C H A P T E R 5

Tonality and Systems in the Middle-to-Late Eighteenth Century: The Classical Ideal

III. Joseph Haydn and the Sonata Form: Definitions and Compositional Design Elements[1]

With the multiplicity of design forms and analytical perspectives in what we call "sonata form," no standardized terminology has ever been established to describe it. Composers and theorists of the eighteenth century never imposed labels on what is actually a procedure rather than a form; their conception usually dealt with harmonic periods, phrase extensions, and contrasting topics.[2] Our own approach to sonata form is basically harmonic, since form generally relies upon the construction of harmonic periods whose thematic content may or may not be of structural significance. After all, not every period is distinguished by a distinct melodic profile; many periods, including opening statements, contain motivic material that is more rhythmically than melodically active. Consequently, sonata analyses based on design elements (that is,

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[1]Some of the following discussion on sonata form is adapted or directly quoted from Roy Nitzberg, *Voice-Leading*, op. cit., Chapter 3.

[2]For an approach similar to ours, that is more historically based, see Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980). In addition, we also acknowledge the writings of James Hepokosi in this area, particularly, James Hepokoski and Warren Darch, "The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition, *Music Theory Spectrum* 19/2 (Fall, 1997): 115-54; Hepokoski, "Beyond the Sonata Principle," *JAMS*, 55 (2002): 91-154. For a comprehensive survey of contemporary eighteenth-century theory that includes material on the sonata, see, Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge: Harvard University Press, 1992).

analyses based solely upon formal areas governed by “themes”) often conflict with sonata analyses based on harmonic areas, thus creating ambiguities and disagreements. For instance, in the symphonies of Wagenseil and Monn discussed previously, if one were to view the expositions of these works in purely melodic terms (“Theme 1" and “Theme 2" or “First and Second Theme Groups”, etc.), one would be hard pressed to find the second theme altogether. In fact, the only way one could make sense of the internal organization of such works is through an understanding of their harmonic periods, articulated by cadential terminations, no matter how rhythmically weak they may be. The same holds true for Haydn, whose many sonata expositions often have little contrasting melodic material and whose phrase structure tends to be continuous.

Ambiguities of structure based on thematic organization is not limited to sonata expositions. Often, entire thematic areas in the recapitulation may be missing, as in any number of recapitulation areas in Haydn’s monothematic compositions. Mozart, too, sometimes so “confuses” the placement of his thematic material in his development and recapitulations that harmonic-area examination is the only effective means to navigate analytically through these areas. The Piano Sonata in D major, K. 311, provides one of his most convoluted examples of a recapitulation in which the rotation of thematic events goes beyond the simple reverse recapitulations of the Mannheimers, the obvious influence for this sonata.[3] In order to understand

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[3]Reverse recapitulations are also common in J .C. Bach, who was also influenced by the Mannheim composers, and who in turn was influential upon Mozart’s early work. J. C. Bach’s Sinfonia, op. 9 no.2, for example, features a first-movement recapitulation that eliminates entire thematic sections of that movement’s exposition. See Eugene Wolf’s seminal study, *The Symphonies of Johan Stamitz: A Study in the Formation of the Classical Style* (Utrecht/Antwerp: Bohn, Scheltema and Holkema; the Hauge/Boston: Nijhoff, 1981). Wolf has detailed discussions

a recapitulation like this, tracing the thematic events would only partially satisfy our understanding and would be superficial at best. Rather, knowing where the large-scale harmonic periods are located within the recapitulation (along with their chromatic content and the resolution of dyad conflicts into tonic harmony) would yield the greatest degree of insight into Mozart's reasoning for his thematic permutations. (See the analysis of this sonata below.)

Of course, it is not required that design *vs.* structural perplexity occur only with respect to the recapitulation. For example, an exposition's second harmonic area need not be initiated by the tonic of the new harmonic area as long as it cadences in that new area (that is, as long as is achieves a medial caesura). One often finds a second harmonic area beginning on the dominant of that new area, the first movement of Mozart's G minor Symphony, K. 550, being a prime example: after a measure of silence (m. 43), the second harmonic area begins with an incomplete progression implying a cadential 6/4 moving to a fully realized V7/III (m. 45) the harmony of which is then extended until m. 51, where the cadential arrival to the relative major is finally achieved. A pedal on the V/V begins the second harmonic area in Beethoven's Piano Sonata in F, op. 2 no. 1; and an even more drastic example is Beethoven's "Pathétique" Sonata in C minor, op. 13, which has a second harmonic area that begins in Eβ minor, and on a 6/4 chord to boot. The major mediant (the expected harmony of the secondary area) is not firmly secured until the closing period is reached. C. P. E. Bach, whose symphonies are noted for their idiosyncratic harmonic schemes (thematic analysis will get you nowhere with these works!) goes so far as to start the second harmonic area of his Symphony no. 1 in D major on the subdominant of the

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of the early Classical style, the reverse recapitulation, and other relevant issues.

dominant! The main point is this: one of the consequences of so flexible a procedure such as this is that the rhythmic strength of the opening of the second harmonic area may be considerably weakened, causing the rhythmic downbeat of the secondary area to occur much later in the exposition.

In many situations, design analysis and structural analysis will differ as to the exact location of major compositional events, perhaps even more so in Haydn's expositions than in anyone elses. Composers probably enjoyed the compositional consequences of that kind of ambiguity as, one hopes, did their audiences. Generally, the present authors will use terminology that is related to harmonic areas, for example., "first harmonic area" and "second harmonic area," as opposed to nomenclature that labels "themes" or even "groups". Diagram 5.3 gives a detailed plan of a "typical" sonata-form movement, complete with the terminology employed throughout this text. Each aspect of the form will then be explained in turn.

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Slow Introduction                    ‖  EXPOSITION
[optional]                           ‖  Allegro
                                     ‖: 1st Harmonic Area
      Counterstatement →           Bridge
                                     ‖  A [may have contrasting motives]  A +
optional extension
Major: I ------------V               ‖  I                            I
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Minor: i-------------V          ‖  i                          i
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1. Prepares the tonic [Stable]

2. Introduces the primary chromatic issues of the movement — Main chromatic issues revealed; the development process begins
3. Acts as a large-scale rhythmic up-beat to the downbeat of the Exposition

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2nd Harmonic Area:

1st Period (arrival of the 2nd Harmonic area – may not be fully established) — 2nd Period (Closing Area) Anchors or stabilizes the 2nd Key

A1 (based on the opening theme) or B (contrasting idea)---Transition--- C

V V/V → V

III V/III → III

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                                  ‖  DEVELOPMENT
Codetta: the closing cadence      ‖  [Harmonic phrase rhythm accelerates]
of the Exposition              :  ‖                    1st harmonic goal  climax

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V                                 ‖  V ------------ →      IV        vi

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                                                                          a
III                               ‖  III ------------ →    iv        or iii
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V

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RECAPITULATION [has the job of raising all the chromatic issues of the movement in order to resolve them into tonic harmony]

1st Harmonic Area Bridge 2nd Harmonic Area (1st Period)

2nd Period (Closing)

A veers towards A1 or B ---- Transition ----

I IV → V7 I Subdominant side

C → V7

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i iv → V7 i or I

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Transition ----- → Codetta CODA [resolves all the chromatic issues of the movement into tonic harmony for the last time]

V I I

V i or I i or I

DIAGRAM 5.3: Plan for the Sonata Allegro

The slow introduction embodies elements that the composer will use to launch a developmental and evolutionary course throughout the rest of the movement; usually, these tend to be rhythmic motives, chromatic conflicts, and/or striking harmonic relationships. Often, the issues created from these elements figure in other movements as well; in fact, the most notable gestures usually find no satisfactory resolution until the close of the last movement. Slow introductions, more often than not, will cadence on the dominant; in some cases, the slow introduction may end on a sonority directed toward the dominant, such as an augmented-sixth or diminished seventh chord. The slow introduction of Haydn's Symphony no. 92, "The Oxford", ends on an augmented-sixth chord that resolves — in a rather untraditional manner — to a dominant seventh chord that opens the G major Allegro.

A slow introduction permits a *piano* dynamic level for the opening of the exposition because the slow introduction often begins with a tonic unison or chord played *forte*. When the introduction itself begins *piano*, there is invariably a forte climax at some point within the introduction, supported by dissonant harmony. The dissonant tension raised within the introduction now allows for the dissonance to carry over into the exposition as composers attempt to blur the boundaries between the two sections. A *piano* start to the exposition has the effect of maintaining the previous dissonance, the lower dynamic militating any sense of an emphatic downbeat resolution. The "Oxford" Symphony, for example, has an internal *forte* climax within the slow introduction that is supported by an extremely dissonant build-up, that is maintained into the *piano* opening of the exposition. Historically, the slow introduction replaces the standard *forte* fanfare that usually initiates the Allegro in a symphony without a slow introduction. Beethoven's

Eroica compresses both events: introduction and fanfare are conflated into a single two-chord gesture.

Following a sonata's slow introduction, assuming one exists, the exposition proper begins. The opening statement takes different forms; but, no matter how it is arranged, it establishes and stabilizes the tonic. The first harmonic area, contains all the material in the tonic up to the beginning of the bridge (bridge elements are defined below). Two major categories of eighteenth-century exposition types determine the nature of the opening statement; one is derived from the symmetrical and periodic phrase structure typical of the *style galant*, while the other is based on the motivic segmentation of the late Baroque concerto.

The first kind of opening statement, one that uses an antecedent/consequent construction or a variant of it,[4] is derived from the periodic phrasing of the *style galant*, itself heavily indebted to the dance; these types are characterized by one or more four-measure phrases (often coalescing into eight-measure periods) that may or may not have rhythmic extensions. This type of opening statement is conceived as rhythmically stable. The Allegro of Haydn's Symphony no. 73 opens with such a statement: a four-measure phrase is succeeded by another four-measure phrase whose motivic content is totally dependent upon the first phrase. The ninth measure of the Allegro

[4]The formal definition of an antecedent/consequent eight-measure period is one that is subdivided into two four-measure subphrases , where the first moves to the dominant and the second "answers" the first by completing its harmonic progression through a return to the tonic. Naturally, there are many variants of this, including consequent phrases that do not end on the tonic, but on the dominant or a dominant-related harmony. In this study, we are concerned only with the fact that this melody-type is constructed of even phrases as opposed to the separated motives of ritornello-derived melodic types that are unequal in phrase length.

initiates a new subsection. Mozart's Symphony no. 29 in A major is also of this type, but the use of phrase extensions and insertions creates idiosyncratic measure groupings. However, they, too, are ultimately derived from a fundamental eight-measure regularity. Beethoven's Symphony no. 1 in C is similar to the Mozart example: a six-measure phrase, derived from a basic four-measure unit, is succeeded by another six-measure phrase, also an extension of four-measure regularity.

The second kind of opening statement tends toward asymmetrical phrase grouping and is derived from the typical tripartite structure of the ritornello theme of a Baroque concerto (*Vordersatz*, *Fortspinnung*, *Epilog*). The three parts contrast both motivically and in harmonic function and are rhythmically irregular, that is, they each have different numbers of measures. Very often, the Classical variant of the opening phrase (a historical product of the *Vordersatz*) has a short, fanfare-like quality. This phrase is generally succeeded either by a lengthier, more lyrical phrase, played *piano*, or one which tends to contain a crescendo (often over a static pedal bass, in the style of the Mannheim symphonists) that connects the opening motivic material to the cadential *Epilog*; either way, this intermediary phrase is further differentiated from the first phrase by different thematic or motivic material that remains within tonic harmony. In this way, the second phrase differs from the harmonically active and sequential Baroque-era ritornello *Fortspinnung*. The last phrase, like the ritornello's *Epilog*, is relatively short and secures the cadence, either full or half, dramatizing the event with a full orchestra *forte* — often referred to as "an orchestral tutti". Orchestral tuttis can also cap off, or punctuate, an opening statement that is antecedent/consequent in design, especially if the theme is played *piano* throughout. Such is the case with Mozart's Symphony no. 39 in Eβ, K. 543: the Allegro opening theme begins with an

eight-measure period divided into two four-measure antecedent/consequent phrases ending on tonic harmony (last beat of m. 33). The period is extended for a further seven measures before the entire theme is repeated in a varied counterstatement which again closes on tonic harmony in m. 54. All the while the dynamic has remained *piano*, and only now, in m. 54, does the full orchestral enter with an orchestral tutti played *forte*. This extensive passage prolongs tonic harmony, characteristic of all orchestral tuttis, with contrasting material until the perfect authentic cadence on the tonic (the last of the opening tonic periods) in m. 71 initiates the formal bridge to the second harmonic area. Both orchestral tutti and bridge maintain the *forte* dynamic throughout.

From the above discussion, one would conclude that the placement of orchestral tuttis varies from piece to piece and makes it impossible to fashion a general statement about the relationship between orchestral texture and form. However, upon a closer examination of any number of classical sonata-form expositions, it would seem that the majority of orchestral tuttis are used to cap, or rather, cadentially close off in the manner of a ritornello *Epilog*, opening *piano* statements that are themselves based on the contrasting melodic/rhythmic segments inherent in ritornello thematic designs; such is the case in Haydn's Symphony no. 92. It is interesting, nonetheless, that both Symphonies no. 83 and no. 87 in Haydn's "Paris" set extend their opening tonic statements as orchestral tuttis, in one unbroken period, right into their respective bridges. Symphony no. 83 maintains an orchestral tutti until the dominant of the new

exposition and paralleling the contrasting harmonic areas. Symphony no. 87 maintains the orchestral tutti until m. 25, which is already within the bridge.

The opening statement of the first movements of Haydn's Symphony no. 87 is an example of the segmented theme type: an opening fanfare-like five-measure phrase is followed by four measures that connect directly to a three-measure close on the tonic. The last measure of the third group is elided to a four-measure phrase and another three-measure phrase afterwards; together, they repeat the second two phrases of the opening statement. The first movements of Mozart's Symphonies no. 39 and no. 41 ("The Jupiter") and Beethoven's Symphony no. 5 are also of this type.

After the opening statement, whether periodic or motivic/segmented, will follow a counterstatement or counterstatement/bridge; that is, a bridge that is initiated by a functional counterstatement. A counterstatement begins as a restatement of the opening theme (the amount of restatement is, of course, up to the composer, but the gamut runs from simply restating the opening measure of the initial statement to a full restatement). Most often, the counterstatement will be open-ended, consisting only of a partial statement of the opening theme and will, consequently, elide directly into the bridge period. If a symphony opens with an antecedent/consequent construction, in which the consequent phrase ends on tonic harmony and there is no extension that leads to a dominant, no counterstatement is likely to follow and a bridge will begin after the cadence of the opening statement. It should be noted that a counterstatement is a frequent though not indispensable part of an exposition: for example, Haydn's Symphonies no. 86 and no. 87 have expositions with extended opening statements that move directly into bridges without counterstatements.

The late (both "Paris" and "London") symphonies' frequent use of a slow introduction virtually mandates a piano opening for the Allegro and therefore obviates the use of the ritornello opening statement as a feasible option. In Haydn's "Paris" symphonies, four are of the ritornello-type (nos. 82, 83, 87, and 89), and none begins with a slow introduction. The presence or absence of a slow introduction, then, effects the phrase rhythm of the entire movement.

If the security of even phrasing at the opening of a dance-type Allegro is necessary to balance the often erratic rhythmic organization of the slow introduction, then succeeding portions of the exposition will abandon regularity to maintain a high level of rhythmic interest. This brings us once more to the counterstatement. As mentioned before, this formal element, if it exists in the movement, repeats the material of the opening statement. This time, the material is presented not to anchor the tonic, but to provide a springboard away from it. The counterstatement may be an autonomous restatement, as it is in Haydn's Symphonies nos. 84, 85 and 88, or it may appear *to start* as a restatement of the opening material, functionally becoming the bridge as it does in the first movement of Mozart's Symphony no. 40. In that case, tonic harmony is soon destabilized and developmental material is introduced that no longer parallels the opening statement; this is usually accomplished chromatically. If the latter occurs, as it does in Haydn's Symphony no. 92, then the counterstatement is transformed into the bridge period, the next formal area of the exposition. In a recapitulation, where the movement's exposition contains both a statement and counterstatement, one often finds that the counterstatement is either deleted altogether or that the recapitulation *begins* at the counterstatement (a favorite device of both Beethoven and Brahms); both designs result in a deliberate tightening of the phrase rhythm.

Either the bridge is initiated by the counterstatement (as discussed above) or it begins with

an orchestral tutti. In either case, the bridge forms a complete period of its own: it begins on tonic harmony and cadences at the arrival of the second harmonic area, the next significant exposition event. Thus the bridge serves to connect the material of the opening tonic to that the second harmonic area. There are no rules governing the organization of a bridge other than that its departure is typically within the realm of tonic harmony. Many bridges conclude with back-relating dominants in the manner of Domenico Scarlatti's keyboard sonatas; the symphonies of both J. C. and C. P. E. Bach are of this type. These have been referred to as "bifocal close" bridges and act as simple extension devices; they are also quite common in both Mozart and Haydn piano sonatas.[5] Examples include *all* Mozart's early piano sonatas from 1774-5 (K. 279-81 and K. 283 and 284) plus the rather formally-unusual C major sonata, K. 545, and the F major sonata, K. 547a, both from 1788. Mozart's late-period monothematic Piano Sonata in D major, K. 576 from 1789, also employs a bifocal close of the bridge. An example of Haydn's use of a bridge with a the bifocal close in a piano sonata is the well known Sonata in D major from around 1780 (or earlier), Hob. XVI/37; on the whole, a good proportion of Haydn's early piano sonatas from the 1760s, those in sonata form (some are Scarlatti-style binary-form first movements), use the bifocal close.

Historically, as bridges became more elaborate and extensive, their function was to

[5]A back-relating dominant is one whose structural allegiance is to the preceding harmonic material, not to that which follows. For example, in Mozart's Symphony no. 25 in G minor, the second harmonic area is in Bβ major. This is preceded by a D major triad at the end of the bridge, a sonority that "back-relates" to the opening tonic. See Robert Winter on "The Bifocal Close and the Evolution of the Viennese Classical Style," in *JAMS*, 42 (1989): 275-337.

destabilize tonic harmony rather than to extend it (notable exceptions in the nineteenth century are several important works of Schubert in which the bridge is an extension of tonic harmonic; see Chapter 6). Although a destabilizing bridge might also cadence on the dominant, that kind of dominant, preceded by its own dominant (II# – V), is a preparation for the second harmonic area. The cadential goal of a destabilizing bridge points forward toward the new area, not backwards. Therefore, a destabilizing bridge might cadence on V or II# (in major mode); in the first case, it will be preceded by its own dominant, differentiating it from the bifocal close. Even elaborate expositions, however, will occasion back-relating bridges; this happens in Haydn's atypical Symphony no. 91 in Eβ, which, incidentally, is the only one in the "Paris" group to have an opening statement that is a textbook example of an antecedent/consequent period.

A bridge may be framed by a substantial auxiliary cadence; that is, the auxiliary cadence begins with the establishment of tonic harmony and continues to the augmented sixth chord and its resolution, thus "framing" the bridge. Since an auxiliary cadence is often initiated by rhythmically weak and harmonically unstable material that precedes it, especially if the movement begins with a slow introduction, the process of its unfolding and eventual resolution creates increasing tonal stability over its course as it moves, little by little, toward the harmonic security of the second harmonic area. As a result, bridges tend to be "dominant-heavy." At the point where the exposition reaches II#, the preparation for the second harmonic area has already begun; this cadence will signal the end of the bridge. Therefore, in bridges that gradually undermine the stability of the tonic, they must concurrently rationalize motion toward a secondary tonal area. During this process, the tonic appears to exist in a state of flux while the center of tonal gravity

gradually shifts away from the tonic and toward a new tonal center, an area of stabilized dissonance.

Through irregular phrase rhythm and expansive/developmental thematic devices, Haydn is unique among his contemporaries for frequently creating expectations about reaching the new harmonic area while very often undermining those expectations through the continuation of bridge material (for example, the first movements of Haydn's string quartet Op. 33 no. 2 and his Symphony no. 92). In this way, the attempt to create a stable environment for the new harmonic area is, itself, continually destabilized, and even temporarily derailed. Therefore, extensive tonic-destabilizing bridges are a cornerstone of Haydn's style.

All bridges are not created equal: whereas an exposition bridge generally destabilizes tonic harmony, a recapitulation bridge is calculated initially to destabilize, but ultimately to secure tonic harmony upon its arrival at the recapitulation of the exposition's second harmonic area. A recapitulation bridge will generally cadence on the dominant and the succeeding music that parallels the opening statement of the second harmonic area in the exposition will be restated in the tonic. The material before this bridge cadence often moves toward the subdominant to avoid motion into a new harmonic area and, of course, to allow the possibility for the bridge to use the same melodic material as it did for the earlier bridge in the exposition. Therefore, the cadence on V is clearly understood within the context of the reiterated tonic.

Although it is possible for an exposition bridge to fuse with the structural dominant (as discussed below), it is more common for the bridge to cadence on the dominant of the dominant, or the dominant of the mediant in a minor-key first movement, as in Mozart's Symphony no. 40 in

G minor.[6]

If one considers the first harmonic area and its opening statement to be the first stable period of the exposition, the second harmonic area begins with the next stable period, though less harmonically stable than the first. As indicated above, the second harmonic area is generally preceded by a bridge cadence. The opening statement of the second harmonic area may or may not have an *obvious* thematic relationship to material within the opening statement, but some kind of relationship generally exists. That relationship may be rhythmic, intervallic/melodic or harmonic, even when thematic contrast is prominent. By the end of the Classical era, the material of the second harmonic area was often characterized by conspicuous thematic contrast to the material of the first harmonic area, even though strong thematic differentiation was never an obligatory aspect of sonata construction. For example, Haydn's monothematic expositions contribute more than anyone else's to this very legitimate strategy, while Mozart's thematic multiplicity, ultimately operatic in conception, undoubtedly influenced the trend toward more thematic contrast between structural harmonic areas. It was not until the nineteenth century that thematic contrast became a formulaic imperative, no doubt under the overwhelming influence of Beethoven, who adopted Mozart's use of thematic contrast in his expositions.

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[6]As mentioned above, in Mozart's other G minor symphony, no. 25 from 1773, the exposition's bridge relates back to the opening tonic, cadencing on the dominant. This is typical of *Sturm und Drang* works where the mediant enters immediately and almost unceremoniously after the bridge cadence. Haydn's 1770 Symphony no. 39 in G minor uses the same chordal organization. Both symphonies in G minor are scored for oboes, bassoons, four horns, and strings.

Since Haydn often assigns the strongest rhythmic underpinning to the closing period or even to the codetta, one may not hear the initial statement of the second harmonic area as a strongly articulated event. In fact, the variety of structural types in a symphonic second harmonic areas is at least as abundant as bridge types. It is common for Mozart and Beethoven to have three periods subsumed under the region of a prolonged dominant period (or mediant, in a minor-mode symphony). The first period initiates the new harmonic area with its own statement. The second period within the second key is the closing period (see Diagram 5.3). Very often, the new harmony is stabilized and rhythmically anchored at this point.[7] The third period, the codetta, is usually quite a bit shorter than the first two. Like the *Epilog* of a ritornello theme, its purpose is to furnish a stable area for the articulation of the final cadence of the exposition. If no closing period exists, then the codetta will assume the function of anchoring, instead of confirming, the second harmonic area. Each of these three periods must contain a complete harmonic progression that is autonomous and concludes with a full cadence, in order to validate its autonomy.

Haydn, however, sometimes creates a two-period second harmonic area by not including a closing period. For example, his Symphony no. 89 in F has an opening statement, complete with an autonomous counterstatement followed by a bridge period which cadences on V/V. The second harmonic area begins normally enough with a complete progression in the dominant, C major, followed by a counterstatement leading into an unstable transitional passage which cadences three

7 Sometimes one may find multiple closings ending the exposition, a characteristic of Mozart's sonata-form movements as well as those of many nineteenth-century composers. The number of closing periods depends on the number of formal cadences that are arrived at after the second harmonic area has been achieved and before the exposition formally ends with a codetta (in later nineteenth-century sonata-form movements, for instance in the works of Brahms, an actual authentic cadence is not always necessary, nor even desired). Even with a formal authentic cadence the period that follows must be harmonically complete, or else the cadence is nullified and the entire passage is still perceived as part of a larger transition.

measures before the end of the exposition. These last three measures form a short codetta without any intervening closing period. Symphony no. 83 is similar: after the arrival in Bβ major (the relative major of the tonic, G minor) there is a statement followed by an autonomous counterstatement elided to a five-measure transition before a five-measure codetta ends the exposition. Again, as in Symphony no. 89, there is no closing period.

Sonata procedure does not require a specific amount of thematic material or a specific number of periods to elaborate the second harmonic area: as long as the structural dominant is articulated by at least a codetta, that is sufficient to secure the new harmonic area. Haydn's Symphony no. 73 is a drastic example of a bridge period moving directly into a codetta, a three-measure *Epilog*, which is the only elaboration of the secured structural dominant. Haydn's curtailment of the second harmonic area by eliminating one or more periods creates a heretofore unrecognized category of monothematicism, not previously discussed in the literature, where only one strand of thematic material is employed in the continuous unfolding of the exposition up to the codetta. We already seen an analogous but far more rudimentary procedure used by Wagenseil, whose approach to sonata was still very much affected by the tradition of Baroque binary form. When the structural dominant is reached — after a relatively extensive bridge designed to continually raise the specter of dominant harmony — it is elaborated only by a short codetta, and the exposition ends.

By contrast, if we examine Mozart's Piano Sonata in Bβ major, K. 333 (whose chromaticism is analyzed below), we find a rather extensive second harmonic area articulated by four periods. Here, the opening statement of the dominant is succeeded by a full counterstatement

and cadence. The second full period of the second harmonic area is the closing period. In K. 333, the closing period enters in m. 38 and is itself two subperiods long; the first cadences in m. 50 and is succeeded by another with "new" thematic material that cadences in m. 59. Therefore, this sonata has a two-part closing period; in larger pieces, there may be multiple closing periods. For example, Mozart's Paris Symphony in D major, no. 31 (K. 297), doubles each structural event of the exposition.

If a recapitulation closely emulates the exposition, those areas which parallel the formal demarcations of the exposition, using the same thematic content, but now transposed into the tonic, are called by the same name (see Diagram 5.3); thus, a recapitulation may also have a closing period (or periods) and even a codetta. It is not essential to the form that a sonata movement include a coda. In fact, the codetta itself may be omitted in the recapitulation if the coda displaces the former's rhythmic position. The main purpose of the recapitulation, as we will see in the detailed analyses that follow, is to resolve the main issues (often chromatic issues) of the movement into tonic harmony. These chromatic events, whether dyad conflicts or trichords, or both, that have been developed from the beginning of the movement, now need to resolve to their respective diatonic neighbors within progressions that cadence on tonic harmony. This is the primary reason, we believe, that composers need not recapitulate all the material from the respective expositions; however, as we will see, the thematic content of the exposition often embeds within it the seeds of these resolutions that only become apparent when recapitulated in the tonic at the end of the movement. Aspects of the "development section" will be dealt with separately as we investigate individual compositions in the next section.

Lastly, perhaps the most important issue to keep in mind when addressing these design

concepts is this: Classical-era composers did not follow any rule books nor did they have any formalized procedural guidelines to follow. Whatever procedures were adopted were reported later by Classical-era theorists, such as Koch and Kollmann, who utilized Haydn's symphonies as paradigms for discussions about composition in their treatises. These discussions were based on very general descriptions of large periods and the harmonic rationale of cadence points. The ontological problem with finely detailed labels is that composers were probably not thinking about these forms with these minute categories. Today, however, we usually consider analysis that involves extensive descriptions of formal divisions and subdivisions essential for a complete understanding of a musical work and of its stylistic context.