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Tonal and Motivic Process in Mozart's Expositions

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Beginning with William Newman more than fifty years ago, scholars have attempted to reconcile historical discussions of instrumental forms with present day conceptions.[1] By demonstrating how theme-oriented models proposed in the nineteenth century diverge from eighteenth-century formulations, Leonard Ratner and others have shaped a new generation of "textbook" descriptions of sonata form: most commentators now acknowledge contemporaneous viewpoints by emphasizing harmonic aspects of structure and treating bi-thematicism as optional.[2] Nonetheless, these recent descriptions tend to retain significant features rooted in the nineteenth century, especially in handling the exposition: (1) subdivision of the exposition

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[1] Newman, "The Recognition of Sonata Form by Theorists of the 18th and 19th Centuries," *Papers of the American Musicological Society* (1941; printed 1946), 21–29; *idem, The Sonata in the Classic Era* (Chapel Hill, NC, 1963), 26–35. An early version of this essay was read at the Annual Meeting of the American Musicological Society, Chicago, 1991 (published as "A Processive Model of the Sonata Exposition and Mozart's 'Haffner' Symphony" in *Rivista italiana di musicologia* XVI [1993], 3419–38). I wish to thank Eugene K. Wolf for his careful critique of the present essay.

[2] Ratner, "Harmonic Aspects of Classic Form," *Journal of the American Musicological Society* II (1949), 159–68; and *idem, Classic Music: Expression, Form, and Style* (New York, 1980), 217–24. For other discussions of theoretical views of eighteenth-century instrumental forms, see Bathia Churgin, "Francesco Galeazzi's Description (1796) of Sonata Form," *Journal of the American Musicological Society* XXI (1968), 181–99; Fred Ritzel, *Die Entwicklung der "Sonatenform" im musiktheoretischen Schrifttum des 18. und 19. Jahrhunderts* (Wiesbaden, 1969); Malcolm S. Cole, "Sonata-Rondo, the Formulation of a Theoretical Concept in the 18th and 19th Centuries," *Musical Quarterly* LV (1969), 180–92; Jane R. Stevens, "An 18th-Century Description of Concerto First-Movement Form," *Journal of the American Musicological Society* XXIV (1971), 85–95; *idem,* "Theme, Harmony, and Texture in Classic-Romantic Descriptions of Concerto First-Movement Form," *Journal of the American Musicological Society* XXVII (1974), 25–60; *idem,* "Georg Joseph Vogler and the 'Second Theme' in Sonata Form: Some 18th-Century Perceptions of Musical Contrast," *Journal of Musicology* II (1983), 278–304; Richard Gwilt, "Sonata-Allegro Revisited," *In Theory Only* VII (1984), 3–33; and Siegfried Schmalzriedt, "Charakter und Drama: Zur historischen Analyse von Haydnschen und Beethovenschen Sonatensätzen," *Archiv für Musikwissenschaft* XLII (1985), 37–66.

into extended subsections differentiated by harmonic function, texture, dynamics, and melodic style, normally a principal group followed by a transition, secondary group, and closing or cadential group; (2) tonal "polarization," which shifts the nineteenth-century concept of conflict from theme to key; and (3) prioritization of some musical ideas— "themes"—with respect to other, presumably less important ones— "non-themes."[3] Re-examining descriptions of first-movement form be- tween 1750 and 1800 by Riepel, Koch, Galeazzi, Kollmann, and Vogler indicates that these features have little basis in eighteenth-century

[3] For example, according to Charles Rosen, "The exposition of a sonata form pre- sents the thematic material and articulates the movement from tonic to dominant in vari- ous ways so that it takes on the character of a polarization or opposition. The essential character of this opposition may be defined as a large-scale dissonance: the material played outside the tonic (i.e., in the second group) is dissonant with respect to the center of stability, or tonic." The "dissonant section" is the "generating force" of sonata forms, and both of the remaining sections—the development and recapitulation—operate in terms of this tonal conflict. Rosen, *Sonata Forms,* rev. ed. (New York, 1988), 229 and 262– 63. Rosen makes this connection between harmonic, textural, and thematic polarization on p. 98. James Webster also treats tonal polarization as a principal source of drama in the exposition. See "Sonata Form," *New Grove Dictionary of Music and Musicians,* ed. Stanley Sadie (London, 1980), XVII, 497. The same assumption is central to John Martin Haru- tunian, "Haydn and Mozart: Tonic-Dominant Polarity in Mature Sonata-Style Works," *Jour- nal of Musicological Research* IX (1990), 273–98.

Jan LaRue's P-T-S-K model provides the most definitive recent formulation of the four-part exposition. See "Symbols for Analysis: Some Revisions and Extensions," *Journal of the American Musicological Society* XIX (1966), 403–08, and *Guidelines for Style Analysis* (New York, 1970), 153–73 and 189; 2nd edition (Warren, MI, 1992), 187–93. For a discussion of the P-T-S-K model in a historical context see *idem,* "Symphony. I. 18th century," *New Grove Dictionary of Music and Musicians,* ed. Stanley Sadie (London, 1980), XVIII, 440. Echoing LaRue, Churgin has asserted that "it is apparent to any historian of the Classic style that a cardinal feature of Classic sonata form is the specialization of thematic func- tions, the basic categories of which comprise primary, transition, secondary, and cadential or closing themes" ("Galeazzi's Description of Sonata Form," 182). Like other commen- tators, Rosen treats the four-part model of the exposition as an analytical point of depar- ture. For example, he acknowledges a "sharp distinction between the functions of the var- ious formal sections [of the exposition] that is the essence of the sonata forms," and indicates that the four parts of the design are normally separated by contrast: "Changes of texture and rhythm occur at the point of departure from the tonic, at the arrival at the dominant, and at the confirming cadence. . . . The confirming final cadence is always set in relief thematically" (*Sonata Forms,* 238, 241). At the same time, he recognizes that the flexible treatment of the form in practice allowed parts to be omitted or combined (*Sonata Forms,* 100). Eugene K. Wolf, "Sonata Form," *New Harvard Dictionary of Music,* ed. Don Michael Randel (Cambridge, MA, 1986), 764, takes a similar approach, beginning with the four-part model but identifying alternative designs that range from three to six parts. Webster also divides the exposition into distinct subsections, although he favors a three-part structure consisting of a first group, transition, and second group ("Sonata Form," 497, and Example 4, 499).

Rosen is typical in distinguishing "principal ideas" (themes) that emphasize the tonic-dominant polarity and "subsidiary" ones (motives and conventional passages) that separate those themes. For example, although "the number and variety of themes are not determinants of form, . . . even when only one theme is used, it must serve to articulate the polarization [of keys]. In monothematic works there are, therefore, always a signifi- cant number of subsidiary motifs or even conventional passages, which may not arrive at a

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music theory.[4] Furthermore, analysis of Mozart's "Haffner" Symphony and other examples suggests that by relinquishing apparent anachronisms and taking an approach closer to contemporaneous viewpoints we can adopt a more inclusive conception of the exposition that better accounts for wide-ranging practices.

Although eighteenth-century discussions of sonata form differ from one another in focusing on varying elements of style or structural levels and in taking more or less schematic approaches, they show substantial unanimity concerning the central issues of formal segmentation, tonal polarization, and thematic priority.[5] Thus we can draw upon them as sources of mutual reinforcement and amplification in constructing a composite model of contemporary perceptions, one that undercuts significant aspects of modern text-book descriptions. For example, no eighteenth-century discussion divides the exposition entirely according

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sufficient level of individualization to be considered themes, but which serve to set the structure in relief" (*Sonata Forms,* 242). Webster's apparent distinction between the first and second groups, which include "numerous different themes," and the transition ("Sonata Form," 497 and Example 4, 499) suggests a similar approach, as does Wolf's separation of the "primary theme or themes" and "one or more secondary themes" from the transition and closing material, "which may range from conventional chordal passages to full-fledged themes" ("Sonata Form," 764).

4 Riepel, *Grundregeln zur Tonordnung insgemein* (Frankfurt am Main, 1755), 63–94; Vogler, *Betrachtungen der Mannheimer Tonschule* (Mannheim, 1778–81, facs. repr. Hildesheim, 1974, 4 vols.); Koch, *Versuch einer Anleitung zur Composition,* 3 vols. (Leipzig, 1787 and 1793, facs. repr. Hildesheim, 1969; vol. 2 part 2, and vol. 3, trans. as *Introductory Essay on Composition,* ed. Nancy Kovaleff Baker, New Haven, 1983; see especially Koch's discussions of "the first allegro of the symphony" and "the connection of melodic sections in the first main periods of larger compositions." III, [section] 101–03 and 128–47, pp. 304–11 and 341–93; Baker, pp. 199–201 and 213–28); Galeazzi, *Elementi teorico-pratici di musica* . . . , 2 vols. (Rome 1791 and 1796), see vol. 2, 253–60; ed. and trans. in Churgin, "Galeazzi's Description," 189–99; and Kollmann, *An Essay on Practical Musical Composition* (London, 1799; facs. repr. New York, 1973 with an introduction by Imogene Horsley), 5–6.

5 Although these writers tended to emphasize key (see Ratner, "Harmonic Aspects of Classic Form," 166–67), they dealt with a wide range of issues. Kollmann's generalized description of the form of "pieces or movements of *one or two long sections,*" provides the narrowest and least detailed view of the exposition. It treats only harmony—giving "the plan of modulation"—although his subsequent discussion of the opening movement of his *Analyzed Symphony,* op. 7, also touches on some elements of thematic and periodic structure. Koch's model is broader and more flexible than Kollmann's. Koch regarded form as a series of expanded phrases and focused on the organization of cadences, yet also provided significant information concerning theme and texture. Galeazzi's discussion of "the manner one must follow in laying out . . . melodies" (his description of sonata form) provides the most balanced viewpoint, giving equal time to thematic and harmonic issues and noting numerous other features, such as changes in rhythmic activity and expressive character. Vogler offered very little generalized discussion and no schematic plan. In describing specific pieces he focused instead on motivic relationships and local contrasts of character between themes, mentioning harmonic events in passing. Finally, Riepel's description deals with both thematic and harmonic organization, stressing continuity and flexibility of design.

to modern assumptions. Kollmann acknowledged only a single medial boundary between two "subsections." Interpreted against the paradigmatic four-part model, that boundary has typically been viewed as separating an unstable transition from a stable dominant area.[6] Read more literally, however, Kollmann's discussion suggests that tonal motion crosses this boundary. According to Kollmann, the first subsection of the exposition "contain[s] the setting out from the key towards its fifth [and] may end with the chord of the key note or [preferably] its fifth." Thus it begins to weaken and move away from the tonic without modulating and ends with the tonic chord ("chord of the key note") or dominant chord ("chord of its 5th"), that is, with a full or (preferably) half cadence *in the tonic key*. Kollmann's *Analyzed Symphony*, cited later in his discussion, exemplifies the latter possibility (half cadence) and confirms the tonic orientation.[7]

Following the medial division, Kollmann's second subsection contains "a more natural modulation than that of the third subsection [the present-day development section]. . . . [It] may be confined to the fifth of the key only, or also touch on some related, or even non-related keys if only no formal digression is made to any key but the said fifth in major, or third in minor." As explained in his *Essay on Musical Harmony*, "modulation" may refer to either a "proper change of key and mode" or a "proper choice and variety of chords in harmony, or of sounds in melody, either for retaining or relinquishing the key and mode."[8] In a "natural" modulation "each succeeding chord, key, [or] mode is nearly related to the preceding one."[9] As his examples demonstrate, natural modulations may range from diatonic cadential formulas to true shifts of key.[10] Consequently, the "natural modulation" in the second subsection of the exposition could simply involve progression within the dominant, a possibility illustrated by the *Analyzed Symphony*. However, this modulation might alternatively involve a true key change. Kollmann clearly had this possibility in mind when he permitted a "formal digression" to the dominant or mediant—in his terms a progression in which

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6 Kollmann, *Essay on Practical Musical Composition*, 5. Horsley, in her introduction to the facsimile edition of the *Essay*, p. viii, and Gwilt, in "Sonata-Allegro Revisited," Example 1, p. 6, both put Kollmann's medial division at the start of the present-day dominant/second theme group.
7 A score of this *Symphony for the Pianoforte, a Violin, and a Violoncello*, op. 7, is given in the facsimile edition of Kollmann, *Essay on Practical Musical Composition*, x–xxvii. The structural importance of tonic half-cadences has been treated extensively in Robert S. Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* XLII (1989), 275–337.
8 *An Essay on Musical Harmony* (Utica, New York, 1817), 127–49, especially p. 127.
9 *Essay on Musical Harmony*, 127. In contrast, an "abrupt" modulation occurs "when chords, keys, and modes are introduced which are foreign to the preceding one."
10 *Essay on Musical Harmony*, 128–39.

a key and/or mode is "relinquished"—during this subsection while for-
bidding shifts to other keys.[11] The absence of true modulation in the
first subsection, which may progress no farther than a half cadence in
the tonic, confirms that any such change of key must belong to the sec-
ond subsection. This interpretation receives support from Kollmann's
comparison of the "more natural" modulation in Subsection 2 to the
presumably more abrupt ones in Subsection 3 (the development sec-
tion). By locating his medial boundary after the "setting out" from the
tonic but prior to any true modulation, Kollmann challenges both our
habit of treating the transition as a single subsection, segregated from
preceding and following "themes," and our assumption that the most
critical articulation within the exposition delineates polarized tonic and
dominant groups.

Koch broached similar issues in two parts of the *Versuch:* his de-
scription of "the first allegro of the symphony" and his explanation of
"The Connection of Melodic Sections in the First Main Periods of
Larger Compositions," of which the symphony is one type. Both appear
in Chapter 4, "The Connection of Melodic Sections into periods of
Greater Length, or the Arrangement of Larger Compositions" (III, §
73–159, pp. 231–430; Baker, pp. 165–248).

Koch's comments regarding symphonic allegro movements partly
match modern descriptions in separating the "main melodic sections"
("melodischen Haupttheile") of the first part (the exposition) into two
larger, tonally distinct "halves": "after the theme has been heard with
another main phrase [melodische Haupttheile], the third such phrase
usually modulates to the key of the fifth—or in the minor mode toward
the third—in which the remaining sections are presented [in welcher
die übrigen vorgetragen werden], because the second and larger half of
this first period [the exposition] is devoted particularly to this key" (III,
§ 101, p. 306; Baker, p. 199). This formulation leaves open to question
whether the "second and larger half" contains only "the remaining sec-
tions" in the dominant (or the mediant) or also the modulating third
phrase. Although inclusion of the third phrase in the second half of the
exposition would help to make it the "larger" one, Koch's comments re-
garding the recapitulation (the "third period") supports the other in-
terpretation. According to Koch, the recapitulation begins with the
"theme" or "another main idea" and a passage which "usually shifts to
the key of the fourth, but, without making a cadence in it, soon again
returns to the main key." Then "the second half of the first period, or
those melodic ideas of the first period which followed the V-phrase in
the fifth [oder diejenigen melodischen Theile des ersten Perioden, die

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[11] *Essay on Musical Harmony,* 127, 134–39.

dem Quintasbsatze in der Quinte folgten], is repeated in the main key and with this the allegro ends" (III, § 103, p. 311; Baker, p. 201). Assuming that "oder" indicates a clarification instead of an alternative, this passage subdivides the first period (the exposition) *after* the modulating third phrase.

Significantly, Koch's second, more general discussion of the "first main periods of larger compositions" takes the opposite position. Like his description of the symphony, it divides the "first main period" into two sections ("Absätze") each of which comprises two main punctuation sections ("interpunctische Haupttheile"). In the first section "the main key prevails"; in the second "the key of the fifth prevails [in major mode]"; III, § 129, p. 342; Baker, p. 213). Yet, unlike the present-day model and Koch's description of the symphonic allegro, this second plan clearly locates the articulation between sections within the tonal transition, that is, between phrase two, which ends on a half cadence in the tonic, and phrase three, which modulates to the dominant:

> Two of these [main punctuation sections] belong to the main key and are made by the first two melodic sections [melodischen Theilen] with a I- and V-phrase. The third, however, modulates toward the key of the fifth, in which it concludes with a V-phrase, whereupon the fourth main punctuation section closes the period with a cadence in this key.[12]

According to this formulation, which echoes Kollmann's, the two halves of Koch's exposition are not stable tonal plateaus but rather areas of relative emphasis within an ongoing tonal process.[13]

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[12] In Koch's terms, a "I-phrase" ends on a tonic chord (full cadence), while a "V-phrase" ends on a dominant chord (half cadence). See Nancy Kovaleff Baker, "From *Teil* to *Tonstück:* The Significance of the *Versuch einer Anleitung zur Composition* by Heinrich Christoph Koch" (Ph.D. dissertation, Yale University, 1975), 195. Baker also discusses other aspects of Koch's treatise as well as related writings by other theorists. Koch's ideas are also covered by Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge, MA, 1992), 273–99, especially 290–97.

[13] Koch's intentions are further confirmed by musical examples. In his Example 362 of the "form in which the main punctuation sections are mixed with no subsidiary melodic sections" (III, § 129, p. 343; Baker, p. 213; example given III, § 72, pp. 227–30; Baker, Example 362, pp. 164–65) the four segments are easy to discern. Punctuation section 1 (mm. 1–5) ends on a full cadence; punctuation section 2 (mm. 6– 10) ends on a half cadence in the tonic; punctuation section 3 (mm. 11–23) begins each of its two phrases quietly like a "second theme" but immediately takes on the character of further transition, becoming rhythmically active and sequential (beginning in m. 12) and arriving twice on half cadences in the dominant (mm. 13 and 23); punctuation section 4 ends with a full cadence in the dominant (mm. 24–27) and includes a "clarifying period" ("erklärender Periode," III, § 101, p. 305) or "appendix" ("Anhang," III, § 142, p. 366) in mm. 27–32. Examples 380, 382, and 383 (III, § 139, 141–42, pp. 361–62, 364–66, 368–69; Baker, pp. 220, 222, and 223–24) overlap one another to provide respectively the first and second halves and the "appendix" of an even more substantial exposition.

Galeazzi's plan for dividing the exposition is similarly removed from modern ones. Like Kollmann's, it bisects the transition into a "Second Motive," which ends on either a half cadence in the tonic or modulates to the dominant, and a "Departure from the Key," which modulates to the dominant or subdominant and ends on the fifth of the dominant key. And following a "characteristic passage" similar to the present-day second theme, it divides the closing group into a "Cadential Period" and "Coda" which resemble Koch's "fourth main punctuation section" and "appendix." Galeazzi arrives at six parts or "members" in all, of which only three are "necessary" (the "Motive" or opening theme, the "Departure from the Key," and the "Cadential Period").[14]

The flexibility with which Kollmann and Koch divided the exposition—and the apparent reluctance by Riepel and Vogler to stipulate such a division—indicate a more pliable conception than modern descriptions have assumed.[15] Koch's discussion of the role of modulation elsewhere in the *Versuch* underscores this position and offers no support for modern theories of tonal polarization. He cites several reasons for modulating, none of them involving tonal conflict, opposition, or dissonance. To the contrary, modulation serves as a source of sustained expressiveness: "Diversity . . . requires that the main key of the movement not be heard incessantly, but instead it must alternate with other related keys, so that the ear always receives enough material for its continued attention, and by this means the continuance of feelings may be

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Koch stipulated (Baker, p. 220) that Example 380, which ends with a half cadence in the tonic (Example 380, m. 19, equals Example 382, m. 4), constitutes the first half of the present-day exposition; the second half begin with a section that is quiet at first but becomes more active (m. 15) and modulates to the dominant (m. 13 and following), ending with a half cadence in that key. The fourth section being Koch's "cantabile phrase," which closes with a full cadence in V and is followed by an "appendix." Koch's treatment of the recapitulation in this discussion does not address this issue directly: "After the repetition of the theme, a few melodic sections from the first half of the first period are either put in another combination or given a new shape, in the course of which there is usually a brief modulation to the key of the fourth. Finally the second half of the first period is repeated in the main key and with that the movement concludes" (III, § 155, p. 420; Baker, p. 244). By failing to mention the return to the tonic after the modulation to the subdominant, Koch leaves open the possibility that such a return would occur within a V-phrase at the start of the second half.

[14] According to Galeazzi, in some works the Cadential Period might instead be aligned with the Characteristic Passage as a second part of the "second theme." Galeazzi counted the slow introduction as an additional "member," bringing the total number of sections before the repeat sign to seven.

[15] Koch and Kollmann may have been predisposed toward dividing the exposition into symmetrical parts by prevalent late eighteenth-century taxonomic views of form. For a discussion of relationships between discussions of musical form and models of natural order, see Scott L. Balthazar, "Intellectual History and Concepts of the Concerto: Some Parallels from 1750 to 1850," *Journal of the American Musicological Society* XXXVI (1983), 39–72. Kollmann's treatment of the concerto first movement is considered on pp. 58–66.

achieved."[16] Modulation also provides structural momentum, which de-
pends upon a progressing series of cadences:

> In the preceding exercises we have tried to explore all forms of punc-
> tuation in small compositions made up of four melodic sections. This
> was partly in order to get to know these forms themselves, but partly
> also to present all possible ways in which I-phrases, V-phrases and ca-
> dences can alternate appropriately with each other, *because the entire
> structure of periods depends on this alternation* [my emphasis; III, § 39, p.
> 128; Baker, pp. 117–18].[17]

Opening sections of more than three phrases must modulate to avoid
stasis:

> The melodies to odes, songs, and small pieces of unrestricted type and
> tempo may have three phrases in the first period if they contain more
> than four melodic sections [altogether]. In this case, when the piece is
> in the major mode, the third melodic section always closes with a ca-
> dence in the key of the fifth [III, § 45, pp. 145–46; Baker, p. 125].

This argument underlies Koch's model of four-phrase form:

> Since no more than two phrases take place in the main key, namely, a
> I- and a V-phrase, and the melodic section which modulates into the
> fifth must be concluded with a V-phrase in this key, thus a certain prin-
> cipal form of this first period arises which, excepting a few deviations,
> is common to all first periods of larger compositions [III, § 129, p.
> 342; Baker, p. 213].

Koch's description of this form (discussed above, p. 426), follows imme-
diately. The dominant key is a preferred goal, because modulations be-
tween the most closely related keys ensure continuity and avoid obscur-
ing the original tonic:

> According to the customary way of modulating, one takes care to lead
> the different phrases of the movement into and cadence within only

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[16] My translation. "Die Mannigfaltigkeit hingegen verlangt, daß die Haupttonart des
Satzes sich nicht unaufhörlich hören lasse, sondern mit andern Nebentonarten abge-
wechselt werde, damit das Ohr auch in Ansehung der Tonarten immer Stoff genug zu der
zu erhaltenden Aufmerksamkeit bekomme, und dadurch die Fortdauer der Empfindun-
gen bewürkt werden könne" (II, § 13, p. 170).

[17] This tendency to view form in terms of a sequence of harmonic goals also charac-
terizes Riepel's approach in the *Grundregeln*. See Baker, "*Teil* to *Tonstück*," 157–62.

those keys that occupy either the first grade of relationship with the main key [V or IV in major], or those which are related in the second grade if only one pitch must be changed to reach them. The reason is that the use of one of these closely related keys best maintains unity and ensures that the main key cannot be dislodged so easily from the [listener's] perceptions.[18]

This concern for tonal clarity led Koch to advocate returning to the tonic after the first modulation to restore the listener's bearings:

Accordingly, [if] unity is to be used in this piece with a concomitant diversity, then the main key must not only be heard at the beginning of the movement unchanged long enough that its sensation is adequately registered; but also, if one's inner ear is not to lose it completely, it must always appear again after the music leads to and closes in another key—so that the main key will always be evident to the ear—before one begins a fresh modulation into another secondary key.[19]

Far from treating modulation as a source of conflict, Koch valued it for sustaining melodic and harmonic motion within a *cohesive* tonal framework.

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[18] My translation. "Bei dem gewöhnlichen Gebrauche der Tonausweichung pflegt man die verschiedenen Perioden der Sätze nur in solche Tonarten hinzuleiten und sie darinnen zu schließen, die mit der Haupttonart des Satzes entweder in dem ersten Grade der Verwandschaft stehen, oder die zwar mit derselben im zweiten Grade verwandt sind, bei denen aber nur ein einziger Ton der Haupttonart modificirt zu werden braucht, um diese in dem zweiten Grade mit ihr verwandten Tonarten zu erhalten. Die Ursache hiervon ist diese, weil bei dem Gebrauche dieser nahe verwandten tonarten die Einheit des Ganzen am besten erhalten, und die Haupttonart nicht so leicht aus der Vorstellung verdrängt werden kann" (II, § 29, 192–93).

Galeazzi also advised that "in pieces of some length it is not good to leave the key too soon, in order to give the ear time to master the idea of the principal key, while if one leaves the key too soon, it [will] happen that one no longer knows what key the composition is in. The first modulation is thus made to the most closely related keys, namely to the dominant [or] to the subdominant in major keys, and also to the relative major in minor keys." Churgin, "Galeazzi's Description of Sonata Form," 192–93. Riepel emphasized the close relationship between tonic and dominant through analogy with a conversation between a tenant farmer and his chief servant (*Grundregeln,* p. 65).

[19] My translation. "Soll daher auch in diesem Stücke die Einheit mit der dabei nötigen Mannigfaltigkeit verbunden sein, so muß sich nicht nur die Haupttonart bei dem Anfange des Satzes so lange unabgeändert hören lassen, bis sie dem Gefühle genugsam eingeprägt worden ist; sondern sie muß auch, wenn man sie nicht gänzlich aus der Vorstellung verliehren soll, jederzeit wieder zum Vorschein kommen, nachdem der Satz in eine Nebentonart geführt und in derselben geschlossen worden ist, damit dem Ohr immer wieder die Haupttonart merkbar wird, bevor man aufs neue in eine andere Nebentonart ausweicht" (II, § 13, pp. 170–71). Johann Philipp Kirnberger had voiced a similar concern in the following passage from *Die Kunst des reinen Satzes* (1771; Berlin and Königsberg ed., 1776–79, reprinted Hildesheim, 1968, part 1, 107; trans. David Beach and

Continuity is complemented in these descriptions by the insignificant status of the "second theme."[20] For Koch and Galeazzi, the opening idea (Koch's "theme," III, § 101, p. 306; Baker, p. 199; Galeazzi's "Motive") is the only necessary theme. And although Koch asserted that the exposition presents "the main melodic phrases in their original order," he failed to single out any of them. Neither Koch's "more singing phrase"/"cantabile phrase" (III, § 101, 147, pp. 306, 385; Baker, pp. 199, 230) nor Galeazzi's "Characteristic Passage"/"Middle Passage" is deemed obligatory, while both the modulatory phrase of the transition and the closing cadence are mandatory.[21] Kollmann ignored the lyrical melody which begins the second subsection of his *Analyzed Symphony* (mm. 25–32), and that "second theme" does not return in the recapitulation.

The possibility of leaving Theme 1 open-ended, acknowledged by both Koch and Galeazzi, further underscores the fluidity of motion from tonic to dominant in eighteenth-century conceptions. According to Galeazzi, although "the Motive must infallibly begin with the notes constituting the key, that is, with its first, third, or fifth [degree], it may terminate with a cadence in either the principal key, or on its 5th or 4th."[22] While Koch prescribed an opening "I-phrase" ending on the tonic (III, § 129, p. 342; Baker, p. 213), like Galeazzi he recognized that "the first phrase, or the so-called theme, can also be a V-phrase [ending on a half cadence] in compositions of greater length" (III, § 143, p. 371; Baker, p. 224). Kollmann, in his generalized description of the exposition, failed even to mark off a passage establishing the tonic from the one "setting out from the key" (p. 5). And although Riepel declined comment on this issue, the opening themes of his examples frequently end with half cadences.[23]

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Jurgen Thym, New Haven, 1982, 125): "It is a general rule to proceed in such a way that the main key, in which the piece begins and ends, is never completely erased. One should digress to another key only after the ear is almost satiated with the main key, and these secondary keys should not erase the main key to the extent that it is completely forgotten. Thus one must always stay in its neighborhood, so to speak, and renew its feeling from time to time. Wherever this is neglected, it is difficult to preserve harmonic unity." This passage was brought to my attention by Janna K. Saslaw in her paper "The Concept of *Ausweichung* in Music Theory, ca. 1770–1830," read at the Annual Meeting of the American Musicological Society, Chicago, 1991. Riepel had also recommended that a composition never lose touch with the tonic: "You see, that the farmer or main key C also comes forward often in the middle [of a piece]; just as if it wanted to give new orders. In a work, it must never be let out of sight or hearing." ("Du siehst, daß der Meyer oder Hauptton C auch der Mitte wieder oft vorkömmt; gleichsam als wollte er immer neue Befehle oder Berichte ertheilen. Mit einem Wort, er muß weder aus den Augen noch aus den Ohren gelassen werden." *Grundregeln*, p. 67.

[20] Ratner, *Classic Music*, 218–20, and others have observed this characteristic of eighteenth-century descriptions.

[21] Churgin, "Galeazzi's Description of Sonata Form," 193–94.

[22] Churgin, "Galeazzi's Description of Sonata Form," 191.

[23] See, for example, *Grundregeln*, 72.

Whereas present-day models of the exposition focus on long-range contrast among functionally differentiated sections, late eighteenth-century discussions tend to stress local contrast between adjacent themes, many of which share the same motives. That is, they embrace the principal of "unity in diversity," a fundamental axiom of late-eighteenth aesthetics that Jane Stevens has identified in the writings of Vogler, Sulzer, and others.[24] As Stevens notes, Vogler sought diversity even at the start of a work: his famous prescription for "two main themes" in the exposition may well refer to contrasting ideas within the present-day first theme group or even within the first theme itself.[25] Galeazzi's specification of a "Second Motive" to follow the first theme seems to reflect a similar concern, as does Kollmann's attention to contrasting first and second subjects within the initial eight measures of his *Analyzed Symphony* (p. 5).

Several writers regarded motivic conformance as a primary source of structural coherence, noting that the main theme returns during the exposition and generates later themes. According to Galeazzi, "The Motive [first theme] is nothing but the principal idea of the melody, the subject, the theme, one might say, of the musical discourse, and the whole composition must revolve upon it." The "Second Motive," "Cadential Period," and "Coda" are frequently derived from it.[26] Vogler pointed out that the first of the "two main themes" that begin a symphony "gives the material for thematic development," and his examples demonstrate that this process begins within the exposition.[27] Stevens has noted that Gerber praised Haydn, Beethoven, and even Mozart for "writing symphonies on a single principal theme"; that is, they "were able to write two or more pages often out of a single phrase of from two to four measures."[28] While Kollmann's description of a "long movement" avoids thematic issues entirely, and his discussion of his *Analyzed Symphony* notes only that the first subsection consists of two subjects, both repeated, his choice of example demonstrates the importance of long-range conformance enlivened by local contrast. His two subjects match exactly Vogler's and Galeazzi's descriptions of contrasting

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[24] Stevens, "Vogler and the 'Second Theme'." Koch's comments regarding modulation derive in part from this principle. See II, § 13, pp. 170–71, quoted above, pp. 427–28.

[25] Stevens, "Vogler and the 'Second Theme'," 280–97, 304.

[26] Churgin, "Galeazzi's Description of Sonata Form," 191–93.

[27] Stevens, "Vogler and the 'Second Theme'," 280 and 283.

[28] Stevens, "Vogler and the 'Second Theme'," 300. Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA, 1991), 111, has also stressed that the eighteenth-century conception of sonata form "confers primacy to the unfolding and elaboration of a work's thematic ideas, beginning with and to a large extent deriving from, the *Hauptsatz*." For discussion of the limitations of Bonds's approach see Peter A. Hoyt's review in the *Journal of Music Theory* XXXVIII (1994), 123–43.

opening themes. The first is an emphatic tonic unison (mm. 1–5), the second more lyrical (mm. 5–8). And the first nourishes later melodies: following its repetition in mm. 9–13, its motives serve four other themes (mm. 25–32, 33–40, 49–56, which returns in mm. 65–73, and mm. 73–79), appearing in 58 measures of an 80-measure exposition.

As a rule, eighteenth-century descriptions do not distinguish groups of themes by associating harmonic functions with dynamics, rhythmic activity, texture, and local phrase structure. As noted above, Kollmann scarcely mentioned themes and failed to distinguish their different roles. Galeazzi detailed the harmonic nature of the "Principal Motive" and its function as a source for later ideas. Yet concerning its other aspects he suggested merely that it be "well rounded and lucid" ("ben rilevato e sensibile") yet "mediocre" ("mediocre") in effect so that the composition will become more interesting as it proceeds. His advice regarding other themes emphasizes local contrast, not long-range function: the "Characteristic Passage" is "gentle, expressive, and tender" in character; and "*if* the voice or instrument has shown its gentleness [and] expression in the Characteristic Passage [my emphasis]," the "Cadential Period" "shall display animation and skill, with agility of voice or hand" and include "in instrumental music the most difficult passages."[29] Since the "Characteristic Passage" is optional, so too is Galeazzi's stipulation regarding the "Cadential Period." Stevens has noted that Vogler's discussions of works by Von Kerpen, Bixis, and Vogler himself cite contrasts between themes because they contribute to diversity rather than functional clarity.[30]

Koch, too, said little about personalities of melodies aside from observing that the mood may change following modulation to the dominant:

> Very often no formal phrase-ending is written until the rushing and sonorous phrases are exchanged for a more singing phrase, usually to be played with less force. Thus many such periods are found in which a formal phrase-ending is not heard until there has been a modulation into the most closely related key [III, § 101, p. 306; Baker, p. 199].

> Often . . . a formal phrase-ending is not heard until the V-phrase in the key of the fifth presents itself. This is seldom passed over, particularly because it is usually followed by a cantabile phrase [III, § 147, p. 385; Baker, p. 230].

[29] Churgin, "Galeazzi's Description of Sonata Form," 193–94.
[30] Stevens, "Vogler and the 'Second Theme'," 283.

Although Koch recognized coinciding harmonic and thematic events, he cited this relationship less for its own importance than to emphasize that disruptive cadences are avoided in symphonic allegros.[31] In contrast to modern descriptions, which view melody (the second theme) as articulating harmony (the beginning of the dominant group), a harmonic, rhythmic, metrical, and textural event (the formal cadence and the end of "rushing phrases") articulates the melodic event (the start of the "more singing phrase"). Furthermore, in Koch's formulation the specific harmonic event seems incidental. His examples put the "singing phrase" after either the half cadence in the tonic (end of the second main punctuation section, as in Baker, Example 362, p. 164, beginning m. 11; III, § 72, p. 228) or the half cadence in the dominant (third main punctuation section, as in Baker, Example 382, p. 222, beginning m. 22; III, § 141, p. 365). And in some cases the gentle theme serves as an antidote for repetitive phrase endings within a key, rather than announcing a new key.

> With the use of V-phrases, however, it happens more often [than with I-phrases] that when two of them are composed successively in the same key, our feeling is not shocked. They are used with good effect for the most part when the first V-phrase is somewhat rushing and extended or connected with more melodic sections, but the following V-phrase is cantabile [III, § 141, pp. 363–64; Baker, p. 221].[32]

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Riepel was similarly open-minded. If such a "contrasting *piano* phrase" were desired (at least in the 1750s) it need not accompany arrival on the dominant, but could appear practically anywhere: "At home I want real Allegros, and [want to] bring in only one *piano* anywhere, without repeating it; I [would place] it soon after the beginning, [or] in another *Allegro* in the middle, or the last thing before the cadence, or even after

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[31] According to Koch, the structure of periods of the symphony differs from that of the sonata and the concerto in that "melodic sections usually are more attached to each other and flow more forcefully than in the periods of other pieces, that is, they are linked so that their phrase-endings are less perceptible" (III, § 101, p. 306; Baker, p. 199). Later he commented that "the avoidance of most remaining formal phrase-endings is no less than a standard by which the worth of the entire movement can be measured; this much is certain: the first allegro of a symphony in which the I- and V-phrase endings are presented as formally as in an andante or allegretto can never have that effect which we expect from it" (III, § 147, p. 385; Baker, p. 230).

[32] Example 392 (III, § 147, pp. 386–93; Baker, pp. 230–33) is perhaps a better illustration of this approach than the passage chosen by Koch, since both its "rushing" V-phrase (mm. 25–35) and "cantabile" V-phrase (mm. 36–43) are clearly in the dominant.

the cadence, and then [bring in] the cadence once more, either short-ened or extended."[33]

This preoccupation with local contrast and long-range continuity in the exposition reflects even more fundamental attitudes, for example, Galeazzi's and Koch's conceptions of whole movements as single melodies. Galeazzi introduced his discussion of sonata form by arguing that "every well conducted *melody* is divided into two parts [my empha-sis]," the first of which comprises the slow introduction and the exposi-tion.[34] Koch's discussion of "The Use Of Melodic Means of Extension" (III, § 46–72, opp. 153–230; Baker, pp. 129–63) assumes that long move-ments are literally expanded melodies; it ends by inflating an eight-measure tune into a thirty-two-measure exposition-like structure.[35] Koll-mann's rhetorically-based conception of the exposition's second subsec-tion—the dominant group—as an elaboration of the first subsection—the tonic group—(one of a series of elaborations which extends into the development section and recapitulation), also emphasizes confor-mance and continued process instead of conflict (p. 5).[36]

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To the extent that theoretical discussions reflect contemporary perceptions of form, they suggest that present-day notions of tonal polarization, functionally distinct subsections, and prioritized themes in the sonata exposition are likely anachronistic dis-tortions. We can avoid such problematic concepts by treating the expo-sition before 1800 as a process diverging from the tonic and converging on the dominant, in which references to the tonic become progressively weaker and less proximate while references to the dominant become stronger and more proximate. Figure 1 illustrates the contrast between the textbook model of a polarized exposition and this processive model. In an ideal polarized exposition (Figure 1A), polarization is maximized by a sudden shift between entirely stable tonic and dominant sections (indicated by the areas labeled I and V). However, an ideal processive exposition (Figure 1B) changes emphasis of I and V gradually.

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[33] Riepel, *Grundregeln*, p. 86; translation after Stevens, "Vogler and the 'Second Theme'," 303. Riepel's discussion of the "piano theme" in fact centers on its varied place-ment.

[34] Churgin, "Galeazzi's Description of Sonata Form," 190.

[35] Leonard G. Ratner, "Eighteenth-century Theories of Musical Period Structure," *Musical Quarterly* XLII (1956), 439–54, especially 447–52; Elaine R. Sisman, "Small and Expanded Forms: Koch's Model and Haydn's Music," *Musical Quarterly* LXVIII (1982), 444–75, especially 452–59. Sisman has noted that Riepel propounded a similar tech-nique; he progressively elongated a modest binary movement from 24 measures (*Grund-regeln*, 64, top) to 51 measures (69, bottom) to 80 measures (72–74).

[36] Ratner's summary of the Classic exposition also emphasizes continuity. In his view it "carries the harmony forward in an *unbroken* line of action from the opening in I to the close in V." See *Classic Music*, 222–24.

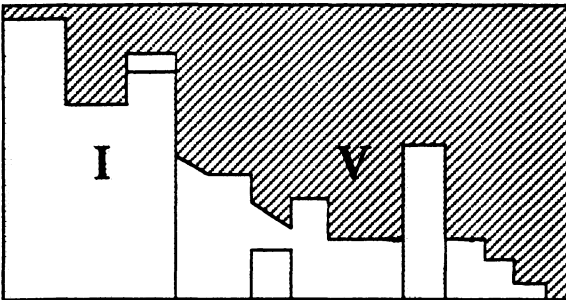FIGURE 1. Polarized and Processive Models of Tonality in the Sonata Exposition.

A. Idealized Polarized Model of the Exposition.
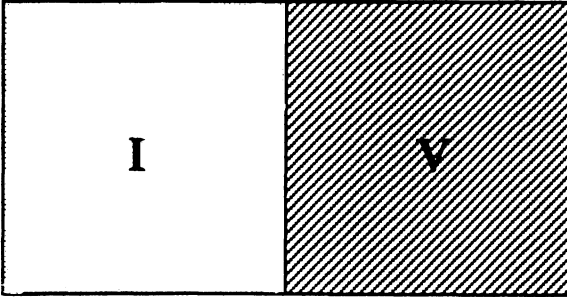
B. Idealized Processive Model of the Exposition.

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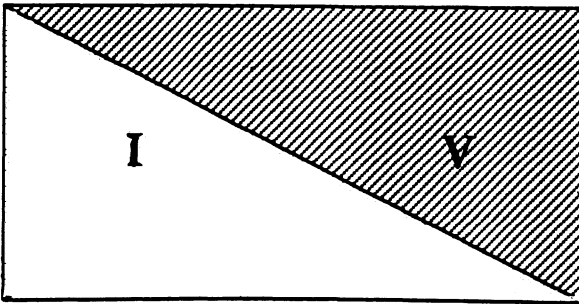
C. Example of the Processive Model of the Exposition in Practice.

In practice this process tends to proceed in a series of phases, each of which emphasizes the tonic or dominant in a specific way (Figure 1C).[37] Some may advance the process more decisively than others; some will stress chords or keys other than I and V (indicated by the non-shaded areas in the diagram); and some may regress, revitalizing the original key. Structural devices involving pitch (including but not limited to modulation), rhythm, meter, texture, and dynamics, contribute to shifting tonal emphasis.[38] Most important are: (1) the arrangement of cadences, especially their strength of closure and pacing; (2) the clarity of tonal focus, including the metric stress and relative weight of tonic versus dominant chords; and (3) signs of motion, stability, or closure given by such other elements as rhythmic activity, dynamic level, texture, and phrase structure. Although an important watershed occurs when full or half cadences in the tonic and half cadences in the dominant are supplanted by full cadences in the dominant, this event constitutes one step in an ongoing process rather than a decisive boundary between polarized tonic and dominant domains.[39]

In many examples, motivic and thematic design reflect this tonal process, but not through the specialized functions suggested by textbook models. Consecutive phases of the harmonic process are presented using different musical ideas, separated by contrast or closure. I have termed them "thematic segments" to avoid unnecessary distinctions between presumed "themes" and "non-themes." Harmonic transition may be reflected in thematic transition that involves varying the opening thematic segment, developing its motives, presenting them in new tonal, textural, or thematic contexts, and introducing new melodies which may or may not have roots in it.

This "processive" model of the exposition diverges from textbook treatments in ways that align it more closely with eighteenth-century descriptions of large-scale form. It regards modulation not as a means of creating polarity and conflict but rather as a way of providing direction.

[37] Douglass M. Green has argued that Classic expositions typically proceed through three phases of modulation, although he maintains a traditional distinction between the transition section and the tonic and dominant groups. See *Form in Tonal Music: An Introduction to Analysis*, 2nd ed. (New York, 1979), 188–95.

[38] Expositions lacking true modulations have been widely documented. See for example, Winter, "Bifocal Close"; Wolf, "Sonata Form," 764.

[39] Roger Graybill has also used the term "watershed" to describe a shift of tonal orientation occurring in the exposition, but in a different context and with different connotations. See "Brahms' Integration of Traditional and Progressive Tendencies: A Look at Three Sonata Expositions," *Journal of Musicological Research* VIII (1988), 141–68. The approach suggested here contrasts with Webster's characterization of the change of key as an emphatic event: "The modulation out of the tonic occurs in dramatic fashion, and the establishment of the new key is an event of aesthetic as well as tonal significance." "Sonata Form," 497.

Thus it views the Classic exposition in relation to its origins in Baroque binary form instead of its outcomes in theme- and conflict-oriented Romantic expositions. At the same time it permits us to distinguish Classic practice, which involves frequently segmented process, from Baroque practice, which involves more continuous process. In line with eighteenth-century comments, it assesses relationships between the opening theme and later ideas, that is, variations of that theme, new melodies based on its motives, and contrasting ideas. Yet it grants no special priority to specific melodic segments, instead giving each event appropriate attention. Consequently it avoids forcing the exposition into a schematic series of extended subsections and provides a rationale for the many short melodies that textbook analyses tend to subsume under more inclusive headings. Finally, it suggests that the smoothness or abruptness with which the process of convergence and divergence takes place, the relative emphasis of these two components, the extent to which they overlap, the importance of specific harmonic, melodic and textural devices, and the nature of motivic development and its relationship to tonal process can vary among historical periods and among composers, genres, and individual works, constituting important aspects of style.[40]

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The first movement of Mozart's "Haffner" Symphony (K. 385, D major) provides an exemplary subject for this approach. While its exposition seems idiosyncratic compared to the textbook model, it typifies Mozart's way of unfolding tonal process through abundant melodic ideas (see Example 1 and Table 1). It comprises eighteen thematic segments connected through a network of motivic relationships stemming from the opening segment A. Figure 2A shows that three segments (A1, A2, and A3) vary that theme, retaining much of the shape of the original melody. Two additional variations (H/A4 and I/A5) are more distinct (indicated by their designations). Although the remaining segments (B–G and J–O) are independent melodies, they also have either direct or indirect links to A. (These relationships will be discussed later.)

This sequence conforms to the historical models of the sonata exposition discussed above. Segment A resembles in its generative role Vogler's "strong main theme," Koch's "Theme," and Galeazzi's "Motive." And its rhythmic octaves match both the "Main Theme" of the Peter Winter Symphony in D described by Vogler and the first "subject" of Kollmann's Analyzed Symphony.[41] The more lyrical segment B

[40] Wolf, "Sonata Form," 764, has also advocated treating the exposition as "a highly flexible interaction of tonality, thematic material, and large-scale rhythmic motion."

[41] Vogler's discussion is translated and analyzed in Stevens, "Vogler and the 'Second Theme'," 296–97.

EXAMPLE 1. Mozart, Symphony No. 35 in D, K. 385 ("Haffner"), Movement I, Exposition: Thematic Segments.

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EXAMPLE 1. (*continued*)

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EXAMPLE 1. *(continued)*

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TABLE 1

Mozart, Symphony No. 35 in D, K. 385 ("Haffner"),
Movement I, Exposition: Summary of Motivic Relationships
Among Thematic Segments

Measure Numbers	A and its Variations	Segments Derived Directly From A*	Segments Derived Indirectly From A
1–5	Ax, y, z		
6–13		B (x, y, z)	
13–19	A1		
19–23		C (x)	
24–27		D (z and C)	
27–28			E (C)
29–33		F (x)	
33–35			G (B)
35–41	A2		
41–48	A3		
48–58	H/A4	H/A4	
59–66	I/A5	I/A5	
67–74		J (x and z)	
75–79			K (J)
80–84		L (x and z)	
84–88			M (A3 and F)
88–92		N (x)	
92–94			O (M)

*Source motives or thematic segments are given in parentheses.

corresponds to Vogler's "second main theme" or "gentle" one, to the
placid second "subject" of Kollmann's Analyzed Symphony, and perhaps
to Koch's "another main phrase." The series A1 through G moves away
from I as does Galeazzi's "Second Motive," reaches a half-cadence in the
tonic as does the second phase in Koch's description of the period
structure in large pieces, and resembles the conclusion of the first sub-
section in Kollmann's Analyzed Symphony, which "extends" the repetition
of its subjects to "end with the chord of the Dominant" (p. 5).

A2 and A3 provide the clinching modulation to the dominant
through its dominant, corresponding to Galeazzi's "Departure from
the Key" through the "First Modulation" and to the beginnings of
Kollmann's "second subsection" and Koch's "second section," which
progress further toward the dominant. The subdued segment H/A4
parallels Galeazzi's "characteristic passage"/"middle passage," Koch's

FIGURE 2A. Mozart, Symphony No. 35 in D, K. 385 ("Haffner"), Movement I, Exposition: Variations of the Opening Theme.

"cantabile phrase"/"more singing phrase," and the "new idea in the dominant derived from the main theme" mentioned by Vogler in discussing his own overture.[42] I/A5, which provides the first conclusive cadence in the dominant, is Koch's "cadential/closing" phrase and Galeazzi's "cadential period." Segments J–O cadence repeatedly in the dominant, matching the "Coda" of Galeazzi's description and Koch's "clarifying period"/"appendix."

The series of thematic segments articulates phases of a tonal process that spans the entire exposition. The opening melody A forecasts motion to the dominant and implies a sequential continuation that might normally be attributed to transitions by descending through the upper tetrachord of D major from scale degree 8 to 5 and ending with a half cadence. It dissolves the tonic while defining it and signals departure even before the opening key is confirmed. Since the next segment B is more stable, closing in the tonic, A and B may be regarded as complementary phrases of an inclusive opening melody. However, these phrases cohere weakly, because B sharply contrasts with A in mood and texture, and because B has a self-contained sentence structure. Consequently, we may also interpret B as a temporary deflection of

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[42] The exposition of this work, the overture to *Der Kaufmann von Smyrna*, is reprinted and Vogler's description of it discussed in Stevens, "Vogler and the 'Second Theme'," 289–96.

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FIGURE 2A. (continued)

the tonal process begun by A, which punctuates the tonic without completing that process.

In the passage equivalent to the present-day "transition," each segment from A1 through H/A4 strikes a different balance between tonic and dominant, increasing emphasis of the latter step by step. It gradually shifts the tonal focus of segment A and its variations, reorients the metric emphasis of tonic and dominant chords, and affirms D major more weakly and A major more strongly. A1 partly realizes the downward implication of the original melody, making evident the transitional impulse by continuing the descent to scale degree 3 in the initial canonic voice. A1 also closes more weakly than B, ending with a plagal cadence on an inverted tonic chord with scale degree 5 in the soprano. Thus it reasserts and strengthens the process of divergence begun in segment A. Although the pedal-tone D that extends throughout A1 reinforces the tonic, it creates tension through stasis and dissonance with the overlying voices. Finally, the change from the unison texture in A to polyphony in A1 further signals departure from the home key.

Segment C heralds the process of shifting metric emphasis from I to V by presenting those chords in alternation. Although D major and A major retain their tonic and dominant functions, the juxtaposition prepares a later realignment, while increased rhythmic activity enhances motion. Segment D begins the modulation proper by introducing the dominant of the dominant. Yet it does so tentatively, inverting that chord against a tonic pedal and avoiding metric emphasis of the dominant chord itself. Segment E provides this emphasis by extending V/V to put V on the downbeat in m. 29. However, the potential full cadence is undercut by the continuing tonic pedal (mm. 27–28), creating conflicting bass motion from scale degree 1 to 5 in D major (mm. 28–29). The music balances uncertainly between tonic and dominant, between half cadence and full. Segment F reasserts the tonic, oscillating between I and V chords in D major as segment C had previously. Yet unlike C, segment F accents the dominant (at two-measure intervals). By arpeggiating A major, segment G punctuates the half cadence prefigured by segment E, continuing the process of weakening tonic closure. The ensuing measures deflect this process as segment B had previously: A2 relaxes into the tonic and cadences in that key. Nonetheless, A2 continues to reorient the main theme by starting in the dominant, incorporating a pedal A throughout, and neither beginning nor ending its melody on the tonic pitch. A3 completes this reorientation by modulating and closing on the dominant of the dominant.

Segment H/A4, which might stand in uncomfortably for the "second theme," marks a watershed in the tonal process by initiating

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authentic cadences in the new key. Yet despite the relative stability of the remainder of the exposition, the process of rebalancing I and V continues. H/A4 transposes the alternation between tonic- and dominant-function chords (heard previously in segments C and F) to A major, juxtaposing V and V/V; it incorporates a dominant pedal in that key; and it cadences there after 10 measures (with scale degree 3 in the highest voice). I/A5 gives a more conclusive cadence in which the soprano ends on the new tonic pitch. Moreover, it treats D as the subdominant of A, crystallizing the new relationship between those keys. This relationship is emphasized by segment J, which moves to A minor, which cannot function as a dominant. Segment K delays and emphasizes the authentic cadences first implied and then completed by L. Segments M and N proceed directly to full closes, fully integrating D major as the subdominant within cadential progressions. The final segment O makes no reference to D major.

This last series of thematic segments in the dominant further contributes to the process of convergence by providing an accelerating series of punctuations in A major. Segments H/A4, I/A5, and J establish a relatively broad periodic level by cadencing after ten, eight, and eight measures, respectively. K and L together maintain this level by implying a cadence after eight measures (at m. 82) which is completed two measures later. Acceleration begins with segment M, which closes after 5 measures. Segment N then cadences twice over an A pedal at two measure increments; O closes by returning to that pitch three times at one-measure and one-half-measure intervals.

The organization of motives in the "Haffner" exposition mirrors this tonal process in which familiar materials are gradually relinquished and new ones adopted. Five variations of segment A are distributed across the first half of that section (mm. 1–66; see Figure 2A). They extend and invert the background descent of that theme, progressively weaken its closure, shift its tonal orientation from tonic to dominant, and obscure by degrees motivic, textural, and structural similarities to the original melody. They are interspersed with more independent thematic segments that contain motives x, y, and z from A without sharing its melodic contours (see Figure 2B). As noted in Table 1, four segments are connected directly to segment A: segment B takes its initial rhythm and repeated notes from y, the semitone d–c♯ from x and its closing rhythm from z; C fills in the double octave delineated by x; D borrows its most distinctive rhythm and melodic contour from z (and its accompaniment scale from segment C); and F reduces the initial leap of x to a single octave, reverses its d–c♯ semitone, and compresses its rhythm (♪ ♩· ♫♫♩ instead of 𝅗𝅥 ♩♩··♫♩). Two others come from A indirectly, sharing motives with segments that are based on A:
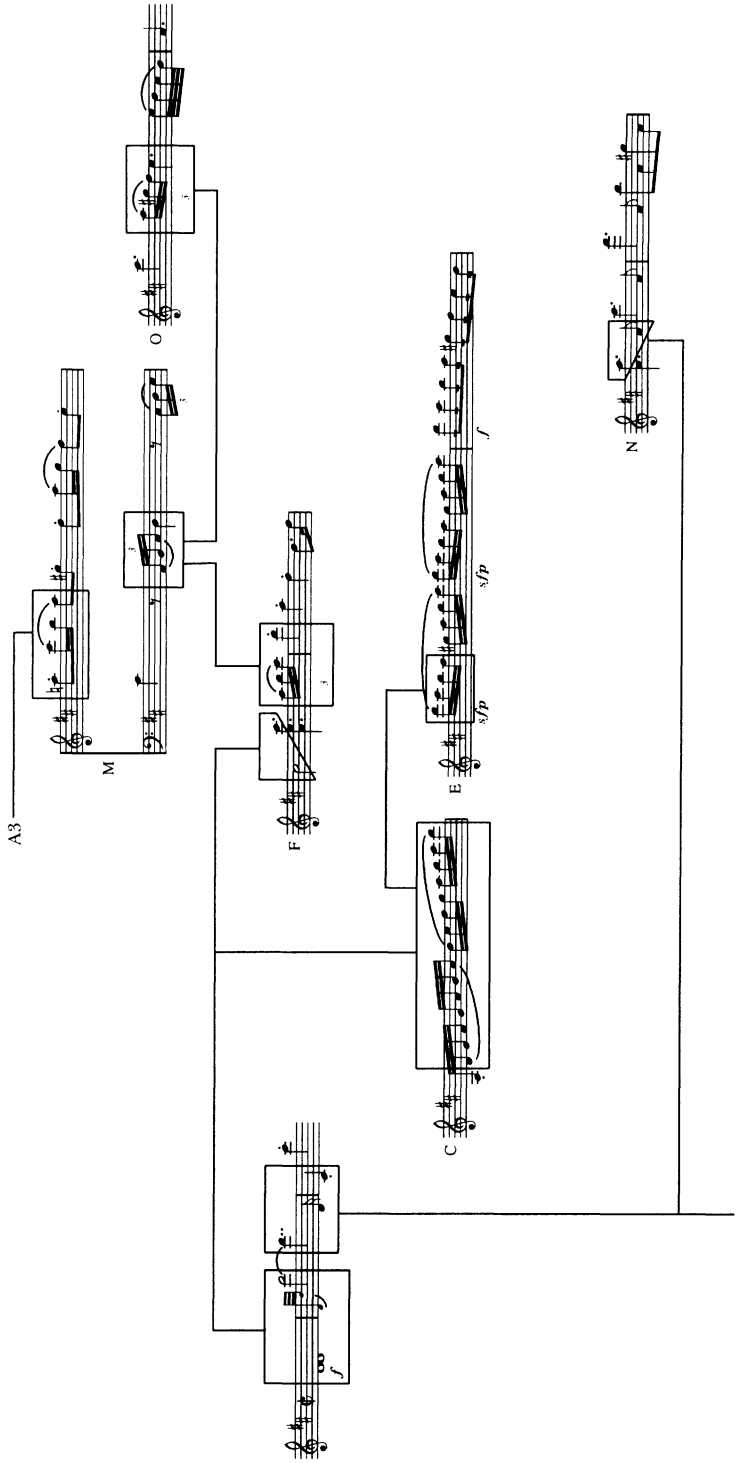
segment E echoes the sixteenth-note scales of C; G mimics the rhythm that ends B.[43]

At the beginning of the exposition, Mozart created foreground contrast partly by juxtaposing these three types of thematic segments. However, as versions of A become more distinct, particularly in segments H/A4 and I/A5, the process of varying A merges with that of generating independent segments from its motives, and two initially separate lines of thematic development converge. From this point variations of A no longer occur, and diversity depends upon alternating among dissimilar independent thematic segments derived directly (J, L, and N) or indirectly (K, M, and O) from A. In addition, new thematic segments—even those directly related to A—tend to show less obvious kinship to A as the exposition proceeds (see Fig. 2B). Compare, for example, segment B to segment J. Whereas B quotes obvious rhythmic or melodic elements of all three principal motives (x, y, and z) in its melody, J borrows more subtly: it compresses the descending octave and semitone of motive x into a sixth and semitone and adopts a different rhythm, while its sixteenth-note tremolo, consigned to the accompaniment, augments the trill of motive z. Similarly, L adopts only the compressed octave from motive x while further augmenting the tremolo from J; N also borrows only the octave. And as Table 1 demonstrates, an increasing number of segments are based on previous modifications of x, y, or z and stand farther removed from A: K incorporates the tremolo introduced in J; M uses a version of the triplet flourish introduced in F for its accompaniment (along with an undistinguished ending rhythm from A3); and O contains only the inverted flourish. In short, the motivic vocabulary becomes less familiar as the tonal process enters new territory. And rather than define an abrupt boundary between tonic and dominant regions, it reflects the fluid character of the transition by overlapping that turning point.

This analysis shows a process of divergence from the tonic and convergence on the dominant that spans the entire exposition of the first movement in the "Haffner" Symphony. Modulation *per se* plays only one part in this process, which also depends upon the arrangement of cadences, their pacing, tonal clarity, and various other signs of motion, stability, and closure. Although the music reaches a tonal watershed when the series of full cadences in V begins, it represents a reinforcement of that process rather than its discontinuation. And while the emphasis of different tonal functions shifts across the exposition, those

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[43] Jan LaRue, "Multistage Variance: Haydn's Legacy to Beethoven," *Journal of Musicology* I (1982), 265–74, has noted many of these relationships (see 271–72). The indirect derivations that I have noted differ from LaRue's second generation variants, which are variations of variations of the same motive.

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FIGURE 2B. Mozart, Symphony No. 35 in D, K. 385 ("Haffner"), Movement I, Exposition: Some Motivic Relationships Among Thematic Segments.

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functions are not segregated into discrete sections. Many small tonal events are marked by contrasts between successive thematic segments. And motivic development mirrors tonal process by making ideas from the main theme less familiar as the music moves from tonic to dominant.

            When all is said and done, one might argue that Mozart's single-minded adherence to motives from the opening theme in the "Haffner" Symphony bespeaks a similarly idiosyncratic treatment of harmonic design. And Robert Batt's study of transitions in Mozart's sonata forms suggests that two of the principal characteristics identified above—the apportionment of tonal motion across the entire exposition and the articulation of phases of motion with different melodies—are atypical in Mozart's *oeuvre*.[44] Batt's discussion indicates that such characteristics would occur in only three rare "categories of transitional procedure," in which: 1) the main theme functions as the transition; 2) "transition and subordinate theme functions" combine (the category to which he assigns the "Haffner" Symphony); and 3) the modulatory function is shared by a series of small sections. They would not appear in "the majority of movements [which] have one distinct transition small section, varying from about eight to twenty-five bars in length."[45] He cites the Piano Sonata in B-flat, K. 333, as an example of this common type and divides the exposition of its first movement in a traditional manner into a "main theme" (mm. 1–10) and "transition" (mm. 10–22), apparently followed by a subordinate theme and closing section.[46] Although the transition "begins as both a main theme variant and in the tonic key," Batt distinguishes it from the main theme because it shows a "gradual change" from "motivic segments" (which he defines as "comprised of two 1-bar motives," each forming "a highly differentiated rhythmic pattern" and having "long range significance and a pervasive melodic influence") to "grouplets" (which have less distinctive rhythms and which are "only . . . local event[s] and need not even be repeated").[47] Presumably two other aspects of the "looser construction of transitions"—modulation and non-uniform periodic structure—figure

<div style="margin-left:2em">452</div>

    [44] Robert Batt, "Function and Structure of Transitions in Sonata-Form Music of Mozart," *Canadian University Music Review* IX (1988), 157–201, see 168–69.
    [45] "Structure of Transitions," 168.
    [46] "Structure of Transitions," 173–75; Batt follows LaRue in advocating a version of the P-T-S-K model, p. 164: "Most *expositions* . . . can be successfully analyzed in terms of the standard four-small-section model: main theme - transition - subordinate theme - closing section (MT-TR-ST-CS), where the main theme and the subordinate theme are primary small sections and the transition and closing section are subsidiary small sections."
    [47] "Structure of Transitions," 173–75; see 160 for Batt's definition of "motivic segment" and "grouplet."

in this distinction, although Batt's discussion of this work gives them less attention.[48]

Although the exposition of the B-flat Sonata lends itself to a traditional analysis, many of its features are better illuminated within a continuous tonal process. Each of its sixteen thematic segments, based directly or indirectly on the first, plays a distinct role in rebalancing tonic and dominant. In my terms, Batt's "first theme" consists of two thematic segments—A and A1 (mm. 1–4 and 5–10)—the second elaborating the motive that begins the first, a descent from scale degree 6 (treated as an appoggiatura) to 1. Although these melodies serve primarily to establish and confirm the tonic, both contain unstable elements. Segment A consists of an additive, rhythmically open-ended series of one-measure motives, its cadence is metrically weak and melodically inconclusive, and the *gruppetti* heard at its start and in m. 2 hint at later passagework. A1 ends more emphatically, yet shows even stronger signs of forward motion. Like segment A it involves an additive series of motives (three two-measure units). It begins the process of departure by alternating tonic- and dominant-function chords and by introducing the leading tone of the dominant (m. 6). M. 5 makes the opening motive more restless by exaggerating its syncopation. And in mm. 6 and 8, it elongates the prior sixteenth-note flourishes into quasi-transitional scales. Thus two "transitional" features appear prior to that section: A1 begins weakening the tonic by giving it a mildly unstable context; and it signals the shift from "motivic segments" to "grouplets" by giving increasing prominence to passagework, which in prospect has little apparent motivic significance and weakens the rhythmic closure of motives in mm. 5 and 7.

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As Batt recognizes, the "transition" varies previous melodies (A′, mm. 11–14, and A1′, mm. 15–18) and underscores continuity across the start of the movement. And while A′ increasingly stresses "transitional" music—it modulates to F, reinforcing the dominant inflections heard in A1, and gives passagework freer reign—it also displays one characteristic normally attributed to opening themes. Figuration (mm. 12–14) converts the additive (1+1+1+1) rhythm of segment A to a closed cumulative one (1+1+2) that emphasizes arrival on F.[49] Thus segment A′ shows tighter construction than either of the previous segments.[50] A1′ presses farther by transposing the principal motivic and

[48] "Structure of Transitions," 166–67.

[49] Eugene Narmour, *Beyond Schenkerism: The Need for Alternatives in Music Analysis* (Chicago, 1977), 148–52, discusses rhythmic closure and non-closure.

[50] Batt, "Structure of Transitions," 166, has suggested that the opposite should be true: "Transitions have a subsidiary function because their features are looser in construction than are those of themes. (This is particularly apparent in that transitions follow main themes, which have very closed constructions.)"

harmonic gestures of A1 to F major, incorporating a version of the 6–1 descent, the axial preparation of scale degree 1 through its supertonic and leading tone, and the alternation between tonic- and dominant-function chords (mm. 15–16). Moreover, it reinforces the instability of its model by ending on a half cadence and by compressing the juxtaposition both of tonic against dominant (now in F) and of passagework against rhythmically more distinctive motives. Segments B (mm. 18–20) and B′ (mm. 20–22), the first new derivative segments—their motives in mm. 19 and 21 come from the syncopated descent that ends A1 (m. 9)—extend these harmonic and textural processes by putting both V/V and sixteenth-note figuration on the downbeat.

Although Batt's analysis stops at this point, tonal motion and motivic development continue throughout the remainder of the exposition: the tonal watershed marked by the "second theme" is treated as a point of emphasis within an ongoing process. Although segment C (mm. 23–30) could be designated a "second theme," it continues the tonal dialectic, prominently reinterpreting the original tonic chord in its new context (m. 24) and providing a landmark for measuring the accelerative pacing of full cadences in the dominant. Like the opening segments A and A1 it has unstable features: the disjunct contour of mm. 24–25, the dissonant leaps in the later measure, the sequences in mm. 27–29, and the concluding half cadence (mm. 29–30). It takes several of its motives from segments A (the initial 6-1 scale of m. 23) and A1 (the rhythm of m. 25 and the rhythm and contour of m. 29). And the sixteenth-notes (m. 30) that connect this segment with its variation C′ (mm. 31–38) relate to prior passagework, foreshadowing the extended figuration to be heard later. Although C′ provides the first solid cadence in F major, its role as a consequent phrase to the antecedent segment C is obscured in prospect by the runs in mm. 35–36, which elaborate upon the inflection to scale degree 6 heard earlier (m. 27) and promise additional transitional material.

The remaining thematic segments (D–G′) converge on the dominant through an accelerating series of cadences (from the previous rate of sixteen measures established by C and C′ down to two measures) while giving B-flat a more emphatically subdominant orientation. Thematic and harmonic references reinforce continuity by simultaneously recalling earlier phases of transition and prefiguring aspects of the development section. Segment D (mm. 39–40, repeated in mm. 41–42) revives the I–V alternation in F major heard in segments B and B′—now balanced more solidly on the new tonic—clarifying that connection by varying earlier motives: mm. 39 and 19–20 both include the same descending diminished triad (B♭/G/E♮); mm. 39–40 and 18–19 make the

same scalar ascent (E♮ to B♭); and mm. 40 and 20 stress the semitone
B♮/C. Although tonal motion converges on F, inclusion of the sec-
ondary leading tone (B♮) as an appoggiatura (m. 40) suggests further
instability and recalls prior emphasis of its dominant (also in segments
B and B′). Supported by inverted chords and driven by additive rhythms
at the melodic surface and in the underlying harmonic motion, seg-
ment D fuses with E′ (mm. 43–46) and E′ (mm. 46–50). These new seg-
ments begin the acceleration of dominant cadences: E closes (m. 46)
eight measures after the previous cadence (m. 38), while E′ ends more
decisively five measures later. Like D, segments E and E′ have motivic
connections with earlier ideas. The opening seventh of E recalls the
melodic sevenths in C (m. 25). E also loosely inverts the descending
passagework heard in C and C′ (mm. 30, left hand, and 35–36, right
hand) for its cadential preparation. In mm. 47–48, E′ remodels the se-
quence first presented in segment C (mm. 27–28) and gives it greater
stability by leading directly into a full cadence (mm. 49–50). Segment F
(mm. 51–54), which echoes figuration heard in A1′ (m. 12) and rein-
forces the I–V alternation of segment C (m. 24), now with its dominant
orientation secured by an F pedal, cadences after only four measures.
F′ reinforces that cadence with a conventional closing trill. Segment
G (mm. 60–61), in which inflection to D-flat (m. 60) alludes to the
shift to F minor and further flat-side motion in the development sec-
tion, strengthens the F pedal heard for part of the previous segment
(mm. 50–51 and 54–55) and cadences (weakly) after two measures.
G′ (mm. 62–63) provides stronger closure, again after two measures, to
end the exposition. These last two segments combine to reverse the
melodic-tonal relationships presented in the movement's opening mo-
tive. G transposes the 6-1 scale to F major and inverts it: now it ascends
and treats B-flat as an unstable pitch (mm. 59–60). Conversely, the
pitches G–F, unstable in the original motive, secure melodic closure in
segment G′.

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    Motivic development parallels continuous tonal process as in the
"Haffner" Symphony: relationships between the opening thematic seg-
ment and later ones grow more distant. That is, the exposition pro-
gresses from variations of the opening segment (A through A1′, to new
segments derived from the opening ones (B and B′, C and C′, to sec-
ondary derivations (D, derived from B and B′, and E, derived from C
and C′, and ultimately to reversal of the movement's opening idea (G
and G′). As noted previously, distinct motives gradually give way to pas-
sagework. And whereas distinct motives and passagework initially alter-
nate *within* thematic segments (see segments A through C′ and to some
extent E and G), later they alternate *between* successive segments (D,

D′, and F, F′ stress passagework, while E, E′ and G′ do not). These shifts encompass the entire exposition and overlap the traditional division between tonic and dominant sections, paralleling harmonic continuity.

Characteristics identified in these non-traditional analyses—sustained motion in phases from tonic to dominant, articulation of harmonic process through local thematic contrast and long-range motivic development, and intermixture of structural functions among the four purportedly distinct sections of the exposition—appear throughout Mozart's career, although individual works may display varying treatments of these aspects of design. These variables involve the smoothness or abruptness of tonal motion, the relative emphasis of divergence versus convergence—the relative length of passages before and after the harmonic turning point and the prevalence of V before the turning point and the persistence of I afterward—and the numbers, lengths, and types of thematic segments and the nature of their motivic relationships. In particular, sophistication of tonal and thematic process tends to separate Mozart's late works from his early ones. The symphonies beginning with K. 297 ("Paris," after 1778) all incorporate elegantly graduated, thematically articulated motion from tonic to dominant. In contrast, Mozart's early expositions typically employ fewer thematic segments, lack separate melodies to articulate different stages of progression, show less tonal instability in their opening themes and "second themes," and present less decisive acceleration of dominant cadences.

Some miniature works compress the harmonic process so that the presence of gradual motion from tonic to dominant is obscured. Mozart's tiniest symphonic exposition, in the first movement of his Symphony in D major K. 97 (73mm., 1770) has only five different thematic segments: the main theme (segment A, mm. 1–9), a repetition of its closing phrase (A′, mm. 9–13), the modulation (B, mm. 13–20), gentle theme (C, mm. 20–26), and three concluding segments (D, mm. 26–30; D′, mm. 31–34; and E, mm. 34–37). In contrast to our previous examples, the opening theme is unquestionably stable. Furthermore, separate stages of motion toward the dominant—an initial weak arrival on V in m. 18, a very brief alternation between V and its dominant in mm. 18–19, and a half cadence in the dominant in m. 20—are not differentiated melodically: all occur within one thematic segment (B). Accelerating emphasis of V, though steady, is understated, the rate of closure increasing from six measures in segment C, to four and three measures in D and D′; segment E arrives on the new tonic chord (A major) four times at two-beat intervals, then repeats the pitch A in sixteenth notes. However, even within this compressed format, certain features of the opening theme and gentle theme foster continuity of process. Eighth-

note pulsation in the violas and cellos continues throughout both of these themes and the intervening music. Segment A anticipates segment B through the shift to sixteenth notes (mm. 5–12) and through melodic emphasis of the tonic triad, subsequently arpeggiated in segment B and continued to scale degree 8 in a stronger metric position (compare m. 16 to mm. 7 and 11). The gentle theme is connected to segment B in a different way: its sustained V/V pedal in effect prolongs the half cadence that ends B and delays unequivocal arrival in the dominant until the end, where the cadence is weakened by deflection of the melody to scale degree 3.

Few of Mozart's other early expositions are so concise. Two from 1773 strike a balance between modest dimensions and gradual motion by expanding only half of the tonal process, wither divergence or convergence. In the first movement of K. 199 (162a) in G major, the exposition minimizes departure from the tonic, reaching the dominant after only the opening theme, a repetition of its cadential phrase, and one other brief idea (mm. 1–19). However it ends with a sustained series of thematically articulated accelerating cadences, their rate increasing from 16 measures across the "second theme" (mm. 20–35) to 8 measures (cadences occurring in mm. 43 and 51), 4 measures (in m. 55), and 1 measure (in mm. 56 and 57), and finally repetition of the dominant chord on each beat (mm. 57–58).[51] Conversely, the symphony K. 181 (162b) in D major virtually eliminates the second half of the exposition: following the "second theme" (mm. 70–78) it closes with a single extended melody (mm. 78–86) that functions like Galeazzi's "Cadential Period." Yet its departure from the tonic is as gradual and complicated as that in the "Haffner" Symphony. The initial theme contributes to this process by driving to an emphatic half cadence after only four measures and continuing with a harmonically unstable passage that emphasizes the major and minor subdominant (mm. 5–14) and the tonic parallel minor (mm. 15–18) before ending with another tonic half cadence in m. 19. The passage leading to the "second theme" includes eight other segments (mm. 19–23, 23–31, 31–39, 39–45, 45–49, 49–57, 57–61,

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[51] Unstable aspects of the opening theme and gentle theme compensate partly for the short "transition section." The opening theme has an open-ended periodic structure both at the surface, where it comprises an additive series of two-measure sub-phrases, and at a deeper level punctuated by full cadences (mm. 10 and 14) where its rhythm is counter-cumulative (10+4). Its rhythmic agitation, typical in Mozart's early symphonies, prefigures the modulatory segment. And it incorporates the repetitive alternation of tonic- and dominant-function harmonies over a tonic pedal (mm. 2–6) heard frequently at the start of more obviously transitional passages. In this example, the antecedent-consequent phrase structure of the gentle theme, which provides half and full cadences in the new key, plays an essential role in advancing the modulation since the preceding music attains only a half cadence in the tonic. And the alternation of V and V/V that begins this melody (mm. 10–23) further suggests a continuation of transitional material.

and 61–69), reaches a full cadence in the tonic as late as m. 39, leaves that key no sooner than m. 45 (half cadence in the dominant), and modulates to V in several stages.

Though numerous in Mozart's early output, such compressed or imbalanced expositions cannot necessarily be regarded as developmental antecedents, since more extended treatments appear concurrently. A prime example, and the last to be examined at length, is the first movement of his Symphony in D, K. 133 (1772), in which the exposition (mm. 1–78) incorporates ten different thematic segments. Motion between the opening theme and gentle theme involves seven harmonic steps that gradually erode D major, five of them articulated by thematic shifts: A′ (mm. 10–14) repeats the closing phrase of the first theme A (mm. 1–10) but deflects it to a half cadence in the tonic; B (mm. 14–20) juxtaposes dominant and tonic chords; C incorporates two steps, first emphasizing the submediant pivot chord and moving weakly to V through its dominant in mm. 20–23, then alternating between V and V/V in mm. 23–30; D (mm. 30–34) moves to a half-cadence in V; E provides two final harmonic steps, first exaggerating preparation of V from the sharp side (mm. 34–38), then presenting a full cadential progression in the dominant (mm. 39–42). Like most "second themes," F (mm. 43–52) establishes a point of departure for the concluding acceleration of full cadences in the dominant, closing after 10 measures. Acceleration progresses tentatively at first—G (mm. 53–61) cadences after 9 measures and H (mm. 61–69) after 8—but increases with H′ (mm. 69–73) which repeats only the closing measures of H and reaches a cadence after 4 measures, I (mm. 73–75) and its repetition (mm. 75–77), which close twice after 2 measures, and J (mm. 77–78), which reiterates the new tonic pitch and chord after two beats and then one beat.

As elsewhere, Mozart did not completely segregate the four purportedly discrete functional sections of the textbook model. Even as the opening theme establishes the tonic (segment A, mm. 1–10), it suggests motion through rhythmic agitation typical of first themes in Mozart's early work. Its relentless eighth notes then continue from segment A′ through E and reappear after the gentle theme in Segment G. The expectant half cadence in m. 34 does not lead immediately to the "second theme"; instead it prepares another active transitional segment (E) that continues harmonic motion, ending with a full cadence in V. The gentle theme (segment F) neither establishes the dominant nor marks the beginning of the watershed that brings full cadences in that key. Though lyrical, stable, and relatively symmetrical, it partially sustains the rhythmic energy of the previous passage through its recurring Lombardic rhythms. Furthermore, Segment F is not uniquely "singable" in this exposition. Although Segment H lacks the symmetrical phrase

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structure of F, it is almost as long and has a similarly light and playful character.[52] By providing an alternative "second theme," Segment H reduces in retrospect the structural prominence of its predecessor.

Typically for Mozart, development of motives from the opening theme corresponds to tonal motion (see Figure 3A, which shows motives in Segment A that are developed later in the exposition, including motive y, which simplifies the rhythm of v, and Figure 3B, which traces motivic relationships among all thematic segments in the exposition). Prior to the start of full cadences in the dominant (mm. 1–42), this motivic process involves a gradual shift away from ideas based on the distinctive trill motive of the opening theme (v and v') toward ideas that resemble other, less prominent motives from that theme (w through y) or derive only indirectly from those motives (z and z'). That is, the most characteristic gesture of the opening theme is gradually neutralized as departure from the tonic occurs, although other relationships are maintained with that theme. A gradual reassertion of the trill motive begins in Segment E, which presents a dotted rhythm taken from it (see Figure 3B). The introduction of this rhythm in conjunction with the tonal watershed is appropriate because it diverges from the preceding series of motives, yet shares a common source with them, providing both contrast and continuity. The relationship between this dotted rhythm and the opening theme is clarified by Segment F (the "second theme"), which presents part of that rhythm (♪· ♪) in retrograde (♪ ♪·) and applies it to the turning contour of motive x. Segment G brings back a descending version of the trill motive itself (motive v'). This reappearance then initiates a second process of introducing more neutral ideas which proceeds to the end of the exposition. One might argue that establishing parallel motivic processes in I and V underscores the equivalent status of those keys and their potentially conflicting relationship. However, the motivic transition across the tonal watershed, the initiation of the second motivic process after that watershed, and Mozart's uniform reliance on motives from the opening theme all emphasize continuity and cohesion.[53]

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Along with opening new lines of style analysis, the model presented here provides a rationale for some typical features of

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[52] According to Wolf, "Sonata Form," 764, a "return to *forte* transitional material after the secondary theme, leading either to another secondary theme or to the closing area" is "common."

[53] Mozart's approach resembles at a much more rudimentary level the technique of motivic liquidation in Haydn's music, discussed by James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge, 1991), 82.

FIGURE 3A. Mozart, Symphony in D, K. 133, Movement I, Exposition: Motives in the Opening Theme.

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Classic expositions that erode tonal polarization and functional segregation but help to integrate the opening and gentle melodies into a process of departure and arrival in short phases. Several common treatments of the opening thematic segment tend to undermine stability, closure, and distinctiveness by connecting it to ensuing "transitional" segments. Mozart and Haydn sometimes ended the initial presentation of that segment (or a repetition of all or part of it) with a half cadence;[54] used that segment as the basis for others having more obviously transitional characteristics (such as unstable harmony, expanded orchestration, or increased rhythmic activity);[55] or recapitulated it (often in altered form) after an intervening, clearly transitional passage, that is, within the "transition."[56] By anticipating within the transition

[54] For example, the opening theme ends on a half cadence in the first movements of the following symphonies: Mozart, K. 181 (162b), mm. 1–4; K. 183, mm. 1–12; Haydn, No. 59, mm. 1–9; No. 73, mm. 26–34. Its repetition ends with a half cadence (or in one case a full cadence in V) in the first movements of the following symphonies: Mozart, K. 134, mm. 9–16 (full cadence in V); K. 201, mm. 13–23; Haydn, No. 19, mm. 9–14; No. 59, mm. 9–15.

[55] See, for example, the first movements of the following symphonies: Mozart, K. 43, mm. 14–22; K. 73 (75a), mm. 5–15; K. 96 (111b), mm. 9–14; K. 134, mm. 17–26; K. 181 (162b), mm. 5–19; K. 201, mm. 13–23; K. 385, discussed above; K. 425, mm. 30–42; K. 551, mm. 24–49; Haydn, No. 98, mm. 59–74; No. 101, mm. 33–80.

[56] See, for example, the first movements of the following symphonies: Mozart, K. 504, mm. 71–81; Haydn, No. 94, mm. 39–43; No. 96, mm. 31–39.

motives heard later in the second theme—a device noted by Douglass Green and occurring in each of my three main examples[57]—they blurred functional distinctions between "transitional" and "stable" ideas, reduced the contrast created by the second theme, and created a mutation of that theme that parallels the tonal modulation. Mozart's extended transitions can also be viewed as undermining polarization— which would be maximized by juxtaposing stable, closed tonic and dominant sections—since they create a buffer between those keys. Their inclusion of segments that remain in or return to the tonic while eroding it would seem especially counterproductive to polarization, since this approach weakens one of the two presumed poles. As I have already suggested, we can better account for these features by recognizing that Mozart extended *motion* between tonic and dominant end points instead of prolonging static tonic and dominant plateaus, by viewing frequent shifts of theme, motive, and affect in the exposition as articulating successive phases of a tonal process that proceeds in small increments, and by acknowledging that harmonic, melodic, rhythmic, metric, and textural devices other than modulation play equally important roles in expanding tonal motion.

A process-oriented perspective also helps to explain the habitual choice of the major dominant as the second key in major-key movements. If polarization had been desired, alternative key relationships that would create sharper separation between tonal poles were available to late-eighteenth-century composers. One might question, for example, the infrequent appearances of minor-key expositions in the late 1700s, since the mode shift from minor tonic to major mediant would make the clash of keys more audible.[58] Yet these tendencies seem logical if extended motion, rather than polarization, is the guiding principle. We have seen that prolonging departure from the tonic depends partly on the inherently ambiguous relationship between major keys separated by fifth, either of which can serve as a tonic with respect to the other, and on the tendency of the tonicized dominant to relapse into its prior function. The relationship between minor tonic and relative major is less elastic: the latter decisively preempts the former. Since departure cannot be sustained as readily, minor-key expositions tend to

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[57] Green, *Form in Tonal Music,* 188–95. Batt, "Structure of Transitions," 171, disputes this point without providing supporting evidence.

[58] The late-eighteenth-century aversion to minor mode need not have been a factor, since minor-key expositions tend to move to the relative major early on; the remaining movements could of course be set in major mode. Although mid-eighteenth-century overtures and symphonies frequently used "second themes" in the minor dominant, this practice was generally abandoned in the later eighteenth century. See LaRue, "Symphony," 441.

FIGURE 3B. Mozart, Symphony in D, K. 133, Movement I, Exposition: Some Motivic Relationships Among Thematic Segments.

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modulate relatively early and must depend for their length on pro-
tracted convergence on the mediant. Along with more general aesthetic
considerations, this characteristic may have contributed to the scarcity
of large works in minor mode during the Classic period. Similar factors
explain why the dominant key was chosen almost without exception
over the subdominant, the other key most closely related to the tonic
and the alternative mentioned by theorists for major-key movements.
Like the relative major, once IV is tonicized it less easily falls back to I.[59]

The approach proposed here also sheds light on several aspects of
the present-day "second theme": its length, lyricism, harmonic prepara-
tion, and motivic relationships with other thematic segments, particu-
larly the opening theme. We have seen that a long theme—or alterna-
tively a non-cadential thematic segment connected to a cadential one
(the "Characteristic Passage" connected to the "Cadential Phrase" in
Galeazzi's terms)—is desirable to provide a point of departure for the
closing acceleration of cadences in the dominant.[60] Extension through
a complicated, multi-tiered periodic structure is most easily accom-
plished in the Classic style with a lyrical melody. Moreover, this type of
music creates a contrasting point of departure to begin the series of ca-
dences. It typically follows a half or full cadence in the dominant, be-
cause those harmonic landmarks represent the furthest point of pro-
gression prior to the concluding series of full cadences. In other words,
unless tonal backtracking is desired to prolong the transition—a possi-
bility Mozart and Haydn occasionally exploited—the gentle theme takes
the next logical step toward convergence on the dominant.[61] Half ca-
dences prepare the gentle theme more often than full cadences be-
cause they delay arrival in the new key until the *conclusion* of that theme,
integrating it into the process of modulation by making it the end-
point.[62] Thus the disjunctive effect of the preparatory half cadence may

[59] Mozart and Haydn frequently emphasized the subdominant in transitions, but
not as the goal of modulation. Typically the first or second segment following the opening
theme (and its repetitions) alternates between I and IV instead of between I and V as a
way of stepping back to create a longer run toward the dominant. See, for example, the
first movements of Mozart, K. 297, mm. 23–26, and Haydn, No. 104, mm. 32–39.

[60] In Mozart's early works, extended lyrical themes of this sort are rare and tend to
appear in conjunction with a clear pattern of accelerating cadences. See, for example,
the first movements of K. 133 and K. 199 (162a), discussed above; K. 200 (173e), mm.
33–48; and K. 202, mm. 27–36, varied and extended in mm. 37–51.

[61] We have seen Mozart take this approach in the "Haffner" Symphony. Additional
examples occur in the following symphonies: Mozart, K. 551, mm. 24–37; Haydn, No. 72,
mm. 25–38; No. 75, mm. 38–41; No. 82, mm. 21–24; No. 92, mm. 41–45; and No. 94,
mm. 39–43.

[62] Half cadences in the tonic naturally magnify this effect. (Winter, "Bifocal Close,"
has established the importance of tonic half-cadences in Mozart's expositions.) In con-
trast, preparatory full cadences—for example the one in K. 133—are much rarer in this
repertory precisely because they usurp the role of the second theme in attaining the
dominant.

not have been its primary rationale, but rather a secondary outcome of the logical gradation of harmonic steps. In some cases a pedal point on the dominant of the dominant within the gentle theme further emphasizes instability. Consequently that melody typically provides not only an articulation but also an elision between the first half of the exposition, in which thematic segments destabilize the tonic or embrace the dominant without closing, and the second, which converges increasingly on the new key. And whereas motivic relationships between supposed tonic and dominant groups—both the subtle ones noted in the B-flat sonata and the Symphony K. 133 and the more obvious ones heard in the "Haffner" Symphony or in so-called "monothematic" expositions— would undercut any perceived conflict between those sections, they reinforce the sense of continuous process created by other aspects of design.

This line of argument suggests that although the current textbook model of the exposition provides a schema that seems suitably detailed and comprehensive, it summarizes ineffectively many aspects of late-eighteenth-century designs. And although it reflects the taste for logic and convention in the Classic style and the Age of Reason, it obscures equally important relationships between the sonata exposition and Enlightened individualism and pluralism by emphasizing conformity and ignoring the diversity of themes. The following sketch is offered as an initial step toward an alternative formulation. We might begin by emphasizing that tonal motion proceeds gradually, spans the entire exposition, and neither begins with the "transition" nor subsides at the start of the "second theme." Following an opening thematic segment, motivic exposition and development (often involving ideas from the opening thematic segment) normally define phases of the tonal process and parallel in various ways the continuing tonal motion from I to V. As we illustrate these generalizations with specific works, we might identify features of the opening segment that create continuity with ensuing music and begin the process of departure, explain specific ways in which it and later thematic segments shift emphasis from tonic to dominant, and trace motivic relationships between the opening segment and later ideas that parallel the tonal transition. While acknowledging that examples of "second themes" occur frequently, we could reassess their character and function in ways suggested above. The concept of polarization should probably be saved for appropriate nineteenth-century works—the Fifth Symphony of Beethoven comes to mind—and perhaps for exceptional eighteenth-century examples.[63]

[63] Mozart's "processive" approach seems to continue into the nineteenth century alongside the "polarized" approach and is heard, for example, in Beethoven's "Eroica" Symphony and Schumann's Symphony No. 3.

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Any broad-based applications will necessarily await further exploration of the repertory. Specifically we will need to trace in greater detail changes in Mozart's treatment of the exposition across his entire output, demonstrate the extent to which his approach was shared by Haydn and other contemporaries, follow its development before and after the Classic period, and examine its implications for our interpretation of the relationship of the exposition to the development section and recapitulation. For now I have attempted to show that a processive model of the exposition has substantial advantages over modern textbook descriptions: it avoids anachronistic notions of tonal polarity, functional segmentation, and prioritized themes and non-themes, adhering better to contemporaneous theoretical conceptions; it opens a new way of examining changing stylistic practices and distinguishing personalized treatments of the exposition; and it provides rationales for some notable features of Classic sonata movements that clash with traditional formulations. Most important, it better accommodates the flexibility of late-eighteenth-century procedures—heard in such apparently idiosyncratic works as the "Haffner" Symphony—by attending to ways in which a spectrum of musical elements sustain, articulate, and underscore a process of tonal divergence and convergence that plays a fundamental role in Classic sonata form.

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