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Minor-Mode Sonata-Form Dynamics in Haydn's String Quartets

By Matthew J. Hall

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Abstract

The predominance of major-mode works in the repertoire corresponds with the view that minor-mode works are exceptions to a major-mode norm. For example, Charles Rosen's *Sonata Forms*, James Hepokoski and Warren Darcy's *Sonata Theory*, and William Caplin's *Classical Form* all theorize from the perspective of a major-mode default. Although certain canonical minor-mode works have received sustained scholarly attention, minor-mode sonata style in general is less often studied. Despite their relatively fewer numbers, minor-mode works comprise a substantial corpus. Among the string quartets of Joseph Haydn, the minor mode is represented in every opus beginning with Op. 9; even Haydn's last unfinished quartet, "Op. 103," was to be in the minor.

The minor-mode sonata corpus is ample enough to make general study possible, but small enough to make comprehensive surveys manageable. This study is a comprehensive survey of Haydn's minor-mode sonata-form movements in the string quartets, with particular emphasis on the first movements of the final three quartets: Op. 64 no. 2, Op. 74 no. 3, and Op. 76 no. 2. These movements exemplify (1) general compositional strategies common in the minor mode but not found in the major, as well as (2) idiosyncratic approaches to common, specifically minor-mode compositional problems. Study of the slow movements and finales of Opp. 64, 71/74, and 77 as well as minor movements from earlier opera provides context and points of comparison. The concept of "dynamic form" frames the analyses.

I. Introduction

Haydn's use of the minor mode is often associated with his so-called *Sturm und Drang* style, said to be characteristic of the instrumental music he composed around 1770.¹ Music in this style typically uses remote keys, rhythmic and harmonic instability, extremes of dynamics and register, greater technical difficulty, and counterpoint as a topic. Yet, most of Haydn's music from this period is actually in the major mode, and the features just named, though often associated with "minor rhetoric," are independent of the mode.² Furthermore, Haydn used the minor mode steadily throughout his career and in many styles.

What makes Haydn's minor-mode sonata-form movements special is instead a harmonic configuration fundamentally different from that in the major mode. A minor-mode sonata exposition is characterized by the contrast between relative keys, rather than the propulsive, energetic progression from the tonic to the dominant. The main key in the development tends not to be the relative major, but another minor key (often the subdominant). The possibility of a turn to the tonic major at the end of the recapitulation is also particular to the minor mode. As such, Haydn's local gestural and rhetorical effects, the primary materials of aesthetic interest, arise as they do in a minor-mode sonata because of the overall harmonic configuration. No single style or rhetorical aim underlies Haydn's use of the minor mode.

This study considers Haydn's twenty-five minor-mode sonata-form string quartet movements (see Appendix), with particular emphasis on the first movements of works in the last three opus numbers: Op. 64 no. 2, Op. 74 no. 3, and Op. 76 no. 2. These movements

¹ The association of the minor mode with *Sturm und Drang* begins with Théodore de Wyzewa, "Apropos du centenaire de la mort de Joseph Haydn," *Revue des deux mondes* 79 (1909): 935–46. For a recent reevaluation of *Sturm und Drang* as both as a musical style and period in music history, see Abigail Chantler, "The *Sturm und Drang* Style Revisited," *International Review of the Aesthetics and Sociology of Music* 34/1 (2003): 17–31. Concerning the changes in Haydn's compositional style in the early 1770s, see Mark Evan Bonds, "Haydn's 'Cours complet de la composition' and the *Sturm und Drang*," in *Haydn Studies* ed. W. Dean Sutcliffe (Cambridge: Cambridge University Press, 1998), 152–76.

² James Webster and Georg Feder, *The New Grove Haydn* (London: Macmillan Publishers Ltd., 2002), 18.

exemplify general compositional strategies common in the minor mode but not usually found in the major, as well as idiosyncratic approaches to minor-mode compositional problems. The slow movements and finales in sonata form from these and earlier opera provide additional context.

Despite Haydn's review of compositional technique around 1772, and the novelty of Op. 33 in 1781, certain aspects of the composer's minor-mode sonata-form designs remained constant. Central to these compositional designs is the phenomenological dimension of listening, resulting in a continually evolving conception of the piece in real time, or a "dynamic form."

"Dynamic form" is a play on Rudolf von Tobel's *Formdynamik* ("dynamics of form"), but the concept is based more proximately on James Webster's method of "multivalent analysis." Multivalent analysis responds to the "double aspect of musical form aris[ing] from the fact that music takes place only in time; and yet a work or movement is also organized as a whole, as a structure."³ This double aspect corresponds to the psychological distinction between the "subject's aesthetic contemplation of the work and his phenomenological experience of it." (Von Tobel opposed a *statisch-architektonische Formprinzip* to *Formdynamik*; *Form* and *Formung* also capture this distinction.) Of course, such a binary opposition implies a latent valuation of one pole over the other. Webster's view that "Haydn literature has focused too much on form-as-shape...and too little on form-as-process" may be less true today than it was in 1991 when he wrote it, but the tendency to favor the former over the latter prevails.⁴

³ James Webster, "Formenlehre in Theory and Practice" in *Musical Form, Forms, and Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 123–139 at 123–5; and id., *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge: Cambridge University Press, 1991), 123–127 [on the concept of form-as-process in general] and 300–308 [as applied to Op. 54 no. 2, iv]. On *Formdynamik*, see Rudolf von Tobel, *Die Formenwelt der klassischen Instrumentalmusik* (Bern: P. Haupt, 1935), 229–237.

⁴ Webster, *Haydn's "Farewell" Symphony*, 123.

II. Overview of Haydn's Minor-Mode Sonata Form

As "form-as-shape" has tended to overshadow "form-as-process," so too has the numerical predominance of major-mode works been invested with exaggerated importance. In a survey spanning the period 1740 to 1800, Rey Longyear estimates that about 15% of all sonata-form movements composed during that period are in the minor mode.⁵ This proportion corresponds with the view (often tacit) that minor-mode works are exceptions to a major-mode norm; Charles Rosen's *Sonata Forms*, James Hepokoski and Warren Darcy's *Sonata Theory*, and William Caplin's *Classical Form* all theorize from the perspective of a major-mode default.⁶ Although certain canonical minor-mode works have received sustained scholarly attention, as a general rule minor-mode sonata style is less often studied.⁷ Note, however, that Longyear's 15% estimate for minor-mode sonata-form movements amounts to hundreds of movements in sonata forms of various subtypes, and so comprises a substantial corpus.⁸ Considering only Haydn's string quartets, the proportion of minor-mode sonata-form movements exceeds

⁵ Rey M. Longyear, "The Minor Mode in Eighteenth-Century Sonata Form," *Journal of Music Theory* 15/1–2 (1971): 182–229 at 225.

⁶ For example, Rosen's preface to the revised edition of *Sonata Forms* makes reference to "a move to the relative minor at the end of the development section," implying a major-mode context. Charles Rosen, *Sonata Forms*, rev. edn (New York: W. W. Norton & Company, Inc., 1988), [i]. This is typical; usually minor-mode phenomena are specified as exceptions to major-mode generalizations. See also James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006) and William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 2000).

⁷ For example, Mozart's Symphony No. 40 in G minor, K. 550 and Beethoven's Fifth Symphony have been studied repeatedly; to give but one example, these two works, with the "Eroica" Symphony, were the focus of Schenker's three large-scale symphonic studies (*Beethovens Fünfte Sinfonie*, 1925; K. 550, *Meisterwerk* II, 1926; "Eroica," *Meisterwerk* III, 1930). Haydn's Symphonies No. 44 ("Trauersymphonie") in E minor and especially No. 45 ("Farewell") in F-sharp minor have also received much attention; see principally Webster, *Haydn's "Farewell" Symphony*.

⁸ Recent studies of minor-mode corpora include Riley, *The Viennese Minor-Key Symphony*; Gretchen A. Wheelock, "'Schwarze Gredel' in Mozart's operas: Tonal hierarchy and the engendered minor mode," *Mozart-Jahrbuch* [Bericht über den Internationalen Mozart-Kongreß Salzburg 1991] (1991): 274–84; Adem Birson, "The Use of Minor Mode and Playing With Sonority in the Expositions of Haydn's String Quartets, Opp. 9 and 17," *Haydn: The Online Journal of the Haydn Society of North America* 4/1 (Spring 2014).

Longyear's estimate.⁹ The minor mode is represented in every quartet opus beginning with Op. 9; Haydn composed minor sonata forms in the string quartet genre well after 1774, the end of his so-called *Sturm und Drang* period.¹⁰ Even the last unfinished quartet, "Op. 103," was to be in the minor, though only the inner movements were completed.

The main points of minor-mode composition in mid- to late-eighteenth century sonata style (c. 1750–1780), as it contrasts with major-mode sonata forms of the same period, may be summarized as follows:

1. Unlike a major movement, the two principal keys of a minor movement are usually not a fifth apart, and are of different mode (i and III).¹¹ Even when Haydn uses the key of minor dominant in the second group, it is not the only, nor even the main, second key.^{12,13} Harmonically, the transition from i to III entails

⁹ The total number of string quartet movements, including Opp. 9, 77, and "103," is 182, of which the proportion of minor-mode sonata-form movements is approximately 15%; but of these 182, not all are in sonata form, thus the proportion of sonata-form movements in the minor-mode is higher than 15%.

¹⁰ Webster and Feder, *New Grove Haydn*, 18. The idea of *Sturm und Drang* was introduced into Haydn studies by Théodore de Wyzewa, "Apropos du centenaire de la mort de Joseph Haydn," *Revue des deux mondes* 79 (1909): 935–46; it is critiqued in Mark Evan Bonds, "Haydn's 'Cours complet de la composition' and the *Sturm und Drang*," *Haydn Studies* ed. W. Dean Sutcliffe (Cambridge: Cambridge University Press, 1998), 152–76. See also Barry S. Brook, "*Sturm und Drang* and the Romantic Period in Music," *Studies in Romanticism* 9 (1970): 269–84; Abigail Chantler "The *Sturm und Drang* Style Revisited," *International Review of the Aesthetics and Sociology of Music* 34/1 (2003): 17–31; and Matthew Riley's historiographical discussion in *The Viennese Minor-Key Symphony in the Age of Haydn and Mozart* (Oxford: Oxford University Press, 2014).

¹¹ The dominant minor is of course also possible, but it is less common across the repertory; see Longyear, "Minor Mode," 189ff; Hepokoski and Darcy, *Sonata Theory*, 310ff. On Beethoven's relative use of III and v, see Joseph Kerman, "Beethoven's Minority," *Write All These Down: Essays on Music* (Berkeley: University of California Press, 1994), 217–37.

¹² Throughout, I follow Tovey and use the terms "first group" and "second group" to refer to "the music in the home tonic" and "the music in the subsidiary key" respectively; the use of the terms does not necessarily imply a two-part gross sectional structure. See Donald Francis Tovey, "Sonata Forms," *The Forms of Music* (London: Meridian, 1956), 208–232 at 214.

¹³ The finales of Op. 17 no. 4 and Op. 76 no. 3 state the main theme in the minor dominant during the course of the transition before proceeding to a second group in the mediant. The second movement of Op. 20 no. 2 ("Capriccio") is not in sonata form, but is analogous to an exposition structure; on this point, see Donald Francis Tovey, "Haydn's Chamber Music," in *Essays and Lectures on Music* (Oxford: Oxford University Press, 1949), 1–64 at 42–3. This movement presents an MTT in the minor

modulation strategies that differ from major-mode transitions. Rhetorically, the modal contrast between these keys often has an effect on the character of the main theme, which may appear in both minor and major.

2. In a major movement, if there is a single key emphasized in the development, it is often the relative minor (vi) or another minor key (such as ii or iii); but the analogous relative major (III) in a minor movement will ordinarily already have received emphasis in the exposition. Instead, the keys emphasized in the development of a minor-mode sonata are usually the subdominant (iv) or the minor dominant (v). Therefore, unlike the development of a major-mode sonata, the development of a minor-mode composition does not provide modal contrast so much as an intensification of the overall minor character of the movement. Put another way, despite the fact that the two main keys are of different modes, there is generally less modal contrast *overall* in a minor-mode sonata than in a major-mode sonata.
3. The fact that there is more minor in a minor work than major in a major work has implications for the rhetoric of the recapitulation. In a major-mode movement, second-group material ordinarily is recapitulated in the same mode in which it was presented in the exposition; this is not necessarily the case for minor-mode recapitulations. The mode of the second group recapitulation can be dramatized, often with formal implications. If the movement ends in the minor, then the mode-switch in the second group from the major (in the exposition) to the minor sound a tragic or doleful tone. If the second-group material is to remain in the major mode, then the tonality of the whole form must go from minor to major, often with a triumphant connotation.¹⁴

The two last generalizations stem from the first: the goal of the exposition in a minor-mode movement is usually not the dominant, but the relative major. Thus, in general,

dominant as if it were the goal of a long and elaborate transition, that is, as if it were the second group (cf. Tovey); but this proceeds to a half cadence and then to the mediant via a bifocal close. In this (and almost every other) respect, Op. 20 no. 2, ii is exceptional.

¹⁴ Riley similarly describes two basic approaches, tragic or comic, to the minor-key symphony. See Riley, *The Viennese Minor-Key Symphony*, 36ff.

the two principal keys of a minor-mode sonata are more closely related than those of a major-mode sonata, in the following sense: all the pitches and triads of the key of the relative major are diatonic in the key of the home tonic minor, but this is not true of a major key and the key of its dominant (nor, incidentally, of a minor tonic and the key of its minor dominant).¹⁵ Yet, the functional relationship between the two main keys in a minor movement is weaker than the analogous relationship in a major movement: $i \rightarrow III$ makes a weaker functional progression than $I \rightarrow V$. At a fundamental level, the tonal configuration of minor- and major-mode movements suggest different rhetorical landscapes: major provides the energizing polarity of tonic and dominant while minor provides the affective juxtaposition of mode.¹⁶

The transition from i to III often occurs via a pivot chord; usually this is the subdominant of the home key, analogous to the submediant pivot typical of most major-mode sonatas: in both cases this chord functions as the supertonic with respect to the new key. (See Table 1) Frequently, there is also chromatic bass motion through $\sharp^4 - \flat^5$ in the new key.¹⁷ In a major-mode sonata, the \sharp^4 pitch-class in the key of the dominant is \sharp^1 with respect to the home tonic, and so its sounding effaces the home tonic pitch-class. In minor-mode sonatas, however, \sharp^4 in the mediant does not chromatically alter the home tonic pitch: \sharp^4 of III is \sharp^6 overall, not \sharp^1 . On the other hand, $\sharp^4 - \flat^5$ in III leads from the home key's \sharp^6 to \flat^7 , as it were canceling the home leading tone. Arguably, then, \sharp^4 of III is as strong a contradiction of a home minor key as \sharp^4 of V is in the major, but the former phenomenon has none of the characteristic sharpwards pull of the latter. Thus, even when the transition explicitly modulates via a pivot and with secondary-dominant (\sharp^4) emphasis, the mediant in a minor-mode sonata does not

¹⁵ This may have a bearing on why the relative major is more common than the dominant minor as the second main key area in the first place. Longyear speculates that there may be historical reasons as well, having to do with origins of the minor mode in the Hypodorian mode. See Longyear, "Minor Mode," 197.

¹⁶ Hepokoski and Darcy characterize the minor's "desire" to be "emancipated" to the major; see Hepokoski and Darcy, *Sonata Theory*, 310–11.

¹⁷ E.g. Op. 64 no. 2, i , bar 16 and Op. 74 no. 3, i , bar 31.

assert the contrasting polarity that the dominant does in a major-mode sonata.

Table 1: Modulations in First- and Last-Movement Transitions*

iv = ii/III	Op. 9 no. 4, iv
	Op. 17 no. 4, iv
	Op. 20 no. 3, i
	Op. 33 no. 1, iv
	Op. 42, i
	Op. 50 no. 4, i
	Op. 64 no. 2, i
	Op. 64 no. 2, iv
	Op. 74 no. 3, i
	Op. 74 no. 3, iv
	Op. 76 no. 3, iv
v = iii/III	Op. 9 no. 4, i
	Op. 76 no. 2, iv
VI = IV/III	Op. 20 no. 3, iv
	Op. 20 no. 5, i
Winter-type Bifocal Close	Op. 33 no. 1, i

* The strategies used in the transitions of Op. 17 no. 4, i, Op. 42, iv, and Op. 76 no. 2, i are ambiguous and have been omitted from this table.

Example 1: Haydn, Op. 76 no. 2, i, bars 12–14

This fact leads to a more dramatic possibility for the transition: the modulation may be omitted altogether, as is ostensibly the case in the first movement of Op. 76 no. 2, the

"Fifths" quartet. As shown in Example 1, a new idea in the relative major begins in bar 13 without any harmonic transition. The new tonality is confirmed in bar 15 by the move to V/ii in the new key; this sonority overrides the old tonic by sounding a dominant sonority on the same root. Here, the salient pitch is not $\#^4$ but $\#^1$ of III, which is $\#^3$ overall. $\#^3$ is more than a Picardy third in this case; it changes not only the mode, but also the function of the triad built on the tonic pitch, and in this way destabilizes the home key.¹⁸

For these reasons, the character of the contrast produced by Haydn's minor-movement second groups is unlike that in his major movements' second groups. There, the contrast produced by I→V is tonally propulsive and energizing due to the sharpwards modulation and often correlates with contrast in register attained by "main theme transposition" (MTT) up a fifth in the second group.¹⁹ In minor-mode movements, Haydn's usual procedure of beginning the second group with a statement of the main theme takes on a different cast. In the case of MTT, the contrast is principally due to the change of mode than of register, producing an effect similar to that of mixture. This fact suggests another possibility for the beginning of the second group, found only in minor-mode movements: the main theme can be stated at pitch, but reharmonized in the new key. This effect, which we might term "main theme reharmonization" (MTR), is perhaps best known in the first movement Op. 33 no. 1 (compare bars 1 and 18), but it appears in earlier movements as well.

¹⁸ This pitch is used in an analogous way to confirm the modulation in the first movement of Op. 64 no. 2, immediately after the initial move to the mediant (bar 14). In the first movement of "Rider" quartet (Op. 74 no. 3), $\#^3$ is already present in the main theme at bar 15, a fact which is relevant for parsing the boundary between the first group and the transition, especially on the repeat of the exposition. Admittedly, $\#^3$ can still function within the home minor key as a chord tone in V/iv; in principle, it can even function as I \sharp , a major tonic in an overall minor key, as it commonly does in the recapitulation of a minor mode sonata. Thus, V/ii/III at the end of a transition is not the unambiguous 'cancellation' of the home minor key that V/V/V is in a major key.

¹⁹ This terminology was proposed as an alternative to "monothematic" by Michelle Fillion, "Sonata-Exposition Procedures in Haydn's Keyboard Sonatas," in *Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975*, ed. Jens Peter Larsen, James Webster, and Howard Serwer (New York: W. W. Norton, 1981), 475–81 at 479.

III. Exposition Dynamics 1: Phrase Grouping

When a movement's tonal structure, sectional organization, and musical ideas are not synchronized, the formal boundaries are blurred. From the perspective of "coherence" or "unity," such blurriness could be seen as a weakness, but from the perspective of dynamic form, it is the motor of the aesthetic experience. In the minor mode, the blurring can occur extremely early in a sonata-form movement due to the fluidity of the modulation to the relative major. In two-part expositions, Haydn commonly makes a quick tonal modulation (without cadences) and states the main theme early in a phrase or section that is otherwise transitional in nature, resulting in an ambiguity in the location of the beginning of the second group.

Early examples of this phenomenon occur in Opp. 17 and 20. In the first movement of Op. 17 no. 4 (see Example 2), after the first statement of the main theme ("P") is closed off with a full cadence and caesura, the main theme is begun again, at pitch, in bar 9, as if a restatement of the theme in the first group. In bar 10, the expected c" is subverted by the b'-flat, harmonized with an E-flat dominant-seventh sonority. The unprepared appearance of the $b^{\flat 2}$ and $b^{\flat 7}$ pitch classes is striking, not to say jarring, and could be heard variously. As I hear it, this move retroactively changes the scale-degree functions of the pitches in bar 9 from $\hat{3}$ – $\hat{5}$ in C minor to $\hat{1}$ – $\hat{3}$ in E-flat major, the expected second key (III); this instantaneous and retroactive change is analogous to the effect of a bifocal close in Robert Winter's sense.²⁰ Accordingly, I hear the harmony in bar 10 as V^7/IV in E-flat major. (It is possible to hear this as V^7 in A-flat major, that is, in VI with respect to the overall tonic; but I find it more natural to hear it as V^7/IV in III, because III is the generically expected key.) Thus, bars 9–10 begin directly in III and with a statement of the head motive, as if the transition had been omitted and this were the beginning of the second group. Yet, in the course of hearing it becomes clear that the phrase beginning at bar 9 did indeed initiate the transition. The music comes to a half cadence and caesura in bar 19 (III:HC'MC), and then proceeds with parallel statements of the main theme at pitch in the bass in bars 20 and 24, now harmonized in the new

²⁰ Robert Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *The Journal of the American Musicological Society*, 42 (1989): 275–337.

key (MTR) to begin the second group. Thus, the harmonic, thematic, and gestural (i.e. rhythmic) elements are out of phase, blurring the boundaries between the transition and second group and resulting in a dynamic form — that is, a conception of the form that evolves in time.

The fusion of the transition and second group in the first movement of Op. 20 no. 3 is more complex (see Example 3). At bar 8, a restatement of the main theme in the tonic minor initiates the transition.²¹ A half cadence in III is reached in bar 14, and in the following bar a modified statement of the main theme begins on the dominant of III. So described, the presence of a half cadence in III followed by the main theme suggests the formal boundary between transition and second group; but bars 15ff are all over a dominant pedal, and the new tonality is not confirmed until the reiterated cadences in bars 21–23 and the caesura (or is it a double caesura?) in bars 24–26. Without a definitive establishment of the second key, bars 15ff remain harmonically transitional. The second group begins in bar 27 with a tonic pedal and the main theme at pitch (MTR; Violin II, bar 27 = Violin I, bar 1 with the pickup altered) and continues as the major-mode version established at bar 15 (MTT; Violin II, bar 28 ≈ Violin I, bar 16). Thus, bar 15 suggests itself as the beginning of the second group, on the basis of its being a main theme in the second key prepared by a half cadence in that key. Yet the weak establishment of the new key by this point undermines this parsing. Conversely, bar 27 arrives with the main theme in the second key after it has been more satisfactorily established, but the form of the main theme it presents is that which was first introduced in bar 15. In important respects, the transition cannot be over before bars 24–6; but in equally important respects, the second group is already getting underway by bar 15.

²¹ Compare the analogous procedure in Op. 64 no. 2, i, bar 9.

Example 2: Haydn, Op. 17 no. 4, i, bars 7c–24

The musical score is presented in four systems, each containing four staves (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature is G minor (three flats) and the time signature is 3/4. The first system begins at bar 8, the second at bar 13, the third at bar 18, and the fourth at bar 22. The score shows a variety of rhythmic patterns, including eighth and sixteenth notes, and rests, with a consistent bass line in the lower strings.

Example 3: Haydn, Op. 20 no. 3, i, bars 8–26

The musical score is presented in two systems. The first system covers bars 8 to 17, and the second system covers bars 18 to 26. The key signature is G minor (two flats) and the time signature is 2/4. The score is written for four staves, representing the four parts of a string quartet. The notation includes various rhythmic values, accidentals, and dynamic markings such as *p* (piano) in the second system.

IV. Exposition Dynamics 2: Sectionalization

The blurring of the boundary between the transition and the second group in two-part expositions is a relatively local phenomenon resulting from the fluidity of the modulation to the relative major, but this fluidity can also have larger-scale formal implications. Among Haydn's minor-mode quartets, "three-part" expositions prevail: they consist of a main theme in the tonic, a large "expansion section" (*Entwicklungspartie*) that is developmental in character and in which the second key is established, and a shorter last section in the second key.²² Against this backdrop, Haydn frequently uses a quick

²² Fillion proposed "expansion section" as a translation for Larsen's term *Entwicklungspartie*; compare Fillion, "Sonata-Exposition Procedures," 478 and Larsen, "Sonatenform-Probleme" in *Festschrift Friedrich Blume zum 70. Geburtstag*, ed. Anna Amalie Abert and Wilhelm Pfannkuch (Kassel: Bärenreiter, 1963), 221–230 at 229. *Entwicklungspartie* was translated as "elaboration section" by Graue, but ordinarily the term "expansion section" appears in English-language literature; compare Larsen, "Sonata Form Problems" [trans. Jerald C. Graue], in *Haydn, Handel, and the Viennese Classical Style*, ed. Ulrich Krämer (Ann Arbor: UMI Research Press, 1988), 269–80 and Hepokoski and Darcy, *Sonata Theory*, 52 n3. On the terminology "three-part" and "continuous," see *Sonata Theory*, 51.

modulation to the relative major and a statement of the main theme, out of phase with other rhetorical and rhythmic elements, to suggest a variety of possible gross sectionalizations.

In a major-mode exposition, the expansion section will ordinarily begin in the home tonic and so usually cannot be understood as the beginning of a second group ("S" in *Sonata Theory*), even when this section begins with the repetition of the main theme. Accordingly, in Hepokoski and Darcy's terms, two-part or three-part exposition structures are mutually exclusive options.

However, in minor-mode three-part expositions, the expansion section may begin directly in the second key and, potentially, with the main theme in this key.²³ This implies a seeming contradiction. On the one hand, a statement of the main theme in the secondary key ordinarily implies the initiation of the second group and thereby (by analogy with major-mode movements) a two-part exposition. On the other hand, the secondary key will not yet have been established (by means of a cadence, as is ordinarily the case in the course of a transition in a two-part exposition); therefore, the period initiated by the statement of the theme in the second key will do the work of establishing this key, which in turn implies a three-part exposition.²⁴ In this way, the expansion section of a minor-mode three-part exposition may be indistinguishable from the second group of a two-part exposition when it begins with transition-like rhetoric.²⁵ This phenomenon is not ordinarily possible in the major mode because expansion sections will usually begin in the home tonic.

Sonata Theory theorizes that resolution of such formal ambiguity is required and is the

²³ See Rosen, *Sonata Forms*, 263.

²⁴ This work can be done quickly, such that it leads to an MC not too much later, followed by a "true S" (e.g. Op. 17 no. 4, i). That is, the location of the beginning of the second group can be ambiguous even when the exposition is unambiguously in two parts.

²⁵ See Mark Richards, "Sonata Form and the Problem of Second-Theme Beginnings," *Music Analysis* 32/1 (2013): 3–45 for analyses of such ambiguous second group beginnings in the works of Beethoven.

“topic” of the musical discourse in movements where it occurs.²⁶ This follows inevitably from a basic axiom of the theory, namely, “if there is no MC there is no S.”²⁷ *Sonata Theory* labels the expansion section the “TR⇒FS module.” The “TR” (for “transition”) notation references an important aspect of the experience of hearing, namely, that an expansion may begin like the transition of a two-part exposition before turning into (“⇒”) a developmental *Fortspinnung* passage (“FS”). According to this interpretation, the realization that the transition will not culminate in an emphatic cadence and MC retroactively changes the perception of music which was at first parsed as a transition:

When first confronting an eighteenth- or early-nineteenth-century exposition, our most reasonable expectation would be that we are about to experience the far more common type, the two-part exposition with an MC and a subsequent S. When we are presented instead with a continuous exposition of the expansion-section subtype, there is usually *a moment of psychological conversion* [emphasis added]...a personal understanding at some mid-expositional point that the more standard, two-part form is not going to be realized....What we first suppose is an ongoing TR (on its way to an MC) continues past the last possible S-point, or what we designate the *point of conversion*. [emphasis original] (This may be described as a brief zone or process of conversion.) Sensing that TR has passed beyond this conceptual point forces our reassessment of what is occurring generically.²⁸

The idea that both two-part and “continuous” (i.e. three-part) exposition structures could be in dialogue is productive. However, *Sonata Theory* is limiting in two respects: (1) it makes a sharp distinction between a two-part exposition with a medial caesura and

²⁶ Hepokoski and Darcy, *Sonata Theory*, 52ff.

²⁷ *Ibid.*, 52 and passim. More recently, Hepokoski has argued for the need for “flexibility and musical sensitivity” in applying the no MC, no S “guideline”; see James Hepokoski, “Sonata Theory, Secondary Themes, and Continuous Expositions: Dialogues with Form-Functional Theory,” *Music Analysis* 35/1 (2016): 44–74.

²⁸ Hepokoski and Darcy, *Sonata Theory*, 52.

second group and a continuous exposition with neither of these; correspondingly, (2) it propounds the idea of a "point of conversion," a single "moment" wherein the ambiguity between these forms is resolved.

Actual pieces of music regularly belie a rigid distinction between these formal designs. In this connection, Larsen's discussion of the relationship between them is more nuanced. What he says with respect to major-mode expositions holds also in the minor mode, *mutatis mutandis*:

It is not entirely correct to speak of [the major-mode two-part exposition] as [having] a two-part tonal division, since the arrangement more clearly shows a three-part division instead: tonic region – T-D transition – dominant region. *But in most cases the dominant region is more extensive than the other two together.*²⁹ (emphasis added)

Table 2: Two-Part vs. Three-Part Expositions

Two-part		Tonal Events	Three-part	
(Larsen)	(H&D)	(Rosen)	(H&D)	(Larsen)
First Part	"P"	1. (Thematic) statement in tonic	"P"	Main theme
	"TR"	2. Modulation away from tonic	"TR	Expansion section, often dev's main theme
	"MC"	3. Establishment of the new key (via V of new key)	⇒FS"	
Second Part	"S/C"	4. Confirmation of the new key and closure (structural cadence)	"/C" [no "S"]	Closing section

²⁹ Larsen, "Sonata Form Problems," 274. "An sich ist es schon nicht ganz richtig, von einer tonalen Zweiteilung zu sprechen, denn eine Einteilung nach tonalen Gesichtspunkten ergibt unmittelbar eher eine Dreiteilung: Tonikabereich – Übergang T-D – Dominantbereich. Nur ist meistens der Dominantbereich umfassender als die beiden anderen zusammen." Larsen, "Sonataform-Probleme," in *Festschrift Friedrich Blume zum 70. Geburtstag*, ed. Anna Amalie Abert and Wilhelm Pfannkuch (Kassel: Bärenreiter, 1963), 221–230 at 226. See also Fillion, "Sonata-Exposition Procedures," 475.

Larsen sees the three-part *tonal* division as fundamental. In expositions with two parts, Larsen construes the first part as grouping of the tonic region and transition together; that is, the two-part exposition arises as a particular rhythmic (or “surface”) manifestation of an underlying three-part tonal structure.³⁰ Accordingly, Larsen’s model allows for the middle section — be it the expansion section from the three-part perspective or the transition from the two-part perspective — to have “S-like” characteristics, notwithstanding the absence of a medial caesura. Indeed, this is frequently the case in minor-mode movements. Rosen, likewise, sees two-part and three-part expositions as putting different emphases on the same underlying procedures, as shown in Table 2.³¹ This points to a deficiency in *Sonata Theory*’s “TR⇒FS” notation: when the expansion section begins with the main theme in the subordinate key, it has the character both of a transition (loud dynamics, thick texture, energetic rhythms) and of a second group (main theme in the subordinate key).³²

³⁰ Analogously, *Sonata Theory* occasionally terms the transition a “post-P continuation module”; i.e. the transition is interpreted as belonging to “P-space.” See Hepokoski and Darcy, *Sonata Theory*, 23 and 93. Charles Rosen also agrees that a transition is best understood as the second part of the first group; see *Sonata Forms*, 100. The idea that the second group includes all the music in the dominant originates with Donald Francis Tovey, “Haydn’s Chamber Music,” *Essays and Lectures on Music* (Oxford: Oxford University Press, 1949), 1–64 at 14.

³¹ Rosen, *Sonata Forms*, 100. Alexander Ludwig proposes reconfiguring the *Sonata Theory*’s opposition between “two-part” and “continuous” expositions, considering more important the distinction between expositions with or without medial caesuras. See “Hepokoski and Darcy’s Haydn,” *Haydn: The Online Journal of the Haydn Society of North America* 2/2 (Fall 2012). Ludwig’s typology emphasizes rhythmic grouping structure; but Rosen and Larsen’s recognition of the underlying three-part tonal structure remains valid, whatever the grouping structure.

³² For this kind of second group with transitional rhetoric, *Entwicklungspartie* remains the most appropriate and descriptive term; *Sonata Theory* notation might allow something like “STR”. The phenomenon seems to be related to the “forte S” which may follow a low-energy harmonic transition; see *Sonata Theory*, 136. For example, consider the first movements of Mozart, Symphony No. 40, K. 550, bar 28 and Haydn, Symphony No. 44 (“Trauersymphonie”), bar 20: in both cases, a quick modulation to III occurs the end of the consequent phrase of the main theme, and in the cited bars the elided beginning of the first period in III corresponds to sudden forte dynamics and an expansion of the texture. Notwithstanding the conventional analysis of the Mozart (bars 28ff) as a transition and the Haydn (bars 20ff) as an expansion section, I interpret these two sections as examples of a common type. This is what Matthew Riley calls the “mediant tutti,” a feature of minor-mode but not major-mode expositions; see Riley, *The Viennese Minor-Key Symphony*, 12ff. Note especially Riley’s Figure 1.1 (p. 14) which diagrams the relationship of the mediant tutti to the exposition structure as a whole (two-part or three-part). See also Riley’s discussions of the “Trauersymphonie” and K. 550 in *ibid.*, 152ff and 248ff.

As Hepokoski and Darcy rightly note, "eighteenth- and early-nineteenth-century theorists invariably collapsed what we currently call the exposition of sonata form into only its two-part format"; however, it is misleading to aver that "they persistently ignored the continuous-exposition format, which was less frequently selected."³³ The fact that "continuous" or "three-part" expositions are not addressed separately could just as easily imply that they were not considered essentially different from the two-part structure. Thus, when the long middle section of a minor-mode movement has S-like characteristics (e.g. by means of MTT or a similar procedure) there are (potentially) two theoretical implications: (1) *Sonata Theory's* "continuous" structure, which by definition cannot include S, will seem inadequate in comparison to Larsen's "three-part" structure, which makes no such restriction; and (2) the choice between "two-part" and "three-part" structure will be moot.

These problems can be avoided if markers of the musical form in a given work are seen not as manifestations of essential types — and, accordingly, are not held to absolute standards of fulfilling the "norms" of their supposed types — but rather as utterances with rhetorical force. Rhetoric can be subtle or emphatic, and the force of an utterance is relative to the other utterances of the discourse. As such, the meaning of formal events, and therefore the form itself, does not resolve but evolves in time. Of course, such dynamic forms are not specific to the minor mode.³⁴ However, the close diatonic relationship between a minor tonic and its relative major — and therefore the ease with which the relative major can be established without sharpwards motion on the circle of fifths — correlates with the fusion of transition and second-group functions in minor-mode movements. This aspect can be observed in more than half of the minor-mode quartet movements in sonata form, as shown in Table 3.³⁵

³³ Hepokoski and Darcy, *Sonata Theory*, 118.

³⁴ For example, in the first movement of Op. 64 no. 4 in G major, the boundaries between, and concomitantly the functions of, the first group, transition, and second group are ambiguous.

³⁵ Whether this is a greater proportion than is the case for major-mode works requires further research; a quick survey of the first movements of the quartets suggests it may be.

The first movement of Op. 64 no. 2 illustrates the ambiguity between two-part and three-part exposition structure, as diagrammed in Figure 1.³⁶ Tonally, there is a stable region in the tonic, a harmonic transition, a phrase in the new key that is at first stable but is then expanded by a phrase in the parallel minor (iii \flat), and a stable closing section in III. All of these sections are elided such that the grouping structure at the level of the sections is not straightforward.

Table 3. Transition Types

		first mvts	finales	inner mvts
← TR-MC'S ----- TR=S'→	(three-part)	<i>TR omitted</i>	Op. 76 no. 2, i	
		<i>goal of TR is converted into or continuous with S or FS</i>	Op. 9 no. 4, i Op. 42, i Op. 64 no. 2, i Op. 74 no. 3, i	Op. 20 no. 3, iv Op. 33 no. 1, iv Op. 76 no. 2, iv Op. 76 no. 3, iv
	(two-part)	<i>TR with cadence and caesura fill</i>	Op. 20 no. 5, i Op. 50 no. 4, i	Op. 9 no. 4, iv Op. 17 no. 4, iv Op. 17 no. 5, iii Op. 33 no. 6, ii Op. 55 no. 2, ii
		<i>TR with cadence and caesura</i>	Op. 17 no. 4, i Op. 20 no. 3, i Op. 33 no. 1, i	Op. 42, iv Op. 64 no. 2, iv Op. 74 no. 3, iv Op. 50 no. 6, ii

From the two-part perspective (Figure 1a), the music at bar 9 begins as a restatement of the main theme before deviating harmonically to become the transition. Yet, bar 9 is still in the home key; only after the harmonic deviation in bar 12 does it become clear that the repetition of the main theme in the home key initiated the transition. In this sense, first-group and transitional functions are overlaid, as is common in the first part of a two-part exposition.

³⁶ Compare Webster's similar diagram and the corresponding argument for the finale of Op. 54 no. 2; id., *Haydn's "Farewell" Symphony*, 307.

Figure 1: Op. 64 no. 2, i exposition grouping structure

bars:	1–9	9–20	20–26	26–34	34–40
	i	i→III	III	iiib-III	III
		<i>f</i>		<i>fz</i>	
(a) 2-part:	_____		_____		
(b) 3-part (tonality):	_____	_____	_____		
(c) 3-part (dynamics):	_____	_____		_____	
(d) 3-part (exp. sec.):	_____	_____			_____

There are several candidates for the location of the MC function (see Example 4a). The first is in bar 15; from this point of view the structural arrival on V (in III) occurs on the downbeat of bar 15, and bar 15c would be an “overridden” MC.³⁷ In this case, the material at bar 15c after the half cadence would begin the second group, even though it has the character of a continuation, not a beginning.³⁸ Alternatively, the half cadence in bar 16c might be a better candidate for the form-defining half cadence, since it occurs after #^4–^5 motion in the bass. Furthermore, since the cello in bar 17 is in a high register and then drops out entirely, the cello a at bar 17c governs bars 17–18 in the near middleground, before being transferred down the octave in bar 19 (Example 4b); from this point of view, the music in bar 16c–18 is “caesura fill.” The fill is then transformed in bar 19 into a PAC onto bar 20, which is the third possibility for the location of the MC (V:PAC). From this perspective, the second group would begin with the new idea at bar 20.

From the three-part perspective, it is clear that the first phrase in the tonic stands alone

³⁷ Lowercase letters refer to beats in the bar: 15c = the third beat of bar 15.

³⁸ This is the reading proposed by Mathieu Langlois, “Haydn’s ‘Irregularities’: Ambiguous Openings in the B-minor String Quartets, op. 33/1 and op. 64/2,” *SECM in Brooklyn 2010: Topics in Eighteenth-Century Music I* ed. Margaret R. Butler and Janet K. Page (Ann Arbor: Steglein Publishing, 2014): 103–130 at 121.

as the first section; but the grouping structure of the remainder of the exposition is unclear because the tonality and dynamics are out of phase. From a purely harmonic perspective, the new key is established by the cadence onto bar 20; the deviation to the parallel minor (iii \flat) at bar 26 is more nearly a foreground phenomenon (Figure 1b). Still, the rhetorical force of this unprepared move is so dramatic that it is difficult not to hear it as anything but discontinuous with what precedes it (Figure 1c). From Larsen's perspective (Figure 1d), it is possible to hear the whole span from bar 9 to 34 as a massive expansion section: compared to the outer two sections, this section is tonally unstable and developmental in character.

Analyses of this movement have often emphasized the ambiguity of the key of the main theme, but the ambiguity extends to the form of the exposition as well.³⁹ For example, although Mathieu Langlois identifies bar 15c as the beginning of the second group, it seems to me more productive to leave the ambiguity between a two-part and a three-part (or "continuous") structure unresolved. Haydn's form is not just one of these possibilities, but is rather the dynamic play of all of them.

³⁹ Langlois, "Haydn's 'Irregularities,'" 106.

Similarly, the first movement of Op. 20, no. 5 overlays elements of the transition and second group. After a relatively unambiguous medial caesura (including $\#^4\text{--}^5$ in the bass, hammer blows, and silence; see Example 5), MTT at bar 20 seems to initiate the second group. The wonderful melodic expansion transforms the ruminating theme and seems to confirm this move. But the music leads quickly to a half cadence with dominant lock, making bars 25–27 seem like a second medial caesura with caesura fill. Bar 28 has aspects both of a beginning (it is a new idea) and a continuation.

Haydn plays with the medial caesura in a more complex way in the first movement of Op. 74 no. 3, using a quick harmonic transition (bar 24: $\text{iv}=\text{ii}/\text{III}$; bar 28: $\text{III}:\text{IAC}$) to blur the beginning of the second group. At bars 28–30, with the new key having been established, the first violin enters with the main theme at pitch, supported by the original bass line in the cello. As Examples 6a-b show, Haydn contrives the unchanged outer parts to articulate, in turn, $\text{V}\text{--}\text{VI}$ in the home tonic and $\text{V}^{\#5}/\text{IV}\text{--}\text{IV}$ in the second key. This particularly ingenious MTR adumbrates the second group; however, $\#^4\text{--}^5$, a formal function canonical of transitions, arrives in bars 31–32. Even more strongly than was the case in Op. 20, no. 5, an important aspect of the second group is underway before the transition has ostensibly ended.

Example 5: Op. 20 no. 5, i, bars 16–28

Musical score for Example 5, bars 16–21. The score is in G minor, 3/4 time, and consists of four staves (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature has three flats (B-flat, E-flat, A-flat). The time signature is 3/4. The score begins at bar 16. The first staff (Violin I) features a melodic line with a dynamic marking of *f* (forte) starting in bar 18. The second staff (Violin II) has a dynamic marking of *f* in bar 18. The third staff (Viola) has a dynamic marking of *f* in bar 18. The fourth staff (Cello/Double Bass) has a dynamic marking of *f* in bar 18. The music concludes at bar 21.

Musical score for Example 5, bars 22–25. The score continues from bar 22. The first staff (Violin I) features a melodic line with a dynamic marking of *f* (forte) starting in bar 22. The second staff (Violin II) has a dynamic marking of *f* in bar 22. The third staff (Viola) has a dynamic marking of *f* in bar 22. The fourth staff (Cello/Double Bass) has a dynamic marking of *f* in bar 22. The music concludes at bar 25.

Musical score for Example 5, bars 26–28. The score continues from bar 26. The first staff (Violin I) features a melodic line with a dynamic marking of *f* (forte) starting in bar 26. The second staff (Violin II) has a dynamic marking of *f* in bar 26. The third staff (Viola) has a dynamic marking of *f* in bar 26. The fourth staff (Cello/Double Bass) has a dynamic marking of *f* in bar 26. The music concludes at bar 28.

The overlay of the transition and the second group correlates with the formal ambiguity of the exposition as a whole. From the two-part perspective, there are no less than four possible candidates for the medial caesura. The first occurs with the i:HCs at bars 22 and 24. On first hearing, they will perhaps seem too early: they round off the thematic statement of the first group which began at bar 11. Furthermore, since two-bar hypermeter is suggested by the presence of a half cadence in bar 7 followed by two measures of rest bars 10–11, both bar 22 and bar 24 are hypermetrically weak, making them less likely as goals. The second possibility is the half cadence in III at bar 32.⁴⁰ However, the status of this cadence as a rhythmic goal of the transition is questionable. Bar 32 is hypermetrically weak, and the increased energy of the “dominant lock” in the strong bar 33 — triplet figuration in the cello, continuing the bass’s fixation on the pitch classes E-flat and D — converts this half cadence into an evaded cadence followed by an extended composing out of a full-cadential progression (see Example 6c).⁴¹

The next possibility for the medial caesura is the general pause in bar 46. Although it is located about halfway through the exposition, it does not sound the dominant, and, moreover, it is mid-progression.⁴² The last possibility for the medial caesura is bar 54, but this break seems too late, in that there has already been a stable paragraph of music in III and it would imply a second group consisting of a sixteen-bar double period.⁴³ Thus the rhetorical (gross sectional) and tonal functions of the medial caesura are out of

⁴⁰ Since the new key is already established by the cadence at bars 27–28, the importance of this cadence as the medial caesura would be based principally on generic expectation: half cadence with #4–5 in the bass is more characteristic of a medial caesura than the previous cadence.

⁴¹ For “dominant lock,” see Hepokoski and Darcy, *Sonata Theory*, 24. A further difficulty with bar 32 being the medial caesura is purely theoretical: the ensuing music has the character of a “TR⇒FS” module, which for *Sonata Theory* implies a continuous exposition without a second group; yet, there is a clear thematic statement in III beginning in bar 54. See *ibid.*, 52–3.

⁴² This caesura is more nearly like the type of cadence-deferring caesuras which break off on a predominant harmony as a means of expanding recapitulations. See Steve Larson, “Recapitulation Recomposition in Haydn’s String Quartets,” *Music Analysis* 22/1–2 (2003): 139–77 at 158 and 167ff. The distinction between the (usually half-)cadential medial caesura in an exposition and the cadence-deferring caesura in a recapitulation is under-theorized; bar 46 has aspects of both.

⁴³ Furthermore, from the perspective of *Sonata Theory*, it is unclear whether III:IAC can articulate the MC, since III:PAC is already a “fourth-level default”; see *ibid.*, 28–9.

Larsen's three-part perspective provides an alternative to *Sonata Theory's* dichotomous "MC with S" or "continuous" options. The exposition is clearly in three parts (bars 1–24, 24–54, and 54–78). The first section is characterized by thematic statements in the home tonic. The second section is the longest, and is transitional in character: it modulates quickly to the new key, gains energy and turns into an expansion section which develops the triplet figuration and drive towards a cadence (III:IAC in bar 54), even as the mid-progression caesura at bar 46 alludes to a two-part exposition structure. The last section is a double statement of a parallel weak period.⁴⁴

On the repeat of the exposition, the ambiguity between a two- or three-part structure is not resolved, but emphasized. On first hearing, the first ten bars will most plausibly be parsed as an introduction; the short burst of the unison arpeggiation, cadential formula, and hammer blows are audibly separated from the rest of the exposition by the general pause, and so those ten bars seem outside the form.⁴⁵ The repeat of this music brings it back into the form, and has the effect of making the half cadences in bars 22–24 and bar 32 occur later. Accordingly, more music in the home tonic precedes these cadences. An analysis that resolves the ambiguities of the form cannot account for such musical effects, which proceed from ambiguity. Rather, it is the plausibility of all these interpretations existing in tandem that produces the effect of a dynamic form.

V. Exposition Dynamics 3: Second-group themes

Because MTT is Haydn's usual second-group opening gesture, the first repetition of the main theme in the second key is a crucial moment of the form of the exposition. In the first movements of Op. 17 no. 4 and Op. 20 no. 5, discussed above, the gesture is feigned and leads to a half cadence, thereby overlaying transition and second-group functions. In Op. 74 no. 3, the music after the MTR corresponds to the middle expansion section.

⁴⁴ This thematic statement is closed off with a full cadence at bar 70; NB this is not a PAC, since the highest sounding pitch, in fact the melody, is 3 in Violin II. This cadence elides with the viola's full-bar pickup into a closing theme based on the triplet idea and the rising-semitone main theme.

⁴⁵ In Hepokoski and Darcy's terms, an introduction, including such a brief in-tempo one, is "parageneric" and outside "sonata space"; see *Sonata Theory*, 281 and 292.

In the minor-mode, Haydn apparently begins the second group with a new theme more often than he does in the major.⁴⁶ Table 4 shows that about a third of minor-mode sonata movements present contrasting material at the beginning of the second group. The reason for this may be in part that the modal contrast between i and III makes it possible for the character of the first and second groups to contrast more greatly in a minor-mode work. The greater contrast between the tonalities of first and second groups could in some sense be at odds with the repetition of the main idea and so may motivate the use of a new idea.

Table 4. Second-Group Beginning Strategies

	first mvts	finales	inner mvts
<i>new material</i>	Op. 9 no. 4, i Op. 20 no. 5, i ^a Op. 64 no. 2, i Op. 74 no. 3, i Op. 76 no. 2, i ^c	Op. 17 no. 4, iv Op. 33 no. 1, iv Op. 76 no. 4, iv	Op. 33 no. 5, ii Op. 33 no. 6, ii
<i>MTT</i> (transposed up a third to III)	Op. 9 no. 4, iv Op. 20 no. 5, i ^a Op. 50 no. 4, i	Op. 20 no. 3, iv Op. 74 no. 3, iv	Op. 17 no. 1, iii Op. 50 no. 6, ii Op. 55 no. 2, ii
<i>MTR</i> (at pitch, reharmonized in III)	Op. 17 no. 4, i Op. 20 no. 3, i Op. 33 no. 1, i	Op. 42, iv ^b Op. 64 no. 2, iv	Op. 17 no. 5, iii
<i>MTT*</i> (transposed by an interval other than up a third)	Op. 42, i Op. 76 no. 2, i ^c	Op. 42, iv ^b Op. 76 no. 3, iv	

^{a b c} These movements are listed twice because their second groups exhibit two techniques.

To be sure, MTT or a related procedure at the beginning of the second group is not impossible in a minor-mode movement (also evident in Table 4), although melodic modifications to the material itself (besides the transposition) frequently occur in its

⁴⁶ This statement is based a survey of the first movements of Haydn's major-mode string quartets. Whether it is the case across all major-mode sonata-form works requires further research.

statement in III. Even so, it is not so simple to set a theme which works well both in the minor and major without one version seeming like a grotesque parody of the other.⁴⁷ Aesthetically, such a chameleon main idea may be undesirable, since the mode-switch between the first and second groups may call for a greater contrast than MTT could provide.

The various beginning strategies for the second group are not mutually exclusive. A most ingenious combination of MTT and new material at the beginning of the second group — ingenious in that it does not announce itself — is found in the first movement of the "Fifths" quartet, where the new theme is accompanied by the fifths motive. The main theme reappears in the role of accompaniment and with a different harmonic progression, achieved by transposing the theme at an interval other than the interval of modulation — in this case, down a third rather than up a third — such that the scale-degree functions of the pitches are different than those at the beginning (see Example 7). For this procedure, I propose the symbol "MTT*" for "modified main theme transposition." The effect to my ear is altogether different than the effect of MTT or MTR.⁴⁸

⁴⁷ This has to do with the correlation between the relative emphasis placed on certain pitches of the melody and the tonality projected thereby. For more on this, see Langlois, "Haydn's 'Irregularities,' and the literature cited there.

⁴⁸ MTT* and MTR may both be construed as kinds of double counterpoint, or "vertical shifts" whereby the contrapuntal intervals but not the relative contrapuntal positions shift. MTR is analogous to counterpoint at the tenth, while the MTT* in Op. 76 no. 2, i is analogous to counterpoint at the twelfth. In Op. 76 no. 3, iv, the main theme in G minor in bars 20–21 ($\wedge^1\text{-}\wedge^7\text{-}\wedge^1\text{-}\wedge^2\text{-}\wedge^3\text{-}\wedge^2$; cf. bars 2–4), then immediately in E-flat major in bars 21–22, retroactively suggesting a hearing of bar 20 as a statement in E-flat major on 3. In this case, there is no contrapuntal distinction between MTR and MTT*; aesthetically, this seems consonant with the general effect of a congeries produced by further statements of the theme on virtually every scale degree in bars 22–32. On the relationship between invertible counterpoint and "shifting" (non-inverting) counterpoint, see Serge Ivanovitch Taneiev, *Convertible Counterpoint in the Strict Style*, trans. G. Ackley Brower (Boston: Bruce Humphries, 1962), 34–40.

Example 7: Op. 76 no. 2, i
 exposition main theme transpositions and reharmonizations

Violin I

1 $\hat{5}$ $\hat{1}$ $\hat{2}$ $\hat{5}$

d: i ii_2^4 $V_3^{#6/4}$

Viola

13 $\hat{1}$ $\hat{4}$ $\hat{5}$ $\hat{1}$ =MTT*

F: I ii_6 V I

Violin II

15 $\hat{6}$ $\hat{2}$ $\hat{5}$ $\hat{1}$

F: V_7^{ii} ii_6 V_2^4 I_6

Violoncello

17 $\hat{2}$ $\hat{5}$ $\hat{6}$ $\hat{2}$

F: V_7^V V_7 VI ii

The exposition of the first movement of Op. 76 no. 2 is clearly in three parts, and readily accommodates Larsen's three-part structure: main theme (i:PAC in bar 12); elaboration section (from bar 13 to the III:HC in bar 44); and closing section. An analysis as a "trimodular block" is conceivable, but not entirely satisfactory. From this perspective, the caesura in bar 44 would be a "post-medial caesura," the second caesura of a trimodular block, since "S" material does not ensue and it is too late for the "real" medial caesura, which according to *Sonata Theory* implies one of two corollaries. (1) The real medial caesura is a i:PAC'MC (bar 12); yet, this is a "low-level default," and in any case it does not have the character of a medial caesura, but instead closes off the period which constitutes the first group. (2) The first caesura bar 12 is not the medial caesura, and the first two modules of the trimodular block have to be supposed to have undergone "fusion" as "TM¹⇒TM²"; yet, the exposition is clearly in three parts

articulated by the silences at bars 12 and 44.⁴⁹ Either of these implications seems equally implausible.

I prefer to hear this movement along the lines proposed for the first movements of Op. 17 no. 4, Op. 20 no. 3, and Op. 74 no. 3. Accordingly, I hear the expansion section in bars 13ff as having a function analogous to that of the fused transition and second-groups of those movements, notwithstanding the obvious differences in gross sectionalization when compared with them. Although Op. 17 no. 4 and Op. 20 no. 3 exhibit more-nearly typical two-part structure and Op. 74 no. 3 exhibits more-nearly typical continuous structure, I construe these (to repeat) more as differences in emphasis, rather than in kind, as shown in Table 3 above.

Along the lines already encountered in those quartets, in Op. 76 no. 2, i, Haydn takes the strategy of a quick modulation to its logical extension. After the low-tessitura PAC in bar 12, the combination of MTT* and new material in F major in bar 13 suggests the beginning of the second group — but with caveats. The cello is silent at bar 13, and although the music is clearly in F major, this key has not been established by means of a harmonic transition or cadence. In bar 17 the cello reenters to state the theme on $\hat{2}$ - $\hat{5}$ - $\hat{6}$ - $\hat{2}$ in F major, which arrives at a half cadence in bar 19. A possible medial caesura in the second half of bar 19 is filled in by the sweep up in the first violin; the low cello C in bar 20 begins a dominant pedal. Bar 20 might have been the beginning of the second group — there is no problem in principle with a second group beginning on a local V, *Sonata Theory* notwithstanding⁵⁰ — except that at this point F major has only been weakly established by V/ii/III in bar 15. The quick V–I alternation in bar 22 suggests an approaching half cadence which might have arrived on the first beat of bar 24. In this case, the key of F major would have been established by weight, as it were, rather than by V/V/III.⁵¹ With a bit of recomposition in first the beat of bar 44, bars 24–43 could be

⁴⁹ Hepokoski and Darcy, *Sonata Theory*, 170ff.

⁵⁰ *Ibid.*, 129.

⁵¹ On the establishment of a secondary key without its V/V, see Rosen, *Sonata Forms*, 105 and 236.

omitted and an unambiguous III:HC'MC might have been attained at the resultant bar 24 (= bar 44). Indeed, notwithstanding its late placement in the exposition, this cadence has the character of a medial caesura with caesura fill.

Actually, the fixation on the dominant-tonic alternation intensifies in bar 24 and the cadence and potential medial caesura in this measure is evaded. The cello leaps some two octaves to d' in bar 25, and noticeably avoids the low C until its re-attainment is dramatized by F–D-flat in bar 40. The destabilizing offbeat figures in bar 26 prepare a PAC that is subverted by the sudden shift to iii \flat (with respect to the overall tonic) in bar 32.⁵² The key of F minor is then prolonged by *its* III, wherein the material from bar 13 is stated; thus the exposition of this quartet has prominent thematic statements in tonics a diminished fifth away.⁵³ As Example 8 shows, the move to A-flat major effectively confirms the pitch F as the locally prevailing tonic; however, it implies the confirmation of F *minor*, since A-flat major can only be understood as III/iii \flat with respect to the home tonic.⁵⁴ For this reason, the energy of the abandoned low cello C dominant in bar 24 lingers; the destabilizing swerve to the parallel minor in bar 32 means that this PAC does not fully resolve it. Accordingly, I hear the root C governing bars 25–40 at a deep middleground level; in bar 41 the low C is resumed, with F minor now prevailing. Insofar as this low C dominant has not been resolved by a PAC to its major tonic, I hear F minor as mixture in a prevailing F-major middleground, as shown in Example 8.⁵⁵

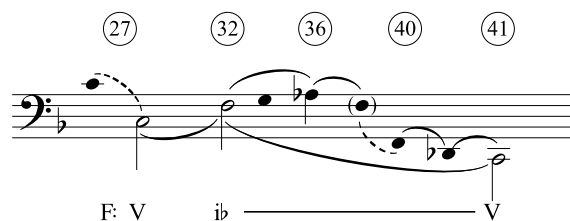
⁵² This characteristic figure is also used prominently in "The Representation of Chaos" in *Creation*, composed around at the same time as this quartet.

⁵³ However, this is not a direct relation, consistent with the hypothesis given in Matthew Brown and Dave Headlam, "The #IV/ \flat V Hypothesis: Testing the limits of Schenker's theory of tonality," *Music Theory Spectrum* 19/2 (1997): 155–83.

⁵⁴ Haydn uses the same technique in the second movement of Op. 54 no. 1 to establish the key of D-flat within a G-major second group as \flat III/ \flat III. There the technique is used at a larger scale to establish the tonality of the second group.

⁵⁵ Significantly, bar 45 confirms F major as the middleground tonality, since V/ii implies a major tonic.

Example 8: Op. 76 no. 2, i, graph of bars 25–41



From this perspective, bars 32–44 are a composing-out of this middleground mixture, and the minor-mode passage within the second group is analogous to mixture at the end of a transition leading up to a medial caesura — which, to repeat, was the expectation prepared as early as bar 24 but delayed until bar 44.⁵⁶ Understanding the F-minor passage in this way is consistent with the caesura-fill character of the half cadence at bar 44. The restatement in bar 45 of material from bar 15 emphasizes the ambiguity of this passage rather than resolves it. The transition is expanded so as to have the weight of a second group, but still retains the tonal plan of a transition, with tonicization of ii in bar 15 and bar 22, drive to a half cadence in bar 23, and mixture leading up to the caesura. The composing out of mixture as a minor expansion section (bars 32–40) pushes the medial caesura later in the form (bars 41–44) — too late, it seems, for it to continue to function as such and for what follows to be the second group. Thus, the transition was ostensibly omitted in bar 13 by beginning with a contrasting new theme in III, but the ensuing second group follows the tonal and rhetorical trajectory of a transition in a typical minor-mode two-part exposition.⁵⁷

Larsen's insight that the transition in a two-part exposition is the analogue to the expansion section in a three-part exposition is an aesthetically satisfying way of interpreting these disparate gestures. Even in an exposition as clearly divided into three parts as this one, allusions to the procedures of two-part expositions remain active, belying a categorical distinction between the two exposition types.

⁵⁶ See Hepokoski and Darcy, *Sonata Theory*, 25–6 and Rosen, *Sonata Forms*, 235.

⁵⁷ Such massive expansions or composings-out of transition sections may also be observed also in Op. 17 no. 5, iii and Op. 20 no. 2, ii.

VI. Developments: Goals and Swerves

Developments in major-mode movements often emphasize vi, the relative minor, and this key area is an ordinary goal of eighteenth-century ternary forms in the major mode.⁵⁸ However, the relative major is atypical as a key of the development in minor-mode movements. It is as if this key is unavailable to serve as a contrasting tonality in the development of a minor-mode movement, since it ordinarily will have already been established as a key within the exposition.⁵⁹ The submediant also appears occasionally as a prominent key in developments, but not after Op. 20 in a first movement and not at all after Op. 55.⁶⁰

Overwhelmingly, the keys favored in developments of minor-mode works are the subdominant and minor dominant. With respect to a minor tonic, these two keys are the two most closely related keys after the relative major: one step flatwards or sharpwards, respectively, on the circle of fifths.⁶¹ If both of these keys appear, they will appear in order: iv–v. Thus, an initial flatward turn at the beginning of a development helps to articulate a large-scale functional progression which culminates with the recapitulation in the tonic. In these respects, the development of Op. 74 no. 3, i is typical. It is relatively stable in the subdominant until bar 110, where it begins a progression down by thirds, touching on A-flat major and F minor. A chromatic progression involving diminished triads beginning in bar 122 finds its way to the home dominant in bar 126.

⁵⁸ See Rosen, *Sonata Forms*, 106.

⁵⁹ III does occasionally appear as the main key of the development in Haydn's quartets, e.g., Op. 17 no. 4, iv and Op. 76 no. 3, iv, but NB not in first movements. In Op. 50 no. 6, ii, a movement in D minor, the development begins in D-flat major; this is best understood as \flat VI/III, making III an important key of the development even though its tonic triad is does not appear.

⁶⁰ E.g., VI appears prominently in the developments of Op. 9 no. 4, iv; Op. 17 no. 4, i; Op. 20 no. 5, i; and Op. 55 no. 2, ii. Op. 64 no. 2, i begins its development in VI in what Caplin would term the "pre-core," but the main key of the "core," which begins at bar 47, is iv.

⁶¹ The minor dominant might also be thought of as the missing key from the exposition, displaced to the development.

A turn to the tonic major in the recapitulation — either at a local scale as a Picardy third at the end of the movement or a sectional scale as the key of the second group — correlates from the earliest quartets with the presence of the subdominant at the beginning of developments with notated repeats, sounding a V/iv–iv progression over the repeat. As shown in Example 9a–b, the key at the beginning of the development in Haydn's earlier opera is uncannily ambiguous, suggesting both III and iv as keys by various means — unaccompanied dyads, no bass, loud unisons.⁶² The strategy in Op. 76 no. 2, i is different (Example 9c): the development begins clearly in the key of the subdominant, but off-tonic such that there is harmonic continuity over the repeat.⁶³

Against this backdrop, the emphasis placed on VI and III in the development of Op. 64 no. 2, i numbers among other important and much-commented ways in which this quartet relates to Op. 33 no. 1, i.⁶⁴ The tension between D major and B minor pervades Op. 64 no. 2 and is especially pronounced at structural joins where tonal clarity would ordinarily be expected. The ambiguity of the beginning is well-known; but D major also lurks in the development and retransition. The half cadence on the home dominant at bar 58, with a little recomposition, could have led to a caesura and then the recapitulation. Instead, as Example 10 shows, the tonal trajectory of the exposition is retraced: there is a tonicization of the subdominant in bars 59–60 (analogous to bar 12), downward sequence by step in bar 61 (~ bar 13) leading to an IAC in D major in bar 62. This is followed by the same expanded cadential progression in bars 62–65 as occurred in bars 13–14. The music in bar 65 suggests the dominant of D major as its goal, but the swerve on ii/III=iv (the opposite of the pivot which occurred in bars 12 and 60) allows for the required half cadence in the home key instead. Thus, D major suggests itself not

⁶² The repeat of the development in Op. 50 no. 4, i, in F-sharp minor, is also uncanny, but the situation is different. The I# sonority is cancelled by the repeat of the development by unison and forte a-naturals (= ♯³) suggesting both i (= iii/VI) and V/VI.

⁶³ The I# = V/iv pivot is instantaneous, coinciding with the repeat of the development. In this way, it is analogous to the effect of a bifocal close in Winter's sense; see Winter, "The Bifocal Close." But, unlike a bifocal close, it is also retroactive: the sonority at the end of the movement is I# for its entire duration and only pivots after the repeat. Psychologically, it can seem as though the pivot occurs "out of time."

⁶⁴ Langlois, "Haydn's 'Irregularities,'" 105; Webster, *Haydn's "Farewell" Symphony*, 127ff.

(b) Loud unison pivot

Op. 64 no. 2, iv

195 *p* *p* *p* *p* *p* *f* 65

Op. 74 no. 3, i

196 *f* *f* *f* *f* *f* *p* 79

(c) Retroactive pivot

Op. 76 no. 2, i

137 *pp* *pp* *pp* *pp* *f* 57

$\sharp = V/iv$ $\sharp\sharp = V^7/iv$

Example 10: Op. 64 no. 2, i, bars 57–67

57

cresc. *f*

cresc. *f*

cresc. *f*

cresc. *f*

*b Ger*⁶ *V* *V* *i*₆ *V*³/*iv* *D:* *iv* *ii*

61

f

V *I* *V*³

64

fz

fz

*i*₆ *vii*⁻⁶/*ii* *b ii*₆/*iv*₆ *Ger*⁶ *V* *ii*₆

The goal of the development of the "Fifths" quartet is even more surprising. It begins conventionally enough in G minor (iv), and then modulates to B-flat major (III). Then, by means of a slick chromatic progression involving only augmented-triads and dyads, the dominant of A minor (V/v) is reached in bar 83. This sonority is reiterated as though it were the dominant preparation for the recapitulation. The main theme is then presented, shockingly, in C major (VII) and pianissimo; this produces the simultaneous effect of a bifocal close (in Jan LaRue's sense) and a false recapitulation;⁶⁶ this is quickly sequenced down through B-flat via a kind of common-tone progression ($b^{\wedge}7/VII=b^{\wedge}6$) in the bass to the home dominant for the reprise in the home tonic minor. As so often, this kaleidoscopic coincidence of procedures has a precedent in Op. 33 no. 1, i. There, the dominant of F-sharp minor (V/v) is reached in bar 46, a false recapitulation in A major (VII) occurs in bar 50, with piano dynamics. The pitches g' and G ($b^{\wedge}7/VII$) occur in the bass in bars 54 and 58, respectively, followed by the home dominant in bar 58c. Part of the sleight-of-hand is that in both movements the V/v sonority has not sounded in the development, and root motion by fifth has been sidelined by third-progressions. One's ear is therefore susceptible to the feint that V/v might be real dominant preparation for the return. The fact that the moment of false recapitulation is in the wrong mode (major instead of minor) is disorienting; it emphasizes the obscurity of the harmony rather than laying bare the path whereby it was reached.⁶⁷ This is an effect that can only be produced in a minor-mode sonata: a false recapitulation via bifocal close in a diatonically related key which contrasts in mode with the true tonic.⁶⁸

⁶⁶ Jan LaRue, "Bifocal Tonality: An Explanation for Ambiguous Baroque Cadences," in *Essays for Archibald Thompson Davis* (Cambridge, Mass.: Harvard University Press, 1957), 173–84 at 182.

⁶⁷ The coloristic effect is similar, to my ear, to that of the Neapolitan; like bII , the chord VII lowers the root of a diatonically related diminished triad by a semitone to produce a major triad. Arguably, lowering the *raised* leading tone in the minor to $b^{\wedge}7$ does not introduce a chromatic pitch, whereas lowering $^{\wedge}2$ to $b^{\wedge}2$ obviously does. This seems more of a philosophical question than a theoretical one: the question boils down to whether vii° in minor is considered a diatonic chord. Technically, it requires a chromatic *notation*, but it is difficult for me to see it as chromatic in *function*. On the other hand, $b^{\wedge}2$ as a *pitch* is marked while $b^{\wedge}7$ as a *pitch* is downright common. Nevertheless, in this case at least, I hear VII as a *chord* as having a coloring analogous to the Neapolitan, for the reasons described, making it in effect a chromatic chord.

⁶⁸ They are analogous, common harmonic situations in the minor mode, e.g. in the "Farewell" Symphony (in F-sharp minor):—first movement, bar 108: V/iv | VI→i; last movement, segue into the final Adagio:

VII. Recapitulations

Hepokoski and Darcy characterize the fact that the two keys of a minor-mode sonata exposition are of different modes as a “burden.” For them, the minor mode is “a sign of a troubled condition seeking transformation (emancipation) into the parallel major mode.” The drama of the “negative” minor mode being pulled toward the “positive” major mode is supposedly the topic of all minor-mode sonatas, even those that are “dominated by the minor throughout or [that] sternly reaffirm the minor mode” in the recapitulation.⁶⁹

Without question, the fact that the two main keys of Haydn’s minor-mode sonatas are usually of different modes has implications for the design of the recapitulation, but the “pull” of the major and the “negativity” of the minor can by no means be taken for granted. Haydn adheres to no such programmatic approach to the minor-mode sonata. For example, if the main theme has appeared in the relative major in the exposition via MTT or a similar procedure, the recapitulation can begin in the minor tonic, and a single statement of the theme can serve as the recapitulation both of the first and the second groups. This is by no means expected or usual; in such cases, the recapitulation can be about half the length of the exposition, and accordingly has less weight.⁷⁰ More commonly, MTT in the exposition correlates with significant recomposition in the recapitulation, which keeps it roughly the same length as (or longer than) the

V | III→I♯—and in the major mode: V/ii | IV→I.

⁶⁹ Hepokoski and Darcy, *Sonata Theory*, 306–310.

⁷⁰ This procedure is used in Op. 9 no. 4, iv, Op. 17 no. 1, iii, and Op. 42, iv, and Op. 55 no. 2, ii; incidentally, it has been interpreted both as a “weakness” and as evidence of Haydn’s “fine sense of tonal and structural balance”; see William S. Newman, *The Sonata in the Classic Era* 3rd edn (New York: W.W. Norton, 1963/1983), 158. The clearest minor-mode example is the second movement of Op. 55 no. 2 in F minor, an Allegro movement in cut time that is like a first movement in length and tone; in this case, it is the first part of the exposition (“P”) that is omitted from the recapitulation: bars 41–75 = bars 145–179. Rhythmically, bar 76 = bar 180: in the exposition bar 76 sounds the home dominant, but in the recapitulation the corresponding bar 180 is multivalent silence. On the repeat of the development, which begins in VI, bar 180 implies V/VI (parallel to the common-tone progression at bars 75–76), whereas the second time it implies the prolongation of the tonic.

exposition.⁷¹

Alternatively, if new second-group material has appeared in the exposition, it ordinarily must be recapitulated in the tonic.⁷² Whereas this strategy avoids presenting the main theme in contrasting modes in the exposition, it forces the issue for the second-group material in the recapitulation.⁷³ A variant of this approach, rare for Haydn, is the recapitulation of just the second-group theme in the tonic minor.⁷⁴ This is Mozart's most common recapitulation procedure in the minor, and corresponds to his usual practice of expressing the beginning of the second group with a new theme. The effect of the appearance of second-group material, especially a theme, in the tonic minor is analogous to the effect of mixture. Often, as in Op. 20 no. 5, i, the memory of its statement in the major colors the minor recapitulation with something of a bittersweet effect.⁷⁵

If second-group material is recapitulated in the major mode, the movement as a whole will end in the parallel tonic major. Ending a minor-mode movement with the tonic major, as a sonority or as a key, is marked; but it does not automatically imply the "emancipation" of the minor, or the "triumph" of the major in a Beethovenian sense.⁷⁶

⁷¹ See Larsen, "Recapitulation Recomposition"; Riley, *The Viennese Minor-Key Symphony*, 206–219; Webster, *Haydn's "Farewell" Symphony*, 221–4.

⁷² This is an aspect of the "sonata principle"; see Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton, 1968), 76–7 and the discussion in James Webster, "Comments on James Hepokoski's Essay 'Sonata Theory and Dialogic Form,'" in *Musical Form, Forms, and Formenlehre*, 96–100. See also James Hepokoski, "Beyond the Sonata Principle," *Journal of the American Musicological Society* 55/1 (2002): 91–154.

⁷³ E.g., in Op. 64 no. 2, i the tonally ambiguous main theme suggests the possibility of MTT, but this is never realized in the exposition. Instead, ambiguity as to the location of the second group corresponds to extensive recomposition in the recapitulation, including the addition of new cadence at bar 80. The second-group material from bars 15–18 and 20 in III is recapitulated (out of order) in i at bars 83ff and 77–9, respectively, with a tragic tone.

⁷⁴ Among the quartets, this strategy occurs only in Op. 20 no. 5, i (at bars 28 and 106), notwithstanding the fact that the new second-group theme is not the first event of the second group (note MTT at bar 20).

⁷⁵ For a discussion of composers' tendencies in the symphony, see Riley, *The Viennese Minor-Key Symphony*, 203.

⁷⁶ Compare Hepokoski and Darcy, *Sonata Theory*, 306.

Of course it can, as in Op. 76 no. 3, iv; but equally, such an ending may be consistent with the overall lightheartedness of the movement, as in Op. 74 no. 3, i.⁷⁷ These two options seem to be mutually determining: on the one hand, if movement as a whole is stormy or grim, then a rhetorically weighty and triumphant turn to the major is required to supersede it; on the other hand, if the tone of the movement of a whole is overly serious, then an emphatic turn to the major could seem trite and unmotivated. Indeed, about two-thirds of the exposition of this movement is in the major mode and in this way the turn to the tonic major in the recapitulation is not solely a device to accommodate the recapitulation of the Ländler-like theme, but is consistent with the aesthetic of the movement as a whole.

Another use of a major conclusion to a minor movement is in the more general context of finale rhetoric.⁷⁸ The finales of Op. 64 no. 2, Op. 74 no. 3, and Op. 76 no. 2 all have contrasting second-group material in their expositions; however, their recapitulations present the main theme twice, first in the tonic minor then in the parallel major. Again, the effect of these finales is varied: the B-minor and "Rider" quartets are lighthearted or comical (see, respectively, bar 158 and bar 100), in keeping with the character of their opening movements. In the "Fifths" finale, the effect is exotic (see bar 180), counterpoised to the awesome gravity of the ending of the first movement.

As in other areas already discussed, the recapitulation of the "Fifths" contains an ostensible contradiction: the second group of the recapitulation is in the major, but the movement ends in the minor. The theme at bar 13 is not recapitulated in the tonic; rather it is reprised within a local prolongation of VI at bar 126. However, bar 126 is parallel not to bar 13 (the beginning of the second group), but to bar 32 (the beginning

⁷⁷ See Hans Keller, *The Great Haydn Quartets: Their Interpretation* rev. edn (London: Dent, 1995), 205; H.C. Robbins Landon and David Wyn Jones, *Haydn: His Life and Music* (Bloomington: Indiana University Press, 1995), 292ff; Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* expanded edn (New York: W. W. Norton, 1997), 346; James Webster, *Haydn's "Farewell" Symphony*, 314–20.

⁷⁸ On finale rhetoric in the symphony, see Riley, *The Viennese Minor-Key Symphony*, 120ff and Webster, *Haydn's "Farewell" Symphony*, 176–8 and 183–5. Riley identifies a conventional "stormy finale" which brings to culmination either a tragic (if ending in minor, e.g. Op. 76 no. 2, i) or a comic (if turning to major, e.g. Op. 74 no. 3, i) plot for the whole four-movement cycle.

of the minor-mode expansion section within the major-mode second group); this can be discerned by noting that bars 111–112 are newly composed to avoid the full cadence, parallel to bar 12, that might have occurred in bar 111. Instead, the dominant is reached in bar 113, leading to the off-beat figures of bars 117–125 (= 27–31; see Example 11). In a certain respect, the second-group theme is recapitulated away from the beginning of that key area.⁷⁹ But in another respect, bar 126 can be understood to recapitulate the destabilizing effect of bar 32: both evade the cadence prepared by the off-beat figure by means of a sudden change in mode and texture, including driving rhythms and sixteenth notes with motives based on the second-group theme. In this way, Haydn reprises the second-group material in the major, but within the key of D-minor.⁸⁰ This seeming paradox depends upon, and its resolution arises from, the fact that the two principal keys of the movement are of different mode. Here, the drama is not one of the emancipation of minor, or even the failure of that drama; rather, the mixture of major and minor, heightened no doubt by the traditional connotations of the D-minor, imbues the movement with intensity.

Example 11: Op. 76 no. 2, i, bars 111–138

VIII. Conclusion

⁷⁹ On the submediant recapitulation and its relation to the sonata principle, see Webster, "Comments on James Hepokoski," in *Musical Form, Forms, and Formenlehre*, 96–100.

⁸⁰ In this respect, this passage is analogous to the submediant prolongation in a similar formal position at the end of the second group in the exposition of Op. 76 no. 3, i.

Considering the particularities of the minor mode highlights the limitations of typological distinctions that are often taken for granted owing to the general focus on major-mode works. With respect to the sonata, the lines between a two-part and three-part expositions are productively blurred; a variety of tonal and modal effects are encountered within the long-range iv–V tonal trajectory of the development; and the possible connotations of the final tonality in the recapitulation are expanded. In short, the somewhat pat characterization of minor sonata forms as “serious” when compared to a major-mode “default” gives way to a variety of light and shade.

Despite such important differences, both minor- and major-mode sonatas work their respective expressive effects in time. The kind of multivalent analysis pursued here foregrounds those factors of the work whereby listeners’ expectations are aroused, realized, or confounded.⁸¹ The iterative, even dialectical, processes of the mind’s attention and response to the music engenders a dynamic form not so much “in” the work as “from” the work.

Although this perspective does not preclude the (eventual) emergence of a unitary form that could be the object of (synoptic) aesthetic contemplation, it nevertheless emphasizes with von Tobel and Webster the phenomenological (diachronic) “unfolding” of form.⁸² This emphasis leads Webster to conclude that “*the form*” — the unified object of aesthetic contemplation — often does not exist, or at least “remains mysterious.”⁸³ It follows that some (or all?) works cannot be experienced *except* in time — whether by listening to an actual performance or by imagining such an experience, as in score reading or other modes of mental performance.

Without denying the essence of Webster’s insight, it seems to me that it is possible to apprehend “*the form*” of a movement even when the relationships among its

⁸¹ See Nicholas Mathew, “Interesting Haydn: On Attention’s Materials,” *Journal of the American Musicological Society*, 71 no. 3 (2018): 655–701 esp. 673–88.

⁸² For von Tobel, the phenomenological and unitary experiences, or “dynamic” and “architectonic” aspects, of form remained distinct, to the point that two separate analyses (one for each aspect) were required to account for the form(s) of any work; see *Die Formenwelt*, 247.

⁸³ Webster, “*Formenlehre* in Theory and Practice,” 129.

constituents remain contingent — that is to say, not unified — in the final analysis. In such cases, the object of aesthetic contemplation will encompass the contingencies, notwithstanding the mutual exclusivity of some among them. The concept of dynamic form describes the experience of this paradoxical synthesis by referring to both the formal process that evolves in time and the fixed, atemporal object of one's contemplation of that process. One's delight in music's dynamic form arises from the psychological oscillation between one's phenomenological experience of a temporal object and one's holistic apprehension of the self-same object. Ostensibly, this is similar to the delight of Escher drawings, Shepard tones, and verbal puns. In visual and auditory illusions and puns, the oscillation can be experienced in time as when figure and ground seem to invert. It can also be experienced "out of time" as a meta-awareness of the ambiguity by which the illusion occurs, despite the fact there might not be a sensory correlate to that awareness (that is, it is not usually possible to perceive a single formal constituent as both figure and ground simultaneously).⁸⁴ Analogously, the concept of dynamic form fuses the temporal experience of music to an "eternal" aesthetic experience of it, perhaps a source of its mystery.

⁸⁴ Compare Mathew, "Interesting Haydn: On Attention's Materials," 676–7.

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LegendOpus/MovementYearKeyTempoMeter

Form I: sonata with development
 II: sonata w/o dev
 III: fantasy/capriccio based on sonata principles
 IV: sonata rondo or other looser “finale-type” sonatas
 repetition structure
 +C coda

TR Statements of MT?
 see below for MT procedures
 Modulation strategy?
 Connection with S?

’ cadence or harmonic arrival with caesura
 ’⇒ arrival and caesura with caesura fill
 ⇒ continuity with S
 (often an HC which is converted into a PAC with elision into S; sometimes a V^6 arrival)

S Second group initiation
 MT = main theme, untransposed and harmonized in i as key (e.g. to initiate TR)
 MTT = transposed up a third to III
 MTR = no transposition, reharmonized in III (e.g. op. 33/1)
 MTT* = transposed at an interval other than up a third
 MT’T = varied main theme, transposed up a third to III
 MT’R = varied main theme, no transposition reharmonized in III
 MT’T* = varied main theme, transposed at an interval other than up a third
 N = new second group theme or material
 ⇒FS = continuous exposition (H&D “TR⇒FS”)

E|| Boundary between end of exposition and its repeat, or development (if there is no repeat)

R General formal design and tonal strategy of the recapitulation
 “minor” recapitulation of the second group in the tonic minor
 “major” turn to the tonic major for the second group
 “S omitted” with bar counts for E and R (usually $R \approx \frac{1}{2} E$)

D Tonal areas in development

Other notations

(To avoid ambiguity, all harmonic labels are given with respect to the overall tonic of the movement)

V–I succession of chords or prolongation

V→I structural progression or key areas

V⇒I progression over a formal boundary (e.g. dominant preparation for the repeat at a double bar)
 ’ caesura

c.t. common tone progression

b.c. bifocal close in a general sense — either:

instantaneous change of the function of a single sonority [Winter: $V = I/V$]

(this can also be construed as functional resolution/progression without changing sonority [$V/I \rightarrow I/V$]);
 or a functional resolution/progression but between the “wrong” two sonorities [LaRue: $V/vi \rightarrow I$]

b.c.’ bifocal close with caesura

⑤ circle of fifths

Opus	Year	Key	Tempo	Meter	Form	Character	TR	S	E	R	D
9/4/i	? 1769	d	Moderato	C	I : : : :		v = iii/III, then V/ii/III III:HC⇒	N	V ⁷ ⇒	minor	iv→v
9/4/iv	? 1769	d	Presto	g	IV : : : :	gigue?	iv = ii/III V ⁵ /III⇒	MT'T	III:PAC'	S omitted R=21; E=39	VI
17/1/iii	1771	e	Adagio	g	I : :	siciliano ("bII")	MT i = vi/III V ⁵ /III⇒	MT'T	III:PAC'	S omitted R=23; E=40	V/i→V/v
17/4/i	1771	c	Moderato	C	I : : : : +C		MT'M vi/VI = ii/III (or V/VI = III w/ b.c.?) III:HC'	MTR	III:PAC' w/ c.t. $\hat{1}/III=\hat{3}/i$ ⇒	false R in III w/ PAC minor, recomposed from P	VI→vi b→ iv→V
17/4/iv	1771	c	Allegro	C	IV (I?) : : : : +C	gavotte?	MTT* in v iv = ii/III III:HC'⇒	N	III:PAC' w/ lead-in	minor, recomposed from TR	III→⑤→ V/III→i
17/5/iii	1771	g	Adagio	3/4	II (III?) '	cantabile fantasy?	tonicizes iv → V ⁷ →V ⁷ /III (c.t.) V/III'⇒ cf. 20/2/2	MT'T	III:PAC'	minor MT'T recap'd as Closing	—
20/2/ii	1772	c	Adagio	C	III I→V ' III→V⇒ ("Siegue subito il Menuet")	"Capriccio"	[long and elaborate] iv = ii/III→ III = V/VI→ VI →vii ⁰⁷ /ii/VI→ ii/VI = iv/iv→ v/iv = iv/v→ MTT in v→ i:HC' (b.c.)	N	— <i>deviates from sonata form principles in second group</i>	—	—
20/3/i	1772	g	Allegro con spirito	2/4	I : : : :	light cf. 64/2/1	MT and MT'T [v-iv] = [iii-ii]/III III:HC'	MT'R	III:PAC→ ii/III = iv-vii ⁰⁴ ⇒	minor, recomposed from TR	v-III-VI- iv
20/3/iv	1772	g	Allegro di molto	C	I : : : :	witty/ sentimental?	MT→i' MT'T* <i>unis.</i> in III⇒	MTT	III:PAC'	minor, recomposed from TR threatens to go to III I# to conclude	iv
20/5/i	1772	f	Moderato	C	I : : : : +C	sombre	v→VI = IV/III III:HC'⇒	MT'T+N	vii ⁰⁷ /III = vii ⁰⁴ ⇒	minor, full recap of N in i	VI→v

33/1/i	1781	b	Allegro moderato	C	I : : : :	uneasy	tonicizes iv → I:HC' (b.c.)	MTR	III:PAC'	false R in VII minor, recomposed from TR	iv→V/v cf. 76/2/1
33/1/iv	1781	b	Presto	$\frac{2}{4}$	IV : : : :	all'ongarese?	iv = ii/III	⇒FS	III:PAC'	minor, recomposed from P	iv→V/III' III→V
33/5/ii	1781	g	Largo e cantabile	C	II 	mesto	MT i = vi/III (or IV# = V/V/III) V/III⇒	MT in TR⇒N	ii/III=iv-V⇒	minor, recomposed from P	—
33/6/ii	1781	d	Andante	C	II 	ethereal cf. 64/5/1	I:HC'⇒ V→V/III (c.t.)		vi/III=i-V⇒	minor, recomposed	—
42/i	1785	d	Andante ed Innocente mente	$\frac{2}{4}$	I : : : :	“Innocente-mente”	MT iv = ii/III (or i = vi/III?) III:HC'⇒PAC	MTT*	III:PAC'	minor, recomposed from Tr I# to conclude	iv-⑤→ V/v' v→V
42/iv	1785	d	Presto	$\frac{2}{4}$	IV : : : : +C	dance-like	→v (b.c.), VI/v = III III:HC'	MTT*+ MTR	III:PAC'	P omitted R=20; E=40	iv cf. 76/2/1
50/4/i	1787	f#	Spiritoso	$\frac{3}{4}$	I : : : :	symphonic cf. “Farewell” ambiguous TR: cf. 64/2/1R	MT' iv = ii/III (or i = vi/III?) III:HC'⇒	MTT(*)	III:PAC'	major	iv
50/6/ii	1787	d	Poco adagio	$\frac{6}{8}$	I : :	mesto? cantabile?	i:HC' (b.c.)	MTT	III:PAC'	major	bVI/III
55/2/ii	1788	f	Allegro	C	I : : : :	cf. 20/3/1 64/2/1	bII = IV/VI→ V/VI = III (b.c.) III:HC'⇒	MTT	III:PAC'→V ⁷ ⇒	major, S omitted	VI-#III[!] →⑤→iv
64/2/i	1790	b	Allegro spiritoso	C	I : : : :	uneasy	MT <i>unis.</i> iv = ii/III III:HC'⇒	⇒FS [=N?]	III:PAC'	minor, recomposed from TR	VI→iv
64/2/iv	1790	b	Presto	$\frac{2}{4}$	IV : : : :	light	MT [VI-iv] = [IV-ii]/III III:HC'	MT'R	III:PAC w/ c.t. $\hat{3}/III=\hat{5}/i$ ⇒	major cf. 76/2/1, 33/1/1	iv→V/ii w/ c.t. $\hat{5}/ii=\hat{7}/VII$, V/ii/VII = V ₅ ⁶ ⇒

74/3/i	1793	g	Allegro	$\frac{3}{4}$	I : : : :	light	iv = ii/III MTR III:HC⇒	⇒FS+N	III:PAC' cf. 20/3/1	major	iv-VI/iv = bII-V ⁷ - vii ^{o4} ₃
74/3/iv	1793	g	Allegro con brio	C	I : :	“con brio”	MT i = vi/III, then iv = ii/III III:HC'	MTT	III:PAC'	major	iv→iv/iv
76/2/i	1797	d	Allegro	C	I : : : : +C	dark	omitted [?] cf. 17/4/i, 20/3/i, 42/i	N+MTT*	III:PAC' w/ c.t. ⇒	false R in VII minor, recomposed from P	iv-v
76/2/iv	1797	d	Vivace assai	$\frac{2}{4}$	IV aabb '	all'ongarese	[MT'T*?] v = iii/III-V III:HC⇒	N	III:PAC'	major	iv
76/3/iv	1797	c	Presto	C	I : :	symphonic	MTT* in v iv = ii/III III:HC⇒ cf. 17/4/4	⇒FS = MTT*	III:PAC'	major	III incl. reprise of MT in III cf. 64/3/1