CHAPTER 27

Sonata Form

Historical Context and Tonal Background

Sonata form is a structure on which many of the greatest compositions from the later eighteenth and nineteenth centuries are based. We explore its history, trace the evolution of its form, and analyze examples from the literature.

Originally, in the sixteenth century, the term *sonata* was used as a signal that a given musical work was to be performed instrumentally and not sung. To a large degree, this meaning has held constant for centuries. The term applies to multimovement works for solo instrument or a small ensemble of instruments (there are almost no sonatas for voice). Over the years, musicians also have extended the word *sonata* beyond its original meaning and have applied it to discussion of movements with a very particular form. This form is as important (and just as common) as the other forms we have learned: variation, binary, ternary, and rondo.

Since the 1780s all of the important genres of art music, including symphonies, concertos, operas, and instrumental sonatas, have featured movements cast in sonata form. The two terms often used as synonyms for sonata form—*sonata-allegro form* and *first-movement form*—are misnomers, because movements cast in sonata form may be in any tempo and occur in any movement of larger works. Furthermore, the first movements of these works may not even be cast in sonata form.

At a deeper level, even the term *sonata form* itself is problematic, given that it implies a rigid formal mold governed by a series of compositional rules that composers are required to follow. This most certainly is not the case. We consider sonata form as a way of composing, one that is the outgrowth of a large-scale musical process that is dependent on a powerful yet simple tonal strategy:

1. State the opening material in the tonic.
2. State additional material in a contrasting key.
3. Restate all of the material in tonic.

This very general model is an outgrowth of binary form.

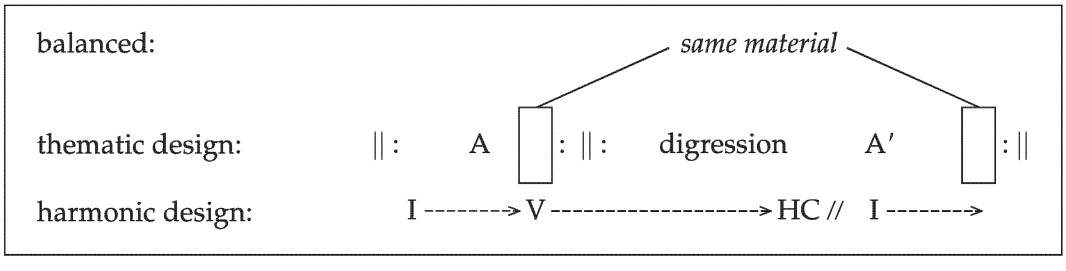
The Binary Model for Sonata Form

Sonata form may be seen as arising from a combination of balanced and rounded continuous binary forms (Example 27.1). In the **first tonal area (FTA)**—the initial part of a sonata's first section (the exposition)—material is presented in the tonic key. In the **second tonal area (STA)**, material is presented in the exposition in a contrasting key (usually V in major mode and III in minor mode).

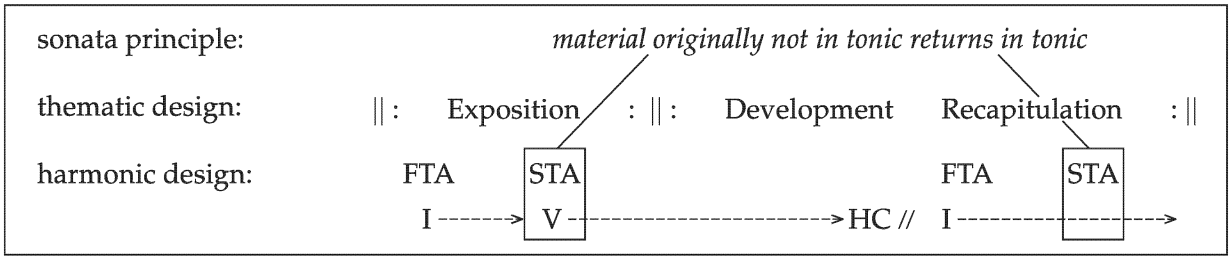
- The FTA is dependent on the *rounded-binary* characteristics, returning with the original material (**recapitulation**) after a digression (**development**) and a HC with an interruption.
- The STA is dependent on *balanced-binary* characteristics: Material (STA, usually with a new theme) presented at the end of the first section (exposition) returns at the end of the piece (recapitulation) in the tonic key. This is the **sonata principle**.

EXAMPLE 27.1 Comparison of Binary Form with Sonata Form

A. Balanced Rounded Continuous Binary Form (major mode)



B. Sonata Form (major mode)

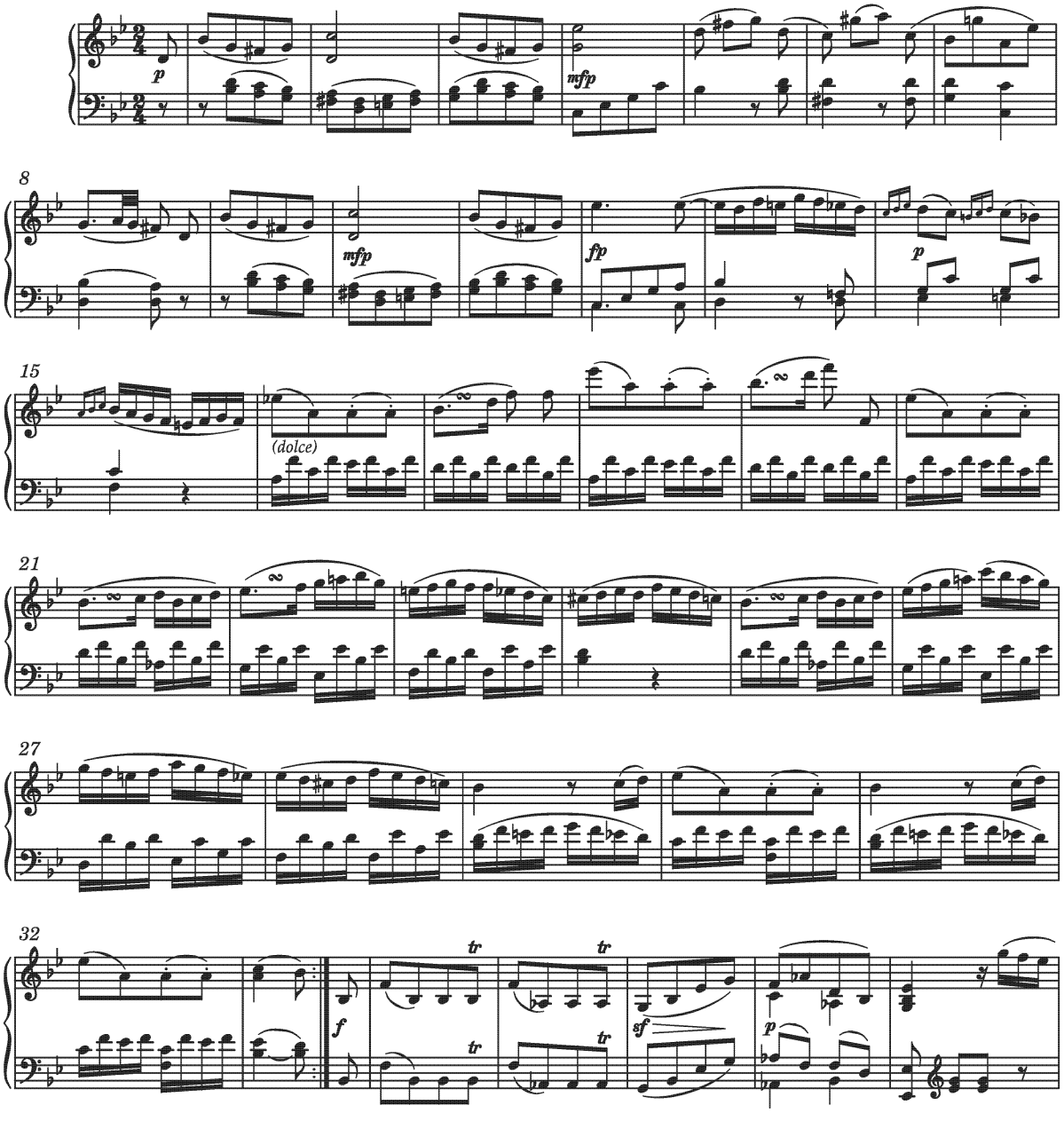


The FTA and STA may contain similar or contrasting thematic material; they may also contain multiple themes. To avoid confusion and ambiguity, each theme will be labeled with its tonal area and a subscript number to indicate the order. For example, given three themes in the FTA and two in the STA, the labels would be FTA_1, FTA_2, FTA_3, STA_1, and STA_2.

Listen to a small sonata movement by Beethoven in Example 27.2 and see if you can label the thematic sections (exposition, development, recapitulation)

and harmonic sections (FTA and STA). Be aware that you will encounter passages that seem not to belong to any of these five sections. For now, we'll ignore the additional passages. Keep the following questions in mind as you proceed. What is the large-scale tonal progression? Does it conform to our model of binary form? If not, what are the differences?

EXAMPLE 27.2 Beethoven, Piano Sonata no. 19 in G minor, op. 49, no. 1, *Andante*



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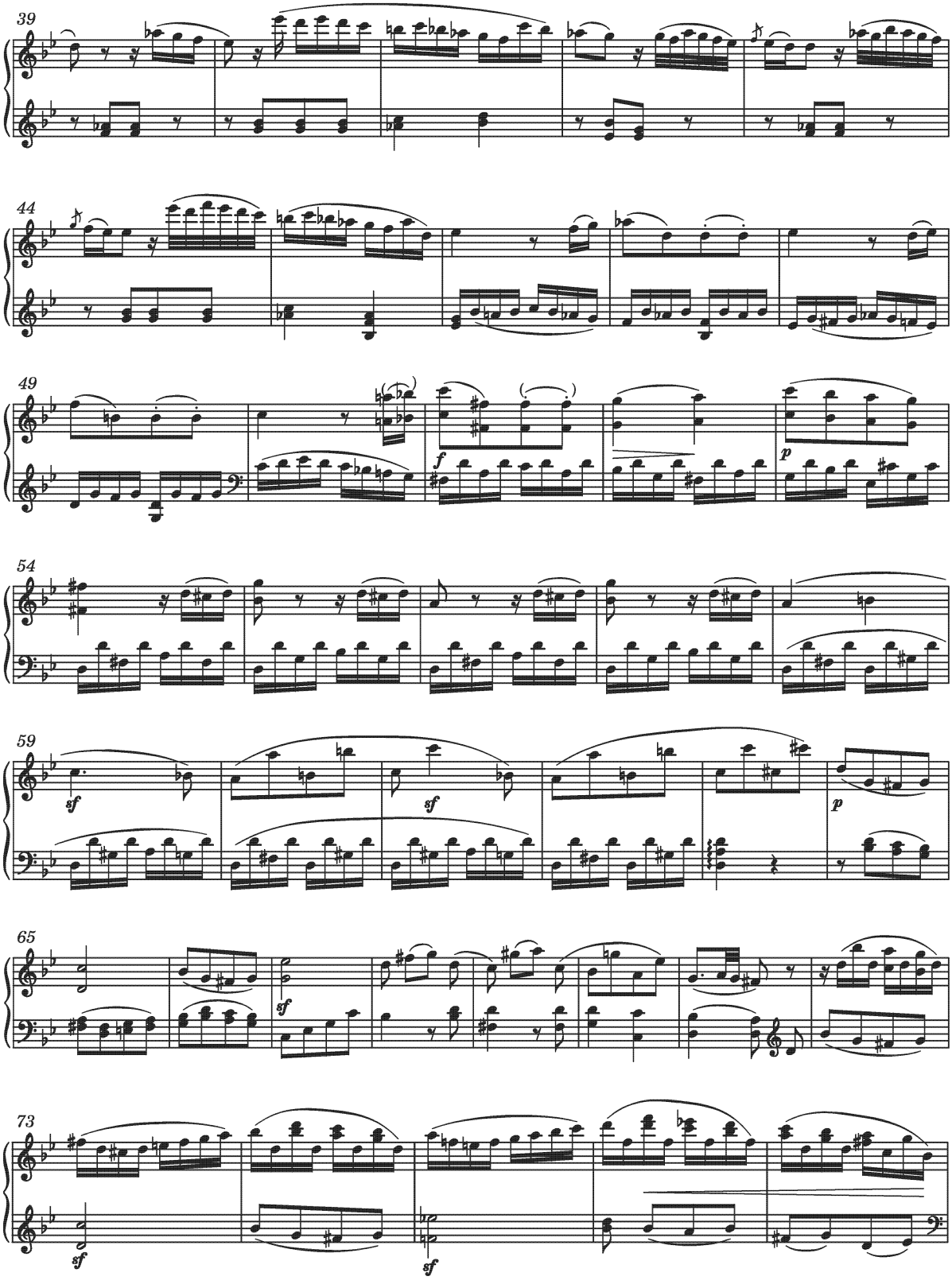
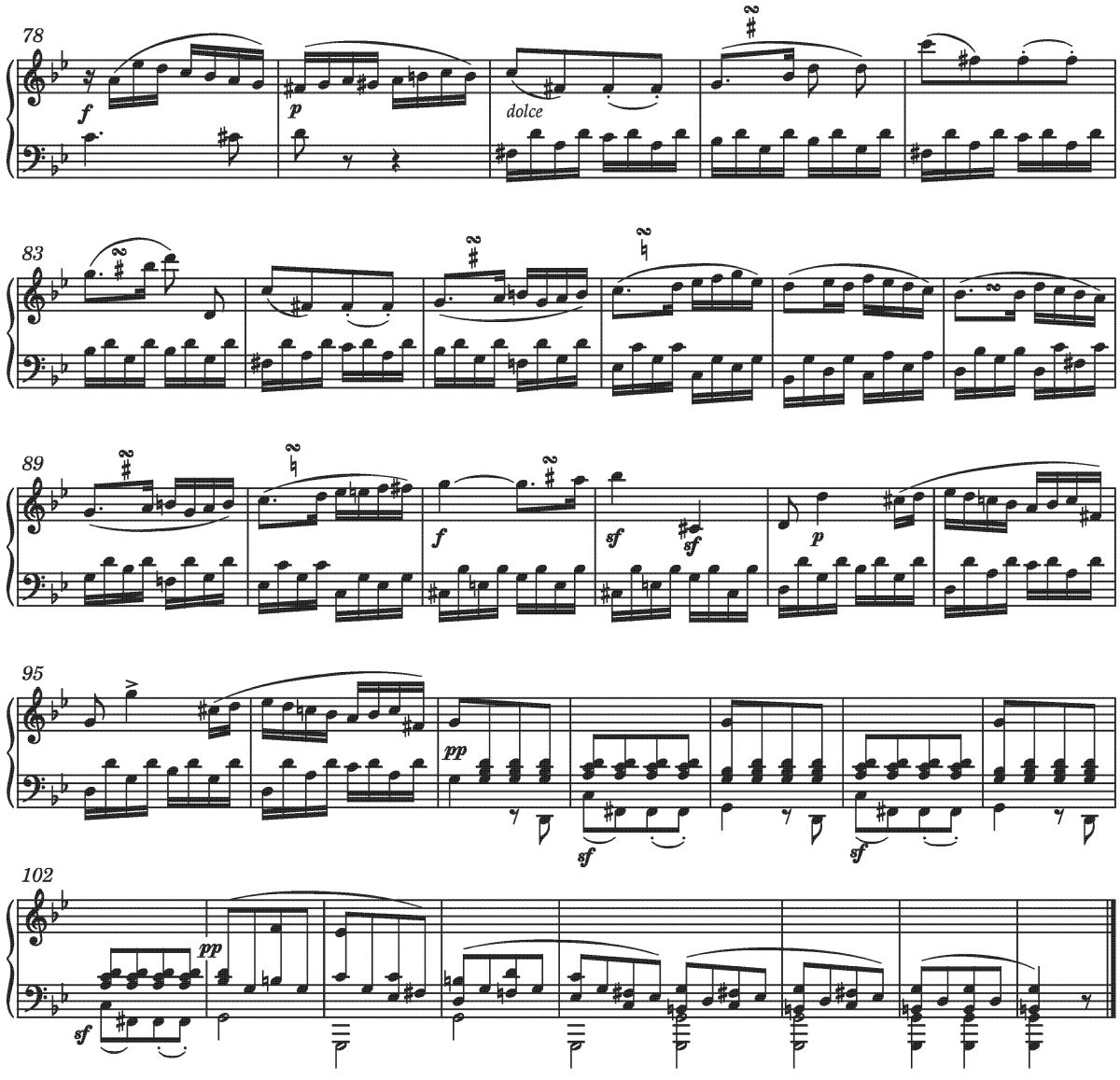




Beethoven's movement does indeed blend and expand aspects of rounded- and balanced-binary forms, but only the exposition repeats. The following diagram reveals why only the exposition is repeated: The development and recapitulation together are over twice as long as the exposition, and Beethoven achieves a proportional balance by repeating only the exposition. The letter "X" designates a new melody in the development, not based on FTA_1 or STA_1.

measure:		1		16		34		64	80
thematic design:	||:	Exposition			:||	Development		Recapitulation	||
		FTA		STA		STA x STA		FTA	STA
harmonic design:	i	⟶	III	⟶	VI	⟶	V//i	⟶	

Transition

Now that we have determined the large-scale tonal and formal sections in Beethoven's movement, let's return to those passages that seem not to belong to the sections in the preceding diagram. Between the FTA and the STA (mm. 9–15) is a passage that begins identically to the opening of the piece. Given that this passage follows a half cadence, we might expect this to be a consequent phrase that makes a period in the FTA. Instead, there is an alteration in m. 13, and the passage modulates to B♭ major (III), ending on a half cadence and preparing for the entrance of the STA. This seven-measure passage that leads to the STA is called a **transition (Tr)**. There are two types of transitions.

1. A **dependent transition (DTr)** begins with a restatement of the initial theme from the FTA.
2. An **independent transition (ITr)** uses new thematic material.

Both types of transition modulate to the STA and end either on the new tonic or the new dominant (in which case the actual statement of the tonic is reserved for the opening of the STA). The pause that very often occurs between the end of the transition and the beginning of the STA and that marks the approximate midpoint of the exposition, is called the **medial caesura**.

In the recapitulation, the FTA and STA remain in the tonic. There is no need for a transition, but transitions often reappear in the recapitulation. Since the ending key for the "transition" is now the original key, this passage is often altered (harmonically and/or melodically) to create a sense of motion. In Beethoven's example, the transition returns at m. 72. This time, there is more activity (in the right hand) and a quicker movement toward III that is deflected; instead, tonic is retained as the phrase closes on a HC in G minor (at m. 79).

Closing Section

The contrasting tune of the STA ends with a PAC (in III) in m. 29 of Example 27.2. 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, which may occupy eight or even fewer measures. A double bar (or repeat sign) usually marks the end of the exposition, just as it marks the close of the A section in a binary form. Accordingly, the exposition for Beethoven's sonata has the following form:

measure:	1	9	16	29
thematic design:	FTA	DTr	STA	CL
harmonic design:	i	i ——————→	III	III

Development and Retransition

The development is usually the freest section in sonata form and is analogous to the digression in binary form. Material presented in the exposition is

transformed, although composers are free to 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 STA, followed by a new melody in E♭ major (VI) that enters in m. 38. 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 (RTr)** is the final area of the development, where the dominant prepares the return of the tonic in the recapitulation. 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. In this case, the retransition explicitly restates and expands the dominant at the end of the development and moves to the interruption that precedes the recapitulation.

Recapitulation and Coda

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 CL return in the tonic key. We have also seen how transitions are altered so they lead back to the tonic. In addition, 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.

Although the movement could have ended in m. 97, Beethoven instead concludes it with cadential material from the STA in a **coda**. Codas occur after the recapitulation. They also can occur at the end of the exposition, where they are called **codettas**, since they are typically shorter and end away from the tonic key. Codas are optional, as their name implies (in English, "tail" or "appendage"). They serve to confirm the closing key and often 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 key.

The following diagram provides a complete summary of the prototypical events that occur in a sonata form written in either major or minor mode.

Sonata form

thematic design:	‖: Exposition					:‖: Development	Recapitulation				Coda :‖
harmonic design:	FTA	Tr	STA	CL	(Codetta)	RTr	FTA	"Tr"	STA	CL	
keys (major mode):	I	→	V	V	V	——→ V //	I	→	I	I	I
keys (minor mode):	i	→	III	III	III	——→ V //	i	→	i	i	i

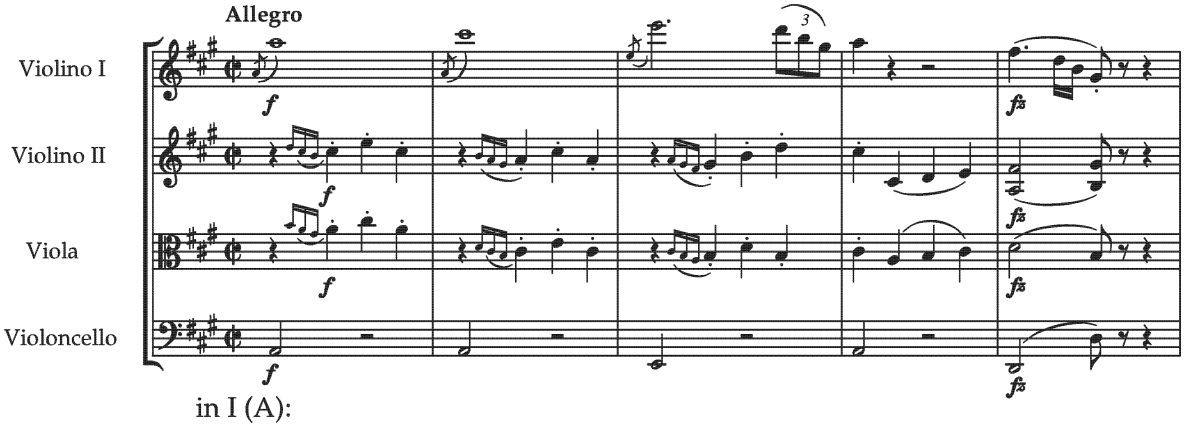
Additional Characteristics and Elements of Sonata Form

Monothematic Sonata Form

Example 27.3 illustrates one of Haydn's string quartets, in which the opening of the FTA theme reappears in the STA. Haydn frequently used 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 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 for our analytical labeling system.

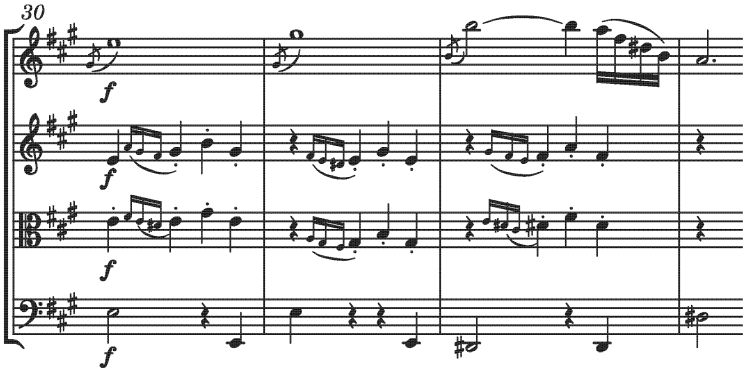
EXAMPLE 27.3 Haydn, String Quartet in A major, op. 55, no. 1, *Allegro*

A. FTA



in I (A):

B. STA (using FTA theme)



in V (E):

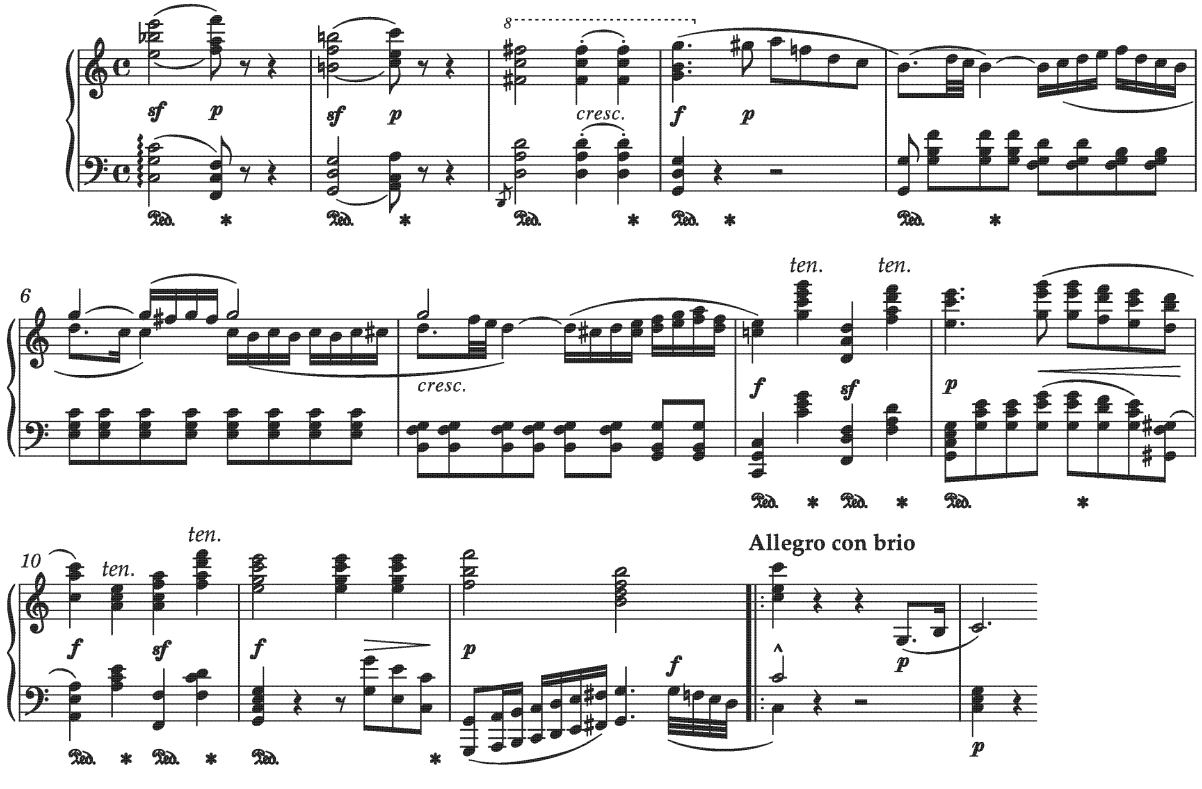
The Slow Introduction

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 with its added seventh, in anticipation of leading to the tonic, the introduction can be heard to function as a hugely extended upbeat that resolves to the tonic "downbeat" at the FTA.

Example 27.4 shows the 12-measure introduction to Beethoven's Symphony no. 1 in C. A brief look at the opening four measures reveals Beethoven's game plan. Although the first sonority is a root-position C chord, it contains a seventh; as V^7/IV, it moves to F, conferring on this sonority apparent tonic status. Tonal clarification is not given in the following measure since the V^7 that appears (G^7) moves deceptively to vi. The following crescendo sets up the expectation of tonal stability, but, yet again, Beethoven thwarts our expectations by falling in fifths, as vi moves to V^7/V to V, where a seventh is added. Subsequent attempts to resolve V^7 are thwarted, and the closing cadential gestures in mm. 9–12 reinforce the dominant. At last, in m. 13, V^7 resolves to tonic, which signals the beginning of the exposition.

EXAMPLE 27.4 Beethoven, Symphony no. 1 in C major, op. 21, *Adagio molto*



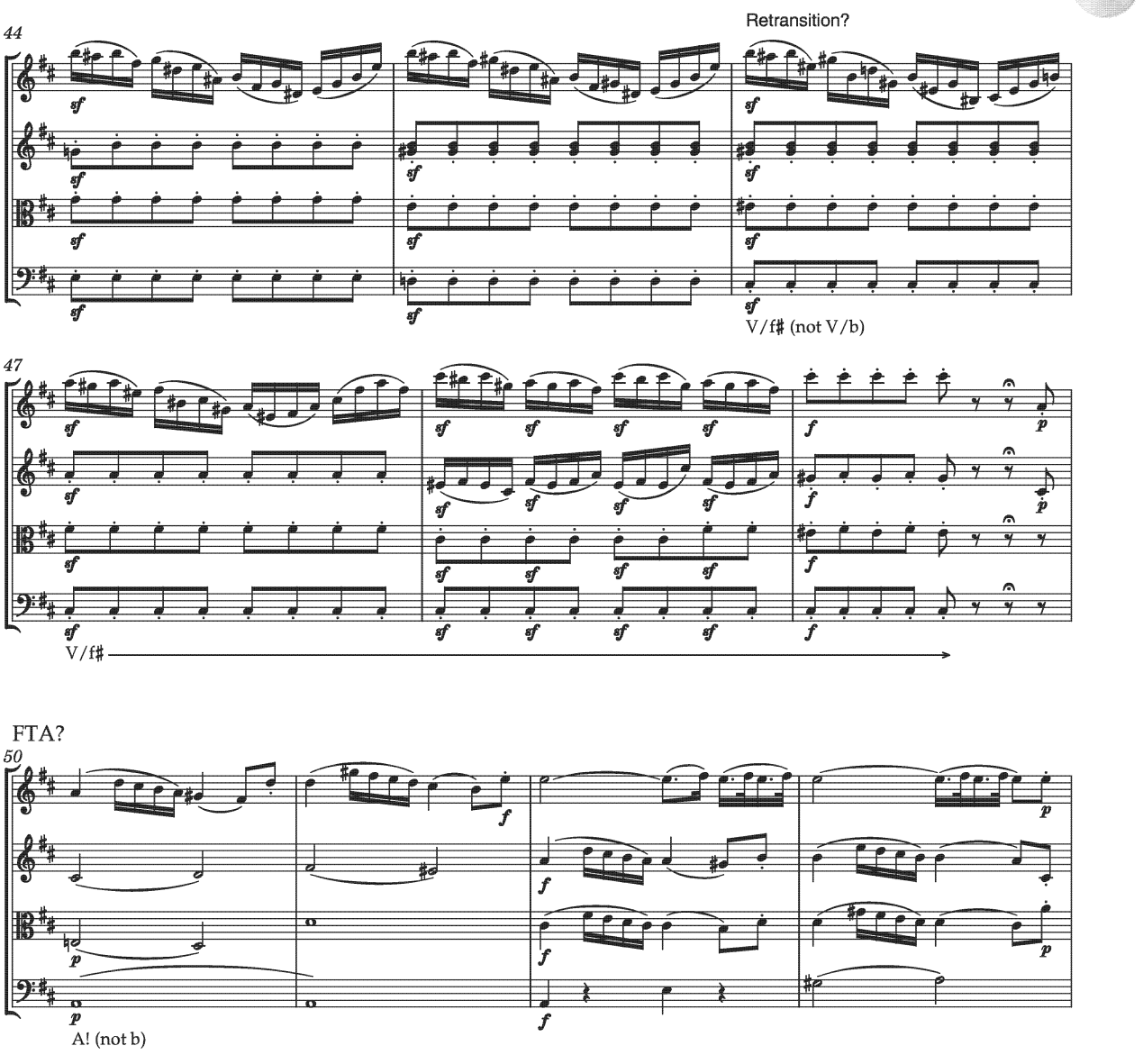
Harmonic Anomalies

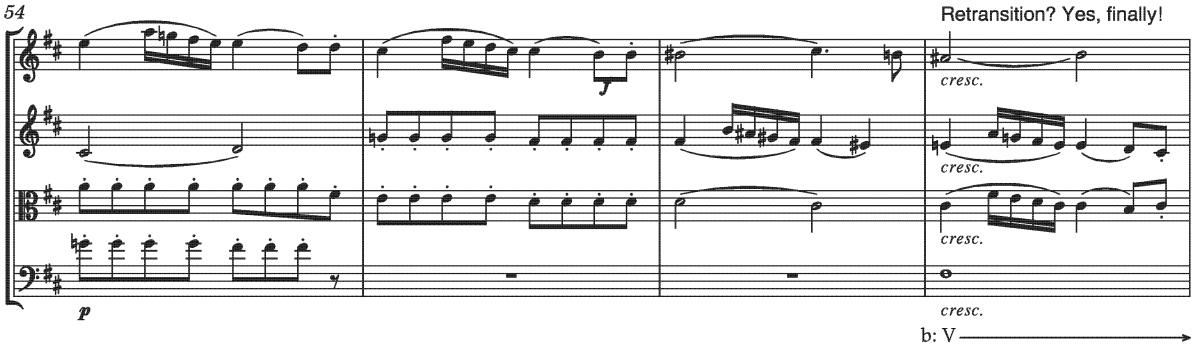
Two harmonic anomalies frequently appear near or at the point of recapitulation. The first is the **false recapitulation**, in which the theme from the FTA appears in the "wrong" key; the real recapitulation, in the tonic,

usually follows soon thereafter. Thus, false recapitulations are actually part of the development.

The first movement of Haydn's op. 33, no. 1 quartet contains a false recapitulation (Example 27.5). The movement is in B minor (although tonal ambiguity is present from the movement's beginning, since D major is strongly implied). The apparent retransition strongly suggests a dominant. But rather than its being the V of B minor, it is instead V of F♯ minor. And the joke doesn't stop there. Haydn doubly fools the listener: Rather than the expected (albeit false) recapitulation beginning on F♯ minor, A major boldly enters, stating the original theme. Only the twists and turns leading through an augmented sixth chord and arrival on V of B minor in mm. 56–57 redirect the tonal trajectory to the true recapitulation in m. 59 (not shown).

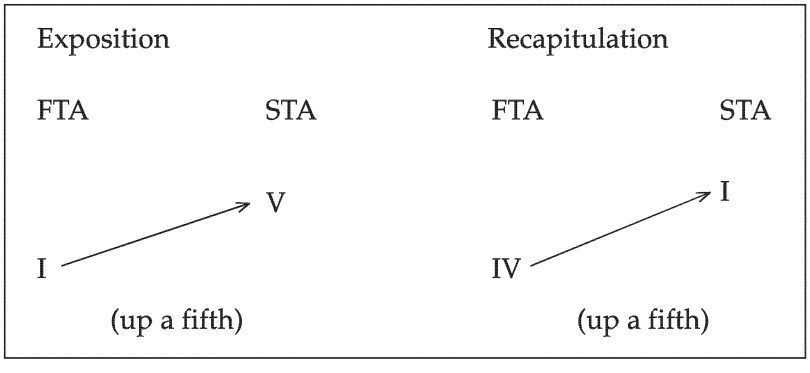
EXAMPLE 27.5 Haydn, String Quartet in B minor, op. 33, no. 1





The second harmonic anomaly is the **subdominant return**, in which the recapitulation begins not on I but on IV (Example 27.6). 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 begin the recapitulation down a fifth from the eventual tonic. Mozart's Piano Sonata in C major, K. 545, is an example of one such work with a subdominant return.

EXAMPLE 27.6



Other Tonal Strategies

Three-Key Exposition

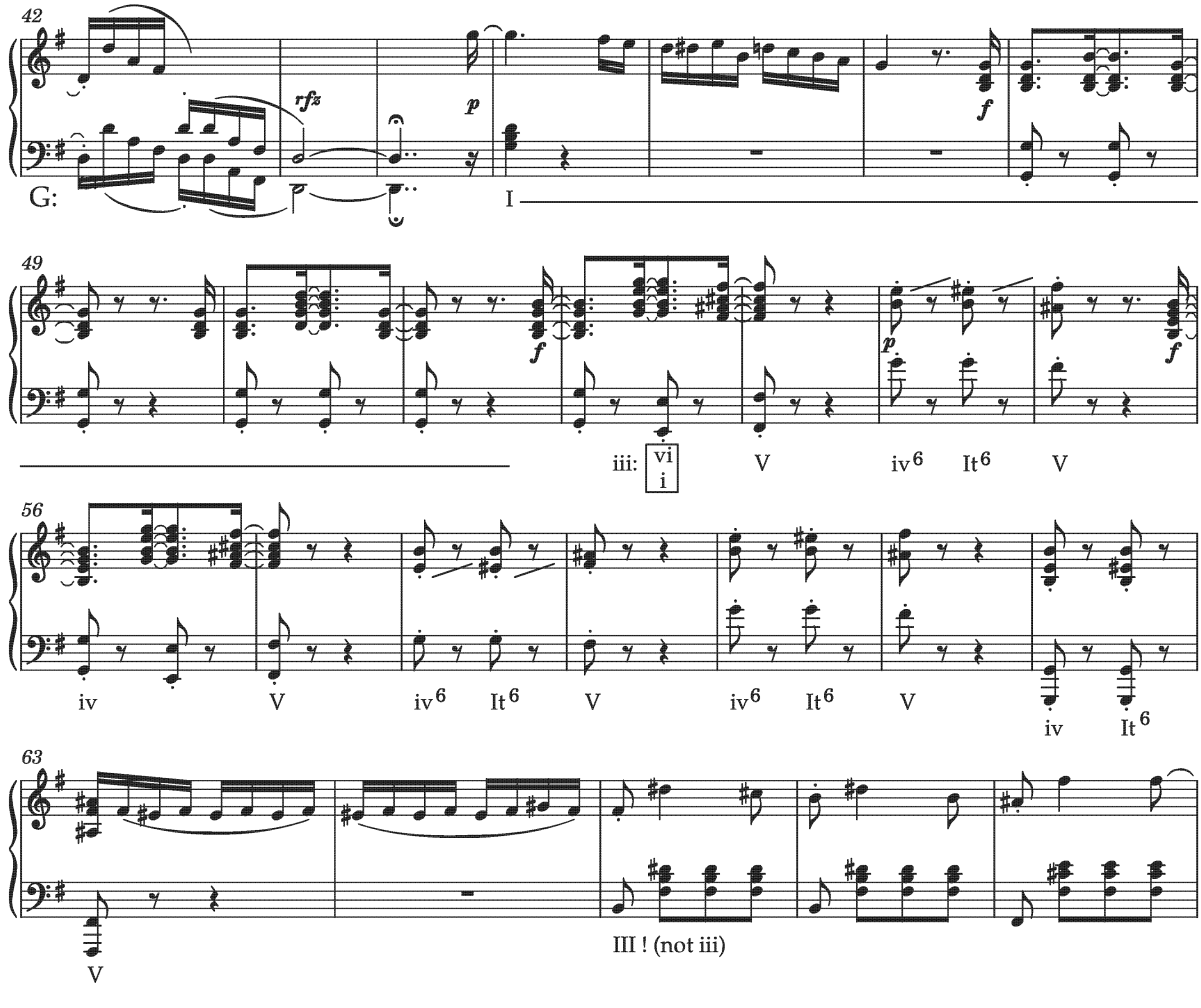
Sonata form remained an important formal structure in the nineteenth century. However, the opening years of the 1800s brought with them tonal innovations of many types, including supplanting the traditional tonic and dominant polarity with other tonal progressions. One of these, the **three-key exposition**, is found in major-mode works in which the STA moves to a diatonic third–related key, which bisects the traditional fifth motion from I to V. The motivation for such procedures may have been the century-old minor-mode binary and sonata forms whose overarching i–III–V || create an arguably more dramatic progression than the I–V——— || characteristic of major-mode works. For example, Bruckner's sixth symphony in A major moves from

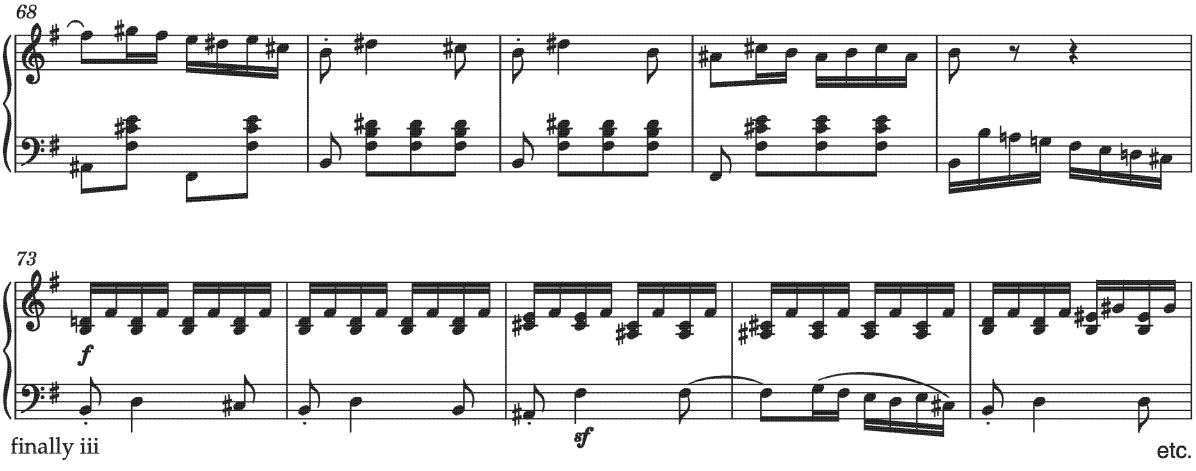
I–iii–V in the exposition and I–vi–IV in the recapitulation before returning to tonic. However, notice that the traditional dominant is secured by the end of the exposition.

Extended Third-Related STAs

An even more dramatic tonal strategy is to postpone the structural dominant until the retransition and to remain in the mediant for the entire STA. For example, beginning in 1800, Beethoven explored such motion in his so-called "middle period" works, including his Piano Sonata in G major, op. 31, no. 1 (Example 27.7). The piece begins with a jaunty G-major gesture leading to the dependent transition, which we would assume would nicely place the STA in the traditional key of V (D major). Instead, the surprising arrival on F♯, with its dominant flavor (m. 63), leads us to the chromatic third–related key of B major (III). However, Beethoven quickly downgrades the novelty of this tonal progression by converting the B major to B minor (iii), the diatonic key in which the rest of the exposition unfolds.

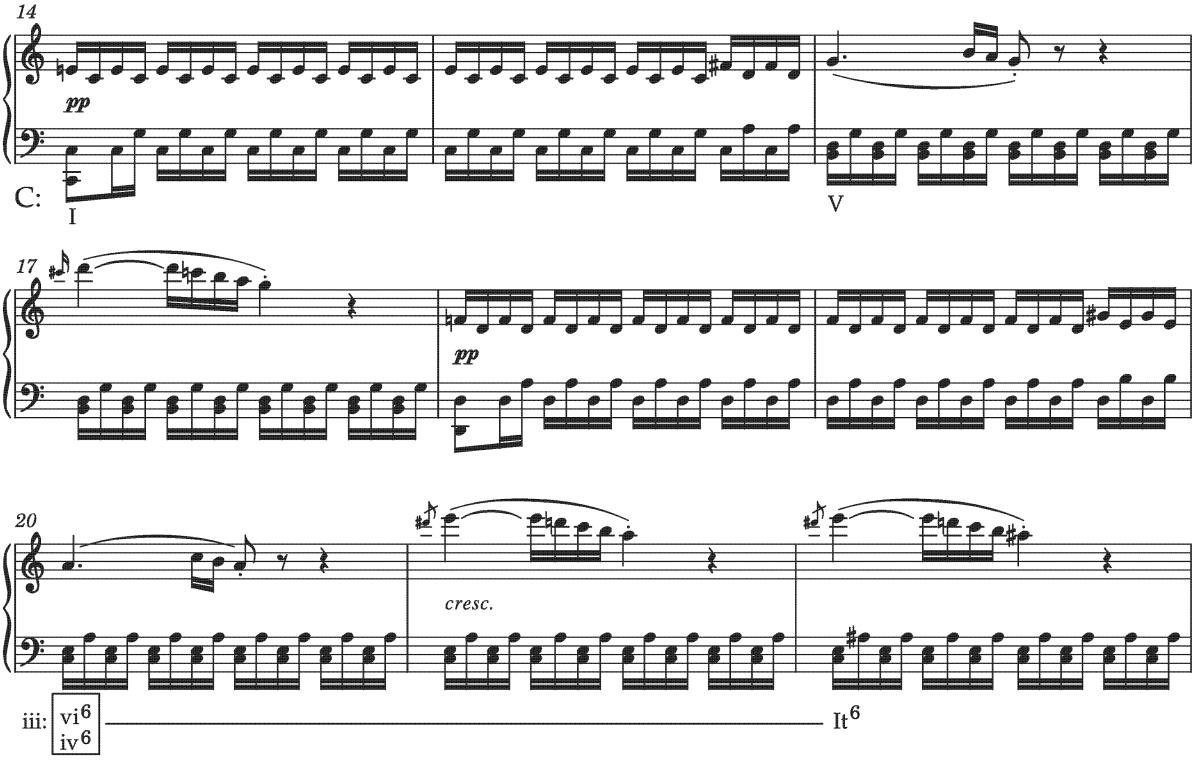
EXAMPLE 27.7 Beethoven, Piano Sonata in G major, op. 31, no. 1, *Allegro vivace*





Two years later, in his "Waldstein" sonata (Example 27.8), Beethoven again invokes the tonal tactic of moving from I to chromatic III. But this time, after the opening in C major, he *remains* in E major (III) throughout the exposition (m. 35ff). The development focuses on various forms of IV, and V is really only secured at the retransition.

EXAMPLE 27.8 Beethoven, Piano Sonata in C major, "Waldstein," op. 53, *Allegro con brio*



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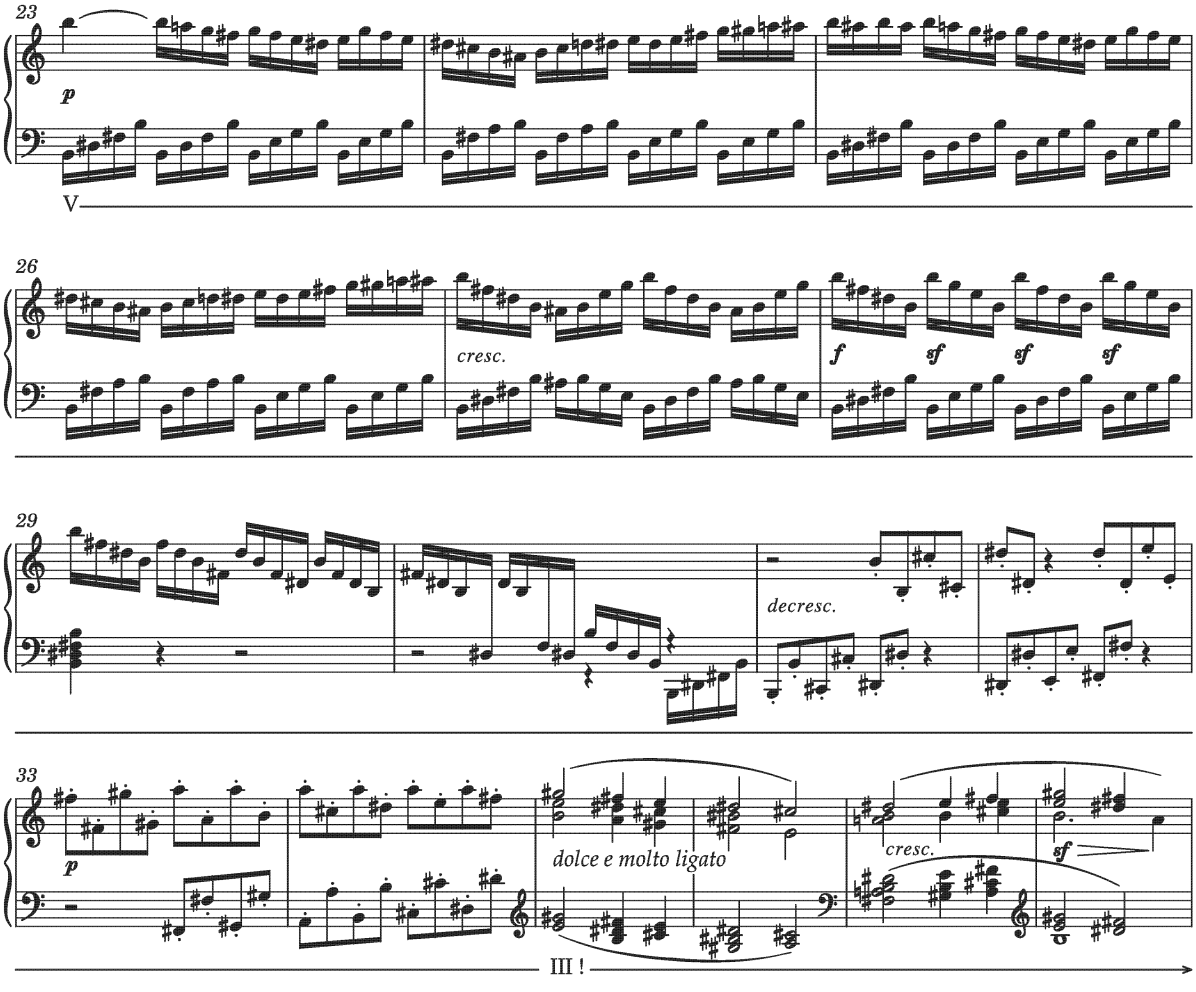


Sonata-Rondo Form

Recall that rondo is a sectional ("composite") form that composers use for closing multimovement works, including symphonies, concertos, and sonatas. These often-playful movements provide a good-natured close to what are usually large and serious works.

The seven-part rondo is characterized by the refrain (labeled A_1, with subsequent statements incrementing the number as follows, A_1, A_2, A_3, etc.) that alternates with episodes to produce the following sectional structure: A_1 B_1 A_2 C A_3 B_2 A_4. This model is often modified by the addition of transitions and retransitions, as shown, along with the common tonal framework in which tonic and dominant are used in the first three sections (ABA′), a contrasting (usually plagally related) key used in the C section, followed by the return to and continuation in the tonic for the final A_3 B_2 A_4, creating a large three-part form overall: ABA || C || ABA.

Seven-Part Rondo

A_1	Tr	B_1	RTr	A_2	C	RTr	A_3	Tr	B_2	A_4
I		V		I	IV, i, vi, etc.		I		I	I (coda)

By the later Classical period (1780–1800), composers imbued the rondo with dramatic significance in three ways:

1. increasing its length by extending and developing specific episodes, particularly the C section;
2. varying the refrain (with melodic embellishments, the insertion of sequential material, or modal mixture); and
3. incorporating new themes and keys.

Clearly, first-movement sonata form was a model for such changes. Classical composers were aware of the underlying similarities between the sonata and rondo forms including the tonal structure. For example, the basic sonata design reveals a large three-part form: exposition, development, and recapitulation.

Basic Sonata Form

| ----------Exposition---------- | Development---------- | -----Recapitulation---------- |

FTA		STA	CL	RTr	FTA		STA	CL
I	Tr	V		IV, i, vi, etc.,	I	Tr	I	I

The similarities run even deeper: Sonata form's tonal structure is predicated on a motion from the tonic to the dominant in the exposition, a tonal contrast and loose-knit structure in the development, and a return to the tonic in the recapitulation. This is nearly the same large-scale plan as the rondo, where the appearance of B_1 is usually in the dominant—the difference being that its return (B_2) is transposed to the tonic.

Indeed, a rondo modified by (1) a second B transposed to the tonic and (2) a C section that functions as a development is clearly a hybrid form, effectively combining attributes of both rondo and sonata into what is called **sonata-rondo** form.

Two additional modifications occur in sonata-rondo form that make the connections even stronger. First, transitions and retransitions create a more fluid structure, and, second, the C section unfolds in a more digressive, developmental fashion and may include thematic material from the A and B sections. The diagram that follows shows how the various elements of rondo and sonata form combine to create the sonata-rondo form. The top level of the diagram shows the three large sections (exposition, development, and recapitulation), and beneath these the smaller formal sections of the rondo are illustrated, supported by the underlying tonal structure.

Sonata-Rondo Form

| ----------Exposition ---------- | Development---------- | -------Recapitulation---------- |

A_1 = FTA	Tr	B_1 = STA	A_2 = ?	C (expanded)	RTr	A_3 = FTA	Tr	B_2 = STA	A_4 = Coda
I		V	I !	IV, i, vi, etc.	V^7	I		I	I

Notice the moment in the diagram (marked with a question mark and an exclamation point) that reveals a noncongruency between sonata and rondo: The second statement of the refrain (A_2), which leads to the exposition's close, brings back the initial theme, *but does so in the tonic*. As we know, in sonata form, this would be the closing section and would necessarily remain in the dominant.

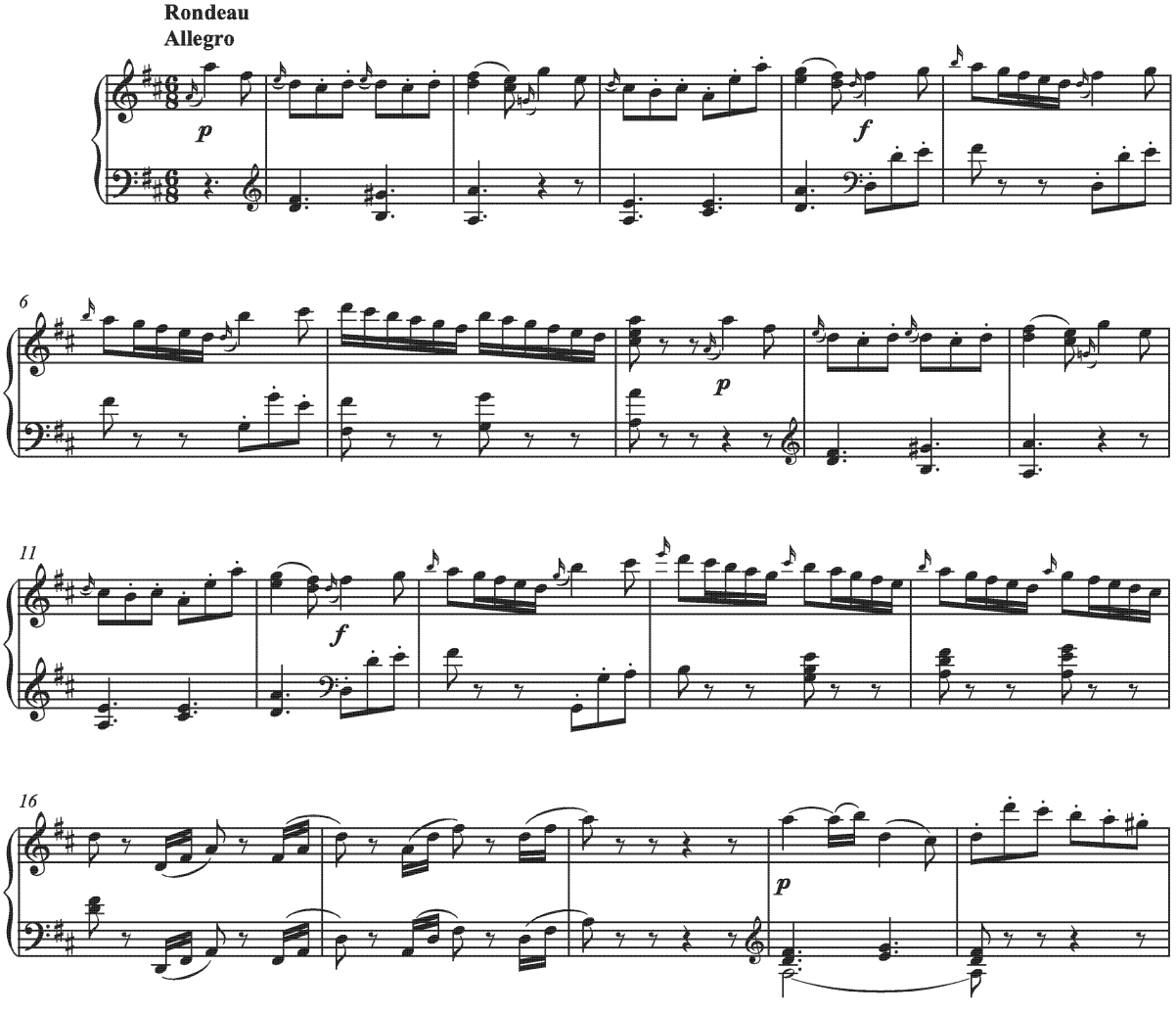
Composers often solve this formal tonal problem by modifying A_2, either shortening it, or destabilizing the return to the tonic through modal mixture

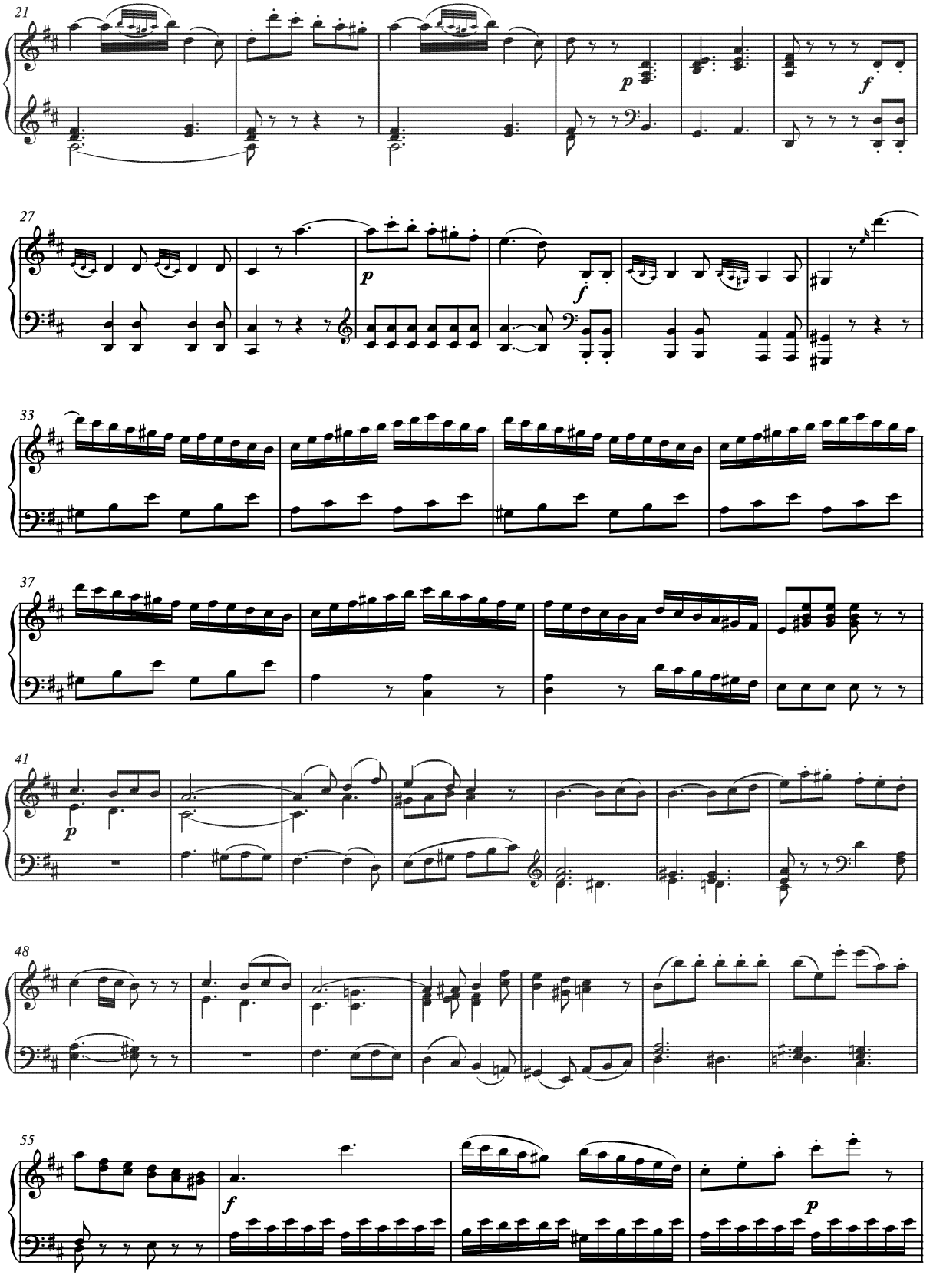
or elision, effecting a transition to the developmental C section. Such blurring of the form may lead the listener to think that the return of the refrain is actually the beginning of the development, and that the composer is restating the initial theme in preparation for its development.

On the other hand, the composer may simply repeat the refrain literally, closing it strongly in the tonic. In such a case the listener is led down the wrong path, assuming the movement is in sonata form, and this is the repeated exposition, back in the tonic. But when C immediately follows the A section, the listener realizes they are party to an aural bait-and-switch tactic in which the composer has duped the listener.

Mozart's Piano Sonata in D major, K. 311 (Example 27.9) is a clear example of sonata-rondo form. Listen to and mark the large sections of the movement, keeping in mind the major sections just discussed.

EXAMPLE 27.9 Mozart, Piano Sonata in D major, K. 311, Rondeau

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27
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41
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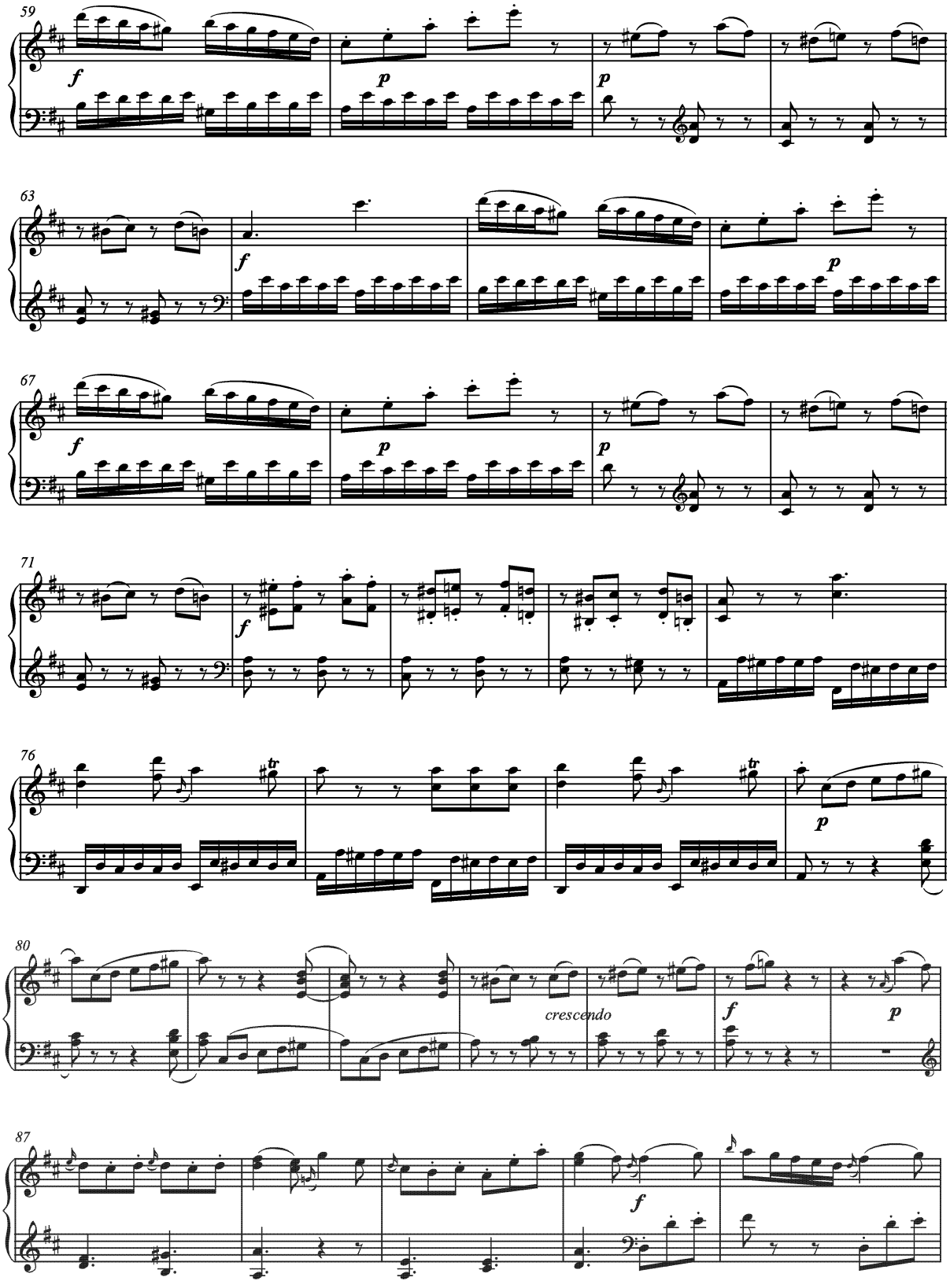

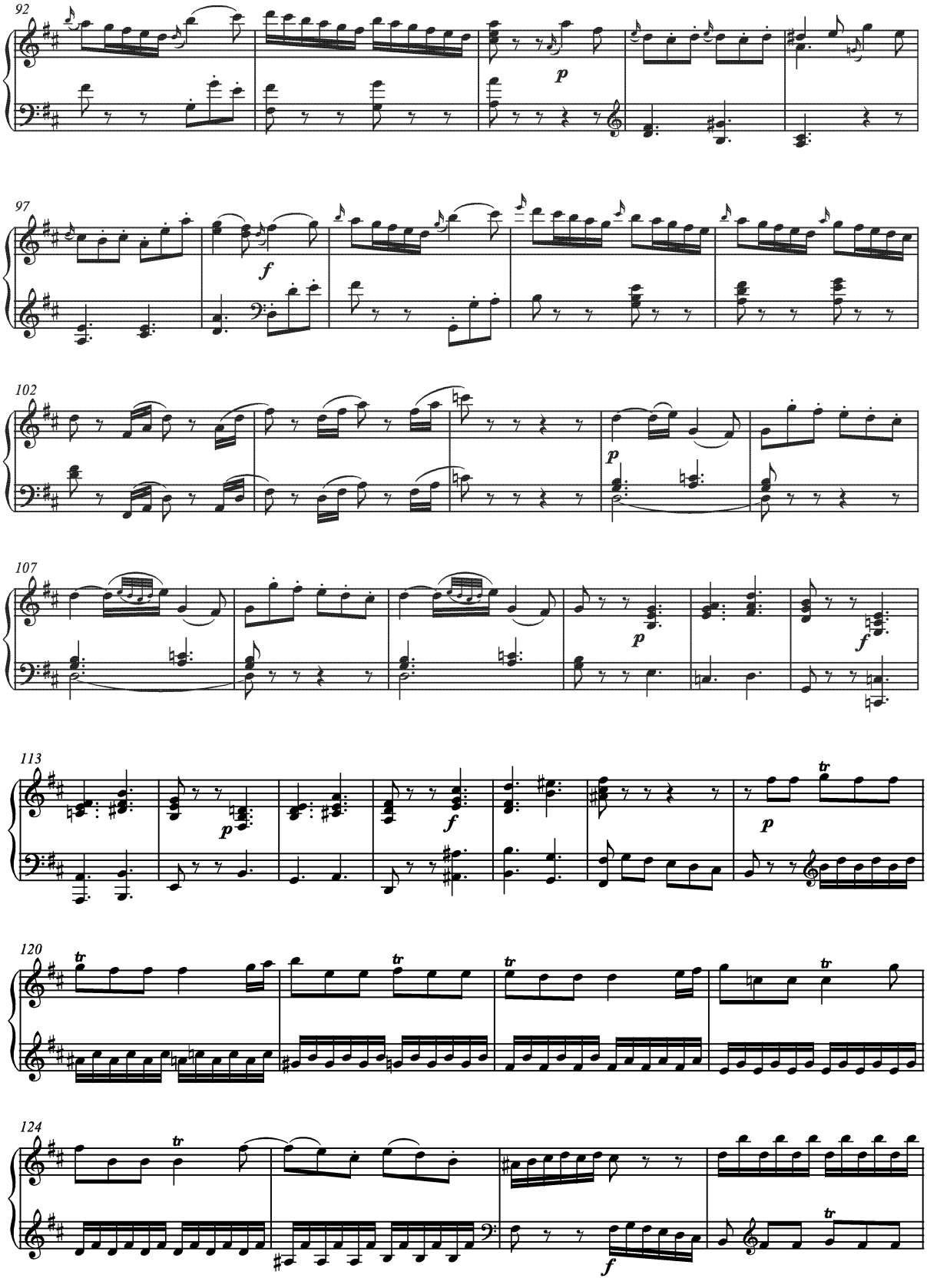
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124
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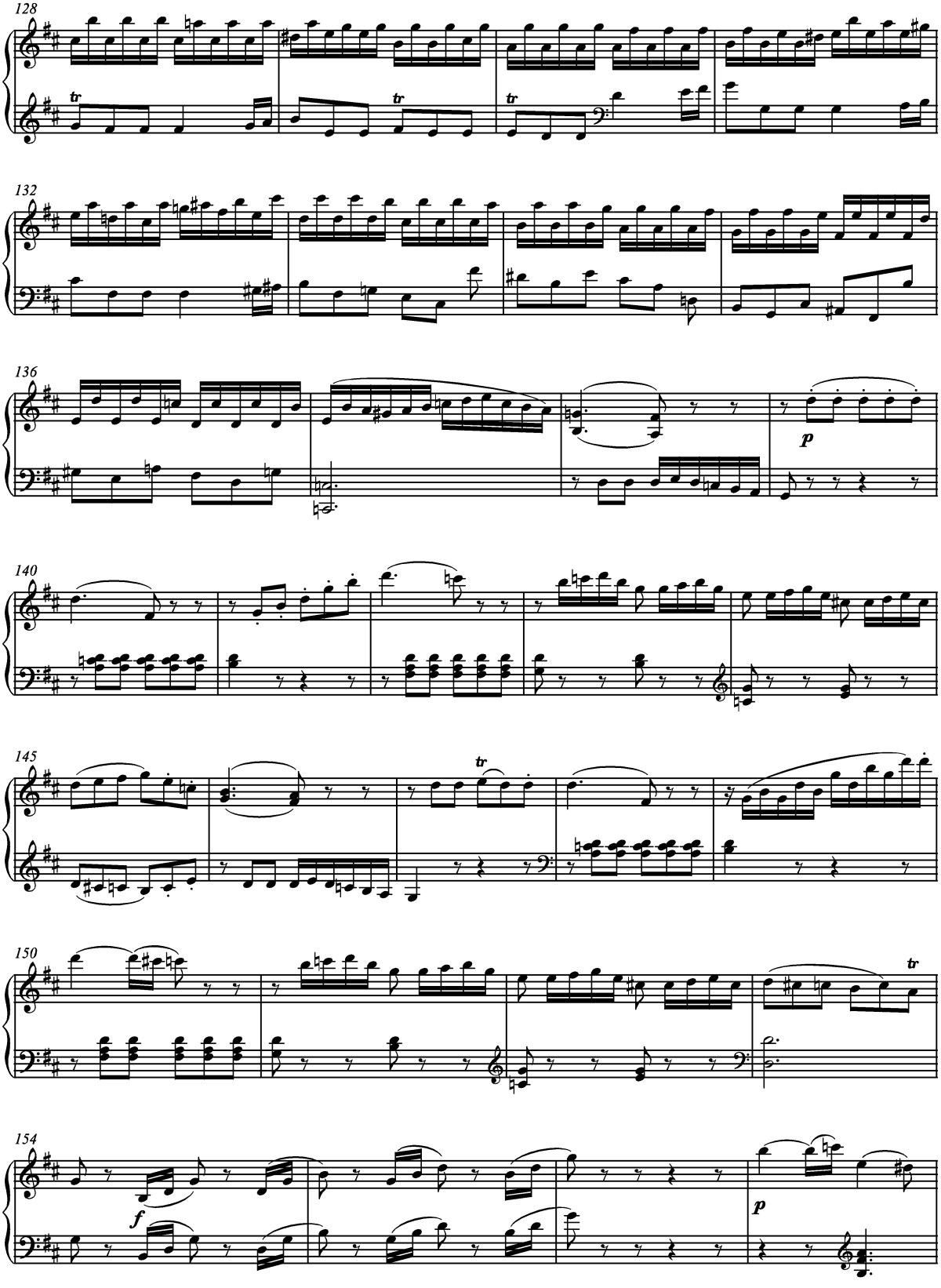
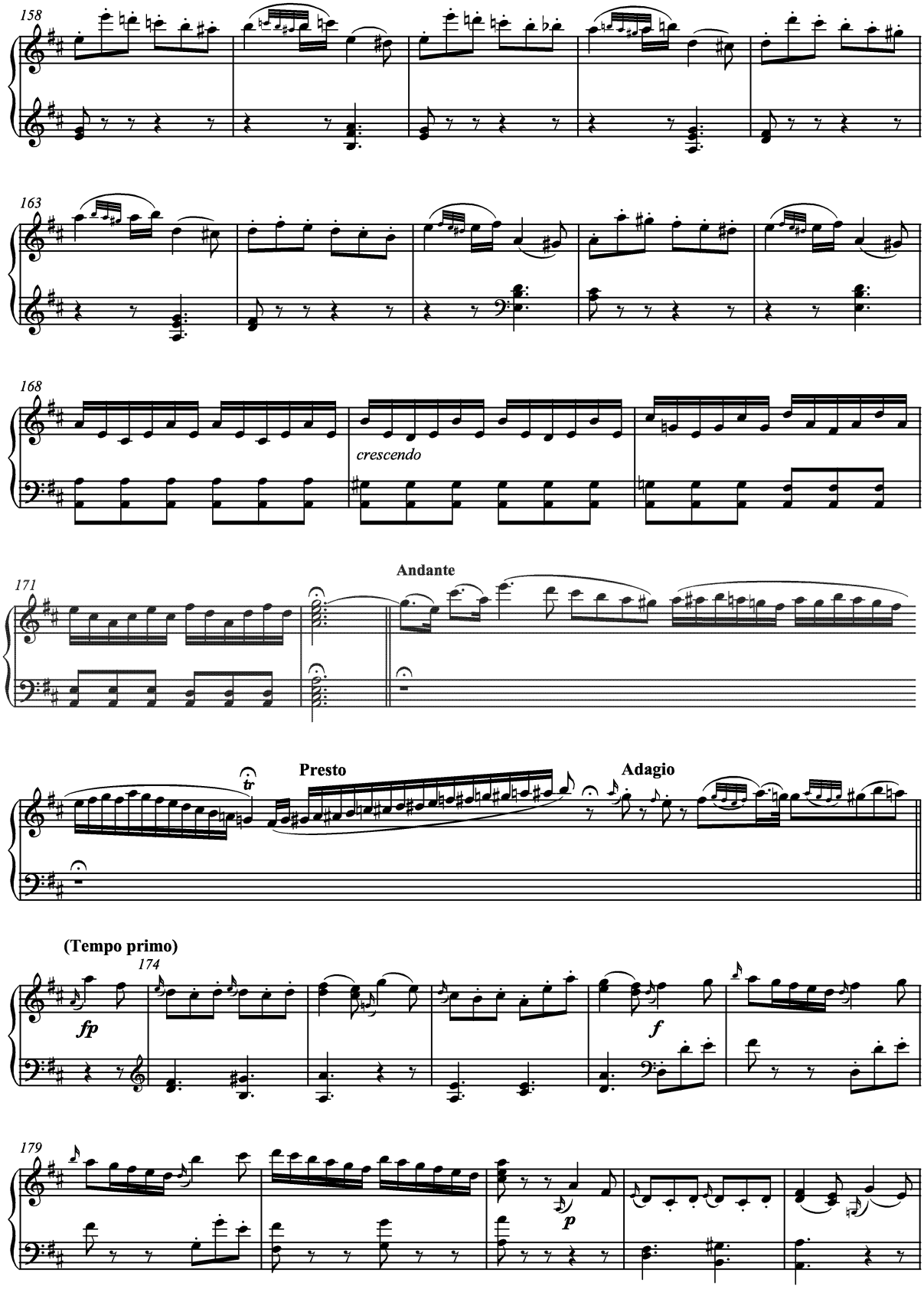
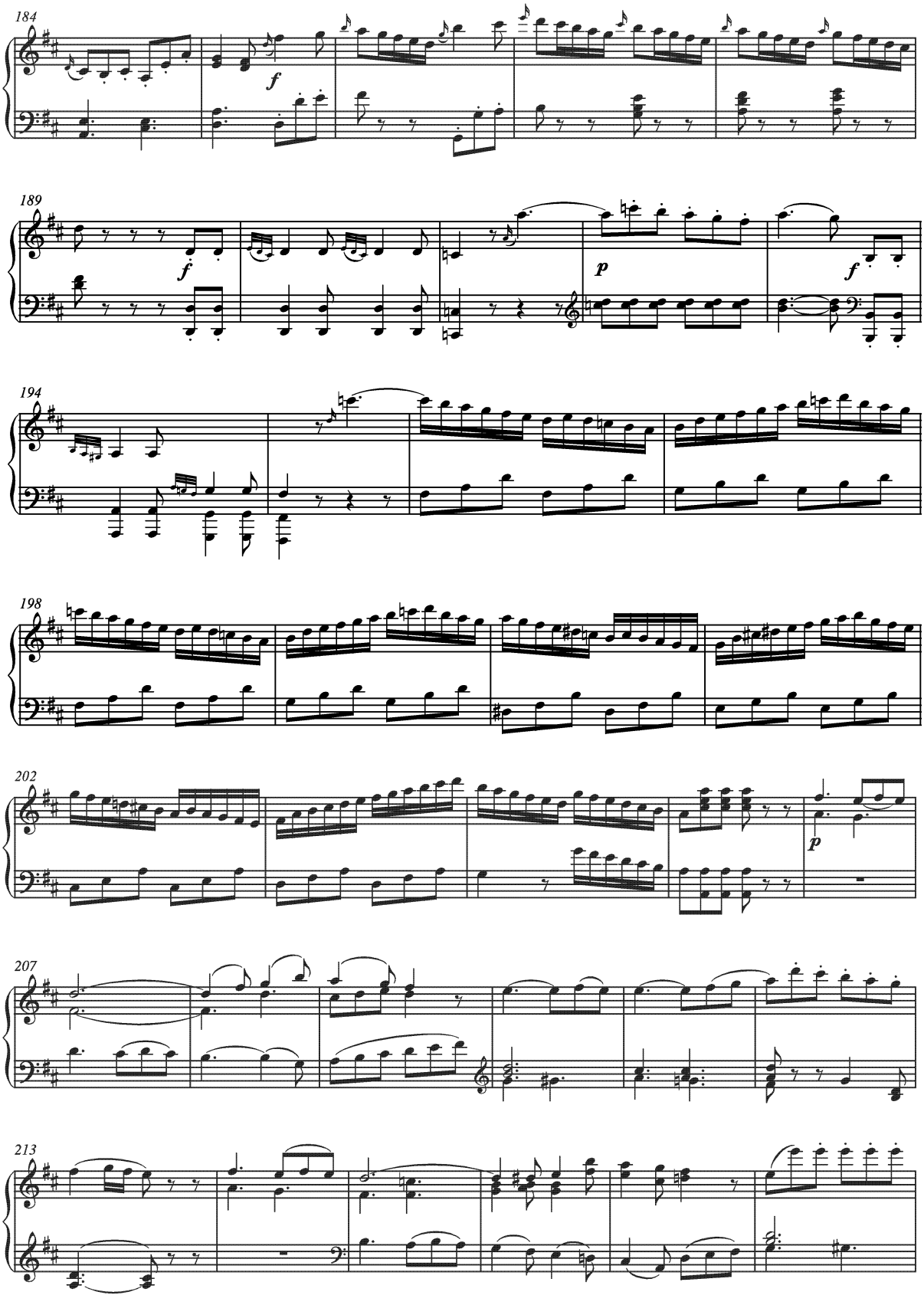
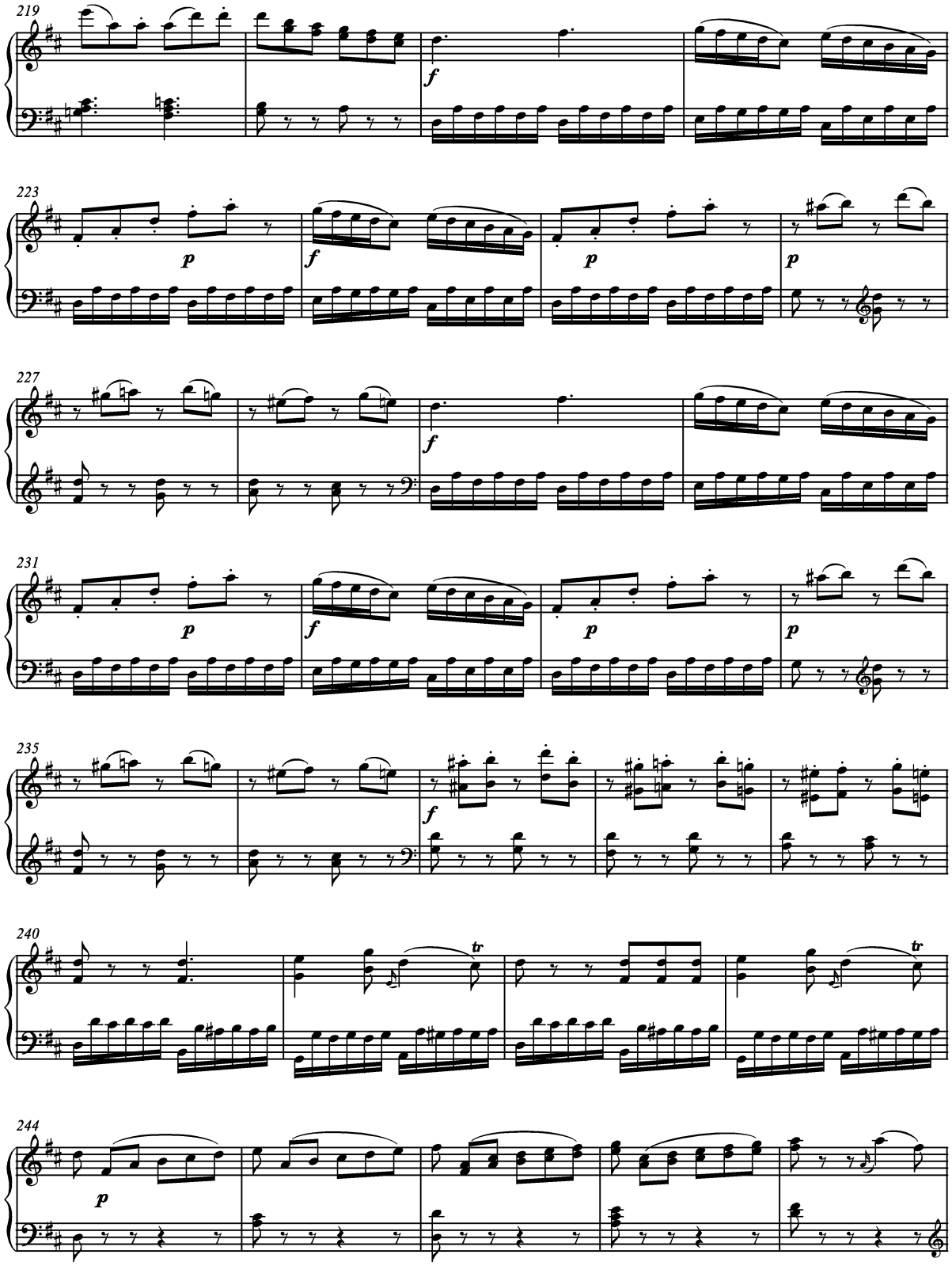


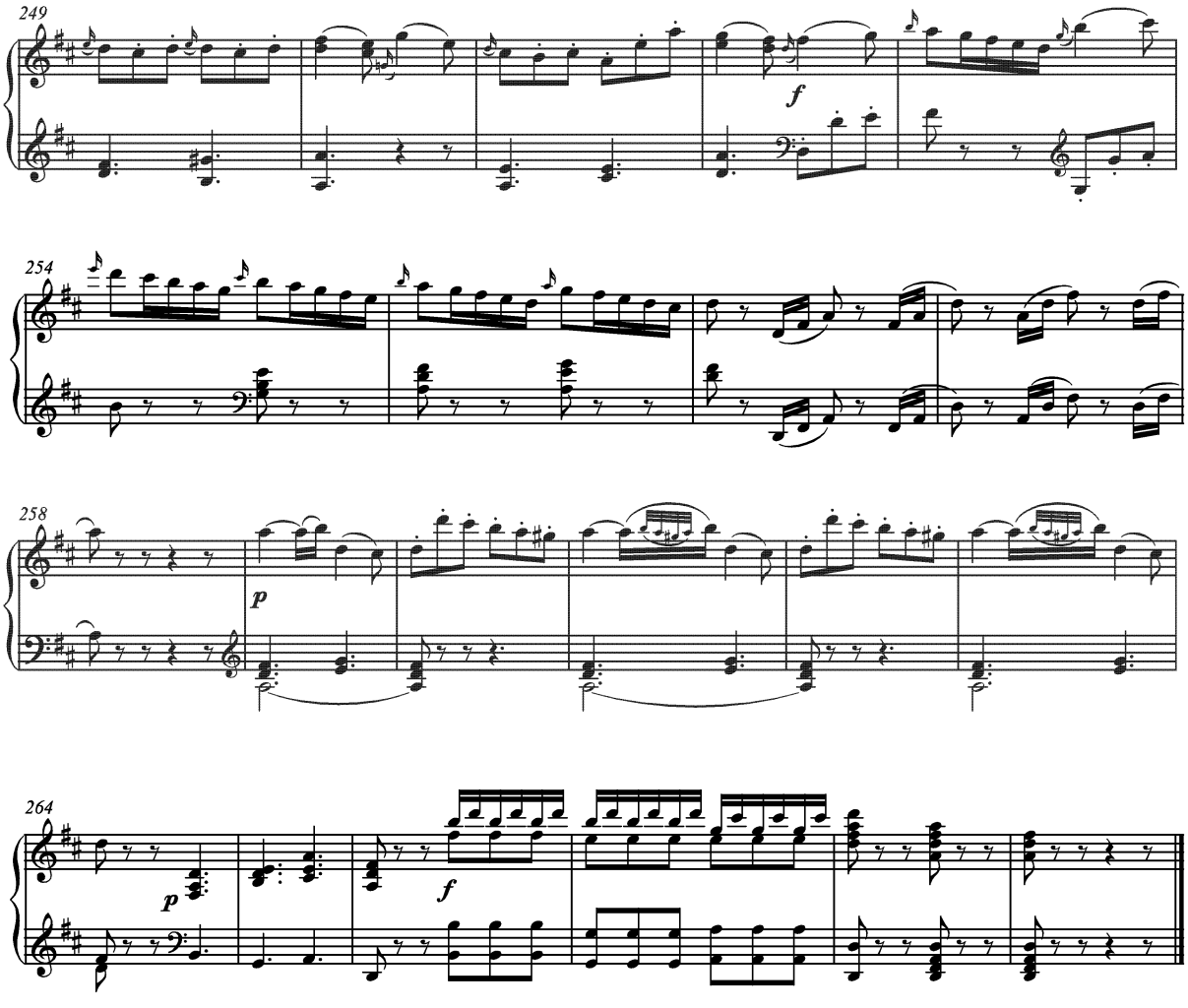

158
163
168
crescendo
171
Andante
tr
Presto
Adagio
(Tempo primo)
174
fp
f
179
p

Continued




219
f
223
p
f
p
p
227
f
231
p
f
p
p
235
f
240
tr
tr
244
p

Continued



The movement is cast in a seven-part rondo as follows:

A_1	B_1	A_2	C	A_3	B_2	A_4
(1–26)	(41–56)	(86–102? 119?)	(102? 119? to 157? 168?)	(173–189)	(206–220)	(249–266)
I----------V----------		I-------?	vi----iv---ii------	I----------		

Notice that the telltale transposition of B_2 to the tonic is an important criterion for sonata-rondo construction.

The question marks in the diagram indicate more than one possibility for determining the beginnings and endings of sections (specifically A_2 and C). Such blurring of sectional boundaries in a rondo form also indicates sonata-rondo form. The formal elision within the A_2 section—where the refrain recurs in tonic—is a monkey wrench thrown into sonata form: the STA and closing should remain firmly in the *new* key and cannot return to the tonic until the recapitulation. However, Mozart has changed the A_2 refrain by tonally *destabilizing* its tonic at m. 104 and even *developing* the cadential material in mm. 112–119 by constantly transposing it, weakening the A_2 to the degree that the listener cannot be sure where it ends and the C section begins. There are many measures not accounted for in this formal summary. These transitions and retransitions create a more fluid, dramatic effect.

A more complete formal diagram follows, detailing the transitional material as well as the refrain and its repetitions. Notice that Mozart has added a cadenza that highlights the crucial retransition that leads from the end of C (development) to A_3 (recapitulation).

Mozart, Piano Sonata in D major, K. 311, Rondeau

Exposition----------						Development ----------		
A_1 (FTA)	Tr	B_1/STA	CL	RTr	A_2	C	RTr	cadenza
1–26	27–40	41–56	56–79	79–86	86–102 (or 119?)	102 (or 119?) to 157 (or 168?)		173
1–16 (refrain)								
16–26 (suffix)								
I----------		V----------			I----------????	vi-----IV---ii-----V----------		

Recapitulation ----------						
A_3 (FTA)	Tr	B_2 (STA)	CL	RTr	A_4	cadential tag
173–189	190–205	206–220	221–244	244–248	248–266	266–269
173–189 (refrain only, no suffix)					suffix appears 256–266!	
I----------						

Analytical Synthesis: 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, Allegro con brio

Haydn's well-known Piano Sonata in C major (Example 27.10) provides a good introduction to analysis of sonata form, although it does not always adhere strictly to traditional procedures. Remember that sonata form is really not a "form" at 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 (some may not be present) and providing roman numerals for keys:

Introduction

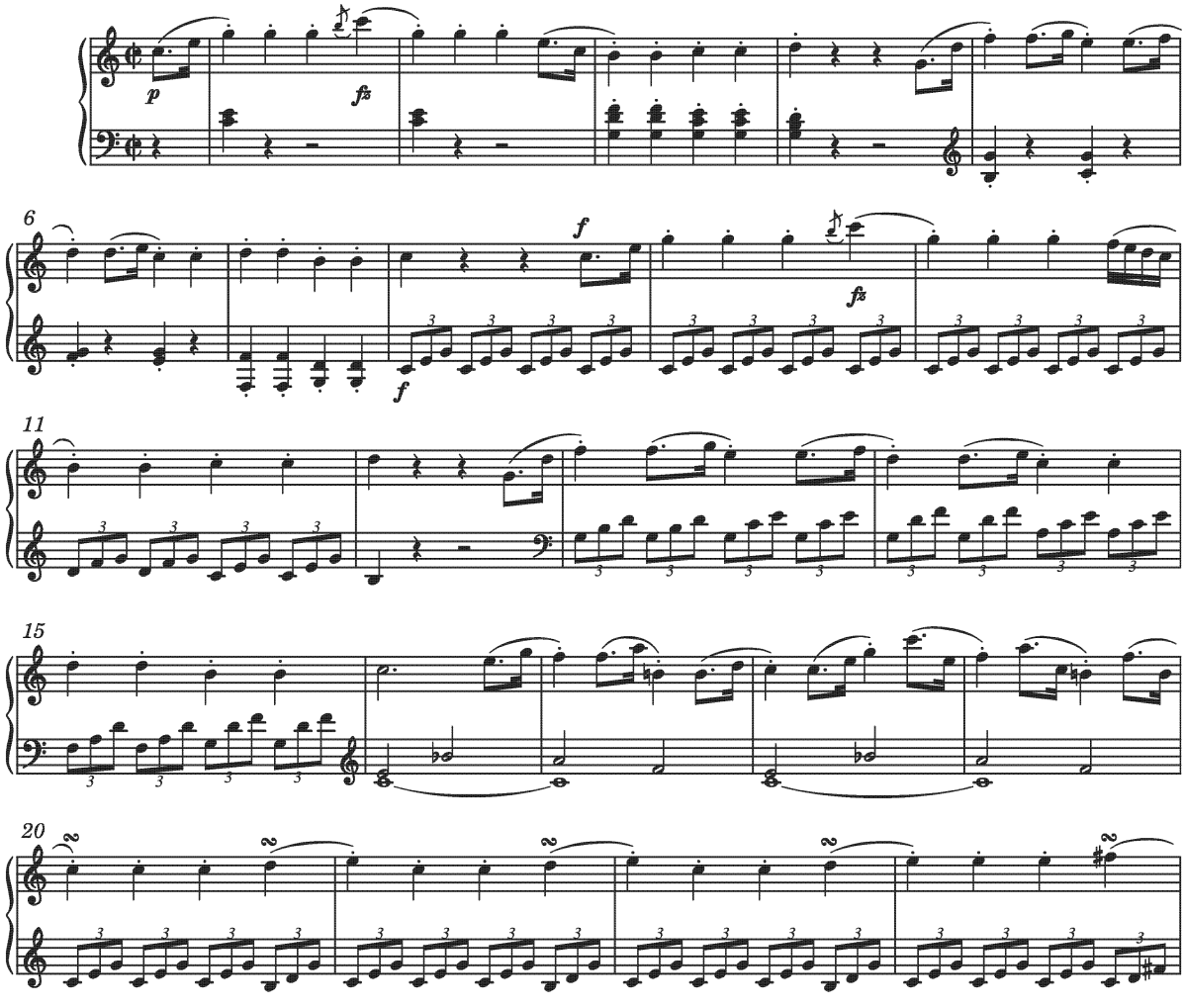
Exposition: FTA, DTr or ITr, STA, CL, Codetta

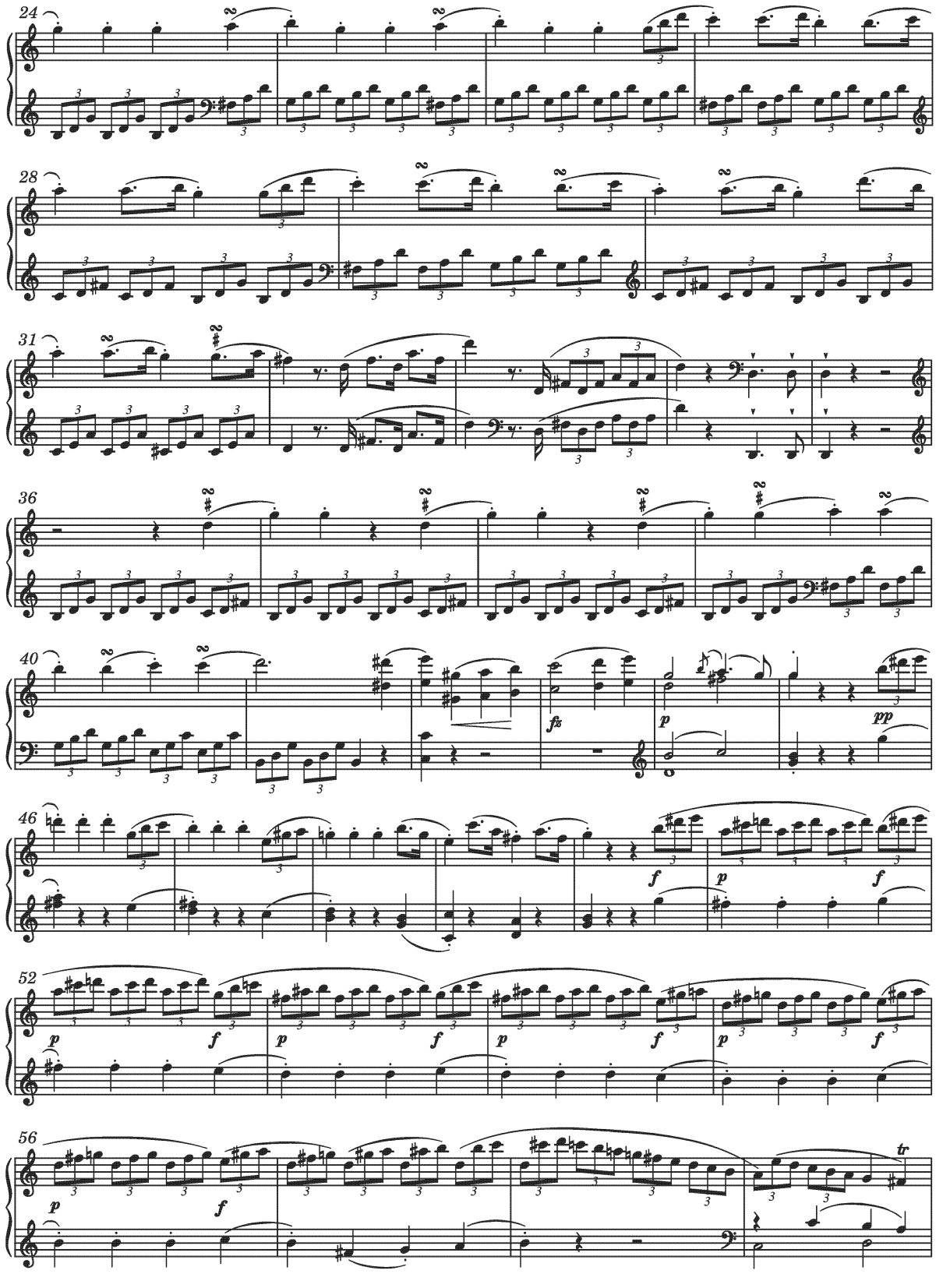
Development: RTr

Recapitulation: FTA, DTr or ITr, STA, CL

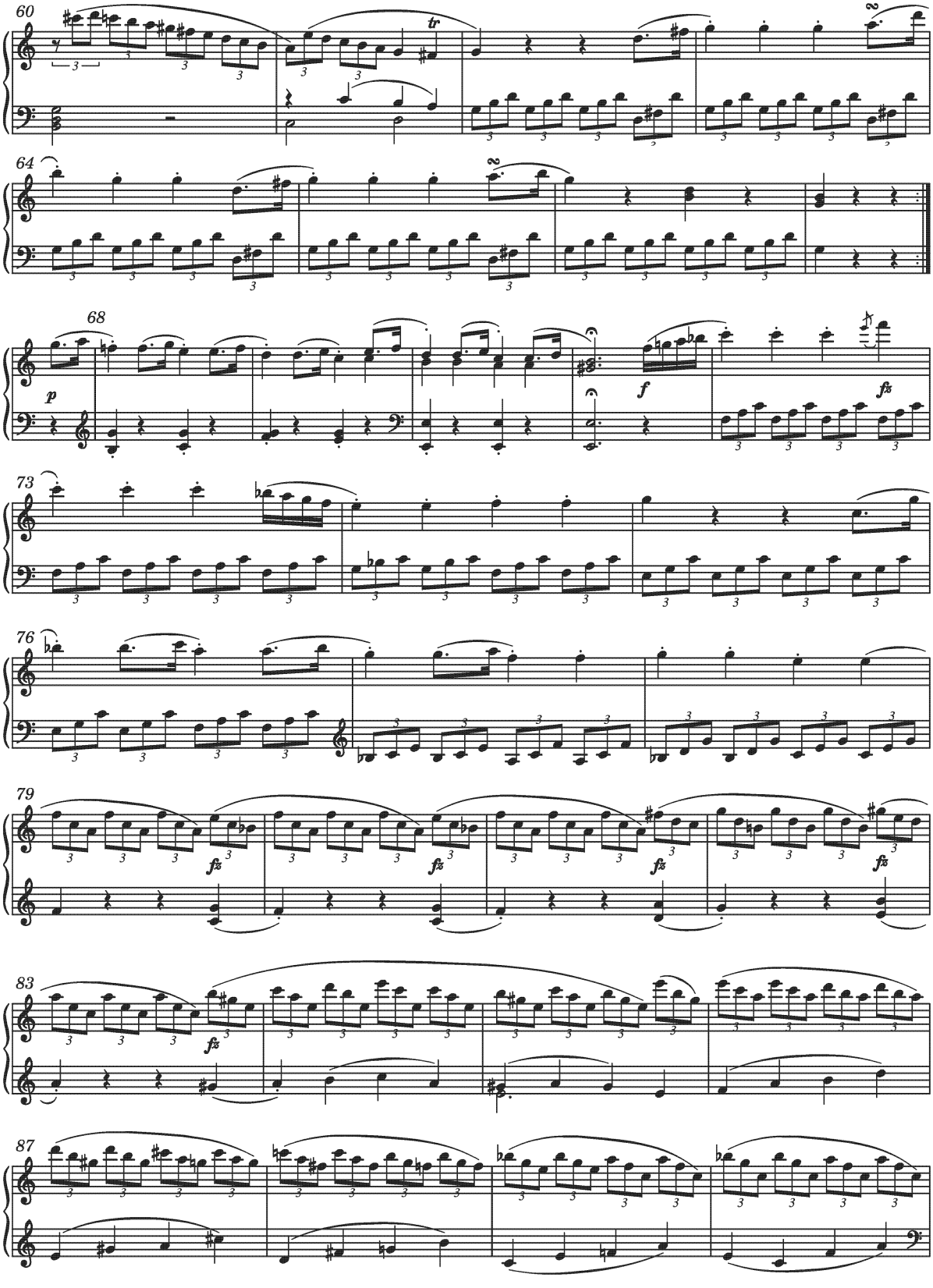
Coda

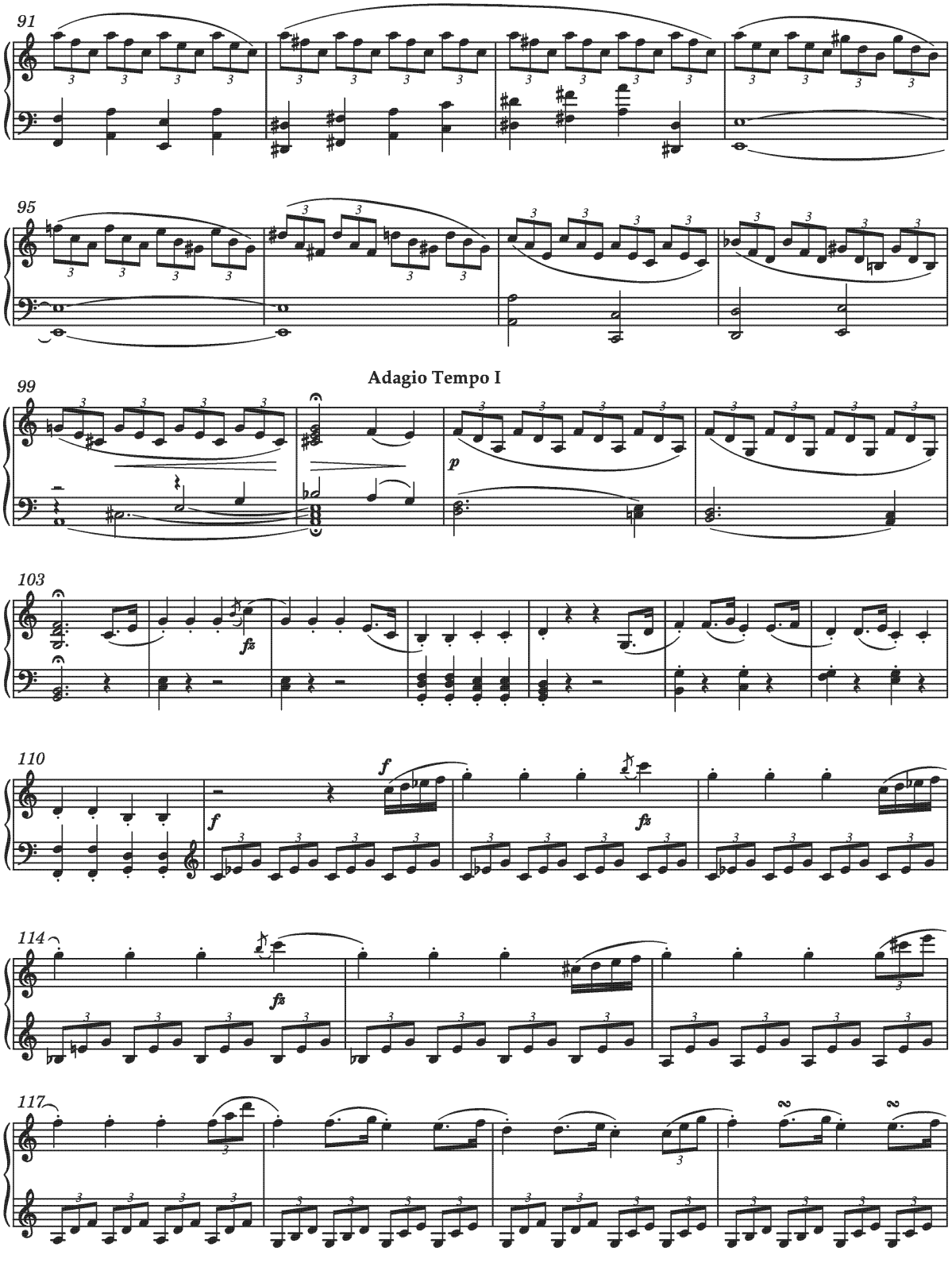
EXAMPLE 27.10 Haydn, Piano Sonata no. 48 in C major, Hob XVI.35, *Allegro con brio*



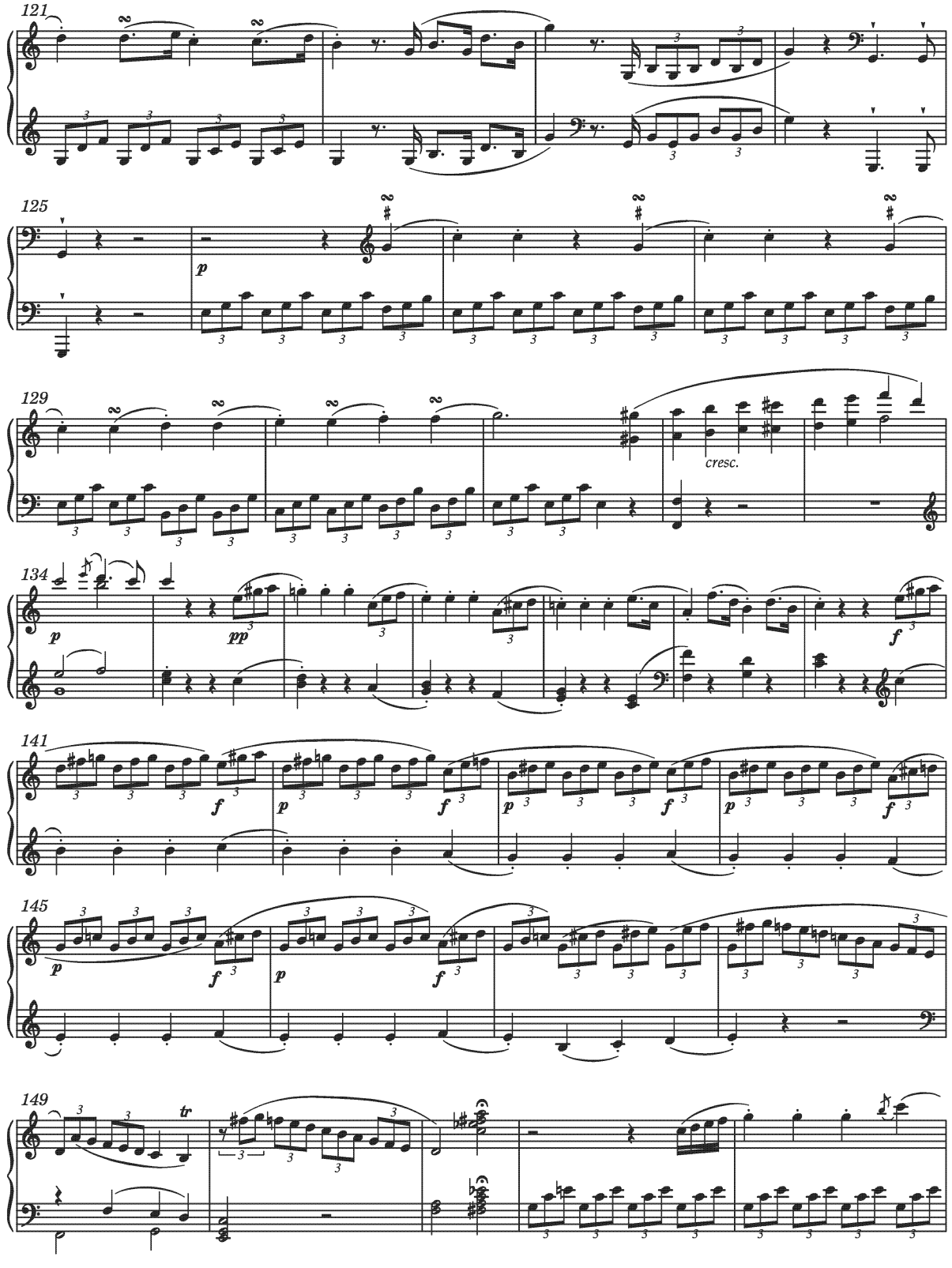

24
28
31
36
40
fz
p
pp
46
f
p
f
52
p
f
p
f
p
f
p
f
56
p
f
tr

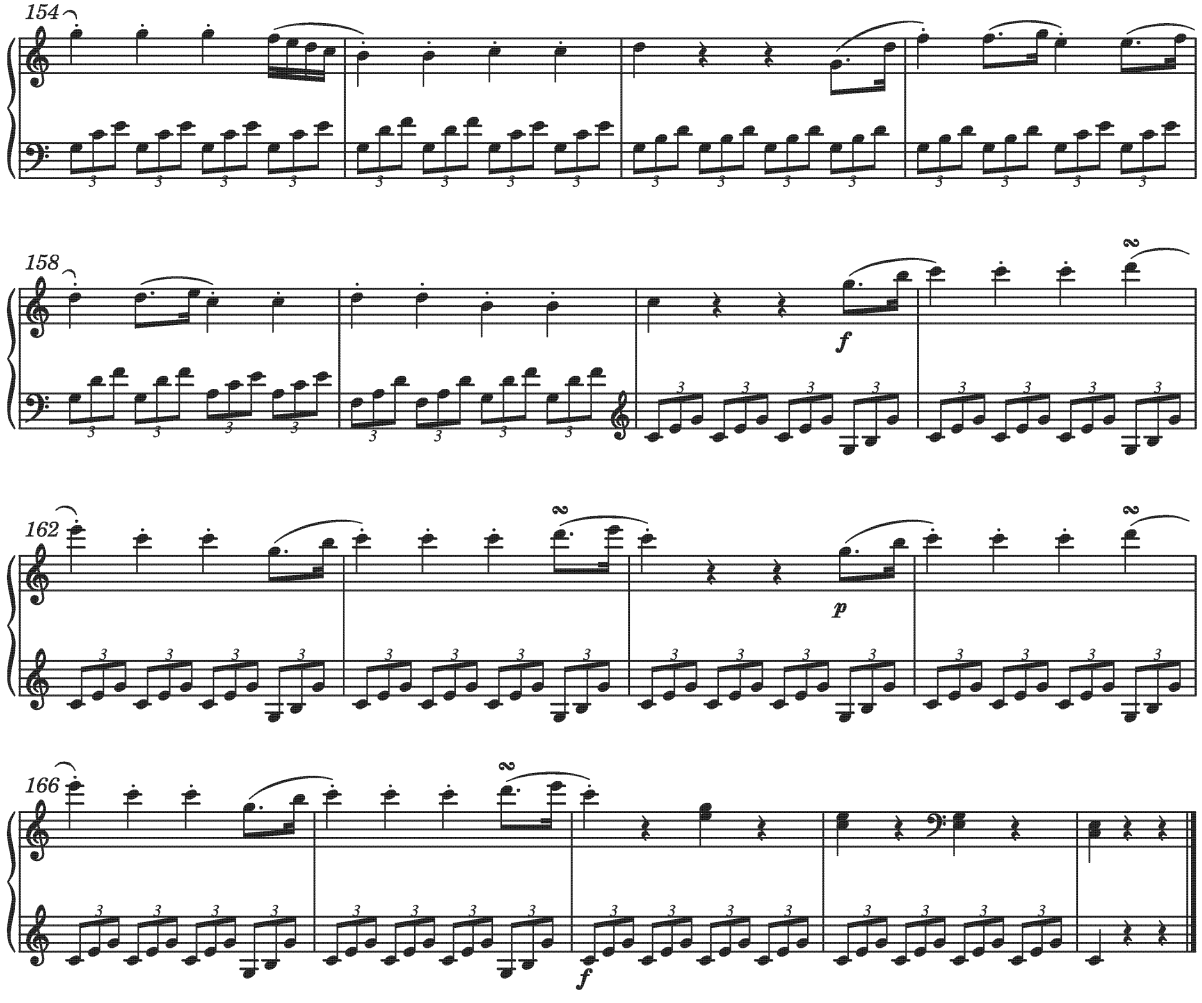
Continued




91
95
Adagio Tempo I
99
p
103
fz
110
f
f
fz
114
fz
117

Continued

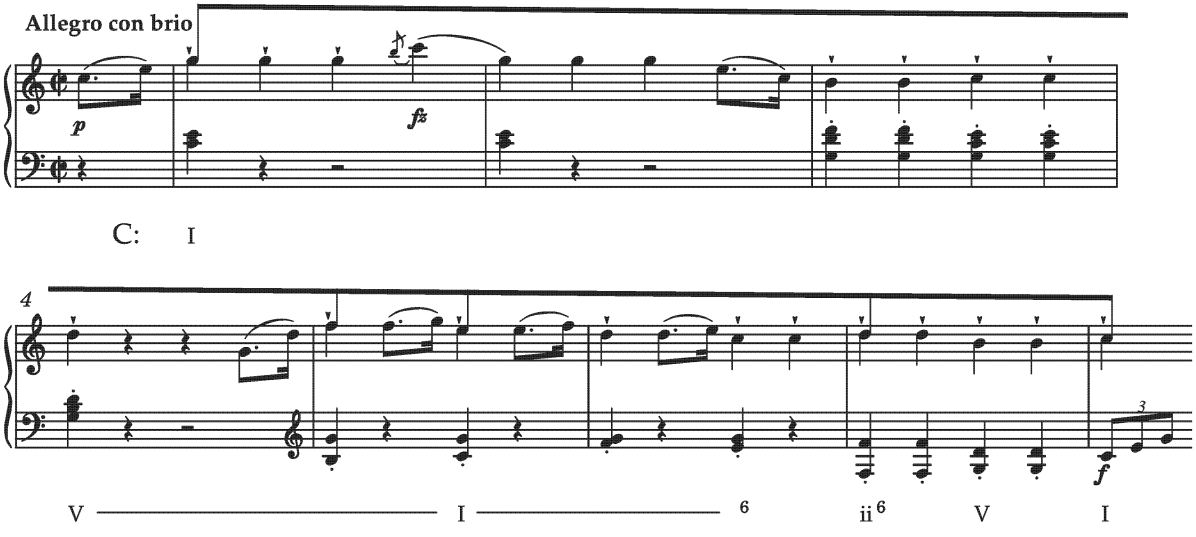




Exposition

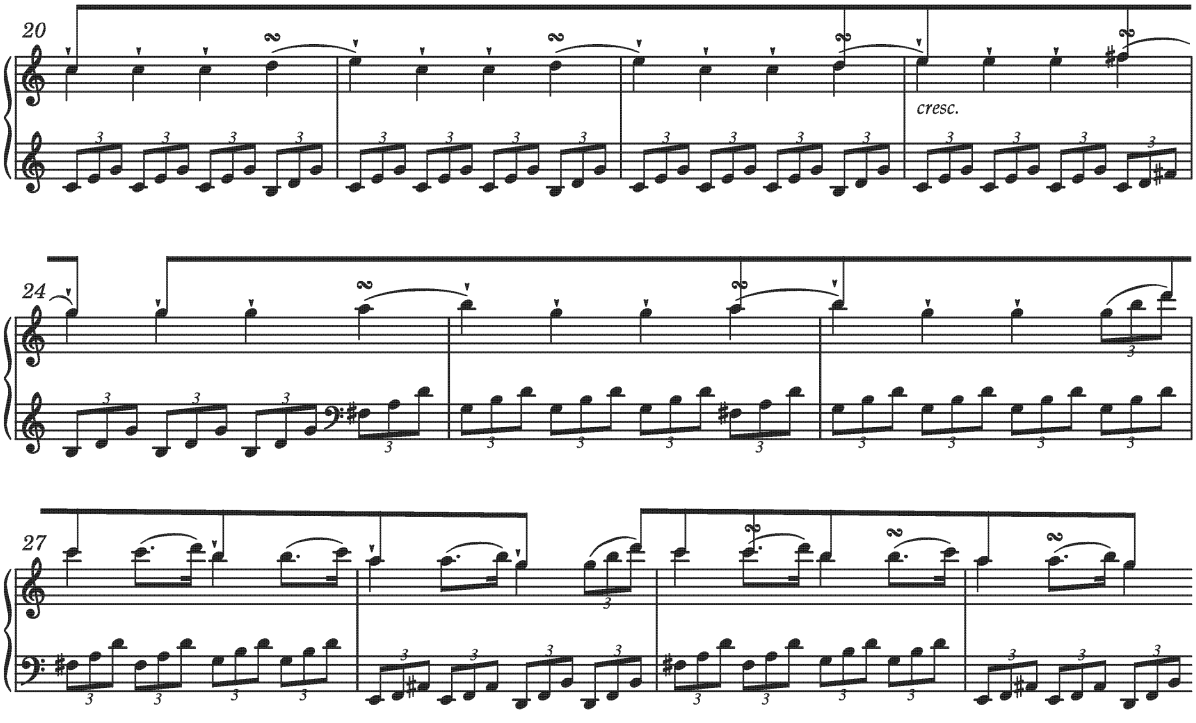
The piece begins without an introduction. At m. 1, the exposition commences with the FTA in the tonic. The opening eight-measure theme begins with simple arpeggiations (mm. 1–4) followed by a mostly stepwise descent with incomplete neighbors (mm. 5–8). A bit of melodic reduction reveals a stepwise motion from the repeated G that descends a fifth to C in m. 8 (Example 27.11). Notice that the final D^5 and C^5 do not really participate in the stepwise descent in m. 6 but wait until the final cadential motion in mm. 7–8; the contrapuntal motion and voice exchange in m. 6 simply prolongs the E^5 in m. 5.

EXAMPLE 27.11 Haydn, Sonata in C, mm. 1–8



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. Therefore, we are not finished with the FTA until at least m. 16 and the second PAC.

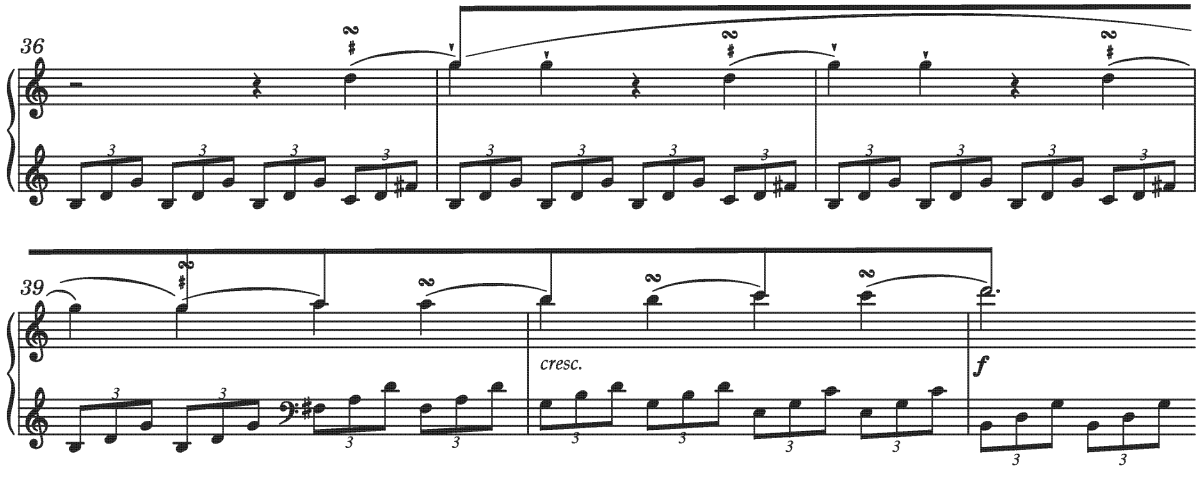
EXAMPLE 27.12 Haydn, Sonata in C, mm. 20–30



A new theme appears in m. 20 (Example 27.12). When F♯^{5} (m. 23) instigates a move to G major (V), we know that we have entered the modulatory transition. So, the proper label for this section is ITr. In general, the use of accidentals in a major-key sonata marks 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). In minor-mode pieces it is the opposite: The opening minor tonic requires an accidental (raising $\hat{7}$ to create a leading tone), but the move to the relative major reinstates the lowered form of $\hat{7}$ since it now functions as $\hat{5}$ in the new key.

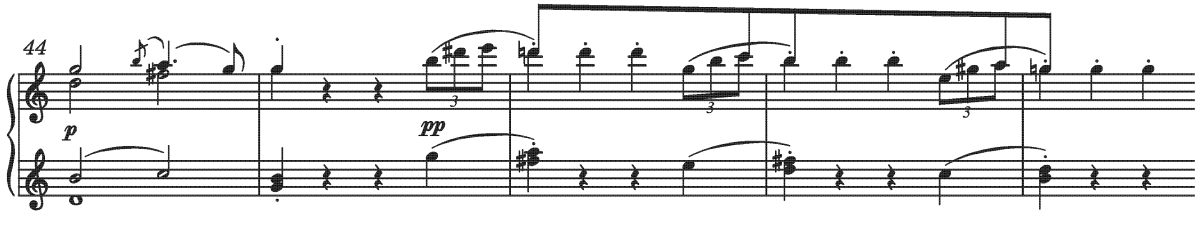
Motivically, the beginning of the transition contains a stepwise ascent, C^5–D^5–E^5, E^5–F♯^{5}–G^5 (Example 27.12); this is reminiscent of the opening arpeggiation (now filled in with passing tones), as well as an inversion of the linear descent from G^5 to C^5. Another correspondence follows when, after G^5 rises a fifth to D^6 (mm. 24–26), D^6 descends a fifth to G^5 (mm. 26–28 and 28–30) in exact imitation of the opening stepwise-fifth descent from G^5 to C^5.

EXAMPLE 27.13 Haydn, Sonata in C, mm. 36–41



The STA begins in m. 36 with a new theme. However, even a cursory examination reveals that the ascending fifth recurs (Example 27.13). A strong cadence in mm. 44–45 closes the STA. The CL, which occupies mm. 46–62, begins with yet another manifestation of the descending fifth (filled-in arpeggiation figure), which releases the tension of the exposition (Example 27.14).

EXAMPLE 27.14 Haydn, Sonata in C, mm. 44–48



A codetta (mm. 62–67) restates the opening theme in V. The following chart presents the exposition's formal and harmonic events.

measures:	1–19	20–35	36–45	46–62	62–67
thematic design:	FTA	ITr	STA	CL	Codetta
harmonic design:	I	——→	V	V	V

Development

The development begins with an apparent return to the tonic, C major. The linear descent of a fifth in the soprano ends in an unexpected half cadence in A minor (vi) in m. 71. 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 the theme is completely stated (mm. 71–79) and an A2 (–3/+4) sequence accrues dramatic tension (mm. 80–83) does A minor return, in m. 83.

Haydn next retraces his harmonic steps, using a D2 (–5/+4) sequence to return to F major (mm. 86–90). However, the F harmony continues to descend to E, the same chord that was abandoned in m. 71. A pedal point on $\hat{5}$ usually indicates the retransition, but the pedal here is on E (V/vi) rather than on G (V). A strong circle of fifths moves to the dominant (E–A–D–G in mm. 94–103), so the pedal on E in m. 94 may be regarded as the beginning of the retransition.

Recapitulation

The recapitulation begins in m. 104 with a restatement of the FTA theme, 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, the initial tonic chord appears in the parallel minor. It is followed by many changes, including modal mixture, all of which suggest that Haydn is redeveloping material (i.e., that the movement has not really left the development and begun the recapitulation). However, in m. 118 he returns to the established model by repeating the FTA material first heard in m. 13.

Suddenly, Haydn skips ahead to the dramatic arpeggiations and half cadence that characterized the end of the transition section, compressing the second part of the FTA and the transition into a 15-measure phrase, nearly half the length it occupied in the exposition.

The STA is stated in the tonic (mm. 126–135), followed by the CL (mm. 136–151), at which point a dramatic diminished seventh chord (m. 141) heralds an extended coda that closes the piece. The following diagram presents a complete formal and harmonic diagram of the movement.

measure:	1	20	36	46	62	68	94	104	111	126	136	152
thematic design:	Exposition					Development		Recapitulation				Coda
harmonic design:	FTA	ITr	STA	CL	Codetta	RTr		FTA	"ITr"	STA	CL	
	I	——→	V	V	V	I–vi–IV–vi–V//		I	——→	I	I	I

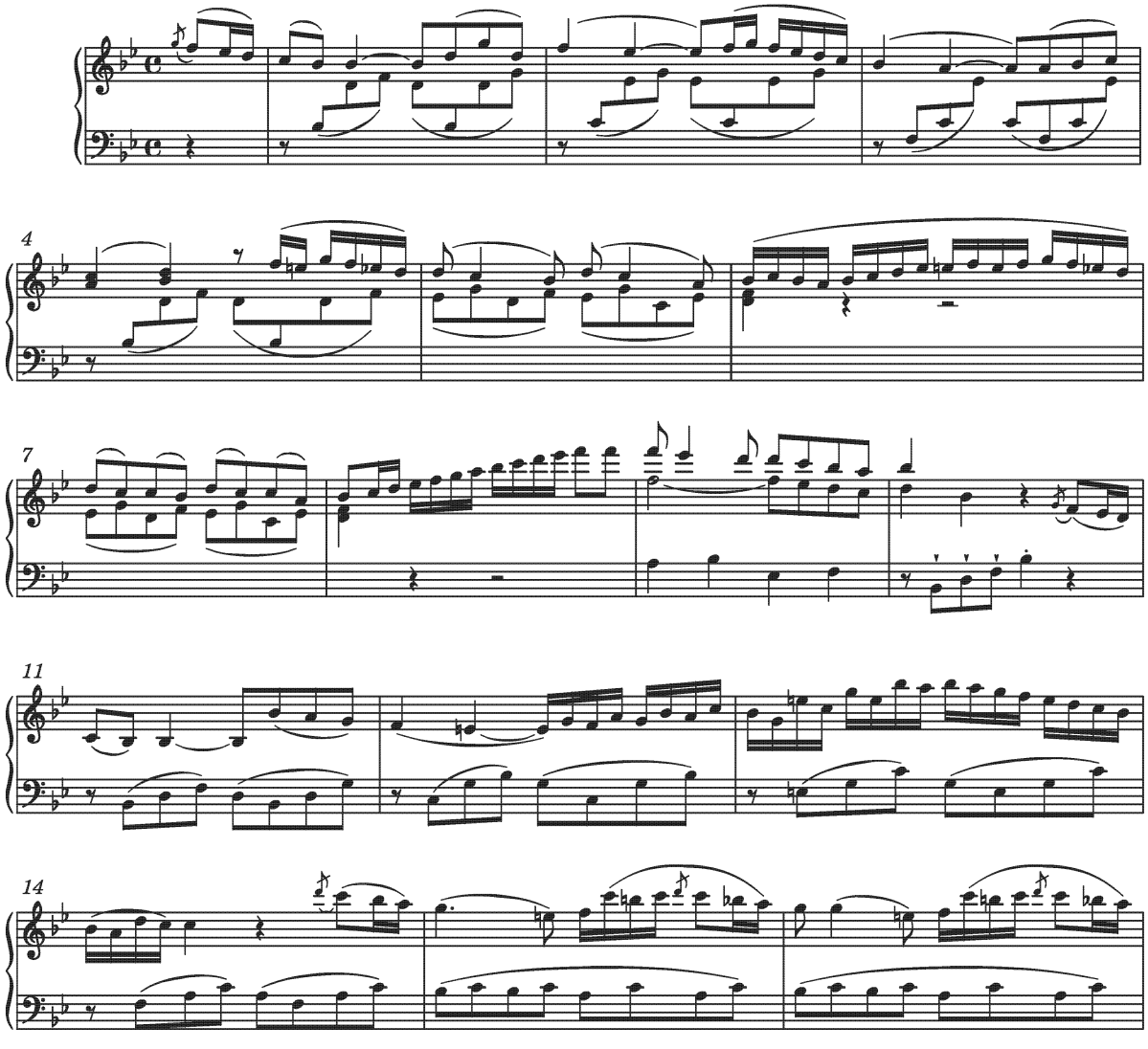
This movement generally conforms to our model of sonata form. However, departures from the norm, such as the pedal point at the end of the FTA, the very short STA, the curtailed FTA in the recapitulation, and the dovetailing of the missing material in the transition of the recapitulation, demonstrate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

Mozart, Piano Sonata in B♭ major, K. 333, Allegro

The first movement of Mozart's Piano Sonata in B♭ major, K. 333, appears to be a random series of harmonies in the development section. Our goal is to seek an underlying compositional logic for these curious excursions.

Listen to and study Example 27.15, locating the important formal sections and their controlling key areas. The formal structure is 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 F major (V) occupies mm. 23–38. The closing section divides into two smaller sections (mm. 38–50 and mm. 50–59), and a codetta closes the exposition (mm. 59–63). The recapitulation and coda (mm. 94–165) unfold in the same manner as the exposition. The chart following the score shows the main formal sections of the movement. Notice that the harmonic progression in the development (mm. 64–93) remains to be interpreted.

EXAMPLE 27.15 Mozart, Piano Sonata in B♭ major, K. 333, *Allegro*



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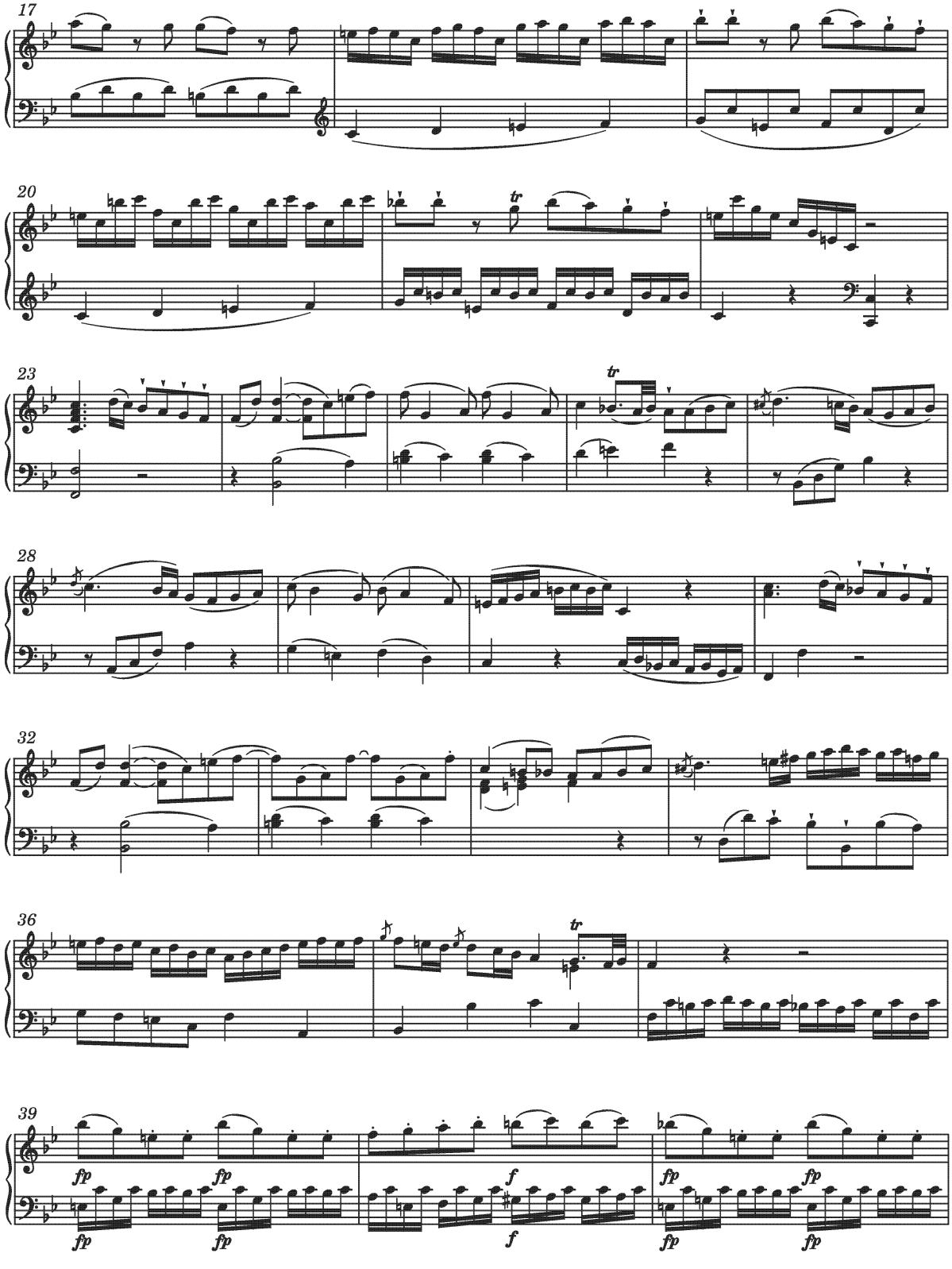
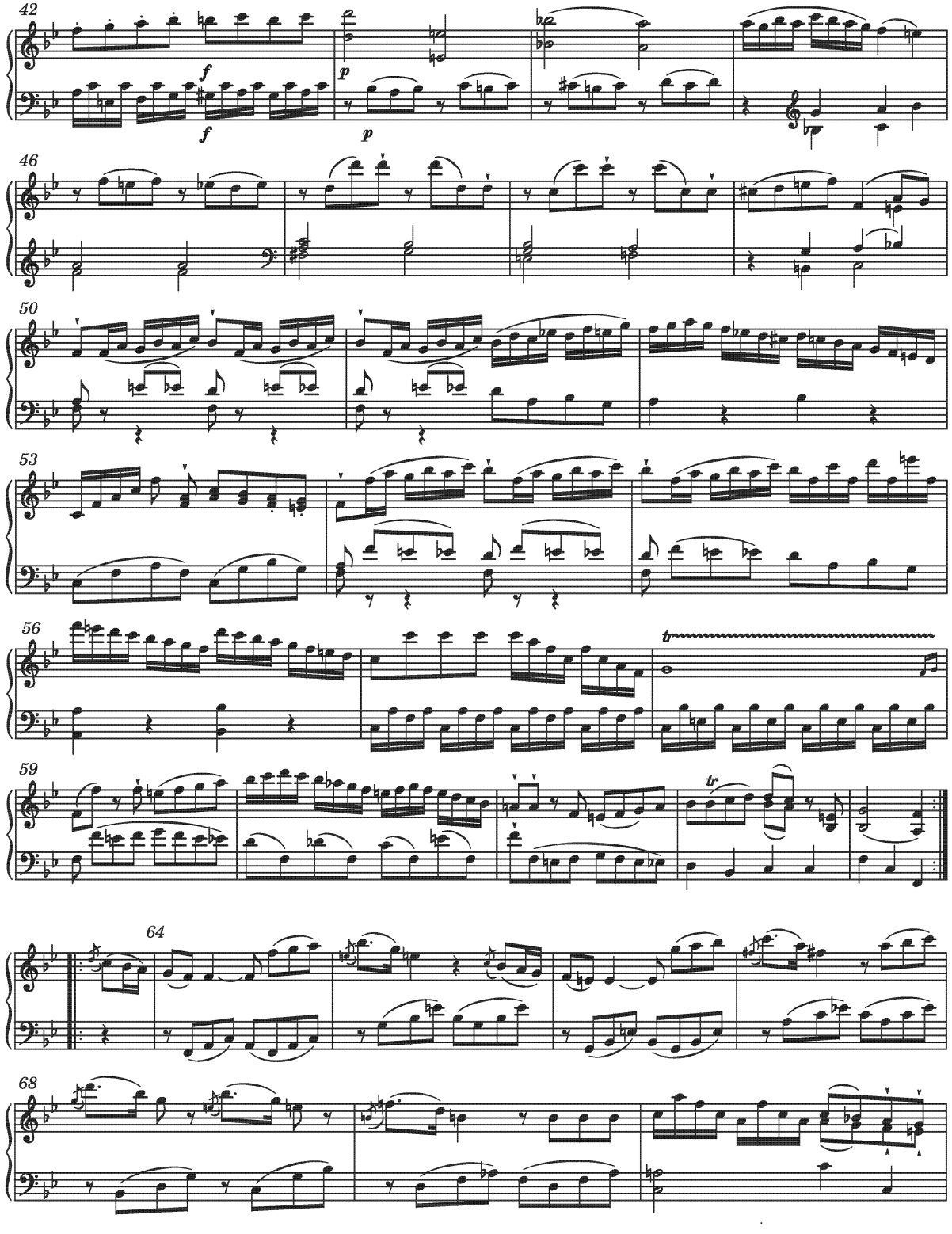
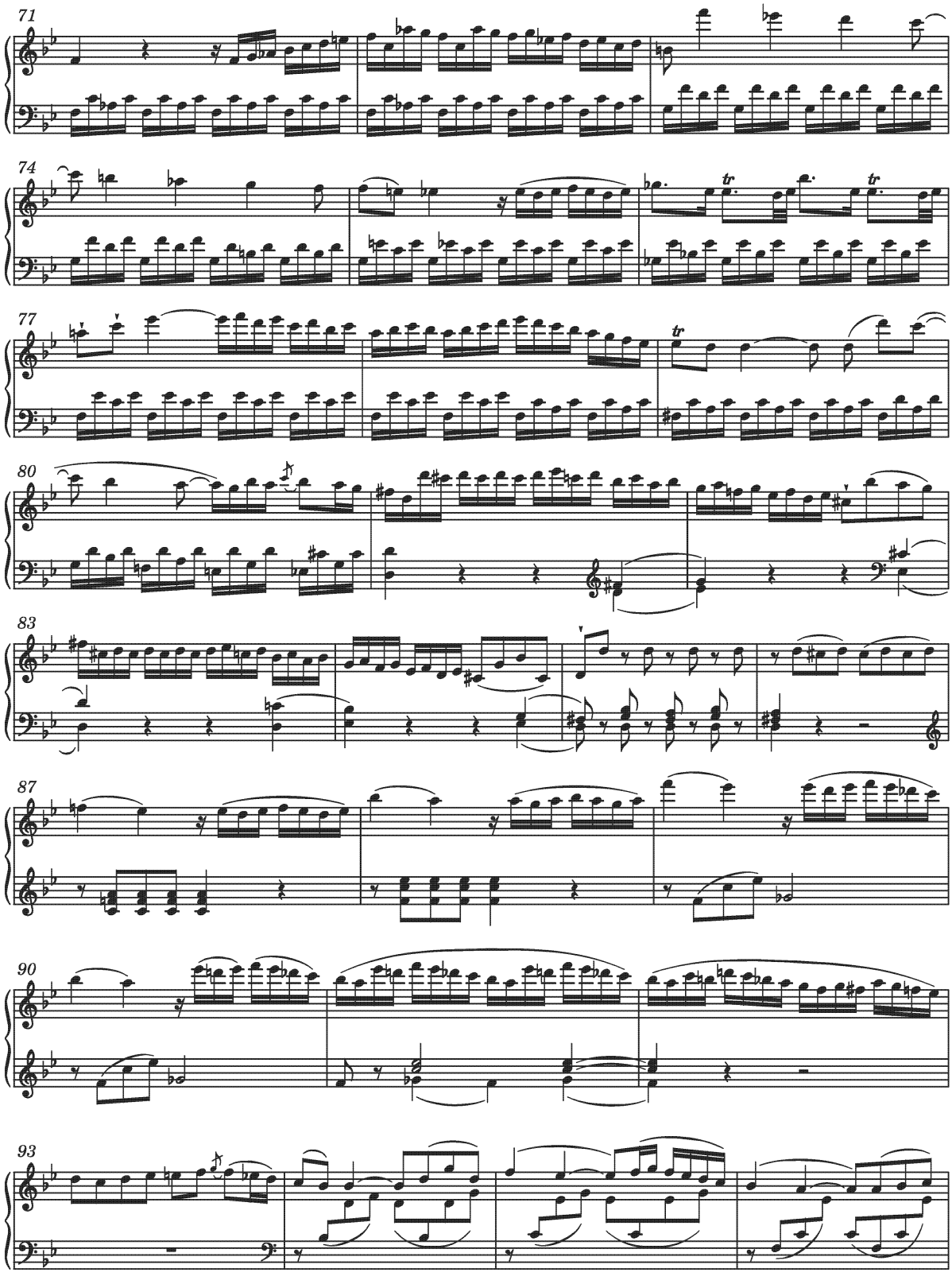
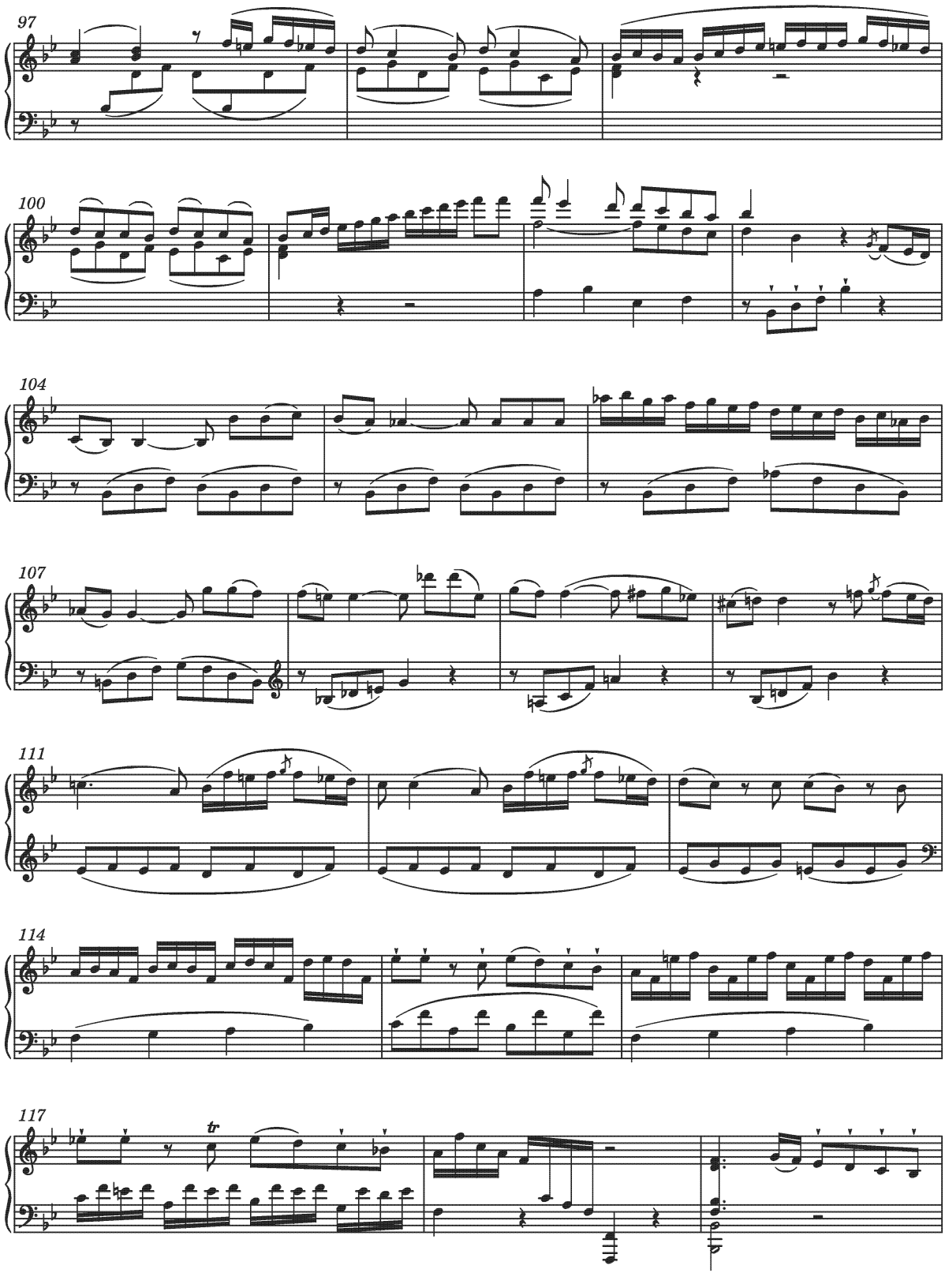


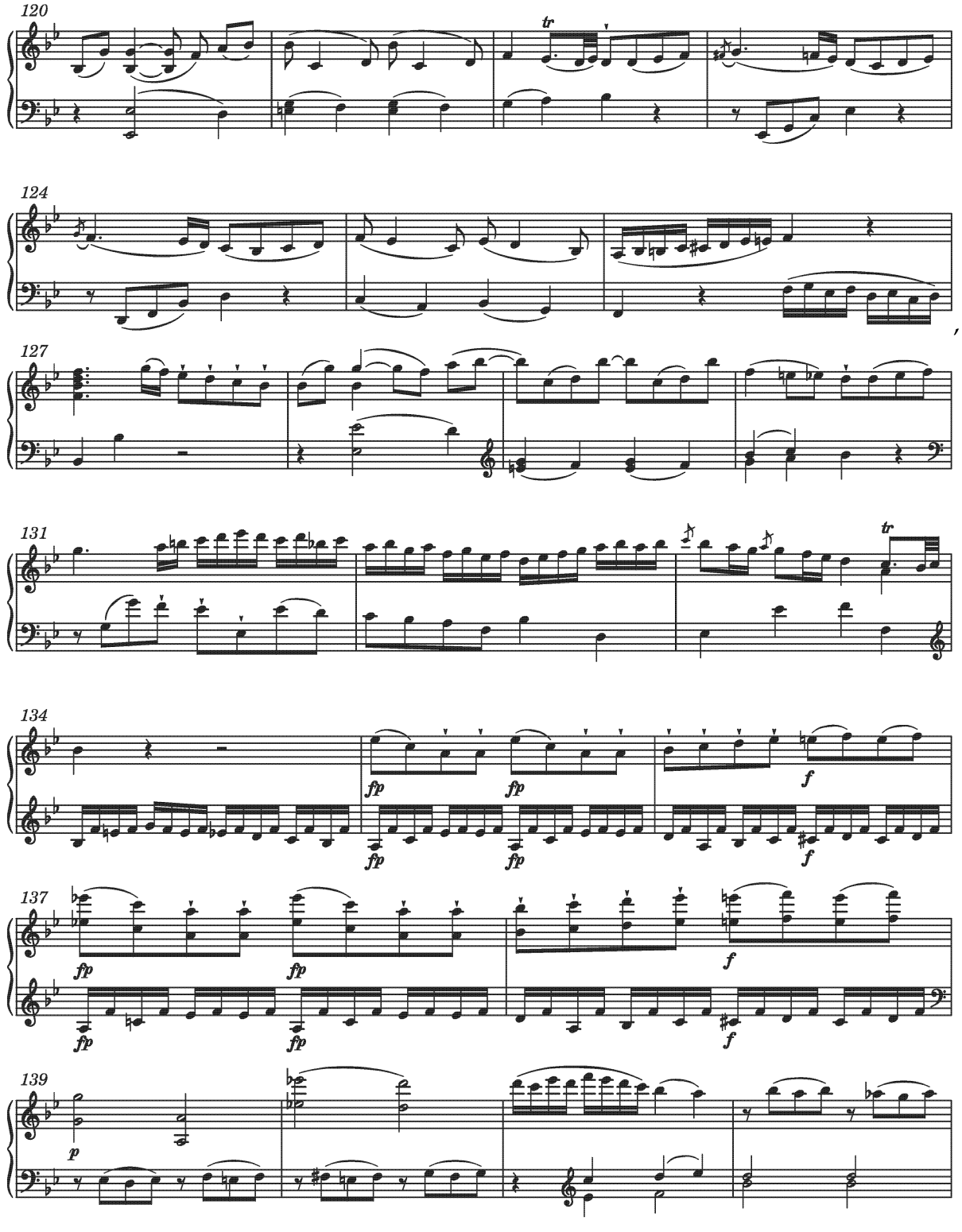

42
f
f
p
p
46
50
53
56
tr
59
tr
64
68

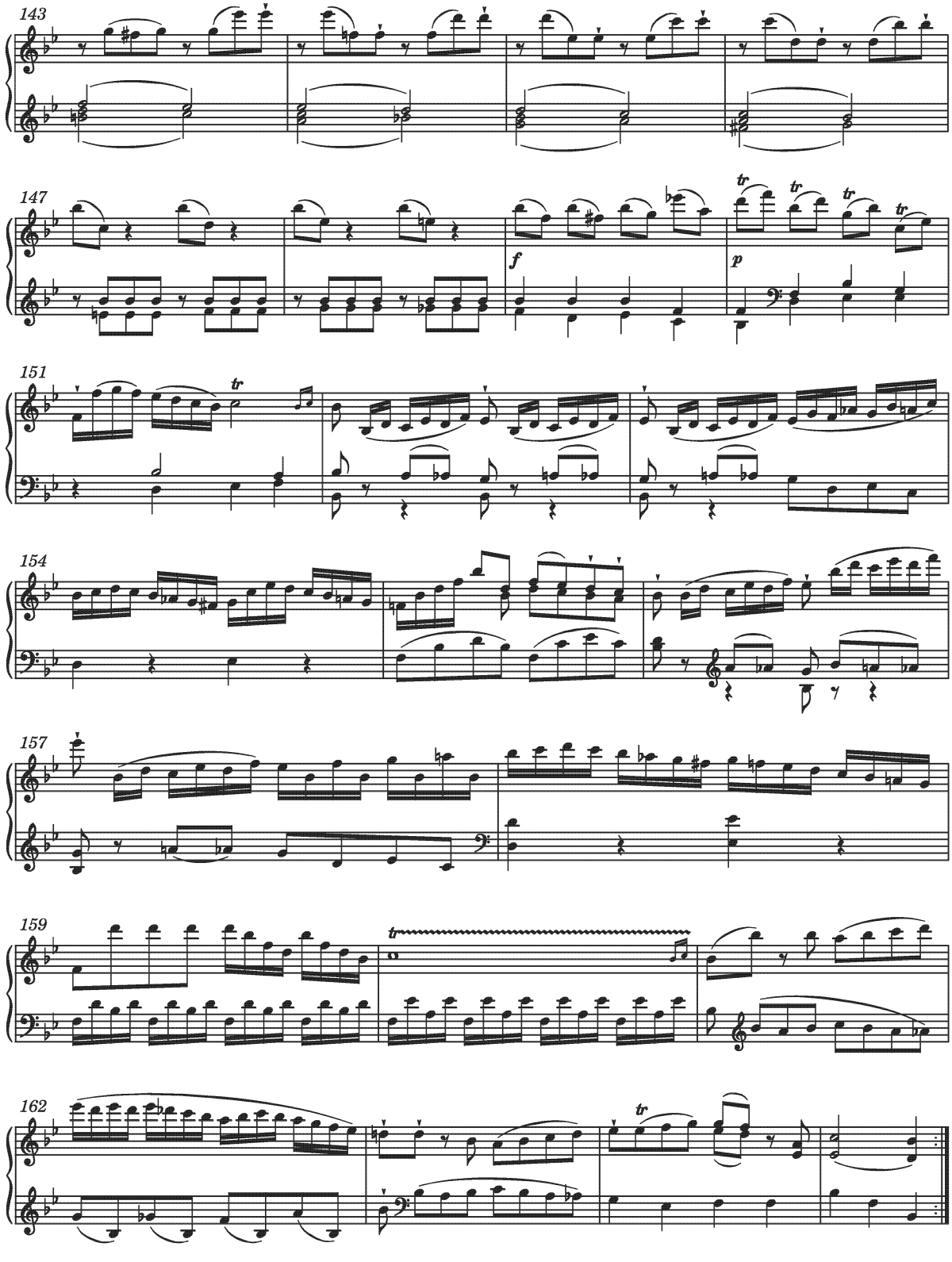
Continued




97
100
104
107
111
114
117
tr

Continued




143
147
f
p
151
154
157
159
162

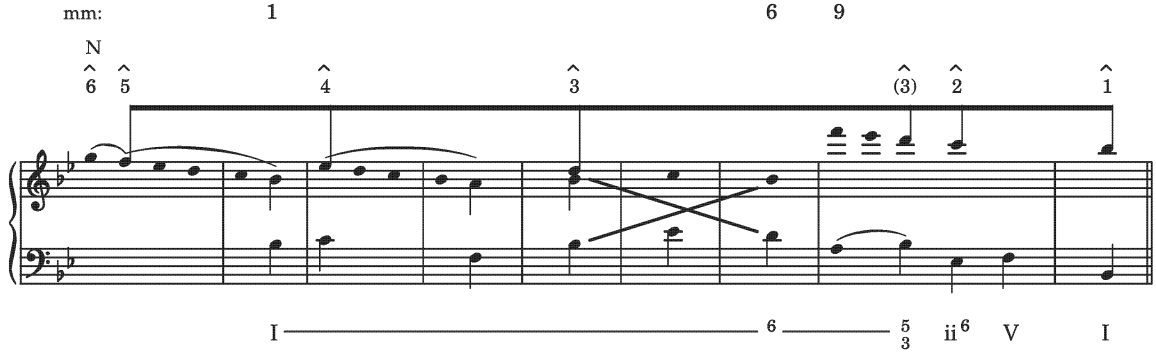
measure:	1	11	23	39	59	64	87	94	104	119	135	161
thematic design:	Exposition					Development		Recapitulation				Coda
harmonic design:	FTA	DTr	STA	CL	Codetta		RTr	FTA	"DTr"	STA	CL	
	I	⟶	V	V	V	???⟶	V//	I	⟶	I	I	I

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–V^7 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.

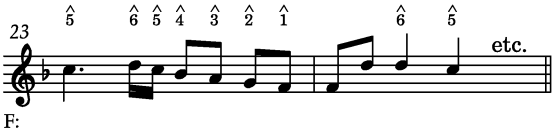
Although the $B\flat^4$ in the upper voice of m. 1 is clearly an arrival point, the $E\flat^5$ (m. 2) that eventually moves to D^5 (m. 4) seems to be more important, given those pitches' durational, metrical, and registral prominence. Might the initial scalar descent be emerging and expanded over many measures? This is the interpretation given in Example 27.16. Note that the overall descent of a fifth (the same fifth that opened the movement) is bisected into thirds by range: F^5–$E\flat^5$–D^5 and D^6–C^6–$B\flat^5$. The F^5 in the upbeat to m. 1 is prolonged through the downbeat of m. 2 before it descends to $E\flat^5$ (m. 2) and D^5 (m. 4). The continuing C^4–$B\flat^4$ in mm. 5–6 is not a strong arrival on tonic, because the tonic chord is in inversion and is not preceded by a PD–D motion; the chords in mm. 5–6 act as part of a voice exchange that prolongs tonic, which further indicates the subordinate nature of the $B\flat$ in m. 6. The strong structural arrival of C^6–$B\flat^5$ in mm. 9–10 completes the fifth descent.

EXAMPLE 27.16 Mozart, Sonata, Essential Counterpoint (mm. 1–10)



The initial theme in the STA literally repeats the same fifth-plus-neighbor descent from the FTA, in the key of F major (V). However, this time Mozart develops the upper neighbor to $\hat{5}$ by harmonizing $\hat{6}$ with $B\flat$ major (IV) in m. 24, therefore stabilizing the soprano D^5 (Example 27.17). 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.

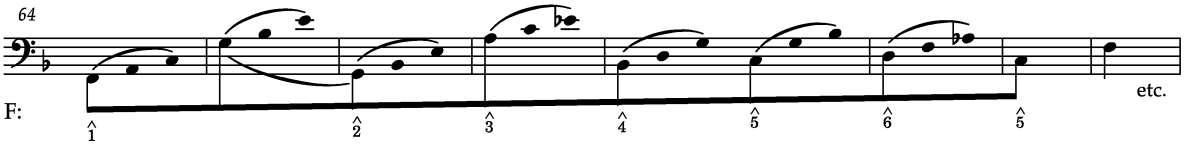
EXAMPLE 27.17



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 F major (V), with the upper neighbor, D^5. A bass ascent begins with F^3 in m. 64 and moves through G^3, A^3, $B\flat^3$, and C^4; the line continues with the D^4 (m. 69) and resolves to C^4 (m. 70). This results in another setting of the familiar motive of a stepwise fifth-plus-neighbor, this time in exact retrograde of the opening gesture of the STA and expanded over seven measures. Notice that the chord in m. 69 sounds out of place, as if Mozart has marked it for our consciousness. Could he be preparing us for other hidden statements of the motive? (See Example 27.18.)

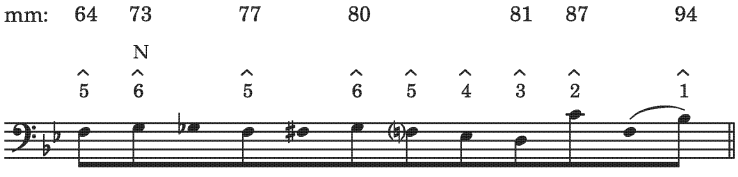
EXAMPLE 27.18



The unexpected cadence on F minor (rather than major) in m. 71 and motion to a G^7 harmony in m. 73 imply a tonicization of C minor. However, the "arrival" on C minor is greatly weakened when the bass is left unresolved on G, resulting in a six-four harmony (m. 75). $G\flat^3$ descends to an F^7 harmony (mm. 76–78), implying the beginning of the retransition. However, once again the listener's expectations are thwarted when F^3 rises to $F\sharp^3$ and then resolves to G minor in m. 80. There is no strong cadence in G minor; instead, V^4_3 of V suddenly appears in m. 87 and moves to V in mm. 88–89. The recapitulation begins in m. 93.

We now step back and interpret these events. We know that F major (V) controls the opening of the development and that C minor (ii) and G minor (vi) follow. Accordingly, a series of ascending fifths (F–C–G, and D, as V of G) underlies the development until the motion to F at 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^4_3/V chord in m. 87. Let's look to the eight-measure motivic expansion of the fifth-plus-neighbor motive for clues.

EXAMPLE 27.19



The bass F^3 ascends to G^3 in m. 73; the sustained G^3 was followed by the chromatic passing tone $G\flat^3$, which returned to F^3 (mm. 76–77). Again, the bass rose to G^3 through $F\sharp^3$, followed this time by a rapid descent to D^3, which was sustained from mm. 81–86. Through registral transfer, D^3 then fell to C^4 (V^4_3 chord in m. 87), leapt to F^3 (m. 88), and finally returned to $B\flat^3$ at the opening of the recapitulation. Example 27.19 presents a notated summary of this progression.

From this bass-line summary, we see that Mozart is projecting the small opening gesture (G–F–E♭–D–C–B♭) over the entire development. Remember that the very first expanded statement of the descent (mm. 1–10) stopped on D for five measures. We now can understand why Mozart extended D major for so long (mm. 81–87) and didn't resolve it to its tonic. We also know why Mozart did not resolve the G^3 to C in m. 75, 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 used the V^4_3 chord in m. 87 rather than the expected and much stronger root position: because the inversion (with C in the bass) preserves the motive's stepwise descent.

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 process 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.

Summary of Part 7

WORKBOOK 1
27.1–27.4

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, composite 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 whole.

We also learned that the basic root motions of tonal music, which we first encountered in the chord-to-chord progressions beginning in Chapter 5 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 create carefully woven webs that make each piece a unique artwork.

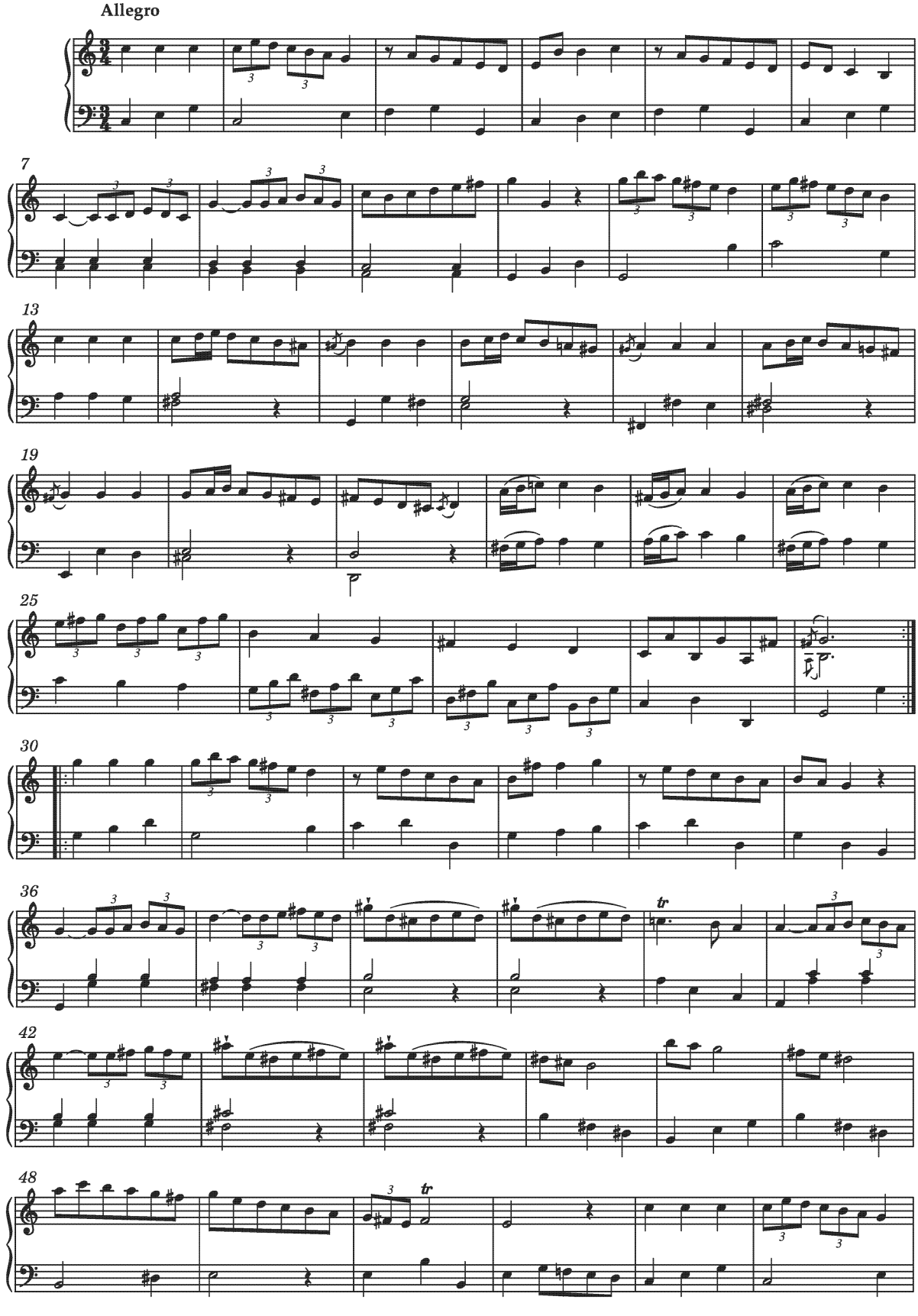
EXERCISE INTERLUDE

ANALYSIS

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

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

1. Make a formal diagram that includes names of sections and their respective measure numbers as well as the tonal plan (use roman numerals).
2. The phrase lengths in the exposition vary from four to eleven measures. Mark the phrases in the exposition. And when you encounter long ones, explain how they are extended. Consider the possibility that Platti has repeated small subphrases or inserted sequences. For example, the first phrase occupies six measures, but mm. 5–6 are a repetition of mm. 3–4, which help to reinforce the first cadence.
3. Bracket and label all sequences in the piece.
4. What contrapuntal technique is used in mm. 22–24?
5. The transition in the exposition prepares not only the new key but also the motivic and thematic material in the STA. Discuss at least two examples of how Platti achieves this preparation.
6. The development begins much the same way the exposition does. However, an important change occurs that sets into motion the fragmentation and tonal adventures that are characteristic of development sections. Discuss the relationship of the opening of the development to the opening of the exposition, and then focus on the changes that follow. Include in your discussion the motives used and the harmonic areas explored.
7. There appears to be no retransition that would prepare the recapitulation. However, a slight ritard into the recapitulation just might allow one to hear an implied dominant that leads to the recapitulation. Develop this idea in a few sentences.
8. Given that the tonic key is maintained throughout the recapitulation, you might assume that transitions are not necessary. In fact, they might be viewed as hindrances, for they must give the impression of motion, only to lead eventually back to the tonic, in which the tune from the STA is cast. However, Platti has written a transition that is much more interesting than the usual fare. List at least three differences between this transition and the transition in the exposition.


Allegro
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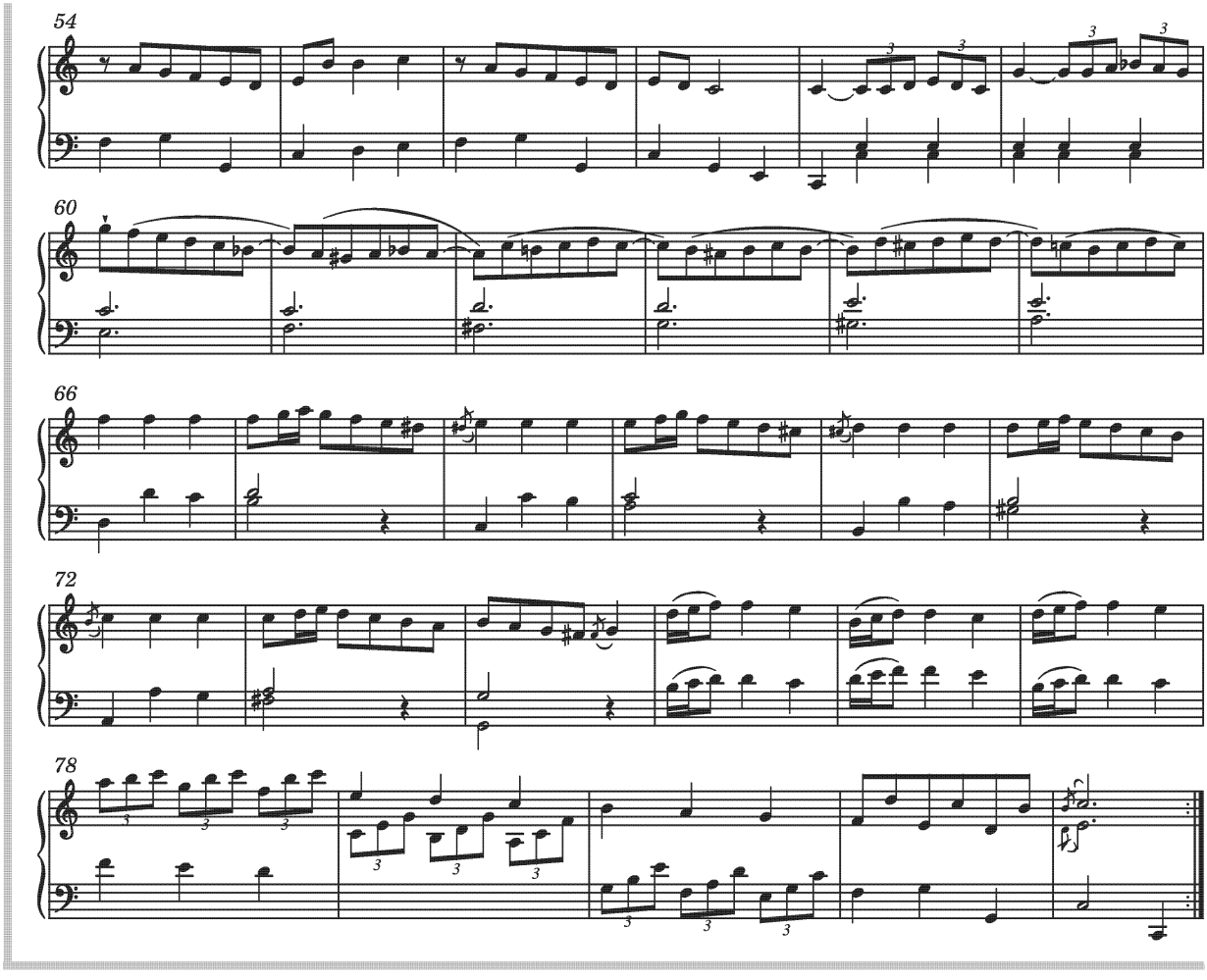

TERMS AND CONCEPTS

- closing section (CL)
- 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 (DTr)
  - independent transition (ITr)