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## Venerable Style, Form, and the Avant-Garde in Mozart's Minor Key Piano Sonatas K. 310 and K. 457: Topic and Structure

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Venerable Style, Form, and the Avant-Garde in Mozart's Minor Key Piano Sonatas  
K. 310 and K. 457: Topic and Structure.

A Thesis Presented

By

ANDREW MOYLAN

Submitted to the Graduate School of the  
University of Massachusetts Amherst in partial fulfillment  
of the requirements for the degree of

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## ABSTRACT

VENERABLE STYLE, FORM, AND THE AVANT-GARDE IN MOZART'S MINOR  
KEY PIANO SONATAS K.310 AND K.457: TOPIC AND STRUCTURE.

MAY 2014

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Although the topoi and elements of what has been described as the “Venerable Style” (V.S.) are found in many places in Mozart’s solo keyboard sonatas, the obsessive juxtaposition of these elements against brilliant, concerted, *Empfindsamer Stil*, and *Sturm und Drang* topoi can be shown to define the first and third movements of his minor key piano sonatas K.310 and K.457. This thesis will investigate using the theoretical tools developed by a range of Topic Theory authors such as Ratner (1980,) Allanbrook (1983,) Hatten (2004,) and Monelle (2000, 2006,) a newly developed analytical concept known as *topical expansion*, and the structural framework provided by Hepokoski and Darcy (2006) to prove that the venerable topoi are not purely referential gestures, but are also vital parts of the structural content of each of the sonatas and their respective single movements. In line with Caplin (2005)’s warning that the venerable and learned styles are some of the only historically developed and generally accepted topoi with formal (structural) ramifications, this thesis will argue that K.310 and K.457’s surface content is built largely upon the application, troping, and expansion of V.S. topoi in the key formal regions given in Hepokoski and Darcy (2006). As a result of comparative analysis, a further topical level of unity and compositional organization will be shown to be present

in the works justifying Kinderman (2006) and Irving (2010)'s conception of the works' stylistic affect as avant-garde and romantic in execution. Additionally, analysis of the works' strictly controlled topoi will show each work to be in opposition to Allanbrook's conception of Mozart's music as a "miniature theater of gestures," suggesting that their austere affect is programmed at the topical level in addition to their tonal and formal content (Allanbrook 1992, 130).

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# CHAPTER 1

## INTRODUCTION

### The Piano Sonatas K. 310 and K. 457

The sole minor key Piano Sonatas K. 310 and K. 457 by Wolfgang Amadeus Mozart almost always elicit the same adjectives: dark, potent, despairing, tragic, austere, fatalistic, and implacable.<sup>1</sup> The Piano Sonata in A Minor, K. 310, was composed in 1778 (probably in Paris) and first published in 1781, and the Piano Sonata in C Minor, K. 457, was composed in Vienna in 1784 and was published the following year. Their influence upon later composers, such as Beethoven and Schubert (see Rosen 1998, Kinderman 2006, and Irving 2010), is considered potent not just because of their dark affect, but also because of their tight-knit construction and treatment of musical language. They are understood as avant-garde and proto-romantic.<sup>2</sup>

Remarkably, however, theoretical explanations for these works' shared affect have never been explored in an extended manner. Most commentary is limited to general statements regarding their difference in conception to the major

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<sup>1</sup> As a small sample: Kinderman (2006, 45), Badura-Skoda (1962), Hatten (2004, 240), and (Irving 2010, 8).

<sup>2</sup> For example, K. 310 is described as “iconic” in status, and as “The opening up of a new world” (Badura-Skoda, 1962), and as inhabiting a “special position in Mozart’s output” (Kinderman 2006, 44). K. 457 is described similarly by Badura-Skoda as written in a “new language” and as “The beginning of an epoch.” K. 457 is also described by Irving as obtaining its own “...special status as a cultural object, which caught the attention of Beethoven,” and as “prefiguring the serious sonatas of Beethoven” (Irving 2010, 99).

key piano sonatas, or reference to especially pungent short passages amongst their many measures to explicate tangentially related theoretical concepts.<sup>3</sup>

What then created the impression amongst performers, aesthetic commentators, and composers that the works are related to each other, yet different from Mozart's other piano sonatas, other than the fact that they are composed in minor keys? As Mozart is responsible for much of our conception of the high Viennese piano sonata, many features found in the two sonatas also appear throughout his works for solo piano. At the same time, many of the features unique to the minor key sonatas can be readily understood through the metrics of *Topic Theory*.

Key descriptions provided by many of the commentators on K. 310 and K. 457 suggest an air of austerity and discipline, and the application of *topoi* in a disciplined and austere manner is exactly how the works can be understood as related to each other, and as separable from Mozart's other works in the genre.<sup>4</sup> Commentators such as Ratner (the father of Topic Theory) and Allanbrook expect that Mozart's work should be a "miniature theater" of gestures (Allanbrook 1992, 130) or tightly packed with topical inference. Contrary to these expectations, the first and third movements of K. 310 and K. 457 are topically

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<sup>3</sup> K. 310 is described as a "startling artistic manifestation" (Kinderman 2006, 44) Irving describes K. 457 as music conceived for a different purpose, and as music for listeners to specifically gather to engage with, as opposed to pleasant background parlor music. (Irving 2010, 8) Kinderman describes K. 457 as "Prefiguring Beethoven's C minor mood" (Kinderman 2006, 58)

<sup>4</sup> K. 310 is described as "standing in splendid isolation" (Kinderman 2006, 44). Hatten describes elements of K. 310's textural continuity as a part of the shifting aesthetic orientation from Classical to Romantic mores, and describes K. 310 as possessing a relentless and authoritative fatefulness (Hatten 2004, 240 and 244). K. 457 is described by Badura-Skoda as a "Conquest of personal tragedy by inner order and discipline" and by Hatten as containing "implacable and inexorable" authoritative forces. (Hatten 2004, 156 and 164).



austere and strictly controlled in their foreground content. In essence, I will show that their “special” nature is at least partly the product of their strictly controlled topical content. As such, this project will often involve the reading of topoi in a quasi-formalist sense, rather than hermeneutic discussion of their meaning.

### **Topic Theory: Background and Debate**

*“From its contacts with worship, poetry, drama, entertainment, dance, ceremony, the military, the hunt, and the life of the lower classes, music in the early 18th century developed a thesaurus of characteristic figures, which formed a rich legacy for classic composers. Some of these figures were associated with various feelings and affections; others had a picturesque flavor. They are designated here as topics—subjects for musical discourse” (Ratner 1980, 9).*

Topic Theory has been slowly gaining acceptance as an analytical method since its first conception in Leonard Ratner’s 1980 text *Classic Music*. According to Raymond Monelle, one of Ratner’s greatest achievements was the promotion of the idea that signification in music could be symbolic as well as iconic (Monelle 2000, 14). In essence, Ratner was helping to divest analysts of their misconception that allusion to an extra-musical object or idea had to be direct and imitative. The rise of Ratner’s symbolism allowed for the *implication* of an extra-musical concept in the form of a culturally shared vocabulary of allusions, regardless of whether or not they directly imitated or suggested a particular object or concept. Ratner was proposing that symbolic stand-ins should become acceptable objects for analysis. A number of disciplinary controversies with Topic Theory appear to stem from the clash between North American theorists’ staunch expectation of empiricism and this new socially informed lexicon of objects for musical analysis.

In addressing reception issues concerning Topic Theory, McKay's survey article "On Topics Today" defines *topoi* as "conventional musical signs, or 'commonplaces of style...distilled from—or grafted onto (depending on one's critical stance)—the rhetorical surface of music in the analytical/interpretive process known as 'Topic Theory'" (McKay 2007, 160). McKay describes Topic Theory's aim as to "explicate the expressive qualities of ostensibly abstract (and typically) classical music" (McKay 2007, 161). In reality, practice is lagging behind theory. The general theoretical position, as McKay continues, defines topic theory's nature as a mere "curio of music semiotics; a sub-discipline that has yet to gain full entry into the hegemonic club of musicology" (McKay 2007, 161). The hesitancy to employ *topoi* as an analytical tool must therefore be somehow related to their largely hermeneutic origins and "unempirical" employment in the context of new musicological analysis.

At least part of the reason for topic theory's notable delay of several decades in penetrating theoretical discourse stems from its perceived nature as a hybrid of cultural signification and loosely interpretable "gestures," as McKay continues, noting that "topic-theory is not simply the art of appending style labels to musical moments" (McKay 2007, 162). Rather than asserting that music was capable of being directly referential or communicative of ideas, Monelle argues that we should accept that musical discourse should be limited to music itself: "Music does not signify society. It does not signify literature. And most of all, it does not signify 'reality.' Musical codes are proper to music, as the other codes are proper to their respective spheres. Codes signify each other, however; between literature

and society, reading and life, there are the sorts of semiotic relations that permit each medium to make sense” (Monelle 2000, 19). Monelle thus maintains that topoi should be allowed to function independently in music without the constant suggestion of their cultural origins—a divorce must occur between where they came from, or what they originally implied, and how they function in musical language as pure musical objects.

Strikingly, however, McKay exposes another tacit assumption present in academic music: surface features are somehow less relevant to musical analysis—middleground and background always trump the foreground, and structure is somehow more vital than surface execution. McKay’s survey attempts to reconcile this bias by espousing the successes and descriptive power of Topic Theory, regardless of the disciplinary issues concerning musical foreground.

To the great benefit of music theory as a discipline, background and middleground, by nature, are readily reducible and appear empirically consistent across arbitrary style periods and the Common Practice Period. In relation to topic theory, however, for the scientific aspirational conceits of music theory as a discipline, topic theory’s “universe” and characteristic interplay of topoi do not provide a basis for predictive testability.

The predictability of structure provides a legitimation so far deemed unattainable in the realm of the foreground content of music. Topic theory’s problems therefore stem from the epistemological uncertainties connected to its nature as a tool of foreground analysis. As Caplin (2005) phrases this problem, “This boils down to the question of what motivates or constrains the succession of

various topics within a work. Are there, in fact, rules or motivating forces that guide the ordering of topics?” (Caplin 2005, 113) Framed another way for this project, is topical syntax a meaningful concept if a certain affect appears to be ever present and the same topoi are repeatedly invoked?

The “Universe of Topoi” is frequently expanded and repeated within works claiming some connection to topical analytical techniques. These “universes” with their lists of topoi are largely identical, and provide insight into the lack of formalized techniques for topical analysis. In essence, topical commentators pick a label, and apply it according to evidence within the surface of music.

Table 1, given below as reproduced from Caplin (2004), is similar to tables given in Agawu (1991) and Monelle (2000). Apart from being representative of many of the frequently referenced topoi given in the literature, Caplin’s table groups topoi according to their likely implication in structural and formal elements of composition—a breakthrough vital to the coming discussion of K. 310 and K. 457. The given topoi, a mere subset of an ever increasing total, are organized according to the degree by which they are thought to be connected to formal (structural) elements in the works in which they are used. The less-than-convincing adjectives *possible* and *likely*, given as headings, speak to the lack of predictive power of topical analysis and the absence of a formalization of topical application or suggested order of operations.

Table 1: “Universe of Topics”– reproduced from Caplin after Agawu and Monelle.

NO FORMAL RELATION	POSSIBLE FORMAL RELATION	LIKELY FORMAL RELATION
alla breve	brilliant style	<i>coup d’archet</i>
alla zoppa	Cadenza	Fanfare
Amoroso	Fantasia	French overture
Aria	Horse	horn call (horn fifths)
bourrée	hunt style	Lament
Gavotte	Pastoral	learned style
March	Empfindsamkeit	Mannheim rocket
Military		Musette
Minuet		<i>Sturm und Drang</i>
Ombra		
opera buffa		
Recitative		
Sarabande		
sigh motive ( <i>Seufzer</i> )		
singing style		
Turkish music		

Given this absence of a topical syntactic or structural reducibility, Drabkin’s 1992 critique of Agawu’s *Playing With Signs* as a semiotic interpretation of music in the form of “Schenker plus style” represents a typical example of the structural biases present in music theoretical discourse (Drabkin 1992, 88). Drabkin’s critique seems to stem from his assumption that topoi, as part of the foreground domain, are always secondary to normalized formal structures. When Agawu applies topics to a known formal structure, the diminution or “style” on the

surface is naturally reducible to a normalized tonal skeleton. Does this imply that the skeleton is the only integral part of the whole?

Drabkin's criticism, by virtue of its intent to probe the theoretical meaningfulness of topical inquiry as secondary to the constants of form, frame, and deeper structure implies an unquestioned assumption of primacy of the background and deep middleground, and a disregard for the descriptive and hermeneutic powers of topic theory as mere "style." Problematic in this interpretation of the term "style" is the implicit assumption that form and its tonal markers are timeless constants, and that stylized diminution is an ultimately disposable and irrelevant confection or fashion. While Schenkerian and form-based tonal precepts may hold across centuries, to disregard the foreground of readily comprehensible tonal idioms local to certain time periods is pure reductionism.

Given that the formal and tonal conventions of eighteenth century music fall somewhere into a standardized continuum, must topic theory exist as a parasite searching for a structural host? In reality, its only problem seems to be that it is not readily reducible to formal clichés or standardized patterns for predictability, and might even provide for "unique" works—at least in terms of their topical content. In the plainest language possible, it seems like many of the problems of Topic Theory would disappear if it were simply renamed *Topic Analysis*—referring to its powers to describe a certain element of musical foreground content without the need to predict or generate anything.

Ultimately, for analysts to grapple with foreground materials, they must learn to admit the concept of individuality in order to account for the surface features or “style” of diminution present in each piece. By analogy, structure and function are expected at the foundation of a building, but the edifice may be the domain of contrasted techniques and abstractions; conceptualization of a gothic vault must rely upon our understanding of the relative structural position of a ceiling in order to make sense of its meaning and stylistic congruence with the whole building’s features. As a direct analog, for a formal study of topical features, the techniques and abstractions in the foreground of a musical work must be contextualized in time and space. Put another way, external structural knowledge and reference is mandatory for meaningful discussion of topical construction of larger scale movements. The language of Schenker, or Caplin, or Hepokoski and Darcy situate topical interrelationships over longer time periods. As such, I argue that the dismissal of Topical Analysis using an external system of formal analysis as being simply “Style plus...” is missing the point of Topical Analysis—the discussion of a specific feature of musical foreground and style, with external formal cues to situate the *topoi* in time and context.

As it becomes increasingly difficult to talk about large scale harmonic progression without form, it becomes difficult to discuss intertextuality of *topoi* without reference to anchoring features of the music to situate them precisely. At the level of seconds versus minutes, we should have the flexibility to change our analytical vocabulary to account for scope. In discussing or generalizing topical

content at a piece-wide level, it should stand to reason that external formal knowledge can provide context.

### **Topic Theory: Applicability to K. 310 and K. 457**

Topic theory's hermeneutic tools for analysis, refined in texts such as Ratner (1980, 1991) Allanbrook (1983), Hatten (2004), and Monelle (2000, 2006) are readily applicable to eighteenth century keyboard music's noted intertextuality. Ratner's 1991 article "Topical Content in Mozart's Keyboard Sonatas" presents what is perhaps the most succinct summary of the role of topical content in late-eighteenth century keyboard music: "The syntactical make-up of Classic music lends itself aptly to the interplay of musical processes and topical references. In the Classic style, the precise trim of cadential formulas, rhythmic groupings, clear articulations, transparent textures and orderly key schemes allow a composer to etch sharply with figures that are neatly and closely spaced, to spin out a rhetoric that is essentially comic and witty in its underlying tone. This attitude is embodied particularly in the rapid shifts of topic, of affective stance, that are so often heard in late 18th century music" (Ratner 1991, 615). In effect, Ratner establishes a standard for the juxtaposition and contrast of topical content as a vital rhetorical feature of late Viennese keyboard music, and as such, topical analysis should be fruitful in interpreting the foreground and rhetorical meaning of its repertoire.

Various authors, such as Allanbrook, echo and extend Ratner's approach and provide historical context for the compositional employment of topoi: "Composers of the high Baroque customarily explored one gesture in a movement, favoring a mono-affective style. Classic composers, on the other hand, preferred



to bring into the frame of a single movement the bustle and contrast of a world in small, in a harmonic and affective ‘dialectic’ set out in antecedent and consequent symmetries (or in the intentional breach thereof)” (Allanbrook 1983, 19). The rhetorical features of dialog and opposition in musical execution are therefore characteristic of the Viennese style. Topical convention and breaks with convention are a necessary part of the musical rhetorical language of the time. It is the idea of the break with topical convention i.e. Allanbrook’s “miniature theater of gestures,” through the austere application of Venerable Style topoi in K. 310 and K. 457 that the coming discussion will link to the reception of the works as ‘special’ or avant-garde.

### **Hepokoski and Darcy’s Elements of Sonata Theory**

Discussion of topical analysis has arrived at the conclusion that formal waypoints are necessary to discuss topical machinations in the foreground of works, and that the Venerable Style is one of the few topoi with probable structural implications in musical form. For the purposes of this discussion, the formal theory presented in Hepokoski and Darcy’s *Elements of Sonata Form: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* will be applied to present an argument for the structural importance and compositional significance of the Venerable Style in K. 310 and K. 457.

The purpose of its selection as a theory of form amongst several possibilities was made because of the theory’s precise system of labels for formal regions and the location cues that arise from this precision. Intra-movement analysis will be

made possible by these cues in reference to movements as a whole, and comparative analysis will also be facilitated by this precision.

Despite similar formal characteristics in each of the Sonata Allegro first movements and Sonata Rondo third movements, the idiosyncrasies of each movement become readily apparent using Hepokoski and Darcy's flexible system. Hepokoski and Darcy provide a useful series of tools for understanding and labelling formal spaces and delineations in various sonata forms. For instance, when K. 457's third movement recapitulates its second expository theme before its first, a label for the apparent aberration of form is available, along with an explanation of how this deviates from standard practice.

Ultimately, the system will provide a precise and flexible G.P.S. for the discussion of topical content at the small and large scale in single movements, and in comparative analysis—the greatest test of the project's hypothesis regarding the Venerable Style and the similarities between K. 310 and K. 457.

### **The Venerable Style**

The Venerable Style (V.S.) is one of the most readily discernible topoi, with the rare attribute of being amongst the few with a historical and cultural precedent for being *knowingly* programmed into works, and referred to by composers, theorists, and musicologists alike for hundreds of years before Ratner's *Classic Music*. At its most basic level, the V.S. refers to a composer's allusion to an air of historicity and a veneration of older compositional rigor,

typically ecclesiastical in origin. For the purposes of this project, a more detailed definition and exploration of the term is necessary.

The V.S. has a number of subcategories and alternate names which always imply its presence: strict style, *stile antico*, *stile legato*, the learned style, and *stile osservato*. Generally, these terms are used in style analysis, and more recently in topical analysis, to refer to readily discernible foreground characteristics of a work which refer to this older venerated style of composition. Ratner (1980) groups these topoi under the heading of *Strict Style* and seeks to define this style as setting “firm rules for harmonic and melodic progression, creating a smooth connection of slowly moving melodies and harmonies; its simplest and most traditional form was the *alla breve* progression in whole- and half-notes. *Stile legato* means bound style, which refers to this kind of connection. Learned style signifies imitation, fugal or canonic, and contrapuntal composition, generally” (Ratner 1980, 23). Hatten (2004) groups these elements as the *Venerable Style*, with a similar description of musical content, providing a limited exploration of several disconnected elements of the V.S. employed in K. 310. Further descriptions of the V.S. given in Allanbrook (1983), Agawu (1991), and Caplin (2005) involve similar definitions.

Ironically, however, specific features of the V.S. are rarely given more than one at a time, but rather, are provided as necessary to argue a specific point with a few measures of music. The only common description of the V.S. provides a general expectation of an air of ecclesiastic rigor. Allanbrook defines it as “Synonymous with certain musical practices which had come to be considered

antique. Fuxian species counterpoint, with its long-note *cantus firmi*, heavily accented and slow of tempo...It was epitomized by copy-book exercises in duple measures of half and whole notes— ‘white-note’ or *alla breve* counterpoint” (Allanbrook 1983, 17). The features of the V.S. presented in this project are therefore a composite of various authors’ interpretations of what a venerable style *ought* to be, rather than a readily defined set of features.<sup>5</sup>

This patchwork of elements presented in this project will include a number of rhythmic, tonal, and contrapuntal devices derived from the old and learned styles, with the majority of features influenced by pre-Baroque techniques. Pre-Baroque V.S. features present in K. 310 and K. 457 will be compiled as listed in Ratner (1980, 23), Hatten (2004, 244), and Allanbrook (1983, 17). This list will include:

- Suspension derived figures at the melodic forefront
- Suspension chains in various configurations
- Pedal points in various configurations
- Invertible counterpoint
- Canonic and imitative play
- Extensive lament figures and “sighs”
- Passus duriusculus and lament bass accompaniments<sup>6</sup>

A number of these features became standard musical language in the Baroque Period, but a number of newer Baroque-specific features became

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<sup>5</sup> Several of the V.S. features remained in continual usage from their Renaissance/Baroque origins through the Classical Period and beyond. As such, sections discussing elements such as pedal points and suspension chains will show that other V.S. features always accompany these common gestures in close proximity, indicating a compounded presence of the venerable style.

<sup>6</sup> Passus Duriusculus refers to the melodic filling in of a perfect fourth by all chromatic steps. This device typically suggests a specific variety of lament figure and dates back to the sixteenth century. Monelle (2000, 73)

common with the increasing harmonic consciousness and rise of instrumental virtuosity. In addition to the pre-Baroque features listed above, a number of Baroque influences are present within K. 310 and K. 457, given here as a composite list of elements described by Hatten (2004, 241), Agawu (1991, 62-64), Gauldin (1988, 28), and Hepokoski and Darcy (2006, 313):

- Repetition, often an octave higher or lower
- Harmonic and melodic sequence
- Restatement in a different (related) key
- Melodic mirror (mirror inversion counterpoint)
- Rhythmic alteration
- Monotextural and monoaffective construction
- Emphasis upon minor dominant relationships

These Baroque-specific features augment the conception of Mozart's use of the V.S. for a consciously antiquarian focus in these compositions. It stands to reason that the consistent application of these devices suggests an attempt to evoke something of the authority, venerable air, and intellectual rigor of the music of the past.

In backing up these assertions with historical scholarship, Einstein (1965) and Melograni (2005) provide ample basis for the acceptance of Mozart's training in the V.S. Examples cited include his studies in Fuxian counterpoint with the Baroque counterpoint master Padre Martini in 1770, and pedagogical application of the V.S. with his own compositional students. The work of Matthew Dirst in *Engaging Bach* (2012) uncovers the links between Mozart's music and his study of the music of J.S. Bach and Handel, citing Mozart's interest in Bach's music as

responsible for the extraordinary displays of combinatoriality in Mozart's later works (Dirst 2012, 57). Mozart's youthful contact with fugal forms and the music of previous generations is also particularly relevant to the current study. Dirst states that Mozart frequented musical salons aimed at exploring "antiquarian" music in 1782, and 1783—a year before the appearance of K. 457 (Dirst 2012, 58). This relationship is also explored in Stanley Sadie's article "Mozart, Bach and Counterpoint," wherein Mozart's fascination with writing in V.S. styles, especially the fantasias and fugues is discussed in relation to his contact with J.S., W.F., and C.P.E. Bach's music (Sadie 1963, 24).

### **Topical Troping and Expansion**

*"Topics are style types that possess strong correlations or associations with expressive meaning; thus they are natural candidates for tropological treatment"* (Hatten 2004, 68).

Traditionally, topoi have traditionally been understood as compositionally programmed one after the other, as in Allanbrook (1992)'s "miniature theater of gestures," implying limited interaction, but since the turn of the millennium, a new conception of the mixing and interplay of topoi has begun to be represented in the literature. A significant part of this change in conception has been increasingly sophisticated studies of topical juxtaposition and intertextuality. At the vanguard of this study is the concept of topical *troping*, defined by Hatten as "the bringing together of two otherwise incompatible style types in a single location to produce a unique expressive meaning from their collision or fusion" (Hatten 2004, 68). As a specific example of topical troping, Mozart's piano sonata in F Major, K. 332, first movement, consists of a virtual roll call of topically

troped content, linking and juxtaposing the material of the expository content through a chain of singing style, V.S., horn call, *Sturm und Drang*, Minuet, and many other topoi over the course of its exposition (Allanbrook 1992). The overall affect is of a highly active exposition which alludes to many styles while clearly articulating its formal delineations.

Essentially, whereas topoi were once interpreted as islands of affect chained together by arbitrarily imposed formal constraints, the newest conceptions provide for the existence of topically unified and affectively amplified compositions. Barred for the moment from the implication of any form of topical syntax, topic theorists have at least developed the analytical vocabulary and conception to discuss the interplay of topoi at the local and piece-wide level. As Hatten continues, “Troping constitutes one of the more spectacular ways that composers can create new meanings, and thematic tropes may have consequences for the interpretation of an entire multi-movement work” (Hatten 2004, 68). Significantly for this project, the task of interpreting the interplay of topoi is still a work in progress, as the developments of the past decade have shown.

In continuation of this theme of breaking new ground in the understanding of topical interplay, the V.S. will be shown to be adaptable to several classical styles by nature of a new concept I am introducing known as *topical expansion*. As an analog of tonal expansion, wherein a vertical harmonic entity is expanded over the space of several chords through inversion and contrapuntal motion, *topical expansion* will allow for the rhythmic (and tonal) expansion of certain topoi through the direct application of other topical styles. Topical expansion

therefore suggests a temporal and formal relationship between topoi in addition to the hermeneutic interpretations given in Hatten's troping of topoi. As a general example, suspension chains (as a mainstay of the V.S.) will be shown to be topically expandable through application of the *Sturm und Drang* or concerted styles in a kind of topical diminution. What was originally a progression of half or whole notes can now be found in wholly contemporary rhythmic diminution with the insertion of additional tonal material. By virtue of the fact that two or more topoi are concurrently in play, with one or more building upon and elaborating the surface of a topical *foundation*, topical expansion is separable from troping.

As an analog of the Schenkerian concept of expansion, certain features of Schenkerian tonal expansion may be common to topical expansion, and given that topical expansion occurs with tonal materials, there will be considerable overlap between topoi and tonality. In execution, however, topical expansion requires the application of a *specific* rhythmic or tonal topoi to a V.S. foundation: a suspension chain will be topically expanded by the concerted style, or a *passus duriusculus* will be expanded by an Alberti type bass. Topical expansion is therefore not incompatible with or in competition with Schenkerian precepts, but rather, topical expansions inhabit a strictly independent domain of foreground topical interplay. What was originally a progression of half or whole notes can now be found in wholly contemporary rhythmic diminution with the insertion of additional tonal material. Diminution is not a specific enough label— the *style*, degree of lengthening, and shape of diminution as expression through topical language is integral in creating an overall affect.



The previous discussion has established the validity of topical analysis for K. 310 and K. 457's first and third movements. I will expand on Caplin's view (2005) that the venerable and learned styles are some of the only historically developed and culturally accepted topics with formal ramifications, with specific reference to the V.S.'s role as a foreground/middleground marker of structural delineation. Specifically, I will prove that K. 310 and K. 457's content is built largely upon the application and expansion of V.S. topoi in key formal regions given in Hepokoski and Darcy. In essence, the V.S. will be shown to be a vital element at play in the foreground of each of the works, linking their affects in both foreground and at a deeper structural level, regardless of differences in their execution. The unique affective stance of these works is at least partly a product of their topically unified foregrounds.

### **Formal Organization and Structure**

Individual chapters will be dedicated to detailed topical analysis of the first and third movements of both sonatas, with the specific purpose of highlighting elements of the V.S. in their key formal regions. Following detailed analysis of each movement, the final chapter will collect the data and display it in a side by side format to draw conclusions regarding the use of the V.S. within K. 310 and K. 457, and for all four movements. Ultimately it will prove possible to draw large scale generalizations about the systematic strict control of topical content, and fundamental preference for the V.S., which will be presented as the concluding commentary of the project.

## CHAPTER 2

### ANALYSIS: PIANO SONATA IN A MINOR, K. 310, MOVEMENT 1

The Piano Sonata in A minor K. 310, believed to have been completed in Paris in 1778, is typically associated with Mozart's imagined state of mind following his mother's death. Perhaps more than any other biographical connection to a composition in Mozart's output, this event has been attached to the work and constantly associated with its darkness and tensions, creating a quasi-programmatic explanation for its affect.

Critical reception of the work has typically focused upon this extra-musical information and limited theoretical discussion of the work. As with the other three sonata movements in minor keys, the work garners the same adjectives in aesthetic commentary, being labelled as fateful, relentless, and driven. For instance, Kinderman states, "The driven, almost fatalistic character of the Allegro maestoso of the 'Paris' Sonata is conveyed partly through rhythmic means: repeated chords in the bass and dotted rhythms in the treble dominate at the outset, and large portions of this movement, and the finale as well, are written in an irresistible *perpetuum mobile*" (Kinderman 2006, 45).<sup>7</sup>

The driven rhythmic profile, prone to the implication of "irresistible *perpetuum mobile*," creates an impression of organic unity owing to its recycling

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<sup>7</sup> Hatten also describes elements of the movement as "fateful" and "obsessive." (Hatten 2004, 240)

and reapplication of several key motives attached to characteristic topoi. The (P) Space will be explored first with its characteristic Turkish elements.

### **(P) Primary Theme**

The (P) theme of K.310 is built upon a restructured initiating tonic pedal point, the first V.S. element of the work, leading many authors to perceive a quality of obsessiveness. As an initial example of topical expansion, K. 310's opening measures are described as carrying the implication of a "Turkish March" by Leonard Ratner. Figure 1 introduces this expansion: the "Turkish March" topic is superimposed on a tonic pedal point.



Figure 2.1: K. 310, Movement 1, mm. 1-4.  
Initiating tonic pedal point.

The Turks had a colorful and distinctive military style called *Janissary music*, featuring drums, triangle, winds, and cymbals. Ratner describes this style as being frequently modified to accommodate to western taste (Ratner 1980, 21). It is precisely this accommodation, which Ratner ascribes to K. 310's opening, which can be thought of as the application of an external topic to the V.S. element. Adaptation exists as the core of topical expansion, and this movement's Turkish marches, fanfares, and *Empfindsamer Stil* sighs, pauses, and chromatic intensifications work together to create the noted air of fatefulness and obsession.

An additional V.S. element is rapidly introduced in the form of the Seufzer figure. As Kinderman says in relation to K. 310's first measures, "The continuous driving rhythm of eighth notes connects to this short expressive episode at m. 5, with the ostinato effect curtailed at the sigh-figures in mm. 5-7, as imitations in the left hand mimic the gestures in the right hand." (Kinderman 2006, 45) Figure 2 illustrates the first instance of the recurrent Seufzer figures.



Figure 2.2: K. 310, Movement 1, mm. 5-7.  
Seufzer figures.

Imitation is therefore another key resource of the work's thematic and topical construction. Rather than dialogical discourse, which can be thought of as a common aspect of classical style, the older imitative tradition is brought to the forefront. Kinderman describes this impulse, "It is as if an external implacable agency embodied in the first measures had yielded momentarily to a personal, subjective presence in the following measures, before collapsing into the irresistible forward momentum" (Kinderman 2006, 45). To summarize, K. 310's first movement (P) Space implies the three V.S. staples of the pedal point, the Seufzer, and a general imitative trend expanded through the application of contemporary popular topoi.

### (TR) Transition

Forward momentum, or the recurrence of a *moto perpetuo* figure, colors the transition. A tonal shift to a rapid series of applied chords with suspensions compresses the transition to the space of four measures, as Figure 3 illustrates.



Figure 2.3: K. 310, Movement 1, mm. 12-15.  
Transitional suspensions.

These suspensions follow a circuitous tonal path towards the mediant harmonic area expected in the exposition. The consistent use of suspension figures foreshadows the extended use of the suspension (and later suspension chains) throughout the movement.

### (MC) Medial Caesura

The passage leading to the Medial Caesura of K. 310's first movement is topically marked in a straightforward manner by the application of another pedal point (this time taking place over a pedal six-four chord, darkened with the parallel minor of the coming formal mediant C Major section in a *Sturm and*

*Drang* style.) Figure 4 illustrates this dramatic rhetorical device.

Figure 2.4: K. 310, Movement 1, mm. 16-22.  
Pedal-based material leading to Medial Caesura.

Mozart's use of the neighbor six-four pedal chord is a feature of the materials approaching the Medial Caesurae in several other piano sonatas, including K. 545, yet the choice to expand the pedal with a *Sturm und Drang* topic, in the mediant's parallel minor, typically marks K. 310 as expansive and darkly shaded.<sup>8</sup>

### **(S) Secondary Theme**

The secondary theme initially begins with an imitative melodic sequence in fifths composed in constantly flowing sixteenth notes, described by Hatten as “gallant and decorous” (Hatten 2006, 240). The effect is reminiscent of the sequential imitation of an organ toccata, rapidly descending through the space of two octaves until a stronger V.S. element comes to the forefront. The melodic sequence represents another instance of imitation. Figure 5 displays the sequential imitation which initially creates the impression of a rapid paced second thematic group, and creates the impression of a continued *moto perpetuo* affective stance.

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<sup>8</sup> Other piano sonatas incorporating this darkening of tonality include the first movements of K. 282, 284, and 332.



Figure 2.5: K. 310, Movement 1, mm. 22-26.  
Sequential imitation.

Just as the brilliant stylistic expansion and elaboration of the imitative sequence is curtailed, local events suggest that the running sixteenth pattern will completely dominate the texture. Mozart has further V.S. elements in store, which quickly become the melodic focus of the (S) space. As Hatten continues, “The galant style shifts to the learned and bound styles, *non legato* shifts to *legato*, and a circle of fifths melodic sequence is answered by a linear descending sequence with 7-6 suspensions” (Hatten 2004, 241). Figure 6 displays the melodic Fuxian counterpoint, complete with fourth species suspension chains set against the Brilliant Style elements of the right hand accompaniment.



Figure 2.6: K. 310, Movement 1, mm. 28-32.  
Fuxian counterpoint with suspension chains.

Measures 28-32 of the (S) space are therefore readily understood as Fuxian Counterpoint topically expanded via the Brilliant Style. The unique impression of this passage comes from the co-application and mingling of two topoi, rather than oppositional juxtaposition.

### (EEC) Essential Expositional Closure

Hepokoski and Darcy's conception of the form of the work refers to the repeatedly postponed PAC in the measures leading to the (EEC) section of the movement. Their description of the evasions describes the registral positioning of the effect, but not the mechanism: "The upper voice drops out and resumes in a higher register, m. 35; the EEC is evaded again, with bass dropping out, at m. 40, postponing the EEC until the next PAC at m. 45" (Hepokoski and Darcy 2011, 110). In deeper analysis of the foreground, these evasions consist of several measures of invertible counterpoint at the octave, indicating the presence of the V.S. topic, with an interpolated measure of registral adjustment carrying out what is effectively a voice exchange.

The inverted motives, again topically expanded in the Brilliant Style, create the unmistakable impression of two tonic and dominant harmonic entities related by inversion. The contrapuntal inversion supplies the mechanism of expansion and evasion of the PAC, as displayed in Figure 7.

The image shows a musical score for two systems. The top system consists of a treble clef staff with a melodic line and a bass clef staff with a bass line. The bottom system also consists of a treble clef staff with a melodic line and a bass clef staff with a bass line. The score includes various musical notations such as notes, rests, and accidentals. There are annotations below the staves: '6 V<sup>7</sup>' under the first two measures of the top system, '6 V<sup>7</sup>' under the first two measures of the bottom system, and '3 V<sup>2</sup>' under the first two measures of the bottom system. A trill (tr) is marked above the final note of the top system.

Figure 2.7: K. 310, Movement 1, mm. 35-42.  
Invertible counterpoint and evaded cadences.

As Hatten states regarding the closure, "In the final drive to cadence, (mm. 42-49) the sixteenths take on a more fateful aspect in their relentless descent in



the left hand to the lowest register; and the return of the dotted-rhythmic motive associated with the A minor first theme underscores their obsessive and fateful character” (Hatten 2004, 240). These sixteenth notes in mm.45-48 can also be understood as a further interrupted and imitative melodic sequence spanning two octaves, which registrally adjusts the left hand for the confident C major chords signaling the end of the exposition at measure 49.

To summarize, both the (P) and (S) Spaces have been shown to be built and layered upon slower moving V.S. features, which expand a series of basic tonal relationships implied by the form.

### **Developmental Space**

Starting out as a simple mediant restatement of the (P) theme, K. 310’s first movement developmental space rapidly takes a darker affective turn following the enharmonic reinterpretation of a dominant seventh chord as an augmented sixth, leading to one of the most often referenced moments in Mozart’s solo piano output. Ratner provides several descriptions of K. 310’s affective turn, first as an “...*alla breve* in strict style, with the flavor of a Turkish march, and could easily be imagined for orchestra with tremolo support by the bass strings or timpani” (Ratner 1980, 135,) then as consisting of “bound or strict style in four voices” (Ratner 1980, 137).



Figure 2.8: K. 310, Movement 1, mm. 58-69.  
 Turkish expansion of Fuxian counterpoint and pedal point.

Both of these descriptions signal the underlying topical expansion taking place within the section, but downplay the secondary expansion of what Kinderman refers to as a “grinding” pedal point—indicating a second expansion consisting of a pedal point programmed with the Orientalist Turkish style over descending fifth sequence (Kinderman 2006, 45). As Ivanovitch (2011) discusses, pedal points and suspension chains often generate significant portions of Mozart’s retractions, but they are never combined in the same way.<sup>9</sup> This retransition of K. 310 displays Mozart’s characteristic ‘showing off’ of his ability to combine multiple techniques in a single passage (Ivanovitch 2011, 23). Put another way, Mozart comingles four elements of two styles via topical expansion.

In essence, two V.S. topoi are expanded concurrently over the harmonic sequence—the pedal point and the bound style of the Fuxian counterpoint, which

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<sup>9</sup> “Mozart’s resourcefulness in drawing upon this family of techniques in ever new combinations and guises is dazzling. Even in movements which contain more than one such retransition, they are never presented in the same way twice.” (Ivanovitch 2011, 11)

in addition to the right hand's rhythmic recall of the (P) space's Turkish style and the left hand's grinding bass, create an expanded layer of topoi in greater density than simple juxtaposition or troping of two topoi can account for. The resulting doubly-compounded texture is rich in topical content and creates a unique affective profile within the movement. The sum of these topical products achieves what Irving refers to as a "diversity of textures" in a short subsection of the movement's formal construction (Irving 2010, 46). Moreover, the complex texture and *moto perpetuo* affect reflect passages of monotextural and monoaffective movements of the Baroque. As Hatten relates, "That the continuity of motion draws something of its expressive force from allusions to the Baroque is clear from passages in the development section..." (Hatten 2004, 241). Each of these four measure cells are effectively reduced to applied chords in a descending fifth sequence, but the manner in which Mozart fills twelve measures with only three chords is given short attention. The application of two topoi in the Baroque and Turkish influenced *moto perpetuo* passage exemplify Mozart's ability in the comingling of styles.

The return of sequential melodic imitation via another descending fifth harmonic and melodic sequence, again expanded via the Turkish March rhythmic figure of the (P) Space, drives harmonic activity towards the necessary A minor half cadence.



Figure 2.9: K. 310, Movement 1, mm. 56-58  
Expanded harmonic sequence.

The Development Space ends with yet another elaborate extended *Sturm und Drang* expansion of an A minor half cadence on a six-four pedal point. In addition to its similarity to the Medial Caesura expansion, this passage also demonstrates a textural inversion relationship with mm. 56-58.<sup>10</sup> The running sixteenth motion moves to the right hand, and the ornamented patterns move to the left hand, as shown by Figure 10.



Figure 2.10: K. 310: Movement 1, mm. 74-79.  
Expanded end of development half cadence.

To summarize, the V.S. elements of the pedal point, suspension chain and melodic and harmonic sequence continue throughout the developmental space, topically expanded via the *Sturm und Drang* and Turkish styles. Each of these V.S. elements plays a direct role in decorating and expanding the tonal journey to

<sup>10</sup> Textural inversion involves the *rivolgimento* relationship of invertible counterpoint transposed to the domain of textural content through rhythm. This concept will be expanded upon in Chapter 6 for K. 310's third movement—a movement in which textural inversion is a principle compositional device.

the formally required half cadence. The initial measures of the recapitulation contain an exact restatement of the exposition's (P) material, creating an expectation for a continuation of the hammering pedal point, until the transitional material begins upon a new path.

### Recapitulatory Transition

The recapitulatory transition of K. 310's first movement is a reimagining of the expositional transition with different expansions of the V.S. As previously discussed, the expositional transition is comprised of a continuation of the primary theme's left hand restructured pedal point, but in the recapitulatory transition, the right hand now contains a suspension chain topically expanded in the concerted style. Figure 11 shows this expansion.

Figure 2.11: K. 310, Movement 1, mm. 88-93.  
(P) theme and suspension chains.

The left and right hand's roles are inverted relative to the exposition's transition. The left hand carries the melodic activity until the V.S. sigh figure native to the exposition's transition returns in an expanded and intensified format as shown in Figure 12.



Figure 2.12: K. 310, Movement 1, mm. 94-96.  
Expanded transitional Seufzer figures.

The medial caesura also returns as an exact transposition, this time to create a half cadence in the tonic A minor before the secondary thematic material of the exposition returns. Upon its recapitulation, the secondary thematic material consists of a modified minor mode restatement of the Brilliant Style imitative material originally presented in mm. 23-28— the Fuxian counterpoint, and the evaded invertible counterpoint. As Hepokoski and Darcy state, “There is little more powerful or more affecting within minor-mode sonatas of the i – III type than the bleak realization that all of part 2 — sounded in major in the exposition — might come back entirely in minor in the recapitulation” (Hepokoski and Darcy 2011, 313). Variations within this bleak realization do occur and additional V.S. implications abound, including compound melodies and internal pedal points.



Figure 2.13: K. 310, Movement 1, mm. 109-112.  
Recapitulatory space compound melody.

The recapitulatory (S) Space's invertible counterpoint restatement employs a broken Neapolitan Sixth and diminished seventh chord to registrally adjust between restatements in place of the simple scale of the original (S) Space, in line with the more aggressive affect of the minor mode recapitulation, as shown in Figure 14.

Figure 2.14: K. 310, Movement 1, mm. 116-123.  
Invertible counterpoint with Neapolitan Sixth interpolation.

With respect to generic rotational practice of sonata form, the material is presented in identical order and with almost direct transposition of each of the V.S. features of the original expository material into the minor mode. The Essential Structural Closure (ESC) occurs in the same manner as the (EEC), following a multitude of *Sturm und Drang* interpolations. The closure (C) follows in exact transposition of the exposition's closure, with its Turkish March rhythmic implications and harmonic sequence.

### Summary

To summarize, K. 310's first movement is unified topically by consistent articulation of compounded elements of the V.S in each of the integral formal regions. Despite extended sections written in an implied *moto perpetuo* manner,

the rhythmic articulations and application of a V.S. foundation expanded and troped with the Turkish March, Brilliant, *Empfindsamkeit*, and *Sturm und Drang* topoi provide clear articulations of form. The V.S. elements provide expansive content to elaborate and transition between the basic key areas of the movement.

As Hatten describes, despite the potentially disruptive nature of continuous sixteenth notes, clear divisions exist between presentation, transitional, and closing types of material (Hatten 2004, 240). The rhythmic activities and individual topical profiles of each of the formal regions allows for a clearly articulated formal plan and coherence in performance. In addition, the V.S. pedal points, harmonic sequences, and suspension chains each play a role in driving the tonal motion towards formally necessitated disjunctions. Although Ivanovitch (2011) argues that these features are common elements of Mozart's retransitions, they bridge complete segments of material founded upon V.S. elements, indicating its continuous and compounded presence.



Table 2: K. 310, Movement 1. Summary of V.S. features.

<b>FORMAL REGION</b>	<b>V.S FEATURES</b>	<b>EXPANDED AND TROPED BY</b>
<b>(P)</b>	Initiating Pedal Point →Seufzer	Turkish March/ <i>Sturm und Drang/Empfindsamkeit</i>
<b>(TR)</b>	Suspensions/Seufzer Figures	Turkish March/ <i>Sturm und Drang/Empfindsamkeit</i>
<b>(MC)</b>	Expanded Pedal Six-Four	<i>Sturm und Drang</i>
<b>(S)</b>	Sequential Imitation in Tocatta Style  →Fuxian Counterpoint and Suspensions	Brilliant
<b>(EEC)</b>	Invertible Counterpoint at the Octave	Brilliant
<b>(C)</b>	Sequential Imitation	Brilliant
<b>DEVELOPMENT SPACE</b>	Pedal Point →Pedal Point Sequence Fuxian Counterpoint with Suspension Chains →Sequential Imitation →Pedal Six-Four with Textural Inversion	Turkish March/ <i>Sturm und Drang/Empfindsamkeit</i>
<b>RECAPITULATORY  (P)</b>	Initiating Pedal Point  →R.H. Suspension Chain	Turkish March/ <i>Sturm und Drang</i>
<b>RECAPITULATORY (TR)</b>	Seufzer/Suspensions →TR (MC)	<i>Empfindsamkeit</i>
<b>RECAPITULATORY  (S)</b>	Sequential Imitation/Tocatta Style →Compound Melody And Internal Pedal Points →Fuxian Counterpoint and Suspensions	<i>Sturm und Drang/Brilliant</i>
<b>(ESC)</b>	Invertible Counterpoint at the Octave	<i>Sturm und Drang/Brilliant</i>
<b>(CODA)</b>	Sequential Imitation	Brilliant with <i>Sturm und Drang</i> Interpolations

### CHAPTER 3

## ANALYSIS: PIANO SONATA IN C MINOR, K.457, MOVEMENT 1

The first movement of the Piano Sonata in C Minor K. 457 has traditionally been viewed as a work that exerted a great deal of influence upon later composers. As Kinderman states, “The C-minor Sonata, K. 457, is a counterpart to Mozart’s concerto in this key, K. 491, and, like the concerto, it exerted a potent influence upon Beethoven” (Kinderman 2006, 60). Yet even as the cliché of the work’s influence is repeated in the literature, discussion of the actual characteristics of the sonata which influenced Beethoven (and the associated concerto K. 491) is limited.<sup>11</sup> Instead, tales of Beethoven’s insistence upon the genius of the two works and brief comparisons of between key plans are substituted.

Regardless of its legacy, amongst Mozart’s works, this movement can be understood as one of his most aggressively cerebral movements, programmed with a thinly-veiled preference for the V.S. elements of imitation and inversion at the center of its compositional focus. The romantic conception of the movement will be shown to stem from its organic unity at the level of derivation of material, and in its consistent application of topoi.

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<sup>11</sup> Several examples of existing Nancy Hager "The First Movements of Mozart's Sonata, K.457 and Beethoven's Opus 10 no. i: A C minor Connection?" *Music Review* 47 (1986-87) and William S. Newman, "K.457 and Op. 13: Two Related Masterpieces in C Minor," *Musk Review* 28 (19Ó7), 38-44.

### (P) Primary Theme

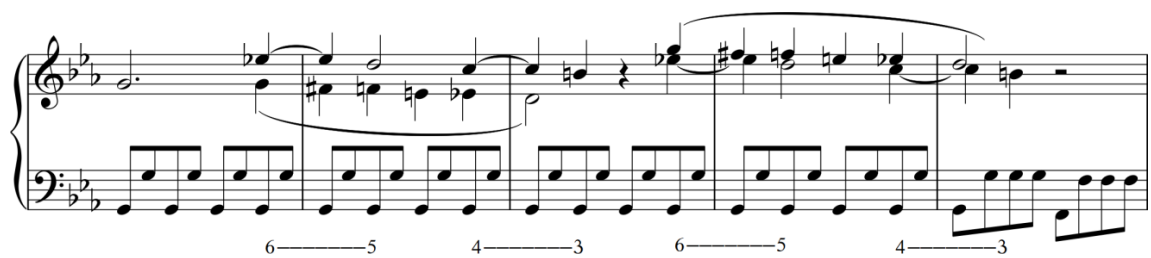
The movement begins with the “Mannheim Rocket” topic, which acts as the head motive of the expository material. This “Rocket” will be troped, expanded, and restated in increasingly urgent and disruptive ways throughout the work’s 185 measures. Another V.S. concept is apparent in the imitation of the opening Rocket and Seufzer gesture at the dominant. Diminished harmonies answer tonic harmonies in the first statement (mm. 1-4), and tonic harmony answers dominant/diminished harmonies in the second (mm. 5-8). This rhetorical interplay of harmony suggests an inverse relationship of the statements, on top of the repetition preference of the V.S. The passage presents a symmetry of forward and backward relation—a common technique in the music of J.S. Bach. Figure 1 illustrates the Rocket topic and rhetorical interplay.



Figure 3.1: K. 457, Movement 1, mm. 1-8.  
Rocket figure and inversion theme.

Another V.S. feature is immediately apparent in the texture, as Kinderman relates, characterizing the first measures as a “dialogic opposition between unison gesture” and “soft, harmonized sigh-figures in a higher register” (Kinderman 2006, 60). The *Seufzer* figure immediately joins inversion as elementary to this movement’s use of V.S. topical content, and is one of the few topoi presented that is given space to breathe. This space takes the form of continued characteristic expansion in the *Empfindsamkeit* topic, with its preference for rhetorical pauses.

Immediately following the opening rhetorical gestures, further elements of the V.S. topic are woven into the texture of the expository material as the pace quickens. An initiating pedal point, itself a feature of the V.S., is employed as an underlying murky bass accompaniment upon which a  $\hat{6} - \hat{5}$  and  $\hat{4} - \hat{3}$  suspension chain begins. The suspension motive is pertinent not only as a V.S. feature, but also because of the way in which it is employed. As part of a new contrapuntal inversion gesture, the suspensions appear first above a *passus duriusculus* figure, strikingly transposed to the dominant to suit the pedal, then below the same figure displaced by an octave as Figure 2 shows.



With the resolution of the initial suspension chains of mm. 9-13, a new suspension figure immediately appears—this time a statement of the V.S.’s  $\hat{6}-\hat{5}$  *Seufzer* motive above the bass, which has diverged from the initiating pedal, as Figure 3 shows.



Figure 3.3: K. 457, Movement 1, mm. 13-16.  
Suspended *Seufzer* figure.

The *Seufzer* figures continue throughout the movement, typically repeated at least once in close proximity, and throughout the third movement, contributing to what Kinderman describes as a “...sense of despair or fatalistic resignation in some of Mozart’s C minor works” (Kinderman 2006, 60). The (P) space of K. 457’s first movement is therefore characterized by the troping, expansion, and compounding of foundational V.S. elements with *Empfindsamkeit*, *Sturm und Drang*, and Concerted topoi as elaborations.

### **(TR) Transition**

Immediately following the harmonic resolution of the (P) space’s suspension chains, a new and disruptive motivic imitation catalyzes a breakneck modulation to the mediant key area in measures 19-22, surging away from the implied restatement of the opening gestures. This is the first hint of an imitative treatment of the “Rocket” topic motive, taking the form of a disruptive force—

the first in a series of Rocket derived structural cues for the movement. Formal delineation in the movement is therefore provided by stylized application of the V.S. features of imitation and inversion—these V.S. features almost always represent a disruptive force. Figure 4 displays the first of many further imitative statements of the Rocket theme as a marker of disruption.



Figure 3.4: K. 457, Movement 1, mm. 13-16.  
Transitional rocket figure and imitation.

Figure 18 also illustrates the tendency for the Rocket figure to appear with an imitative repetition, reinforcing the (P) space’s initial rhetorical gesture.

In contemporary analytical terms, mm. 23-35 impede a conventional understanding of this movement’s form.<sup>12</sup> These measures are not recapitulated, and only four measures of their content recur in the development section in subdominant minor transposition. However, the singing style melody of mm. 23-29 creates a topical link between the first and third movements— a relationship explored in chapter six. Measures 30-35 create a Post Medial Caesura (PMC),

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<sup>12</sup> As Hepokoski and Darcy state, “The new theme brings new complications: while unprepared by any normative MC, it bears distinctly S-rhetoric — as if one potential idea for S had been sprung too soon, within what is probably best regarded as TR-space. The whole passage is problematic and involves an unanticipated swerve into expositional deformations” (Hepokoski and Darcy 2011, 112) Another interpretation of this movement is to assert that the “problematic” S-rhetoric constitutes the first part of a MMS (Multi-Modular S) theme, or trimodular block. These analytical choices do not add anything to a topical reading of the movement.

with strange and incomplete harmonies creating an urgent sense of ambiguity which is washed away by the (S) theme proper.

### (S) Secondary Theme

The (S) Space proper, understood to begin in m. 36, introduces more directly dialogical content, akin to the “call and response” technique of the Classical Period. It seems as if the troubles of the tonally ambiguous transition are in the past until disruption occurs again at m. 44. As shown in Figure 5, a progression related to the lament bass V.S. element creates a rhetorical tear in the security of the E flat major mediant harmony.



Figure 3.5: K. 457, Movement 1, mm. 44-50.  
Disruption via lament bass.

Following the disruption of mm. 44-45, compounded and expanded further by the *Empfindsamkeit* half measure pause, the deceptive motion suggests the imminent return of stable E flat major harmony, until progress is halted again by a restatement of the lament figure an octave lower. This process follows Gauldin’s conception of a Baroque preference for this kind of imitation, this time even more despondent in its darker register, followed by the same pause (Gauldin 1988, 27). At measure 51, with mediant harmony’s status now in question, a truly remarkable *Sturm und Drang* expansion of supertonic minor harmony occurs over

the space of five measures in the form of a four-octave plummeting broken chord figure poisoned with chromatic inflections (fig. 6).

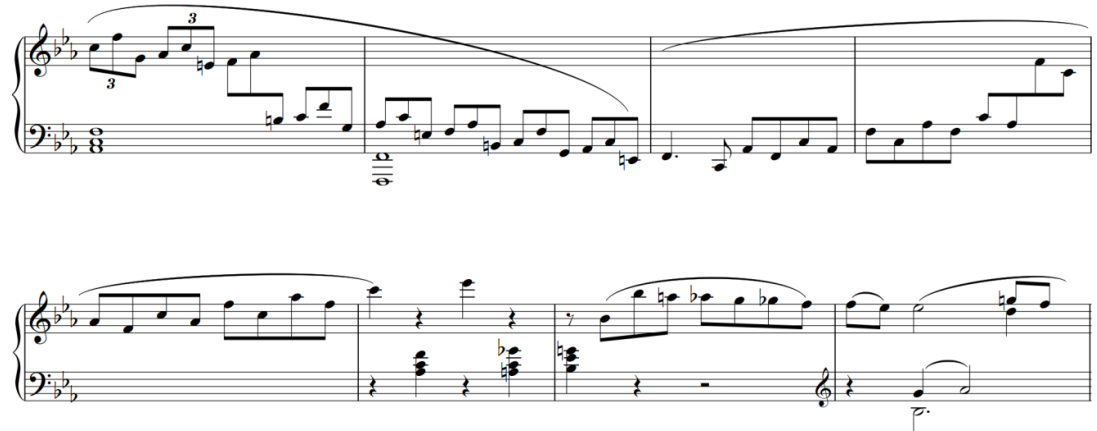


Figure 3.6: K. 457, Movement 1, mm. 51-58.  
Supertonic interpolation.

This rhetorical interpolation exists purely to further evade the resolution of mm. 47-48's deceptive motion to tonic harmony. Eventually when the PAC is reached, it occurs in a registrally weak configuration in mm. 58-59, until a stronger reiteration occurs at m. 66. The supertonic expansion is especially evocative of the figuration and disruptive focus of elements of the Baroque fantasia.

The closing cadential elaboration consists of the creation and imitation of a Brilliant Style series of runs, built upon a tonic pedal point, until a rhetorical disruption occurs again, this time via the Rocket theme's failed attempt at finalizing E flat Major with a PAC, ending in a half cadence of the sonata's tonic C minor. This rapid harmonic disruption serves a double role, as a half cadential dominant to the (P) Space material for the repeat, and as half cadential for the developmental restatement of the Rocket theme.



### Developmental Space

The developmental space of K. 457 can be characterized by the almost total dominance of the Rocket theme, with a number of Brilliant and *Sturm und Drang* style topical expansions. An initial restatement occurs in mm. 75-78 in C major and B flat diminished seventh harmonies, establishing a secondary dominant for the aforementioned return of the “problematic” transitional theme in F minor (Figure 7).

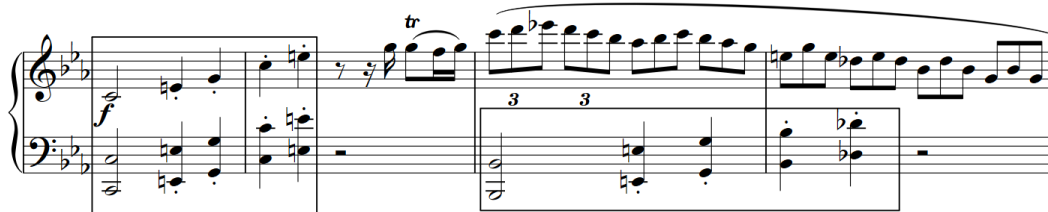


Figure 3.7: K. 457, Movement 1, mm. 75-76.  
Rocket figure in imitation.

The return of the Rocket figure and the lyric melody of the Exposition in F minor mirror another of Gaultdin’s features of Baroque melodic construction: restatement of given material in another key—here in the closely related subdominant minor. Following the interjection of the lyric theme, the Rocket figure immediately returns again, disrupting progress and asserting its dominance by ushering in another six restatements, implying a series of applied chords moving towards a half cadence in C minor, as shown in Figure 8.

Figure 3.8: K. 457, Movement 1, mm. 83-94.  
Rocket Figure in imitation.

The imitative focus of the section implies a forceful and authoritative end to the sense of dialog alluded to in the (S) space of the exposition, as *Sturm und Drang* triplets expand aggressive imitations of the Rocket theme. A fragmented diminished seventh chord collapses into a dominant 6/5 chord, and the development section formally closes with the direct return of the expository Rocket for the recapitulation.

### **Recapitulatory (P) Space**

Mm. 100-117 are an exact recapitulation of the (P) material of the exposition, creating the expectation for either a continuation to the secondary theme group, or a restatement of the “S-themed” transitional material. In place of both, a new digression occurs in m. 118-124, with a repetition and stretto version of the Rocket theme marking a more urgent form of V.S. imitation, fitting Irving

(2010)'s description of the thematic and formal material of the movement competing with itself for space.



Figure 3.9: K. 457, Movement 1, mm. 118-124.  
Rocket stretto and Neapolitan diversion.

Following the relief of a brief tonal and melodic island in the Neapolitan key, bleakness sets back in as a fragment of the transitional material forms a now unambiguous Medial Caesura, leading to a minor mode restatement of the call and response theme of the exposition's (S) Space. Measures 139-148 show a fuller realization of the V.S.'s lament bass feature promised in the second thematic group of the exposition, disrupted again by augmented sixth chords.

Figure 3.10: K. 457, Movement 1, mm. 139-148.  
Disrupted lament bass figures.

Another remarkable interruption, directly related to the F minor fantasia-like expansion of mm. 51-58, occurs immediately following the lament bass, now with a subdominant minor function leading to a firm Essential Structural Closure at m. 163. The remaining four measures before the repeat sign are a post-cadential elaboration aimed at first setting up a repeat, then framing the entrance of the coda.

### Coda

In closing the movement, Mozart's coda contains the movement's most authoritative statement of the V.S.'s characteristic imitation. Mm. 168-173 feature the Rocket theme in canonic imitation, entering five times before being broken down by a *Sturm und Drang* concerted style figure seeking cadential resolution (Fig. 11). As Kinderman characterizes this section, "Mozart marks the threshold of the coda...with a series of robust imitations of the head motive, divided between the hands of the pianist, with this passage leading to a tonic cadence and the hushed, dissolving coda." (Kinderman 2006, 60)

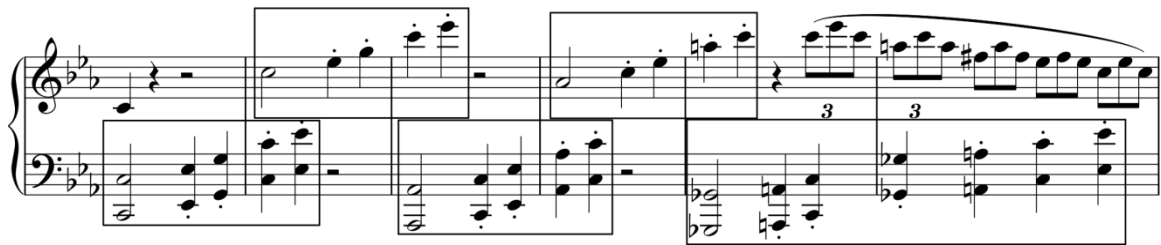


Figure 3.11: K. 457, Movement 1, mm. 168-173.  
Rocket figure in canon

The closing material follows another of Gaultdin's Baroque rules of construction, with a C minor triad outlined in octaves with chromatic neighbor and passing tones, repeated at the lower octave (Fig. 12)



Figure 3.12: K. 457, Movement 1, mm. 176-183.  
Final imitation figure and lower octave repetition.

The movement concludes with two measures of tonic and dominant harmony before the final PAC.

### Summary

The economic treatment of material, obsessive nature of the motivic repetition, and organic derivation of successive formal regions and content from an extremely limited pool of melodic resources link this movement with romantic conceptions of the genre. Additionally, motivic figures, inversion, and imitative melodic content at the small scale correlate directly with the form of the movement. An argument can readily be made for the generative nature of these features within the movement.

V.S. elements frame the key formal regions of the exposition, development, and recapitulation. The V.S. elements are troped and expanded via *Empfindsamkeit*, Concerted, and *Sturm und Drang* topoi playing out over a stark and limited range of melodic content. While the (S) space threatens to disobey the rule of the V.S., Lament Bass and free fantasia-style challenge the attempts to

lighten the mood with call and response melodic content. This tendency toward V.S. disruption is heightened in the recapitulatory (S) Space with its movement towards a full chromatic Lament Bass.<sup>13</sup>

Finally, the influence of this sonata upon later composers such as Beethoven, as described by Kinderman and Irving, is determined to be to the product of what Kinderman refers to as “dramatic concentration” (Kinderman 2006, 60). This phrase is readily interpretable as a sense of urgency and potency brought about by the common disruptions, and continued intensifications via the strict application of the V.S. features.<sup>14</sup> As a prime example, Kinderman continues, arguing that the outwardly aggressive opening Rocket figure and the inwardly expressive harmonized response are subsumed by Beethoven into an all-encompassing dialogical dynamic (Kinderman 2006, 60). This idea is clarified by Tusa, who argues that by Beethoven’s time, the opening demonstrating rhetorical relationship would become a “consensus about the basic rhetoric of C minor” (Tusa 1993, 7).<sup>15</sup> The fact that the sonata expresses this dynamic decades before Beethoven via the V.S., suggests somewhat paradoxically the presence of both the past and the future in one movement.

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<sup>13</sup> This feature is shown to be common to both movements in Chapter 6.

<sup>14</sup> Kinderman describes K. 457 as “Prefiguring Beethoven’s C minor mood” (Kinderman 2006, 58) and Irving describes it as possessing “Special status as a cultural object, which caught the attention of Beethoven,” and as “prefiguring the serious sonatas of Beethoven” (Irving 2010, 99).

<sup>15</sup> Tusa continues, drawing comparisons with Beethoven’s works “The *Sonate Pathétique* perhaps represents a hybrid, since the Grave introduction embodies the dynamics, diminished harmonies, and threefold attack of K.475, whereas the Allegro combines the “rocket” thematic type of K.406, K.457, and op. 10, no. 1, with the quiet dynamics that Beethoven apparently favored for the key” (Tusa 1993, 9).

Table 3: K. 457, Movement 1. Summary of V.S. features.

<b>FORMAL REGION</b>	<b>V.S FEATURES</b>	<b>EXPANDED AND TROPED BY</b>
<b>(P)</b>	Inversion Play/Imitation on “Rocket” Theme with Seufzer →Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	<i>Sturm und Drang/Concerted/ Empfindsamkeit</i>
<b>(TR)</b>	Imitation on “Rocket Theme” →Problematic S-Zone	Sturm und Drang/Concerted/Singing Style
<b>(MC)</b>	Octave Imitation in PMC	Sturm und Drang
<b>(S)</b>	Lament Bass →Fantasia Style Harmonic Incursion	<i>Sturm und Drang/Empfindsamkeit/ Concerted</i>
<b>(EEC)</b>	Chromatically Intensified Suspension (retardations)	Alberti
<b>(CL)</b>	Pedal Point →”Rocket” Stretto Canon	Concerted→ <i>Sturm und Drang</i>
<b>DEVELOPMENT SPACE</b>	Imitative “Rocket” material S-Space Problematic theme in related F minor Imitative “Rocket”	<i>Concerted/Sturm und Drang/Empfindsamkeit</i>
<b>RECAPITULATORY (P)</b>	Inversion Play/Imitation on “Rocket” Theme →Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	<i>Sturm und Drang/Concerted/ Empfindsamkeit</i>
<b>RECAPITULATORY (RT)</b>	“Rocket” Stretto Canonic Interruption →Singing Style →PMC repeat in C minor	<i>Sturm und Drang</i> →Singing/Alberti
<b>RECAPITULATORY (S)</b>	Lament Bass →Fantasia Style Harmonic Incursion	<i>Sturm und Drang/Empfindsamkeit/ Concerted</i>
<b>(ESC)</b>	Ascending Passus Duriusculus Bass with Chromatically Intensified Suspensions	<i>Sturm und Drang/Alberti</i>
<b>(CODA)</b>	Canonic “Rocket” Treatment →Monotextural Coda Repetition at Lower Octave	Concerted→ <i>Sturm und Drang</i>

## CHAPTER 4

### ANALYSIS: PIANO SONATA IN A MINOR, K. 310, MOVEMENT 3

The third movement of K. 310 represents what is probably the most significant focus upon antiquarian musical construction techniques in any of the four minor key sonata movements. The processes of this focus leads to a Baroque-influenced monoaffective aesthetic through the application of rigorous construction techniques built upon the V.S. staples of inversion and combinatoriality. These processes occur not only in the melodic realm, but also in the textural realm. To clarify, texture is taken as an invertible object, through a process known as *textural inversion*.

The concept of textural inversion relates Mozart's analogous treatment of texture to the structured inversion of tonal content in invertible counterpoint's characteristic *rivolgimento* (or swapping of voices.) Texture becomes an object for combinatorial manipulation. Measure-long cells of rhythm are combined to form melodies, and the melodic themes they enliven are given in specific registers to form the thematic content of each formal space. Upon entering a new formal area, material may appear texturally inverted in a new key, allowing for construction of unique material from largely the same content. Ultimately, a *tour de force* presentation of all expository combinations, one after the other, is presented with the final rotation's (S) Space, putting this process at the forefront.

The specific process of textural inversion is created via three measure-long rhythmic cells which are combined in different configurations to form melodies



and accompaniment patterns, which are presented in switching registers, accounting for almost all of the rhythmic variety of the movement. Another four cells provide cadential articulation and inner voice support. These configurations are presented below.

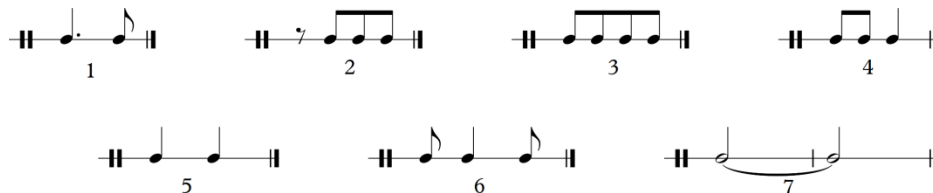


Figure 4.1: K. 310, Movement 3.  
Rhythmic configurations.<sup>16</sup>

Textural inversion, expanded throughout via a pervasive *Sturm und Drang* topic, characterizes the movement as a profoundly Baroque inspired monoaffective and monotextural work. More specifically, the process of exploring the finite combinatoriality of these textural cells and the melodies they create is reminiscent of J.S. Bach's explorations of fugal subject's entrances, with the final (S) Space presentation analogous to a stretto. This movement therefore draws upon Baroque application of V.S. inversional combinatoriality and applies it to high Viennese Classical form.

### **(P<sup>rf</sup>) Primary Theme- Rhythmic Cell 1 Above 2**

The (P<sup>rf</sup>) theme of K. 310's third movement begins with a four measure initiating pedal point of the tonic minor, recalling the first movement's beginning.

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<sup>16</sup> Rhythm types 4 and 5 and are reserved for cadential articulation points, with rhythm type 6 only occurring once in the entire movement in the (Episode) section (m.155). Rhythm type 7 occurs only four times throughout the entire work in a harmonic sequence returning to the (P<sup>rf</sup>) space of the exposition (mm. 87-94). The first three rhythmic cells in different combinations therefore account for nearly 230 measures of music.

The *Sturm und Drang* topic will remain consistent throughout almost every measure, and the three main rhythmic figures appear within the first four-plus-four measures phrase. Figure 2 illustrates the primary thematic material, built upon an A minor pedal point, which in itself has been established as V.S. staple.



Figure 4.2: K. 310, Movement 3, mm. 1-8.  
Initiating pedal point and *moto perpetuo* texture.<sup>17</sup>

Another small-scale inverse relationship exists in the sixteen-measure sentence statement of the (P<sup>tr</sup>) space, with the Pre-Dominant supertonic harmonies, and accompanying melodic gestures of mm.4-5 given in opposite order in mm. 13-14, as if to create opposing gradients of tension. Figure 3 shows the initial presentation and reversed voice exchange relationship of these measures.



Figure 4.3: K. 310, Movement 3, mm. 1-15.  
Melodic and harmonic inversion.

<sup>17</sup> Rhythmic cell 4, in the right hand of measure 4 only appears in this sentential statement of the (P<sup>tr</sup>) space throughout the entire movement, marking only six reappearances total in 252 measures.

### **(TR) Transitional Space- Rhythmic Cell 1, 2 + 3 Above 2**

A short transitional episodic section, continuing the presence of cell 1 and 3 above 2, while introducing 2 in the right hand more resolutely, occurs from measures 20-28, consisting of an outlined F major triad and descending suspension figures. This passage seems to suggest the formally expected tonicization of C major. Figure 4 illustrates these rushed suspensions and the incomplete cadential six-four motion for the impending Medial Caesura HC.



Figure 4.4: K. 310, Movement 3, mm. 21-28.  
Transitional figure.

### **(S<sup>1</sup>) Secondary Theme- Rhythmic Cell 1 Above 2 and 1 Above 3**

Mozart turns to new techniques to delineate formal areas, and darkens the implied C key area by a turn to the parallel minor.<sup>18</sup> The new (S<sup>1</sup>) theme is clearly derived from the (P<sup>tr</sup>) space, but creates a new inversional interplay of tonic and dominant, with mm. 29-32 containing three measures of tonic expansion and one measure of dominant, and mm. 30-33 containing three measures of dominant expansion, and one measure of tonic harmony. Figure 5 shows this relationship.

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<sup>18</sup> This turn to the parallel minor is evocative of the first movement's Medial Caesura.



Figure 4.5: K. 310, Movement 3, mm. 29-35.  
Harmonic inversion ( $S^1$ ) theme entrance.

Additional attempts to consolidate the key occur, with a C major descending scale with a cadential six-four elided IAC. The resulting process suggests a Fauxbourdon-based sequence, a technique with its roots in the middle ages—centuries older than most of the V.S. features present in the work, as Figure 6 shows.<sup>19</sup>



Figure 4.6: K. 310, Movement 3, mm. 37-44.  
Fauxbourdon contrapuntal sequence and elision.

An exact repetition of the same sequence occurs, with another abortive attempt at a PAC, this time concluded with what initially seems to be the process of a tonicization of the D minor key area. Hatten refers to this passage of mm. 56-59 as a “Sequential, modulatory transition to E minor for an eventual restatement of the rondo theme” (Hatten 2004, 241). In closer focus, these four measures

<sup>19</sup> Fauxbourdon technique itself extends as far back as Guillaume Du Fay, whose sixteenth century compositions frequently employed identical configurations—typically with two upper voices distanced a fourth apart, with a third voice in a lower octave at the distance of a compound sixth, spelling out streams of what we now comprehend as first inversion triads. “Fauxbourdon,” *Grove Music Online*. *Oxford Music Online*, accessed April 28, 2014, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/09373>

consist of J.S. Bach-like contrapuntal mirror inversion—a more direct nod to the V.S.



Figure 4.7: K. 310, Movement 3, mm. 56-59.  
Contrapuntal mirror inversion.

As a parallelism with the ( $S^1$ ) space's initial imitation of melodic material a second higher, the mirror inversion figure is repeated in the same manner, creating a chromatic sequence which suggests E minor as a coming key area. An A minor contrapuntal expansion leads into E minor via a  $\hat{4} - \hat{3}$  suspension figure on a half cadence.

### ( $S^2$ ) Rhythmic Cell 2 Above 1 and 3 Above 1

The following measures disrupt the form of the movement by repeating the  $S^1$ -derived theme in the dominant minor key, now with an inverted textural relationship of rhythmic cell 2 above 1. This is the first apparent case of the *rivolgimento* of textural and rhythmic inversion— $S^1$ 's top becomes bottom in  $S^2$ , and  $S^1$ 's bottom becomes top in  $S^2$  (fig. 33).



Figure 4.8: K. 310, Movement 3, mm. 64-71.  
 $S^1$  Space-derived theme with rhythmic cell inversion.

The focus upon inversion processes continues, with the presentation of the (S<sup>1</sup>) Space's Fauxbourdon figure now in stark E minor tonality with its rhythmic cells also inverted. (S<sup>2</sup>) Space's transposed material is therefore differentiated from (S<sup>1</sup>) Space by textural inversion as well as key—LH and RH again swap roles as in mm.64-71.



Figure 4.9: K. 310, Movement 3, mm. 64-71.  
S<sup>2</sup> Space theme with rhythmic cell inversion.

A harmonic and melodic sequential pattern, involving mirror inversion cells and Fuxian suspensions, marks one of the densest passages in the entire work (mm. 87-93) as the movement recaptures the A minor half cadence necessary for a return to the (P<sup>tr</sup>) Space. Suspension chains and cells of contrapuntal mirror inversion mark the passage as composed in the V.S.



Figure 4.10: K. 310, Movement 3, mm. 87-95.  
Harmonic and melodic sequence with mirror inversion cells and Fuxian suspension chain.

The V.S. stylized and expanded sequence then elides into several measures of free polyphony, resembling a fifth species model of composition as Figure 11 shows.<sup>20</sup>



Figure 4.11: K. 310, Movement 3, mm. 95-106.  
Free polyphony and expanded half cadence.

**(P<sup>rf</sup>) Space Restatement- Rhythmic Cell 1 Above 2 and Rhythmic Cell 1 Above 3**

The (P<sup>rf</sup>) Space restatement takes the form of an exact restatement of the primary expository material, until m. 125 where a diversion occurs to create a closing gesture from the Fauxbourdon theme of the (S) Space. This pattern is presented above root position triads. Figure 12 shows the relevant passage.



Figure 4.12: K. 310, Movement 3, mm. 127-142.  
Root position inverted restatement of (S) space “Fauxbourdon” theme.

<sup>20</sup> This free polyphonic treatment also serves to refocus the attention upon rhythmic cell 1 for its return in the (P<sup>rf</sup>) space restatement, by reinforcing it in both hands before the expanded half cadence.

The effect created is decidedly final, in comparison to the evaded cadences of the previous incarnation of this thematic material. The presentation of thirds in the upper register is composed in an inverse relationship to the E minor statement, marking that register and textural patterns have been inverted again, separating the identities of the formal spaces.

**(Episode)**

The (Episode) theme is marked by its musette topic, built in another four plus four pattern upon the V.S. staple of the pedal point, in the parallel major. In its first half, comprising sixteen measures marked off with a repeat sign, only the three cadential measures break away from the tonic pedal. Figure 13 shows the Musette pattern.



Figure 4.13: K. 310, Movement 3, mm. 143-158.  
Musette-style episode theme on tonic pedal.

The Musette melodic profile consists of materials again derived from other resources of the movement, with mm. 147-150 derived from mm. 25-28 of the (TR) material. The second ending is elided with the return of the recapitulation for



the final rotation of the ( $P^{ff}$ ) Space, which is given again in its exact original configuration.

### **(TR)- Rhythmic Cell 1 and 3 Above 2**

The final rotational (TR) exists as an amalgam of the rhythmic cells of the original transition figure (mm. 21-24) and the harmonic implication of the modulatory section of the ( $S^2$ ) Space (mm. 56-59). Following a key defining *Sturm und Drang* outburst, Mozart opts for a surprising substitution in the final (S) Space rotation.

### **Recapitulatory (S) Space- Rhythmic Cell 2 Above 1, 1 Above 2, 1 Above 3, and 3 Above 1**

The final statement of the (S) Space contains the most compacted and authoritative demonstration of Mozart's textural experiment within the V.S. inversion principle. The (S) Space is dramatically condensed, drawing on and combining elements from both the ( $S^1$ ) and ( $S^2$ ) sections, offering alternating variations of the three dominant rhythmic cells and the textural patterns, creating a whirlwind tour of all of the combinations presented.

With the (S) Space's return to dominant minor harmony in mind, it is not surprising that the recapitulatory (S) Space again confirms the "bleak realization" outlined by Hepokoski and Darcy's commentary on minor mode sonatas (Hepokoski and Darcy 2011, 313). ( $S^2$ ) Space is recapitulated first. For four measures, rhythmic cell 2 above 1 appears as in its original statement of mm. 64-

71. This relationship is immediately inverted for the second group of four measures 207-210, as shown in Figure 14.



Figure 4.14: K. 310, Movement 3, mm. 203-210.  
Imitation figure.

The tour continues, with a recapitulation of both textural statements of the Fauxbourdon theme of the ( $S^1$ ) and ( $S^2$ ) spaces. These originally occurred dozens of measures apart; here they are given one after the other, with only a cadence between. Figure 15 shows the application of both inversions of the “Fauxbourdon” theme in close recapitulation.



Figure 4.15: K. 310, Movement 3, mm. 211-225.  
Cell 1 above 3 and Cell 3 above 1 “Fauxbourdon” theme of ( $S$ ) Space.

Mozart effectively condenses four restatements of material into a single combination, placing the inversion principle of the work in sharp relief. With forward momentum driven by the compression, Mozart creates drama by

returning to a restatement of the contrapuntal mirror inversion figure of mm. 56-59, extending it for another measure of intensification and delay (fig. 16).



Figure 4.16: K. 310, Movement 3, mm. 226-231.  
 Contrapuntal mirror inversion intensification.

The Fauxbourdon theme sounds a final time, this time in breathless six-four position chords with a more resolute statement of inversion process—invertible counterpoint at the octave based upon the previous statement of the theme.



Figure 4.17: K. 310, Movement 3, mm. 233-244.  
 Invertible counterpoint at the octave (reworking of mm. 219-222).

The final rotation of the (S) Space is a culmination of the textural inversion focus of the movement, with the ultimate statement being presented directly before an authoritative PAC. With the repetition of two PACs, the (ESC) of the movement occurs at mm. 244-245.

## Codetta

The codetta takes the form of a canonic two-measure pattern which enters first in the right then left hand, indicating a final bow to the V.S. as shown in Figure 18.

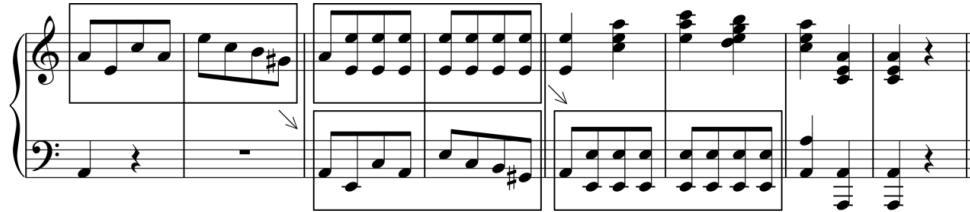


Figure 4.18: K. 310, Movement 3, mm. 245-252.  
Codetta imitation.

This imitation ends the movement with a resolute PAC, and the only rest within the movement that does not occur as the product of one voice entering or exiting in a polyphonic texture. The only silence programmed into the movement comes in the last measure, finally ending the *moto perpetuo* storm which has raged for over 250 measures.

## Summary

Mozart builds variation, intensification, and progression from the rotation of the same small pool of ideas, using only the V.S. elements of inversion and derivation of materials from a small pool of ideas. In this way, this movement directly supports Caplin's argument that the V.S. may be strongly implicated into formal and structural processes within tonal music. With the typical rhythmic and cadential cues largely suppressed, the V.S. construction of the work is directly responsible for formal articulation.

Table 4: K. 310, Movement 3. Summary of V.S. features.

<b>FORMAL REGION</b>	<b>V.S FEATURES</b>	<b>MAJOR RHYTHMIC CELLS</b>	<b>EXPANDED AND TROPED BY</b>
<b>(P<sup>rf</sup>)</b>	Pedal Point Harmonic Relationship Inversion	1 over 2	<i>Sturm und Drang</i>
<b>(TR)</b>	Suspension Figures	1 over 2 3 over 2	-
<b>(S<sup>1</sup>)</b>	Harmonic Relationship Inversion Fauxbourdon Theme Mirror Inversion	1 over 2 1 over 3	<i>Sturm und Drang</i>
<b>(S<sup>2</sup>)</b>	Textural Inversion Registral Inversion	2 over 1 3 over 1	<i>Sturm und Drang</i>
<b>Return</b>	Harmonic and Melodic Sequence with Mirror Inversion Counterpoint 'Fifth Species Counterpoint'	1,2,3,4,5, and 7	<i>Sturm und Drang</i>
<b>(P<sup>rf</sup>)</b>	Pedal Point  Harmonic Relationship Inversion  Textural Inversion - early (S)	1 over 2 1 over 3	<i>Sturm und Drang</i>
<b>(Episode)</b>	Pedal Point	1 over 3 3 over 3	Musette
<b>(P<sup>rf</sup>)</b>	Textural and Registral Inversion/Imitation  Mirror Inversion Counterpoint	1 over 2	<i>Sturm und Drang</i>
<b>(S<sup>1+2</sup>)</b>	Textural Inversion and Invertible Counterpoint at the Octave	2 over 1 1 over 2 1 over 3 3 over 1	<i>Sturm und Drang</i>
<b>(CODA)</b>	Canonic Imitation	-	<i>Sturm und Drang</i>

## CHAPTER 5

### ANALYSIS: PIANO SONATA IN C MINOR, K. 457, MOVEMENT 3

Like its first movement, K. 457's third movement is labelled as obsessive in commentary.<sup>21</sup> Kinderman describes the movement as being "...racked by extreme contrasts, more so than any other sonata movement by Mozart. Its opening theme is characterized by sigh-figures, insistent syncopations, and dissonant suspensions" (Kinderman 2006, 61). The language Kinderman chose immediately establishes this movement's tendency to prefer V.S. features. What Kinderman does not state, however, is that the extreme contrasts of the formal delineations are mostly outlined by V.S. features.

The movement tropes and expands the Concerted Style— as in the first movement— which has led many authors to understand the work, and especially the third movement, as expressing a concerto-like dynamic of solo and tutti alternations. As with the first movement, Mozart stresses interruption as a compositional technique. These interruptions occurs not in a Schenkerian sense of disrupting final cadential motion, but in digressions from establishing tonalities, or in unexpected incursions within apparently stable tonal configurations.

#### **(P<sup>rf1</sup>) Primary Theme**

The V.S.'s presence is immediately apparent at the outset of this movement, with Fuxian fourth species counterpoint built upon a repeated *Seufzer* gesture as initial thematic material. Hatten describes the application of the

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<sup>21</sup> Hatten (2004, 155) and Kinderman (2006, 61)

suspension topic in the ( $P^1$ ) space as “expressively marked as obsessive, and already thematic in its consistent use” (Hatten 2004, 152). As in the first movement, the V.S. topoi are compounded by their concurrent application in the expository material. The Seufzer motives are representative of an expansion via the *Empfindsamkeit* topic with its pregnant pauses—a rhetorical device programmed repeatedly into the movement. This *Empfindsamer Stil* mode of expression is especially evident in statements of Seufzer topical content.

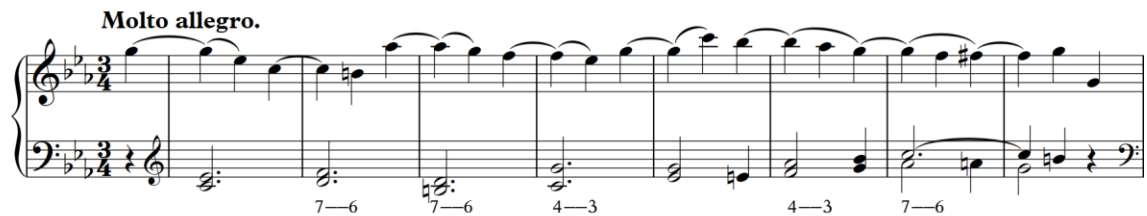


Figure 5.1: K. 457, Movement 3, mm. 1-8.  
( $P^{f1}$ ) Space Seufzer figure suspension chains.

Following the quiet PAC resolution of the ( $P^{f1}$ ) space at measure 16, a tutti effect creates a new motivic and topical link with the first movement, suggesting a ( $P^2$ ) formal region. As Hatten describes, “Rhetorically, obsessiveness is intensified in a furious passage hammering on the dominant, and unexpected abruptness is achieved by the disjunct, *Sturm und Drang* outbursts of  $vii^{\circ}7$  to  $i$  to  $V6/5$  and sudden silence prolonged by a fermata” (Hatten 2004, 155). The pedal six-four chords of the “tutti” in mm. 17-20 with their repeated continuations recall directly the motivic and suspension-based V.S. elements of the first movement, as Figure 2 illustrates.



Figure 5.2: K. 457, Movement 3, mm. 16-25.

(P<sup>rf2</sup>) Space pedal six-four and descending suspension-derived figure.

The disruptive power and change of texture achieved by the pedal six-four chords, and the suspension figures programmed with *Empfindsamkeit* pauses, led Kinderman to his characterization of the opening measures as containing a “...distinct suggestion here of a tutti-solo alternation, with the insistent forte fanfares in mm. 17-24 and mm. 31-38 enclosing the expressive piano statement in mm.26-30” (Kinderman 2006, 61). Two beats of silence mark the end of the (P) space following a PAC, signifying the dominance of V.S. topoi in both (P<sup>rf1</sup>) and (P<sup>rf2</sup>) Space.

### **(TR) Transition**

Transition in K. 457’s third movement is achieved by a single measure-long dominant seventh applied chord of the mediant key area, creating an even more compact rhetorical disjunction than the first movement’s (TR) gesture. This single applied chord contributes to the disruptive forces programmed throughout the sonata. (Hatten 2004, 155)

### **(S) Secondary Theme**

A number of melodic and harmonic consistencies are evident between the first and third movements of the sonata. The beginning of the (S) space shows strong melodic and textural links to the “problematic” S-themed transitional material of the first movement, and presents a singing style melody above a tonic



pedal point. These melodies function in a similar transitional capacity, without root position dominant chords presented until the appearance of expanded and imitative material approaching a Post Medial Caesura (PMC) in mm. 30-34. The focus upon the dominant chord indicates that what comes next may more rightly be thought of as (S) Space, from m. 36.

Upon categorical emphasis of the E flat major, the second theme's V.S features begin to materialize, ushered in by a single change of bass suspension and a triple meter friendly rendering of the cadential six-four chord presented in the first movement's mm. 56-58.



Figure 5.3: K. 457, Movement 3, mm. 69-73.  
Change of bass suspension V.S. introduction.

The (S) space rapidly develops the Lament Bass figure expressed in the first movement, now given with Alberti Bass accompaniment.



Figure 5.4: K. 457, Movement 3, mm. 74-77.  
Lament bass figure and intensified suspensions.

A four measure cadential gesture leads to a restatement of the Lament Bass figure an octave lower, reaffirming the imitative focus of the movement, and an expression of the Baroque preference for repetition at the octave (fig. 5).



Figure 5.5: K. 457, Movement 3, mm. 78-85.  
Lament bass figure imitation and intensified suspensions.

The imitative presence extends further following a restatement of the cadential figure of mm. 88-90, also at the lower octave, completing formal closure of the (S) Space with a resolute PAC. Figure 6 displays another imitative closure—again at the octave—this time in the form of a  $\hat{5}-\hat{6}-\hat{7}-\hat{8}$  gesture forming a codetta.



Figure 5.6: K. 457, Movement 3, mm. 90-96.  
Imitative codetta motive.

A series of dominant and diminished seventh harmonies, expanded in a concerted style, establish the C minor half cadence stand-in, needed for the return to the (P) space material in Sonata Rondo form, effectively filling out the  $C \Rightarrow RT$ .

### (P<sup>rf</sup>) Space Restatement

Following an *Empfindsamkeit* pause on the dominant, an exact restatement of (P<sup>2</sup>) fills mm. 103-141. In mm. 143-144, an imitative gesture echoes and provides an applied chord for the coming (Episode) key area (fig. 7).



Figure 5.7: K. 457, Movement 3, mm. 138-145.  
Imitative transitional material to (Episode) space

The *Empfindsamkeit* pauses prepare our attention for the coming (Episode).

### (Episode)

The Episode theme contains one of the most evocative topical expansions of the entire work. The combination of suspension and Seufzer topoi are expanded in measures 146-166 through an extended passage of *Empfindsamkeit* pauses and chromatic alterations. As Hatten describes, “The theme begins with a mysterious Alberti-bass oscillation between i and vii<sup>o</sup> in F minor, preparing a desolate background for the dissociated single-note gestures that emerge as its ‘melody’” (Hatten 2004, 156). Figure 8 illustrates these gestures.



Figure 5.8: K. 457, Movement 3, mm. 146-154.  
Topically-expanded Seufzer theme via *Empfindsamkeit* progression.

The topical expansion of the Seufzer theme, via this “desolate background,” is still incomplete after eight measures, as Mozart restates the material a whole step higher. As Hatten explains, “This is an extreme instance of *Empfindsamkeit*, marked expressively by single-note sighs and extensive rests that represent not merely gasps but utter emotional exhaustion” (Hatten 2004, 156). Figure 9 illustrates the nine measure continuation of the Seufzer expansion via the *Empfindsamkeit* topic.



Figure 5.9: K. 457, Movement 3, mm. 157-166.  
Seufzer theme intensification to half cadence.

In continuing the Seufzer expansion, Mozart creates a further impression of obsessiveness, as Hatten continues, “Only when the melody musters enough energy for a full sigh figure, echoed up an octave, does the bass finally begin to descend in a conventional lament pattern” (Hatten 2004, 156). The end of the Seufzer expansion marks the end of the (Episode) space. To summarize, the (Episode) formal section consists of only one topically expanded V.S. feature with no other melodic content.

### Recapitulatory Space

Closure of the (Episode) space via another half cadence in C minor allows for the return of the (P) theme, but Mozart’s delayed rotation reverses the recapitulatory order. A lament bass pattern is substituted into the (S) theme, fulfilling its bleak promise, as Figure 10 shows.



Figure 5.10: K. 457, Movement 3, mm. 175-179.  
Lament bass return.

The recapitulated half cadential repetition of the (S) transition provides context for the final stage of tonal organization for the movement. Immediately following the half cadence, signs for the imminent return of V.S. features materialize, with two change of bass suspensions, as shown in Figure 11.



Figure 5.11: K. 457, Movement 3, mm. 191-196.  
Change of bass suspensions.

As in the first movement, Mozart fails to recapitulate in the parallel major mode for the return of the (S<sup>2</sup>) material, falling back into C minor. The ultimate expression of this “bleak realization” of minor mode (S) Space recapitulation, as described in Hepokoski and Darcy’s *Minor Mode Sonata* discussion, comes in the form of the V.S. staple Lament Bass, given in mm. 175-179, in a fully chromatic restatement of the (S) space’s second half. (Hepokoski and Darcy 2011, 313) Figure 12 illustrates the recapitulatory Alberti expansion of this topic, extended an extra two measures past the original statement in order to drive home its fateful authority.

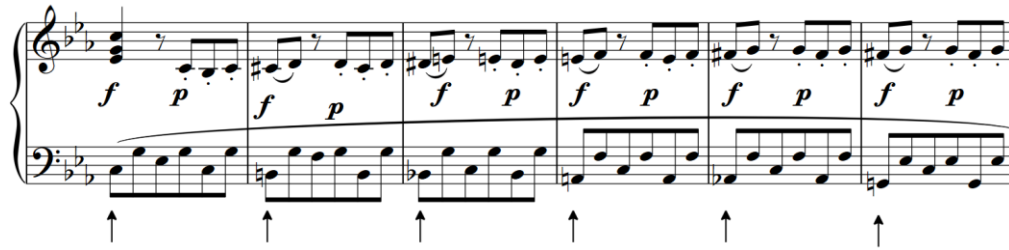


Figure 5.12: K. 457, Movement 3, mm. 206-210.  
Fully chromatic expanded lament bass.

The harmonic and melodic effect of the extra two measures creates a palpable sense of discomfort, as if the contrary motion of the outer two voices is continuing beyond reasonable expectation. Following the C minor return of the (S) theme, the late return of the (P) theme is heralded by a half cadence recapitulatory transition (TR) in a familiar format, as Figure 13 shows.

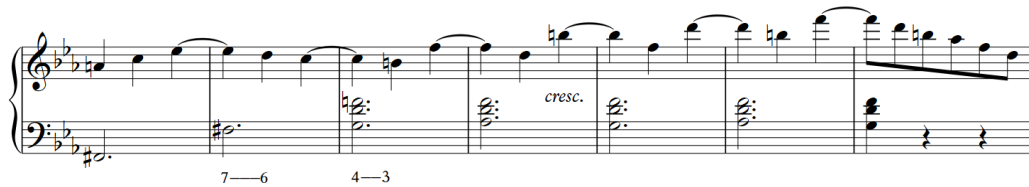


Figure 5.13: K. 457, Movement 3, mm. 211-217.  
Retransitional material.

By now, full authority has been ceded to the bleak V.S. elements, as even the transitional material is taken over by suspension figures. With the return of the (P) theme, the rotation of thematic material is almost complete. The rhetorical pauses in the return of the main theme mark the ultimate culmination of the importance of the Seufzer gesture throughout the sonata. Each restatement intensifies their potency before the return of the tutti pedal point of the (P) space. Figure 14 shows the final intensification of the Seufzer gestures, expanded gravely with the long pauses of the *Empfindsamkeit* topic.



Figure 5.14: K. 457, Movement 3, mm. 228-248.  
Expanded *Empfindsamer Stil* Seufzer figures.

Following the incomplete statement of the P<sup>1</sup> theme, one could easily expect a literal reiteration of the (P<sup>2</sup>) theme's pedal point six-four chord tutti, and a coda to conclude the movement. In place of this, an additional formal diversion is in store involving an exact repetition of the (Episode) theme.



Figure 5.15: K. 457, Movement 3, mm. 228-248.  
*Empfindsamer Stil* Seufzer expansion.

The (Episode) restatement is intensified via a leading tone diminished seventh chord, resolving into a cadential six-four chord and PAC combination

marking the (ESC) of the movement. Movement is not halted for a moment, however, as the coda's accompaniment figure is elided with the PAC.

### **(C) Closing and Coda**

The coda is drawn from the imitative thematic material of the codetta attached to the statement of the expository material, transposed to the tonic C minor.



Figure 5.16: K. 457, Movement 3, mm. 228-248.  
Closing imitation gesture.

As Hatten relates, “Gesturally, although the same hand performs the ‘line,’ the extravagant cross-hand movement marks another voice—fateful in response to the more pleading high register, and implacable as it takes over for an inexorable cadence in the lowest register” (Hatten 2004, 164). Ultimately, Mozart is unable to provide any form of relief from the strict affect, as the imitative gestures and stark cadence close the movement in pure imitation at the octave.

### **Summary**

To summarize, K. 457's final movement is characterized by the oppositional characteristic expansion of three main V.S. features; the suspension chain, the Seufzer, and the pedal point. These V.S. staples are expanded via the *Sturm und Drang*, *Empfindsamkeit*, and concerted topoi. Transitional material is minimal or absent, and becomes increasingly burdened with the presence of the thematic material of the primary formal areas. The codetta and final coda are the



only regions permitted to exist outside of the V.S. thematic material, and even they carry the weight of direct authoritarian imitation, as if Mozart is unwilling to completely let the burden be lifted.

As in the first movement, disruption is a key rhetorical device, typically appearing at formal delineations. This creates a startling disjunction between areas. A large component of the disruptive affect is created by the continual application of the *Empfindsamkeit* topic, with its characteristic pauses and chromatic intensifications consistently disrupting what seem to be stable tonal configurations.

Table 5: K. 457, Movement 3. Summary of V.S. features.

<b>FORMAL REGION</b>	<b>V.S FEATURES</b>	<b>EXPANDED AND TROPED BY</b>
<b>(P<sup>rf1</sup>)</b>	Fuxian Counterpoint with Suspension Chains/Seufzer Figures	<i>Empfindsamkeit</i>
<b>(P<sup>rf2</sup>)</b>	Pedal Six-Four and Descending Suspension Chain/Seufzer	<i>Sturm und Drang/Concerted</i>
<b>(TR)</b>	-	-
<b>(S<sup>1</sup>)</b>	Singing Style→Change of Bass Suspension	Alberti/Concerted
<b>(S<sup>2</sup>)</b>	Lament Bass	Alberti/Concerted
<b>(CODETTA+C⇒RT)</b>	Registral Imitation	Concerted→ <i>Sturm und Drang</i>
<b>(P<sup>rf1</sup>)</b>	Fuxian Counterpoint with Suspension Chains	<i>Empfindsamkeit</i>
<b>(P<sup>rf2</sup>)</b>	Pedal Six-Four and Descending Suspension Chain	<i>Sturm und Drang/Concerted</i>
<b>(Episode)</b>	Seufzer	<i>Empfindsamkeit</i>
<b>(S<sup>1</sup>)</b>	Singing Style→Lament Bass→Change of Bass Suspensions	Alberti/Concerted/ <i>Sturm und Drang</i>
<b>(S<sup>2</sup>)</b>	Lament Bass/Passus Duriusculus	Alberti/Concerted
<b>(C⇒RT)</b>	Fuxian Counterpoint with Suspension Chains/Seufzer Figures	<i>Empfindsamkeit</i>
<b>(P<sup>rf1</sup> interrupted)</b>	Fuxian Counterpoint with Suspension Chains/Seufzer Figures	<i>Empfindsamkeit</i>
<b>(P<sup>rf2</sup>)</b>	Pedal Six-Four and Descending Suspension Chain/Seufzer	<i>Sturm und Drang/Concerted</i>
<b>(Episode)</b>	Seufzer	<i>Empfindsamkeit</i>
<b>(CODETTA)</b>	Registral Imitation	Concerted→ <i>Sturm und Drang</i>

## CHAPTER 6

### THE VENERABLE STYLE IN EACH SONATA AND IN ALL FOUR MOVEMENTS: DISCUSSION AND CONCLUSIONS

With detailed analysis complete of the local use of the Venerable Style in each of the four movements, it is possible now to move to a larger scale analysis to draw generalizations about its role in each of the sonatas and to determine if connections exist between the two works. Attention will first be turned to a comparative analysis of K. 310's outer movements, followed by a treatment of K. 457's.

#### K. 310 Movements 1 and 3: Comparison

Although the surface execution of each of the movements is different by nature of the mix of the characteristic Turkish and Brilliant topoi of the first movement and the monoaffective *Sturm und Drang* of the third movement, many V.S. elements are immediately apparent upon analysis, as discussed in Chapter 2 and 4. In placing the collected data on the V.S. elements at work in each of the movements side by side, similarities and general trends are observable. Table 6, given below, provides the structure to compare the application of the V.S. in common formal areas, outlined according to the precision of Hepokoski and Darcy's labeling system for the elements of sonata forms. Additionally, the table provides measure numbers for each of the elements to form a complete picture of the overarching influence of the V.S. and its consistent application throughout each movement.

Table 6: K. 310 Movements 1 and 3. Summary of V.S. features.

FORMAL REGION	K. 310 MVT 1	Measures	K. 310 MVT 3	Measures
(P) or (P <sup>rf</sup> )	Initiating Pedal Point →Seufzer	1-4, 9-13 6-8	Pedal Point Harmonic Relationship Inversion	1-4, 9-13 5-6 with 13-14
(TR)	Suspensions/Seufzer Figures Expanded Pedal Six-Four	14-15 16-22	Suspension Figures	21-27
(MC)			-	-
(S)	Sequential Imitation in Toccata Style →Fuxian Counterpoint and Suspensions	22-26 28-32	Harmonic Relationship Inversion Fauxbourdon Theme Mirror Inversion Textural Inversion	29-36 37-51 52-59 64-86
RETURN/ CODETTA			Harmonic and Melodic Sequence with Mirror Inversion Counterpoint	87-94
(P <sup>rf</sup> )			'Fifth Species Counterpoint'	95-99
(Episode)			Pedal Point	107-110, 115-118
(EEC)	Invertible Counterpoint at the Octave	35-43	Harmonic Relationship Inversion	111-112 with 119-120
(CL- Codetta)	Sequential Imitation	45-49	Textural Inversion -early (S) Pedal Point	128-142 143-157, 168-173

Table 6 Continued.

FORMAL REGION	K. 310 MVT 1	Measures	K. 310 MVT 3	Measures		
<b>Development Space</b>	Pedal Point →Pedal Point Sequence Fuxian Counterpoint with Suspension Chains →Sequential Imitation	50-55  58-69  70-73  74-79				
	→Pedal Six-Four with Textural Inversion	80-83			Pedal Point	175-178, 183-186
	→R.H. Suspension Chain	88-93			Harmonic Inversion by Measure	179-181 with 187-188
	Seufzer/Suspensions →TR (MC)	94-96 97-103			-	-
<b>Recapitulatory (S)</b>	Sequential Imitation/Toccata Style →Compound Melody and Internal Pedal Points	103-106  106-107, 111-112	Textural and Registral Inversion/Imitation	203-206 with 207-210 and 211-214 with 219-22		
	→Fuxian Counterpoint and Suspensions	109-113	Mirror Inversion Counterpoint	226-230		
<b>(ESC)</b>	Invertible Counterpoint at the Octave	116-124	Invertible Counterpoint at the Octave	219-222 with 233-236 and 239-242		
<b>(CODA)</b>	Sequential Imitation	129-132	Canonic Imitation	245-251		

The first general conclusion is immediately apparent— there are no large gaps in measure numbers, indicating the strong presence of the V.S. throughout each of the movements. In more specific terms, however, the data supports the creation of a list of general characteristics and relationships in K. 310’s outer movements and the role that the V.S. plays in their key formal areas:

- Both movements’ (P) Spaces contain an initiating tonic pedal point for the presentation of their primary thematic material (Mvt. 1: mm. 1-4 and 9-13, mm. 1-4, Mvt 3: mm.9-13).
- Both (TR) Spaces involve the activity of suspension chains and are darkened at or near their Medial Caesurae by a turn to the parallel C minor of the coming C major (S) Spaces (Mvt 1: mm. 16-21, Mvt 3: mm. 29-32).
- Both movements’ (S) Spaces are built upon melodic and harmonic sequential activity and interrupted with more assertive V.S. contrapuntal techniques (Mvt. 1: mm. 22-26; brilliant ‘toccata’ motive overtaken by Fuxian counterpoint, Mvt. 3: m. 37 “Fauxbourdon” theme interrupted by contrapuntal mirror inversion m. 52).
- Both sonatas employ harmonic and melodic sequence of V.S. cells in transition to restatements of the (P) theme (Mvt 1: Developmental Space: mm. 58-78, Mvt. 3: Retransition to (Prf): mm. 87-95).
- Both movements feature textural inversion as a means of formal differentiation (Mvt. 1: Development Space, mm. 70-77, Mvt. 3: textural inversion is understood as a key compositional focus).
- Both movements’ PACs in their respective EECs and ESCs are delayed via invertible counterpoint (Mvt. 1: (S) Space to EEC: 36-43, Mvt. 3: mm. 232-244).
- A strong tendency toward immediate repetition of melodic material is apparent— especially in the third movement where almost all materials beside transitional content are presented twice.

Beyond generalization, several difficulties get in the way of providing a precise number of measures under the control of the V.S. for statistical comparison. Because cadential and extrageneric structures of the movements vary greatly in scope, and the reality that the exact boundaries of figures and elements are not always clear, attempts to quantify a ratio of V.S. to non-V.S. measures would not be a particularly meaningful exercise. It should be sufficient to note

that the V.S. is ever present within each movement, suggesting the probability that it is responsible for the labels of potency, tragedy, obsessiveness, and fatalism ascribed to the movements by Kinderman, Hatten, Badura-Skoda, and Rosen as explored in the first, second, and fourth chapters. The suggestion of external topoi such as Turkish March, *Sturm und Drang*, Brilliant, and *Empfindsamkeit* is almost always strictly controlled and anchored to the stern affect of the movements through troping and expansion with V.S. elements.

### **K. 457 Movements 1 and 3: Comparison**

Comparative analysis of the application of the V.S. in K. 457's outer movements will now be undertaken, with the data collected in Table 7, given below. Again, it is expected that the affective similarities of the movements will be accounted for by the consistent V.S. application, regardless of the different surface execution of the outer movements, with their Concerted, *Empfindsamkeit* and *Sturm und Drang* topical expansions and tropes.

Table 7: K. 457, Movements 1 and 3. Summary of V.S. features.

FORMAL REGION	K. 457 MVT 1	MEASURES	K. 457 MVT 3	MEASURES
(P) or (P <sup>rf</sup> )	Inversion Play/Imitation on "Rocket" Theme with Seufzer →Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	1-8 9-16	Fuxian Counterpoint with Suspension Chains/Seufzer Figures →Pedal Six-Four and Descending Suspension Chain/Seufzer	1-15 16-23 and 31-38
(TR)	Imitation on "Rocket Theme" →Problematic S-Zone	19-22	-	-
(MC)	Octave Imitation in PMC	30-34	Octave Imitation in PMC	58-66
(S)	Lament Bass	44-45 and 49-50	Singing Style on Pedal Point →Change of Bass Suspension → Lament Bass and Lower Octave Repetition	46-55 (-57) 69-70 74-77 and 82-85
RETURN/ CODETTA	→Fantasia Style Harmonic Incursion	51-55	Registrational Imitation	90-96
(P <sup>rf</sup> )			Fuxian Counterpoint with Suspension Chains/Seufzer Figures	103-119
(Episode)			→Pedal Six-Four and Descending Suspension Chain/Seufzer with Modulating Imitation Seufzer	120-127 and 134-144 146-166
(EEC)	Chromatically Intensified Suspension (retardations)	59-61		
(CL)	Pedal Point →"Rocket" Stretto Canon	67-71 71-73		



Table 7 continued

FORMAL REGION	K. 457 MVT 1	MEASURES	K. 457 MVT 3	MEASURES
Development Space	Imitative “Rocket” material	75-78		
	S-Space Problematic theme in related F minor	79-82		
Recapitulatory (P), [(S) in K. 457 mvt. 3]	Imitative “Rocket”	83-94		
	Inversion Play/Imitation on “Rocket” Theme	100-107	Singing Style on Pedal Point	167-175 (-178)
	→Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	108-115	Octave Repetition of PMC →Intensified Suspensions →Intensified Lament Bass	179-186 191-196 197-200
			→Intensified Lament Bass/Passus Duriusculus Suspension Chains/Seufzer Figures	205-210 211-216
Recapitulatory (RT)	“Rocket” Stretto Canonic Interruption →Singing Style →PMC repeat in C minor Lament Bass	118-120 126-129		
Recapitulatory (S), [(P <sup>th</sup> ) in K. 457 mvt. 3]	→Fantasia Style Harmonic Incursion	139-140 and 145-146 149-153	Intensification of Counterpoint with Suspension Chains/Seufzer Figures ( <i>Empfindsamkeit</i> ) →Pedal Six-Four and Descending Suspension Chain/Seufzer with Modulating Imitation Seufzer Repetition + PAC	221-243 249-256 and 263-273 275-287
(ES) [In (Episode) repeat of K. 457 mvt. 3]	Ascending Passus Duriusculus Bass with Chromatically Intensified Suspensions	157-159		
(CODA)	Canonic “Rocket” Treatment →Monotextural Coda Repetition at Lower Octave	168-173 176-181	Registral Imitation	288-293 and 310-317

As with K. 310, it is immediately apparent that there are no large gaps in expression of the V.S. throughout either movement. A number of generalizations are again possible:

- Both movements' (P) Spaces contain initiating dominant pedal points leading to viio4/3-i6 progressions under  $\hat{6} - \hat{5}$  Seufzer suspension figures (Mvt 1: mm. 1-16, Mvt 3: 1-38)
- Both (P) Spaces involve significant suspension chains
- Both movements contain a 'false' apparent Singing Style start to their (S) Spaces (Mvt. 1: mm. 23-29, Mvt. 3: mm. 46-57). These themes are harmonically and melodically related, and both momentarily imply an apparent turn to E flat minor
- Both movements contain significant lament bass and *passus duriusculus* figures in their (S) Spaces, which are lengthened and intensified significantly upon recapitulation (Mvt 1: mm. 44-45 and 49-50 first appearance, mm. 139-140 and 145-146 recapitulation. Mvt 3: mm. 74-77 and 82-85, mm. 197-200 and 205-210 recapitulation).
- Both movements contain significantly extended imitative and chromatic PMCs (Post Medial Caesurae) probably as a result of the false Singing Style introductions to the (S) Spaces (Mvt. 1: mm. 30-34, mm. 126-129 recapitulation, Mvt 3: 58-66, 179-186 recapitulation). These external topoi are taken over by V.S. derived content after the Post Medial Caesura in each movement
- Both Codas contain imitative rhythmic and melodic patterns which are immediately transposed to a lower octave for repetition (Mvt 1: mm. 176-181, Mvt 3: mm. 288-293 and 310-317)

In line with the above analysis, K. 457's preference for the V.S. lends credence to Badura-Skoda's description of the work as a "Conquest of personal tragedy by inner order and discipline." (Badura-Skoda, 1962) The unity of the work led to its significant status as a "cultural object" (Irving 2010, 9), and the combination of its strict topical control and severe affect contribute to its "epoch making" influence upon Beethoven, as described in Chapters 3 and 5.

### **Conclusions: The Venerable Style in all Four Movements**

Following the analysis and discussion of the previous two sections, it has become clear that the first and third movements of each of the sonatas are programmed with V.S. elements creating a common affect within each sonata. As a first conclusion then, it is possible to determine that at least for these works, that there are constraining forces in place which limit the expression and range of the topical content outside of the V.S. aesthetic. This conclusion strongly hints at a probable affirmative answer for the question posed by Caplin of whether or not there are rules or motivating forces that restrict and guide the ordering of topics—at least in some cases (Caplin 2005, 113). Within K. 310 and K. 457, the overarching themes of darkness, potency, and obsession mandate the strict control of materials, and the mechanism of control is proven to be the V.S. topic.

Only the final stage of analysis remains which will determine if further connections exist between all four movements, linking the compositions, composed six years apart, by a standing preference for minor mode expression programmed with the V.S. Table 8 outlines the V.S. features in each of the four sonata movements for comparison.

Table 8: Summary of V.S. features in K. 310 and K. 457's Movements 1 and 3

FORMAL REGION	K. 310 MVT 1	K. 457 MVT 1	K. 310 MVT 3	K. 457 MVT 3
(P) or (P <sup>rf</sup> )	Initiating Pedal Point →Seufzer	Inversion Play/Imitation on "Rocket" Theme with Seufzer →Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	Pedal Point Harmonic Relationship Inversion	Fuxian Counterpoint with Suspension Chains/Seufzer Figures →Pedal Six-Four and Descending Suspension Chain/Seufzer
(TR)	Suspensions/Seufzer Figures	Imitation on "Rocket Theme" →Problematic S-Zone	Suspension Figures	-
(MC)	Expanded Pedal Six-Four Sequential Imitation in Toccata Style	Octave Imitation in PMC Lament Bass	-	Octave Imitation in PMC
(S)	→Fuxian Counterpoint and Suspensions	→Fantasia Style Harmonic Incursion	Harmonic Relationship Inversion Fauxbourdon Theme Mirror Inversion Textural Inversion	Singing Style on Pedal Point →Change of Bass Suspension → Lament Bass and Lower Octave Repetition
RETURN/ CODETTA			Harmonic and Melodic Sequence, Mirror Inversion Counterpoint, Fuxian suspension chains	Harmonic and Melodic Sequence with Mirror Inversion Counterpoint
(P <sup>rf</sup> )			Pedal Point, Harmonic Inversion by Measure, (S) Space early recapitulation	'Fifth Species Counterpoint' Pedal Point
(Episode)			Pedal Point	Harmonic Relationship Inversion Textural Inversion -early (S) Pedal Point
(EEC)	Invertible Counterpoint at the Octave	Chromatically Intensified Suspension (retardations)		
(CL)	Sequential Imitation	Pedal Point →"Rocket": Stretto Canon		

Table 8 continued.

FORMAL REGION	K. 310 MVT 1	K. 457 MVT 1	K. 310 MVT 3	K. 457 MVT 3
<b>Development Space</b>	Pedal Point →Pedal Point Sequence Fuxian Counterpoint with Suspension Chains →Sequential Imitation →Pedal Six-Four with Textural Inversion	Imitative “Rocket” material S-Space Problematic theme in related F minor Imitative “Rocket”		
<b>Recapitulatory (P), or (P<sup>r</sup>) [(S) in K. 457 mvt. 3]</b>	Initiating Pedal Point →R.H. Suspension Chain	Inversion Play/Imitation on “Rocket” Theme →Initiating Pedal Point with Fuxian Suspension Chains and Passus Duriusculus Inversion Play	Pedal Point Harmonic Inversion by Measure	Singing Style on Pedal Point Octave Repetition of PMC →Intensified Suspensions →Intensified Lament Bass →Intensified Lament Bass/Passus Duriusculus
<b>Recapitulatory (RT)</b>	Seufzer/Suspensions →TR (MC)	“Rocket” Stretto Canonic Interruption →Singing Style →PMC repeat in C minor		Suspension Chains/Seufzer Figures
<b>Recapitulatory (S), [(P<sup>r</sup>) in K. 457 mvt. 3]</b>	Sequential Imitation/Toccata Style →Compound Melody And Internal Pedal Points →Fuxian Counterpoint and Suspensions	Lament Bass →Fantasia Style Harmonic Incursion	Textural and Registral Inversion/Imitation  Mirror Inversion Counterpoint	Intensification of Counterpoint with Suspension Chains/Seufzer Figures ( <i>Empfindsamkeit</i> ) →Pedal Six-Four and Descending Suspension Chain/Seufzer with Modulating Imitation
<b>(ESC) [In (Episode) repeat of K. 457 mvt. 3]</b>	Invertible Counterpoint at the Octave	Ascending Passus Duriusculus Bass with Chromatically Intensified Suspensions	Invertible Counterpoint at the Octave	Seufzer Repetition + PAC
<b>(CODA)</b>	Sequential Imitation	Canonic “Rocket” Treatment →Monotextural Coda Repetition at Lower Octave	Canonic Imitation	Registral Imitation

According to the data collected within the table, the following conclusions are made regarding the application of the V.S. within all four movements:

- Each (P) Space contains an initiating pedal point, and varying numbers of other compounded V.S. elements. Three of the movements feature Seufzer figures in their primary material
- Each of the movements, with the exception of K. 457's third, elides the suggestion of a restatement of its (P) thematic material with its (TR) Space via imitation and Seufzer imitation figures
- All relative major key (S) Spaces are darkened with the implication of a V.S. object in the parallel minor in their (MC,) (PMC,) or early (S) Space
- All (S) Spaces begin with the impression of Galant brilliance or the Singing Style to indicate topical change, but are quickly taken over by V.S. elements such as Fuxian counterpoint, obsessive inversion play, or lament basses to maintain a serious affect.
- Each (S) Space is comprised of at least one characteristic V.S. contrapuntal element or idiom which is lengthened, chromatically intensified, and amplified with other V.S. elements upon its recapitulation in the tonic minor.
- Both Sonata Allegro movements' (CL) Space material involves a repetition of a motivic pattern, typically an octave lower, and an imitation of (P) thematic/rhythmic material.
- Both Sonata Rondo movements' Return/Codetta material is imitative in nature
- Both Developmental Spaces in the Sonata Allegro movements are imitative of (P) rhythmic themes and involve harmonic and melodic sequential material based upon modular V.S. cells
- All recapitulation Transitions (TR) are chromatically intensified and lengthened, with only K. 310's third movement dropping its V.S. feature to deliver pure *Sturm und Drang* drama
- Each final coda consists of imitation (sequential and rhythmic) or canonic imitation

Although each of the movements inhabits its own sound world and has its own affective intricacies, these general characteristics allow the V.S. to become a unifying force tying the works together. The V.S. topical connections within the key formal areas of each of the four movements are responsible for a large part of

the impetus for the labels of darkness, potency, despair, tragedy, austerity, fatalism, and implacability introduced in Chapter 1.<sup>22</sup> Put another way, these shared V.S. characteristics bridge the gap between the distinctive affects of each of the movements and the adjectives which are commonly evoked to describe them.

Consistent application of the V.S. within each of the sonata movements taken individually, and as a group, has suggested a tight-knit aesthetic which defies the “miniature theater of gestures” idea proposed by Allanbrook, with topical content shown to be strictly controlled.<sup>23</sup> (Allanbrook 1992, 130) Although the works are programmed to varying degrees with the typical High Viennese preference for dialog and opposition, it is precisely the limited topical range playing out over a preference for a V.S. aesthetic which sets the works apart and suggests a weightier aesthetic than many of their counterparts. In justifying this point, extant analyses performed by Ratner, Allanbrook, Agawu, and Hatten suggest a far greater range of topoi at play in piano sonata movements from earlier, contemporary, and later periods in Mozart’s output. As an example, Ratner’s analysis of K. 284’s first movement displays a significant number of disparate topical changes occurring regularly throughout the expository material with Brilliant, Fanfare, Singing Style, Orchestral, March, Ornamental Style, and *coups d’archet* creating a complicated narrative in comparison to K. 310 or K. 457’s austerity (Ratner 1991, 618). Similarly, Allanbrook’s analysis of K. 332’s first

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<sup>22</sup> As referred to in commentary: Kinderman (2006, 45), Rosen (1998), Badura-Skoda (1962), Hatten (2004, 240), and (Irving 2010, 8).

<sup>23</sup> Furthermore, there is nothing particularly “comically witty” suggested by the limited interplay of topoi within the works (Ratner 1991, 615)

movement suggests an even more extreme application of unrelated topoi, with Singing Style, V.S., Horn Call, *Sturm und Drang*, and Minuet topoi breathlessly strung together within the expository material (Allanbrook 1992).

With topical analysis suggesting that the music is programmed in a strictly controlled manner, both works evoke an avant-garde “opening up of a new world” and “epoch making” focus upon minor mode expression and control of detail (Badura-Skoda, 1962). The tangible influence upon later composers as described by Kerman, Hatten, Agawu, and Kinderman is evident in their output and in their veneration for Mozart’s control of materials.

Finally, Caplin’s suggestion of the Venerable Style playing a role in formal processes in music seems to be at least partially supported by the conclusions of this project. It would seem that at least for K. 310 and K. 457, that several V.S. features produce the outline of vital elements of the middleground structures of the works. Perhaps the most obvious example of this probability is evident in the harmonic sequences of the Developmental Spaces of each of the Sonata Allegro movements. The individual sequences form circuitous paths to the necessary half cadences which prepare for the final rotation of the expository materials. The harmonic and melodic sequences of K. 310, coupled with its textural inversions and suspension chains, and the imitative focus of K. 457 enliven and facilitate a simple contrapuntal and harmonic journey from mediant to dominant harmony. It is therefore probable that certain V.S. elements given in the middleground and foreground are capable of articulating formal delineations and content—at least in certain compositional contexts.



### Avenues for Future Research

Several avenues for further research are apparent given the analytical conclusions of the project and areas of activity in the literature which would suggest room for exploration. Firstly, an analysis of the V.S. elements native to the second movements of each of the sonatas would determine if any whole sonata relationships exist. Authors such as Agawu and Hatten have commented upon the “learned” elements apparent in the movements, suggestive of the probability that at least some of the strict affect of the outer movements is influential in the central movements of each sonata.<sup>24</sup>

Secondly, in casting a more broad net, it may be fruitful to look to the Violin Sonata in E minor K. 304, to see if any significant V.S. activity is present within the work given its status as the only small ensemble chamber work set in a minor key with piano accompaniment. This also opens up the possibility of looking to the broader field of other minor mode works within Mozart’s output. It may be possible to determine if the V.S. features and formal relationships present in K. 310 and K. 457 are part of a larger ‘minor style’ for Mozart, or native only to movements presented in sonata forms.

Finally, and more specifically to the current project, it may be possible to take the general and specific features presented in the concluding analytical remarks of this chapter to create a rough map for the composition of a piano sonata movement in the style of K. 310 and K. 457. Although Chapter 1 concluded that

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<sup>24</sup> Agawu (1991, 62-64), Hatten (2004, 241) Both authors refer to “suspension chains” and a Baroque aesthetic within K. 310’s second movement F minor episode.

the discipline of Topic Theory alone has no generative powers, the combination of the formal structure provided by Hepokoski and Darcy's Sonata Theory, and the aggregated common V.S. features presented in this Chapter would be enough to create a recognizable approximation which would carry something of the affective weight of K. 310 or K. 457. This 'experiment' would therefore necessarily take the form of a model composition project with a number of guidelines and expectations for form and modes of expression.<sup>25</sup> Such compositions would confirm the powers of the V.S. in this particular repertoire for creating an affective stance common to both K. 310 and K. 457.

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<sup>25</sup> As an example, this 'experiment' could be imagined in the form of a model composition project where the goal would be to create a Sonata Allegro movement composed in a minor key *in the style of* K. 310 or K. 457. This movement would contain (P), (TR), (S), Spaces, and so on, programmed with the common features listed above. The (P) Space would be built upon an initiating pedal point, and filled with recurrent Seufzer gestures and suspension chains etc. Each of these gestures could be characteristically expanded for several measures to determine if it is possible to capture something of the gravitas and potency suggested by K. 310 and K. 457 in the structured application of the V.S. to a new composition.

## APPENDICES

### LIST OF ABBREVIATIONS AS GIVEN IN HEPOKOSKI AND DARCY'S *ELEMENTS OF SONATA THEORY*<sup>26</sup>

C = Closing Zone

EEC = Essential Expositional Closure. The first satisfactory PAC within S that proceeds on to differing material

ESC = Essential Structural Closure. The first satisfactory PAC that proceeds on to differing material in the recapitulation's S zone.

MC = Medial Caesura

P = Primary-theme zone

PMC = Postmedial Caesura. An emphatic MC-like effect that occurs in the exposition following an initial successful MC

P<sup>rf</sup> = The specialized P-theme within a Type 4 (sonata rondo) that functions as a recurring refrain theme.

RT = Retransition.

S = Secondary-theme zone

TR = Transition. Energy gaining section following P driving towards an MC.

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<sup>26</sup> Shortened versions of the abbreviations given as in Hepokoski and Darcy (2006) pp. xxv-xxviii.

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