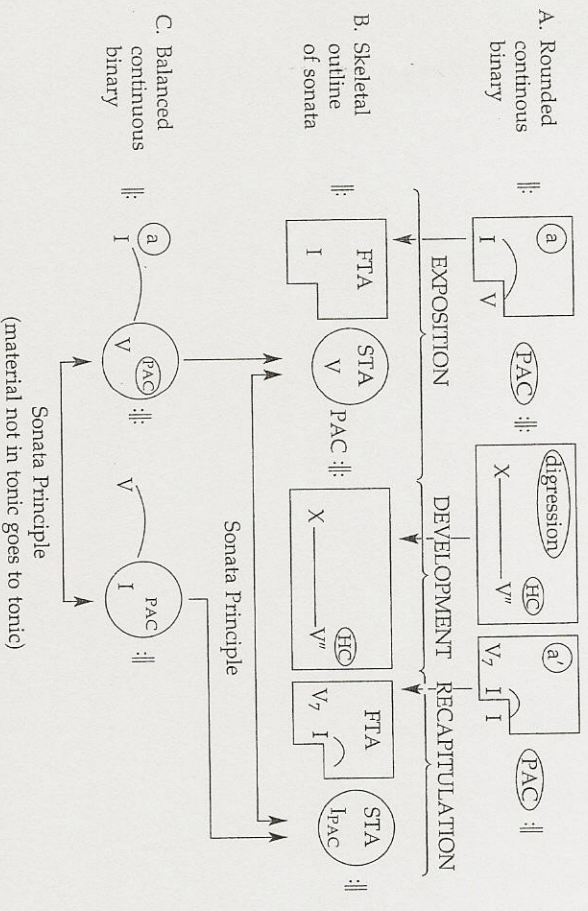


EXAMPLE 30.2



Notice that in Example 30.2B, both exposition and recapitulation are divided into two sections that are defined by harmony. In the first tonal area (FTA), material is presented in the tonic key, and in the second tonal area (STA), material is presented in the contrasting key (V in major or III in minor). Notice that the STA in the recapitulation is the point at which material presented initially in the contrasting key is transposed to tonic. The FTA is dependent on rounded binary characteristics, (as shown by boxes migrating down from the rounded continuous binary diagram) while the STA is dependent on balanced binary characteristics, (as shown by circles migrating up from the balanced continuous binary diagram). Thus, the five subsections of a sonata form are articulated and governed by harmony.

Sometimes, the FTA and STA are referred to as "first themes" and "second themes" or "primary themes" and "secondary themes." The use of the term "theme" to define what is actually a "tonal area" is confusing and implies that melodic and thematic aspects of sonata form are more important than the harmonic elements, which are the driving force for sonata form. (This point is supported by the fact that Haydn often recycled the opening theme in the second tonal area, but he never recycled the opening tonal area in the second part of the exposition.) These terms also lead to confusion in

and STA. Does "second theme" mean the contrasting theme that appears at the new key, or does it refer to the second melodic idea heard in tonic? To avoid this ambiguity, we will label each theme in a way such that the number 1 or 2 designates its tonal area location (first or second) and a letter *a-z* indicates its order. For example, given three themes in the FTA and two in STA, you would label them as 1a, 1b, 1c, 2a, and 2b respectively.

Listen to the small sonata movement by Beethoven in Example 30.3 and see if you can label the five subsections. Be aware that you will encounter passages that seem not to belong to any one of the five sections. For now, we'll ignore those passages. Keep the following questions in mind as you proceed:

1. What is the large-scale tonal progression? Does it conform to our models of binary form? If not, what are the differences?

EXAMPLE 30.3 Beethoven, Piano Sonata no. 19 in G minor, op. 49, no. 1, *Andante*

The musical score for Example 30.3 is presented in piano and bass staves. The key signature is G minor (one flat) and the time signature is 3/4. The score is divided into measures, with specific measures highlighted: measure 8 (piano), measure 15 (piano), measure 21 (piano), and measure 27 (piano). The piano part features a melodic line with various dynamics (p, mp, mf) and articulation (accents, slurs). The bass part provides harmonic support with chords and moving lines. The score includes a repeat sign at the end of measure 27.

Continued

32

39

44

49

54

59

65

73

78

83

89

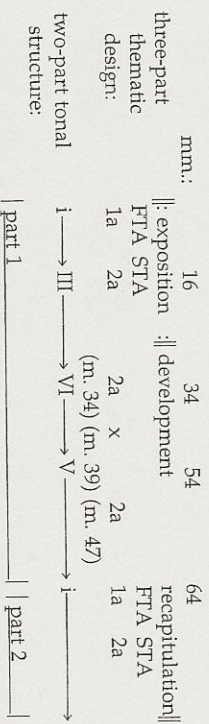
95

102

Beethoven's movement does indeed blend and expand aspects of rounded and balanced binary forms. The exposition opens with an FTA in G minor. The STA begins in m. 16 in III (B^b major), which is extended and closes the exposition in m. 33. The development begins in III, but B^b immediately becomes V/VI (E^b). We secure VI by m. 38 and that key continues until m. 48, at which point a tonally unstable section begins. The dominant is landed on in m. 54 and expanded by a pedal until m. 63. The recapitulation begins in m. 64 with a restatement of the FTA tune, again in G minor. The STA tune, now transposed to the tonic (G minor), begins in m. 80, and the rest of the movement remains in G minor.

The diagram in Example 30.4 reveals why only the Exposition is repeated: the development and recapitulation together are over twice as long as the exposition, and Beethoven achieves a proportional balance by repeating only the A section.

EXAMPLE 30.4



Now that we have determined the large-scale tonal and formal sections in Beethoven's movement, let's return to those passages that we have not examined. Between the FTA and the STA (mm. 9–15) is a passage that begins identically to the opening of the piece, and given that it follows a half cadence, we might expect this to be a consequent phrase that makes a period. Instead, the repetition of the opening phrase is altered in m. 13 to prepare the motion to III (B^b) by its dominant in m. 15. This seven-measure consequent phrase that leads to the STA is called a transition (Tr). There are two types of transitions: those that begin with a restatement of the initial theme, like this example, are called **dependent transitions** (DT), and those that use new material are called **independent transitions** (IT). Either type helps to modulate to the STA and may close in the new tonic or on its dominant, reserving the statement of the tonic for the opening of the STA.

Although the melodic material in the STA (in III) sounds contrasting, its melodic contour bears a subtle resemblance to the opening theme: the opening motive of a rising sixth and falling third expands to a rising seventh and falling tritone. Notice that the descent from E^{b5} to A⁴ is balanced by an ascent from B⁴ to F⁵ (mm. 16–17). The contrasting tune of the STA ends with a PAC (in III) in m. 29. The following cadential section, which closes the exposition, is called the **closing section** (Cl). The closing section follows the

appearance of contrasting thematic material in the STA and a conclusive cadence of that material. Because the closing section's purpose is to reinforce the new key, it usually contains multiple cadential figures that are cast in two or more subsections that may even contain new thematic material. As such, the closing section is often longer than the STA's thematic section, which may occupy eight or even fewer measures. A double bar (with repeat signs) usually marks the end of the exposition, just as it marks the close of the A section in a binary form. Thus, the exposition contains the following subsections: FTA–transition–STA–closing.

The development is usually the freest section in a sonata form and is analogous to the digression in a binary form. Material presented in the exposition is transformed, although composers are free to spread their wings and introduce one or more new themes, explore new and often remote harmonic areas, and develop thematic and motivic material through transformations that include thematic fragmentation and sequence. Given the improvisatory character of the development, there is often a complete absence of regular phrasing and periodicity. Thus, developments are often the most complex and dramatic sections of the movement. Underneath the chaotic surface, however, lies a logical unfolding of tonal and melodic events that imbue the form with a sense of coherence.

Beethoven begins his development with a variation of the theme from the STA, followed by a new melody in E^b major (VI) that enters in m. 38 (labeled "x" in Ex. 30.4). The melody from the closing section enters in m. 46, ushering in a tonally unstable section that drives to the dominant and the interruption in m. 54. The **retransition** is the area in which the dominant prepares the return of the tonic. In major-mode sonata forms, the dominant would be secured much earlier, in the STA, and from that point is implicitly prolonged through the development and explicitly restated at the **retransition**, which expands the dominant and moves to the interruption that immediately precedes the recapitulation.

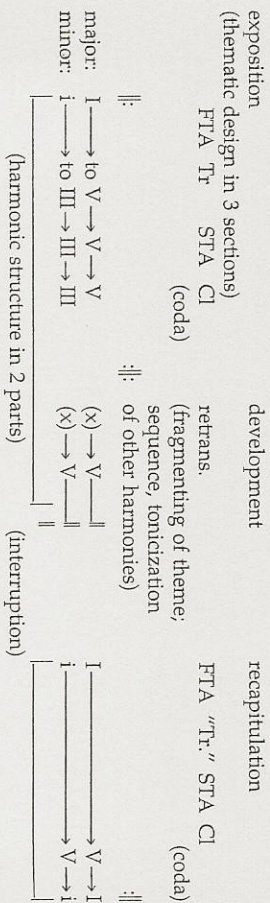
Almost always, the recapitulation repeats many events of the exposition, but it contains crucial changes, the most important of which is that not only the FTA's material but also that of the STA and closing section is stated in the tonic. Given the appearance of thematic and closing material in the tonic, we can see how the recapitulation expands and combines attributes of rounded and balanced forms. Specifically, the return of the FTA corresponds to the A' section of a rounded binary form, and the return of the STA corresponds to the balanced binary form, in which the closing part of the A section reappears in the A' section in the tonic. Composers often alter the recapitulation by compressing thematic material from the FTA, introducing brief tonicizations using modal mixture, or even reversing the order of themes from the exposition's FTA and STA. Thus, even though the transition reappears in the recapitulation (albeit rewritten), it no longer functions as a transition, because the STA remains in the tonic. Beethoven's recapitulation (mm. 64ff) begins identically to the A section. Notice that the HC that originally moved to III in the exposition is transposed so that it is a HC in

the tonic (m. 79). Because there is no key change between the FTA and STA in the recapitulation there is no need for a functioning transition. After the transition, the STA tune recurs in the tonic, exactly as expected.

Although the movement could have ended in m. 97, Beethoven instead concludes the movement with cadential material from the STA in a coda. Codas occur at the very end of the closing section in either or both the exposition and the recapitulation. They are optional, as the name implies (in English, "tail" or "appendage"). They serve to confirm the tonic and often to incorporate material from the FTA or STA. Material is often stated over a pedal point, which creates a strong cadential feeling. Finally, codas often emphasize the subdominant, which provides a large plagal motion that extends the prevailing tonic.

Thus, sonata form is an expanded structure that appropriates features from both the rounded and the balanced binary forms in a three-part design whose sections are conventionally termed exposition, development, and recapitulation. Harmonically, sonata form in the Classical period is an expansion of the binary's large-scale two-part tonal structure. The first tonal motion (I to V in major) is incomplete; tonic begins the exposition and gives way to the dominant in the STA (in minor keys, III is often the first tonal goal, as we saw in the Beethoven movement). The dominant is prolonged (often through highly elaborate tonicizations of other keys) to the end of the development section, where it is left incomplete by creating a giant HC. Usually a linking dominant seventh helps to resecure the tonic, which begins the second tonal motion in the recapitulation. Tonic is prolonged through the entire recapitulation until the very end, where the structural dominant harmony leads convincingly to the structural tonic in a giant PAC. The diagram in Example 30.5 provides a complete summary of the prototypical events that occur in a sonata form written in either major and minor modes.

EXAMPLE 30.5 Sonata Form



Example 30.6 illustrates one of Haydn's string quartets in which the opening of the FTA theme reappears in the STA. Haydn frequently uses the same theme (although often varied) in both the FTA and the STA, to create a form

called a **monothematic sonata form**. The lack of thematic differentiation between sections plays havoc with attempts to define a first theme and a second theme, but, as you will see, it poses no problem to our analytical labeling system.

EXAMPLE 30.6 Haydn, String Quartet in A major, op. 55, no. 1, *Allergro*

A. FTA

Allergro

Violino I
Violino II
Viola
Violoncello

in I:

B. STA (using FTA theme)

30

in V:

Additional Characteristics and Elements of Sonata Form

The slow introduction. Some movements cast in sonata form contain slow introductions that touch on foreign harmonic territory and chromatic key areas and incorporate modal mixture. This is particularly common in large works, such as symphonies. Slow introductions usually begin on the tonic (although I is not well established) and eventually move to and close on a

half cadence. Because the slow introduction wanders harmonically before moving to V, and because V is often extended, hovering, and waiting to resolve to the tonic, the introduction can be heard to function as a hugely extended upbeat that resolves to the tonic "downbeat" at the allegro FTA.

Harmonic anomalies. Two harmonic anomalies frequently appear near or at the point of recapitulation. The first is the **false recapitulation**, in which the theme from the FTA appears in the "wrong" key, usually follows soon thereafter. Thus, false recapitulations are actually part of the development. The second harmonic anomaly is the **subdominant return**, in which the recapitulation begins not on I but on IV. This procedure arose to create harmonic interest in the recapitulation since so much of it is traditionally cast only in the tonic. Given the exposition's tonal model of root motion up a fifth from I to V, and given that the STA in the recapitulation must appear in the tonic to prepare for closure of the movement, composers solve the problem of stasis simply by beginning the recapitulation down a fifth from the eventual tonic that occurs in the STA. The chart below illustrates this procedure:



Nineteenth-century sonatas. Sonata form remained important in the nineteenth century but continued to change. Occasionally, the nineteenth-century sonata used a **three-key exposition** incorporating mediant relations. For example, Bruckner's Sixth Symphony, in A major, moves I-iii-V in the exposition and I-vi-IV in the recapitulation before returning to tonic.

Analytical Interlude: Sonatas of Haydn and Mozart

To provide analytical models for your own analysis, we will continue with an analysis of two sonata movements, the first by Haydn and the second by Mozart. In addition to exploring the form of these movements, we will see how each composer fleshes out the structure. In the Haydn sonata, we will focus on tonal issues to see how surface events penetrate into deeper musical structures and influence the form. In Mozart's piece, we will discover how an analysis of motivic expansion helps to clarify the meaning behind what appears to be tonal chaos in the development.

Haydn: Piano Sonata no. 48 in C major, Hob. XVI.35,

Alllegro con brio

Haydn's well-known Piano Sonata in C major provides a good introduction to analysis of sonata form, although it does not always strictly adhere to tra-

all, but a dynamic process in which certain conventions of form can often be counted on to appear. In beginning your study, listen to the piece, marking the following events and providing roman numerals:

- Exposition
- FTA
- Tr
- STA
- Cl
- Development
- Retrans
- Recapitulation
- FTA
- Tr
- STA
- Cl

Also mark the introduction and coda, if present.

EXAMPLE 30.7 Haydn, Piano Sonata no. 48 in C major, Hob. XVI.35, *Alllegro con brio*

Continued

Continued

Musical score for measures 20 through 46. The score is written in treble and bass clefs with a key signature of one sharp (F#). It features a complex rhythmic pattern with many eighth and sixteenth notes, often beamed together. Dynamic markings include *pp* (pianissimo), *p* (piano), and *f* (forte). Measure numbers 20, 24, 28, 31, 36, 40, and 46 are clearly marked at the beginning of their respective staves.

Musical score for measures 46 through 79. This section continues the complex rhythmic and melodic patterns from the previous page. It includes dynamic markings such as *f* (forte), *p* (piano), and *pp* (pianissimo). Measure numbers 46, 52, 56, 60, 64, 68, 73, 76, and 79 are marked at the start of their respective staves.

Continued

83

87

91

95

99

103

110

Adagio Tempo I

Musical score for measures 83-110. The score is in treble clef with a key signature of one sharp (F#). It features a complex rhythmic pattern of eighth and sixteenth notes. Measure 99 is marked "Adagio Tempo I" and "p". Measure 110 is marked "f".

114

117

121

125

129

134

141

Musical score for measures 114-141. The score is in treble clef with a key signature of one sharp (F#). It continues the rhythmic pattern from the previous page. Measure 129 is marked "p" and "cresc.". Measure 141 is marked "f".

Continued

Continued

Exposition

The piece begins without an introductory, at m. 1 the exposition commences with the FTA in the tonic. The opening eight-measure theme begins with simple arpeggiations (mm. 1-4) followed by a mostly stepwise descent with incomplete neighbors (mm. 5-8). A bit of melodic reduction reveals a stepwise motion from the repeated G that descends a fifth to C in m. 8 (Example 30.8)

EXAMPLE 30.8 Haydn, Sonata in C, mm. 1-8

Note that the final D⁵ and C⁵ do not really participate in this linear descent until the final cadential motion ii⁶-V-I; the contrapuntal motion and voice exchange in m. 6 simply prolong the E⁵ in m. 5. The dominant harmony that closes m. 4 and begins m. 5 links the two four-measure units. Measures 9-16 are an almost literal repeat of mm. 1-8 except for the triplet accompanimental figure and the more varied harmonic setting in mm. 13-15. Thus, we are not finished with the FTA until at least m. 16 and the second PAC.

A new theme appears in m. 20; when F⁶ (the leading tone in G major) investigates a move to V, we know that we have entered the modulatory transition. Thus, the proper label for this section is Tr. In general, the use of accidentals marks the beginning of the transition section, and the dominant of the key of the STA marks the end of the transition section, (i.e., V/V in m. 35). Motivically, the beginning of the transition contains a stepwise ascent, C⁵-D⁵-E⁵, F⁵-F⁵-G⁵, which is reminiscent of the opening arpeggiation (now filled in with passing tones), as well as an inversion of the linear descent from G⁵ to C⁵ (Example 30.9). Another remarkable correspondence follows when, after G⁵ (m. 24) rises a fifth to D⁶ (m. 26), D⁶ descends a fifth to C⁵ (m. 30) in exact imitation of the opening stepwise fifth descent from C⁵ to C⁵.

EXAMPLE 30.9 Haydn, Sonata in C, mm. 20-30

The STA begins in m. 36 with a new theme. However, even a cursory examination reveals that the ascending fifth motive recurs (Example 30.10).

EXAMPLE 30.10 Haydn, Sonata in C, mm. 36-41

A strong cadence in mm. 44-45 closes the STA. The CI occupies mm. 46-62; it begins with yet another manifestation of the descending fifth (filled-in arpeggiating figure), which releases the tension of the exposition (Example 30.11).

EXAMPLE 30.11 Haydn, Sonata in C, mm. 44-48

A cadential section with coda characteristics (mm. 62-67) restates the opening theme in V in Example 30.12. Below is a chart that represents the exposition's formal and harmonic events.

EXAMPLE 30.12

exposition		ITr	STA	closing	coda
FTA		V	V	V	V
key:	I to V				
mm.:	1-19	20-35	36-45	46-62	62-67

Development

The development begins humorously, with an apparent return to the tonic, C major. However, the linear descent of a fifth in the soprano ends in an unexpected half cadence in A minor (vi). Haydn—a composer with a penchant for surprise—does not continue in A minor, but instead sets the opening theme in F major. Only after theme 1a is completely stated (mm. 71-79) and an A2 (D3/A4) 5-6 sequence with applied chords accrues dramatic tension (mm. 80-83) does A minor return. Haydn next retraces his harmonic steps by using a D2 (D5/A4) sequence to return to F major (mm. 86-90). However, the F harmony continues to descend to E (V/A); the same chord that was previously abandoned in m. 71. A pitch that is sustained by pedal point, almost always 5, usually indicates the retransition, but the pedal here is on E², functioning as V of A, rather than on G(V of C). The A² (m. 97) is converted to a V₇ that resolves to D³ (m. 101), which also becomes a V₇ on G, the structural dominant (m. 102). By precipitating such a strong circle of fifths that moves to the dominant (B-A-D-C), the pedal on E² (m. 94) may be regarded as the beginning of the retransition.

Finally, the overall key areas in the development, F major (IV) and A minor (vi), flank G major (V) as double neighbors, thus helping to prolong the dominant from m. 68 to m. 103.

Recapitulation

The recapitulation begins in m. 104 with a restatement of theme 1a, but now one octave lower than its original presentation. A dramatic change occurs in m. 111 when, just as the listener anticipates a literal restatement of the theme, it appears in the parallel minor. This use of modal mixture might suggest that Haydn is redeveloping material (i.e., that the movement has not really left the development and begun the recapitulation), but in m. 118 he returns to the established model by repeating the material of 1a first heard beginning in m. 13. Suddenly, Haydn skips ahead to the dramatic arpeggiations and half cadence that characterized the end of the transition section, thus compressing the second part of the FTA and the transition into a fifteen-measure phrase, nearly half the length it occupied in the exposition. The STA is stated in the tonic (m. 126-35), followed by the CI (m. 136-51), at which point a dramatic diminished seventh chord (m. 141) heralds an extended coda that closes the piece. Example 30.13 is a complete formal and harmonic diagram of the movement.

EXAMPLE 30.13

exposition	FTA	ITr	STA	CI	coda
key:	I	to V	V	V	V
mm.:	1-19	20-35	36-45	46-62	62-67
development	C-V/a-F-a retrans: D2 (D5/A4) to V				
68-93	94-103				
recapitulation	FTA	ITr	STA	CI	coda
key: I	104-10				
mm.:	104-10	111-25	126-35	136-51	152-70

This movement generally conforms to our model of sonata form. However, departures from the norm, such as the pedal point at the end of the FTA, the very short STA, the curtailed FTA in the recapitulation, and the dovetailing of the missing material in the transition of the recapitulation, demonstrate how composers might mold the sonata form to accommodate their creative impulses.

Mozart, Piano Sonata in B^b major, K. 333, *Allegro*

In the first movement of Mozart's Piano Sonata in B^b major, K.333, we will grapple with interpreting what appears to be a random series of harmonies in the development. Listen to and study Example 30.14, locating the important formal sections and their controlling key areas.

EXAMPLE 30.14 Mozart, Piano Sonata in B^b major, K. 333, *Allegro*

The musical score for Example 30.14 consists of six systems of music, each with a measure number at the beginning of the first staff. The systems are:

- System 1: Measure 4. Shows the beginning of a phrase with a treble clef and a key signature of two flats.
- System 2: Measure 7. Continues the phrase with a treble clef.
- System 3: Measure 11. Continues the phrase with a treble clef.
- System 4: Measure 14. Continues the phrase with a treble clef.
- System 5: Measure 17. Continues the phrase with a treble clef.
- System 6: Measure 20. Continues the phrase with a treble clef.

The score includes various musical notations such as notes, rests, and dynamic markings like *f* and *mf*. The bass clef part is also visible in each system, providing a complete view of the musical texture.

Continued

Continued

Musical score system 1, measures 23-46. The system consists of two staves (treble and bass clef). Measure numbers 23, 28, 32, 36, 39, 42, and 46 are indicated at the beginning of their respective measures. Dynamics include *fp*, *f*, and *p*. The music features complex rhythmic patterns with many sixteenth and thirty-second notes.

Musical score system 2, measures 49-74. The system consists of two staves (treble and bass clef). Measure numbers 49, 53, 56, 59, 64, 68, 71, and 74 are indicated at the beginning of their respective measures. Dynamics include *fp*, *f*, and *p*. The music continues with complex rhythmic patterns and includes a *tr* (trill) marking in measure 64.

Continued

Continued

Musical score for measures 77-97. The score is written in treble clef with a key signature of one sharp (F#). It consists of two systems of staves. The first system (measures 77-83) features a complex rhythmic pattern with many sixteenth and thirty-second notes. The second system (measures 84-97) continues this pattern with some melodic lines and rests. Measure numbers 77, 80, 83, 87, 90, 93, and 97 are indicated at the beginning of their respective staves.

Musical score for measures 100-120. The score is written in treble clef with a key signature of one sharp (F#). It consists of two systems of staves. The first system (measures 100-107) shows a continuation of the rhythmic and melodic motifs from the previous page. The second system (measures 108-120) includes some dynamic markings such as *tr* and *p*. Measure numbers 100, 104, 107, 111, 114, 117, and 120 are indicated at the beginning of their respective staves.

Continued

Continued

Musical score for measures 124-143. The score is written for two staves (treble and bass clef). Measure numbers 124, 127, 131, 134, 137, 139, and 143 are indicated at the beginning of their respective systems. The music features complex rhythmic patterns, including sixteenth and thirty-second notes, and dynamic markings such as *pp*, *f*, and *sf*. The key signature has one flat (B-flat).

Musical score for measures 147-159. The score is written for two staves (treble and bass clef). Measure numbers 147, 151, 154, 157, and 159 are indicated at the beginning of their respective systems. The music continues with complex rhythmic patterns and dynamic markings such as *f*, *pp*, and *f*. The key signature has one flat (B-flat).

The formal structure is extremely clear in this movement. The exposition, demarcated by the double bar and repeat signs, occupies mm. 1-63. The FTA closes at m. 10, the dependent transition begins at m. 11 and closes on the arpeggiating dominant of the new key, and the STA in V (F major) occupies

mm. 23–38. The closing section is divided into two smaller sections (mm. 38–50 and mm. 50–58), and a codetta closes the exposition (mm. 59–63). The recapitulation unfolds in the same manner as the exposition (mm. 94–165). Example 30.15 is a chart of the main formal sections of the movement; notice that the harmonic progression in the development (mm. 64–93) remains to be interpreted.

EXAMPLE 30.15

exposition		development		recapitulation			
FTA	DTr	STA	Cl/codetta	FTA	DTr	STA	Cl/coda
mm.: 1–10	11–22	23–38	39–63	64–94	94–103	104–118	119–34
I	to V	V	→	???	→ V ₇	I	to I
						I	I

Exposition

We will now explore the thematic and motivic materials in Mozart's sonata. Let's make a contrapuntal reduction of the outer voices of the FTA theme in order to understand the underlying voice-leading framework from which motivic figures might emerge. A clear I–ii–V₇ progression opens the piece, and is followed by a contrapuntal elaboration of the tonic (mm. 5–6). This movement does not initially appear to contain any clear-cut motives based on surface contours, except for the descending scalar sixth (comprising a fifth, preceded by an upper-neighbor grace note that should be played as a sixteenth note) that begins the piece.

Although the B[♭]4 in the upper voice of m. 1 is clearly an arrival point, the B[♭]5 (m. 2) that eventually moves to D⁵ (in m. 4) seems to be more important, given those pitches' durational, metrical, and registral prominence. Might the initial scalar descent be emerging and expanded over many measures? Is the F⁵ in the upbeat to m. 1 prolonged through the downbeat of m. 2, before it descends to B[♭]5? If so, this expanded phrase descends to C⁵ (m. 5), and finally to B[♭]4 (m. 6). However, this arrival on B[♭]4 is weak because it is supported by a six-three tonic harmony, and there is no pre-dominant-dominant preceding the tonic. In fact, I₆ is extended until a cadential figure supports the descent of C⁶ (supported by both ii and V) in m. 9. The strong, structural arrival of B[♭]5, echoed at the lower octave by B[♭]4 (supported by I) in m. 10, completes the descent of the fifth from $\hat{5}$ to $\hat{1}$ in its original octave. Example 30.16 is a representation of this interpretation. Note that the descent of a fifth (the same fifth descent that opened the movement) is bisected into two thirds, F–E–D and D–C–B[♭], by the five-measure prolongation of D. Further, the marked voice exchange supports the assertion that the descent from D⁵ to B[♭]4 in m. 6 is subordinate to its final descent in m. 10.

The theme in the STA literally repeats the same fifth-plus-neighbor descent from the FTA, in the key of the dominant (F major). However, this time

Mozart develops the upper neighbor to $\hat{5}$ by harmonizing $\hat{6}$ with B[♭] major (IV) in m. 24, thus stabilizing the soprano D⁵. Notice that just like the FTA's fifth-plus-neighbor descent, the STA's descent is interrupted by a pause on $\hat{3}$ (in F major, m. 26). The complete descent does not occur until m. 38.

EXAMPLE 30.16

Development

The development contains unusual modal shifts and curious tonicizations that make it difficult to determine any underlying harmonic progression. It begins with a simple right-hand restatement of the initial tune in V, with the upper neighbor, D⁵. Note the brief tonicization of G minor (ii of F) in mm. 67–68 before the PAC in F major (mm. 70–71). The vii^o₆/V (m. 69) that follows V₇ sounds out of place, as if Mozart has marked it for our consciousness. Thus, the bass ascent that begins with f³ in m. 64, moves through G³, A³, B³, and C⁴. The line continues with the D⁴ (supporting the diminished seventh chord) in m. 69 resolving to C⁴ (m. 70), resulting in another setting of the familiar motive of a stepwise fifth-plus-neighbor, this time in exact inversion of the opening gesture of the STA ($\hat{1}-\hat{2}-\hat{3}-\hat{4}-\hat{5}-\hat{6}-\hat{5}$) and expanded over seven measures. Could Mozart be preparing us for other hidden statements of the motive?

The unexpected cadence on F minor (rather than major), in m. 71 and motion to a G⁷ harmony in m. 73 implies a tonicization of C minor. But the "arrival" on C minor is greatly weakened when the bass is left unresolved on G, creating a consonant six-four harmony. The G³ enters (m. 76) and descends to an F₇ harmony (m. 78), implying the beginning of the retransition. However, once again the listener's expectations are thwarted when f³ rises to F³, where it becomes the root of a vii^o₇ that resolves to G minor in m. 80. D major, the V of G minor, is prolonged in mm. 81–86, but a strong cadence in G minor never materializes. Instead, V³ of B[♭] major suddenly appears (m. 87) and moves to V (m. 88–92), prolonged by its upper neighbor, C[♯]4 (m. 89). The recapitulation begins in m. 93.

Development: Interpretation

We now step back and interpret the events that were just described in the development. We know that V (F major) controls the opening of the development and that C minor (albeit weakly) and G minor follow. Thus, a series of ascending fifths (F–C–G, and D as V of G) underlies the development until the motion to F, as V of B \flat (m. 87). But many questions remain unanswered; for example: Why are the tonal areas so weakly tonicized? And how can we explain the odd shift from the unusually long and unresolved D major harmony that moves to the weak V $\frac{3}{4}$ /B \flat major (m. 86)?

Let's look to the eight-measure motivic expansion of the fifth-plus-neighbor motive for clues. Remember that the bass F \flat ascends to G \flat (V of C minor) in m. 73. The sustained G \flat was followed by the chromatic passing tone G \natural (highlighted by the unexpected turn to minor), which returned to F \flat (m. 76–77). Again, the bass rose to G \flat through F \flat , followed this time by a rapid descent to D \flat , which was sustained for six measures: Through registral transfer, D \flat then fell to C \flat (V $\frac{3}{4}$ /B \flat major in m. 87), leapt to F \flat (m. 88), and finally returned to B \flat at the opening of the recapitulation. Example 30.17 contains a notated summary of this progression.

EXAMPLE 30.17

mm: 64 73 77 80 81 87 94

From the bass line summary, we see that Mozart is projecting the small opening gesture (G–F–E–D–C–B \flat) over the entire development. Remember that the very first expanded statement of the descent (mm. 1–10) stopped on 3 (D) for five measures at its midpoint. We now can understand why Mozart extended D major (the dominant of G minor) for so long, from mm. 81–87, and why he didn't resolve it to its tonic (G minor). We also know why Mozart did not resolve the G \flat (V/C) to C (m. 73), for to have done so would have obscured the remarkable linear parallelism. Finally, in light of the controlling nature of the motive, we understand why Mozart set the dominant of B \flat major (F major) in its four-three inversion in m. 87, rather than the expected and much stronger root position, because the four-three inversion (with C in the bass) preserves the motive's stepwise descent, which would have been jeopardized had root position V been strongly stated:

The goals of the preceding analyses were to understand the mechanics of sonata form, to show how sonata form is an outgrowth and expansion of binary form, and to demonstrate how sonata form is a flexible and fascinating vehicle that composers employ to express uniquely personal musical statements. Discovering and interpreting hidden and transformed manifestations of motives are some of the rewards of analysis.

EXERCISE INTERLUDE

30.1 Analysis

Listen to and study the following movement. On a separate sheet of paper, answer the series of questions that follows.

Platti, Sonata in C Major, *Six Sonatas for Harpsichord*, op. 4, no. 4

Allegro

Summary of Part 7

We have seen that even though binary form lies at the heart of ternary, rondo, and sonata forms, there is a crucial distinction between sonata and the other two forms: ternary and rondo are additive forms, whereas sonata is an organic form. That is, ternary and rondo forms—while often demonstrating important motivic and harmonic connections between their various sections—contain tonally closed units, and thus the omission of one or more of these sections would not seriously jeopardize the structural integrity of the piece. Sonata form, by contrast, is a more continuous structure, each part of which depends on every other part, resulting in a single integrated organism. Should any section be extracted, the foundation would be shaken and the edifice would crumble.

We also learned that the basic root motions of tonal music, which we first encountered in the chord-to-chord progressions beginning in Chapter 7 and later learned may be expanded by tonicization, also were part of these large forms. Finally, motivic connections between the various strata of a piece created carefully wrought webs that made each piece a unique artwork.

TERMS AND CONCEPTS

- closing section (CI)
- false recapitulation
- first tonal area (FTA)
- monothematic sonata form
- second tonal area (STA)
- slow introduction
- sonata form
- exposition
- codetta
- development
- recapitulation
- coda
- subdominant return
- three-key exposition
- transition (Tr)
- dependent transition (DT)
- independent transition (IT)

PART 8

INTRODUCTION TO NINETEENTH-CENTURY HARMONY: THE SHIFT FROM ASYMMETRY TO SYMMETRY

Far too often, people rely on general proclamations to characterize the new developments of nineteenth-century music. There is some truth both in effusive and subjective statements such as “it is a period evincing a lush hodgepodge of thick, wandering harmonies” and in technical and clinically objective statements such as “the chromatic tonal system replaces the diatonic system.” The music of nineteenth-century composers is indeed lush, and features thick, rapidly changing harmonies built from novel combinations of four and five voices. And later nineteenth-century music is more chromatic than eighteenth- and early nineteenth-century music is more chromatic than eighteenth- and early nineteenth-century music. But neither proclamation provides us with examples of these new attributes or with tangible explanations of how early nineteenth-century harmonic practice influences the music of the late nineteenth and early twentieth centuries.

These final four chapters explore some of the innovations of tonal composition that occurred from the early nineteenth century through the first decade of the twentieth century. These developments were naturally suited to the artistic sensibilities of the nineteenth century, an era in which sharp social, philosophical, political, and artistic changes took place. We will start by tracing the seeds for these new harmonic tendencies in the music of composers such as Mozart, Beethoven, Schubert, and Chopin. From there, we will witness the flowering of these harmonic techniques in the music of composers such as Wagner, Liszt, Brahms, Tchaikovsky, Wolf, Grieg, Scriabin, and Berg.