



## Yale University Department of Music

---

The Minor Mode in Eighteenth-Century Sonata Form

Author(s): R. M. Longyear

Source: *Journal of Music Theory*, Vol. 15, No. 1/2 (Spring - Winter, 1971), pp. 182-229

Published by: Duke University Press on behalf of the Yale University Department of Music

Stable URL: <http://www.jstor.org/stable/842901>

Accessed: 11/12/2009 20:21

---

Your use of the JSTOR archive indicates your acceptance of JSTOR's Terms and Conditions of Use, available at <http://www.jstor.org/page/info/about/policies/terms.jsp>. JSTOR's Terms and Conditions of Use provides, in part, that unless you have obtained prior permission, you may not download an entire issue of a journal or multiple copies of articles, and you may use content in the JSTOR archive only for your personal, non-commercial use.

Please contact the publisher regarding any further use of this work. Publisher contact information may be obtained at <http://www.jstor.org/action/showPublisher?publisherCode=duke>.

Each copy of any part of a JSTOR transmission must contain the same copyright notice that appears on the screen or printed page of such transmission.

JSTOR is a not-for-profit service that helps scholars, researchers, and students discover, use, and build upon a wide range of content in a trusted digital archive. We use information technology and tools to increase productivity and facilitate new forms of scholarship. For more information about JSTOR, please contact [support@jstor.org](mailto:support@jstor.org).



Duke University Press and Yale University Department of Music are collaborating with JSTOR to digitize, preserve and extend access to *Journal of Music Theory*.

<http://www.jstor.org>

# THE MINOR MODE

## IN

Investigators of Classic-era sonata form have principally confined their studies to works in the major mode.\*1 Such studies present fewer problems to the investigator owing to the clear tonal direction to the dominant in the first part of the movement and the drive back to the tonic in the second part. So many problems, it seems to be generally felt, remain to be solved in the study of the sonata form that examination of those deviant works in minor can be deferred.\*2 Furthermore, the percentage of sonata form movements in minor is relatively small in comparison to the number in major.\*3 On the other hand, there has been an increasing interest in Classic-era instrumental cycles in minor, exemplified by William Newman's

# **EIGHTEENTH-CENTURY**

## **SONATA FORM**

R. M. LONGYEAR

statement that "time and time again the relatively few uses of minor account for some if not all of a composer's best sonatas".

\*4

This study of the minor mode in eighteenth-century sonata form will be limited to those specific areas wherein the minor form diverges from the major: first theme-groups, transitions, the second half of the exposition, and recapitulations, with brief mention of the sonata form and the instrumental cycle as wholes. I have followed a descriptive-taxonomic rather than a statistical approach, since the latter would demand the publication of many more sonata form movements in minor than are presently

available, for it is doubtful that more than 20% of the 81 symphonies or 51 string quartets in minor listed in the Breitkopf Thematic Catalogue (1762-1787) are available in score. I have furthermore limited this study, as far as possible, to works available in modern editions.

## THE SONATA FORM IN MINOR

Especially prior to 1780 there are wide variants in what one can construe as "sonata form", but two basic structural categories are evident: the binary form, in which the second half more or less corresponds to the first half with appropriate tonal changes and with a tonal "recapitulation" which coincides with material from the second part of the exposition,\*5 and the ternary form consisting of exposition, development, and recapitulation. The expositions are normally of two types: the bipartite, with the first half comprised of a first theme and a transition and the second half in a different tonal area, or a tripartite exposition consisting of first theme, an extensive transition, and a prominent closing theme. In many such movements by C.P.E. Bach and Haydn the transitional section is the longest.

Within the exposition proper there is a question of thematic hierarchy in the "pre-Classic" sonata form. The second movement of Giovanni Maria Rutini's keyboard sonata in F minor, Op. 5/5 (ca. 1759) is non-hierarchical even in terms of exposition, development, and recapitulation, yet a kind of basic ternary organization is evident. The second part (see Figure 1) begins with a statement of the opening motives in minor, then motive A in major, a frequent opening for development sections in sonata-forms in minor. The second part also includes a shift to mediant major for the statement of additional material which, as well as all the motives in the first part, recurs in the third section. The dominance of the motives of the first two measures and their repetition in different keys gives the impression of the ritornello of a concerto. It is illustrative to compare this movement with a similar though later one, the first movement of Haydn's Symphony no. 44 (see Figure 2), which is similarly motivic and dominated by its two initial motives, yet hierarchically organized within the exposition.

Another type of exposition contains clearly defined openings and closes, but a considerable amount of intervening material which is motivic and, in the keyboard sonata, often consists of figuration formulas. This type of movement differs from the



tripartite exposition by reason of its closing theme, which is perceived tonally rather than thematically since it consists mainly of cadential formulae. Quite often in this type of exposition the new tonal center (mediant major or dominant minor) will be established somewhere in the middle of the exposition, but without association with a definite thematic configuration.

In principle little distinguishes the development section of a sonata form in major from one in minor. Quite often the development section of a sonata form in minor will begin with a statement of the first theme in the major mode (e.g., the first movements of Haydn's Quartet Op. 20/5 and Mozart's Sonata in A minor, K.310). Subjectively one can perceive a development section with a "minor" ethos (Haydn, Piano Sonata in B minor, I) or "major" ethos (Haydn, Quartet Op. 20/5, I) or where there are clearly defined sections of minor and major (Haydn, Quartet Op. 50/4, I).

Recapitulations vary enormously, especially in the sonata forms of C.P.E. Bach. I have already cited the recapitulatory procedure of the binary sonata form. In the ternary forms many variants occur: recapitulations beginning with the second part of the first theme, the transition, the second theme; abridgements in the second part of the exposition; or even the substitution of different thematic material. At times there will even be a kind of "mirror" recapitulation with the first theme stated last (C.P.E. Bach, Symphony in E minor, Wq 177, I).<sup>\*6</sup> The essential problems in the recapitulation are the restatement of material from the exposition in minor and the balancing of subordinate tonal relationships established in the exposition through a procedure which I shall call "axial relationships" in the recapitulation.

## EXPOSITIONS

### I. Slow Introductions

A slow introduction to a sonata form movement in minor is virtually non-existent in works in truly Classic style. Even an introduction in the minor mode to a main movement in major (Mozart, String Quintet, K.516, IV, and the Overture to Don Giovanni; Haydn, Symphonies nos. 98, 101, 104) can be called at least pre-Romantic. A first slow movement in minor has been viewed as a link with the older sonata da chiesa<sup>\*7</sup>, yet whereas this historical connection may be true of J.C. Bach's Piano Sonata in C minor, Op. 5/6, or of Haydn's Symphonies

# FIGURE

2

Haydn, Symphony no. 44 ("Trauer"), I

1st theme-group		Transition		2d th. -gp. Close	
Motives:	a b c	a b <sup>1</sup> D	$\frac{EF}{A}$	G H h	$\frac{A B^2 a B^2 I}{X}$ J K I
EXPOSITION	1	10	20	30	40 50 60
e: i	V i	SHIFT			V
		G: I		I i I	i i V I I <sub>6</sub> I I V/vi

Motives: ab<sup>3</sup>ab<sup>3</sup> c C F  $\frac{E}{A}$  F(sequence) Retransition

DEVELOPMENT	62	70	80	90	100
Key centers:	b a	C		V/e	

1st theme-group 2d. th. -gp Close Coda

Motives:	a b c <sup>1</sup> M m M c <sup>2</sup> b <sup>1</sup>	h	$\frac{a}{x}$ b <sup>4</sup> ab <sup>2</sup>	i i <sup>1</sup> a	h i j
RECAPITULATION	101	110	120	130	140 150 157
e: i	V/iv V	i i	i i	$\frac{a}{x}$ i <sub>6</sub> i <sub>9</sub>	i i i

no. 34 and 49, it is difficult to accept it for Haydn's Quartet Op. 55/2, which opens with one of his finest double variations. On the other hand, a lengthy slow introduction in minor, yet not of the dimensions of a "slow movement", to a sonata form in minor (Leopold Koželuch, Sonatas Op. 2/3, Op. 15/1, Op. 38/3; Clementi, Op. 34/2; Beethoven, Op. 5/2, Op. 13) is a hallmark of a pre- or early Romantic sonata. Slow introductions in the minor mode are more frequent in the opening years of the nineteenth century, even in the realm of the comic opera overture (Nicola Zingarelli, *Il Mercato di Monfregoso*; Ferdinand Kauer, *Albrecht der Bär*).

## II. First Themes

In a very few cases (the first movements of C.P.E. Bach's Sonata Wq 55/3, Haydn's Quartets Op. 33/1 and Op. 64/2, all in B minor) the opening of the exposition is tonally ambiguous: is the key B minor or D major? But overwhelmingly the opening theme clearly defines both the key and the mode. Many of these themes can be organized into what La Rue has described as "melodic families", though he cites no families in minor in his study.\*8

1. Ascending triadic melodies (Example 1) seldom have anacrusis and are often associated with the rhythmic configuration of a long note followed by two shorter notes, a pattern also found in minor first themes which fit into none of the melodic families described here (e.g., first movements of C. P. E. Bach, Symphony in E minor, Wq 177; Mozart, Piano Quartet K. 478 and String Quartet K. 421; Haydn, Symphony no. 95).

2. Melodies with a descending triadic contour (Example 2) are more varied in rhythm, in filled-in intervals, or in their location in the instrumental cycle; they are often more suitable for slow movements or finales than themes with ascending triadic contours.

3. The theme whose intervals outline part or all of the minor triad and the diminished seventh was well known to Baroque composers. Note how many of the themes in Example 3 are fugue subjects, a further indication of how Baroque devices continued well into the Classic period. Subgroups of this family can be ordered according to whether the theme begins on the tonic, dominant, or third of the triad and whether the intervening intervals of the triad or the diminished seventh are filled in or not. Note that the diminished seventh interval is descending; when it ascends it occurs as part of a lengthy opening theme (first movements of Haydn, Symphony no. 78; Mozart, Piano



## Concerto K.491.

4. One can also distinguish between phrase-like themes and themes which consist of an aggregation of motives, one of the sonata form problems which Jens Larsen felt needed further study.\*9 In the minor mode, a phrase-like theme tends to have a more "Romantic" character than the motivic theme. Compare the opening themes of Haydn's Op. 20/5 and Mozart's K. 421 Quartets, phrase-like themes, with the motivic openings of Haydn's Quartet Op. 20/3 and Mozart's Piano Sonata in C minor, K.457. A pre-Romantic theme that is not motivically oriented will often consist of different and even unbalanced phrases, as in Example 4.

## III. Transitions

One of the principal differences between sonata forms in minor and major during the Classic period is the harmonic goal of the exposition. In major the goal is dominant major; in minor, mediant major or dominant minor.

Theorists of the eighteenth century preferred the mediant as the goal of the exposition, with dominant minor as a secondary alternative. Johann Adolf Scheibe stated in 1739 that the first part of the fast movement of a symphony in major concluded in the dominant, "but if the key be minor, the first part best concludes in the mediant, though one may also end in the dominant".\*10 Later in the century Heinrich Christoph Koch considered the minor dominant a rarer goal than the mediant,\*11 whereas August Kollmann and Francesco Galeazzi admitted only the mediant as destination despite the fact that Clementi was ending some of his expositions in the minor dominant (the first movement of his F# minor Sonata Op. 26/2, for example) not too long before these treatises were written.\*12

Dominant minor as the goal of the exposition is usually associated with binary sonata form movements. Though dominant minor is but one of the goals of the first half of the movement in Domenico Scarlatti's sonatas,\*13 this tonal direction is more prevalent in the middle of the eighteenth century. Among such binary movements are the overture to Gluck's *Alceste*, the first movement of Rutini's Sonata Op. 5/5, and the first movement of C.P.E. Bach's B minor Sonata, Wq 55/3. In the ternary sonata form movement, dominant minor at the end of the exposition is rarer; this usually is characteristic of an unfocused sonata form (C.P.E. Bach, first movements of the first Württemberg Sonata and the F minor Sonata Wq 57/6), but some

## EXAMPLE

MINOR MODE MELODIC FAMILIES:

ASCENDING TRIADIC

## 1

1. Franz Benda, Violin Concerto (Breitkopf Thematic Catalogue 1762)

2. Carl Hoeckh, Violin Concerto (BTC 1762)

3. Simon Le Duc aîné, Orchestral Trio, Op. 2/2

4. Johann Baptist Vanhal, Symphony (BTC 1771)

5. Franz Joseph Haydn, String Quartet, Op. 17/4

6. Haydn, Piano Sonata, Hoboken no. 32

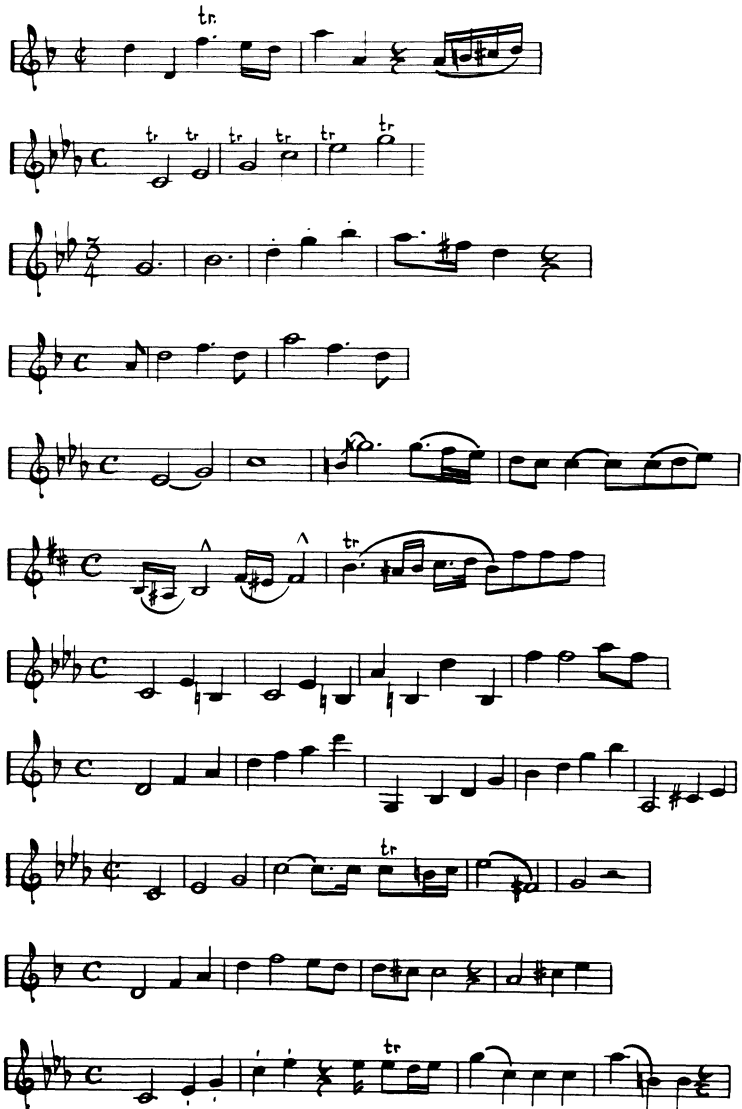
7. Haydn, Symphony No. 52

8. Carl Stamitz, Sinfonia Concertante (BTC 1781)

9. Mozart, Serenade, K. 388

10. Louis-Charles Rague, Symphony, Op. 10/1

11. Mozart, Piano Sonata, K. 457



## EXAMPLE

MINOR MODE MELODIC FAMILIES:

DESCENDING TRIADIC

## 2

1. C. P. E. Bach, Fourth "Prussian" Sonata
2. Giovanni Battista Martini, Symphony (BTC 1762)
3. Carl Hoeckh, Violin Concerto (BTC 1762)
4. Felice Bambini, Symphony a 4, Op. 1/3
5. Joseph Schmitt, Symphony (Dunning no. 22)
6. Carl Hoeckh, Violin Concerto (BTC 1773)
7. Johann Wilhelm Haessler, Piano Solo No. 2, III
8. Haessler, Piano Solo No. 3, II
9. Haydn, Symphony No. 45
10. Mozart, Piano Sonata, K. 310

The image shows a page of musical notation for the song "The Rose Tree". It includes a piano accompaniment and a vocal melody. The piano part begins with a prelude in 3/4 time, followed by the main accompaniment in 2/4 time. The vocal melody is also in 2/4 time. The tempo is marked "Andantino".

## EXAMPLE

MINOR MODE MELODIC FAMILIES:

OUTLINING TRIADS OR DIMINISHED SEVENTHS

## 3

1. Pierre Talon, Symphony, Op. 5/5
2. Wilhelm Friedemann Bach, Symphony (Falck no. 65), II (fugal theme)
3. Joseph Schmitt, Symphony (Dunning no. 15)
4. Haydn, String Quartet, Op. 20/5, IV (fugal theme)
5. Mozart, String Quartet, K. 168, II (fugal theme)
6. Mozart, Symphony, K. 183
7. Carlos Ordonez, String Quartet, Op. 1/3 (BTC 1778)
8. Mozart, Piano Sonata (incomplete), K. 312, I
9. Haydn, Overture to Il Ritorno di Tobia
10. Luigi Boccherini, String Quartet, Op. 33/5
11. Mozart, Requiem, Kyrie



196

EXAMPLE

4

KOŽELUCH, SONATA IN D MINOR, OP. 20/3, I.





more highly developed expositions with dominant minor as the goal deserve further examination.

The first movement of Mozart's D minor Quartet, K. 173, diverges greatly from the tonal norms of sonata form with its structural technique, in the words of Théodore de Wyzewa and Georges de Saint-Foix, "moins musicale que poétique".\*14 Except for the statements of the first themes (mm. 1-9, 66-74), tonal instability prevails until the coda. The rhythmic motive of the transition, beginning at measure 16, is plastic enough to be used in modulatory sections; the cadences in A minor (mm. 16-18, 23-24) hint at a possible goal which is vitiated in mm. 29-31 where the goal seems to be the dominant of E minor, and the final cadence of the exposition is an A major triad approached through a chord of the augmented sixth (mm. 45-46).\*15

Often the basic tonal plan consists of i-III-v, with the first theme in tonic minor, a transition which goes to the mediant, and a close in dominant minor. This occurs early in the Classic period in the finale of François Martin's Symphony in G minor, Op. 4/2.\*16 The exposition concludes with a D major chord at the first ending (dominant of the home tonic), and a D minor chord at the second ending. In the first movement of Haydn's "Farewell" Symphony (no. 45, F# minor), the shift to the mediant (A major) at measure 21 is followed by the surprising insertion of A minor (mm. 38-42), a modulatory passage concluded by a deceptive cadence (mm. 54-55) and a caesura, and then a definite statement of the dominant of C# minor (mm. 56-59). There is no second theme in this tripartite exposition, rather a closing statement (mm. 60-72) in C# minor instead of the expected A major.

Clementi, in the first movement of his Piano Sonata Op. 26/2, also in F# minor, begins his transition (m. 13) as if he is going to A major and remains in this key throughout the first part of his second theme (motivically related to the first theme), but after a perfect cadence in A major he modulates to C# minor in the second part of the second theme, with the closing theme (mm. 58-64) stated in C# minor.

Mediant major as the goal of the exposition characterizes the bulk of sonata form movements in minor. Two explanations for the affinity of tonic minor and mediant major are possible: (1) the two triads share two common tones and (2) a tradition arising from the Hypodorian mode, whose finalis is D and whose reciting tone (so-called "dominant") is F. An examination of

sonata forms in minor with mediant major as the goal of the exposition shows a variety of approaches which can be grouped in the following categories:

1. The absence of a transition, wherein a self-contained theme, usually eight or sixteen measures long, cadences on its tonic or its dominant; there is a caesura, usually complete in all parts but occasionally melodic only (J.C. Bach, Sonata in C minor, Op. 17/2, I, m. 11); then second-theme material immediately ensues in the mediant. In the second movement of Haydn's Symphony No. 49, after the caesura the music resumes in the mediant, but not yet with the second theme.

2. The most prevalent type of transition consists of a statement of the opening part of the previously-heard first theme which serves as a springboard for the continuation or development of this thematic material,\*17 in the course of which a modulation to the mediant occurs.

(a) No generalizations can be made about the length of these transitions. In the tripartite exposition the transition is often the longest section; in contrast, one can regard measures 19-22 in the first movement of Mozart's C minor Piano Sonata, K. 457, as the quintessence of the tonic-mediant transition compressed within four measures.

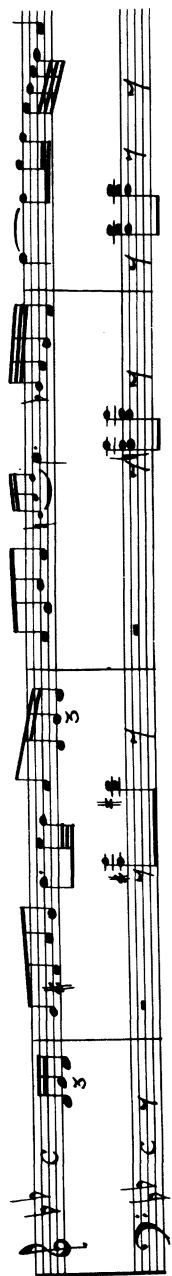
(b) In most of these transitions, connections between tonic minor and mediant major are smoothly handled without sharply defined breaks; the transition in the first movement of Haydn's Quartet Op. 50/4 is a "classic" example. A particularly effective treatment occurs in the first movement of Haydn's Symphony no. 39: statement of the first part of the first theme in tonic minor (mm. 13-16); statement of the first part of this portion in mediant major (mm. 17-20), after which the new tonic is firmly established. In the recapitulation this effect is paralleled by statement of this material in dominant minor, then dominant major (mm. 95-97). Much rarer is an abrupt and surprising shift in the course of transition to the new key, as shown in Example 5.

(c) The pivot from the old to the new key is customarily made through the dominant of the new key, but this dominant is often prepared by chords which are common to both tonic minor and mediant major. The subdominant of the old key is also the supertonic of the new mediant and thus serves not only as a pivot but also as a means of establishing a grand cadence of ii-V-I in the mediant, as (to cite early Classic examples) in the first movements of Rutini's Sonata in D minor, Op. 3/4, and Franz Beck's Sinfonia in D minor, Op. 3/5. Another pivotal harmony

# EXAMPLE

5

HAYDN, SONATA IN G MINOR, I.



is the submediant of tonic minor as the subdominant of the mediant, as seen in the first movements of Haydn's C# minor and B minor Sonatas, and treated abruptly in the first movement of Mozart's E minor Violin Sonata, K. 304. Even the minor dominant of the old tonic can be used as a pivot, for it is the mediant of the new key, as shown in Example 6.

(d) Elements of the minor form of the new major key, either subdominant minor or a tonic minor with a strong emphasis on the dominant, parallel to the iv-I effect, intensify the new tonic; this is one of Mozart's favorite devices. As an illustration, Mozart begins the transition of the first movement of his A minor Sonata, K. 310, with a statement of the opening of the first theme, then a shift to the mediant through its subdominant; after the new tonic is prepared, minor tonality rather than the expected major (mm. 16-22) ensues through the remainder of the transition. Subdominant minor of the mediant is more common, whether in harmonized or unison passages, especially to prepare the cadence of the first half of the exposition.

3. A third category of transitions begins thematically with new material and tonally in the original tonic or its harmonic orbit, less often in the harmonic orbit of the mediant but not directly on it, and more rarely in a tonal area common to but rather distant from both tonics.

(a) An excellent early example of the first type is the first movement of J.G. Eckardt's Piano Sonata Op. 1/2, published in 1763; the first movement of Rutini's Sonata Op. 3/4 is similar but less clearly defined. Eckhardt begins his transition in the tonic with new thematic material (subsequently excised from the recapitulation) with an ensuing progression to the subdominant to establish a pivot for a grand ii-V-I cadence on the mediant.

(b) The second type embraces an abrupt shift to the tonal area of the mediant but not its pure tonic; usually the new tonic is treated as  $V_7$  of IV, as in the first movement of Haydn's C minor Piano Sonata. His procedure is smoother in the first movement of his Quartet Op. 17/4, since the close similarity of the opening theme to the opening of the transition provides greater unity (Example 7).

(c) More unusual is the beginning of the transition on a scale degree not closely related to either the tonic or the mediant. The transition in the finale of Haydn's Quartet Op. 17/4 (C minor) begins in G minor with a new contrapuntal treatment of

# EXAMPLE

6

HAYDN, STRING QUARTET, OP. 20/5, I.

7

HAYDN, STRING QUARTET, OP. 17/4, I

the opening motive. The most unusual specimen is the transition in the second movement of Haydn's Quartet Op. 55/2: after the theme cadences in the home tonic (F minor) there is a grand pause after which the theme begins in the flat supertonic (Gb major) and then modulates to the mediant.

4. The most thematically complex kind of transition consists of the use of transitional themes which are perceived as independent thematic entities because of their rhythmic and melodic configurations, sharply contrasting in most instances to preceding material (the transitional theme of Mozart's K.478 Piano Quartet, first movement, is a contrapuntal treatment of the opening theme). The principal criterion of a true transitional theme is its recurrence in the recapitulation, as in Mozart's two Symphonies in G minor.

#### IV. Second Theme-Groups

Earlier in this study I discussed the question of the hierarchical organization of the exposition. This concept is not an excuse to revive the outmoded terminology of "principal" and "subordinate" themes, but to demonstrate the fluid character of thematic or motivic material in sonata form. Furthermore, this concept is often better perceived aurally than defined verbally.

1. One type of hierarchical structure includes the use of motivic rather than melodic-thematic complexes for the second theme-group, best seen in the first movement of Haydn's Quartet Op. 20/3, mm.27-88. The retention of the concerto principle, wherein second-theme motives are derived from those of the first theme, will be subsequently discussed in this section.

2. In the purely hierarchical type of bipartite exposition the second theme will be clearly identifiable and often song-like, usually separated from the first part of the exposition by a definite cadence and caesura. The first movement of Mozart's G minor Symphony, K.550, shows this type of exposition so clearly that it is often cited as a paradigm of Classic sonata form in music appreciation and "form and analysis" textbooks. There are two fundamental types of contrasting song-themes in sonata forms in the minor mode: those themes which can be restated in tonic minor in the recapitulation and those which cannot.

3. A variant of hierarchical sonata form which is of particular

interest in forms in the minor mode occurs when the second theme is derived from the first. In works in major this second theme is stated in the dominant, as in the first movements of Haydn's Symphonies nos. 85 and 100, but in works in minor this theme will customarily be in mediant major, rarely (C.P. E. Bach, first Württemberg Sonata) in dominant minor.

Larsen has advanced the idea that a major differentiation between symphonic and keyboard sonata form is the retention in the former of the ritornello-episode principle of the concerto. \*18 We have previously seen this effect in the keyboard sonata in the second movement of Rutini's Sonata Op. 5/5. During the Classic period the best illustration of the ritornello-episode principle in the symphony is the first movement of Haydn's Symphony no. 44 (Figure 2), which can be compared with the sonata movement by Rutini shown in Figure 1 in order to see the development of the hierarchical sonata form principle in two motivically conceived works. Note, in Haydn's first movement, that motive A recurs twelve times and motive B ten, and that the alterations in motive B correspond with its position in the formal design (Example 8).

An interesting variant of the derivation of the major second theme from the minor first theme occurs in the finale of C.P. E. Bach's sixth Württemberg Sonata; this is not the application of the concerto principle, but the combination of the contrapuntal technique of the two-part invention with the logic of sonata form.

## V. Minor Interpolations (Molleinschüben)

The minor mode is so indispensable for transitional and developmental sections in sonata form in the major mode that any further discussion thereof is unnecessary. In some movements in major there is the occasional but crucial use of the minor mode within the second half of a bipartite exposition; this also occurs in minor-mode sonata forms. Hans Engel has discussed one type of minor interpolation, the "expressive sentimentally-colored minor", transferred from the tender aspects of Italian opera buffa of the pre-Classic period (for example, Livietta's farewell in Pergolesi's opera *Livietta e Tracollo*) into the sonata form, either as minor echoes of a phrase first stated in major or, more commonly, as interpolations into the theme-group itself (Molleinschüben). \*19 These minor interpolations can be discussed under the following categories.

1. Episodes in dominant minor which correspond to a second

theme are hallmarks of the pre- and early Classic sonata form. Good illustrations are the *sinfonia* (1721) to Francesco Conti's opera *Pallade Trionfante*, which Wilhelm Fischer cites as one of the earliest sonata forms in the Italian overture \*20, and the first movement of C.P.E. Bach's first Prussian Sonata. A second theme with a turn to minor can be associated with eastern European exoticism; in the work from which Example 9 is taken, the first and closing themes are also delicately touched with minor mode through the use of secondary triads. \*21

2. The true "Molleinschub" is an insertion of a passage in minor within a second theme-group which is prevailing in major. In early Classic sonata-form movements, such interpolations lent sentimental expressiveness as well as tonal reinforcement to this portion of the exposition and recapitulation; a good example is the first movement of Domenico Alberti's *Cembalo Sonata* in F major. \*22 The Molleinschub as an explosive "Sturm und Drang" element is easily observable in the first movement of Haydn's *Symphony no. 46*; notice that the rhythmic pattern and triadic movement of this interpolation are similar to those of the opening of the transition and conclusion of the exposition (Example 10).

3. The minor interpolation in the first movement of Mozart's "Jupiter" *Symphony K. 551* (mm. 81-85, 269-275) is too familiar to require citation. Yet its real function, as shown by the caesura which precedes it and by the changes in its harmony and tonal direction in the recapitulation, is not as an interruption, as in the previous examples, but as a subsidiary tonal axis.

4. Minor interpolations also occur in the second theme-group areas (basically in major) in the expositions of sonata form movements in the minor mode. Usually the statement of an idea in major is echoed in minor (Haydn, first movements of *Symphony no. 44*, *Quartet Op. 76/2*). In such circumstances, it is unnecessary to use this major-minor echo device in the recapitulation. Ventures in chromaticism which utilize subdominant or tonic minor as passing harmonies, as at mm. 95-98 of the finale of Mozart's *G minor Symphony, K. 550*, cannot be regarded as true Molleinschüben since the effect of minor is transitory.

5. A Romantic "specter at the feast" effect can be achieved by the use of first-theme material as a Molleinschub, as in mm. 220-227 of the first movement of Mozart's *C minor Piano Concerto, K. 491*; the statement of the opening theme in the



## EXAMPLE

8

## HAYDN, SYMPHONY NO. 44, FIRST MOVEMENT

© mm. 1-4  
[1]

© mm. 13-16

© mm. 42-44  
[2]

© mm. 62-65  
[3]

© mm. 128-30

206

EXAMPLE

9

Symphony on Ukranian themes:  
first movement



## EXAMPLE

10

Haydn, Symphony no. 46, I

A.

B.

C.

flute provides an even more Romantic touch.

6. A technique which may be regarded as pre-Romantic is the shift of the minor interpolation, in a sonata form in minor, from within the second theme-group area to the opening of this section, thus producing a sense of tonal dislocation. A dramatic illustration occurs in the first movement of Koželuch's Sonata in D minor, Op. 20/3: after the transition establishes the dominant of the mediant (F major) and a caesura occurs, an explosive passage begins in F minor after which the second theme proper continues in F major; in the recapitulation this idea is stated in tonic minor, after which the second theme is stated in this same key and mode. The way was thus prepared for Beethoven's beginning his second theme directly in mediant minor in the first movement of his Piano Sonata Op. 13.

#### VI. The Close of the Exposition

Crucial to the close of the exposition in sonata forms in the minor mode is whether the concluding measures are a reinforcement of mediant tonality or whether there is a turning back to tonic minor for the purpose of repeating the exposition. Often this event is demarcated by first and second endings, with the first ending leading back to tonic minor and the second proceeding to the key of the opening of the development. When the minor tonic is the eventual final goal of the exposition, the closing themes are less distinctly pronounced and defined and are more closely connected with second-theme material than in expositions definitely closing in the mediant. The exception occurs in borderline cases when there is a firm forte cadence on the mediant, then a surprising shift to the dominant of tonic minor, as in the first movement of Mozart's G minor Symphony, K. 550.

There is a strong correlation between the conclusion of the exposition as a lead back to tonic minor and the "chamber" (as opposed to the "symphonic") style of instrumental composition. An examination of the endings of the expositions in 72 fast sonata form movements in minor disclosed 53 with definite and strong cadences in the mediant, 15 with lead backs to tonic minor at the end, and four borderline cases comparable to the first movement of Mozart's G minor Symphony cited above. The only symphonic movements with expositions leading back to tonic minor were the outer movements of Haydn's Symphony no. 44 and Mozart's G minor symphony, K. 183, and the finale of François Martin's Symphony Op. 4/2, composed no later than 1751. The only similar piano sonata movements were the

first movements of Haydn's G minor Sonata and Mozart's C minor Sonata, K.457, with the G minor Sonata movement, K. 312, a borderline example. On the other hand, in many chamber works in minor the expositions end with a turn back to tonic major, examples being the second movement of Haydn's Quartet Op. 55/2 and the first movements of Mozart's Quartet K. 421, Piano Quartet K.478, and String Quintet K.516. Mozart's only chamber work in which the exposition emphatically closes on the mediant is his D minor Trio, K.442, his least successful chamber work in minor. Surprisingly for a composer with so many variants in his sonata structures, C.P.E. Bach strongly preferred the definite conclusion in the mediant if the second half of his exposition is in that tonality.

## RECAPITULATIONS

In the recapitulation the eighteenth-century composer showed the extent of his commitment to the minor mode. He had the option of writing it in tonic minor throughout or of stating his second theme area in tonic major, often with a change of key signature, thus essentially repudiating the ethos of the minor mode. Thus the recapitulations disclosed the true meaning of the exposition and its thematic material, served as the scene of either the resolution of the conflicts set up in the exposition and development or the intensification of conflict with the struggle renewed in the second part of the recapitulation or the coda, and (especially in finales) provided the effect of an optimistic or pessimistic outcome. Despite the lack of adequate discussions of the recapitulation in Classic and pre-Romantic theoretical treatises, from Scheibe to Momigny,\*<sup>24</sup> this section is the most crucial for sonata form movements in minor next to the opening of the movement itself.

### I. First Themes

The restatement of the first theme in tonic minor, with the same texture, sonority, and, when applicable, instrumentation with which it was first proclaimed, would seem to be one of the most rigid principles of sonata form, especially with the inherent instability of the minor mode. Yet there are several variants from this customary practice.

1. Some recapitulations begin in subdominant minor and then proceed to the tonic; this is usually typical of early Classic works such as the first movements of C.P.E. Bach's fourth Prussian Sonata and Rutini's Sonata Op. 3/4 or the finale of Martin's

Symphony Op. 4/2. Even such an unusual procedure as a recapitulation beginning in dominant minor (Schubert, Symphony no. 4, D.417, first movement, mm.179-198) has a precedent in the first movement of Jiri Antonin Benda's Sonata (ca. 1778) in C Minor.\*25

2. Sometimes the recapitulation of the first theme will be accompanied by slight but interesting variants from its initial statement in the movement: Johann Wilhelm Hässler was partial to this device. In the first movements of his set of six sonatas (1779\*26), of which the third and fifth are in minor, at the recapitulation of the third sonata the theme is in the bass with a discant; in the fifth, the original accompaniment is above the theme. Such variants are even more interesting when combined with contrapuntal devices: in the finale of C.P.E. Bach's fourth Prussian Sonata, the recapitulation coincides with the stretto of this invention-like finale, whereas in the finale of Haydn's Quartet Op. 42 the recapitulation coincides with the resumption of the fugue, but with the subject in the bass and a new countersubject above it.

3. Some recapitulations do not begin with the first theme: the section can begin with material associated in content and dynamics with the transition of the exposition (Haydn, Symphony no. 44, IV; no. 78, I) or with the thematic order changed (Eckardt, Sonata Op. 1/3, III; C.P.E. Bach, Sinfonia in E minor, Wq 177, I) or with the second part of the first theme (Haydn, Quartet Op. 74/3, I). Though the first movement of Haydn's Symphony no. 80 is ternary, it has two different recapitulations: a tonal one, considerably abridged, with a variant of the first theme though beginning with the tonic minor chord in first inversion, then a thematic recapitulation beginning with the second theme in tonic major. An extreme example is the sinfonia to Nicola Zingarelli's cantata *La Morte d'Alceste* (1789; MS in the library of the Naples Conservatory) in which the severely contrapuntal opening in C minor is replaced in the recapitulation by a brief, suave andante in C major.

## II. Transitions

The principal function of the transition in recapitulations is to reinforce the feeling of the tonic. Often this function is achieved by excursions into subdominant minor; in Galeazzi's words, "it is necessary that the motive itself be conducted gradually to the subdominant. . .and then make a cadence on the dominant".\*27 This is especially true in semi-minor recapitulations, where the second part of the recapitulation is in tonic

major, usually also indicated by a change of key signature (e.g., the first movements of Haydn's Quartets Op. 50/4 and Op. 74/3). Other tonal axes between exposition and recapitulation, often but not always occurring in transitions, will be discussed under the heading of axial relationships.

### III. Second Theme-Groups

As one would expect, the second theme-groups in the recapitulations are almost invariably in the tonic. The critical questions are (1) how much of the second theme-group is retained and (2) whether the second theme-group is restated in major or minor.

1. Excision of second theme-group material is most common in finales. The last movement of Haydn's Symphony no. 49 is perhaps the best example from this entire period: the transition's caesura is eliminated, the transition is joined to the second part of the second theme-group, this part and the closing figure with the long trill are substantially reduced from their dimensions in the exposition, and only the closing theme is fully retained. The result is a tight, compact recapitulation with a single-minded focus on tonic minor.

2. Another type of compact recapitulation occurs when the second theme of the exposition is the major form of the first theme; the recapitulation, therefore, can begin in tonic minor or tonic major, with the previous second theme now serving in place of both theme-groups. An example with a beginning in tonic major is the 35-measure recapitulation of the second movement of Haydn's Quartet Op. 55/2, which replaces a 76-measure exposition. A similar practice takes place in the finale of Johann Baptist Vanhal's A minor Symphony (before 1772), but to compensate for the curtailed recapitulation there is a large coda. The most unusual recapitulations of this type are in the outer movements of Josef Starzer's *Divertimento in A minor* \*28; in the finale (Figure 3) the second and closing themes are formed from first-theme material; the exposition is 52 measures long and the recapitulation a brief 23; the recapitulation begins with the inversion and modification of a subsidiary motive from the first theme-group; and an unusual tonal axis is established between exposition and recapitulation. The first movement is equally unusual, with a 62-measure exposition and 39-measure recapitulation; in the recapitulation the second theme is derived from a passage beginning at measure 89 in the development, which in turn is a great modification of the original second theme (Example 11).

FIGURE

Joseph Starzer, Divertimento in A Minor, IV

3

1st theme-group										2d theme-group									
Motives:	a	b	c	d	e	b	f	a	B	g	E	B							
EXPOSITION	1	10			20			30	40		50								
	a:i	i	i	i	i	v													
					e:i	v <sup>0</sup> i		V-VI	iv										
								C: vi	iiVviI										

Motives:	A	f'	x	A	g	A	x	a	b	A	x	A <sup>1</sup>	E	Retransition
DEVELOPMENT	53	60	70	80				90		100		110	120	129
Key centers:	C	c	V/g	G	V/d	d	V/d	F	modulatory	sequences	to	V	of	a

1st t.g.	2d. t.g.
e <sup>1</sup> a <sup>1</sup>	B x c c f
Motives:	

RECAPITULATION	130	140	150
a:i	VI †6	i i i i	



## EXAMPLE

11

Starzer, Divertimento in A minor, IV

A. 

B. 

C. 









3. A major criterion for the evaluation of a sonata form movement in minor is the success with which the second half of the original exposition in mediant major is converted to tonic minor in the recapitulation. One can trace Mozart's development through his second themes when recapitulated in minor, first in the awkwardness of the thematic change in the first movement of his G minor Symphony, K.183, through the skillful treatment of the axial relationships but the still clumsy conversion to minor of the second theme proper in the first movement of the E minor Violin Sonata, K.304, to his mature sonata form movements in minor beginning with the K.421 String Quartet and culminating in the outer movements of the G minor Symphony, K.550.

In the first theoretical work to give a detailed analysis of a sonata form movement in minor (the first movement of Mozart's K.421 Quartet), Momigny is very perfunctory about the recapitulation in general and the altered mode of the second theme area: he merely states that this portion of the recapitulation ". . . is but the continuation of the first reprise transported from F major to D minor, but with modifications necessitated by this change of mode and some other very minor differences dictated by taste or feeling".\*29 In even a recent study of Mozart's recapitulations, the modifications entailed by his use of the minor mode for his second and closing theme-group are slighted.\*30

By not discussing the change in character of the second themes from mediant major to tonic minor in recapitulations, E.H. Meyer missed what should have been one of the central points in his distinction between the static "contrast" principle and the idea of conflict arising from the use of opposing or contradictory themes.\*31 He considers the development section the principal arena for the conflict between the two themes, whereas in works in the minor mode it is often the recapitulation, and especially the finale of an instrumental cycle in minor, where the conflict occurs. As I propose to show in a future study, this conflict in the finale is one of the principal ingredients of the ethos of the so-called "Sturm und Drang" in the music of the eighteenth century. One can best see the approaches to this "conflict" and its solution in Haydn's treatment of second themes in his recapitulations of sonata forms in the minor mode.

4. Most of Haydn's sonata form movements in minor which he wrote between 1768 and 1774 contain recapitulations in which the second theme-group and subsequent material returns in

minor, and his retreat from the minor mode after this period, with the exception of a few works, is shown by his adoption of a form which I call the "semi-minor mode", inasmuch as the restatement of the first theme in the recapitulation is followed by a double bar, a change of key, and the continuation of the rest of the movement in tonic major. We have already seen how both Haydn and Vanhal used this device to create a highly curtailed recapitulation, all in the major mode. Though Haydn's use of the semi-minor mode in the first movement of his Symphony no. 26 ("Lamentazione") was most probably dictated by his desire to preserve the chant melody of the second theme-group intact, we can interpret his use of the semi-minor mode after 1774 as a kind of compromise, a retreat from the pessimistic implications of his "Sturm und Drang" symphonies and sonatas and "crise romantique" quartets. Sonata forms in a semi-minor mode, thus denatured of their pessimism, could be used even for finales of instrumental cycles in major (the last movements of Quartets Op. 76/1 and 3), since after the statement of the first theme-group the minor mode would recur only at scattered points in the development and in the often truncated recapitulations of the first theme-group.

Yet we should consider Haydn's semi-minor movements on technical grounds also. In contrast to the plastic, motivic second themes of the 1760's and 1770's which could readily be restated in minor, Haydn chose for his semi-minor movements song-like, even Ländler-like themes which could be restated in minor only at the risk of the kind of grotesque distortion later associable with Berlioz, Liszt, and Mahler. Haydn's second themes in semi-minor movements could not be converted from major to minor in the recapitulation. Compare the themes in Example 12, in which his treatment of second themes in full-scale minor movements is contrasted with two second themes from his semi-minor movements.

5. Occasionally the conversion of a second theme from major to minor demands a substantial alteration of the theme. In the recapitulation of the first movement of Haydn's Quartet Op. 9/4, the composer inverts the theme to provide a more dramatic close. Example 13 shows how Mozart substantially changed his second theme in the recapitulation of the first movement of his Serenade in C minor, K.388, thus creating a true *veränderte Reprise*. Jan Dussek followed an even more radical procedure in the first movement of his A minor Sonata (Op. 18/2, ca. 1790) by replacing a non-convertible member of the second theme-group in the exposition (mm.56-74) with entirely different material (mm.181-96) in the recapitulation.

## EXAMPLE

12

Haydn, Symphony no. 49, IV

## EXPOSITION



## RECAPITULATION



Haydn, Quartet, Op. 17 no. 4, IV

## EXPOSITION



## RECAPITULATION



Haydn, Symphony no. 80, I



Haydn, Quartet, Op. 74 no. 3, IV



## EXAMPLE

13

MOZART, SERENADE IN C MINOR, K. 388, I (inner parts omitted)

EXPOSITION  
mm. 42-59

RECAPITULATION  
mm. 177-95

The musical score is presented in two systems. Each system consists of two staves, one for the treble clef and one for the bass clef. The key signature is C minor, indicated by three flats (B-flat, E-flat, A-flat). The time signature is 3/4. The first system is labeled 'EXPOSITION mm. 42-59' and the second system is labeled 'RECAPITULATION mm. 177-95'. The notation includes various note values, rests, and bar lines. The first system shows the beginning of the exposition, and the second system shows the beginning of the recapitulation.

## IV. Axial Relationships Between Exposition and Recapitulation

Leonard Ratner's summary of eighteenth-century theoretical writings on sonata form from the standpoint of tonality is that "...the exposition embodies two keys and the recapitulation but one".\*32 Yet examination of the subsidiary tonal organization of sonata forms of the period, whether they be binary or ternary, frequently shows the existence of subordinate tonal relationships between the first and second halves of the form in binary movements, or between expositions and recapitulations in ternary ones, and these axes are most often strikingly shown in sonata forms in the minor mode. We have already seen Galeazzi's prescription for the use of the subdominant in recapitulations; aside from this, there are several other axial relationships that occur. These are usually connected with musical configurations — thematic, motivic, rhythmic, or dynamic — which place these axes in bold relief. Their length may vary from most of a theme-group (C.P.E. Bach, Sonata in D minor, Wq 57/4, I) to a single chord (Mozart, Quartet K.421, I) and in location from the end of the statement of the first theme-group to the closing theme. The principal axial relationships between the mediant major mode of the exposition and the tonic minor mode of the recapitulation are as follows:

1. Replacement of a dominant seventh by a diminished seventh chord which acts functionally as a dominant. The most prominent example is the forte chord which begins the transition in the first movement of Mozart's Quartet, K.421. Another example is a favorite axis with Haydn,  $V_3^4$  of V-V-I in the exposition with  $V_9^0$  of V-V-i in the recapitulation (Quartet Op. 17/4, I, mm.41-43, 108-110; Symphony no. 52, IV, mm.51, 145).
2. Deceptive progressions, which are generally preserved intact save for the change of mode of the submediant, minor in the exposition and major in the recapitulation. Illustrations are found in the first movement of Haydn's Symphony no. 45 (mm.54-55, 193-94) and Symphony no. 52 (mm.36-37, 130-31); from a binary movement, the third movement of C.P.E. Bach's F minor Sonata, Wq 57/6, mm.20-21, 54-55, with the submediant emphasized with a fermata. An interesting deceptive progression occurs in the first movement of Mozart's C minor Sonata, K.457: V-iv<sub>6</sub> of the mediant in mm.30-33, V-VI of tonic minor in mm.126-28.
3. Supertonic harmony in mediant major, whether in root position or first inversion, is subject to various types of replacement in the tonic minor of the recapitulation. Generally

this replacement is the flat supertonic (Neapolitan) in first inversion (e.g., Mozart, Sonata in A minor, K.310, I, mm. 28, 43; 108, 118). The extended progression in the first movement of Mozart's C minor Sonata, K.457, of  $ii-V_8^0$  of  $V-I_4^6$  to a cadence in mediant major (mm.51-57) is replaced in the recapitulation by  $iv-ii^0-i_4^6$  to a cadence in tonic minor (mm.149-154). The customary non-axial relationship is the substitution of the minor supertonic triad in major with a diminished supertonic triad in minor.

4. The axis of mediant in the exposition and submediant in the recapitulation is strikingly shown in the treatment of the transitional themes in the first movement of Mozart's G minor Symphony, K.550. Whereas in his earlier G minor Symphony K.183) Mozart stated his transitional theme in mediant in the exposition and tonic minor in the recapitulation, in the later G minor Symphony the transitional theme is stated in the mediant in the exposition (mm.28-42), appears in the recapitulation first in the submediant (m.191), then, after considerable development (mm.195-211) in tonic minor (mm.211-216), linking at measure 217 with the equivalent of measure 34 in the exposition.\*33 Another mediant-submediant axis occurs in the first movement of C.P.E. Bach's D minor Sonata, Wq 57/4: in the exposition the second theme-group is in the mediant, as expected, but in the recapitulation it is in the submediant, thus in major, with a cadence to tonic minor.

5. The extension of mediant-submediant is submediant-Neapolitan ( $bII$ ), and is most interestingly evident in the first movement of Mozart's Violin Sonata in E minor, K.304. The first theme-group cadences on the tonic in both exposition and recapitulation; immediately following the subsequent caesura is a preparation for the second theme. This passage further shows the use of pivotal harmonies common to both tonic and mediant: VI of i is also IV of III. It is the abruptness of the shift of tonal planes that is surprising in the exposition, but this surprise is even more jarring in the comparable place in the recapitulation, with  $bII$  immediately following tonic minor. How Mozart extricated himself from the tonal tangle can easily be seen in the Figure 4.

6. In contrast with his predecessors and contemporaries, Haydn frequently intensified his axial relationships by melodic as well as harmonic and intervallic changes in his recapitulations. The most extensive of his changes occurs in the recapitulation of the first movement of his Quartet, Op. 20/3. In Example 14 we can see how Haydn's axial treatment of a chro-

matic alteration is melodic as well as harmonic.

## V. The Close of the Recapitulation

The close of the recapitulation is an area wherein we may distinguish Classic from pre- or early Romantic treatment of the sonata form. In Classic forms the close of the recapitulation will be in the same mode as the second theme-group in this part of the movement, whereas in many Romantic works in minor the composer will arouse the expectation of such a close and then defeat it. An excellent example is the first movement of Beethoven's Cello Sonata Op. 5/2, outwardly modeled on Koželuch's technique of a long introduction preceding the first fast movement, also in minor. In the recapitulation Beethoven leads the listener to believe that he is writing a movement in "semi-minor" mode, only to defeat this expectation at measure 342 with a new emphasis on minor. One can similarly call "Romantic" the ending in major of a movement prevalently in minor (Beethoven, Quartet Op. 18/4), even if the movement is not in sonata form (Mozart, Quartet K.421, IV).

## VI. Codas

Most sonata form movements of the Classic period which do not end with a replica of the close of the exposition contain a few additional chords or progressions to reinforce the tonality of the ending, the extensive coda being chiefly a nineteenth-century development. There are a few instances, many of them drawn from works in the minor mode, where the coda has important structural and tonal functions.

1. Particularly in chamber works, some sonata form movements will have first and second endings at the close of the recapitulation as well as the exposition (e.g., first movements of Haydn's Quartet Op. 20/5 and Mozart's Quartet K.421), to indicate that the development and recapitulation are to be repeated. The first ending, in such cases, is a tonal link with the tonality in which the development began; the second ending leads into the coda proper, usually but not always with the tonic as its opening harmony.

2. In curtailed recapitulations, the material thus omitted can reappear in the coda to provide a more definite conclusion; this is especially effective in works in the minor mode. The finale of Haydn's Symphony no. 44 contains a magnificent example, for the opening motive is omitted in the recapitulation



# EXAMPLE

14

Haydn, Quartet, Op. 17 no. 4, I

EXPOSITION mm. 49-51

RECAPITULATION mm. 116-18

A.

B.

# FIGURE

4

Mozart, Violin Sonata, K. 304, I

EXPOSITION (III)	IV (VI of i) - V of V - I (mm. 28-32, repeated)
RECAPITULATION (i)	$\flat$ II V of VI - VI (mm. 128-32)
	iV - i - V of V - V (mm. 132-36)

and the section begins with the transition, the first forte of the exposition. After the recapitulation ends, a statement on the dominant based on the opening motive (mm. 167-74) is followed by the motive in the bass (mm. 175-87) to which a conclusion is appended; this is the only fortissimo passage in the movement.

3. An expressive rather than a structural function is assumed by a short, soft coda over a tonic pedal to end a movement in place of the customary forte chords one tends to associate with a definite conclusion. The best known of such codas is the conclusion of the first movement of Haydn's C minor Sonata, but this effect occurs as early as the second movement of Rutini's Sonata Op. 5/5. This type of coda is further associated with the "chamber" rather than the "symphonic" style; I have not found it in any eighteenth-century symphonies in minor, only in sonatas and chamber works (the first movement of Haydn's Quartet Op. 17/4).

4. Some eighteenth-century codas are the locus for further harmonic excursions, another stylistic trait which can justify the description of some Classic-era compositions as "pre-Romantic". This is particularly true of the coda of the first movement of Haydn's Quartet Op. 20/5; based on a motive from the second theme-group which assumes considerable importance in the recapitulation, the coda contains one of Haydn's wildest harmonic excursions which utilizes both major and minor forms of the flatted supertonic (Example 15). It would be an extreme conjecture, however, to suppose that this passage (mm. 142-49) is in an axial relationship to the deceptive progression in the exposition (mm. 42-43) which does not recur in the recapitulation.

5. The coda can even be the arena of resolution of the harmonic and tonal conflicts of the entire movement, as in the first movement of Mozart's curious D minor Quartet, K. 173. Except for the reprise of the first theme, itself not tonally very stable, and the first two measures of the transition, the remainder of the lengthy recapitulation (54 mm. as compared with 46 mm. of the exposition) is unstable; D minor, the tonic, is merely a passing harmony in the restatement of the second theme-group (mm. 104-119). Only in the coda (mm. 120-137) is D minor firmly established.

#### CONCLUSION: THE CLASSIC INSTRUMENTAL CYCLE IN MINOR

Between the Baroque suite and the pre-Romantic sonatas (Op.

## EXAMPLE

15

HAYDN, STRING QUARTET, OP. 20/5, I

14/2, Op. 26/2) of Clementi, rarely are all the movements of a sonata or similar work in the minor mode; Eckardt's Sonatas Op. 1/2 and 3, C.P.E. Bach's Wq 55/3 and Wq 57/2, and J.C. Bach's G minor Symphony Op. 6/6 are among the rare exceptions. In a three-movement sonata in minor, the outer movements are customarily in this mode; in a four-movement cycle, the outer movements and the minuet proper are in minor, with the slow movement and the trio of the minuet in major. There is not enough information as yet to permit valid generalizations regarding the prevalence of given modes in any but the first movements of instrumental cycles.

Haydn and Mozart most strongly showed their "retreat from minor" in their instrumental works. After 1774 Haydn generally dropped the slow movement in minor as a foil to an instrumental cycle in major, save for the "double variation" with contrasting major and minor themes in which the major mode is victorious in the coda (e.g., Symphonies 63, 103; Quartet Op. 55/2, I; his F minor Variations, a late work, being a stunning exception but not part of an instrumental cycle). Mozart frequently concluded his mature works in minor with a fast finale in major (Trio, K. 442; Piano Quartet, K. 478; String Quintet, K. 516, the latter finale arousing an immense amount of critical and philosophical speculation); after his G minor Symphony, K. 550, he virtually retreated altogether from the minor mode, with the few exceptions (the Fantasias for mechanical organ, K. 594 and K. 608; the Duet for the two armed men in *The Magic Flute*; the Requiem) representing a return to Baroque styles. Haydn, too, abandoned the minor finale after around 1772 with only a few exceptions, like the last movements of the Quartet Op. 33/1 and Op. 42.

There is not enough bibliographical data to permit a generalization about the minor finale during the Classic period. Barry Brook's thematic catalogue of French symphonies shows that 41 of the 49 true symphonies in minor have their finales in this mode,\*34 but there are not enough symphonies to permit drawing conclusions as to how frequently minor finales occurred during any given decade. Similarly there is very little information, other than from Haydn's works, available concerning the prevalence of the semi-minor mode, though its use persisted well into the Romantic period (Schubert, Symphony no. 4, IV; Hummel, Septet, Op. 74, I; Spohr, 9th Violin Concerto, Op. 55, I.)

One cannot draw a definite chronological line between "High Classic" and "Pre-Romantic" since from the 1770's onward

these two musical currents overlapped; such works as Haydn's Op. 20/5 and Mozart's K.173 and K.421 Quartets are as Romantic as they are Classic, and in the finales of the first two mentioned, even Baroque through their use of fugal techniques. Yet the revitalization of the minor mode in the instrumental works of Clementi, Koželuch, and Giovanni Viotti at the time when Haydn and Mozart were retreating from minor, and Haydn's borrowing of minor-mode elements into his slow introductions and slow movements in the major mode in his works of the 1790's, are two salient elements in the shift from Classic to Romantic in music.

The variety of the Classic-era sonata form is most clearly shown by the relatively few specimens, probably no more than 15% of the total number of sonata form movements composed between 1740 and 1800, in the minor mode. The critical portions of the sonata form movement in minor, were, in the expositions, the first themes; the transitional sections leading from the original tonic to the new key (mediant major or, more rarely, dominant minor); the second theme-groups; and the goals of the exposition itself: mediant major, dominant minor, or a turnback to tonic minor. The recapitulations presented even more choices for the composer: entire restatement or curtailment of the first theme-group; a varied representation of the transition; the treatment of the second theme in tonic major, tonic minor, or with elements of both modes at the close of the century; the establishment of subsidiary tonal axes between exposition and recapitulation; and the creation of a coda that could include thematic material unheard since the exposition. Elements of the minor mode were often used in sonata form movements in the major mode, not only in transitional and development sections, but more crucially as interpolations within the second theme-groups.

For the composer, the minor mode opened a wider range of choices and possibilities than was present within the relatively limited confines of the major mode. This is particularly evident in the works of the lesser-known composers of the Classic period, for the routine superficiality of so many of their works in the major mode was replaced by at least flashes of originality and even daring in their minor-mode compositions.

The flexibility of the minor mode permitted a continuity with the legacy of the Baroque, so clearly seen in the themes outlining a diminished-seventh interval or in contrapuntal sections. Similarly, the transition from Classic to Romantic is clearly evident in the sonata form movements in minor not only in the

works of the main figures of the Classic period, but also in those by Mozart's longer-lived contemporaries such as E. A. Förster, Clementi, Kozeluch, and Dussek. All these composers used the minor mode in their sonata form movements, subject to certain conventions and principles, but their ingenious treatment of these limitations resulted in some of the most interesting works of the eighteenth century.



## R E F E R E N C E S

- 1 The first detailed study of the Classic-era sonata form in the minor mode (the first movement of Mozart's K.421 quartet) is in Jérôme-Joseph de Momigny's *Cours complet d'harmonie et de composition* (Paris, 1806, 3 vols.), I, 307-82; II, 387-403; III, 109-253.
- 2 In the investigations of Classic sonata form which have appeared since William S. Newman's *The Sonata in the Classic Era* (Chapel Hill, 1963), which contains the most detailed bibliography on sonata form, there is substantial discussion of sonata forms in minor only in Fred Ritzel's *Die Entwicklung der "Sonatenform" im musiktheoretischen Schrifttum des 18. und 19. Jahrhunderts*, *Neue musikgeschichtliche Forschungen*, I (Frankfurt, 1968). Very little discussion of the minor mode occurs even in studies where one would expect to find this topic extensively treated, e.g. Maurice J.E. Brown's "Mozart's Recapitulations: A Point of Style", *Music and Letters*, XXX (1949), 109-117, and E.H. Meyer's "Das Konfliktelement in Mozarts Instrumentalmusik" in Erich Schenk, ed., *Bericht über den internationalen musikwissenschaftlichen Kongress Wien, Mozartjahr 1956* (Graz, 1958), pp.402-07.
- 3 In the Breitkopf Thematic Catalogue 1762-1787 (ed. Barry S. Brook, New York, 1966), between 1762 and 1787, 4% of the symphonies, 8% of the string quartets, 9% of the violin concertos (mainly by Frantisek Benda and Carl Hoeckh) and 13% of the violin sonatas (almost exclusively north German) are in minor. I have tentatively investigated the prevalence of this mode in "The Minor Mode in the Classic Period", *Music Review*, XXXII (1971). In contrast with the Classic period, approximately 30% of Vivaldi's concertos are in minor (Marc Pincherle, *Antonio Vivaldi et la musique instrumentale*, Paris, 1948, I, p. 160), and approximately 65% of the late- and post-Romantic symphonies are in the minor mode, with Glazunov the only composer showing a strong preference for the major mode.
- 4 Newman, *Sonata in the Classic Era*, p.137.
- 5 R.M. Longyear, "Binary Variants of Early Classic Sonata Form", *Journal of Music Theory*, XIII (1969), 162-85.
- 6 Published in Karl Geiringer, *Music of the Bach Family* (Cambridge, 1955), pp.141-55.
- 7 H.C. Robbins Landon, *The Symphonies of Joseph Haydn* (London, 1955), p.297.
- 8 Jan La Rue, "Significant and Coincidental Resemblances between Classical Themes", *Journal of the American Musicological Society*, XIV (1961), 224-34.
- 9 Jens Peter Larsen, "Sonatenform-Probleme", in Anna Amalie Abert and Wilhelm Pfannkuch, eds., *Festschrift Friedrich Blume zum 70. Geburtstag* (Kassel, 1963), pp.228-39.
- 10 Johann Adolf Scheibe, *Critischer Musicus* (Leipzig, 1745), p.624.
- 11 Heinrich Christoph Koch, *Versuch einer Anleitung zur Composition* (Leipzig, 1782-93), III, pp.304-06, 342-44. See also Johann Gottlieb Portmann, *Leichten Lehrbuch der Harmonie, Composition und des Generalbasses* (Darmstadt, 1789), cited in Ritzel, *Entwicklung der "Sonatenform"*, p.147.

- 12 Ritzel, p.149; Bathia Churgin, "Francesco Galeazzi's Description (1796) of Sonata Form", *Journal of the American Musicological Society*, XXI (1968), 192-93.
- 13 See Ralph Kirkpatrick, *Domenico Scarlatti* (1953; reprint New York, 1968), pp.271-76. Examples of Scarlatti's sonatas with dominant minor as the goal of the exposition are L. 241, 27, 281, 275, 427, 128, 12, 266, and 475.
- 14 Théodore de Wyzewa and Georges de Saint-Foix, *Wolfgang Amadée Mozart* (Paris, 1936, 5 vols.), II, p.77.
- 15 Willy Hess, in his study "Die Teilwiederholung in der klassischen Sinfonie und Kammermusik", *Die Musikforschung* XVI (1963), 238-52, argues for the observance of repeat marks on structural grounds. This quartet movement is almost the ideal example for stipulating the repetition not only of the exposition but also the development-recapitulation on harmonic and structural grounds.
- 16 Published in Barry S. Brook, *La Symphonie française dans la seconde moitié du XVIII<sup>e</sup> siècle* (Paris, 1962, 3 vols.), III, 14-15.
- 17 For this distinction, see Friedrich Blume, "Fortsetzung und Entwicklung", *Jahrbuch der Musikbibliothek Peters*, XXXVI (1929), 58. Further study should be made of this topic.
- 18 Larsen, "Sonatenform-Probleme", p.228.
- 19 Hans Engel, "Die Quellen des klassischen Stiles" in Jan LaRue, ed., *International Musicological Society: Report of the Eighth Congress* (Kassel, 1961, 2 vols.), I, 291, 289, 286, 293.
- 20 The melodic line of the entire first allegro of this sinfonia is quoted in Wilhelm Fischer, "Instrumentalmusik von 1750-1828" in Guido Adler, ed., *Handbuch der Musikgeschichte* (1924: reprint Tutzing, 1961), II, 787-98.
- 21 Published in Alexander Tcherpnin (ed.), *Russische Musik-Anthologie* (Bonn, 1966), pp.49-54, as an operatic overture by E.I. Fomin (1761-1800). The composer of this symphony on Ukrainian themes has yet to be conclusively identified.
- 22 Published in Franz Giegling, *Die Solosonate* (Cologne, 1958), pp.78-80. Wilhelm Wörmann, in his study "Die Klaviersonate Domenico Albertis", *Acta Musicologica*, XXVII (1955), 84-112, does not discuss Alberti's use of this effect.
- 23 Published in Dana Setková, *Kozeluh: Pět Sonát* (Prague, n.d.).
- 24 Ritzel, "Die Entwicklung", p.154, states that "the investigation of the second half of a sonata-form movement in Classic theory remains unsatisfactory".
- 25 Published in *Musica Antiqua Bohemica*, XXIV, 103-06.
- 26 Published in Aristide and Louise Farrenc, *Le Trésor des Pianistes* (Paris, 1861-72), IX, pp.15-44.



- 27 Churgin, "Francesco Galeazzi", p.196.
- 28 Published in *Denkmäler der Tonkunst in Österreich*, XXXI, 105-17.
- 29 Momigny, *Cours complet*, II, p.397.
- 30 Brown, "Mozart's Recapitulations, pp.109-117.
- 31 Meyer, "Das Konfliktelement", pp.402-07.
- 32 Leonard Ratner, "Harmonic Aspects of Classic Form", *Journal of the American Musicological Society*, II (1949), 161.
- 33 Arnold Schoenberg gives a detailed harmonic analysis of these passages in his *Structural Functions of Harmony* (New York, 1954), p.144. There is a similar axial relationship between mediant, submediant, and transitional themes in Mozart's Piano Quartet, K.478, first movement. The use of these axial relationships is not discussed in Roland Tenschert's "Die G-Moll Tonart bei Mozart", *Mozart-Jahrbuch*, 1951, pp.112-22.
- 34 Brook, *La Symphonie française*, Vol. II.