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A Caplin-style Analysis of Beethoven's *Piano Sonata in C major*, op. 2, no. 3, movement I

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William Caplin's *Classical Form* has been an influential book since its publication in 1998.[1] His theory of formal function can permit new insight into otherwise difficult passages when applied to the music of the First Viennese School. However, one feature that *Classical Form* lacks is a complete analysis of an entire movement.[2] In the first full-movement unit of my Form and Analysis course, I cover four first movements: Haydn's Hob. XVI:37, Mozart's, K. 283 and K. 333, and Beethoven's op. 2, no. 3. Each of those movements features a different construction of the development, and each contains different alterations in the recapitulation. Through the specific example of the first movement of Beethoven's *Piano Sonata in C major*, op. 2, no. 3, this article will accomplish two goals. First, I will discuss the process of teaching a complete movement using Caplin's terminology. I will present the types of questions that I ask of my students, paying particular attention to atypical formal situations that might be encountered in a classroom. Additionally, I will present a specific assignment given to my class that deals with the development of the movement. Through the application of Caplin's formal functions, these irregularities can be handled gracefully, and the

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[1] William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, (New York: Oxford University Press, 1998). A glossary appears at the back of the book, and I will define terms as concisely as possible.

[2] In the time between when I began this article and the time that I completed it, Caplin published a textbook version of his book, entitled *Analyzing Classical Form* (New York: Oxford University Press, 2013). In this classroom-specific text, the entirety of Beethoven's *Piano Sonata in F minor*, op. 2, no. 1 is presented with annotated examples and prose explanation (see Chapter 9, pp. 261-285).

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analytical difficulties can be resolved. Following that, I will present an analysis of the movement, in a style closely replicating that of Caplin.   I have chosen this movement to demonstrate how even an early Beethoven piano sonata can feature significant irregularities within the sonata form model, therefore presenting difficulties to analysts, particularly students. This article can serve as an analytical and pedagogical model for instructors who are not as familiar with Caplin's text, but want to incorporate his work into their classrooms.

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Considerations of *Classical Form*

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Caplin orders *Classical Form* so that various main theme types are presented first: sentence, period, hybrid/compound forms, small ternary, and small binary. This is also the model that I follow in class, an upper-division Form and Analysis course, as the initial unit deals with terminology and identification of main theme types. We also critique a fair number of the examples within the chapter. One example in particular, Example 3.15, elicits a great deal of discussion, because the cadence is marked as "IAC (PAC?)"[3] The issue for discussion is the final note: Is it scale-degree 3 or scale-degree 1? Factors such as selecting one melodic note in each measure, parallel construction to the first four measures, and even compound melody factor into the argument, demonstrating early in the semester that not every phrase structure is tidy and easy to determine. Caplin's Example 3.15 is reproduced below.[4]

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[3] Caplin, 46.

[4] The example appears on p. 46. His discussion of the example appears on p. 47.

EXAMPLE 3.15 Mozart, String Quartet in A, K. 464, ii, 1–8

Following this initial section of the book, Caplin introduces the other elements of sonata form: subordinate theme, transition, development, and recapitulation. Before dealing with the full-movement examples, I spend time lecturing on each chapter, emphasizing what typically happens in the Classical era, in terms of phrase lengths, key relationships, cadences, etc. By introducing each chapter, and the regular occurrences within each section, the students are prepared to identify the atypical elements that may occur in a given sonata form movement. It is extremely rare for a full movement to completely conform to the "textbook definition" of sonata form, so each of the four pieces that I cover in detail contains at least one significant anomaly.

I have chosen to follow Caplin's ordering of sonata form elements for multiple reasons. The first reason is that it is often easier for students to find beginnings and endings of main and subordinate themes, largely because of the PACs that often conclude those respective themes. As a result, four different sonata movements can be taught at the same time, with the primary focus on one element for one to three class periods. By lecturing first on a topic, and then moving to the individual movements, I focus the class periods on the specific sonata form elements, rather than teaching one movement from beginning to end, and students can see the differences in the various elements of sonata form from movement to movement and from composer to composer. Secondly, the

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subordinate theme more closely resembles the main theme than the transition, so I want

to take advantage of the fact that students are still thinking about phrase structure of

themes, rather than move to the looser construction of the transition before returning to

something more tightly-knit. The third is that teaching the subordinate theme

immediately after the main theme allows for discussion about why certain loosening

techniques are used in specific pieces. Caplin states that subordinate themes are almost

always more loosely-knit than main themes, but tight- and loose-knit are relative terms

within a movement.[5] Teaching the two themes consecutively takes advantage of these

relationships. In the analysis, the same model is followed, introducing the subordinate

theme before the transition.

Considerations of *Elements of Sonata Theory* by Hepokoski and Darcy

An alternative to Caplin's form-function theory of Classical Form is presented by

James Hepokoski and Warren Darcy. Unlike Caplin's *Classical Form*, which only

considers instrumental music of the Classical era,[6] Hepokoski and Darcy state that, "In

addition to furnishing a new mode of analysis for the late-eighteenth-century instrumental

repertory, the *Elements* also provides a foundation for considering works from the

decades to come—late Beethoven, Schubert, Weber, Mendelssohn, Schumann, Liszt,

Brahms, Bruckner, Strauss, Mahler, the 'nationalist composers,' and so on."[7] Their

terminology and approach is intended to reach beyond the scope of Caplin's theory.

While the terminology has the potential to be confusing to undergraduates, with five

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[5] Caplin, 97.
[6] Caplin, 3.
[7] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, (New York: Oxford University Press, 2006), vii.

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different types of sonata form and various other acronyms and abbreviations, the

terminology can be applied to the music just as directly as Caplin's, and with the same

level of success.

Hepokoski and Darcy discuss the first movement of Beethoven's op. 2, no. 3 in

multiple locations in their book. First, they raise the issue of transition-like material near

the middle or end of the subordinate theme prior to the PAC.[8] Next, a significant example

of "TMB," or the "Trimodular Block" is shown, providing the music that encompasses

mm. 23-56; the musical example lacks annotation.[9] Finally, the coda is discussed. The

authors write,

> In its most emphatic realizations, the "coda-cadenza" can even include a
> 6/4 platform, some interior tempo changes, and a trill-cadence exit into a
> separate, additional coda-space. The *locus classicus* occurs after the
> recapitulation of the first movement of Beethoven's Cello Sonata in F, op.
> 5, no. 1. Related examples, better classified as instances of coda-rhetoric
> interpolation (CRI or CRI-effect), may be considered in the first
> movements of his Piano Sonata in C, op. 2, no. 3—discussed in more
> detail below—and in the birdsong cadenza in the second movement of the
> *Pastoral* Symphony.[10]

The authors' detailed discussion appears two pages later, and parses the complete coda,

according to their terminology.[11] This explanation of the coda is effective, largely

because Caplin's theory lacks an elegant solution to less-commonly occurring musical

events, particularly in the coda.

While the theories of Caplin and Hepokoski and Darcy are not mutually

exclusive, in the case of op. 2, no. 3, Hepokoski and Darcy more effectively deal with the

coda, while Caplin is clearer regarding the subordinate theme and its component parts. It

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[8] Hepokoski and Darcy, 141.
[9] Ibid., 172-175.
[10] Ibid., 287.
[11] Ibid., 289.

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is beyond the scope of this article to attempt to compare the merits of each book and methodology as it could apply to a class. Options available to an instructor include selecting one book and using that specific terminology to carefully selecting elements from each text, synthesizing the content in a suitable fashion for students.

Teaching the Development

When using *Classical Form* as the primary textbook in a Form & Analysis course, one of the most difficult issues concerns the teaching of the development. The development is the most loosely organized section of the three large parts of sonata form, and as such, the greatest number of "typical" possibilities exists in this section. However, the musical examples within the chapter are more problematic than that because, in most cases, the examples chosen in the development chapter have not had any element of their exposition discussed in the book. Furthermore, without knowing how the basic idea of the main theme initially sounded, it becomes much more difficult to hear that music as being developed and manipulated in the context of the development. Without fully examining the exposition, discussion of the development tends to be less thorough than it should be. As a result, the development section homework assignment that I give deals directly with a full movement from class.

The assignment that I give contains two parts: the first part asks the students to label the development of the Beethoven movement in the style of the labeled examples in *Classical Form*, while the second part asks the students, in their best prose, to write their analysis, and give them an opportunity to explain why they have chosen those particular labels. I also instruct the students that they will find both a pre-core and a core in this development, so as to give them some guidance with their analysis. Finding the

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beginning of the recapitulation is easy, as the music appears exactly as it did in m. 1, so finding the boundaries of the development poses very little difficulty.

The purpose of this assignment is to encourage students to creatively solve the formal issues, and to recognize the different elements and their respective derivations in the development. In order to ask students to perform an analysis on a development, they must have experienced and studied the exposition first so that the derivation of the elements of the development is clear. Although parsing the pre-core is difficult, largely because it contains three sections, which is something that is not addressed in Caplin's book, the vast majority of students (>80%) satisfactorily identify the beginning of the core and its model in mm. 113-116. Each of the three sections of the pre-core is textually different, making it a bit easier for the students to recognize. But beyond recognition, I want the students to find that the appearance of the main theme in a major key in the pre-core is highly irregular and unexpected, and this surprise leads to a failed continuation phrase, which becomes, on a retrospective hearing, the four-measure model of the core, which is then sequenced and fragmented, as one might expect. I also take this opportunity to have students work on their analytical prose, since a final paper, which covers a complete sonata-form movement, is due in this class. Because the development assignment requires only a short amount of prose, I am able to give comprehensive feedback to students on their writing, and hopefully the corrections and suggestions will be taken to heart and applied by the students before the longer final paper is submitted.[12]

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[12] I also give an additional analysis/prose assignment later in the semester, and compare the two writing submissions. If the same mistakes occur in the second prose assignment, I make the student aware, both in comments when the assignment is returned, and verbally, when I hand back the graded assignments. The final paper consists of 5-8 pages of prose.

One of the more important aspects of providing feedback on the students' prose is to help them avoid writing a descriptive, or "play-by-play" analysis, where every aspect, no matter how significant or insignificant, is mentioned chronologically. Through giving students the opportunity to organize their analytical ideas on a smaller level, along with appropriate feedback, the hope is that those concepts transfer into the final paper.

Teaching the Coda

Of the four Classical era sonata form movements that I cover with my students, this movement is the only one that contains a coda. The coda, like the development, is challenging, but still contains typical elements. And like the development in this movement, the coda contains less conventional issues in terms of the parsing and function of the different sections. Caplin places emphasis on what he calls "compensatory functions," musical elements or gestures that were not addressed earlier in the movement.[13] In addition to the issues surrounding the construction of the coda, a clear reference point can be made between the coda and the development. The development's pre-core consists of three sections, material from the closing section, material resembling a transition, and material from the main theme. The coda is preceded by the recapitulation's closing section, begins with material resembling a transition, similar to the second section of the pre-core, and following an Eingang, moves to the movement's main theme. The difference is that the failed continuation phrase from the development correctly concludes in the coda. I place the emphasis of discussion on seeing how the old material is used, where it has changed, and why these changes are made, in terms of compensation.

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[13] Caplin, 179.

Further Considerations

In addition to classroom discussion, I have the students submit small assignments. These assignments range from Roman numeral analyses of themes to identifying sections of one of the three large parts of sonata form to written discussions of the differences between the exposition and recapitulation in a given movement. These assignments are intended to have the students prepare for classroom discussion, and for me to identify any significant struggles that students may be having in their understanding of concepts or analysis. The identification process within sonata form may be the easiest objective, so I try to emphasize the "why" aspect of identification, because as music moves chronologically forward from the end of the eighteenth century, more ambiguity arises. If the students can present salient reasons and solutions to the difficult issues within the late-eighteenth century, they can then transfer that knowledge to the late nineteenth and twentieth centuries, and be able to justify their analyses.

The final project in the class is to write a 5-8 page paper on a movement in sonata form that was written around or after 1900. Students are given three choices, based on pieces that I have selected and analyzed. The purpose of having students wrestle with the less clearly defined portions of the works taught in class, particularly op. 2, no. 3, is to have them try to apply the same level of critical thought to a piece where a cadence might not be defined as PD-D-T, or even D-T, and where other parameters, such as melodic and rhythmic gestures, are used to finalize a phrase or theme. A secondary objective of the final paper is to help students see the changes in compositional style from the late-eighteenth century to the early-twentieth century, while maintaining the same large form. The culminating project is intended to allow the students to show their level of

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understanding of Caplin's terminology, while giving them room to both loosen Caplin's definitions and apply them to music that is not always as clearly grounded in common-practice functional harmony as Caplin's examples. The use of the first movement of Beethoven's op. 2, no. 3 is one of the early steps toward reaching the final goal of the analytical paper.

Analysis of Beethoven's op. 2, no. 3, movement I

Exposition

The exposition encompasses mm. 1-90a. Table 1 presents the construction of the exposition. [14]

Table 1 – Construction of Exposition

Section	Measures	Key Area	Concluding Cadence
Main Theme	1-13	CM	PAC
Transition	13-26	CM	HC
Subordinate Theme, part 1	27-46	Gm	HC
Subordinate Theme, part 2	47-77	GM	PAC
Closing Section	77-90	GM	PAC

The first cadence in the man theme is in m. 8 is an IAC, and the continuation phrase is repeated in order to achieve full cadential closure in m. 13 with a PAC. The main theme is very clear in its phrase construction and adherence to the typical model of a sentence. Even though an IAC occurs in m. 8, Caplin observes that, "[m]ost main themes end with a perfect authentic cadence, rarely with an imperfect one."[15] While a transition can begin with material derived from the main theme, that material is almost always the main theme's basic idea, and not material from the continuation phrase. The

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[14] The only portion of this movement that is analyzed in Caplin's text is the main theme of the exposition, mm. 1-13, on pp. 44-45. The rest of the movement is exclusively my analysis.

[15] Caplin, 197.

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repetition of the continuation phrase, now with the melodic-motivic material imitated in the left hand, closes with the expected PAC in m. 13.

The first irregularity concerns the subordinate theme. While it is not uncommon for a sonata movement to contain two subordinate themes, each ending with a perfect authentic cadence, and each with its own basic idea, a two-part subordinate theme is much less common. Regarding this issue, Caplin writes,

> But if we want to maintain the idea that a subordinate theme must end with a perfect authentic cadence—and there are many good reasons for doing so—then the interpretation of two different subordinate themes must be modified. In its place, the notion of a *two-part subordinate theme* may be introduced and defined as follows: in a two-part subordinate theme, the first part ends with a half cadence, which may be followed by a standing on the dominant; the second part begins with a new basic idea, which is usually incorporated into a presentation or a compound basic idea and which eventually leads to prefect authentic closure for the entire theme.[16]

In this case, part 1 of the subordinate theme begins like a CBI + Continuation hybrid, but the continuation fails after two measures, instead leading to a repeat of those six measures, but at the dominant pitch-level.[17] The material in measures 27-32 is then repeated in D minor, with the same failed hybrid construction. The six-measure phrase and its sequential repetition serve as the initiating function of part 1 of the subordinate theme. The medial function (mm. 39-42), which returns to G minor, is significantly shorter and consists of a model-sequence progression. The concluding function (mm. 42-43) is also short, consisting of only two measures before arriving on a half cadence (m. 43), which is prolonged through standing on the dominant (mm. 43-44), and also features a two-measure lead-in to part 2 of the subordinate theme (mm. 45-46).

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[16] Caplin, 117.

[17] A compound basic idea, or CBI, is a type of hybrid form consisting of a basic idea followed by a contrasting idea that does not result in a cadence. (Caplin, 61). A "hybrid" is a structure that is not purely a period or sentence, but combines elements of both.

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Part 2 of the subordinate theme also follows the initiating-medial-concluding model. The initiating function most closely resembles a sixteen-measure period, but one that fails to cadence. As opposed to the standard eight-measure period, where the antecedent and consequent phrases are four measures each, the antecedent and consequent of a sixteen-measure period are each eight measures long. The first eight measures of the period (mm. 47-54) are constructed as a sentence that results in a half cadence. Measures 55-58, the presentation phrase of the period's consequent, are the return of mm. 47-50, but with an exchange between the hands. The return of the basic idea and repeated basic idea signals the listener that the half cadence that was just heard will be completed with a perfect authentic cadence in approximately four more measures. The continuation function previously heard in mm. 51-52 returns in mm. 59-60, but fails to lead to a cadential function, as it did in mm. 53-54. Instead, the entirety of the sixteen-measure period fails, and leads to the medial function of part 2 of the subordinate theme (mm. 61-73). Figure 1 presents a linear diagram of part 2 of the subordinate theme.
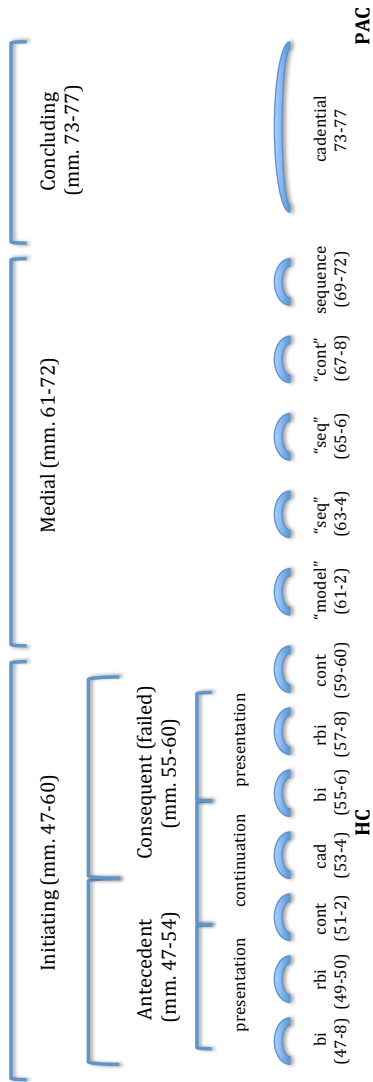
Figure 1 – Linear diagram of part 2 of subordinate theme, mm. 47-77

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The medial function in mm. 61-73, which prolongs the tonic function, closely resembles the transition in both its dynamic and its rapid sixteenth notes, as it begins with a two-measure "model," followed by two two-measure "sequence" units, and ultimately into a sequence of descending root motion by second in first inversion. The cadential function (mm. 73-77) contains a complete T-PD-D-T progression, with a prolongation of the tonic function (mm. 73-75) followed by a very clear example of liquidation (mm. 76-77) before the arrival of the cadence. The closing section (mm. 77-90) is constructed sententially, with a new basic idea (mm. 77-79), and a repeated basic idea (mm. 79-81), as well as continuation (mm. 81-84) and cadential functions (mm 84-85), with a final cadential extension (mm. 85-90).

The transition features continuous sixteenth notes (mm. 13-26), first in the right hand (mm. 13-20), then in the left hand (mm. 21-25), and concluding with two beats of unison sixteenth notes in a scalar passage (m. 26). The transition begins with new material that closely resembles a figural exercise,[18] and is constructed similarly to a CBI + Consequent hybrid,[19] but this eight-measure structure results in a half cadence, rather than the expected PAC.[20] In the "standing on the dominant" passage (mm. 21-26), the dominant harmony is prolonged through the use of the tonic chord until the typical break in rhythmic activity is reached in m. 26.[21]

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[18] A figural exercise is one that works on finger passages, scalar runs, etc. The most common collection of these is Charles-Louis Hanon's *The Virtuoso Pianist*.

[19] This hybrid is, essentially, a (parallel) period without an internal cadence (Caplin, 61-63). Caplin uses the term "period" to mean "parallel period;" in his theory, a "contrasting period" does not exist.

[20] The PAC is expected because of the periodic construction.

[21] The term "standing on the dominant" is defined as "A postcadential intrathematic function following a half cadence. It consists of one or more ideas supported exclusively by a dominant prolongation." (Caplin, 257) Due to the structure of the CBI + Consequent

Development

The development of this sonata movement is typical, in that it features a pre-core, core, and standing on the dominant. However, the way in which the pre-core is realized is atypical. Table 2 shows the construction of the development.

Table 2 – Construction of Development

Section	Measures	Key Area(s)	Concluding Cadence
Pre-core, Section 1	90b-96	GM→Cm→Fm	None
Pre-core, Section 2	97-108	→DM	None – ends on V6/5
Pre-core, Section 3	109-112	DM	None – ends on I
Core, Model	113-116	DM/Gm	None
Core, Sequence 1	117-120	Cm	None
Core, Sequence 2	121-124	Fm	None
Core, Fragmentation	125-128	→Cm	None
Standing on the dominant	129-138	Cm/CM	Arrives on HC, ends on V^7

In this movement the pre-core begins with material derived from the closing section of the exposition, which is a standard choice to begin the development, and "promotes the continuity of motive, rhythm, and texture from the end of that section into the beginning of the development."[22] This section of the pre-core is an incomplete sentence, one whose continuation function fails to reach a cadence.[23] However, this construction would only be typical if it led directly into the core, which it does not. Caplin does state that, "a small number of relatively large pre-cores are constructed out of two thematic units. One of these units is usually incomplete."[24] The pre-core of this movement combines possibilities of core substitutes with expected structures of a pre-

hybrid, a PAC is expected, even though an HC is anticipated at the conclusion of the transition.
[22] Caplin, 151.
[23] Caplin, 153. He writes, "A concluding function is usually missing…Pre-cores of this type tend to be relatively short."
[24] Caplin, 153.

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core.[25] The second section of the pre-core is transition-like, both in its subversion of the

key, and in its close figural relationship to the transition from the exposition. The bass

line ascends chromatically from B-flat to C-sharp (mm. 97-108), with C-sharp becoming

the new leading tone to the third and final section of the pre-core. At m. 109, the main

theme's basic idea is sounded, but in the key of D major. Measures 109-112 are the main

theme's presentation phrase, but in the wrong key, as the music was initially presented in

C major, and with an expectation of being presented in a closely-related minor key in the

development. The expectation, then, is that the continuation from the main theme will be

heard in mm. 113-114, but this is not the case. What was expected to be the continuation

turns out to be the four-measure model for the development's core, so the failed

continuation phrase becomes the core's model. This is a "problem" that will need to be

"solved" in the movement's coda, and will be discussed later in the article.

The ordering of events in the pre-core somewhat resembles a reversed exposition,

certainly not what would be expected in the pre-core. The pre-core begins with music

derived from the closing section, followed by a transition-like section, which is not

motivically related to the exposition's transition, but is similar in terms of its arpeggiated

figures, and finally states the presentation phrase from the main theme. Although the pre-

core could foreshadow an inverted recapitulation, that does not occur in this movement.

In general, the core of the development features a four-to-eight measure model,

which is then sequenced at least once, and fragmented, leading to a standing on the

dominant, which is what occurs in this movement. The model is stated in mm. 113-116

in G minor, with the dominant pitch D emphasized, both metrically and through

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[25] The various types of core substitutes are discussed in the Development chapter (Caplin, 155-157).

repetition. The model is then sequenced in mm. 117-120 in C minor, with G as the

dominant, sequenced again in mm. 121-124 in F minor, with C as the dominant, and then

fragmented, leading to a half cadence in C minor m. 129, with both diatonic and

chromatic predominant harmonies used.[26]

Standing on the dominant occurs in mm. 129-138, as a G2 is the lowest sounding

pitch through these ten measures. The seventh of the chord, initially F6 in m. 135, is

arpeggiated downward, and resolves to E4, the first melodic pitch of the main theme,

which begins the recapitulation in m. 139; the resolution of the standing on the dominant

elides with the start of the recapitulation.

Recapitulation

The recapitulation often corresponds to the exposition with relative ease. The

most common location for a difference to occur is in the transition, especially if the

transition in the exposition modulated. Table 3 shows the construction of the

recapitulation.

Table 3 – Construction of Recapitulation

Section	Measures	Key Area	Concluding Cadence
Main Theme	139-146	CM	PAC
Transition	147-160	CM	HC
Subordinate Theme, part 1	161-180	Cm	HC
Subordinate Theme, part 2	181-211	CM	PAC
Closing Section	211-217	CM	None

When comparing Tables 1 and 3, it is clear that the main theme is noticeably shorter in

the recapitulation than in the exposition. The repetition of the continuation phrase is

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[26] If an A-natural is implied rather than an A-flat, the Ger^{o3} would become an F#^{o7} chord, a vii^{o7}/V, also a chromatic predominant harmony. Although the sixth scale-degree is missing in m. 127 in the supertonic chord, and in m. 128, on the chromatic chord on beat four, it can be assumed that the pitch is A-flat, due to the tonal center of C minor, and the fact that every time an A is used in mm. 117-128, it is A-flat. In m. 128, it is not difficult to imply the A-flat, as the chord preceding the Ger^{o3} is a iv^6, whose bass note is A-flat.

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deleted, and the main theme ends with an IAC. Caplin writes, "Since there is ample opportunity to confirm the home key later in the recapitulation (in the subordinate theme), a cadence to end the main theme is dispensable in the recapitulation."[27] In this recapitulation, the main theme concludes with an IAC, as the home-key PAC occurs following the subordinate theme.

Caplin states, "The transition is the section of the recapitulation most likely to be altered in relation to the exposition."[28] The transition in the recapitulation is the same length as that in the exposition, and since the exposition's transition is non-modulating, one might expect that the transitions are exactly the same. Of the fourteen measures in the respective transitions, the final six in both the exposition and recapitulation are identical. The transition begins similarly to the repetition of the continuation phrase from the main theme, but quickly changes and assumes its own identity. The two-measure basic idea (mm. 147-148) is repeated sequentially, followed by a continuation phrase that leads to the half cadence in m. 155; the transition in the recapitulation is structured as a sentence.

The subordinate theme is the section of the recapitulation most likely to correspond to the exposition, with the only adjustment being that of tonality. In this movement, that is completely true; the only change to the subordinate theme, in either part, is tonal. All of the formal analysis from the exposition corresponds to the recapitulation, as does the harmonic analysis. The closing section in the recapitulation is significantly shorter, at seven measures, compared to fourteen measures in the exposition. The closing section in the recapitulation is, like the subordinate theme, an exact transposition of the exposition. However, the location where it diverges, m. 218, is

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[27] Caplin, 163.
[28] Caplin, 163.

where the coda begins. The closing section of the recapitulation, which moves into the coda, very closely resembles the first section of the pre-core moving into the second section, with the closing section constructed as a failed sentence, exactly like the first section of the pre-core.

Coda

When discussing the coda, Caplin states that, "the 'start' of the coda is best located at that moment when the music of the recapitulation no longer corresponds to that of the exposition, even if that moment is not perceived as a structural beginning."[29] In this movement, the coda begins during the continuation function of the continuation phrase of the closing section, certainly not a moment that would be perceived as a structural beginning. As the continuation phrase arpeggiates its way through the dominant harmony, the coda begins on a ♭VI harmony, a deceptive gesture. Table 4 shows the construction of the Coda.

Table 4 – Construction of Coda

Section	Measures	Key Area	Concluding Cadence
"Fantasia"	218-232	AbM→CM	HC
Cadenza/Eingang	232	CM	IAC in m. 233
Coda Theme (from MT)	233-252	CM	PAC
"Closing Section"	252-257	CM	PAC

Within the coda, Caplin writes that, "the coda includes a variety of *compensatory functions*, for here the composer can make up for events or procedures that were not fully treated in the main body of the movement."[30] Three portions of the exposition were eliminated from the recapitulation: the repetition of the continuation phrase and resulting

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[29] Caplin, 181.
[30] Caplin, 179.

PAC from the end of the main theme, the first eight measures of the transition, and the final seven measures of the closing section. Measures 218-232 resemble the second section of the pre-core from the development, more so than the absent transition measures, in that the bass line rises, and the right-hand harmonies are arpeggiated. The music also evokes the sound of a fantasia, with what feels like improvised harmonies, a series of fully diminished seventh chords, and motion leading to the half cadence. In the coda, the bass line moves in whole steps rather than the half steps from the development; in fact, the bass moves through a complete whole-tone scale, from A-flat to F-sharp (mm. 218-229).[31] The harmonies between these two pillars are all fully diminished seventh chords that do not function tonally. It is only when the F-sharp is in the bass that the harmony becomes functional, $\text{vii}^{\text{o}7}$/V, which then resolves to a cadential six-four chord on the downbeat of m. 232. This may be the most unusual moment in the movement, as it is the appropriate location and harmony for a cadenza to appear in the first movement of a solo concerto, if the section were the closing ritornello. This cadenza is brief and written-out, and features a trill, as expected, on scale-degree two, before resolving to the coda theme, which begins with the basic idea of the main theme.

As a cadenza is certainly not expected in a solo sonata, the natural question to ask is, "Why?" Caplin mentions cadenzas in just two locations: in the chapter concerning solo concerto and in his discussion of sonata-rondo in the chapter concerning rondo. Concerning K. 494 (originally the third movement of K. 533), a nine-part sonata-rondo, he writes, "The last couplet recapitulates the subordinate theme, and, as a coup de grâce,

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[31] In this passage, the motion becomes half-step rather than whole-step as the cadence is approached. The final four notes are E, F, F-sharp, and G.

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Mozart interpolates an elaborate, written-out cadenza before the close of that couplet."[32]

Caplin then provides a footnote that identifies other third (and final) movements that

contain cadenzas, including, perhaps most famously, K. 333. However, the Beethoven

piece under discussion is a first movement, not a final movement. Musicologist Joseph

Swain provides a further explanation of this cadenza. In his article "Form and Function

of the Classical Cadenza," Swain writes,

> By the time of Turk's writing [1789] Mozart was making a distinction be-
> tween "cadenzas" and other improvisatory passages called "*Eingänge*"
> (see letter of February 15, 1783). In contrast to cadenzas, which appear at
> the end of a movement and are associated with a final cadence, these
> *Eingänge* may appear in any part of the movement, most often just before
> the beginning of a new section, as in the return of a rondo theme, and have
> the function of "leading in" to the next section. They contain no references
> to thematic material, and are usually constructed of passagework based on
> dominant harmony which the onset of the next section resolves. Because
> the resolution is elided with a new beginning, the character and function of
> the *Eingang* can be clearly distinguished from those of the true cadenza,
> which, according to the eighteenth-century theorists cited above, has a
> function of conclusion on a high structural level.[33]

According to Swain's definition, m. 232 appears to be an example of an Eingang, and not

a true cadenza. Measure 232 arrives just before the return of main theme material within

the coda, and elides with the main theme's basic idea. Additionally, this Eingang

resembles the development's standing on the dominant, leading to the restatement of the

main theme's presentation phrase.

Following the Eingang, in m. 233, the main theme is stated in its home key of C

major; this is the coda theme, which is clearly a restatement of the movement's main

theme. The presentation phrase of the main theme appears without alteration from mm.

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[32] Caplin, 241.

[33] Joseph Swain, "Form and Function of the Classical Cadenza," *Journal of Musicology*,
6/1 (1988): 30. This article is referenced in a footnote regarding cadenza by Caplin
(Caplin, 287).

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1-4. The continuation phrase is altered at the surface level, and is also expanded through a sequential root progression of descending seconds, leading to the cadential function in m. 245. However, the listener can quickly recognize that this is not the true ending, as the V^7 chord's dynamic immediately drops to *piano* from the previous *fortissimo*. The dynamic drops even further as the resolution leads to a deceptive cadence. The cadential function is repeated and expanded even further, now to four measures, as the dominant is prolonged through a cadential six-four chord, and the PAC, deleted from the recapitulation, is finally reached in m. 252, immediately followed by the material from the closing section that was previously deleted in the recapitulation, mm. 85-90, now in C major. The movement concludes with this flourish at a dynamic of *fortissimo*, imitating the conclusion of the closing section in the exposition.

The failed continuation phrase in Section 3 of the pre-core, which became the model for the core of the development, mentioned earlier in this article, is solved in the coda. The main theme is stated in its home key of C major, and while the continuation phrase is initially expanded, it still results in a cadence, albeit the wrong one: a deceptive cadence. When the cadential function of the continuation phrase is repeated, the resulting PAC solves that problem from the development, and is a clear example of Caplin's compensatory functions, serving two purposes. The first purpose is to solve the "failed continuation⇒model" issue from the development. The second purpose is to reinstate the PAC that was missing from the main theme in the recapitulation through a repetition of the complete theme.

This article has presented a complete Caplin-style analysis of the first movement of Beethoven's *Piano Sonata in C major*, op. 2, no. 3, movement I, and has shown the pedagogical methodology behind teaching a piece such as this in a typical Form and Analysis course.   In this analysis of Beethoven's *Piano Sonata in C major*, op. 2, no. 3, movement I, one can see how to apply Caplin's formal functions, and the more interesting musical moments that do not neatly conform to Caplin's theory, in analyzing a complete sonata form movement using his methodology. A complete analysis can be achieved through combining concepts within various sections, and through close study of Caplin's formal functions. Of course, this analysis presents only one way to view the sonata form movement, through one specific methodology. Through the application of Caplin's theories, movements that contain atypical sections or formal irregularities can be discussed and understood by theorists and students, thus reaching a deeper understanding of the music.