes': 1., direct integration - material essential to the interpolated unit is first announced or later worked out in an exocyclic zone; 2., direct integration - essential exocyclic material returns in the interpolated movement; and 3., indirect - shared thematic material relates an interpolated movement to another movement of the cycle which plays a role in the overarching form).⁴ In other words, the coexistence of three networks of form functions (overarching, movement, and two-dimensional) depends on a composer's art of subtly concealing and scaling back repetitions, for example by restructuring or transforming musical patterns such as themes.⁵

¹ Vande Moortele, Steven, *Two-dimensional sonata ...*, p. 25.

² *Ibid.*, pp. 48–49.

³ *Ibid.*, p. 26.

⁴ *Ibid.*, pp. 26–27.

⁵ *Ibid.*, p. 28. A paradox is worth noting at this point: although the level of accomplishment of the match between the functions of the two-dimensions is inversely proportional to the clearness of the two-dimensionality, composers attempt to integrate the two-dimensions as much as possible into each other. Nevertheless, as
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Enescu's sonata too, balances out-of-sync structural dimensions. Repetitiveness is concealed by means of *motivic transformation*, a technique which facilitates the expansion of a material type, simultaneously enabling contrast and preserving unity (interrelationship between newly created facets of the material type). Unfortunately, this technique has been linked by previous literature only to the rotational aspect of musical form. Before Vande Moortele's 2009 theory, analysts could have linked an architecture whose unity comes from motivic interrelationship either to Vincent D'Indy's *cyclic form* (previously used in the analysis of César Frank and rightly criticised by Benedict Taylor) or to Carl Dahlhaus's *Mehrdimensionalität* (used to describe 'single-movement cyclic form', or a sonata such as Liszt's B-minor).¹ For example, Niculescu (interpretation perpetuated by Myriam Marbe and Noel Malcom) writes that this sonata combines the 'cyclical principle' crowned by César Frank with a 'inexhaustible fantasy' for motivic development rooted in the tradition of Beethoven and 'the cyclical dimension gives unity to this variety in a form which is never rigid'.² Benteoiu avoids mentioning *cyclical form* (perhaps intuitively deciding that the sonata attest a greater formal complexity than the term *cyclic form* suggests) and notes that 'Enescu is not far- surely, without

Vande Moortele notes, 'an unresolved tension between the two dimensions never disappears' despite 'ingenious manipulation of potential analogies between a sonata form and a sonata cycle', 'attempts to find a balance between both dimensions in units in which they are identified', or a 'very intense integration of interpolated movements in the overarching sonata form'.

¹ Benedict Taylor criticises this term: "[c]yclic form" [...] is a vague and ambiguous term which incorporates many differing definitions'. Taylor, Benedict, *Mendelssohn, Time, and Memory: The Romantic Conception of Cyclic Form* (Cambridge: Cambridge University Press, 2011), p. 10. Benedict Taylor writes that the main spread of the confusing term 'seems to have arisen through Cesar Frank and his pupils. While Frank himself was fairly reticent about the cyclic qualities of his compositions, Vincent D'Indy in particular was a keen activist for the Frankschool and the "principle of cyclic composition" which it espoused' (p. 9); Taylor categorises the architectures with overarching structuring as *combined or single movement cyclic forms (linking of movements of multi-movement cycle and multi-functional four-in-one designs or similar*, pp. 11–16).

² Niculescu, Ștefan, *Sonata a III-a pentru pian ...*, p. 24. Translation mine. Original in Romanian: 'Păstrând tehnica beethoveniană de construcție și principiul ciclic dus la apogeu de C. Frank, forma la Enescu nu rămâne o schema rigidă. [...] Compozitorul atinge astfel unul din marile deziderate ale artei în general: unitatea în varietate'.

intention [?] - from the unifying preoccupations of a Schoenberg or Webern'.¹

Scaling back, repetitiveness is attributable to a material's participation across more than one dimension. In this matter, Enescu's sonata seems to benefit beneath its rhythmic-melodic-harmonic layer from a particular manipulation mechanism which affects the core of a material's identity by projecting ambiguity on the tonal centre or home-base - a *modal-functional swinging*. It can be briefly described as the allowance for the mode's tonic to change just before the end of a melodic unit following an insistence on melodic intervals. In Romanian songs folklorists have observed a similar compositional technique, a 'modal-functional swinging' which, according to Otilia Pop-Miculi, prevents the listener from predicting the finalis of the mode by allowing the mode's tonic to change just before the end of a melody.² In Enescu's F sharp minor piano sonata Op. 24 and the A minor *Sonata dans le caractère populaire roumain (in Romanian Folk Style)* Bentoiu highlights similar situations of 'modal ambiguity' and 'modal mutation'.³ It immediately creates local ambiguity and highlights what remains unambiguous, e.g., it defines an absolute tonic, not dependent upon 'external' conditions such as the change of mode. In this sonata, the second theme of the *Vivace con brio* first movement which has been analysed by previous scholars in both G Phrygian and in C sharp minor may be considered an example of local modal functional swinging. A confirmation of the identity of the finalis key appears as late as in the second sonata movement, in variation of this theme which expresses clearly the mediant-tonic relation. The swinging can also be used to describe an absolute tonic, not dependent upon 'external' conditions such as the change of mode between major and minor. In this sonata, one moment which describes the absolute tonic is the local use of this

¹ Bentoiu, Pascal, *Masterworks ...*, p. 327.

² The term proposed by Pop-Miculi in a Romanian folklore course in Romanian language is 'pendulare funcțională' (functional oscillation). Pop-Miculi, Otilia, *Curs de Folclor Muzical* (București: Universitatea Spiru Haret, Facultatea de Arte; Specializarea: Pedagogie Muzicală) <<https://www.scribd.com/document/389885913/127007923-CURS-DE-FOLCLOR-MUZICAL-pdf-pdf>> [accessed March 2024].

³ Bentoiu uses the term 'modal ambiguity' in the analysis of Enescu's piano sonata Op. 24 in F sharp minor. Bentoiu, *Masterworks ...*, p. 282. The same source mentions 'modal mutation' in the analysis of Enescu's third piano and violin sonata, between pp. 299–300.

mode-swinging between D major and D minor applied to the head of theme / in the first movement, in bars 231–235.

The impact of mode swinging may transcend the local movement form in that a unit is empowered to appear anagrammed, harmonically different in each dimension. This could be the case of the third movement's beginning, a zone perceived by Niculescu and the other scholars in A minor.¹ In this moment, one can interpret both, a tonal struggle to shift the music back to the home key via its dominant, A Phrygian and a first theme gravitating around the Aeolian tonic D. The mode-swinging minimises the disconnections between the movement and the meta-structure as the tonic D can mutate itself into an anagrammed A Phrygian and encourage two different keys, A and D, as suitable tonics for the autonomous third movement. It is thus possible that the music takes on a double structural role: development of the overarching structure which has reached its pedal on dominant (A Phrygian) and beginning of a conventional autonomous third movement on the tonic (D).

While this sonata's compositional tactics should be linked to Vande Moortele's concept of two-dimensional sonata (with the mention that the embedding and manipulation of modal language in form functionality does not yet warrants conceptualisation among Vande Moortele's list of strategies for the necessary balancing of two out-of-sync structural dimensions), its overall appearance resists alignment with the theory. Enescu's sonata can be read in opposition to Liszt's and the kind: Not only does the Enescu focus for a longer time at the movement level, meaning that the overarching form is no longer the primary dimension as in Liszt, but also creates complete, self-sufficient movements, clearly defined to the point that the overarching form escapes immediate perception. At a closer look, grasping D major sonata's engagement with two-dimensionality depends on the movements' self-sufficiency or structural completion (most likely, according to high-Viennese standards). A unit at the movement level would have to be perceived as having failed to fulfil a certain function, as going beyond *normative* (Vande Moortele uses the construction '*has to fulfil*'). My example is the end of the second movement in which the

¹ Niculescu, Ștefan, *Sonata a III-a pentru pian ...*, p. 24. Translation mine. Original in Romanian: 'la minor'.

developmental features of the overarching structure prevail over the local organisation, the latter subordinating its autonomy in favour of the tonal logic and time-line of the overarching dimension. In the D major sonata cycle, the A Phrygian moment in the beginning of the third and final movement as well as the loose design of the first local sonata theme (let us call it, 'conflux theme') suggest that the time-line of the meta-form has reached the development's pre-recapitulation pedal on dominant. In the light of Vande Moortele's definitions, Enescu's 'self-contained' first and second movements, whose relation resembles that of the first movement's themes in terms of tonal distance, can be interpreted as proliferations on these themes - perhaps, expressive, nomadic, reflexive commentaries similar to a story set within a story.¹ While the interpolations equate with well-defined movements, the exocyclic parts, if any, are obscured due to fast intermingling.² When Enescu's recapitulation of the meta-structure seems to take over the third cycle movement, the (potential) exocyclic moments are brief. Thus, it can be interpreted that exocyclic parts in this model of two-dimensional sonata are perceived as disruptive as the 'interpolations' in Liszt's model; Enescu's overarching recapitulation stands side by side with the sonata's finale.

Given the particularities of Enescu's work, I will temporarily stretch the available form theory. First, I propose the term *meta-structure* (the Greek μετά lends the meaning of *beyond, transcending*) for Enescu's overarching construction which does not dominate (perception-wise) over the cycle's (self-sufficient) movements, but does influence the appearance of the cycle's movements. The meta-structure has the ability to coexist with the autonomous movements while treating the latter as its data: collected as early as of first movement,

¹ First mentioned in Marbé, Myriam and Elena Zottoviceanu, *Împlinirea. Premiera Operei Oedip (1934–1936)*, in *George Enescu - Monografie*, ed. by. Mircea Voicana (București: Editura Academiei Republicii Socialiste România, 1971), pp. 739–876; Confirmed by Bentoiu in *Masterworks ...*, p. 333. [D major to G sharp minor mode/B major mode.]

² It is worth noting that intermingling is a technique which spans the whole sonata. Two examples of intra-movement display are the late appearance of the first movement's development theme in an unstable F sharp major in the recapitulation (bars 162-168) or, in the second movement, the early recapitulation onset overlapped with the middle (57). An intermingling at the inter-movement level begins (see above) in bar 90 of the second movement's coda and extends into the first page of the third movement.

the themes fulfil, (under the ‘sonata constraints’, to use Carl Dahlhaus’s expression) the same functions in the meta-form.¹

Second, I propose the term *conflux theme* for a theme proper and any material that appears to lead to its formation.² This type of gradual thematic construction is specific to Enescu and has been highlighted by Alfred Hoffman in the analysis of Enescu’s first string quartet: ‘Often, Enescu considered that the theme is not a point of departure, but the result of a build-up’.³ In the D major sonata, the third movement’s first theme is a conflux theme which begins to replace *Andantino Cantabile*’s music as of bar 90 (exx. 5a–c).⁴

Exx. 5, steps in the formation of the third movement’s first theme:

- a. main chords as early as of *Andantino*’s bar 90



¹ Dahlhaus, Carl, *Sonata Form in Schubert: The First Movement of the G-Major String Quartet, Op. 161 (D.887)* in Schubert, ed. By Julian Horton (Farnham: Ashgate, 2015), pp. 235–46. Original trans. Thilo Reinhard in Walter Frisch (ed.), *Schubert: Critical and Analytical Studies* (Lincoln: University of Nebraska Press, pp. 1–12).

² The word ‘conflux’ appears in the work of the theoretician Dora Hanninen with a different meaning: the ‘associative conflux’, a provisory stream that has been formed due to a temporary overlapping of two or more material types (or ‘sets’, in Hanninen’s terminology). Hanninen, Dora A, *A Theory of Music Analysis: on Segmentation and Associative Organization* (New York, NY: University of Rochester Press, 2012), pp. 241–242, at p. 207.

³ Alfred Hoffman and Myriam Marbé mention in the analysis of Enescu’s first string quartet Op. 16 that ‘Enescu often considered the theme a result, not a starting point’ and that this feature translates in this quartet into ‘anticipations’, ‘preparations’, and ‘accumulations’ of thematic material. Hoffman, Alfred and Myriam Marbé, *Partea a III-a “Maturitatea”*. *Limpeziri (1919–1926)*, in *George Enescu-Monografie*, ed. by Mircea Voicana (București: Editura Academiei Republicii Socialiste România, 1971), pp. 459–562, between pp. 499–450. Translation mine. Original in Romanian: ‘Enescu considera că tema nu este un punct de plecare ci, adesea, un rezultat, iar *Cvartetul I* ilustrează pe deplin acest lucru: în afară de B (unde totuși ar părea ca anticipările, pregătirile sunt determinate de B și *nu este B un rezultat al lor*) însăși tema I a este rezultatul unui proces de acumulare, pornind de la o simplă pedală ritmată. [...] Și mai pregnant este acest procedeu de pregătire treptată a unei teme în ultima parte [...a lucrării] – *allegro moderato*’.

⁴ Such anticipations can be highlighted between two neighbouring miniatures in Enescu’s Op. 18: the end of *Choral* anticipates the theme of *Carillon nocturne*.

- b. forming of the three-note melodic grouping



- c. melodic mechanisation of the chord



The available Viennese-classical inspired *Formenlehre* cannot easily describe Enescu unfolding themes because it advocates for an absence of forward momentum; it pinpoints the symmetrical theme and conceptualises separately a well-defined melody from its formation zone. Dora Hanninen mentions in an analysis of Beethoven's piano sonata Op. 2 no. 2 'inaugural theme' (preceding a 'primary theme proper'. James Hepokoski and Warren Darcy allow analysts to enclose a theme's anticipations, macro-upbeats, into a separate form function, the 'zero module', while simultaneously fencing a theme-proper segment.¹ More variants of describing musical areas which display the

¹ Schmalfeldt, Janet, *In the Process of Becoming: Analytic and Philosophical Perspectives on Early Nineteenth-Century Music* (New York, NY: Oxford University Press, 2011).

Hanninen's newly proposed term, 'inaugural' is associated with the well-known tune of the opening (a proper first sonata theme to me) while the upcoming looser constructions which resemble the middle of a small ternary form are conceptualised as a 'proper theme'. Hanninen, *A Theory of Music Analysis ...*, pp. 241–242.

In Hepokoski and Darcy's words, the individual zones - especially P and S [first and second sonata thematic functions] - [...] begin with music that, even while opening that zone, seems preparatory to a more decisive (or fully launched) module that follows. This aspect can take on different realizations, some of which are 'thematic', some of which are not. One might find: an introductory vamp or accompaniment figure; an initial group of 'set-apart', emphatic chords; a quasi-fanfare motto, sometimes *all'unisono*, that 'clears the way' and then proceeds onwards to contrasting material; an obvious anacrusis module or other preliminary module; a thematic module that has not yet fully stabilized over a root position tonic (especially within the S-zone); and the like. A zero designation [...] indicates the results of an interpretative decision that proposes either that the module at hand displays an overt preparatory function (often in the sense of 'get ready!') or that the initial module conveys the sense of something 'destabilized' or not yet fully moored to tonic root-support. If the analyst decides that such an introductory module is not as fully separate from what follows to merit the 'zero' label *per se*, a lighter alternative is the use of a 1.0 label [...]. The zero-module will lead directly into something more secure and normative for that

thematic forming 'in real-time' can be seen in William Caplin's *form-functional* theory and Janet Schmalfeldt's *process* theory. Janet Schmalfeldt or William Caplin use in their descriptions of classical works Formenlehre common terms such as 'introduction'. At the same time, Caplin describes 'thematic introduction' from the Viennese-classical times as a 'framing function that expresses the sense of "before the beginning" [... ,] consists of a brief passage prolonging tonic (sometimes dominant) with progressive dynamic [, and contains] minimal melodic activity (so as not to suggest a basic idea).¹ The idea of retrospective understanding of a theme as ending part of an element-merging area can be also linked to the process theory of Schmalfeldt. Abbreviated with a sign borrowed from the field of symbolic logic, '⇒', Schmalfeldt's concept of 'becoming' speaks of the two-stages and back-and-forth analytical perception of a form function, the en route assessment and the retrospective interpretation.²

A double impact on the form's functionality (for example that of the conflux theme - a movement's first theme and pedal on the dominant for the meta-development) pose an unnoticed complication to the analysis. It is difficult to find a representation system for this

zone. [...] Zero-modules are not musical ideas that stand outside of the zone proper. [...] In most cases (though not all) the zero-module will not be separated from its 'integer-one' successor by a PAC. [...] Since the zero concept indicates a function, not a thematic or modular type, zero-modules can differ widely from each other in character and format'. Hepokoski, James A. and Warren Darcy, *Elements of Sonata Theory-Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York, NY: Oxford University Press, 2006), pp. 72–73.

¹ Caplin, William E., *Analyzing Classical Form: An Approach for the Classroom* (New York, NY: Oxford University Press, 2013), p. 257.

² The symbol expressing a transformational role, ⇒ appeared before in 1995 in Schmalfeldt 1995 and in 2006 in Hepokoski and Darcy (abbreviations). In Schmalfeldt's words, the symbol is 'borrowed from symbolic logic'. Schmalfeldt, *Becoming ...*, p. 8. For Schmalfeldt, if 'the opening passage of a movement initially projects the characteristics of an introduction but retroactively functions as a main theme, one could represent that analytic perception as 'Introduction ⇒ MT''. Nathan and Vande Moortele criticise Schmalfeldt's abbreviation, arguing that, due to the 'becoming' (transformation), one of these functions (the introduction or the main theme) will disappear. Instead, they propose a double function [a main theme that gives the feeling of an introduction, of something that is forming live], abbreviated '↔'. Martin, Nathan J. and Steven Vande Moortele, *Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet, D. 956, Music Analysis* 33 (2014), 130–55.

sonata's material, a code which should be simultaneously sensitive to 1., a unit's formal function in the movement, 2., to the unit's moment of appearance in the meta-form, and 3., to the motivic kinship between units. By form function (or 'action zone', to create a link to the *Sonata Theory* by Hepokoski and Darcy) we understand a first or second sonata theme, a transition zone, and, in some cases, a development (new) theme.¹ The appearance of material in the meta-form recalls the same sonata form functions, albeit, while the pacing of these functions is not identical with that of the local movement's units. Last but not least, a code of abbreviation in two-dimensional constructions needs to show the kinship between themes throughout the whole sonata cycle, or, better said, to show how early a theme has been rooted - a matter which sparks particular issues in Enescu because of the great number of iterations that mutate from and still bear a kinship to the original idea. As Vlad Vaidean notes, the mature Enescian scores are characterised by a distinct species, par excellence Enescu cyclical conception in music, which implies not only the recurrence of themes [..., but also] the permanent circulation - through division or integration, association or dissociation, intertwining or separation [...] of the cellular fragments throughout the themes themselves.²

Given Enescu's intense motivic transformation and complex sonata functionality in this two-dimensional sonata, I define the reuse or reworking of material under a new function as 'child theme'. Ex. 6 shows a theme and child themes that span the cycle in order to fulfil different schematic functions; What debuts as a second sonata theme in the first movement at bar 63, spans the lied sections of the second

¹ For Hepokoski, 'action zones' are 'successive zones that build the exposition and the corresponding recapitulation [:] 'primary theme', 'transition (TR)', 'secondary theme', and 'closing zone'.

Hepokoski, James A., *A Sonata Theory Handbook* (New York, NY: Oxford University Press, 2021), pp. 7–8 and 56–75.

² Translation mine, ChatGPT 3.5 [April 2024] assisted. Original in Romanian: 'o specie aparte, prin excelență enesciană, a concepției ciclice în muzică, ce presupune nu doar reluarea temelor [..., ci și] circulația neconținută - prin scindare sau integrare, asociere sau disociere, întretesere sau departajare [...] a semnalelor crâmpieie celulare pe parcursul temelor înseși'. Văidean, Vlad, 'George Enescu – recitiri, reascultări, re poziționări' în *Noi istorii ale muzicilor românești. I: De la vechi manuscrise la perioada modernă a muzicii românești*, second edition ed. by Valentina Sandu-Dediu and Nicolae Gheorghită (București, Editura Muzicală, 2021), pp. 291–376; pp. 326–330; at p. 326.

movement and covers for the third movement's first theme (as of bar 18) and second theme (as of bar 110).

Ex. 6, transformations from themes to child-themes. Samples transposed on C, for major themes and A for minor themes:



Some aspects of the abbreviations used by Bentoiu and Niculescu in their examinations of this sonata flag the difficulty of consistently capture both the thematic processes (recurrence and transformation) and the hierarchical levels within the cycle (see a full schematic display at the end of this analysis). Niculescu suggests sonata functions, namely the sonata themes at the movement level via roman numerals *I* and *II* but does not suggest the thematic kinship across the cycle (likely due to a proliferation of symbols: lowercase numerals, selected capitals from *A–S*, selected lower-case letters *a–y*, and selected Greek letters). In comparison to Niculescu, Bentoiu is more consistent in simultaneously showing the themes' order of appearance (via capitals *A–G*) and the thematic linking beyond individual movements, that is, how the material is preserved from one movement to the other throughout the cycle. However, Bentoiu's abbreviation of material is form-hierarchically indifferent (the different sonata roles of a melody *G* may be oversimplified into an enumeration from 'G1' to 'G10') and the attempts to highlight a theme's change of function and location within the movement and cycle come at the cost of inconsistency in differentiating between contrast, repetition, and variation.¹ For example, Bentoiu uses two different letter symbols for the same material type in the second sonata movement: 'Although the outline is that of the theme *D* from the first movement, I have named the forms which appear in the *Andantino* with a new symbol, *F*, and in continuation I shall refer to this new symbol, while always implying that

¹ Bentoiu, Pascal, *Masterworks ...*. An example of form-hierarchically indifferent enumeration is that of Bentoiu, in *Masterworks*, in the analysis of the *D* major sonata's finale: from 'G1' to 'G10'.

F derives from D'.¹ Moreover, Bentoiu's abbreviation system may also confuse the reader in that majuscules define both the assembling block ('cell' or 'element') and the entirely assembled material (full, cadential theme).²

My first response to this challenge is to keep suggesting an engagement to the sonata and the ternary form in the manner of Niculescu via roman numerals 'I' and 'II' for the *first* and *second theme* or group, the capitals 'A' and 'B' traditionally used by analysts for the sections of a lied, 'TR' for the sonata transition, and 'DEV', for the development. Second, I add code to the left side of the initial movement function for each consequent child theme followed by '/' (ex. 7); While the right side remains relevant for the analysis of the meta-form, the left side suggests the function of the child theme in the cycle movement. The code needs not to differentiate between variations of a theme which fulfil the same formal function in a movement and, vice-versa, different materials under one function are separated by '.' and digits (as in 'II.1' for the first theme in a second sonata theme group).³

Ex. 7, modality of abbreviation of child themes in *Andantino cantabile* second movement following the notation in the first sonata movement:

Vivace con brio first movement's functions and coding of the themes	The new functions of this material type in the second movement, <i>Andantino cantabile</i>	Coding in the second movement, <i>Andantino</i>
Second theme group theme II.1	Ternary structure, section A, first theme	A.1/II.1
Second theme group theme II.2	Ternary structure, section A, second theme	A.2/II.2
Segment b contained by the first theme I, I{b}	Ternary structure, section A, third theme	A.3/{b}

¹ Ibid., p. 333.

² Ibid. For the analysts familiar with Bentoiu's text: For the first movement, Bentoiu uses 'theme A' or 'first theme' (as of bar 1), 'element B' (10), 'element C' (18), 'theme D'-mentioned also as 'second theme' (46), 'element α' (included in Theme D), and 'element E' (63). For the second movement Bentoiu uses 'F' (1), 'theme G' (14), and 'theme H' (20); The third movement contains 'element, [or] cell β' (bar 1), 'element γ' (34), 'theme I' (44) and the 'themes G1-G10' (bars 18, 86, 110, 125, 140, 229, 242, 284, 295, and 335).

³ Further abbreviations may be used as following: {}, for 'encompassing'; =, for 'is'; '/', for 'derives from'; '~' for 'approximating' or 'most of the material suggests' (as in ~ A Lydian, bars 78–96 of the first movement); '+' indicates that two or more (melodic) materials are combined (a+b); '↑' or '↓' indicate pitch raising or lowering; and '[' for occasional comments.

In the upcoming, last part of the analysis I will show that the sonata's movement-level form is in fact so elaborated, so complex that it allows multiple and, at times, contradictory structural interpretations, albeit without casting any doubt on the meta-form. I compare my interpretation of each movement to those established by Niculescu and Bentoiu and invite the reader to patiently follow the upcoming paragraphs while holding on to Enescu's music score; two tables at the end of this analysis will summarise my results and the views of Niculescu and Bentoiu (ex. 11, 'thematic linking' and ex. 12, 'schematic display of material types'). For this purpose, I will use whenever possible *Formenlehre* terms, not only because most of this 1935 music material appears classically designed and can be easily described as such, but because the common *Formenlehre* terms highlight this music's polarity: the self-sufficiency at the movement level and the subordination of movement autonomy in favour of the meta-structure logic.

In my interpretation, *Vivace con brio* merges the sonata and the ABABA structures, that is, the sonata's sense of development towards resolution, towards a tonal harmonic alignment between two themes with a rondo-like rotational path. In what concerns the exposition, I locate the first theme (*I*) and the consequent forward pressing transition (*TR*) within bars 8–46. I see the first theme as a hybrid between period and sentence recalling the period in an asymmetrical approach, with a three-measure antecedent ending on the dominant and a five-bar consequent ending on the tonic with a perfect cadence. To further underline the melodic-motivic content in a stable harmonic-tonal environment, the classically styled first theme engages with the sentence model by repeating the first bar. It is followed by a transition which encompasses different modules and reworks material from the theme, a transition eligible for the high-Viennese definition by Hepokoski-Darcy ('motivic *Fortspinnung*, sequential activity, cumulative rhetorical energy, a drive toward a structural dominant, and [...] a concern for modulation') or by Caplin ('frequently featured "passage-work"- arpeggiations [and] patterns projecting a "brilliant style")'.¹

¹ Definitions borrowed from Hepokoski, James and Warren Darcy, *Elements of Sonata Theory - Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford University Press, 2006), p. 94; Caplin, William E., *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York, NY: Oxford University Press, 1998), p. 125.

Thus, my results vary from those of Bentoiu 1., in the interpretation of the G major's dominant seventh chord in bar 31 as being a D major's tonic chord; 2., in concluding that the exposition's transition to the second thematic zone is as short as three bars and this shortage is compensated by a double exposure of the first theme; and 3., in pairing the 'twin' first theme with a 'miracle double recapitulation'.¹ In the light of the tonal context and the newer theoretical explanations of the transitional sonata action space, Bentoiu associates Enescu's reuse of material with the repetition of a function, thus favouring the idea of repetition in detriment to that of development. The insertion of theme 1's head on a tonally unstable, transitional ground in bar 31 aims to destabilise the home key and modulate to the second group's debut key. It is thus a functional contrast to bars 1–8. The reuse of material from the first theme in transitions (here in bars 8, 31, and 33) is a classical procedure meant to encourage fluency by creating, as Caplin describes, an 'initial impression that the main theme is not over yet';² At the heart of the tonal drama in the exposition of a full-movement form (sonata, concerto, rondo, etc.) lies the conflict between the home key and its rival subordinate key [... and if it is] the transition [which] serves to destabilise the home key', so Caplin.³

The second thematic function encompasses an asymmetric antecedent-consequent //1 (in G sharp Phrygian in bars 46–50 and E major in bars 51–62) and a loose closing theme //2 (63–74). //1 is characterised by dotted rhythm and springing zigzag melody decorated with arpeggiated octaves, mordents, and appoggiaturas and it can be considered a sample of local modal functional swinging. Following Niculescu, I argue for the domination of G sharp Phrygian and question Bentoiu's interpretation of a C sharp minor natural based on two

¹ Bentoiu delimits transitions between bars 21–30 and 41–45 - a poor, four-measure transition to the second thematic group. According to Bentoiu, '[i]nstead of repeating the exposition, which might easily have been expected, Enescu repeats the recapitulation'. Bentoiu expresses disagreement with the previous analyses regarding their delimitation of the first theme between bars 1–20 and transition between 21–46: 'Commentators up to this day-without exception-consider this first slice of twenty bars a principal thematic group, after which would follow a "bridge" of twenty-five (!) bars toward the second theme [...]'. Bentoiu, *Masterworks ...*, p. 330.

² Caplin, William E., *Classical Form*, p. 129.

³ *Ibid.*, p. 125.

arguments which have been overlooked by previous research: 1. a clear mediant-tonic relation is used by Enescu as a finalis-pattern in all recurrences of this theme's variations in the second sonata movement (child-theme *A.1/II.1*) and 2., Enescu's writing could be recalling a famous piano piece in G sharp Phrygian, namely Maurice Ravel's *Alborada del gracioso* from the 1905 piano suite *Miroirs*.

Enescu's bar 46 is similar to *Alborada's* rising figure and dominant-to-tonic falling scalic melody with an upper, triplet semiquavers mordent in bars 7–8 and Enescu's bar 70 is a one-off reworking of *Alborada's* opening arpeggiation gesture (ex. 8). This would not be the first time Enescu reworks fragments by Ravel; *Carillon nocturne* Op. 18 (1916) ends with a one-off quote from the same Ravel suite *Miroirs*, namely, with the main cell of *La Vallée des Cloches's* ostinato accompaniment - perhaps an antagonistic gesture, given the fact that both works share the same thematic - the bell-like sound at the piano.¹

Ex. 8, *Alborada del gracioso*-like gesture in Enescu's first movement (bar 70; Sample transposed on a tonic C):



A closing theme *II.2* can be interpreted between bars 63–64 and 69–70. It has a less obvious thematic contour (ex. 9) but it resembles a bell-like movement omnipresent in Enescu and meticulously explored in *Carillon nocturne* Op. 18; in this case, the bell-like sound is based on recurring intervallic cells of second formed within bars 55–62 from the ending notes of *II.1* - a prolongation on the E key.

¹ I wrote on the issue of intertextuality in *Carillon nocturne* Op. 18 in Kariotoglou Popescu, Oana, *Carillon nocturne și sunetul de clopot în creația pentru pian înainte de 1916* in *George Enescu și muzica secolului XX* ed. by Antígona Rădulescu and Vlad Văidean (București: Editura Muzicală și Editura UNMB, 2023), pp. 47–64.

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Ex. 9, bell-like closing theme //2 (part of ex. 5, 'transformations from a theme to a child-theme'; Sample transposed on a tonic C):



The development and recapitulation too, allow for multiple interpretations. As in some of Enescu's earlier miniatures, e.g., the 1896 *Prélude* in F sharp minor, 1913 *Mélodie* and 1916 *Appassionato* Op. 18, or the 1924 F sharp minor sonata's third movement, the recapitulation is symmetrically organised relative to the development (central) axis; the order of the themes in the recapitulation is flipped, mirror to achieve symmetry. This form of symmetry is stronger than that offered by recapitulations which repeat the exposition per se.

The mirroring recapitulation between bars 146–210 overlaps the end of the development (abbreviated below as DEV) between bars 75–145 and 162–168 - a procedure explored again in this sonata, in the second movement where the restored *A* section overlaps the second half of the *B* section. Thus, the first half of the recapitulation second theme //1 which appears in bar 146 in C sharp Phrygian (one descending fifth distance from the //1 in exposition) postpones the home tonality for its second half, in bar 193. The postponement of homecoming is not at all new; for example, the recapitulation of Beethoven's *Allegro* from *L'Aurore* (sonata *Waldstein*, Op. 53 in C major; performed by a thirteen years old Enescu at the entrance exam for the Parisian conservatoire) 'correct[s] the generically improper tonality en route'.¹ Independently, theme *I* in bar 112 acts as a refrain and suggests that this movement is a joining together of a sonata structure and an *ABABA* structure. My interpretation combines selected results from previous literature. Benteoiu is probably right to consider the development's onset on D's dominant in bar 75, mirrored by the same unit on the tonic in the beginning of a coda-development.² The feeling that the development starts in bar 75 also stems from the opening theme returning in a

¹ Expression borrowed from Hepokoski and Darcy, *Elements ...*, p. 238. See below in ex. 13a schematic display of material types in *Vivace con brio* in which the classical arrival of //1 on the home key is postponed by interpolations: parts of //2 (bars 158–161), a development theme *DEV/I* based on material of the first theme with an onset on F sharp major (162–168), and the ornamented theme *I* in D major (169–175).

² Benteoiu, Pascal, *Masterworks ...*, p. 331.

foreign key and immediately being deconstructed (here, into a prolongation zone with ‘spontaneous’ fragmentations of the first theme *I* and the second theme *II.1*) - a common development practice in classical sonatas. In bar 75, theme *I* transforms into *DEV/I* and preserves some of the first theme’s cells (see below sample of melodic components in exx. 10a–f, ‘key micro-melodies’). *DEV/I* spans the development in bars 75–78, 97–104, and 129–136 (designed as *I*{cells *a*, *b*} with a notable proliferation on the bell-like cells *b* and resembling the main line of another Enescian D major piece- the *Bourrée* Op. 10). Niculescu and Marbé most likely misinterpret the development’s onset in bar 97 as well as bar 169 (ornamented theme *I* and transition between 176–192) as the onset of the recapitulation.¹ Apart from theme *DEV/I*, the development displays the second thematic material, a complete transition, *I*{*a*} in E flat minor (137), and a (disputed theme *I*) in E flat major (112). Bentoiu criticises Niculescu’s theory of a development method characteristic to the pre-Beethoven sonata (again) through the prism of repetitiveness, and concludes that Enescu composed a double recapitulation: ‘What is happening with the appearance [...] of the complete theme A [theme *I*] in E-flat major? The moment has been defined as a development method characteristic for the pre-Beethoven sonata. Hence, one could consider it a “false recapitulation”. ... It is a recapitulation in the full sense of the word’.² However, the result of Bentoiu’s ‘miracle double recapitulation’ theory is a half development, consequently, two times less space for the tension growth (thirty-five measures) – a poor match for the summative coda-development (211–262).

Exx. 10, key micro-melodies in the D major sonata. Samples transposed on a tonic C:³

a. *a* in the first movement (bars 1 and 47)



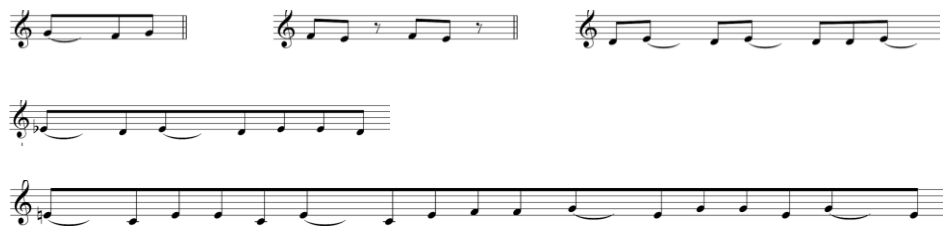
¹ Niculescu, Ștefan, *Sonata a III-a pentru pian ...*, p. 15; Marbé and Zottoviceanu, *Împlinirea ...*, p. 741.

² Bentoiu, Pascal, *Masterworks ...*, pp. 331–332.

³ For an easier comparison, the entities *a*, *b*, *c*, and *d* and their mutations are transposed on the C key.

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b. *b* in the first movement (bars 1, 18, 63, 45) and second movement (20)



c. *c* in the first movement (bars 3, 52, and 65)



d. *c* in the second movement (15) and third movement (35)



and



e. *c* in the second movement (90) and third movement (209)



and



f. *d* in the first movement (bar 11) and across the third movement



and



The second movement *Andantino* may be seen as a terrain for the consolidation of the relationship between the second group themes *II.1* and *II.2* to the benefit of the meta-form. The autonomous movement opens with the child-theme of the *II.1* second theme, *A.1/II.1* in a parlando-rubato manner, marked *dolce*, *pensieroso* and *un poco ad libitum*. The original Phrygian mode of *II.1* is replaced in this second movement by a major scale while the dotted rhythm melts into slow duplets and peaceful triplets and the articulation changes to legato. Parts of *A.1/II.1* then accompany the embroidery-like child-theme of *II.2*, *A.2/II.2* (~D sharp Aeolian, in bar 14), a theme which existing literature did not trace back to the first movement's second thematic group.¹ The two themes are 'mediated' by a third (*A.3/{b}* in bar 20) which may be traced back to the bell-like cell *b* in the first movement first theme.

Exx. 11, *Andantino's* three material types:

a. *A.1/II.1* (as of bar 1)



b. *A.2/II.2* at the onset of a fugue moment (bar 24)



¹ Bentoiu, too, identifies that material from *A.2/II.2* is used in the third movement, but does not trace its origins back to the first movement. See 'Ex. 6, the thematic transformation of *II.2*'

c. A.3/{b} (20–24)



Andantino's tonal development suggests that the movement is a developed large ternary form with coda. Bentoiu is likely right to place the middle section (*B*) between bars 24–80 (as of the four-voice fugue exposition which unlocks the contrapuntal properties of *A.2/II.2*).¹ Bentoiu is also the only scholar to see that the *B* section is overlapped as of bar 57 by the recapitulation's theme *A.1/II.1* in B major (for Bentoiu, a 'development in the reprise').² Niculescu and the followers offer a more problematic sonata interpretation to this middle part of the cycle, interpretation which, nevertheless, does not eclipse the reading of a second, meta-form dimension.³

The third movement's repetitiveness has been associated with an immediately available structural model, the *rondo*. Niculescu labels *Allegro con spirito* a rondo while, at the same time, refers to sonata concepts like 'exposition, 'development', 're-exposition', 'passage leading to coda', and 'coda'. Bentoiu's more detailed analysis upholds Niculescu's classification of rondo and makes it clear that the *Formenlehre* constrains the analysis: '[i]n order to give a plausible

¹ More precisely, a fugue exposition with redundant entry and followed by two other exposures of *A.1/II.1* in ~B flat Lydian and ~G Lydian.

² The terrain also encompasses a complete *A.2/II.2* insertion in bars 64–67 and 75–79. There are other early insertions of *A.1/II.1* between the B{b}lines, in a heterophonic texture in soprano and tenor in bars 51 and 53, or as a single voice in bars 68, 71 and 77.

³ The movement has been labelled *sonata* by Niculescu, Marbé, and Malcom. For Malcolm, 'the strangest pages of piano music written this century' (p. 202) follow 'an elaborate pattern of sonata form, with two development sections, a complex recapitulation and a coda'; in Malcolm, *George Enescu ...*, p. 202. Marbé's interpretation is also likely mistaken the second movement's theme in bars 20–23 and 80–83 (*A.3{b}*), which appears both times on the tonic) for a secondary function and the developed lied form for a sonata form with 'double thematic exposition.' Marbé splits the A section in two, one section starting in bar 14 and one starting in bar 20: 'The double thematic exposition with conclusion, followed by a development [as of bar 45] makes us consider the form related to sonata-form' (Marbé, *Masterworks ...*, p. 745. Translation mine). For Niculescu, *Andantino Cantabile* is a lied-sonata with the secondary theme being [*A2/II.2*], where both exposition and reprise end with a 'conclusive unit [*A.3{b}*] in B major'. Niculescu, *Sonata a III-a pentru pian ...*

interpretation to the form of this free rondo, we have to discard the idea that a certain theme will be associated with a certain section and the subsequent section will be characterized by another theme. Enescu's entire finale is built on the derivatives of one single theme (G from the Andantino [in this study, A.2/II.2]) and involves insertions from the other two main themes of the work: F (= D varied, in Bentoiu's own analysis of the first movement) [in this study, A.1/II.1, a child theme of II.1] and A [in this study, I], in order of their appearance.¹ Subsequently, Noel Malcolm perpetuates Bentoiu's classification of *Allegro con spirito's* 'formal triumph': 'what begins as a simple rondo turns into a tour-de-force of cyclical re-combination, in which material from the earlier movement is sucked and transformed, in a sequence of passages which remain musically connected despite their frequent shifts in mood and style'.²

The more general label rondo has inhibited, I believe, the exploration of new approaches that could have led to deeper insights into this sonata's form to such an extent that the established meaning of *refrain* itself has ultimately been disregarded. Looking for a large-scale structural implication of 'lightning-like' thematic recall of I between the chameleonic appearances of A.2/II.2, Bentoiu too, considers this recall of 'the character with the strongest personality to be 'a rhetorical gesture, a *replacement* material for the refrain's elements' γ and G [A.2/II.2]' 'sufficiently solicited so far'.³ Bentoiu's position is complacent to Niculescu's earlier statement that the third movement 'recapitulation begins by replacing the refrain with the theme I of the first movement'.⁴ In Niculescu's text, overlooking the importance of theme I for the cycle's unity is compensated by attributing a greater role to the second thematic material which conveniently relates thematically to its immediate surroundings (for

¹ Bentoiu, Pascal, *Masterworks ...*, p. 347 and p. 338.

² Malcolm, Noel, *George Enescu ...*, p. 202.

³ 'Bright stroke of lightning: in the rather monotonous thematic landscape of the finale (everything derived from G [A.2/II.2], except for some shy insertions of F [II.1]) suddenly appears the indisputable boss [theme I], the character with the strongest personality, the lord who has invited us to the whole feast. The entire festivity is given in his honour'. Bentoiu, *Masterworks ...*, p. 342.

⁴ Niculescu, Ștefan, *Sonata a III-a pentru pian ...*, p. 22. Translation mine. Original text in Romanian: 'Repriza se face prin înlocuirea refrenului cu tema I a primei părți'.

Niculescu, 'the cyclical theme of this sonata' or 'cyclical theme I'; in my analysis //2 and its child themes).

Yet, through the lens of the two-dimensional form theory, *Allegro con spirito* is more complex than a rondo; it is perhaps the ideal demonstration of how the tension between two sonata form dimensions can be substantially reduced by units with double functions through motivic and modal-language manipulation. Albeit, no matter what interpretation is given to the local structure, one can admire the meta-sonata elements. The idea of a material being empowered to undertake functions in different dimensions has been already explored by Benteoiu in the analysis of other Enescian scores, such as that of the previous piano sonata in F sharp minor Op. 24: the work likely includes passages with a double formal function (development and recapitulation).¹ In this sonata, the versatile theme //2 spans the whole cycle and meanders between the overarching and the movement dimensions (ex. 5 above, 'transformations from themes to child-themes'; for those readers interested in a potential narrative, //2 could be portraying the unstable mind of Enescu's future wife, Maruca, diagnosed the same year, in August 1935, with depression, anxiety and deliriant thinking manifested as psychosis).²

In what concerns the relationship between the two dimensions, *Allegro con spirito* coincides with the last section of the meta-development (namely the pedal on dominant, on A Phrygian) and the meta-recapitulation. The motivic transformation, a hallmark of Enescu's style, becomes in this score (to use Vande Moortele's words from the analysis of Liszt's two-dimensional sonata) 'an ideal tool for the mediation of single-movement and multi-movement patterns'.³ While theme I remains intact as the first theme for both dimensions, the

¹ In the analysis of Enescu's F sharp minor piano sonata Op. 24 Benteoiu highlights that a section 'can be given a double meaning [, ...] development, especially due to [a] modulatory character [... and] recapitulation. [...] with six bars of tonal uncertainty, the composer satisfies both functions, development and recapitulation, following them with reinstatement [...] of the recapitulation proper, leaving no other interpretation possible'. Benteoiu, *Masterworks ...*, pp. 283–284.

² Kogălniceanu, Ilie, *Destăinuiri despre George Enescu* (București: Editura Minerva, 1996), p. 54. Translation mine; original text in Romanian: 'Medicii constată stări de profundă depresie, anxietate, idei delirante sub formă de psihoză'.

³ Vande Moortele, Steven, *Two-dimensional sonata forms ...*, p. 41.

material of *II.1* and *II.2* serves the second-theme function in both dimensions. Articulately, the second-theme group of the meta-form is completed by the recall of the first movement's *II.1* in D minor (bars 242–249) and a very close variation of *A.2/II.2* (child-theme of *II/2*) in D minor (239–241). Thanks to the completion of the secondary group *II.1* and *A.2/II/2* (*II/2*), the meta-recapitulation can be highlighted between bars 191–275. Retrospectively interpreted, the third movement's development theme, *DEV/I* in D minor (191-194) marks the beginning of the meta-recapitulation through the return of its first theme. The music builds up to a rhetorically powerful summative coda, summative due to the material gathering and due to the structural union of the two form dimensions (as of bar 305 with *DEV/I* in an unstable D major, violently rephrases through *II.1* in bars 317–324 the second movement's coda between bars 84–87, and ends with a thirteen-measure prolongation on tonic).¹

In what concerns the completion of an autonomous third movement according to *Formenlehre's* exigencies, both first and the second thematic functions arise from the melody of *II.2* of the first movement. I experience the first theme (*I.A.2/II.2*) as a conflux theme shaped gradually once the anticipations of the finale's onset begin to replace the *Andantino Cantabile's* music. In the recapitulation, I locate the gradual formation of this first theme as of bar 175 through dispersed segments: bars 275–278 in an unstable D minor, bars 278–283 in B flat Aeolian, bars 284–294 in A double harmonic major swinging to D minor, and bars 295–304 in an unstable D minor. I see an anticipation of the recapitulation between bars 236–238, intermingled with the development material *DEV/A.2/II.2* in B minor (the home tonality's minor relative and equivalent of the meta-form's second theme zone *II.2*) in bars 227 or 229–238 and *DEV/II.1* (head) in D minor (equivalent of the the meta-form's second theme zone *II.1*). I see an inverted recapitulation constructed with the child-themes *II.1/A.2/II.2* in bars 242–249 (local second theme in D minor, equivalent of the meta-form's second theme zone *II.2*) and *II.2{c}* in bars 267–275 (local closing theme,

¹ Ibid., p. 55. Summative codas are, according to Vande Moortele, 'specific' to two-dimensional sonata forms. Romanian scholars too, notice the tension's impressive built up: 'The whole rondo is a preparation of the coda'. Niculescu, *Sonata a III-a pentru pian ...*, p. 23. Translation mine. Original in Romanian: 'Întreg rondoul e o pregătire a codei'.

gradually evolving towards the D minor's dominant). Last but not least, I see a truncated transition between bars 250–266 which adds greater complexity to the form (among the transition's modules, the theme I/A.2/II.2 head in ~E Aeolian and theme B/{b}).

Enescu's interest in superimposed form, namely in the two-dimensional sonata concept, could be traced back to the C major Octet for strings Op. 7 from 1900. According to Benedict Taylor, 'the Octet is an example of a two-dimensional design in which the formal functions of the sonata operate simultaneously at different hierarchical levels'.¹ Based on Taylor's analysis and on Enescu's own description of the four-part work about fifty years later in an interview with Gavoty, as well as in the preface to a 1950 edition of the work, the Octet's meta-form is comparable to that of the D major sonata: the first movement corresponds to an overarching sonata exposition and the final movement to a recapitulation which includes 'material from the inner movements, often themselves derived from the first movement [...]; While the vital second-movement scherzo may very well multitask for a development, the relation of the slow movement to an internal sonata function is less evident'.²

Instead of a conclusion, I present below a schematic comparison between my findings and those of Bentoiu and Niculescu correlated to this first interpretation of a meta-form in this sonata.³ As Bentoiu's referral system is page/line/bar and Niculescu's analysis is not yet available in English, it is relatively difficult to otherwise understand how much and in what way my results differ from those of the previous research when it comes to highlighting Enescu's motivic transformation (exx. 12 a–c) and display of material (exx. 13 a–c).

¹ Taylor, Benedict, *Landscape – Rhythm – Memory: Contexts for mapping the music of George Enescu, Music and Letters*, 98.3 (2017), <<https://doi.org/10.1093/ml/gcx054>> [accessed May 2024], p. 23.

² Ibid.

³ Comparison based on the following analyses: Bentoiu, Pascal, *Masterworks of George Enescu: a Detailed Analysis* (Plymouth: Scarecrow Press, 2010/ translation of *Capodopere enesciene*, Bucharest: Editura muzicală a U.C.M.R., 1984), pp. 327–350. Bentoiu's reference page/system/bar is based on a 1956 score published by the Union of Composers; see p. 328. Niculescu, Ștefan, *Sonata a III-a pentru pian de George Enescu, Muzica* 6.8 (1956), pp. 12–24.

Exx. 12, thematic linking in the D major sonata Op. 24:

a. After Kariotoglou

First Movement, <i>Vivace con brio</i>	Further transformations	Second Movement, <i>Andantino Cantabile</i>	Further transformations	Third Movement, <i>Allegro con spirito</i>
	DEV1			DEV1
<i>I(a,b,c)</i> Where <i>a</i> = dominant-to-tonic falling scalar melody; <i>b</i> = bell-like gesture (recurrent second or recurrent third), and <i>c</i> = spinning-like gesture	<i>II.2(b, c, d[abbreviated])</i>	A.3(<i>b</i>)	B(<i>b</i>)	<i>insertion B(b)</i>
		A.2/ <i>II.2</i>	<i>Personification c</i>	<i>I/A.2/II.2</i> (Niculescu's "cyclical theme I") <i>II.1/A.2/II.2</i> <i>TR(c)</i> <i>DEV/A.2/II.2</i> low register <i>Closing theme II.2(c)</i>
	<i>II.1 (a, c)</i>	A.1/ <i>II.1</i>		DEV/ <i>II.1</i>
<i>TR(d)</i> where <i>d</i> =a three-note arpeggio			<i>Personification d</i> as a prefiguration of the third movement's material	<i>I/A.2/II.2</i>

b. After Niculescu¹

First Movement, <i>Vivace con brio</i>	Further transformations	Second Movement, <i>Andantino Cantabile</i>	Further transformations	Third Movement, <i>Allegro con spirito</i>
theme I = unit A[a,a2]+ unit B1[[Greek characters] <i>a</i>], unit B2(<i>a</i>), unit B3(<i>a</i>)+C deduced from a2 (B1 taken from B2) [Where <i>a</i> = arpeggio gesture]	transition II.2= F[a2],F[a3],G II.3= A[a1,a2]			
		<i>y</i> [the root position arpeggio seen separately from <i>a</i>]		<i>y</i> [arpeggio gesture] refrain {R+ <i>y</i> }
a2 [bell-like, recurrent second gesture]	a3 [spinning-like cell] with origin in the bell like prolongation of II.2]	motif L1		
		theme II= H {f1 and g}+ I	R [spinning-like cell personalised]	refrain {R+ <i>y</i> } couplet K=H {f1 and g}+ I{h <i>y</i> }, couplet K=H {f1 and g}+ I{f2+h <i>y</i> }, couplet K=H {f1 and g} S, new theme related to K
theme II.1= D[b1,c]β,E[d, b2, c]β]		theme I=D1E1		'cyclical theme I'
II.2 = F[a2],F[a3]				
		conclusive unit {motives I+II}		

¹ Scheme arrangement mine. Original language: Romanian.

c. After Bentoiu¹

First Movement, <i>Vivace con brio</i>	Second Movement, <i>Andantino Cantabile</i>	Third Movement, <i>Allegro con spirito</i>
'First compositional surface' [m.m.1-20]('first theme'='A' 'complete,'element B' and 'element C')		Insertion A
'Theme D,'second theme'	'Theme F'	Insertion F
'Element a' [seventh jump]		
'Element E' [my II.2/b, c, d[abbreviated]]	<ul style="list-style-type: none"> 'Theme H' [my A.3[b]] 'Theme H var.' [my B[b]] 	
	'Theme G' [β [the arpeggio cell d] and γ [spinning-like cell c]]	<ul style="list-style-type: none"> Themes G1-G10 ['element β' and element γ] Element γ [observed separately. In my analysis TR(c)] Theme I related to G [In my analysis TR(c). This is the inversion of γ; Bentoiu uses two different types of symbols for the same motivic root]

Ex. 13, schematic display of material types; I have erased the lines between the musical segments where the results match across research:

a. *Vivace con brio*

After Kariotioglou: Sonata form with inverted reprise and coda development	After Niculescu: Sonata form	After Bentoiu: Sonata form
Exposition, D major to A major (bars 1-74)	Exposition (1-96)	'Exposition' [1-74]
(f/a/b) in D major (1-8) Transition (8-46) with TR(d) theme based new cell d descending arpeggio-based (as in bars 10-12), bell-like cell b (as in bars 18-20) and a cells (8-9, 31-34)	Theme I [1-20] Transition [21-46]	'First compositional surface' (bars 1-20) ['first theme'/'A', 'complete,'element B' and 'element C'] 'Bridge' 'Retake' ['first compositional surface' unstable, 31-45]
Second thematic group: theme II in C sharp Phrygian/E major (46-62) with prolongation on E theme II.2(b, c, d, e) unstable closing unit, -E major encompassing b, c, and d (63-66, 71-72) and 'Alborada' gesture e (69-70 and 73-74)	Second thematic group: Theme II.1 in C sharp Phrygian/E major Theme II.2 in C sharp minor (closing unit, 63-74)	'Second theme' -> 'D' [the [halves] D and D2, 'element a', and the 'element E']
Development, A major to C sharp phrygian zone (75-145) Theme DEVI in A major (75-78) and prolongation with amalgam cells from theme I and themes II on an A Lydian prolongation (78-96)	Theme II.3 in A major based on I and II [75-88] Exposition's coda, an A Lydian prolongation [89-96, Emphasis mine]	'Development' [75-111]
Theme DEVI, D major zone (97-104) TR(d) (105-111)	Development [97-169]	
(f/a,b) in E flat major (112-119), (Refrain for a sonata-rondo design) Transition initial Theme DEVI in G minor (129-136) Transition with cells a and TR(d) (E flat minor to C sharp Phrygian, 136-145)	Theme I in E flat major, etc.	'First Recapitulation' [112-161, with theme A in E flat major and the recurrence of all the elements of the exposition in exactly the same order]
Inverted Recapitulation, C sharp Phrygian to D major (146-210) Second thematic group: II in C sharp Phrygian with its second unit melodically anticipating a D zone (146-158) Closing II.2(b, c, d) (158-159) and e (160-161)	Second thematic group [146-161] with theme II in C sharp Phrygian, II.2 C sharp Phrygian, (Bentoiu and I consider this moment as part of the recapitulation; Niculescu's unit II.3 exposition is an one-off (exposition only) and development begins in bar 97)	
Development theme DEVI in an unstable F sharp major (162-168)	Modulatory F sharp major to D major, theme I-based passage [162-168], Emphasis mine. Niculescu previously considers the same material as II.3	'Bridge' [with 'A' in an unstable F sharp major 162-169]
I in D major, variation (169-175) Transition initial, variation D major (176-193) Second thematic group: II in D major (193-200) Closing II.2 (b, c, d, e) -F sharp minor to D major (201-210)	Recapitulation [169-210]	'Second recapitulation'
Coda-development, D major (211-262) Parts from I and II (211-262) and a prolongation on D major (249-262)	Coda-development [211-262]	'Coda' [211-262] 'well developed'

¹ Scheme arrangement mine. Original: English.

b. *Andantino cantabile*

Kariotoglou: Large ternary, after Kariotoglou	Niculescu: Lied-sonata	Bentolu: 'Developed lied'
A A.1/1 in B major/ F sharp major (1-5) A.1/1 in B major/ F sharp major (6-14), formed on a F sharp pedal (6-7) A.2/1 in F sharp major/ D-sharp aeolian to B major (14-19) accompanied by A.1/1 cells A.3(b) in B major (20-24)	Exposition Theme I in B major Theme II in B major Theme II in D sharp minor [14-19] Conclusion-like unit [20-24]	'Exposition' F' [1-5] F' [6-14] C' [y] and [y'] [14-19] H' [20-24]
B First episode, fugue on A.2/1/2 (24-44) A.1/1 in -B flat major, unstable (39-44)	Development [24-59]	'Development' [24-59]
Second episode, based on the new material B(b) and parts of A.1/1 with wavel accompaniment (45-56)		
Third episode, based on parts of A.1/1 and B(b) (68-80)		'Development in the reprise' [68-77]
A A.1/1 in B major/ F sharp major (87-83) A.2/1 unstable (83-87 and 75-79, pending between F sharp Dorian, C sharp Aeolian, and A Lydian, and D minor, respectively, towards B major accompanied by A.1/1 in bars 86-88 and 77) A.3(b) -B major (80-83), unstable, ending with A.2/1,2 cells on a D minor mode	Recapitulation [60-83] Second half of theme I in B major [60] Theme II in 'C sharp minor' [64]	'Recapitulation' [58-67 and 80-83]
Coda toward A Phrygian (84-100 and continuing into the third movement, bars 7-10) A.1/1 (84, 85, 92) and the cells c (on A phrygian in the left hand) ending with cell c (in the right hand, as presented at the end of bar 90)	Development [84-90]	[Coda: 84-100] 'Memory of the reprise (can be considered a further development or a larger coda)' [84-90].
Becoming (A.2/1,2 [91-100])	Coda [91-100]	'Coda' [91-100]

c. *Allegro con spirito*

		Brevier; [rondo] in Masterworks
Exposition (A.2/1,2 (D Aeolian/A Phrygian); becoming, as of the second movements's coda- bar 17 with accompaniment of cells d; proper theme; 18-31 (32). Pedal on the dominant of D for the meta-form	'Exposition R (A [phrygian]) K (D) R + thematic transformation + R (bi-tonal harmonised)	'Introduction' [1-17] (R + y (both deriving from C))
Transition (28-83) TR/c] (33-36, 37-41 and 78-83, inverted and further altered at 42-45 and 58-65, augmented 48-58) Cells d as accompaniment in bass (29-30, 33-34, 37-38 etc.), in soprano (31-32, 69-72), and metamorphosed in harmonic intervals of third (as in 39-41) and melodic fifths (as in 46-47, or 76-77)		'Principal group I (refrain)' [18] [GT, 'I', 'Y', 'Y' (related to G), 'I' and 'Y']
Second thematic group theme II (A.2/1,2 - A Aeolian (84-104). Key signature changed to A minor. Modal functional swinging between A Aeolian and E Phrygia	'Development [84] K (in A minor) + a short work out of K'	'Secondary group I (verse I)' [84] ('GZ', 'Y',
Second thematic group closing theme II.2(c) on A Aeolian (104-110)	'S (in A [minor])'	'C3 theme S', 'I', 'C4', 'I', 'Y', 'F', 'C5', 'F-var.', 'I', and 'Y-I'
Development [110-242] First section (A Phrygian and A Aeolian to D minor/D major) DEV/A.2/1,2 (onset in bass) in an A minor mode, unstable (as of 110 spanning until 142) together with insertions of cells a (136), c (134-135, or 155), and d DEV/A.2/1,2 (onset in bass) in -D Aeolian (140-150) Head DEV/A.1/1 in -E Lydian and further amalgam of d type cells (150-164)	'Transformations of K and R Cyclic theme I + K Cyclic thematic transformations I'	
Pedal on dominant (key signature D minor) with DEV/A.2 in heterophonic treatment (165-190)	'S (A [minor]) + development of S'	'Bride' [at 165] 'C3 9th bass' 'y sequence'
Second section (D minor/major); recapitulation of the meta-form DEV/I in D minor (191-194) I theme for the meta-form. TR/c] (194-225) and cells d; Pedal on D minor dominant switched to B minor dominant (closer to D major through the minor relative, B minor (224-226)	'Recapitulation [191] Theme 1 of the first movement (D major/minor) + R (bi-tonal)'	'Principal group II (refrain)' [191] 'A [in] (minor)' 'I-var.' 'I'
[Continuation development (110-242)] DEV/A.2/1,2 in B minor (227 or 229-238). Key signature change to D minor theme DEV/II head in D minor; second thematic group of the meta-form, first theme : :1 (variation: 236-238)	'K (in B [minor]) + cyclic theme I + K (in D [minor]) + developments of K Pedal on D'	'Secondary group II (verse II)' [227] 'C6' 'F-F' 'C7' [242] 'C6'
Inverted recapitulation Second theme II (A.2/1,2 variation in D minor (242-249); second thematic group of the meta-form, second theme Transition (250-266) (A.2/1,2 head in -E Aeolian and B(b) (at 260) Second thematic group closing theme II.2(c) to a D minor dominant (267-275)		
Becoming (A.2/1,2 via an unstable D minor (275-278) and B flat Aeolian (278-283). A.2/1,2 D minor or A double harmonic major (284-294)	'Passage towards coda [276] S, R, and K based'	'Bride' [276] 'C var.' 'y sequence' 'I+G8'
(A.2/1,2 in D minor (295-304)		'Principal group III (refrain)' [295] 'C9 (paroxysm) 'I, partial'
Coda-development (305-353) DEV/I in D major unstable (305-311) Five DEV/II heads, resembling second movement coda (312-324) DEV/I unstable (325-330), head of DEV/II (331, 332) and cells c (as in 335) Prolongation on D major, with augmented A.2/1,2 in alto (340-353) and cells o and d'	'Coda' [305]	'A (apothecia)' [305] 'F (paroxysm)' [312] 'CODA' [325-353] 'A-I' 'C10' 'The coda of the coda: A, I' [340-353]

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SUMMARY

Oana Kariotoglou Popescu

A "Two-dimensional" Piano Sonata?

Enescu projects unity across the three-movement *Sonata* Op. 24 in D major by means of motivic transformation. The resultant motivic interrelationship within this sonata cycle has only been explained one-dimensionally, at the movement level, and the premise of an overarching-, meta-form has remained so far unexplored. This case-study reevaluates the complexity of Enescu's writing, proposing that this piano sonata engages with features of the two-dimensional sonata form while still referencing concepts of more traditional formal models; that

the self-sufficiency of the movement in this sonata has a two-pronged effect, not only minimising the impact of the meta-structure, but also establishing structural expectations against which the different pacing of the two dimensions can be highlighted; and, last but not least, that Enescu manipulates formal processes concerning both dimensions of this architecture through the use of motivic transformation and modal language.